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**Check List for processing of application for Issuance of a Securities Custodian
Registration Certificate**

Sl No	PARTICULARS	STATUS	PAGE NO.	RELEVANT RULE	COMMENTS
1	Applied for				Securities Custodian registration certificate
2.	Application Date				
3.	Whether Applied in form "Ka"	Yes		6(1)	
4.	Whether worked as securities custodian before enactment of the Rules	No		6(1)	Serial #8 of Form Ka may kindly be seen.
5.	Whether the applicant is a public limited company/scheduled bank/financial institution/statutory body	Scheduled Bank		5(1)	Serial #2 of Form Ka may kindly be seen.
6.	Whether the applicant has infrastructure facilities like Office Space, Safety Volt, Computer System, Skilled Manpower etc. (Resume of the CEO to be Submitted)	Yes		5(2), 5(4)	Serial #10-11 of Form Ka may kindly be seen.
7	Whether inspection conducted to verify infrastructure facilities	No		-	No bindings under the concerned Rules to conduct inspection of infrastructure.
8	Whether the applicant has manual stating details about custodial services	Yes		5(3)	
9	If there is any allegation of breach of securities laws against any directors or concerned officers of the applicant	No		5(5)	Notarized affidavit in this regard will be submitted
10.	If any of the directors is a loan defaulter	No		5(6)	
11.	Whether CIB Report obtained	Yes		5(6)	
12.	If any of the directors or the CEO or concerned officers of the applicant are accused in any criminal or financial cases.	No		5(7)	Notarized affidavit in this regard will be submitted.
13.	Whether application fee deposited	Yes		6(3)	
14.	Whether applicant has internal audit system	Yes			
15.	Whether specimen of customer agreement form submitted	Yes			
16.	Whether application form and annexed papers signed by the CEO.	Yes		From Ka-'Uma'	
17.	Whether signatory is authorized by the board to sign	Yes		From Ka-'Cha'	
18.	Date of incorporation as a company	Yes		From Ka-3(Ka)	
19.	Whether attested copies of Certificate of Incorporation, Memorandum and Articles of Association submitted	Yes		From Ka-3(Ka)	
20.	Authorized, Issued and Paid-up Capital	Yes		From Ka-3(Kha)	
21.	Return of allotment of shares (Form-XV)	Yes		From Ka-3(Kha)	
22.	Whether law of inaction submitted (in case of statutory body)	N/A		From Ka-3(Ga)	
23.	Whether certificate from regulatory authority submitted (in case of bank or financial institution)	Yes		From Ka-3(Gha)	
24.	List of Sponsors/Directors (Form-XII) along with their address	N/A		Form Ka-4	
25.	Whether attested copy of board resolution to be registered as custodian submitted	Yes		Form Ka-4	
26.	Whether copies of registration certificates from other regulatory authorities (in home or abroad) with whom the	Yes		Form Ka-5	

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	applicant is registered submitted with name and address				
27.	Whether name and address of stock exchanges with whom the applicant is listed submitted with date of listing	Yes		Form Ka-6	
28.	Whether description of business of the applicant in home or aboard submitted	Yes		Form Ka-7	As per Serial #7 of Form-Ka.
29.	Whether description of existing custodial business with number and classification of customers, balance of securities in customers and amount of securities in custody with market value thereof submitted, If the applicant is already engaged in custodial services business.	N/A		Form Ka-8	As per Serial #8 of Form-Ka.
30.	Whether description of securities custodial services business aboard of the customer submitted, if any	N/A		Form Ka-9	As per Serial #9 of Form-Ka.
31.	Situation management plan if the computer system disrupted	Yes		Form Ka-12	As per Serial #12 of Form-Ka.