

**MEMBERSHIP REGISTRATION DOCUMENTS CHECKLIST OF MCX STOCK
EXCHANGE LIMITED FOR BANK - TM**

Sr. No.	Instruction for filling-up Membership registration related documents	Compliance (Yes / No)
A.	SEBI Fees:- “N.A.”	
B	FORM - AB	
1	Form should not be on the letter head of the company	
2	Point no.1 – Mention “MCX Stock Exchange Ltd”	
3	Point no.2 – Leave this point blank to be filled by the Exchange.	
4	point no.3 - Mention “ <i>Trading Member</i> ”	
5	Point no. 4 –Mention name of the Clearing Member along with complete address (<i>Applicable only for Trading Member</i>)	
6	Point no.5 – Mention Registered office address of the company (Address given here will be printed on the SEBI registration certificate)	
8	Point no.6 – Mention Trade name of the Member	
9	Point no. 7 – Mention form of organization (Bank) along with name of Designated director/ Authorized Signatory e.g. Form of organization - Bank Designated Directors:- Mr. Ganesh Kanaujiya Mr. Praveen Acharya	
10	Point no. 8 – Kindly mention “Enclosed”	
11	Point no. 9 – Mention the name of the Designated director/ Authorized Signatory and their Education: e.g. Mr. Ganesh Kanaujiya = B.com/ C.A Mr. Praveen Acharya = B.Com	
12	Point no. 10 – Mention “N.A.” (*Please refer note-1)	
13	Point no.11 – Mention the name of the Designated director/ Authorized Signatory and their Experience (Minimum Two year in Capital Market): e.g. Ms. Neetu Juneja – 7 Years Mr. Partha Sen – 5 years	
14	Point no.12 – Leave this point blank to be filled by the Exchange.	
15	Point no. 13 – Please mentioned the name of the Exchange with <i>code number or else “No”</i> . If member is already member of Currency derivatives segment of a Stock Exchange or clearing corporation or clearing house of any segment. E.g. BSE – 0002- INB010914032	

	NSE – 315- INB230914036	
16	Point no.14 – Please mention the amount given in the networth certificate along with as on date of networth. For eg: Rs.2426.65 lakhs as on March 31, 2008.	
17	Point no.15 – Please mention “Yes” if applicable or “No” if not applicable. if applicable then mention the details there itself, otherwise provide the details in separate annexure mentioning annexure enclosed.	
18	Point no.16 - Please mention “Yes” if applicable or “No” if not applicable. if applicable then mention the details there itself, otherwise provide the details in separate annexure mentioning annexure enclosed.	
20	Point no.17 – If not applicable mention “No”, if applicable then mention the details there itself, otherwise provide the details in separate annexure mentioning annexure enclosed.	
21	Point no.18 - Mention Telephone/ Fax/Telex number of the registered office.	
22	Point no.19 – Mention “N.A.”	
23	Designated director/ Authorized Signatory required signing along with rubber stamp of the entity on the last page.	
24	Form should be dated as given on the left hand side of the form besides signature of the Designated director/ Authorized Signatory	
25	Exchange Recommendation part should be left blank by the Member as it has to be filled by the Exchange only.	
26	All the pages should be signed by the Designated director/ Authorized Signatory along with Rubber stamp of the Exchange.	
27	Declaration by Member under the signature and rubber stamp and recommendation of the Exchange should be on the same page	
28	All the point should be counter signed by the Designated director/ Authorized Signatory along with rubber stamp of the entity.	
C	Proof of Age:	
1	Proof of age of Designated director/ Authorized Signatory with signature of Designated director/ Authorized Signatory and Rubber stamp of the member required to be submitted.	
D	Proof of Education	
1	Proof of education of Designated director/ Authorized Signatory with signature of Designated director/ Authorized Signatory and Rubber stamp of the member required to be submitted. (Note: Minimum Qualification advised by SEBI is 12th Pass)	
E	Proof of Experience:	
1	Proof of Experience of Designated director/ Authorized Signatory along with Rubber stamp of the issuing entity required to be submitted.	
2	Minimum Two year of Capital market experience is required as per SEBI guidelines	
3	Experience certificate should not be self certified. (It should not be issued	

