

- (iv) penal action, if any, taken against such associated company by the Commission during the last three years.

2. Details of infrastructural facilities (to be used for handling of applications submitted for subscription of securities, data processing, balloting and maintenance of the members' registers etc.).

2.1 Computer system installed,

- (a) hardware configuration;
- (b) software used; and
- (c) does the system has the capability to be linked with the bankers to the issue or other market intermediary for the purpose of retrieving soft data relating to applications submitted for subscription of securities

2.2 Data processing capacity;

- (a) available infrastructure (computers and other electronic equipments used for data processing and communication);
- (b) available manpower; and
- (c) office space (mention extent of area in square feet available)

3. Procedures.

3.1 In case of public offering of securities,

- (a) procedure for collection of securities subscription applications from the bankers to the issue or other market intermediary.
- (b) procedure for processing of such applications.
- (c) procedure for scrutiny of applications, ballot, refund of subscription money, credit or dispatch of securities.

3.2 In case of right issue,

- (a) procedure for issuance of right allotment letters (RAL);
- (b) procedure for payment or renunciation by the holders of RAL; and
- (c) procedure for credit or dispatch of right shares.