

## **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 along with soft copy of the application and the necessary documents details of which is given in our website [www.allahabadbank.in](http://www.allahabadbank.in) to the address given below only, **application sent to any other address will not be considered for empanelment:**

**Allahabad Bank  
Integrated Treasury  
1<sup>st</sup> Floor, Allahabad Bank Building,  
37, Mumbai Samachar Marg,  
Fort, Mumbai – 400 023**

The application for empanelment should reach the Bank on or before **10<sup>th</sup> January 2018**. **The Broker/PD/Merchant Banker should fulfill the undernoted criteria:**

- a. Firm should be established at least three years prior to 31.03.2017.
- b. Net worth of the Broker/PD/Merchant Banker should be more than Rs. 5.00 crore as on 31.03.2017.
- c. The broker should have adequate infrastructure like dealing room and online screen for trading etc.
- d. The firm/company should be registered with RBI/SEBI/NSE/BSE/any other stock exchanges.
- e. Number/Name of organizations where the broker is empanelled with.
- f. Whether the proposed broker's Firm/company/Directors/Partners have any credit relationship with the Bank.
- g. The broker should not be black listed by SEBI or any other regulatory authority

Incomplete applications or applications not received on or before the above mentioned date will not be considered.

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: 13-12-2017**

**(P C Sharma)  
General Manager  
(Integrated Treasury)**



**Annexure-A**

**ALLAHABAD BANK**

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

|  |   |
|--|---|
| <b>1. Firm Name</b>  |   |
| <b>2. Constitution</b>   |   |
| <b>3. Date of establishment</b>  |   |
| <b>4. Net worth</b>  | <b>Rs. Crores as on</b>   |
| <b>5. Do your Firm/Company/Directors/Partners enjoy any credit facilities from our bank?<br/>(Declaration to be submitted)</b> |   |
| <b>6. Corporate / Registered Office Address /Telephone /Fax</b>  |   |
| <b>7. Main Dealing Room Address /Telephone /Fax</b>  |   |
| <b>8. Branch particulars (if any)</b>  |   |
| <b>9. Numbers and Names of the FII/ other institutions where your firm / company is empanelled as broker /trading member</b>   |   |
| <b>10. Name of stock exchanges in which applicant is a member<br/>( copy of membership card enclosed)</b>                      | For Example :<br>NSE/ NSE WDM / NSE Derivative<br>BSE   |
| <b>11. Activities of the firm</b>  | For Example :<br>Merchant Banker / Primary Market Mobilisation,<br>Primary Dealer, Secondary Market Dealing in<br>equity/Debt/ Derivatives, |
| <b>12. SEBI Registration No.<br/>(Copy enclosed)</b>   |   |
| <b>13. Group Companies (State the activities)</b>  |   |
| <b>14. Names of Partners./Directors/ proprietor (profile enclosed)</b>   |   |
| <b>15. Brief Profile of Key Management Personnel</b>   |   |

| (Including dealers; specify whether services of partners/directors / employees with professional qualifications is available on a regular basis)  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
|---|---|----------------|----------------|----------------|----------------|--------|--|--|--|------|--|--|--|-------------------|--|--|--|-------|--|--|--|
| <b>16. Names of Dealers, Analysts and their respective sectors.</b>   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>17. Names of persons authorised to sign contract notes &amp; documents and their specimen signatures</b>   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>18. List of Major Shareholders ( Holding 5 % and above of applicants capital)</b>  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>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</b> |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>20. Whether any of the partners/ directors has at any time in the past been adjudged as insolvent</b>  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>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) }</b>  | <table border="1"> <thead> <tr> <th>Segment</th> <th><u>2014-15</u></th> <th><u>2015-16</u></th> <th><u>2016-17</u></th> </tr> </thead> <tbody> <tr> <td>Equity</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Debt</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Primary Placement</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> | Segment        | <u>2014-15</u> | <u>2015-16</u> | <u>2016-17</u> | Equity |  |  |  | Debt |  |  |  | Primary Placement |  |  |  | Total |  |  |  |
| Segment   | <u>2014-15</u>  | <u>2015-16</u> | <u>2016-17</u> |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| Equity  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| Debt  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| Primary Placement   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| Total   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>22. Income Tax PAN No. and Circle/ Ward</b>  |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>23. List of publications, if any</b>   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>24. Infrastructure details</b>   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |
| <b>25. Any other Information (Please specify)</b>   |   |                |                |                |                |        |  |  |  |      |  |  |  |                   |  |  |  |       |  |  |  |

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| <p><b>26. Additional Information</b></p> <ul style="list-style-type: none"> <li>• Whether your company has ever been delisted by RBI/SEBI till date.</li> <li>• Whether you have defaulted in any stock exchange settlement and if so, please give details.</li> <li>• Whether SEBI has initiated any action against your company.</li> <li>• Whether your company was involved in the scam of 1992 &amp; 2001.</li> </ul> |  |

|  |  |
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|  | <p><b>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.</b></p> <p><b><u>We agree:</u></b></p> <ol style="list-style-type: none"> <li><b>1. to issue adequately stamped contract note in favour of Allahabad Bank in the prescribed format of the National Stock Exchange.</b></li> <li><b>2. that we shall not act as principal with Allahabad Bank unless prior written consent is obtained from Allahabad Bank<br/>(The clause may be omitted by Primary Dealers/ Satellite Dealers)</b></li> <li><b>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.</b></li> <li><b>4. that we will inform Allahabad Bank before parting the said confidential information to any authority.</b></li> <li><b>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</b></li> <li><b>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</b></li> </ol> |
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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:**