

1. Request from Trading Member for surrender of registration of sub-broker.
2. Application from Sub-broker for surrender of registration, in the format given as [Annexure](#). Please note that the said format includes a clause requesting to dispense with the procedure laid down in the SEBI (Procedure for Holding Enquiry by Enquiry Officer and Imposing Penalty) Regulations, 2002 as amended vide SEBI (Procedure for Holding Enquiry by Enquiry Officer and Imposing Penalty) (Second Amendment) Regulations 2004 notified on September 2, 2004. The said clause may be retained while making the application at the option of the applicant sub-broker.
3. Copy of public notification intimating the investors/general public of the surrender, issued in the local newspaper where the sub broker's registered office, Head Office/Corporate office is situated and another in English daily news paper with wide circulation.
4. SEBI registration certificate of the sub-broker in original. In case the original certificate is lost, an affidavit to SEBI in this regard by the concerned trading member and the sub-broker separately on stamp paper of appropriate value, duly notarised.

Application for cancellation of sub broker registration
(kindly read the instructions before filling the application)

**To,
Membership Department
National Stock Exchange of India Ltd
Exchange Plaza, BKC
Mumbai**

Dear Sir/Madam

Reg: Application for Cancellation of SEBI Registration by our Sub Broker (name) _____ having SEBI Registration number _____.

We hereby confirm that:

1. The above mentioned sub-broker has been disabled from trading.
2. No _____ complaint/ _____ arbitration/disciplinary proceeding/investigation/inquiry is pending against the sub-broker with the exchange. There is no liability in any form against any of our clients by the sub broker.

3. In case future liability if any arises, the same would be settled by us.
4. As on date of application, the sub-broker , has paid fees as per Schedule III (II) of the Regulations, along with interest, if any till the date on which the exchange has de-recognized the sub broker.
5. An amount of Rs. 1103/- inclusive of service tax @ 10.3% can be debited from our Exchange Dues Account towards processing fees.

Thanking you,

Yours faithfully,

For (Name of Trading member)

Authorised Signatory

To be signed by sub broker

For (Name of sub broker)

Authorised Signatory

Date

- To be given on Letterhead of Trading Member.
- This application can be submitted by the trading member only in case the member desires to cancel the sub broker registration after SEBI has granted registration to the sub broker application.