

UPSE SECURITIES LIMITED
Padam Tower, 14 / 113, Civil Lines, KANPUR – 208001
Phone: 2338115, 2338074 Fax: 91 – 0512 – 2338175, 2338220
e mail: upse@vsnl.in

USL / 2010-11: 22

20.09.2010

NOTICE TO SUB- BROKERS

Sub: Dealing with another Member of the Exchange

Ref: SEBI Circular No. 06 dated 13.01.2004

Further to our Notices No. 30 dated 07.02.2006 and No. 19 dated 07.03.2007, all the sub-brokers of the company are hereby advised to submit us a confirmation / declaration latest by 27.09.2010 on the enclosed format.

FOR UPSE SECURITIES LIMITED.



(ALOK TULSYAN)
CEO (OFFICIATING)

Encl.: 01

C.C to: M.D. –UPSE,
G.M.(O)-UPSE,
A.G.M.(Scl.) - UPSE
Surveillance – UPSE
EDP- BOLT/NSE- for flashing on system & putting on website
Margin-BOLT/NSE
Pay in/pay-out Funds-BOLT/NSE ,
Pay in/ pay-out Securities-BOLT/NSE
Notice Board

To,
The CEO (O)
UPSE Securities Limited
Kanpur

From:

(Name & Address of Sub-broker)

Date : 2010

Dear Sir,

Sub: Dealing with another member of the Exchange
Ref : Notice No.22 dated 20.09.2010

We hereby confirm / declare that :

I. No broker / sub-broker of BSE / NSE / MCX – SX is dealing with us.

Or

Following brokers / sub-brokers of BSE / NSE / MCX – SX are dealing with us (only for proprietary trading) with prior permission of respective Exchange:

- 1.
- 2.
- 3.
- 4.

II. No broker / sub-broker of UPSE and / or of other Exchange (other than BSE / NSE / MCX – SX) is dealing with us.

Or

Following brokers / sub-brokers of UPSE and / or of other Exchange / s (other than BSE / NSE / MCX – SX) are dealing with us (only for proprietary trading) after intimating our name to their Parent Exchange:

- 1.
- 2.
- 3.
- 4.

For

Name & Signature of Proprietor / Partner / Director