



भारतीय जीवन बीमा निगम
LIFE INSURANCE CORPORATION OF INDIA

Investment M&A Department 6th floor, Central Office, Yogakshema, Jeevan Bima Marg, Mumbai 400 021.

Broker Empanelment Application form

This application has reference to the broker empanelment with LIC of India advertisement published on 26th May 2022.

S1	Details	Date
1	Notification Publication Date	26-05-2022
2	Last Date of seeking any clarifications	02-06-2022
3	Clarification Publication Date	09-06-2022
4	Last Date of Submission of Completed Application	15-06-2022
5	Declaration of Result	To be decided later

Contact: Back Office , Investment, M&A



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APPLICATION FOR EMPANELMENT AS BROKERS

Notification Reference and Date:

1. Identification

Name of the Entity / Firm/Company	Corporate Identification Number (CIN)	PAN Number	Legal Entity Identifier (LEI) No

Are you already empanelled with LIC: YES / NO

2. Type

Type of Company	Listed Public Limited Private Limited Proprietary <input type="checkbox"/> LLP	Public Limited Partnership Others (¹ Give details)
	Details: _____	_____

Please attach Certificate of Incorporation / RoC Status Details)

3. GST Details

CGST Number	GST Registration Details	
	SGST Number	IGST Number

4. Address - Registered office

Address of the Registered Office			
Phone No. (primary)	Phone No(Alternative)	FAX No.	Email ID

5. Address - Mumbai office

Address of the Mumbai Office <i>(To be filled only if available and is different from above)</i>			
Phone No. (primary)	Phone No (Alternative)	FAX No.	Email ID



6. Registration Details

Stock Exchange	BSE	NSE
a. SEBI Registration Number		
b. Date of Issue of SEBI Registration No.		
c. Exchange Membership No		
c. Number of years of experience as Stock Broker		

7. Membership details of any other Stock Exchange(s) if any:

Name of the Exchange	Membership Number

8. Penalty

Has there been any penalty that was awarded to the entity during immediately preceding or Current Financial year by SEBI, NSE BSE?	YES ²	NO
If "YES", then number of such instances	[] by SEBI	[] by NSE [] by BSE
² Attach Latest Status Report by respective authority give full details like date, amount, and reason for the same		

9. Trade Volume /Turnover (Latest available / Audited Figures)

Financial Year	Volume in Secondary Market (In Crores of Rs.)		
	Cash		F & O
	NSE	BSE	
2021-22			
2020-21			
2019-20			



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10. Distribution of Turnover between segments (Latest available / Audited Figures)

Sl. No.	Financial Year	Total Turnover	Institutional Segement (Banks/FIs/MFs/Ins Cos/DIIs/FIIs/FPIs etc)	Percentage of Inst .to Total
1.	2021-22			
2.	2020-21			
3.	2019-20			

Note: Certificates from Stock Exchanges are to be enclosed.

11. Whether Corporate Income Tax Returns have been submitted for the preceding three years:

2020-2021		2019-2020		2018-2019	
YES	NO	YES	NO	YES	NO
Date (if yes) : ___/___/20___		Date (if yes) : ___/___/20___		Date (if yes) : ___/___/20___	

12. Net Worth

Net Worth as at 31.03.2022 (as submitted to the Stock Exchange/s) In Rs Crores	Absolute:
	Dr. LC Gupta Method:

Note: Certificate on Net-worth is to be Enclosed.

13. Profitability Details (Attach Balance sheet/Income Statement/Free Cash Flow Statement for 3 years)

Sl. No	Financial Year	Net Profit (Rs in Crores)
1.	2020-2021	
2.	2019-2020	
3.	2018-2019	



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14. (a) Shareholding Pattern of broking firm (specifying DPG [Dominant Promoter Holding])

Sl. No	As on 31/03/2022 (Face Value:)		
	Name of Shareholder	No of Shares	% of Total
Total			

- **Enclose Shareholding Pattern of the Broking Firm duly Certified by Statutory Auditors**

(b) Shareholding Pattern of parent / holding company (if applicable)

Sl. No	As on 31/03/ 2022 (Face Value:)		
	Name of Shareholder	No of Shares	% of Total
Total			

- **Enclose Shareholding Pattern of Holding / Parent Company duly certified by Statutory Auditors**



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15. (a) List of Directors with DIN numbers as on 31/03/2022

Sl. No	Name of the Director	DIN Number

(b) Details of Criminal Investigation / Money Laundering / Insider Trading Investigations if any pending against the Directors:

16. (a). Address of Dealing Office/s - Institutional Desk :

where LIC's trades are likely to be executed

(b). Number of dealers in the Institutional Desk:

Details of the Authorised Dealers:

Name	Qualification	Phone No.	Email ID	Mobile No.

(c). Whether Dealers who are authorised to receive Purchase or Sale orders from LIC will be able to **view Live Equity Prices on NSE and BSE : Yes / No**

(d). Name of Service Provider providing Live Equity Prices on NSE & BSE :



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(for example Bloomberg, Cogencies, TickerPlant, Thomson Reuters etc.)

(e). Validity Date for such providence:

(f). Back Office address where LIC's trades are likely to be executed (if same as dealing address, please mention the same)

Back Office contact person/s and contact numbers

Name	Designation	Qualification	Phone No.	Email ID	Mobile No.

