

**MEMBERSHIP REGISTRATION DOCUMENTS CHECKLIST OF MCX STOCK  
EXCHANGE LIMITED FOR Partnership TCM**

Sr. No.	Instruction for filling-up Membership registration related documents	Compliance (Yes / No)
<b>A.</b>	<b>SEBI Fees:-</b>	
1	<b>Demand Draft</b> of Rs.50,000/- in favor of “Securities and Exchange Board of India” <i>payable at Mumbai</i>	
<b>B</b>	<b>FORM - AB</b>	
1	Form should not be on the letter head of the company	
2	In case of Trading Member only one form AB is required (Mention “ <b>Trading Member</b> ” in point no. 3)	
3	In case of TCM/PCM <b>two</b> form AB is required (In first form AB point no. 3 mention “ <b>Trading Member</b> ” and in second form AB point no.3 mention “ <b>Clearing Member</b> ”)	
4	<b>Point no.1</b> – Mention “MCX Stock Exchange Ltd”	
5	<b>Point no.2</b> – Leave this point blank to be filled by the Exchange.	
6	<b>Point no. 4</b> – Mention name of the Clearing Member along with complete address ( <i>Applicable only for Trading Member</i> )	
7	<b>Point no.5</b> – Mention Registered office address of the company/Firm/Proprietor (Address given here will be printed on the SEBI registration certificate)	
8	<b>Point no.6</b> – Mention Trade name of the Member	
9	<b>Point no. 7</b> – Mention form of organization (Partnership Firm) along with name of Managing partner. e.g.  <b>Form of organization - Partner Managing Partner:-</b> Mr. Ganesh Kanaujiya Mr. Praveen Acharya	
10	<b>Point no. 8</b> – Kindly mention “Enclosed” partnership Firm	
11	<b>Point no. 9</b> – Mention the name of the Managing partner and their Education: e.g.  Mr. Ganesh Kanaujiya = B.com/ C.A Mr. Praveen Acharya = B.Com	
12	<b>Point no. 10</b> – Mention name of the Two operators whose certificates have been given along with name of the certification course. For eg.  Mr. Santosh Menon – NCFM (Reg.no. NCFM-00000053500) Ms. Kalpana Mahatre – BCDE (Reg.no. BSE-BCD-BSE-AUG33120)	
13	<b>Point no.11</b> – Mention the name of the Managing partner and their Experience (Minimum Two year in Capital Market): e.g.	

	Ms. Neetu Juneja – 7 Years Mr. Partha Sen – 5 years	
14	<b>Point no.12</b> – Leave this point blank to be filled by the Exchange.	
15	<b>Point no. 13</b> – 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	<b>Point no.14</b> – 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	<b>Point no.15</b> – 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	<b>Point no.16</b> - 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	<b>Point no.17</b> – If not applicable mention “No”, if applicable then mention the details there itself, otherwise provide the details in separate annexure mentioning annexure enclosed.	
21	<b>Point no.18</b> - Mention Telephone/ Fax/Telex number of the registered office.	
22	<b>Point no.19</b> – Mention the Demand draft number and amount	
23	Managing Partner 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 Managing Partner	
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 Managing Partner along with Rubber stamp of the Exchange.	
27	Declaration by Member under the signature and <i>rubber stamp</i> and recommendation of the Exchange should be on the same page	
28	All the point should be counter signed by the Managing Partner along with rubber stamp of the entity.	
<b>C</b>	<b>Proof of Age:</b>	
1	Proof of age of Managing Partner with signature of Managing Partner and Rubber stamp of the member required to be submitted.	
<b>D</b>	<b>Proof of Education</b>	
1	Proof of education of Managing Partner with signature of Managing	

