

### **Advertisement for Empanelment of Brokers for FY2024-25:**

Applications are invited from brokers for fresh empanelment/ renewal of existing empanelled brokers for security transactions of the Bank for the FY 2024-25. Brokerage of 0.10% of traded value shall be paid for equities only as per policy of the Bank. The brokers who are members of recognized stock exchanges such as BSE and NSE for Equity/ Debt transactions may apply in the enclosed formats. Last date for receipt of applications will be 25 days from the date of advertisement on the Bank's website along with required documents. Applications complete in all respect shall reach at the following address on or before the last date. Incomplete applications are liable to be rejected.

On receipt of applications, empanelment / renewal of brokers will be approved by the top management taking into account of the following aspects.

- It should be an Institutional member of the exchange i.e. it should either be a private limited company or a public limited company.
- It should be a member of National Stock Exchange or Bombay Stock Exchange for Wholesale Debt market Segment or Capital Market Segment and should be registered on NSDL STEADY platform. However, if the broker has been debarred from dealing by NSE, BSE, SEBI or any other regulatory authority anytime during the last three years, it will not be eligible for empanelment.
- The broker should have a minimum net worth of Rs.5 crore both for Debt Market & Capital Market.
- The company should have minimum 3 years standing in dealing in Govt. Securities and other Debt instruments & minimum 5 years standing in dealing in Capital Market instruments respectively. The criteria for empanelment of brokers shall include, at the minimum, prior experience, creditworthiness, market reputation and details of regulatory action, if any.
- Assessment of net worth & credibility of each broker shall be done by calling a Questionnaire from Brokers.

**Complete Applications are to be sent to:**

Deputy General Manager,  
Punjab & Sind Bank,  
HO Treasury Department  
III Floor, Bank House, 21, Rajendra Place,  
New Delhi-110008

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**PERFORMA FOR REVIEW OF EXISTING EMPANELLED BROKERS (Performa-I)**

1. Name of the Broking Firm/Co.
2. Full Postal address with Telephone nos/Email ID..
3. Constitution
4. Names, age, qualifications & experience of partners/directors
5. Name, age, qualifications & experience of key professionals employed with the firm/company
6. Whether any fresh membership of stock exchange(s) has been taken (Give Details)
7. Whether you have surrendered/sold the membership of any stock exchange(Give Details)
8. Whether your registration with SEBI is still valid. (Please furnish Regn. No. & Date of SEBI Regn.)
9. Details of membership with Stock Exchanges (NSE/BSE, others – Please enclose copies of membership certificates(not older than 12 months)
10. Details of defaults, if any, committed by you in making payments and/or giving/taking deliveries
11. Turnover for the last three financial years        NSE            BSE            Others      
i)Debt Market  
ii)Capital Market
12. Whether any of your directors/partners/ key professionals have been indicated in Securities scam or other scam. If yes, Details:-
13. Whether any of your directors/partners is related to any of the directors/officials of Punjab & Sind Bank
14. Whether you are operating a Bank account with any of the branches of Punjab & Sind Bank  
If yes, please give details. Also please specify the Nature and amount of credit facility, if any, being availed from Punjab & Sind Bank.
15. Whether the Firm/Company or any partner/director/

Key Managerial Person has been debarred from SEBI/  
any other agency.

16. Net Worth of the firm as per last Audited Balance Sheet:  
(Please enclose Net Worth Certificate in this regard)

17. Whether research reports/ market input reports being  
Circulated on regular basis.

**ESSENTIAL ENCLOSURE:-**

- i) Audited Annual Accounts for the last three years
- ii) Certificate of membership with Stock Exchanges(issued within a period of 12 months)
- iii) SEBI Registration Certificate.
- iv) Net Worth Certificate.
- v) Latest Copies of empanelment letters from other Banks/FIs
- vi) Certificate from respective Exchange that Firm/Co. is not facing any Charges/disciplinary action
- vii) List of Authorized Signatories with designation
- viii) MOA/AOA, Partnership Deed
- ix) Copy of PAN Card
- x) Copy of Service Tax Registration
- xi) Copy of DIR Form if there is change in directorship

**18. CERTIFICATE :-**

This is to certify that the information given above is true to the best of our knowledge and belief and no vital information has been concealed/withheld. We also certify that we not facing any Charges/Disciplinary action on the NSE/BSE & SEBI (Copy of Certificate from respective authorities is enclosed)

Place :-

Date :-

**AUTHORISED SIGNATORIES With Name, Designation Contact Details**

**PERFORMA FOR FRESH EMPANELMENT OF BROKERS**

**(Performa-II)**

1. Name of the Broking Firm/Co.
2. Date of Establishment
3. Full Postal address with Telephone nos/Email ID..
4. Constitution
5. Names, age, qualifications & experience of partners/directors
6. Name, age, qualifications & experience of key professionals employed with the firm/company
7. Whether any fresh membership of stock exchange(s) has been taken (Give Details)
8. Whether you have surrendered/sold the membership of any stock exchange(Give Details)
9. Whether your registration with SEBI is still valid. (Please furnish Regn. No. & Date of SEBI Regn.)
10. Details of membership with Stock Exchanges (NSE/BSE, others – Please enclose copies of membership certificates(not older than 12 months)
11. Details of defaults, if any, committed by you in making payments and/or giving/taking deliveries
12. Turnover for the last three financial years          NSE              BSE              Others    
  - i) Debt Market
  - ii) Capital Market
13. Name(s) of the Bank/Financial institutions in which the firm is empanelled as approved broker and the volume of business done with the last year(Please attach copies of empanelment letters)
14. Whether any of your directors/partners/ key professionals have been indicated in securities scam or other scam. If yes, Details:-

15. Whether any of your directors/partners is related to any of the directors/officials of

Punjab & Sind Bank

16. Whether you are operating a Bank account with any of the branches of Punjab & Sind Bank  
If yes, please give details. Also please specify the Nature and amount of credit facility, if any, being availed from Punjab & Sind Bank.

17. Whether the Firm/Company or any partner/director/ Key Managerial Person has been debarred from SEBI/ any other agency.

18. Net Worth of the firm/company as per Last Audited Balance Sheet:  
(Please enclose Net Worth Certificate in this regard)

19. Whether research reports/ market input reports being Circulated on regular basis

#### ESSENTIAL ENCLOSURE :-

- i) Audited Annual Accounts for the last year
- ii) Certificate of membership with Stock Exchanges(issued within a period of 12 months)
- iii) SEBI Registration Certificate.
- iv) Net Worth Certificate.
- v) Copies of empanelment letters from other Banks/FIs
- vi) Certificate from respective Exchange that Firm/Co. is not facing any charges/disciplinary action
- vii) List of Authorized Signatories
- viii) MOA/AOA, Partnership Deed
- ix) Copy of PAN Card
- x) Copy of Service Tax Registration

#### 20. CERTIFICATE :-

This is to certify that the information given above is true to the best of our knowledge and belief and no vital information has been concealed/withheld. We also certify that we not facing any Charges/Disciplinary action on the NSE/BSE/SEBI. ( Copy of Certificate from respective authorities is enclosed)

Place :-

Date :-

AUTHORISED SIGNATORIES With Name, Designation Contact Details