

ANNEXURE A

BOARD RESOLUTION

(On letter-head of applicant)

True extracts of the minutes of the meeting of the board of directors of the company
_____ held on date _____ at the registered office

Resolved that the Board authorizes _____ Ltd,
to obtain membership for becoming Trading Member (TM)/ Trading-Cum-Clearing
Member (TCM)/ Professional Clearing Member (PCM) of MCX Stock Exchange
Limited (MCX-SX) and /or MCX-SX Clearing Corporation Limited.

Further the Board appoints Mr./Ms _____ and
Mr./Ms _____ to be the authorized representatives of
the company and they are hereby authorized to act as designated director on behalf of the
company for all matters related to MCX Stock Exchange Limited (MCX-SX) and /or
MCX-SX Clearing Corporation Limited.

Further resolved that the above stated designated directors Mr./Ms.
_____ (name with designation) AND /OR Mr./Ms.
_____ (name with designation) of the company are
also authorized to execute individually / jointly all documents / agreements on behalf of
the company for acquiring the membership and operations of MCX Stock Exchange
Limited (MCX-SX) and /or MCX-SX Clearing Corporation Limited and all the acts done
or to be done by the above stated designated directors Mr./Ms. _____
AND /OR Mr./Ms. _____ of the company shall be binding on the
company.

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRMAN

COMPANY ROUND STAMP / SEAL

DATE

PLACE

Specimen Signatures of Authorized Signatories.

Name of Authorized Signatory	Specimen Signature

ANNEXURE B

DETAILS OF DIRECTORS

(On letter-head of applicant)

DETAILS OF DIRECTORS AS ON _____

Sr No	Name \$	Father Name \$	Designation @	Date of Birth	Education	PAN Number	Residential Address & Telephone/ Mobile Nos./ Email ID/ Fax No.	Designate directors (Yes/No) #	Share holding			Directorships/ controlling shareholding in other cos.
									No.	Amt	% of total	
1												
2												
3												
4												

NOTES :

@ Please clearly state whether the Director is a Managing Director or Whole time Director or Executive Director or Non-Executive Director or Executive Chairman or Non-Executive Chairman

Identify at least two designated directors (A designated director is one who is minimum 21 years (completed years) of age on date of application, a graduate by qualification (minimum) and possesses at least 2 years of experience pertaining to securities market. They, essentially, look after the stock market operations of a member entity. Every member corporate should have at least 2 such directors who meet the aforesaid norms.)

\$ All initials to be expanded

Date:

Place:

For _____ (Name of applicant)

For _____ (Name of applicant)

Name and signature of Designated Director

Name and signature of Designated Director

CERTIFICATE

This is to certify that the details of directors in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

ANNEXURE C

NETWORTH CERTIFICATE

Submitted by _____ to MCX Stock
Exchange Limited / MCX-SX Clearing Corporation Limited

CERTIFICATE

This is to certify that the Net worth of M/s. / Mr. / Ms. _____ as on
_____ as per the statement of computation of even date annexed to this report is
Rupees _____ only

We further certify that:

- M/s/ Mr. / Ms. _____ is not engaged in any fund-based activities or business other than that of securities/currency derivatives. Fund based assets, if any, have been divested from the books of accounts and have not been included for the purpose of calculation of network.
- The computation of network based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.
- The computation of network is in accordance with the method of computation prescribed by Dr. L C Gupta Committee.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

COMPUTATION OF NET WORTH

The method of computation of Networth as prescribed by Dr. L.C. Gupta Committee on Derivatives is as follows

Capital + Free Reserves

Less Non-allowable assets viz.,

- (a) Fixed Assets
- (b) Pledged Securities
- (c) Value of Member's card
- (d) Non-allowable securities (unlisted securities),
- (e) Bad deliveries
- (f) Doubtful Debts and Advances (Including debts or advances overdue for more than three months or debts or advances given to associates)
- (g) Prepaid expenses, losses
- (h) Intangible Assets
- (i) 30% of Marketable securities

Place:

For (Name of Accounting Firm)

Date:

Signature and Name of the Partner /
Proprietor
Chartered Accountant
Membership Number
Rubber stamp

ANNEXURE D

SHAREHOLDING PATTERN

(On letter-head of applicant)

SHARE HOLDING PATTERN of _____ (Name of Applicant)
as on _____
EQUITY/ PREFERENCE (Please indicate and use separate sheets for equity/ preference shares)

Sr. No.	Name \$	Number of shares held	Face value per share	Amt Paid up (Rs. in lakhs)	% of total
1					
2					
3					
4					
5					
6					
7					
8					
Others					
TOTAL					100%

\$ All initials to be expanded

NOTES :

1. In case of bodies corporate holding 2% or more of the paid up capital in the member entity, the details of their shareholding shall also be furnished in the same format as given above
2. HUF give names of Karta and co-parceners.
3. Persons holding 2% or more of the paid up capital should be shown separately and not clubbed in Others.

