



Proforma 1-12 and Additional Information Sheet-To be furnished for registration for application

ADDITIONAL INFORMATION SHEET

PROFORMA I

DETAILS OF OFFICE SPACE TO BE USED FOR RTI/STA ACTIVITIES

Sr. No.	Description	Location A	Location B	Location C
a)	Address			
b)	Carpet area (in Sq. Ft)			
c)	Ownership/ lease details			
d)	Residential /commercial area			
e)	Area earmarked for RTI/STA activities (in Sq. Ft.)			
f)	Whether permission of municipal corpn/local			

	authority obtained, if necessary.			
g)	If office is shared or for any other purpose / business with any other party, give details			
h)	If premises is owned give written down value as per last balance sheet.			

NOTE :

- Above details to be furnished in respect of offices at all locations.
- Certified copies of relevant sale deed / lease deed/rental agreement / leave and licence agreement in respect of each of the premises are to be enclosed without fail. Where the premises has been taken on sub-lease / sub-licence of sub-rental basis, consent of the landlord / owner shall also be submitted.
- Permission of municipal / local authorities are to be furnished wherever the premises is not in commercial area. No objection certificate from the relevant housing / cooperative society for carrying on business activities from such premises should also be furnished.
- If any of the premises is shared with any other person, written agreement with such person indicating material terms such as area available for the applicant, period of agreement, sharing of other expenses shall be furnished. Consent of the landlord / owner of the premises for such sharing of the premises shall also be submitted.

PROFORMA 2

DETAILS OF TELECOM FACILITIES TO BE USED FOR RTI/STA ACTIVITIES:

a)

Telephone Nos. Telex/Fax Nos.	Availability of STD (Yes/No)	Ownership	If not owned, whether you have written arrangement	Location where installed

b) If fax is owned, indicate WDV as per last balance sheet.

c) New connections applied for if any by applicant in its name.

NOTE

- State specifically the location of office where each telephone /fax/telex is installed.
- Submit copies of telephone/telex/fax bills for verification.

- If facilities are not owned, written agreement with owner of the facilities, indicating consent, period and other terms shall be furnished.

PROFORMA 3

DETAILS OF OTHER EQUIPMENTS/FACILITIES INSTALLED AS THE OFFICE PREMISES TO BE USED FOR RTI/STA ACTIVITIES:

Sr.No.	Description	Location where installed	Number
a.	Storage	Steel Cupboards	
		Wooden Cabinets	
b.	Fire proof cabinets		
c.	Fire extinguishers		
d.	Franking machines		

NOTE

- State WDV of above assets as per last balance sheet. If any of the owned assets are acquired on second hand basis, give details.
- If any of the above facilities are taken on lease / hire purchase / rental basis, certified copy of the relevant agreement should be furnished.
- Copies of all insurance policies are to be furnished.
- Submit proof of purchase / installation of the above equipment.
- Provide details of insurance cover available.

PROFORMA 4

Details regarding Directors/Partners/Proprietor:

Sr. No.	Name	Qualifications	Background	Experience	Type of Directorship (Whole time/Part time)	Whether in full time employment elsewhere.

- If any of the Directors/Partners are the proprietors either members of a professional body (like ICAI, ICSI etc.) furnish permission of the council of the professional body for such director/partner or proprietor engaging in the activities of the applicant and for acting as a director in case the applicant is a Body Corporate.

Details regarding Key Management Personnel:

Sr. No.	Name	Qualification	Location where they are employed	Experience in RTI/STA activity or in EDP activity.

- Submit proof of acceptance of appointment letters and salary slip.

Details about other employees:

Sr. No.	Type of employment	No. of employees	Assigned to activity	Experience
1.	Permanent			
1.	Temporary			
1.	Casual			

PROFORMA 5

DETAILS OF COMPUTER HARDWARE INSTALLED AT THE OFFICE PREMISES TO BE USED FOR RTI/STA ACTIVITY:

Micros:

Vendor /Year of Purchase	Model	No. of Units	CPU Speed	RAM	Cache Memory (if any)	Hard Disk Capacity	Location where installed

Back up facility for Micros:

	Built in CTDs	External CTDs	Steamer Drives	Tape	Any other	Location where installed
Nos.						
Capacity						
Make						

Large Systems:

Vendor/Year of Purchase	Model CPU Memory	Other Architectural Details	No. of Hard Disks and Capacity	Location where installed

Warranty, Maintenance and Insurance:

1. i. Are your systems (including printers) under vendor's warranty or A.M.C.? If under Third Party Maintenance mention the name of TPM Company.

1. ii. Equipment-wise expiry dates of warranty or A.M.C.

