

**Check List for processing of application for Issuance of a Securities Custodian Registration
Certificate in favor of**

Sl No	PARTICULARS	STATUS	PAGE NO.	RULE OF THUM	COMMENTS
1	Applied for				
2.	Application Date				
3.	Whether Applied in form "Ka"			6(1)	
4.	Whether worked as securities custodian before enactment of the Rules			6(1)	
5.	Whether the applicant is a public limited company/scheduled bank/financial institution/statutory body			5(1)	
6.	Whether the applicant has infrastructure facilities like Office Space, Safety Volt, Computer System, Skilled Manpower etc. (Resume of the CEO to be Submitted)			5(2), 5(4)	
7	Whether inspection conducted to verify infrastructure facilities			-	
8	Whether the applicant has manual stating details about custodial services			5(3)	
9	If there is any allegation of breach of securities laws against any directors or concerned officers of the applicant			5(5)	
10.	If any of the directors is a loan defaulter			5(6)	
11.	Whether CIB Report obtained			5(6)	
12.	If any of the directors or the CEO or concerned officers of the applicant are accused in any criminal or financial cases.			5(7)	
13.	Whether application fee deposited			6(3)	
14.	Whether applicant has internal audit system				
15.	Whether specimen of customer agreement form submitted				
16.	Whether application form and annexed papers signed by the CEO.			From Ka- 'Uma'	
17.	Whether signatory is authorized by the board to sign			From Ka- 'Cha'	
18.	Date of incorporation as a company			From Ka- 3(Ka)	
19.	Whether attested copies of Certificate of Incorporation, Memorandum and Articles of Association submitted			From Ka- 3(Ka)	
20.	Authorized, Issued and Paid-up Capital			From Ka- 3(Kha)	
21.	Return of allotment of shares (Form-XV)			From Ka- 3(Kha)	
22.	Whether law of inaction submitted (in case of statutory body)			From Ka- 3(Ga)	
23.	Whether certificate from regulatory authority submitted (in case of bank or financial institution)			From Ka- 3(Gha)	
24.	List of Sponsors/Directors (Form-XV)			Form Ka-4	
25.	Whether attested copy of board resolution to be registered as custodian submitted			Form Ka-4	
26.	Whether copies of registration certificates from other regulatory authorities (in home or abroad) with whom the applicant is registered submitted with name and address			Form Ka-5	
27.	Whether name and address of stock exchanges with whom the applicant is listed submitted with date of listing			Form Ka-6	

28.	Whether description of business of the applicant in home or aboard submitted			Form Ka-7	
29.	Whether description of existing custodial business with number and classification of customers, balance of securities in customers and amount of securities in custody with market value thereof submitted, If the applicant is already engaged in custodial services business.			Form Ka-8	
30.	Whether description of securities custodial services business aboard of the customer submitted, if any			Form Ka-9	
31.	Situation management plan if the computer system disrupted			Form Ka-12	