Date:

Place:

For _____ (Name of applicant)

For _____ (Name of applicant)

Name and signature of Designated Director

Name and signature of Designated Director

CERTIFICATE

This is to certify that the Shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

Place:

For (Name of Accounting Firm)

Name of the Partner / Proprietor
Chartered Accountant
Membership Number
Rubber stamp

ANNEXURE E

UNDERTAKING WITH RESPECT TO DESIGNATED DIRECTORS

(On letter-head of Chartered Accountant)

PART 1

TO WHOMSOEVER IT MAY CONCERN

(To be certified by a practicing chartered accountant)

This is with reference to the application of M/s _____
(applicant company) for seeking provisional membership of the Exchange / MCX-SX
CCL and subsequent application for registration of application with SEBI in Currency
Derivatives segment.

Based on the information, explanation and documents given to us, we state that the
designated directors Mr./Ms. _____ and Mr./Ms.
_____ (names of designated directors)
meet the eligibility requirements as prescribed in Securities Contracts (Regulation)
Rules, 1957 (Rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers &
Sub-brokers) Regulations, 1992.

This confirmation has been issued on the request of the applicant company for
submitting to MCX Stock Exchange Limited/ MCX-SX CCL / SEBI.

Date:

For (Name of Accounting Firm)

Place:

Name of the Partner
Chartered Accountant
Membership Number
Rubber Stamp

ANNEXURE F

UNDERTAKING

(On letter-head of applicant)

We, M/s _____ hereby confirm that our designated directors Mr./Ms. _____ and Mr./Ms. _____ meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (Rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.

We undertake to ensure that the above individuals or whosoever is identified by the corporate as designated directors, in future, till the time corporate is registered as a member of the Exchange will continue to meet the eligibility requirements as per Securities Contracts (Regulation) Rules, 1957 and SEBI (Stock Brokers & Sub-brokers) Regulations, 1992.

We, M/s _____ hereby declare that we have not, at any point, introduced any fake / forged/ stolen shares in the market.

We, M/s _____, hereby declare that we have neither been declared defaulters by any Exchange in India/ by SEBI, nor are we related or associated with any other entity/person that have been declared defaulters by any Stock Exchange in India/SEBI.

We, M/s _____ further declare that none of the shareholders and directors of our company have been declared as defaulters by any Stock Exchange in India/SEBI or are related or associated with any other entity/person who have been declared defaulters by any Stock Exchange in India/SEBI.

We further declare that no enquiry/investigation has been initiated/pending against M/s. _____ or any of the shareholders/directors by any Stock Exchange/SEBI.

For _____ (Name of applicant) For _____ (Name of applicant)

Name and signature of Designated Director
Director

Name and signature of Designated

Date:-

Place:

Annexure G

Format of Member Covering Letter

(On the letterhead of Applicant)

Date: _____

To,

The Managing Director,
MCX Stock Exchange Limited / MCX-SX Clearing Corporation Limited
Mumbai

Dear Sir,

Subject: Application for approval of membership with MCX Stock Exchange Limited (MCX-SX) and/or MCX-SX Clearing Corporation Limited (MCX-SX CCL).

I/We am/are interested to become the TM/TCM /PCM of MCX Stock Exchange Ltd and/or MCX-SX Clearing Corporation Limited and forward herewith application form along with documents for approval of membership and registration of Membership with SEBI.

Kindly arrange to approve our application for the aforesaid membership and submit our application to SEBI for registration.

I/We undertake to conform to and to abide by the Rules, Bye-Laws, Business-Rules, Regulations, Circulars, Notifications and office orders issued by the MCX Stock Exchange Ltd and/or MCX-SX Clearing Corporation Limited SEBI from time to time.

Thanking You.

