

DELHI DEVELOPMENT AUTHORITY
VIKAS SADAN, INA, NEW DELHI-110023.

Sub:-Inviting Application for Empanelment of Arrangers for Investment offunds of DDA.

Delhi Development Authority invites applications for the purpose of Empanelment of Arrangers for Investment of its Surplus Funds as well as Earmarked funds. The Interested Dealers/Arrangers those who are satisfying the Minimum Qualifying Criteria (MQC) and accepting the terms and conditions may submit their Application.

The Dealers/Arrangers which are already on Panel of DDA need not apply again.

Please ensure that the application complete in all respects in requisite format with necessary enclosures is delivered on or before the due date & time i.e. 18.04.2019 up to 3.00 P.M.

All the envelopes indicating "Application for Empanelment of Arrangers for DDA should be addressed to the undersigned:

Chief Accounts Officer
DDA, B-205, Vikas Sadan, INA,
New Delhi- 110023

Enclosures:

Annexure-1: Minimum Qualifying Criteria (MQC)

Annexure-2: Terms and Conditions

Annexure-3: Format of Application

Annexure 4:- ACCEPTANCE OF TERMS AND CONDITIONS

Annexure-1

Inviting Application for Empanelment of Dealers/ Investment Arrangers for investment of DDA's surplus and earmarked funds.

Empanelment of arrangers: The Minimum qualifying criteria for fresh empanelment of arrangers is as under:-

S.No.	Criteria	Minimum Qualifying Criteria (MQC)	Documents Required
1.	Turn-Over	Minimum Turnover of Rs.500.00 Crores from the business of broking/buying and selling of securities during financial year, i.e. 2017-18.	Copy of Annual Report/ Audited balance Sheet/ Certificate from CA confirming Rs. 500.00 Corers Turnover.
2.	Operation	In operation for at least last 5 years , i.e. from F.Y. 2013-14 to 2017-18 (excluding the current year)	Copy of Incorporation certificate, Registration Certificate with SEBI, Annual Report.
3.	Office	Should have office in Delhi.	Copy of Telephone/Electricity Bills.
4.	Registration Certificate with SEBI	Valid Registration with SEBI.	Copy of Registration Certificate with SEBI.
5.	Membership of Stock exchange	Member of BSE/NSE or both	Copy of Registration Certificate with BSE / NSE or Both.
6.	Annual Report of Last three years.	Annual Report for F.Y. 2015-16, 2016-17 and 2017-18	Copy of Annual Report for F.Y. 2015-16, 2016-17 and 2017-18
7.	List of Clients	Minimum one Central/state PSUs.	Copy of empanelment along with name and address of PSU.
8.	Prime Ranking	Appearing in Top 30 Ranking for issue type" debt private placements", issuer type "all", instrument type "all", industry type "all" issued by PRIME for the period 01.04.2018 to 28.02.2019.	Prime League Table for issue type" debt private placements", issuer type "all", instrument type "all", industry type "all" issued by PRIME for the period 01.04.2018 to 28.02.2019.

TERMS AND CONDITIONS FOR EMPANELMENT

1. SUBMISSION OF APPLICATION

Your application should be complete in all respects signed by authorized signatory without cutting. Incomplete application which do not contain all the Information called for are liable to be rejected.

2. ELIGIBILITY CONDITION

Only those Dealers / Arrangers who meet the MINIMUM QUALIFYING CRITERIA as specified in Annexure I, shall be eligible for empanelment. Proposals not meeting the Minimum Qualifying Criteria shall be rejected.

3. SELECTION PROCEDURE

All the Dealers/Arrangers, who apply and fulfill the Minimum Qualifying Criteria shall be empaneled.

4. CANCELLING THE APPLICATION

DDA reserves the right to accept or reject any Application without assigning any reason thereof.

5. ACCEPTANCE OF TERMS AND CONDITIONS

Empaneled arrangers shall be required to give their acceptance to our "Terms and Conditions" of doing business as per Annexure -4.

