

**UPSE SECURITIES LIMITED**  
Padam Tower, 14 / 113, Civil Lines, KANPUR – 208001  
Phone: 2338115, 2338074 Fax: 91 – 0512 – 2338175, 2338220

USL: 2010-11: 33

23.11.2010

**NOTICE TO SUB- BROKERS**

**Sub.: SEBI Fee for Membership of NSE F & O Segment**


Sub-brokers are hereby informed that, as per Clause 1 of Schedule IV [ Regulation 16G(1)] of SEBI (Stock Brokers and Sub-brokers) Regulations, 1992, NSE has debited to our Company a sum of Rs. 50,000/- towards annual SEBI Fee for the financial year 2010-11.

Board of Directors of the Company, in its meeting held on 10.11.2010, has decided that, to meet out the above expense, a sum of Rs. 2,000/- per year be recovered from each of the sub-brokers, who are registered / getting themselves registered as authorized person to trade in NSE F & O, however, the short fall, if any, shall be borne by the Company.

Above fee of Rs. 2,000/- per year shall be besides the SEBI Turnover Fee being recovered from the sub-brokers, as envisaged in Clause 2 of Schedule IV [ Regulation 16G(1)] of SEBI (Stock Brokers and Sub-brokers) Regulations, 1992, at the rate of 0.0001% of the turnover(Rs. 10/- per Crore),

Sub-brokers are advised to take note of above and be guided / comply accordingly.

FOR UPSE SECURITIES LIMITED

  
(ALOK TULSYAN)  
CEO (OFFICIATING)

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