(g) **One** Email Address to receive trade confirmation from LIC of India:

17. List of **Top Three financial institutions** including banks, insurance companies and mutual funds, DIIs/FIIs/FPIs with whom you are empanelled with. **(Please attach complete List seperately) :**

Sl. No	Name of the Institution	Date of Empanelment	Empanelled for BSE / NSE / Both



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18. Service Providers for STP:

Sl. No.	Description	License Valid Upto
1	F T	
2	NSE IT	
3	NSDL	
4	Other/s	

19. Whether having SOR (Smart Order Routing) Utility?

Yes / No

20. Whether having DMA (Direct Market Access) / One Touch DMA Utility.

(If yes, please give the Service Providing vendor's name.)

21. Whether any disciplinary proceedings initiated/ imposed/ pending by

Stock Exchange/s, SEBI, CBI or any other regulatory authority:

Yes / No

(If yes, please give full details as under)

Sl. No.	Proceedings initiated by BSE / NSE/ CBI / SEBI/ any other reg. authority	Case details with case number (include Show cause notice SCN also)	Date of action initiated	Penalty imposed (if any)	Present Position

22. (a) Whether any of your group / associate company is empanelled with LIC for

equity trades in cash segment.

Yes / No



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If yes, please provide details as under:

- (i) Name of the company / Broker Entity
- (ii) Name of Exchange
- (iii) Date of Empanelment

22.(b) Details of actions initiated by institutional clients if any:

Sl. No.	Name of Institution	Empanelment Date	Any action initiated by said institution (Full Details)	Present position as on 31.03.2022
1				
2				
3				
4				
5				

23. Details of the **Research Team / Analyst/s** employed in your office with qualifications and Experience in number of years

Sl. No.	Name	Designation	Qualifications	SEBI Regn. No.	Experience

23a. Details of Research Facilities / Research Team

(Please attach one copy of latest Research Report)

- a. Staff strength
- b. Sectors covered
- c. Companies covered
- d. Details of Reports issued during the year



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S No	Sector	Company

e. Frequency of Research Report Generation → daily / monthly / yearly

24. Total Number of Employees On Roll :

25. Whether battery back-up and voice recorders are provided? **YES / NO**

26. Whether the provision made for disaster recovery site? **YES / NO**

(If yes, please mention the full address of disaster recovery site)

27. Whether any of your Directors / DPG share holder is close relatives of the Employee of Life Insurance Corporation of India **YES / NO**

If Yes, Please give the details:

Sl. No.	Name of Director / DPG share holder	Name & SR No. of Employee of Corporation	Relation with him / her	Since when

28. Whether office / onsite inspection of your office / company has been done by SEBI, NSE or BSE ; **YES / NO**

If Yes, then please give the details and attach the copy of the report

Details of Remittance of Fee:

S No	Amount Remitted	Date of Remittance	UTR No / Bank Details



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DECLARATION:

I / We _____, _____,
(Name) (Designation)

hereby declare that the above information is complete and correct & I/We undertake to furnish any other information as and when called for.

I/We undertake to:

(i). Maintain the highest standards of integrity, promptitude and fairness in conduct of business with Life Insurance Corporation of India with due care & diligence.

(ii) Maintain absolute secrecy in all dealings with Life Insurance Corporation of India.

(iii) Bring any instances of violations of rules & regulations of NSE / BSE / SEBI or any other regulator/ exchange, by the broking entity, to the notice of the Life Insurance Corporation of India immediately.

(iv) Inform any change in its Shareholding pattern/ controlling stake, DPG (Dominant Promoter Group), Name, SEBI Registration Number, change in directorship or any other changes of similar nature immediately to Life Insurance Corporation of India.

(v) Understand that if any of the above information is found incorrect or if any of the relevant information is withheld, then Corporation reserves the right to summarily reject the empanelment application form of the broking firm without assigning any reasons therefor.

Date :

Place :

Authorized Signatory

Name:

Designation:

(Company Seal)



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Encl:

1. SEBI Registration Certificate
2. Membership Certificate from NSE/BSE
3. Memorandum of Association & Articles of Association
4. Audited Annual Financial Reports / Balance sheet, Profit & Loss Account , Free Cash Flow Statement for the last three years starting from 2020-21 (2020-21, 2019-20, 2018-19)
5. Latest Status Reports from NSE & BSE / other exchanges
6. Turnover certificate issued by NSE/ BSE for the last three years starting from 2021-22
7. Net worth Certificate as at 31/03/2022 as submitted to the Exchange /s certified by statutory auditors
8. Shareholding Patterns for broking firm and parent / holding company as at 31/03/2022 certified by statutory auditors
9. List of Directors with DIN nos. as 31/03/2022
10. List of DIIs/FIIs/FPIs with whom empanelled with
11. Details of report published during the yer 2021-22 along with a latest Research Report
12. Fit and Proper Certificate of All Directors and Promoters.
13. KYC of All Directors, Promoters and Key Management Personnel (Photo ID/Address Details)
14. Latest SEBI Inspection Report
15. Bankers certificate from a scheduled bank where the firm has its operating account
16. RTGS Details of Application Fee Remitted/Transferred
17. Any other relevant Report / Enclosures