

To,
The Listing Department
BSE Limited
Department of Corporate Affairs
Phiroze Jeejeebhoy Towers
Dalal Street
Mumbai - 400 001

To,
The Listing Department
National Stock Exchange of India Ltd.
Exchange Plaza, Plot No. C/1, G Block
Bandra-Kurla Complex,
Bandra (E)
Mumbai - 400 051

Dear Sir/Madam,

Sub: Issuance of SEBI Registration Certificate to Indo Thai Globe Fin (IFSC) Limited (A wholly Owned Subsidiary Company of Indo Thai Securities Limited).

Ref: ISIN - INE337M01013; Scrip Id-533676; Scrip Code-INDOTHAI

With reference to the aforementioned subject, we hereby inform you that SEBI has issued/granted Certificate of Registration as a Sock Broker to commence operations at GIFT (SEZ), Gandhinagar, under Regulation 6 of SEBI (Stock Brokers & Sub-Brokers) Regulations, 1992, read with, Securities & Exchange Board of India (International Financial Services Centres) Guidelines, 2015 to Indo Thai Globe Fin (IFSC) Limited (a Wholly Owned Subsidiary Company of Indo Thai Securities Limited)

We are hereby enclosing the following documents

- SEBI's Approval Letter along with Certificate of Registration.

This is for your information as also for information of public at large, Kindly take the information in your records and acknowledge the receipt of the same.

Thanking you,

Yours truly,

For Indo Thai Securities Limited



Udayan Abhilash Shukla
(Company Secretary cum Compliance Officer)
Membership No. A49276





भारतीय प्रतिभूति
और विनियम बोर्ड
Securities and Exchange
Board of India

MARKET INTERMEDIARIES REGULATION
& SUPERVISION DEPARTMENT - 2

MIRSD-2/DB/SKS/2018/3005
January 11, 2018

Indo Thai Globe Fin IFSC Limited
Trade Name : Indo Thai Globe Fin IFSC Limited
Unit No 326 Signature Building,
3rd Floor, Block No.13B, Zone-1, GIFT SEZ
Gandhinagar
Gujarat - 382355

Dear Sir/Madam,

Sub : Registration Certificate – Stock Broker/Clearing Member.

1) We are pleased to inform you that you have been granted Registration as a Stock Broker/clearing member by the Securities and Exchange Board of India under Regulation 6 of SEBI (Stock Brokers & Sub-Brokers) Regulations, 1992, read with, Securities and Exchange Board of India (International Financial Services Centres) Guidelines, 2015.

The certificate number 0000601 dated 11/01/2018 bearing registration number: INZ000162935 is enclosed.

You are advised to quote the above referred registration number in all correspondence with Securities and Exchange Board of India.

2) The certificate of registration is granted subject to the condition that you shall comply with the regulations and all directives issued by SEBI from time to time.

3) Your attention is invited to Regulation 9 of the Securities and Exchange Board of India (Stock Broker & Sub Brokers) Regulations, 1992, whereby the registration certificate granted to a stock broker/clearing member is subject to the following conditions, namely:

- a) he holds the membership of any stock exchange/clearing corporation within GIFT IFSC;
- b) he shall abide by the rules, regulations and bye-laws of the stock exchange/clearing corporation which are applicable to him;
- c) In case of any change in control, he shall obtain prior permission of the Securities and Exchange Board of India to continue to buy, sell or deal in securities in any Stock Exchange/clearing corporation;

सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बांद्रा कुर्ला कॉम्प्लेक्स, बांद्रा (पूर्व), मुंबई - 400 051.
दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर. एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in



अनुवर्ती :
Continuation :

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और विनिमय बोर्ड
Securities and Exchange
Board of India

: 2 :