Yours faithfully,

For _____ (Name of applicant) For _____ (Name of applicant)

Name and signature of Designated Director
Director

Name and signature of Designated

Date:-

Place:

ANNEXURE H

"FORM AB"

*SECURITIES AND EXCHANGE BOARD OF INDIA
(STOCK BROKERS AND SUB-BROKERS) REGULATIONS, 1992
(REGULATION 16J)*

*APPLICATION FORM FOR REGISTRATION AS A TRADING AND/OR
A CLEARING MEMBER OF CURRENCY DERIVATIVES SEGMENT OF A STOCK
EXCHANGE WITH THE SECURITIES AND EXCHANGE BOARD OF INDIA*

- 1. Name of the Currency Derivatives Segment of a Stock Exchange/Clearing Corporation/Clearing House of which the applicant is the member. Please furnish the tenure of membership.*

- 2. Name of the Member with Code No.*

- 3. Whether the applicant is to act as Trading member and/or Clearing member.*

- 4. If the applicant is to act as Trading member, the applicant is required to furnish the name and details of the Clearing member, through whom he intends to clear and settle his trade*

- 5. Address of the Member*

- 6. Trade Name of Member*

- 7. Form of Organisation: Sole proprietorship/Partnership/Corporate body/Financial institution (Please give names of proprietor/partners/directors).*

- 8. Please furnish a copy of Memorandum and Articles of Association or the Partnership Deed, as the case may be.*

- 9. Educational Qualifications of proprietor/partners/directors, etc.*

10. *Whether the applicant or its sales personnel or approved user has passed any certification programme? If so, please specify the detail.*
11. *The experience of the applicant or their two directors or partners in Currency derivatives trading or securities market, if so, please give details.*
12. *Date of admission to membership to Currency derivatives segment of a Stock Exchange/Clearing Corporation/Clearing House.*
13. *Whether a member of more than one exchange or Currency derivatives segment of a stock exchange or clearing corporation or clearing house of any segment? If so, please give name(s) of the Clearing Corporation/clearing house, or any stock exchange(s) with code number(s)?*
14. *Networth of the applicant. Please furnish details along with necessary documents in support thereof.*
15. *Whether the applicant or its director or partners, any time convicted of any economic offence? If so, please furnish the details?*
16. *Whether the applicant or its directors or partners, declared insolvent/bankrupt or declared defaulter by any exchange? If so, please furnish details?*
17. *Whether the applicant or its directors or partners at anytime subjected to any proceedings or penalty by the Board under SEBI Act or any of the regulations framed under the SEBI Act? If so, please furnish the details.*
18. *Indicate fax, telex and phone number(s).*
19. *Whether the application is accompanied by a requisite fee as per Schedule IVA of the Regulations as applicable to the applicant.*

I declare that the information given in this form is true and in the event of any information furnished is false, misleading or suppression of facts, my certificate of registration is liable to be cancelled by SEBI without assigning any reasons whatsoever.

Dated:

Signature:

Recommendation of the Currency derivatives segment of a stock exchange, clearing corporation/House

This is to certify that _____ is a member of this Currency Derivatives segment or Clearing Corporation or Clearing House and is recommended for registration with the Securities and Exchange Board of India.

Signature :

Name :

Designation :

ANNEXURE

ADDITIONAL INFORMATION TO BE SUBMITTED AT THE TIME OF REGISTRATION OF APPLICANT WITH SEBI

1. Name of the Stock Exchange

2. a) Name of the Applicant Member Broker

b) Exchange Clearing Code No. (If allotted by the Stock Exchange)

3. Trade Name of Member

4. Address of Member

Tel. No. (O)

Tel. No. (R)

Fax No.

5. Form of Organisation: Please tick the relevant entity

a) Sole Proprietorship b) Partnership

c) Corporate Body I) Financial Institution

 II) Others

 III) Foreign Joint Ventures

(If an Indian Company is holding more than 25% of total equity in the joint venture, please give details of top five shareholders of Indian Company).

Name of Indian Company	
Top five shareholders	% Holding
1.	
2.	
3.	
4.	
5.	
FIPB Approval, if applicable	

6.A) Sole Proprietorship:

Name of Proprietor	Educational Qualification	Age (on the date of filing of application)	Experience (specify the nature and years)

B) Partnership :

Name of Partners	Age (on the date of filing of application)	Educational Qualification	Experience (specify the nature & years)	In case of Partner(s) is/are registered with SEBI, give SEBI Reg. No.

