

Review of Brokers' Panel

In respect of the above, in case any broker (existing or new) wish to be included/continue in the approved panel of Brokers of the Bank, for transacting with the Bank in Debt, Money and/or Capital Market, they are requested to send their application for the same in the format appended below, along with soft copy of the application and the necessary documents details of which is given in our website www.allahabadbank.in, **to the address given below only. Application sent to any other address will not be considered for empanelment:**

**Allahabad Bank, Forex-cum-Treasury Management Branch,
1st Floor, Allahabad Bank Building,
37, Mumbai Samachar Marg,
Fort, Mumbai – 400 023
e-mail: br.mumtd@allahabadbank.in**

The application for empanelment should reach the Bank on or before **13th January 2017**.

Incomplete applications or applications not received on or before the above mentioned date will not be considered. **The Brokers having net worth of less than Rs. 5,00,00,000.00 (Rupees Five Crores only) as on 31st March 2016 will not be eligible for empanelment.** Broking Firm should be established **at least three year prior to 31st March 2016.**

Please note that the Bank reserves the right to cancel any and/or all application received from the broker without assigning any reason thereof. Approved Brokers will be individually intimated.

Dated: 16-12-2016

**(P C Sharma)
General Manager
(Investment & JV, Forex)
Head Office**



Annexure-A

ALLAHABAD BANK

Application for Empanelment/ Review of Empanelment as a Broker for Money Market , Debt Market and/or Equity Market.

1. Firm Name	
2. Constitution	
3. Date of establishment	
4. Net worth	Rs. Crores as on
5. Do your Firm/Company/Directors/Partners enjoy any credit facilities from our bank? (Declaration to be submitted)	
6. Corporate / Registered Office Address /Telephone /Fax	
7. Main Dealing Room Address /Telephone /Fax	
8. Branch particulars (if any)	
9. Numbers and Names of the FII/ other institutions where your firm / company is empanelled as broker /trading member	
10. Name of stock exchanges in which applicant is a member (copy of membership card enclosed)	For Example : NSE/ NSE WDM / NSE Derivative BSE
11. Activities of the firm	For Example : Merchant Banker / Primary Market Mobilisation, Primary Dealer, Secondary Market Dealing in equity/Debt/ Derivatives,
12. SEBI Registration No. (Copy enclosed)	
13. Group Companies (State the activities)	

14. Names of Partners./Directors/ proprietor (profile enclosed)																					
15. Brief Profile of Key Management Personnel (Including dealers; specify whether services of partners/directors / employees with professional qualifications is available on a regular basis)																					
16. Names of Dealers, Analysts and their respective sectors.																					
17. Names of persons authorised to sign contract notes & documents and their specimen signatures																					
18. List of Major Shareholders (Holding 5 % and above of applicants capital)																					
19. Whether any legal suit has been instituted or is pending against the firm / company or any associate firm/ company for breach of contract or for any other reason arising out of the broking/intermediary activities in security transaction																					
20. Whether any of the partners/ directors has at any time in the past been adjudged as insolvent																					
21. Trading volumes in last 3 years : { Audited Balance Sheet (for last 3 years for new broker and 1 year for existing empanelled broker) is enclosed) }	<table border="1"> <thead> <tr> <th data-bbox="776 1413 954 1451">Segment</th> <th data-bbox="954 1413 1097 1451">2013-14</th> <th data-bbox="1097 1413 1256 1451">2014-15</th> <th data-bbox="1256 1413 1416 1451">2015-16</th> </tr> </thead> <tbody> <tr> <td data-bbox="776 1451 954 1491">Equity</td> <td data-bbox="954 1451 1097 1491"></td> <td data-bbox="1097 1451 1256 1491"></td> <td data-bbox="1256 1451 1416 1491"></td> </tr> <tr> <td data-bbox="776 1491 954 1530">Debt</td> <td data-bbox="954 1491 1097 1530"></td> <td data-bbox="1097 1491 1256 1530"></td> <td data-bbox="1256 1491 1416 1530"></td> </tr> <tr> <td data-bbox="776 1530 954 1604">Primary Placement</td> <td data-bbox="954 1530 1097 1604"></td> <td data-bbox="1097 1530 1256 1604"></td> <td data-bbox="1256 1530 1416 1604"></td> </tr> <tr> <td data-bbox="776 1604 954 1644">Total</td> <td data-bbox="954 1604 1097 1644"></td> <td data-bbox="1097 1604 1256 1644"></td> <td data-bbox="1256 1604 1416 1644"></td> </tr> </tbody> </table>	Segment	2013-14	2014-15	2015-16	Equity				Debt				Primary Placement				Total			
Segment	2013-14	2014-15	2015-16																		
Equity																					
Debt																					
Primary Placement																					
Total																					
22. Income Tax PAN No. and Circle/ Ward																					
23. List of publications, if any																					

24. Infrastructure details	
25. Any other Information (Please specify)	
26. Additional Information <ul style="list-style-type: none"> • Whether your company has ever been delisted by RBI/SEBI till date. • Whether you have defaulted in any stock exchange settlement and if so, please give details. • Whether SEBI has initiated any action against your company. • Whether your company was involved in the scam of 1992 & 2001. 	

	<p>I/We certify that the information given in this application form is true to the best of my/our knowledge and belief .I/ We will inform you of any changes in the information given above as and when it takes place.</p> <p><u>We agree:</u></p> <ol style="list-style-type: none"> 1. to issue adequately stamped contract note in favour of Allahabad Bank in the prescribed format of the National Stock Exchange. 2. that we shall not act as principal with Allahabad Bank unless prior written consent is obtained from Allahabad Bank (The clause may be omitted by Primary Dealers/ Satellite Dealers) 3. that no communication concerning the transaction shall be made or dispatched by us or our officers/employees to any third party and shall not divulge any confidential information concerning the transaction , except when specifically required by the Stock Exchange or other Statutory Authorities. 4. that we will inform Allahabad Bank before parting the said confidential information to any authority. 5. that we will inform Allahabad Bank if The Firm/ Company is suspended / debarred by SEBI or any Public Sector Undertaking , Banks, Institution from acting as a broker and/ or as a Principal 6. that we will inform Allahabad Bank , if the membership is suspended/ terminated/any penal action is initiated against the firm/ Company by Stock Exchange
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We declare:

- 1 That the concern and / or any of its partners/ directors of the concern has/have not been adjudged bankrupt or receiving orders of bankruptcy has been made against the concern and/or any of its partners /directors of the concern.**
- 2 That the concern and/or any of its partners/ directors was/ were never proved to be insolvent.**
- 3 That the concern and/ or any of its partners/ directors has/ have not been convicted of any offence involving fraud or dishonesty.**

- 4 That the concern and/or any of its partners / directors has/ have never compounded with any creditors for less than full discharge of debts.
- 5 That the concern and/ or any of its partners / directors of the concern has/have not been at any time expelled or declared a defaulter by any Stock Exchange , Reserve Bank of India, SEBI or any other Statutory body (ies)
- 6 That no disciplinary action has been taken /contemplated to be taken by any stock exchange against the concern and/or any of the partners / directors of the concern
- 7 That the concern and/ or any of the partners/ directors of the concern has/ have not been indicted in the security scam.

“Concern” means individual, proprietorship firm, partnership firm, public / private limited Company etc.

(Signature of Sole Proprietor/Partner /Director)

Place:

Date: