

Check List for Stock-Dealer and Stock-Broker Registration Certificates

In accordance with the Securities and Exchange Commission (Stock-Broker, Stock-Dealer & Authorized Representatives) Rules - 2000

Particulars	Description
Name of the applicant Company	
Applied for	
Exchange TREC No.	
Address of the head office of the applicant	
Official active email of the applicant	

SI No.	Particulars	SEC (Stock-broker, Stock-Dealer & Authorized Representatives) Rules - 2000	Compliance Status	Page No./ Attachment	Comments
1.	Whether the Applicant Company is the member of any of the stock exchange.	৪(ক)			
2.	Whether the applicant is a Merchant Banker, Portfolio Manager, Trustee of Mutual Fund, Custodian or Asset Management Company	৪(খ)			
3.	Whether the applicant is a company or statutory body.	৪(গ)			
4.	Whether latest Audited financial statements are showing minimum paid-up capital of Tk 2.5/- million. (For multiple membership of exchange, the minimum paid-up capital requirement will be multiple of the membership)	৪(গ) ও ৪(গ)(অ)			
5.	Whether maintaining at least 50% net worth of paid-up capital.	৪(গ)(আ)			
6.	Whether the applicant company or any of its Directors is engaged with any fraudulent activity or criminal offense.	৪(ঘ)			
7.	Whether the applicant company or any of its Directors is bankrupt or loan defaulter.	৪(ঙ) & ৪(ঙ)(ঙ ও ঝ)			
8.	Stock Exchange clearance certificate about the Company or its Directors to the fact that they were not a party of any other Broker/Dealer Firm whose registration certificate is cancelled in the last three (03) years.	৪(চ)			
9.	Appointment of Compliance Authority with terms and conditions & Whether CEO or any member of the board is the compliance authority and his/her educational qualification is at least graduate.	৪(ছ)			
10.	Whether Application fee for Broker/Dealer has been deposited to the Commission.	৫ (২)(১)			
11.	Whether, along with application, recommendation of the Stock Exchange to accord registration is submitted to the Commission.	৫ (৩)			
12.	Whether Form KA is properly filled in and checked by the Exchange.	৫ (৩)			
13.	Whether Form Cha is amended with Form - Ka.	৫ (৩)			

14.	Whether the applicant submitted any additional information in connection with the application form, if required by the Commission.	৫ (৪)			
15.	Whether more than 50% member of the board of directors of the applicant company is present in the parent company's board.	[৫ক]			

Annexure

Sl No.	Particulars	Status (submitted/not submitted)	Page No.	Comments
1	Board Resolution regarding handling the business, Application to BSEC & Appointment of Compliance Authority, Signing Authority & TREC holder representative.			
2	Valid Trade license of the company.			
3	Bio-data of all the directors.			
4	Copy of Membership/TREC Certificate.			
5	Declaration regarding the loan, holding subsidiary and sister concern(s) of the company.			
6	Bank Statement along with Banker's Certificate (Up to till date).			
7	Declaration of Compliance Authority, Human Resources, Information Technology, & Financial Capability.			
8	Memorandum of Association & Articles of Association (attested by RJSC)			
9	Certificate of Incorporation & Commencement of Business attested by Director/CEO/MD			
10	Form - XII (Attested by RJSC)			
11	Certified copy of the Return of Allotment of shares [Form XV] & Schedule-X (Attested by RJSC)			
12	Whether the Member appointed any Authorized Representative(s) [if the answer is yes, then separate checklist for Authorized Representative(s) to be followed]			
13	CIB Undertakings, where applicable for CIB report from Bangladesh Bank.			
14	TIN and NID/Passport copy of the Company & Directors (Subsidiary as well as the Parent company (if any))			
15	Inquiry forms for Company & Directors			
16	Affidavit from Notary public pertaining to non-involvement of offences mentioned in বিধি ৪(১)(ঘ) এবং ৪(১)(ঙ) of সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০ to be submitted in original for all Directors			
17	Additional documents (if required)			