

Replies to Queries raised by various brokers

Sr. No.	Queries	Replies						
1	We have a membership of BSE , but the same has not been activated yet. Would that suffice your requirement for empanelment ?	YES						
2	Is Smart Order Routing a compulsory criteria ?	YES						
3	Is having DMA utility mandatory?	YES						
4	<p><u>Submission of Audited figures:</u></p> <p>A The Net Worth as at 31.03.2023 - Can we provide the Figures as per Provisional Balance Sheet?</p> <p>B If in case Audited Annual Report and Networth Certificate for the FY : 2022-23 are not ready by last date of submission, can we complete the empanelment process and the above documents be submitted on a later date once they are ready.</p> <p>C <u>Point No.10</u> Please note for the below in Point No.10, we shall be submitting Provisional Networth Certificate as on 31.03.2023 based on unaudited financials and Unaudited Profit and Loss Account of FY 2022-2023 as these documents will not be ready at the time of submission of our Application. We shall provide the same as and when the same are finalized.</p> <table border="1" data-bbox="320 1339 868 1597"> <thead> <tr> <th>Criteria</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Net-worth</td> <td>As per L C Gupta Committee Report as on 31.03.2023</td> </tr> <tr> <td>Profitability</td> <td>Shall be verified from audited Profit and Loss account of FY 2022-2023</td> </tr> </tbody> </table> <p>D As per Point No. 12, we are supposed to submit Networth Certificate as per L C Gupta method or as per standard format or both types.</p>	Criteria	Details	Net-worth	As per L C Gupta Committee Report as on 31.03.2023	Profitability	Shall be verified from audited Profit and Loss account of FY 2022-2023	<p>Please submit all Audited figures for FY ended 31.03.23 for the following:</p> <ul style="list-style-type: none"> - Annual Report - Net Worth - L C Gupta Report
Criteria	Details							
Net-worth	As per L C Gupta Committee Report as on 31.03.2023							
Profitability	Shall be verified from audited Profit and Loss account of FY 2022-2023							
5	The Application Form is in PDF Format. Request if we can get the same in editable version or Word or Excel Format.	No						
6	Can we submit undertaking from Authorised signatory of the Company with regards to any action initiated by SEBI or any other Regulatory Authority etc..	YES						

<p>7</p>	<p>Point No.12 Brokerage Payable to empanelled brokers</p> <p>The brokerage mentioned 0.08% plus GST. Please clarify whether the following charges are included or excluded in the calculation of 0.08%.</p> <ol style="list-style-type: none"> 1. STT 2. Exchange Transaction charges 3. SEBI Turnover Fees 4. Stamp Duty 	<p>The rate of brokerage shall not exceed 0.08% which will be inclusive of GST on brokerage, stamp duty and STT.</p>
<p>8</p>	<p>In below point no 10. Total Turnover includes CASH + FNO TOTAL or CASH ONLY.</p>	<p>Turnover for CASH segment only</p>
<p>9</p>	<p>Details of the firm, directors and/or Dominant Promoter Group Members and KMP with proper documentation.</p>	<p>Refer to Point no. 15 in the Application form</p>