1. iii. Are your systems, equipment and date are insured under the Electrical Equipment Insurance Policy?

If Yes, give details

Policy No.	Year Insurance	Company	Value

General :

1. i. Are your systems exclusively dedicated for Registration and Share Transfer Work.

If not, please mention the total system utilisation vis-à-vis System utilisation for Registration and Share Transfer work.

1. ii. Are you using network in your organisation?

	YES	NO
LAN		
WAN		

1. iii. How many codes/points are under networking?

LAN

WAN

Software Environment:

I Application Software for (mention Vendor's name wherever applicable) RTI/STA activities

Development in house :

Packaged software :

Customised software :

Any other :

II Processing –

Batch :

On-line :

NOTE:

- Submit proof of purchase / installation of computers & printers.
- Submit print-outs of application software for RTI/STA activities.
- Indicate whether each of the computers/printers etc. are owned or taken on lease or under any other arrangement. If taken on lease/other arrangement, furnish copy of the lease agreement/relevant documents.

- Indicate cost/Written Down Value of each item as per last balance sheet.
- Indicate approximately the no. of applications and/or the no. of folios that may be handled at a time by you given the existing processing facilities with you.
- Give details of utilisation of computers/printers etc. for each of your activities separately.

PROFORMA 6

Please ensure that Main Objects Clause of your Memorandum of Association permits you to conduct the activities of Registrar to an Issue and Share Transfer Agent. Certified copy of MOA highlighting the specific clause to conduct the proposed activities should be submitted.

PROFORMA 7

Format of Auditor's Certificate:

"Having examined the books of accounts and on behalf of information furnished to us, we certify that the networth of M/s. ___ as on is as follows :

Rs.

a)	Paid-up Share Capital	
b)	Free Reserves & Surplus	
c)	Profit up to	
	SUB TOTAL (A)	
Less		
d)	Debit balance in P & L account	
e)	Loss up to	
f)	Misc. exp. not written off	
g)	Prelim. exp. not written off	
h)	Intangible assets (specify)	
	SUB TOTAL (B)	

NET WORTH = A – B =”

DATE

PLACE

AUDITORS

PROFORMA 8

DETAILS OF BRANCH/NETWORK AND OTHER INFORMATION:

- (a) Details of branch offices, facilities available thereat, activities carried on therefrom.
- (b) Details of representative offices
- (c) Whether applicant has arrangements for collection of data/application from mandatory centres and major centres.
- (d) Details of arrangements with outside Agencies for data entry & mailing.
- (e) In the case of Share transfer work, arrangement for despatch/ mailing of share certificates, dividend/interest warrants, annual reports etc.

NOTE :

- If you have agents/representatives for collection of data/application, furnish a list of such persons together with certified copies of the agreements entered into with each of them.
- If you propose to use outside agencies for data entry, mailing, despatch, give details and submit certified copies of agreements entered into with each of them.

PROFORMA 9

If any of the facilities mentioned in the earlier pages are being used for any other business being carried out by you, please give details thereof. If registration is granted as RTI/STA, please specify how these facilities would be spared for RTI/STA activities. (Please do not leave it blank and details must be given).

PROFORMA 10

DECLARATION TO BE FURNISHED UNDER SIGNATURE OF TWO DIRECTORS/PARTNERS OR BY THE PROPRIETOR.

WE hereby declare and confirm that:

No winding up order has been passed against the applicant.

No orders under the Insolvency Act have been passed against the applicant or any of its directors, or person in management in the preceding five years.

No order has been passed by any regulating authority, canceling or debarring the applicant from permanently carrying on activities in the financial sector.

No order, withdrawing or refusing to grant any license / approval to the applicant, which has a bearing on capital market, has been passed against the applicants by any other regulatory authority in the preceding five years.

The applicant company its promoter/s, director/s, partner/s or employee/s, or its group companies, are not involved in any litigation connected with the securities market and there are no charges against them as on date.

The applicant, its director/s, partner/s and/ or its group companies are not facing any charges/ disciplinary action from any stock exchange.

The applicant company, its associate/s, its director/s, partner/s or principal officer is not involved in the securities scam and have not received any communication from the Janakiraman Committee. (If involved, detailed comments may be forwarded).

None of the promoter/s, director/s of the applicant or its group companies or any other person directly or indirectly connected with the applicant has applied or been granted registration to act as Registrar to an Issue and/or Share Transfer Agent or is/was associated with a Registrar to Issue / Share Transfer Agent registered with SEBI. If yes, whether the certificate of registration of that Registrar to Issue / Share Transfer Agent was suspended or cancelled.

