

Checklist for Registration of Trustee

Name of the Company			MOA
Date of Application			
Applied for	Registration as trustee under the সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সম্পদ ভিত্তিক সিকিউরিটি ইস্যু) বিধিমালা, ২০০৮		
Authorized Capital			MOA
Paid-up Capital			Audit Report
Net Worth			
Date of Audited Accounts			
CIB Status			

SL No	Requirements	Reference: সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সম্পদ ভিত্তিক সিকিউরিটি ইস্যু) বিধিমালা, ২০০৮	Rule of Thumb	Status	Page No.	Remarks
Eligibility Criteria (Rule: 3)						
1.	Whether the applicant is a company or statutory body, bank or financial institution	6(2)	Yes	Yes		
2.	Whether the applicant has adequate paid-up capital and net-worth	6(4)(1)(Ka)	<i>Paid up Tk. 1.00 crore Net-worth Tk. 80.00 lac</i>	Yes		
3.	Whether the company or its directors or its sister concerns are significantly related to the issuer or sponsor	6(4)(1)(Kha)	No	Yes		
4.	Whether the applicant has arranged sufficient office space and logistics	6(4)(1)(cha)	Yes	Yes		
5.	Whether the applicant appoints a Chief Executive Officer having at least five years relevant Professional experience	6(4)(1)(Cha)	Yes	Yes		
	Whether the applicant appoints a compliance officer having at least graduation degree	6(4)(1)(Ja)	Yes			
6.	Whether the company is related to the activities of securities market, in this respect any negligence or inefficiency found to discharge that responsibility.	6(4)(1)(Umo)	Yes	Yes		
7.	Whether the applicant or its directors are loan defaulters	6(4)(1)(Ga)	No	No		
Annexure						
1.	Application in prescribed form	Form "Ka"	Yes	Yes		
2.	Application fee of Tk.5,000/-		Yes	Yes		
3.	Memorandum and Articles of Association certified by RJSC and attested by the CEO		Yes	Yes		
4.	Attested copy of Certificate of Incorporation certified by RJSC		Yes	Yes		
5.	Certificate of commencement of business certified by RJSC		Yes	N/A		
6.	RJSC certified copy of Particulars of Directors (Form-XII)		Yes	Yes		
7.	Certified copy of return of allotment of shares/annual summary of share capital;		Yes	Yes		
8.	Latest audited Financial statements		Yes	Yes		
9.	Attested copy of Resolution of the board of directors deciding to act as trustee.		Yes	Yes		
10.	Organizational Chart/Organogram		Yes	Yes		
11.	An affidavit to the effect that neither the applicant nor any of its directors or sister concerns anyway related with the issuer and any negligence or inefficiency found to discharge the responsibility if the company is related to the activities of securities market,		Yes	Yes		
12.	Banker's certificate/auditors' certificate/ Audit Report in favor of paid-up capital		Yes	Yes		
13.	Applicant core business license		Yes	Yes		
13.	Declaration as reputed organization		yes	yes		

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14.	Description of manpower and logistic support to discharge its duties as a Trustee;		Yes	Yes		
15.	Bio-data of the Chief Executive Officer and Compliance Officer		Yes	Yes		
16.	Appointment letter of Chief Executive Officer and Compliance Officer		Yes	Yes		
17.	List of support stuff with short profile		Yes	Yes		
18.	CIB undertakings, where applicable		Yes	Yes		