	Partner and Rubber stamp of the member required to be submitted. ( <b>Note: Minimum Qualification advised by SEBI is 12<sup>th</sup> Pass</b> )	
<b>E</b>	<b>Proof of Experience:</b>	
1	Proof of Experience of Managing Partner 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 Managing Partner 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.	
<b>F</b>	<b>Profit &amp; Loss Account &amp; Balance Sheet</b>	
1	Should be as on date of Networth certificate	
2	Should not be provisional.	
3	Profit & Loss and Balance sheet required to be certified by the Chartered Accountant.	
4	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	
5	If photocopy of C.A certified submitted, it has to be certified by Managing partner along with Rubber stamp of the entity.	
<b>G</b>	<b>Networth Certificate/ Computation</b>	
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	Break up of Networth submitted is on the letterhead of the Chartered Accountant.	
5	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	
6	Amount mentioned in the figures and words matches with the breakup & Networth Certificate	
7	Networth Certificate and the breakup of the Networth are certified by the Chartered Accountant.	
8	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	
9	The rubber stamp of the Chartered Accountant affixed on the Networth Certificate and Breakup of Networth certificate.	
10	All the heads should be there in calculation, if any point is not applicable put "Nil" in place of figure.	
11	If fixed assets given as "0" clarification required to be submitted by the Member regarding availability of premises/ Furniture/Fixtures.	
12	In case of Member is using premises/ Furniture/Fixture of sister concern	

	or any other party, separate leased agreement is required to be submitted the Member.	
13	Leased Agreement should be duly certified by the Managing Partner along with Rubber stamp of the entity.	
<b>H</b>	<b>Partnership Deed</b>	
1	<b>Partnership deed/ nature of business page</b> submitted is certified as true copy by the Managing partner under the rubber stamp of the entity	
2	<b>Below mentioned clause should be there in nature of business of Partnership Deed.</b>  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.	
<b>I</b>	<b>NCFM/BCDE Module certificate of Two operators</b>	
1	Certificates photocopies should be certified by the Managing Partner along with rubber stamp of the entity	
2	Certificate should be of <i>derivatives</i> module only	
3	Validation of certificates should not be expired	
4	Certified Photocopy of the certificates submitted should be clearly visible.	
<b>J</b>	<b>Board Resolution</b>	
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	
<b>Sr. No.</b>	<b>Particulars</b>	<b>Compliance (Yes / No)</b>
6	Two designated directors should be appointed and name of designated directors should match with the membership application form.	
7	The Specimen signature of the Designated Director is provided in the Board Resolution.	
I	Rubber stamp of the company is affixed next to the signature of the Chairman.	
<b>K</b>	<b>Details of Partners</b>	
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 Managing Partner)	
	In Partner column mark “Yes” only for the partner who has been appointed as Designated partner in authorization of Managing partner and for others put “No”.	
3	Date of the certification should be mentioned.	
4	Certified by the Managing Partner of the company under the rubber stamp of	

	company/authorized signatories.	
<b>L</b>	<b>Sharing Pattern</b>	
1	Sharing Pattern submitted is in the prescribed format of the Exchange.	
2	Sharing Pattern submitted is on the letter head of the company.	
3	Sharing Pattern submitted is certified by the Designated Director under the rubber stamp of the company/authorized signatories	
4	Sharing Pattern submitted is certified by Chartered Accountant along with rubber stamp of C.A. Firm and Membership number.	
5	Sharing Pattern of the Corporate shareholder holding more than 2% should be separately given.	
6	Details of coparceners should be given separately in case of HUF shareholder.	
<b>M</b>	<b>Undertaking</b>	
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 Managing partner given in the Undertaking should match with name given in authorization of Managing Partner.	
5	Undertaking is signed by the Managing partner along with rubber stamp of the Entity.	
6	Date and Place is given in the undertaking	
<b>N</b>	<b>Managing partner Undertaking</b>	
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 Managing partner given in the Undertaking should match with name given in 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	
<b>O</b>	<b>Infrastructure Undertaking</b>	
1	Undertaking should be on the letter of the Member	
2	Undertaking submitted is in suggested format as prescribed by the Exchange.	
3	Undertaking is signed by the Managing partner along with rubber stamp of the Entity.	
4	Date and Place is given in the undertaking	
<b>P</b>	<b>Undertaking for Member of any other Stock Exchange/ Commodity Exchange in India</b>	
1	Undertaking should be on the letter of the Member	
2	Undertaking submitted is in suggested format as prescribed by the Exchange.	
3	Undertaking is signed by the Managing partner along with rubber stamp of the Entity.	
4	Date and Place is given in the undertaking	