None of the promoter/s and/ or director/s was associated with an applicant whose application for Registrar to an Issue /Share Transfer Agent certificate was rejected by SEBI

The applicant or its Directors/Partners/Proprietor or any of the Principal Officers of the applicant, have not at any time been convicted for any offence involving moral turpitude or found guilty of any economic offence.

The information supplied through different proforma and information supplied in the application form is true, complete and correct. We shall produce the entire infrastructure as mentioned in different proformas enclosed herewith at the time of surprise inspection by SEBI. In case of any information found to be incorrect, we understand that our application for registration would be rejected.

We will promptly notify the Board of any change in the information during the period that our registration is being considered and if our registration is accepted, thereafter.

We understand that misleading or attempting to mislead the Board by giving incomplete/wrong information shall render the applicant liable to disciplinary proceedings.

PLACE:

DATE

SIGNATURE

SIGNATURE

(NAME)

(NAME)

PROFORMA 11 – R PART I

TRACK REORD : REGISTRAR TO AN ISSUE ACTIVITY

Following details in respect of each issue handled during the period to be furnished:

1	Sr. no.
2	Name of the Issuer company
3	Details of issue (Type, no. of securities and offer price)
4	Date of Agreement with issuer company
5	Name of Lead Manager responsible for pre and post-issue work.
6	Date of opening of the issue
7	Date of closure of the issue
8	No. of times issue subscribed
9	No. of applications received
10	No. of applications rejected
11	Date of finalisation of basis of allotment
12	Date of allotment
12. a	No. of days taken from date of closure of issue to date of allotment.
13	No. of allottees (give stock-invest allottees separately)
14	Date of despatch of letters of allotment/share certificates
14. a	No. of days taken for despatch from date of allotment
15	Date of despatch of Refund orders.
15. a	No. of days taken for despatch from date of allotment
16	Date of despatch of letters of allotment/share certificates to stock invest allottee.

16. a	No. of days taken for despatch from date of allotment.
17	Date of despatch of non-allottees stock invests.
17 a.	No. of days taken for despatch from date of allotment.
18	Whether despatches of LA / SC / RO made by registered post.
19	Enclose a copy of letter furnished to stock exchanges stating the date of despatch of share / debenture certificate / allotment letters for purpose of listing.

PROFORMA 11 – R : PART II

STATUS OF REDRESSAL OF INVESTORS' GRIEVANCES

Details to be furnished:

Name of Issue

		TY I	TY II	TY III	TY IV	TOTAL
1.	Number of complaints received (from SEBI separately)					
2.	Complaints redressed (from SEBI separately)					
i)	30 days					
ii)	30 – 60 days					
iii)	Above 60 days					
3.	Complaints pending (from SEBI separately)					
i)	Within 30 days					
ii)	30 – 60 days					
iii)	Above 60 days					
4.	Reasons for pending and action proposed for resolving:					
5.	Number of times appearing in fortnight press release on investor complaints issued by SEBI.					

NOTE : CLASSIFY COMPLAINTS AS UNDER

TYPE I :	Non-receipt of refund orders/allotment letters/stock invest.
TYPE II :	Non-receipt of dividend/interest on shares/debentures, fixed deposits, non-receipt of maturity amount on debentures/fixed deposits.
TYPE III:	Non-receipt of shares/debentures certificates.
TYPE IV:	Non-receipt of annual reports, right forms, bonus shares/interest on delayed receipt of refund order/dividend and interest.

PROFORMA 11 - S PART I

TRACK RECORD: SHARE TRANSFER AGENT ACTIVITY

Following details in respect of each company whose share transfer work is handled by you.

1.	S. No.
2.	Name of Company
3.	Date of agreement with company
4.	Date of appointment as STA
5.	No. of folios held
6.	State whether STA authorised by company to authorise endorsement / transfer on scrips.

7.			Endr.	Trfr.	Trmn.	Con/Sdn.	Others
	a)	i)	No. of requests recd.				
		ii)	No. of shares involved				
	b)	i)	No. of requests processed, effected, despatched				
		ii)	No. of shares involved				
	c)		Time taken				
		i)	Upto 30 days				
		ii)	30-60 days				
		iii)	Above 60 days				

1. Reasons for delay for cases in 7 (c) (iii)

NOTE :

Endr :	Endorsement of allotment / call money
Trfr :	Transfer
Trmn :	Transmission
Con/Sdn :	Consolidation / Sub-division
Others :	State specifically

For column 7 (c) time taken is to be calculated from the date of receipt of request either by the STA or Body Corporate whichever is earlier up to the date of despatch.