	by the person himself)	
4	Experience certificate should be obtained from broker who is registered with SEBI.	
5	In case Designated director/ Authorized Signatory is a SEBI registered broker/ sub-broker, registration certificate should be separately given.	
6	Certificate should include Period of Experience, field of experience and type of Experience along with Designation.	
F	Profit & Loss Account & Balance Sheet	
1	Should be as on date of Networth certificate	
2	Should not be provisional.	
3	Latest Certified Annual Return required to be submitted	
G	Networth Certificate/ Computation	
1	Networth certificate should not be prior to March 31, 2008.	
2	Networth Certificate submitted is in the L.C Gupta format prescribed by SEBI.	
3	Networth Certificate submitted is on the letterhead of the Chartered Accountant	
4	Networth Certificate clearly indicates the as on date, name of the member, the amount of the Networth in figures and in words, date and place	
5	Networth Certificate is certified by the Chartered Accountant.	
6	The details of the Chartered Accountant such as Name of the firm, name of the Proprietor/Partner signing the certificate and Membership no. of the Chartered Accountant mentioned in the Networth Certificate submitted	
7	The rubber stamp of the Chartered Accountant affixed on the Networth Certificate.	
H	Memorandum and Article of Association:	
1	Covering page of Memorandum and Article of Association and Object Clause page submitted is certified as true copy by the Designated director/ Authorized Signatory under the rubber stamp of the entity (*Please refer note-2)	
2	Clause given in ancillary is not accepted by SEBI	
I	NCFM/BCDE Module certificate of Two operators	
1	(*Please refer note-1)	
J	Board Resolution	
1	Board Resolution should not be before the date of incorporation/ registration of the Applicant	
2	Board Resolution should be passed before the date of membership application	
3	The Board Resolution submitted is in suggested format as prescribed by the Exchange.	
4	The Board Resolution submitted is on the letter head of the company.	
5	The Board resolution submitted is signed/ certified by the Chairman	
6	Two designated directors should be appointed and name of Designated director/ Authorized Signatory should match with the membership application form.	
7	The Specimen signature of the Designated director/ Authorized Signatory is provided in the Board Resolution.	
I	Rubber stamp of the company is affixed next to the signature of the Chairman.	
K	Details of Directors	
1	The details submitted should be in the prescribed format of the Exchange.	

2	Age should be given below Date of Birth (Any hand written changes need to be authenticated by designated director/ authorized Signatory)	
	In Designated director/Partner column mark “Yes” only for the designated director/ partner who have been appointed as Designated director in Board resolution and for others put “No”.	
3	Date of the certification should be mentioned.	
4	Certified by the Designated Director/ Authorized Signatory of the company under the rubber stamp of company/authorized signatories.	
L Shareholding Pattern		
1	Shareholding Pattern submitted is in the prescribed format of the Exchange.	
2	Shareholding Pattern submitted is on the letter head of the company.	
3	Shareholding Pattern submitted is certified by the Designated Director/ Authorized Signatory under the rubber stamp of the company/authorized signatories	
4	Shareholding Pattern submitted is certified by Chartered Accountant along with rubber stamp of C.A. Firm and Membership number.	
M Undertaking		
1	Undertaking should be on the letter of the Member	
2	Undertaking submitted is in suggested format as prescribed by the Exchange.	
3	Trade name given in the undertaking should match with Trade name given in the application form.	
4	Name of Designated director given in the Undertaking should match with name given in Board resolution	
5	Undertaking is signed by the Designated director along with rubber stamp of the Entity.	
6	Date and Place is given in the undertaking	
O Designated director Undertaking		
1	Undertaking should be on the letter of the Chartered accountant	
2	Undertaking submitted is in suggested format as prescribed by the Exchange.	
3	Trade name given in the undertaking should match with Trade name given in the application form.	
4	Name of Designated director/ Authorized Signatory given in the Undertaking should match with name given in Board resolution and authorization of Managing Partner.	
5	Undertaking should be certified by the Chartered Accountant.	
6	The details of the Chartered Accountant such as Name of the firm, name of the Proprietor/Partner signing the certificate and Membership no. of the Chartered Accountant	
7	The rubber stamp of the Chartered Accountant affixed	
8	Date and Place is given in the undertaking	
P Bank Undertaking		
1	Undertaking should be on the letter of the Member	
2	Undertaking submitted is in suggested format as prescribed by the Exchange.	
3	Trade name given in the undertaking should match with Trade name given in the application form.	
4	Undertaking is signed by the Designated director/Authorized Signatory along with rubber stamp of the Entity.	
5	Date and Place is given in the undertaking	

Please Note:

1] NCFM/BCDE derivatives module certificate for 2 operators to be fulfilled by banks from 05.08.2009

2] MOA need not be insisted upon. GP granted to all ADI-see RBI permission