- d) He shall pay the amount of fees for registration in the manner provided in the Securities and Exchange Board of India (Stock Brokers and Sub-Brokers) Regulation, 1992;
 - e) He shall take adequate steps for redressal of grievances of the investors within one month of the date of the receipt of the complaint and inform the Board as and when required by the Board;
 - f) He shall at all times abide by the Code of Conduct as specified in Schedule II;
 - g) He shall at all times maintain the minimum net worth as specified in Schedule VI of the Securities and Exchange Board of India (Stock Brokers and Sub-Brokers) Regulation, 1992 ; and
 - h) You shall ensure compliance with the provisions of AML circulars issued by SEBI which require furnishing of prescribed reports to FIU-IND and you shall also mandatorily get registered with FIU-IND through FINnet Gateway.
- 4) You are hereby informed that you are allowed to buy, sell or deal in securities only in the name and style written in the certificate enclosed and not in the names of your Directors who may be members of the Stock Exchange.
- 5) You are now, in terms of clause (d) of the conditions of grant of registration certificate, required to pay the fees in accordance with regulation 8 /10 read with schedule III and V of the Securities and Exchange Board of India (Stock – Brokers and Sub – Brokers) Regulations, 1992 and remit the same through the Stock Exchange/clearing corporation of which you are a member. All the Stock Exchanges/clearing corporations have been separately given necessary instructions in regard to collection of fees from the stock brokers/clearing members and remittance thereof to SEBI.
- 6) You are requested to study the rules and regulations carefully, a copy of which has already been made available to the Stock Exchange/clearing corporation.
- 7) This registration is being granted on the basis of information available with SEBI at this point of time and does not preclude SEBI from cancelling the registration later, if anything adverse is found against you or you are convicted.
- 8) You are hereby informed that with regard to the NISM certification of the members operating in GIFT IFSC it may be noted that the approved users and sales personnel engaged or employed by the members operating in GIFT IFSC, shall obtain the relevant certificate within one year from the date of being employed or engaged by the intermediary. However, the personnel being engaged or employed by the members operating in the GIFT IFSC to start the trading operations shall have adequate and relevant experience, qualification, knowledge, skill, etc. for carrying out the registered activity.

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और विनिमय बोर्ड
*Securities and Exchange
Board of India*

: 3 :

9) The Stock broker/clearing member shall ensure that the net-worth maintained in dollar terms shall meet the net worth requirement at all times prescribed in rupee terms under SEBI (Stock Broker & Sub broker) Regulations, 1992.

10) Please acknowledge receipt of this letter together with the registration certificate.

Yours faithfully,

SUBHASH KUMAR SINDURIA
Asst. General Manager

Encl: as above

प्ररूप घ
FORM D

भारतीय प्रतिभूति और विनिमय बोर्ड
SECURITIES AND EXCHANGE BOARD OF INDIA

(स्टाक दलाल और उप-दलाल) विनियम, 1992
(STOCK BROKERS AND SUB-BROKERS) REGULATIONS, 1992

0000601

(विनियम 6 तथा 10ख / Regulations 6 and 10B)

रजिस्ट्रीकरण प्रमाणपत्र
CERTIFICATE OF REGISTRATION

बोर्ड, भारतीय प्रतिभूति और विनिमय बोर्ड अधिनियम, 1992 के अधीन बनाये गये नियमों और विनियमों के साथ पठित उस अधिनियम की धारा 12 की उप-धारा (1) द्वारा प्रदत्त शक्तियों का प्रयोग करते हुए

In exercise of the powers conferred by sub-section (1) of section 12 of the Securities and Exchange Board of India Act, 1992, read with the rules and regulations made thereunder, the Board hereby grants a certificate of registration to

Indo Thai Globe Fin IFSC Limited
Trade Name :Indo Thai Globe Fin IFSC Limited
Unit no. 326 Signature building,
3rd Floor, Block no. 13B, Zone-1, GIFT SEZ
GANDHINAGAR
GUJARAT
382355

को प्रतिभूतियों में क्रय, विक्रय या व्यौहार / व्यापारों के समाशोधन तथा निपटान के क्रियाकलाप करने के लिए और ऐसे अन्य क्रियाकलाप जो स्टॉक एक्सचेंज (एक्सचेंजों) / समाशोधन निगम (निगमों) द्वारा अनुज्ञात हों करने के लिए, बोर्ड द्वारा, समय-समय पर, उसके लिए विनिर्दिष्ट शर्तों के अधीन, स्टॉक दलाल / सांपत्तिक व्यापारिक सदस्य / समाशोधन सदस्य के रूप में रजिस्ट्रीकरण प्रमाणपत्र एतद्द्वारा प्रदान करता है।

as a

Stock Broker

stock broker / proprietary trading member / clearing member for carrying on the activities of buying, selling or dealing in securities / clearing and settlement of trades and for carrying on such other activities as are permitted by stock exchange(s)/ clearing corporation(s), subject to the conditions specified therefor, from time to time, by the Board.

आबंटित रजिस्ट्रीकरण संख्या निम्नानुसार है / Registration number allotted is as under: **INZ000162935**

यह प्रमाणपत्र तब तक विधिमान्य रहेगा जब तक यह विनियमों के अनुसार निलंबित या रद्द नहीं हो जाता।

This certificate shall be valid till it is suspended or cancelled in accordance with the Regulations.



तारीख / Date : January 11, 2018

आदेश द्वारा / By order
भारतीय प्रतिभूति और विनिमय बोर्ड के लिए और की ओर से
For and on behalf of **Securities and Exchange Board of India**

Debashis Bandyopadhyay

DEBASHIS BANDYOPADHYAY

प्राधिकृत हस्ताक्षरकर्ता Authorised Signatory