



Inter-connected Stock Exchange of India Limited

International Infotech Park, Tower - 7, 5th Floor, (Above Vashi Railway Station),

Sector-30A, Vashi, Navi Mumbai - 400 703.

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Internet URL: <http://www.iseindia.com>

For redressal of investor grievance e-mail to : invgrievise@iseindia.com



Cir No.: 09-10/ISE/423/MN

July 30, 2009

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To,
All Trading Members
Inter-connected Stock Exchange of
India Ltd.

Last date of submission	:	October 31, 2009
Format of Statutory Documents	:	As per enclosures
Replies to be addressed to	:	Shri Milind Nigam Compliance Officer

Dear Sir / Madam,

Subject: Submission of Statutory Documents

This has reference to the captioned subject. Kindly note that as part of the statutory compliance required under SEBI (Stock Brokers and Sub-brokers) Regulations, 1992, Rules, Regulations and Bye-laws of ISE, all Trading Members are required to submit the following documents as per the enclosed prescribed formats:

- (1) Networth Certificate along with computation as on March 31, 2009 duly certified by a Chartered Accountant. Please note that all Trading Members need to maintain following minimum Networth requirements at all times:

Individuals	:	Rs.4 lakh
Partnership Firms	:	Rs.8 lakh
Corporates	:	Rs.10 lakh

- (2) Details of Compliance officer
- (3) Details of Proprietor/Partners/Directors
- (4) Details of Membership of Other Stock Exchange(s)
- (5) Audited Annual Report (which includes Profit & Loss Account, Balance Sheet, Directors Report* and Auditors Report) for the financial year 2008-09.
- (6) Shareholding Pattern*
- (7) Dominant Shareholding Pattern*
- (8) Undertaking from spouse of dominant shareholder*
- (9) Turnover certificate

** Individual Trading Members may please ignore*

It is stated that Trading Members who have already submitted the above mentioned documents for any other purpose (like for admission, transfer, change in directors/shareholding, etc.) are still required to submit the same documents in compliance with this circular.

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You are also requested to submit the details in the enclosed format for the compliance of SEBI letter no. SMD/Broker-database/23337/2002 dated November 29, 2002.

Those Traders/Dealers who are liable to pay turnover based registration fees under the above Regulations for the F.Y. 2008-09 are hereby advised to furnish duly certified breakup of total turnover as per Annexure - A prescribed in the SEBI circular no SMD/POLICY/Cir -25/19058/2002 dated September 30, 2002, the format of which has been enclosed herewith.

All the members are requested to strictly adhere to the formats as prescribed in this circular. Non-adherence to the same shall be treated as non-submission/non-compliance with the requirements of this circular.

Please send the above statutory documents along with the prescribed checklist on or before October 31, 2009. Failure to comply with the above requirements will attract appropriate action as decided by the competent authority of the Exchange, **including levy of late submission/ non-submission charges at the rate of Rs.100 per day of delay.**

You may forward the above details to the undersigned.

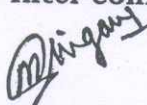
In case any further information/clarification is required in this regard, please contact the undersigned (Extn. 112, Email - milindn@iseindia.com or to Avilene Almeida Extn. 113, Email - avilenea@iseindia.com).

Assuring you of our best services at all times,

Thanking you,

Yours faithfully,

For **Inter-connected Stock Exchange of India Limited**



Milind Nigam

Company Secretary & Compliance Officer

Encl.: As above

Copy to:

- 1) The Executive Director/Administrator**
Bangalore / Bhubaneswar / Cochin / Gauhati / Jaipur / Madhya Pradesh / Uttar Pradesh Stock Exchanges
- 2) The Executive Director/Administrator**
Coimbatore / Hyderabad / Magadh / Mangalore / Saurashtra Kutch erstwhile Stock Exchanges
- 3) All Branches of ISE.**