

Checklist for Registration of Merchant Banks

Name of the Company			
Date of Application			
Applied For			
Authorized Capital			
Paid-up Capital			
Net Worth			
Date of Incorporation			
Date of Commencement of Business			
Date of Audited Accounts			
CIB Status			

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SL. No.	Requirements	Reference (Merchant Banker & Portfolio Manager Rules, 1996)	Rule of Thumb	Status	Page No.	Remarks
1.	Application in prescribed form along with declaration attached thereto	For Merchant Banker "Form-Ka"	Yes			
2.	Application fee of Tk.1,00,000/-		Yes			
3.	Memorandum and Articles of Association certified by RJSC and attested by the CEO		Yes			
4.	Certificate of Incorporation certified by RJSC and attested by the CEO		Yes			
5.	Certificate of commencement of business certified by RJSC and attested by the CEO	For public limited companies	Yes			
6.	RJSC certified copy(s) of Return of Allotment of Shares (Form-XV) attested by the CEO		Yes			
7.	RJSC certified copy of Particulars of Directors (Form-XII)		Yes			
8.	Extract of Board Resolution attested by CEO		Yes			
9.	Organizational Chart/ Organogram		Yes			
10.	Bio-data of the Directors as per application format	Form Ka/Ga	Yes			
11.	Bio-data of the CEO as per application format	Form Ka/Ga	Yes			
12.	Bio-data of other executives as per application format	Form Ka/Ga	Yes			
13.	Description of Parent/ Subsidiary/Sister concerns along with Schedule X and Form XII as per application format.	Form Ka/Ga	Yes			
14.	Description of business as per application format	Form Ka/Ga	Yes			
15.	Audited/Un-audited Financial statements	Form Ka/Ga	Yes			
16.	Banker's certificate/ auditors' certificate in favour of paid-up capital and net worth		Yes			
17.	List of shareholders holding shares of 5% and above	Form Ka/Ga	Yes			
18.	CIB undertaking by the company and all directors		Yes			
19.	Affidavit by all directors as per Rule 5(Gha)		Yes			
20.	Office layout and description of logistics		Yes			
21.	Description of key employees along with experience		Yes			
22.	Appointment letter of Compliance Officer with terms and conditions		Yes			
Additional requirements (if any)						
1.	Strategy and Business Plan					
2.	Credit rating report					