



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.

<i>Sr. No.</i>	<i>Name</i>	<i>Address</i>	<i>Age</i>	<i>Nationality</i>
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

<i>Sr. No.</i>	<i>Name</i>	<i>Qualification</i>	<i>Experience (in years)</i>	<i>Designation</i>
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:

DECLARATION

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