

**MEMBERSHIP REGISTRATION DOCUMENTS CHECKLIST OF MCX STOCK
EXCHANGE LIMITED FOR Proprietor 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 “ Trading Member ”	
5	Point no. 4 – Mention name of the Clearing Member along with complete address (<i>Applicable only for Trading Member</i>)	
7	Point no.5 – Mention Registered office address of the Proprietor (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 (Proprietor) along with name of Proprietor. e.g. Form of organization - Proprietor Mr. Ganesh Kanaujiya	
10	Point no. 8 – Kindly mention “N.A” for Proprietor.	
11	Point no. 9 – Mention the name of the Proprietor and their Education: e.g. Mr. Ganesh Kanaujiya = B.com/ C.A Mr. Praveen Acharya = B.Com	
12	Point no. 10 – 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	Point no.11 – Mention the name of the Proprietor 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	Proprietor 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 Proprietor	
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 Proprietor 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 Proprietor along with rubber stamp of the entity.	
C	Proof of Age:	
1	Proof of age of Proprietor with signature of Proprietor and Rubber stamp of the member required to be submitted.	
D	Proof of Education	
1	Proof of education of Proprietor with signature of Proprietor 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 Proprietor 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 Proprietor 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	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 Proprietor along with Rubber stamp of the entity.	
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	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 Proprietor along with Rubber stamp of the entity.	
H	NCFM/BCDE Module certificate of Two operators	
1	Certificates photocopies should be certified by the Proprietor 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.	
I	Details of Proprietor	
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 Proprietor)	
	In Designated director/Partner column mark "NO"	
3	Date of the certification should be mentioned.	
4	Certified by the Designated Director of the company under the rubber stamp of company/authorized signatories.	
N	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 Proprietor along with rubber stamp of the Entity.	
6	Date and Place is given in the undertaking	
O	Proprietor 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/ Managing partner 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	
Q	Infrastructure Undertaking	
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 Proprietor along with rubber stamp of the Entity.	
4	Date and Place is given in the undertaking	