

Checklist for Stock-Broker/Dealer's Branch Office			
SL No.	Particulars	Comments	Status
1	Address of the proposed branch Office		
2	Address of the Head Office		
3	No. of Approved Branch Office with address	Maximum 15 branch is permitted	
4	Evidence/Proof of utilities of the proposed branch office	e.g. Demand Note, receipts, utility bill	
5	Latest Audited Financial Statements		
6	Copy of Return of Allotment certified by RJSC		
7	Amount of Paid Up	Tk 75.00 lac (With Tk 75.00 Lac eligible to open 3 branches, additional 1 branch will require Tk 50.00 lac)	
8	Amount of Net Worth	50% of Paid Up	
9	Recommendation of DSE		
10	Whether 2 TWS are/will be installed	If more than 2 TWS, one additional AR must be assigned for each additional TWS	
11	Name of branch manager along with CV, Appointment Letter, NID	Attached by CEO of Exchange	
12	Name of Compliance officer along with CV, Appointment Letter, NID	Attached by CEO of Exchange	
13	Name of 02 Authorized Representatives , valid Registration Certificates along with CV, Appointment Letter, NID	Attached by CEO of Exchange	
14	Board Resolutions with details about the address and consent of the board members	Signed by CEO	
15	Deed of agreement of the premises	If hired, tenancy agreement would be minimum for the period of 2 years.	
16	Declaration of the registration certificates issued in the name of the company		
17	Declaration of the TREC of their Exchanges		
18	If the Applicant is a TREC holder of CSE/DSE, how many branches have got approval from BSEC with address.		
19	Declaration of Logistics/Utilities	About Telephone, Fax, Email, Phphotocopier etc.	
20	Latest CDBL Clearance		
21	Inspection Report of Exchange		
22	Certificate/Declaration of the stock exchange to the effect that the required logistics and staff resources and other prerequisites of the stock broker exist at the proposed branch or will be available prior to the operation the the branch		

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