

**Annexure –A**

**Format for reporting changes in "status or constitution" of members/ sub-brokers**

Name of the stock exchange:-

Report for the quarter ending:- June/September/December/March

Year:-

Date of report:-

S.No.	Date of receipt	Name of the member/ sub-broker	Registration number INB/F/E INS	Type of change	Details of changes		PAN (incoming entities)	Date of Change	Date of approval by Stock Exchange
					Pre	Post			

Type	Description of Change
I	Amalgamation, demerger, consolidation or any other kind of corporate restructuring falling within the scope of section 391 of the Companies Act, 1956 (1 of 1956) or the corresponding provision of any other law for the time being in force.
II	Change in managing director, whole-time director or director appointed in compliance with clause (v) of sub-rule (4A) of rule 8 of the Securities Contracts (Regulation) Rules, 1957.
III	Change in control.
IV	Any change between the following legal forms - individual, partnership firm, Hindu undivided family, private company, public company, unlimited company or statutory corporation and other similar changes.
V	In case of a partnership firm any change in partners not amounting to dissolution of the firm.
VI	Any other purpose as may be considered appropriate by the stock exchanges.

**Guidelines to fill up the format and sending the same to SEBI**

- 1) A separate annexure shall be submitted for each "Type of change" as specified in the format.
- 2) The report shall be signed by an authorized representative of the stock exchange and the same shall be stamped.
- 3) The Stock Exchanges shall furnish the report to SEBI by 7<sup>th</sup> day of month following the end of each quarter, starting with report for the quarter ending June 2011. Thus the first report shall be submitted to SEBI on or before July 07, 2011.
- 4) The report shall be submitted by e-mail at [serpa@sebi.gov.in](mailto:serpa@sebi.gov.in). A hard copy of the report shall also be submitted to SEBI.