6. DDA shall not be responsible for delay in receipt of application by post.

Annexure-3

FORMAT OF APPLICATION FOR EMPANELMENT OF DEALER / INVESTMENT ARRANGERS

S.No.	Subject	Particulars
		(As per annexure 1 and 2)
1	Name of the Dealer/ Arranger	
2	Contact Person, Address, Telephone, Mobile, E-mail Address	
3	Net-Worth	
4	Turnover (For 2017-18)	
5.	No. Of Branches	
6.	Net Profit for F.Y. 2017-18	
7.	Registered with BSE or NSE or Both	
8.	Registered with NSCCL or ICCL or Both	
9.	Experience - No. of Years	
10.	No. of Clients - (List of clients to be attached)	
11.	Market Segment dealt with	
12.	PAN (attach copy)	
13.	Acceptance of "Terms & Conditions"	(As per Annexure 4)

Date:

Place:

Authorized Person

Signature with Seal

Letter of Authorization to be attached

Annexure -4

Acceptance of Terms and Conditions

1. You will comply with the provisions of all relevant laws, Rules and Regulations as may be in force from time to time, including Securities Contract regulation Act, Indian securities Act, stock Exchange Rules and Regulations and bye laws, SEBI directions and all concerned statutory requirements. Any instance of violation of such Rules and Regulations shall be immediately brought to our notice and DDA shall have absolute discretion to decide on conducting further business with you and to realize consequent damages if any, arising out of such violation.
 2. The empanelment in itself does not constitute a commitment on our part to do business or accept any investment proposals or make Investment through you. This empanelment does not entitle you to demand any business from DDA.
 3. The empanelment is subject to periodical review at our discretion. DDA shall have the absolute right to de-empanel you at any time at its discretion without assigning any reason for the same.
 4. The investment proposals should be competitive and DDA reserves the right to accept or reject the proposals without assigning any reason at our sole discretion.
 5. You will not display your empanelment with DDA in any of your letter heads, visiting cards and such other documents/ materials.
 6. The transaction executed/ concluded with DDA shall be confirmed to us over telephone or FAX or e-mail as the case may be, and shall subsequently be supported by a deal confirmation in our name mentioning all the relevant details delivered in person or through courier / post.
 7. You will always protect the interest of DDA regarding all the benefits like interest, dividends, rights and warrants entitlements etc. relating to the investment made by us through you.
 8. You are expected to avoid dealings not commensurate with your financial abilities.
 9. You are expected to maintain highest standard of integrity, promptness and fairness while conducting business with us. Further you will also act with utmost care and diligence and maintain absolute secrecy in all the dealings and not disclose details / sensitive information relating to any deal to any other party and shall also not use such information for any personal benefit. You will treat all the transactions with us as confidential except in the normal course of reporting to the regulatory authorities.
 10. You will furnish information relating to your financial position, turn-over details etc. as and when called for by us. Irrespective of the financial / accounting year, you are required to send a copy of your audited Balance Sheet and Certified Copy of your net worth statement as on March 31 every year.
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11. You are requested to submit proof of renewal of registration of your membership with the concerned regulatory authorities like NSE /SSE, RBI, SEBI etc. every year.

12. You will quote the rates in respect of all Securities relating to Primary Issue, Secondary market as well as SLR, Non SLR Bonds etc. on behalf of your empaneled company. You will inform us about any change in the constitution of the organization or its name alongwith copy of the relevant registration with the concerned authorities, If applicable recognizing the same.
 13. While submitting the offer of investment you will provide full details of the securities/investment proposals such as nature of security, mode of holding of securities, rate of coupon, periodicity of interest, call/put option, denomination of the securities, quantum of the securities, interest payment date, mode of holding /delivery, the expected date of delivery, security / guarantee, rating at the time of issue of security and the present rating and risk factors involved etc.
 14. Necessary stamp duty applicable for transfer of the security in the name of DDA be born by you and such stamp duties shall not be reimbursed to you.
 15. You will ensure delivery of the securities within a reasonable time. It shall be your responsibility to arrange with the counter party delivery of securities /SGL transfer/demat transfer in our account in time for the transactions to be completed. In case of a failure of the counter party on this score and the transaction not getting completed as contracted / confirmed by you on account of any reason whatsoever, you will be liable to immediately refund entire money (i.e. Face value, Premium and accrued interest) paid to you against purchase of such securities alongwith interest at coupon rate of such securities or the bank lending rate, whichever is higher with penal interest @ 2% over and above the said rate of interest from the date to the date of refund.
 16. You will inform to DDA if you are suspended or debarred by any Public Sector Undertaking / Bank / Financial Institution etc. from acting as broker/ intermediary. You shall inform us if your membership is suspended / terminated or any penal action is initiated by the National Stock Exchange / relevant Stock Exchange or any other statutory authority. In such cases, DDA reserves the right to remove your name from its empaneled list of intermediaries without giving any reason whatsoever.
 17. Any failure to quote at least three times in a year shall be treated as ground for removing your name from the panel. You can inform through Fax in case you don't intend to quote in any issue.
 18. It may be noted that your empanelment with the DDA has been made on the basis of information supplied by you and should any serious / adverse fact come to light, DDA under its own discretion is fully within its right to strike off your empanelment and stop all dealings through you.
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