(On the letter head of the member)

**Appointment / Change in Compliance Officer**

Date:

To

Membership Department

Metropolitan Stock Exchange of India Limited,

205A, 2nd Floor, Piramal Agastya Corporate Park, Kamani Junction,

L.B.S Road, Kurla West, Mumbai - 400 070

Dear Sir/ Madam

**Sub: Appointment / Change in Compliance Officer**

**Ref :** SEBI Registration No. INZ\_\_\_\_\_\_\_\_\_\_\_\_\_

Other Membership details:

|  |  |
| --- | --- |
| **Member ID** | **Name of the Exchange / Clearing Corporation / Depositories** |
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I/We have appointed new Compliance officer as per the provisions of the Regulation 18A of the SEBI (Stock Brokers) Regulations, 1992. Details are given as per following table.

|  |  |
| --- | --- |
| **Name of Compliance Officer** | |
| First Name |  |
| Middle Name |  |
| Last Name |  |
| Father Name |  |
| Mobile Number |  |
| Telephone Number (Direct)/Board with Extn |  |
| Date of Birth |  |
| PAN |  |
| Aadhaar Number (Optional) |  |
| Qualification |  |
| E-mail id 1 |  |
| E-mail id 2 |  |
| Appointment Date |  |
| Date of passing NISM series IIIA Certification |  |
| Valid Till |  |
| Undertaking for obtaining NISM III A series certification (Y/NA)Refer Note 1 |  |
| **Residence Address** | |
| Address Line 1  Address Line 2  City  State or Union Territory  PIN Code  Res. Telephone |  |
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| **Office Address (where the Compliance Officer is available)** | |
| Address Line 1  Address Line 2  City  State or Union Territory  PIN Code |  |
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*Note 1 -To be given if the compliance officer has not obtained NISM Series III A certification at the time of employment and the period of one year from the date of employment is not lapsed in accordance with The Gazette of India notification dated 11-March-2013 issued under Regulation 3 of SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007*

I / We confirm that Mr./Ms\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ appointed as Compliance officer is ‘fit and proper person’ as per Schedule II of SEBI (Intermediaries) Regulations, 2008 and SEBI (Stock Brokers) Regulations, 1992 as amended till date including with reference to following criteria:

1. integrity, reputation and character;
2. absence of conviction and restraint orders;
3. competence including financial solvency and net worth;
4. absence of categorization as a wilful defaulter.

I / we hereby confirm that all the above details are true and correct. I / We undertake to intimate the Exchange as and when there is any change in the aforesaid information submitted to the Exchange.

Yours faithfully

For \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of the member) For \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of the member)

Name and signature of Authorized Signatory Signature of the Incoming Compliance Officer

Designated Director/Partner / Managing Partner / Proprietor

**Enclosed:**

1. Copy of PAN card duly certified by the member.
2. NISM Series IIIA certificate or; Undertaking as per Note 1.
3. Copy of Bio Data (including Previous Employment Details, if any,)