C) Corporate Body (Financial Institution/Others):

i) MOA Object Clause contains stock broking as one of the object in

- a) Main Object
- b) Other Object
- c) Incidental Object

(If stock broking clause appears in other object, please attach a copy of special resolution to amend the MOA to incorporate Stock Broking in main object clause)

ii) Mention relevant Clause No.

(Please enclose copy of the relevant clause of the MOA duly certified by the Stock Exchange. If certified copy is not enclosed, application would be returned).

iii) Information regarding directors:

Name of directors with Designation (whether whole-time/designated/additional)	Percentage of Share holding	Educational Qualification	Experience (specify nature and years)	Whether directors in other corporate bodies engaged in capital markets (please give names and SEBI Reg. No.)

iv) Details of top five shareholders:

Name of Share holders	Percentage of Share holding	Educational Qualification	Experience (specify nature and years)	Whether Share holders in other corporate bodies engaged in capital markets (please give names and SEBI Reg. No.)

7. a) Date of admission to Membership of the Stock Exchange

b) Mode of Acquiring Membership

(Please attach old SEBI Regn. Certificate in all cases other than the case of new membership)

i) New Membership

ii) Conversion

iii) Succession

iv) Auction Purchase

(In case member has become defaulter)

v) Market Purchase

vi) Transfer of another company under same management (please specify reasons)

vii) Others

Please specify

c) Please give the following information in all the cases other than the case of new membership

i) Name of the previous holder of the card

ii) SEBI Regn. No.

iii) Date of Regn. No.

d) Whether applicant is member of more than one Stock Exchange?

YES

NO

e) If yes, please give name(s) of the stock exchange(s) with Code No. and SEBI Regn. No.

Name of Exchange(s)

SEBI Regn. No.

8.a) Whether any of the Associate Companies/Partnership/Proprietorship Firm is/are having direct/indirect interest (*as defined below) in capital market

YES

NO

* The member is deemed to have direct/indirect interest in the following conditions:

- i) Where he is individual, he or any of his relative being a broker/any intermediary, he or any of his relative being a partner in a broking firm/any intermediary, he or any of his relative being a director in a broking company/any intermediary or he or any of his relative clubbed together holding substantial equity in any broking company/any intermediary engaged in capital market.
- ii) Where it is partnership firm/company, the relative(s) of partner(s)/director(s) in the firm(s)/corporate body being a broker/any intermediary or being partners(s)/director(s) in any broking/intermediary engaged in capital market.
- iii) Relative shall mean husband, wife, brother, unmarried sister or any linear ascendant or descendant of any individual.

b) If yes, please give details (you may attach separate sheet, if required)

Name	Form of Organisation	Type of Intermediary #	Whether registered with SEBI (give Reg. No.)	Nature of interest

Merchant Banker, Portfolio Manager, Registrar to Issue & Share Transfer Agent, Banker to an Issue, Mutual Fund, Venture Capital, Underwriter, Debenture Trustee, FII.

9. Disciplinary Action initiated/taken against the Associate entities, as indicated in 8(b) above. (Please state details of nature of violation, action initiated/taken and by which authority)

a) Disciplinary action taken by SEBI (If yes, please attach details mentioning nature of violation and action taken)

YES NO

b) Disciplinary action taken by any other authority (Please attach details of nature of violation and action initiated)

YES NO

c) Disciplinary action initiated by SEBI (If Yes, please attach details of nature of violation and action initiated)

YES NO

d) Disciplinary action initiated by any other authority (please attach details of nature of violation and action initiated)

YES NO

10. a) Net-worth as per the requirement of the Exchange (Rs. In Lakhs)

b) Applicant's net-worth in accordance with formula
 Prescribed by concerned stock exchange (Rs. in Lakhs)
 (Certificate from a qualified C.A. certifying the above should be enclosed)

c) Please indicate the net-worth as per the following formula (Rs. in lakhs)

- i) Paid up capital
- ii) Free Reserves (Exclusive of Revaluation Reserves)
- iii) Less: Misc. Expenditure not written off

Total Net-worth (i+ii-iii)

I/We declare that the information given in this form is true to the best of my knowledge and belief.

