



**FORM FOR ACCREDITATION OF BROKERS IN OTC INTEREST RATE DERIVATIVES**

(Every page of this Form, Policy Document & Code of Conduct must be signed by the authorized signatory i.e. authorized by the board, along with the company's stamp)

1. Name of the Brokerage Firm:
  
2. Registered Office Address:
  
  
  
  
  
  
  
  
  
  
3. The names, addresses, ages and nationalities of all the board of directors.

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<b><i>Sr. No.</i></b>	<b><i>Name</i></b>	<b><i>Address</i></b>	<b><i>Age</i></b>	<b><i>Nationality</i></b>
I.				
II.				
III.				
IV.				
V.	(For registration, the minimum requirement is seven)			
VI.				
VII.				

4. Senior Management and Dealers who will be dealing in the debt market

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<b><i>Sr. No.</i></b>	<b><i>Name</i></b>	<b><i>Qualification</i></b>	<b><i>Experience (in years)</i></b>	<b><i>Designation</i></b>
I.				
II.				
III.				
IV.				



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V.

VI.

5. Tangible net worth of the broking firm (*\*attach audited financial statements for the last three years*):  
₹

6. DD/Cheque details of the onetime processing fee of ₹100,000/- payable to FIMMDA:

7. Name of Bankers who have to be approached for Credit Report/Status Report on the brokerage firm:

8. DD/Cheque details of the security deposit of ₹1,500,000/- to be kept in fixed deposit in applicants name with lien marked in favor of FIMMDA:

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***DECLARATION***

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We here by agree to comply by all the stated points of the “POLICY DOCUMENT FOR ACCREDITATION OF BROKERS IN OTC INTEREST RATE DERIVATIVES” and “Code of Conduct – Dealers and Brokers” (attach signed copy) formed by FIMMDA.

Place :

Date :

Authorized Signatory

\*This stipulation is not applicable to new firms or firms who have been in business for less than three years