

**General Instructions for submission of documents and supporting thereof for appointment of Authorised Person**

- a) All documents should be strictly as per format prescribed by the Exchange and should be completely filled in and signed and stamped by the relevant authorized signatory (ies) as stated in the formats.
- b) Applications must be accompanied by payment favouring 'MCX Stock Exchange Limited' for Rs 2000/- per application per authorised person plus service tax @ 12.36%. Members can also make this payment through the Payment Gateway on the membership page of our web site [www.mcx-sx.com](http://www.mcx-sx.com).
- c) Please strike out which is not applicable where options are provided. For e.g. Individual / Partnership firm /Corporate /LLP. Alternatively, the correct option only may be stated. For e.g. if the authorised person is an individual, only "individual" has to be specified.
- d) Shareholding Pattern / Sharing Pattern and details of directors/ partners /sole proprietor/ individual should not be more than six months old as on date of application and should be CA / CS certified. (practising CA/CS)
- e) Agreement between trading member and proposed Authorised Person should be executed on non judicial stamp paper of requisite value or franked with stamp duty of requisite value or the requisite stamp duty thereon is paid through any other permissible manner. It should be purchased in the name of the member or the authorised person. It should be signed by Sole Proprietor/Individual / Designated Partner / Designated Director /Authorised signatory of Trading Member and Sole Proprietor/Individual / Partner / Director /Authorised signatory of Authorised Person. A certified true copy of the agreement should be submitted to the Exchange. It has to be certified as true copy and also signed on all pages by Sole Proprietor/Individual/ Designated Partner/ Designated Director of the trading member.
- f) All copies submitted as proof have to be signed and stamped by Sole Proprietor/Individual/ Designated Partner/ Designated Director of Trading Member
- g) NISM Certification - The validity of the certificate(s) should be more than two months as on the date of application
- h) Sole Proprietor/Individual / Partners/Directors of applicant Authorised Person to be at least 18 years of age. - As proof of age, certified copy of PAN Card /Driving Licence/School leaving certificate/SSC Certificate/Passport should be submitted
- i) Sole Proprietor/Individual/Partners/Directors of proposed Authorised Person should have minimum educational qualification of 10<sup>th</sup> standard pass or equivalent

examination from an institution recognised by Government. As proof of Educational qualifications certified copy of latest qualification certificate / mark sheet/ passing certificate has to be submitted

- j) Proof of Registered Office Address/ Head Office address -Certified true copy of Landline Telephone Bill, Electricity bill, Rent Agreement, Bank pass book, Voters id, Driving License, Passport, Bank Statement, Trade license agreement, Shop Establishment Certificate should be submitted
- k) Proof of Residential Address - Certified true copy of Landline Telephone Bill, Electricity bill, Rent Agreement, Bank pass book, Voters id card, Driving License, Passport, Bank Statement, Ration card, should be submitted
- l) Please note that Landline Telephone bill, Electricity bill, Bank passbook, Bank statement submitted as proof should not be more than six months old.
- m) In case the name of the Authorised Person as per the application submitted differs from that of the above mentioned documents submitted as supportings, a certified true copy of gazette notification / Marriage Certificate/ Affidavit should be submitted.
- n) Certified copy of Registered Partnership Deed / LLP Agreement / Memorandum of Association (including certificate of incorporation) of the applicant Authorised Person (not applicable in case applicant Authorised Person is a proprietor concern). Memorandum of Association (main object clause)/Partnership Deed/LLP Agreement should consist of an object clause permitting the entity to deal in securities business.
- o) Change of affiliation from one member to another -In case the Authorised Person wishes to change his / her / their affiliation from one member to another member, the existing member has to submit an application for cancellation of appointment of Authorised Person and the new affiliating member has to submit an application for proposed appointment of the Authorised Person. The charges for processing application for cancellation of appointment and also processing application of appointment will have to be paid by the respective members.