Date :

Signature
Name and address of the applicant

List of Enclosures:

1. Registration fees – DD of Rs.50,000/- (DD No. _____ dated _____, drawn on _____ Bank, in favour of “Securities and Exchange Board of India) (Applicable only in case of TCM & PCM)
2. Copy of relevant clause of MOA duly certified by the stock exchange.
3. Certificate from the qualified Chartered Accountant certifying the networth and paid up capital
4. Undertaking by applicant that he/it had not introduced through any member broker/ sub-broker of the Exchange any fake/forged/stolen shares in the Exchange/market. If yes, details thereof including action taken, if any, by the applicant.

Certification of the Exchange

The above details have been scrutinized as per record made available to the stock exchange.

SIGNATURE :
NAME :
DESIGNATION :
SEAL OF STOCK EXCHANGE :

ANNEXURE I

Format of Clearing Member Confirmation

(On the letterhead of the Clearing Member)

Date: _____

To,

MCX Stock Exchange Limited / MCX-SX Clearing Corporation Limited
Mumbai

Dear Sir,

We hereby agree and undertake to act as a Clearing Member on the Currency Derivatives Segment of MCX Stock Exchange limited and /or MCX-SX Clearing Corporation Limited to clear the trades of the below mentioned Trading Member, subject to due diligence and subsequent approval by the Exchange.

Name of Trading member: _____

Thanking You.

Yours faithfully,

For (Name of the Clearing Member)

1. Authorised Signatory/Designated Director

2. Authorised Signatory/Designated Director

Rubber Stamp

ANNEXURE J

DETAILS OF DOMINANT PROMOTER GROUP

(On letter-head of applicant)

DETAILS OF DOMINANT PROMOTER GROUP as on _____

Sr No	Name of dominant shareholder	Person (s) supporting dominant shareholder	Relation \$	No. of shares held	Total Amt paid up @	% of Total @		% of Total
						Self	Relatives	
1								
2								
3								
TOTAL								

\$ Please specify relation of person supporting dominant shareholder

@ : For arriving at the shareholding of persons constituting the dominant promoter group, the shareholding of close relatives, namely parents, spouse, children and their descendants, brothers and sisters only may also be counted provided these relatives have given an irrevocable, unconditional support in writing in the prescribed format to the Exchange / Clearing Corporation.

Date:

Place:

For _____ (Name of applicant)

For _____ (Name of applicant)

Name and signature of Designated Director

Name and signature of Designated Director

CERTIFICATE

This is to certify that the shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

IF APPLICABLE

**UNDERTAKING FROM RELATIVE OF PERSONS CONSTITUTING
DOMINANT PROMOTER GROUP**

I, Mr./Ms./Mrs. _____, son/daughter/wife of Mr. _____, resident of _____ am the absolute owner of _____ (no.) of shares of Rs. ___ each, Rs. _____ per share paid up, which constitutes _____ % of the total paid up capital of the company _____ private limited/ limited as on this date.

I state that I shall irrevocably and unconditionally support in respect of my shareholding, Mr/Ms. _____, a shareholder in the above mentioned company. I further state that I have no objection to my above mentioned shareholding being clubbed with the shareholding of Mr. _____, who is my _____ (give relation's with the latter) for the purpose of determining the dominant promoter group of the said company.

This support is irrevocable and I also undertake to give prior information to MCX Stock Exchange Limited and/or MCX-SX Clearing Corporation Limited before selling or otherwise transferring any part or whole of my above mentioned shareholding.

Signature of relative
(Name of the relative)

Date:
Place:

Witness by: _____ (Signature of witness) Witness By _____(Signature of witness)

(1) Name:
Address:

(2) Name:
Address:

Note: For arriving at the shareholding of persons constituting the Dominant promoter group, the shareholding of close relatives, namely parents, spouse, children and their descendants, brothers and sisters only may be counted provided these relatives give an irrevocable, unconditional support in writing on the prescribed format

CERTIFICATE

This is to certify that the Shareholding of _____(Name of person supporting) in _____(name of the applicant) as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:
Date:

For (Name of Accounting Firm)

Signature of and Name of Partner /Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

IF APPLICABLE

(To be submitted on the letter head of the Corporate supporting the Dominant Promoter Group)

UNDERTAKING FROM CORPORATES SUPPORTING DOMINANT PROMOTER GROUP

We, M/s. _____ Ltd., incorporated as a Company under the Companies Act, 1956 and having its registered office at _____ do state as under:

