

Ref: 08-09/ISS/ 803 /KS
June 17, 2008

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**All Registered Intermediaries of ISE Securities & Services Ltd. ("ISS")
Administrators/ Executive Director of Participating Exchanges, Co-ordination Officers at Participating Exchanges/
Regional Administrative Offices**

Dear Sir / Madam,

Sub: Submission of Change in Designated Directors and shareholding pattern to be informed to ISS.

With reference to NSE's letter Ref. No. NSE/MEM/SUB-BKR/70363-J dated April 03, 2008, regarding submission of change in Designated Director; we would like to inform our Registered Intermediaries (RI) that in case of any change in Designated Director and shareholding pattern, the sub-broker and the client (in case of corporate) should ensure the change in the Designated Director and shareholding pattern are intimated to ISS.

Following are the procedure for change in Designated Directors:-

- Change in Designated Directors without change in controlling interest
 1. Copy of Form 32 and Board Resolution for appointment of director.
 2. Shareholding pattern (**Present and Proposed**)
 3. Dominant shareholding pattern
 4. Turnover Certificate
 5. Personal details of new Directors (Proof of age, qualification, experience)
- Change in Designated Directors with change in controlling interest
 1. Personal details of new Directors (Proof of age, qualification, experience)
 2. Copy of Form 32 and Board Resolution for appointment of director.
 3. Shareholding pattern (**Present and Proposed**)
 4. Dominant shareholding pattern.
 5. Turnover Certificate.
 6. Application cum undertaking for change in controlling interest.
- Change in Directors other than Designated Directors
 1. Copy of Form 32 and Board Resolution for appointment of director.
 2. Shareholding pattern (**Present and Proposed**)
 3. Dominant shareholding pattern.
 4. Turnover Certificate.
 5. Personal details of new Directors (Proof of age, qualification, experience)

Further as per Exchange Regulations any changes in the financial information as provided by the client in the KYC, should also be intimated to ISS, immediately.

We request all RI to ensure compliance with the aforesaid requirement.

Thanking you,

Yours faithfully,

For **ISE SECURITIES & SERVICES LTD.,**

Kevin. M. N. Sunder
Head Client Registration Dept.

Encl: Shareholding Pattern for Corporate
Details of Dominant Group for corporate
Details of Directors

Shareholding Pattern (For Corporates)

Shareholding Pattern of _____ (name of Dealer/Trader)
as on _____

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity/preference shares)

Sr. No.	Name	Number of shares held	Face value per share	Amount Paid up (Rs. in lakh)	% of total
1					
2					
3					
4					
5					
6					
7					
8					
Others					
TOTAL					100.00

NOTES:

1. In case of all corporate shareholders of the Trader/Dealer, the details of their shareholding shall also be furnished in the same format as given above
2. In case of HUF, give names of Karta and co-parceners.
3. Persons holding 2% or more of the paid up capital should be shown separately and not clubbed in Others.

Date:

Place:

Authorised Signatory/Partner(s)/Director(s)

CERTIFICATE

This is to certify that the shareholding in _____ (Trade Name of Trader/Dealer) as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

Date:

For (Name of Accounting Firm)

Name of Partner/Proprietor
Chartered Accountant
Membership Number

Details of Dominant Group (For Corporates)

Domiant Group of _____ (name of Dealer/Trader)

as on _____

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity/preference shares)

Sr. No.	Name of dominant shareholder	Person (s) supporting dominant shareholder	Relation	No. of shares held	Total Amt paid up	% of Total		% of Total
						Self	Relative	
1	A							
		A1						
		A2						
2	B							
		B1						
		B2						
3	C							
TOTAL								

Notes:

- (1) Relation – Please mention the relationship of the person supporting the dominant shareholder.
- (2) For each person mentioned in the relation column, submit the undertaking as per the prescribed format.

Date:

Place:

Authorised Signatory/Partner(s)/Director(s)
CERTIFICATE

This is to certify that the shareholding in _____ (Trade Name of Trader/Dealer), based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

Date:

For (Name of Accounting Firm)

Name of Partner/Proprietor
Chartered Accountant
Membership Number

DETAILS OF DIRECTORS
AS ON _____

Sr. No.	Name	Designation	Experience (in years)	Qualification	Shareholding % of total	Date of Birth	Residence Address/ Tel. No./ Mobile No.	Fathers Name	Directorships/ Controlling Shareholding in other companies
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1									
2									
3									
4									
5									

Name of two Designated Directors from above:	1	
	2	

NOTES :

- (1) Designation – Please specify whether the Director is a Managing Director or Wholetime Director or Executive Director or Non-Executive Director or Executive Chairman or Non-Executive Chairman
- (2) Experience – Please enter no. of years experience in securities market
- (3) Designated Directors – Mention the name of Designated Directors as approved by the Screening Committee of ISE.

Date:

Place:

Authorised Signatory/ Director(s)

CERTIFICATE (for corporates only)

This is to certify that the shareholding in _____ (Trade Name of Trader/Dealer) as given above, based on my/our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor
Chartered Accountant
Membership Number