PROFORMA 11 – S : PART II

STATUS OF REDRESSAL OF INVESTORS' GRIEVANCES

Details to be furnished

a. Name of Company

b. No. of folios held

		TY I	TY II	TY III	TY IV	TOTAL
1.	Number of complaints received (from SEBI separately)					
2.	Complaints redressed (from SEBI separately)					
i)	30 days					
ii)	30 – 60 days					
iii)	Above 60 days					
3.	Complaints pending (from SEBI separately)					

i)	Within 30 days					
ii)	30 – 60 days					
iii)	Above 60 days					
4.	Reasons for pending and action proposed for resolving:					
5.	Number of times appearing in fortnight press release on investor complaints issued by SEBI.					

NOTE : CLASSIFY COMPLAINTS AS UNDER

TYPE I :	Non-receipt of refund orders/allotment letters/stock invest.
TYPE II :	Non-receipt of dividend/interest on shares/debentures, fixed deposits, non-receipt of maturity amount on debentures/fixed deposits.
TYPE III:	Non-receipt of shares/debentures certificates.
TYPE IV:	Non-receipt of annual reports, right forms, bonus shares/interest on delayed receipt of refund order/dividend and interest.

PROFORMA 12

Proprietary Concern

If the applicant is a proprietary concern then following information are to be furnished:

- Name of the proprietor
- Name of the entities promoted by the proprietary concern
- Name of the other entities promoted by the proprietor
- If any of the entities promoted by the proprietor/proprietary concern is registered with SEBI as an intermediary then following details are to be furnished

Name of the entity	Type of intermediary	Registration No.

- Details of action taken by SEBI, other regulators, if any and Govt. bodies/pending enquiries/investigations

related to securities market for each of the above entities to be disclosed.

Partnership Firm

If the applicant is a partnership firm then following information are to be furnished:

▪ Name of the partners

- Stake of the partnership firm held by each partner
- Name of the other entities promoted by the partnership firm
- Name of the other entities promoted by the partners
- If any of the entities promoted by the partners/partnership firm is registered with SEBI as an intermediary then following details are to be furnished

Name of the entity	Type of intermediary	Registration No.

- Details of action taken by SEBI, other regulators, if any and Govt. bodies/pending enquiries/investigations related to securities market for each of the above entities to be disclosed.

Body Corporate

If the applicant is a body corporate then following information have to be furnished:

- Shareholding pattern
- Name of the promoters
- Name of the subsidiaries
- Name of the group companies/associates.
- If any of the promoters/subsidiaries/group companies/ associates is registered with SEBI as an intermediary then following details are to be furnished

Name of the entity	Type of intermediary	Registration No.

- Details of action taken by SEBI, other regulators, if any and Govt. bodies/pending enquiries/investigations related to securities market for each of the above entities to be disclosed.

ADDITIONAL INFORMATION SHEET:

1. Whether you have complied with the terms and conditions mentioned in the registration letter?
1. Whether you have complied with the SEBI (Registrar to an Issue and Share Transfer Agents) Rules and Regulations, 1993' and the guidelines issued by SEBI from time to time.
1. Whether you have entered into agreements with issuers/client companies?
1. Whether you have connectivity with NSDL/CDSL?
1. Whether you or any of your associate/group company /concern or any company/concern in which you/your director is a proprietor/partner/director is involved is also registered with SEBI as a RTI/STA and if so the following details are to be furnished;

Name of the company/ Concern	Category registered SEBI Regn. No.	Any warning given/penal action taken/investigation/ enquiry initiated /pending

1. Whether you or any of your associate/group company /concern or any company/concern in which you/your director is a proprietor/partner/director is involved is also registered with SEBI under any other regulations, eg. (Merchant Banker/Broker and Underwriter) and if so the following details are to be furnished;

Name of the company/ Concern	Category registered SEBI Regn. No.	Any warning given/penal action taken/investigation/ enquiry initiated /pending
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1. Whether your activity is being supervised by any other regulatory body (RBI, IRDA etc.)?

1. Whether any investigation/ enquiry has been initiated/ is pending against you.

1. Whether you have submitted all the quarterly reports for the last 3 years.

10. Any warning given/penal action taken against you in the last 3 years.

11. Name of compliance officer:

12. Whether you have paid the fees due to SEBI in the last 3 years. Give details of payment.

13. Details of Issues :

- Name of all Issuers, nature and size of issue for last 3 years.
- Whether the Issue activities were completed and SC/RO despatched on time.
- Indicate in any issue, any order was passed enquiry / investigation was initiated/pending with SEBI/Stock Exchanges other authorities.
- Any issues refunded, if refunded on SEBI order indicate the same.

1. Details of STA :

- Names of client companies folios of each and total folios as of date.
- Whether transfers effected within 30 days (during last 1 year).

In case of delay in any company, reasons for the same.