1. As per the existing norms of MCX Stock Exchange Limited and/or MCX-SX Clearing Corporation Limited, the shareholding of Mr./Ms. _____* in our company in direct proportion to our shareholding in the Member Company, may be reckoned for the purpose of arriving at the dominant promoter group in M/s. _____ (Member Company).
2. We are _____% shareholder of the Member Company and Mr./Ms. _____, dominant promoters of the Member Company along with his/her specified relatives i.e., _____ are having _____% shareholding in our company.
3. Mr./Ms. _____* have requested MCX-SX and/or MCX-SX CCL to consider their shareholding in our company in the permissible proportion to arrive at the dominant shareholders in the Member Company and also requested us to give an irrevocable undertaking extending unconditional support to Mr./Ms. _____ (Name of the Dominant promoters of the Member Company) to enable MCX-SX and/or MCX-SX CCL to consider the aforesaid as dominant promoter group.
4. We hereby extend our unconditional and irrevocable support in support of Mr./Ms. _____ (Name of the Dominant promoters of the Member Company) for the purpose of the determining the dominant promoter group in the said Member Company.
5. We also undertake to give prior information to MCX Stock Exchange Limited and/or MCX-SX Clearing Corporation Limited before effecting any change in the shareholding of Mr./Ms. _____.*

For -----

Signature of Authorised Signatory (ies)
Name of the Authorised Signatory (ies)

Date:

Place:

Witness by: _____ (Signature of witness)

Witness By _____ (Signature of witness)

(1) Name:

Address:

(2) Name:

Address:

* Name of the Dominant Promoters of the Member Company along with their specified relatives having shareholding in the corporate giving the undertaking.

CERTIFICATE

This is to certify that the shareholding in _____ (Name of supporting corporate) as mentioned below is based on our scrutiny of the books of accounts, records and documents.

Sr. No.	Name of the Share holder	No. of Shares	Paid up Share Capital	% Shareholding

We further certify that the information given above is true and correct to the best of our knowledge and as per information provided to our satisfaction

Place:
Date:

For (Name of Accounting Firm)

Name of Partner / Proprietor
Chartered Accountant
Membership Number
Rubber Stamp

BOARD RESOLUTION

(On letterhead of corporate supporting the dominant group)

Certified true copy of the Resolution passed at the meeting of the Board of Directors of _____ (Name of the Company supporting Dominant Promoter Group) held on _____ (Date) at _____ (Venue).

Resolved that the company shall extend its unconditional and irrevocable support in favour of Mr./Ms. _____, for the purpose of determining the dominant promoter group in M/s. _____ (Member) and accordingly, execute necessary documents including an irrevocable undertaking to give effect to the same and submit it to MCX Stock Exchange Limited. Resolved further that Mr./Ms. _____, (Designation of the director) of the company be and is hereby authorized to execute necessary documents including such undertaking.

Certified to be true

For _____ (Name of the Company)

Note: The above certificate and Board resolution should be given along with the undertaking as given by corporate supporting the dominant promoter group

Annexure K

Infrastructure Undertaking *(on the letterhead of the Applicant)*

We hereby declare the following:-

We have the necessary infrastructure like adequate office place, equipment and manpower to effectively undertake our activities as member of Currency Derivatives segment of MCX Stock Exchange Ltd.

Below mentioned are the basic infrastructure requirements that we own / have taken on rent/ leave and licence /lease for trading in Currency Derivatives segment of MCX-Stock Exchange.

S No.	PARTICULARS	DETAILS
1	Name of Company	
2	Address	
3	Telephone Numbers	
4	Fax Numbers	
5	Office Premises Description	(office space in sq ft)
6	Particulars of office Premises	Is the office Premises owned / taken on rent/ leave and licence/lease – please specify clearly
7	Office address (es)	
8	Other Assets	Details of Fixtures & Furniture or any other related movable assets (Also specify clearly whether owned / taken on rent / leave and licence/ lease)
9	No. of Computers	(owned / taken on rent/ leave and licence/ lease – please specify clearly
10	Back Office	Proposed from / (name of the vendor)
11	No. of Employees	

We confirm that the above stated facts and details are true and correct and I / We have not misrepresented and / or concealed /suppressed any material facts in this regard.

We also confirm that in the event of any false / incorrect particulars furnished by me/ us or any misrepresentation of facts / suppression /concealment of facts by us, our application for membership may be rejected / our membership registration may be cancelled and penal action may be taken against us.

