Check List
For Issuance of Market Makers Registration Certificate as per Securities and Exchange Commission (Market Maker) Rules, 2017

SL NO	PARTICULARS	RULE OF THUMB	STATUS	PAGE NO.	COMMENTS
01.	Applied for		Yes		
02.	Application Date		Yes		
03.	Whether Application for new		Yes		
04.	Whether Member of CSE/DSE		Yes		
05.	Whether the applicant is a Stock -Broker/Dealer, Depository Trading or Full Service Depository Participant or Clearing and Settlement Corporation	Rule 4 (1), (4) & (5)	Yes		
06.	Latest Audited financial statements showing minimum capital of Tk. 10.00 Core.	Rule 4 (2)	Yes		
07.	Whether maintaining at least 75% net worth of paid up capital	Rule 4 (2)	Yes		
08.	Whether the company, its directors and shareholders having 5% or more shares are not loan defaulter	Rule 4(3) (Ga)	No		
09.	Memorandum of Association & Articles of Association (Certified by RJSC & attested by Director/CEO/MD)		Yes		
10.	Certified copy of the Return of Allotment of shares [Form XV] (Certified by RJSC- if required)		Yes		
11.	Form- XII (Certified by RJSC &attested by Director/CEO/MD)		Yes		

12.	Certificate of Incorporation & Commencement of Business(if any) Certified by RJSC & attested by Director/CEO/MD		Yes		
13.	Affidavit from Notary public pertaining to non-involvement of offences mentioned in বিধি ৪(৩) ক, খ, এবং গ of বাংলাদেশ সিকিউরিটিজঅ্যান্ড এক্সচেঞ্জ কমিশন (বাজারসৃষ্টিকারী) বিধিমালা, ২০১৭ to be submitted in original for all Directors and shareholders having 5% or more shares	Rule 4(3) (K a) & (Kha)	Yes		
14.	Whether the company has minimum two (02) registered Authorized representatives hazing minimum 3 years experiences.	Rule 4(6)	Yes		
15.	Lists of Logistics & adequate Competent Manpower	Rule 4(7)	No		
16.	Appointment of a Compliance Officer among CEO or directors of the company with terms and conditions and with approval of the concern exchange(s)	Rule 4(8)	Yes		
17.	Whether internal control system of the company is adequate to settle the conflict of interest and risk management regarding market making activities	Rule 4(9)			
18.	Whether the company submitted application in Form KA properly filled in along with the recommendation of the concern exchange(s)	Rule 5(1)	Yes		

19.	Whether the company submitted Tk. 50,000/- as application fee through Pay-Order	Rule 5(2)	Yes		
20.	Whether the company submitted proper documents as mentioned in Form-KA	Rule 5(3)			
21.	Whether the Company/Applicant appointed any Authorized Representative(s)		Yes		
22.	CIB Report-Directors (From Bangladesh Bank)		No		
23.	Recommendation of the Stock Exchange to accord registration		Yes		
24.	Permission regarding formation of Subsidiary from the regulators (if any)		N/A		