

## Schedule - 1

[Regulation 27, sub-regulation (2)]

### Application for Registration as Depository Participant

[In case of statutory organizations, banks or insurance companies, stock dealers or stock brokers, providing information specified in serial numbers 1 – 7 shall suffice]

1. **Name of the applicant** :
2. **Address of the applicant** :  
(Change in address shall be informed in writing to the Commission and the relevant Depository within three working days)
3. **The Depository in which the applicant desires to be a Participant**
  - a) Name & address : Central Depository Bangladesh Limited  
BSRS Bhaban (18<sup>th</sup> Floor)  
12, Kawran Bazar, Dhaka-1215
  - b) Code Number :
  - c) Date code conferred :
4. **Registration applied for in which category of service provider?** : .....Participant
5. **Legal status of the applicant** : Company / Statutory Organization  
(Cross out not applicable. In case of statutory organizations, banks or insurance companies, attested photocopy of the relevant Act / Registration Certificate and last audited annual report to be enclosed)
6. **Name and authority of the signatory on behalf of the applicant** :  
(Please attach copy of authority)
7. **Applicant's**
  - a) Office Phone, Fax and E-mail :
  - b) Chief Executive Officer's residence  
Phone, Fax and E-mail :
8. **If the applicant is a Company, provide the names, addresses of directors giving details of shareholding or business relationship with any other company / institutions** :
9. **Applicant's experience in the securities business (if any)** :
10. **Net worth of the applicant (as on .....)** :  
[Audited financial statement to be submitted]
11. **Is the applicant; a Merchant Banker, Portfolio Manager, Trusty of a Mutual Fund, Custodian or Asset Management Company?** :

- 12. **At any time has the applicant or any of its directors been penalised under any criminal offences involving forgery, perjury or fraudulent activities? If so, when, where, what type of crime?** :
- 13. **Is the applicant or any of its directors at any time been declared insolvent or of unsound mind by any court? If so, when, where?** :
- 14. **Is the applicant or any of its directors a bank defaulter? If so, which bank and what amount?** :
- 15. **Authorised representative of the applicant (if any)**
  - a) Name :
  - b) Father's Name :
  - c) Permanent Address :
  - d) Current Address :
  - e) Office Address :
  - f) Educational qualification :
- 16. **Number of employees of the applicant** :
- 17. **Other information** :

I declare that, the information stated above are true to the best of my knowledge and belief.

For and on behalf of .....

Date.....

.....  
Seal and signature of the applicant

**Recommendation / Comments of the Depository**

Date:.....

.....  
Seal and signature of the Chief Executive Officer