For _____ (stamp of applicant)

For _____ (stamp of applicant)

Name and signature of Designated Director

Name and signature of Designated Director

Date :-

Place :-

Annexure L

Format of confirmation letter by applicant regarding Membership of their associates / sister concerns / group concerns on Recognized Commodity Exchanges
(on the letterhead of the applicant)

The Membership department
MCX Stock Exchange Limited
Exchange Square, CTS No. 255,
Suren Road, Andheri (East),
Mumbai - 400 093

Dear Sir,

We hereby confirm that our associates / group companies / sister concerns are members of the following recognized Commodity Exchanges.

Sr No	Name of the associate / group company / sister concern	Pl specify the relationship with applicant (whether associate / group company / sister concern / any other manner of being related to the applicant)	Constitution	Name of the recognized commodity Exchange	Reg No	Mem ID	Regn Date

The details of shareholding / sharing pattern and details of directors / partners of the above mentioned associates / group companies / sister concerns is given in the Annexure.

We confirm that the above stated facts and details are true and correct and We have not misrepresented and / or concealed / suppressed any material facts in this regard. We also confirm that in the event of any false / incorrect particulars furnished by me/ us or any misrepresentation of facts / suppression / concealment of facts by us, our application for membership may be rejected / our membership registration may be cancelled and penal action may be taken against us.

For _____ (stamp of applicant)

For _____ (stamp of applicant)

Name and signature of Designated Director

Name and signature of Designated Director

Date :-

Place :-

ANNEXURE M

**Format of confirmation letter by applicant in respect of membership of other stock exchanges /
recognized commodity exchanges**

(on the letterhead of the applicant)

To,

Membership Department
MCX Stock Exchange Ltd
2nd Floor, A Wing,
CTS No.255, Suren Road
Chakala, Andheri (East)
Mumbai 400 093

Dear Sir,

We hereby confirm that we _____ (Name of the applicant)

- are not Members of any recognized Commodity exchange in India.#
- are not Members of any Stock Exchanges in India #
- are Members of the following Stock / Commodity Exchanges in India #

Name of the Exchange	Segment	Registration No.	Mem ID	Regn. Date

We confirm that the above stated facts and details are true and correct and We have not misrepresented and / or concealed /suppressed any material facts in this regard.

We also confirm that in the event of any false / incorrect particulars furnished by us or any misrepresentation of facts / suppression /concealment of facts by us, our application for membership may be rejected / our membership registration may be cancelled and penal action may be taken against us.

For _____ (stamp of applicant)

For _____ (stamp of applicant)

Name and signature
Designated Director

Name and signature
Designated Director

Date:-
Place:-

Please Strike out whichever is not applicable

Additional documents and guidelines:

1. Minimum paid up equity share capital of the corporate should be Rs 30 Lakhs.
2. RBI Approval from the concerned regulatory Departments of RBI to take membership on Currency Derivatives segment (wherever applicable)
3. MOA of the applicant - with the following main objects clause
Suggested clause: To acquire membership of MCX Stock Exchange or any other Stock Exchange for carrying on business as a Stock Broker on any or all Segments of such Stock Exchange and to become member of Currency derivatives segment of such stock exchange; to act as a sub-broker affiliated to any Stock Broker; or to become member of any Clearing Corporation or Clearing House of any stock exchange
4. Certified copy of PAN Card of the applicant
5. Certified copy of Proof of Age, certified copy of PAN Card, Education and experience proof of at least two years in securities market of designated directors
6. Net worth certificate as on 31.3.09
7. Audited Balance Sheet and Profit and Loss Account with all schedules as on date of Networth certificate (31.3.09)
8. NISM certification -2 users- certified true copies
9. Admission fees as applicable and processing fees as applicable on the date of receipt of application, complete in all respects including complete documentation as required by MCX-SX and SEBI plus applicable service tax
10. Deposits as applicable on the date of receipt of application, complete in all respects including complete documentation as required by MCX-SX and SEBI
11. 'Form AB' and 'Additional information to be submitted at the time of registration of applicant with SEBI' should not be on letter head of the applicant but required on plain paper
12. All the pages of Form AB have to be signed and stamped at the bottom and there should be signatures of the designated directors and stamp of applicant vertically also on each page. In case of any corrections, the same should be signed and stamped as stated above
13. Wherever it has been stated in the formats that it has to be certified by a chartered accountant such certificate has to be obtained.
14. Please see the notes given under some of the formats of the documents enclosed and same has to be also complied with.

15. All documents have to be given in two original sets