

Check List

Basic Information of the Applicant

Name of the Company	
Applied for	
Entity Type	
Paid up capital	
Net Worth	
Paid Up Capital to Net Worth Ratio	
Address	

Check List for processing of Application of _____ Limited for Depository Participant Registration Certificate

ডিপজিটরি (ব্যবহারিক) প্রবিধানমালা, ২০০৩

SL. No.	PARTICULARS	STATUS	PAGE No.	RELEVANT RULES	COMMENTS	PAPERS TO BE SUBMITTED FOR CHECKLIST
1	Applied for			29	-	-
2.	Application Date			-		-
3.	Whether applied in Schedule-1			27(2)(Ka)		-
4.	Whether the application is recommended by the Depository.			27(2)(Ka)		-
5.	Whether the applicant has requisite paid up capital and net worth			28(1) (Cha)		-
6.	Whether the applicant is a company/ banking Company /financial institution/statutory body/Insurance company/Clearing corporation/ Clearing house of stock exchange/ Corporate stock dealer, stockbroker, merchant banker, asset management company, custodian or other capital market intermediary/ other institutions permitted by the commission.			28(1)		
7.	Whether the application fees deposited.			27(2) (Kha)		-
8.	Whether the location to preserve data, record etc. disclosed properly			34(6)		
9.	Whether relevant laws, registration certificate and audited annual reports submitted (in case of Bank, Insurance Company or Statutory Body)			Schedule-1 (5)		
10.	Whether authority to sign the application submitted			Schedule-1 (6)		-
11.	Whether audited financial statements showing net capital balance submitted			Schedule-1 (10)		
12.	Whether the applicant is a merchant banker, portfolio manager, trustee/ custodian/ asset management company of any mutual fund or not			Schedule-1 (11)		
13.	If there is any allegation of fraud, forgery, fraudulent or dishonest activities or conviction for criminal offence against any directors or the applicant itself			Schedule-1 (12)		

14.	Whether the applicant or any of its directors adjudicated as insolvent or of unsound mental status by any court of law			Schedule-1 (13)		
15.	Whether the company or any of the directors is a bank loan defaulter (Declaration in prescribed CIB format to be submitted)			Schedule-1 (14)		
16.	Whether CIB report obtained			Schedule-1 (14)		
17.	Authorized, Issued and Paid-up Capital			-		
18.	Description of Sponsors/Directors			Schedule-1 (8)		