

### **Guidelines for Application of User ID Creation/Change or Cancellation**

- Print the application form on the letter-head of member.
- Fill-up all blanks in the Application form (Please do not leave any column blank)
- Kindly tick the appropriate column for mode of connectivity viz. VSAT/MPLS-Leased Line.
- The application form should be signed by Authorised Signatories (i.e. designated director in case of company / proprietor/ managing partner in case of Partnership firm.
- Submit the User ID undertaking on letterhead of the member alongwith the application.
- Members are requested to obtain the signature of the authorised signatories and affix rubber stamp on each and every page of the undertaking.
- For Cancellation of User ID, kindly arrange to send the application by fax to be followed by courier.
- Note that any incomplete application/ request which is not properly filled will not be entertained by the exchange.
- A member who does not own or has not paid for a VSAT/MPLS-Leased Line shall be entitled to get only one Approved User registered without the payment of any charge. Such member shall not be entitled to get additional Approved User registered until the member obtains a VSAT/ MPLS-Leased line.
- Exchange reserves the right to allow/disallow any request by the member.
- In case of any query/doubt kindly contact our customer support department.

**Note: Members are advised that the Internet connectivity should not be provided to their clients. Members willing to extend this facility to their client/s are required to adhere to the SEBI circular SMDRP/POLICY/CIR-06/2000 of January 31, 2000.**

(On the Letterhead of the Trading Member)

**APPLICATION FOR APPROVAL AS USER IN CURRENCY DERIVATIVES SEGMENT**

To : Membership Department  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093

Dear Sir,

I/We \_\_\_\_\_ (Name of Trading Member) do hereby communicate to you that Mr. / Ms. \_\_\_\_\_ (Name of User) has been appointed by us as an Authorised Person at our trading office situated at \_\_\_\_\_ where we have the VSAT / MPLS-Leased Line connectivity. We further desire that Mr. / Ms. \_\_\_\_\_ be granted permission to act as our Approved USER at the above said office for our trading terminals in the Currency Derivatives Segment.

Following are the details of the office where the terminal is located / intended to be located along with other relevant details:

1. SEBI Registration No. :
2. Our Registered Office address as on date :
3. Status and Address of the office where terminal is Located : Registered./ Head / Branch office  
Office Address :
4. Name of and designation of the person in-charge of the above office :

**DETAILS OF THE PROPOSED USER**

5. Name of the person for whom this application for allotment of User is made (*expand all initials*) :
6. Date of birth :
7. Father's name :
8. Permanent Address :
9. Present Address :
10. Qualification :
11. Type of User : Trader / Inquiry / Privilege

12. Registration No. of the Derivatives certification test (copy enclosed)

:

13. Validity Date of Derivatives certificate : \_\_\_/\_\_\_/\_\_\_\_ (in dd/mm/yyyy)

14. PAN of Approved user or Copy of Application for PAN

15. Relationship of the proposed USER with the Trading Member (i.e. an employee, agent on commission basis, trainee, others (pls. specify) and Period from which the relation commenced :

16. Mode of connectivity for trading from the said premises :  VSAT ID \_\_\_\_\_  
(from where the proposed User would operate)  MPLS-Leased Line ID \_\_\_\_\_

17. No. of existing terminals at the above VSAT / LL Id :

We hereby confirm that the required Computer systems, networking systems, etc. as prescribed by the Exchange have already been installed for the new Trader Workstation, for which this facility is being sought.

I/We hereby agree and bind myself/ourselves to be responsible for all acts, quotations made and transactions done, trades made, or effected by Mr. / Ms. \_\_\_\_\_ as our Approved User on the Trading System on the Currency Derivatives Segment of the MCX Stock Exchange. I/We shall ensure that he/she will not execute any order on his/her own account or on account of anyone without such order having my/our prior approval in writing. We shall ensure that the proposed Approved User Mr. / Ms. \_\_\_\_\_ will not function / place orders / deal on the trading system in any manner that would represent that the trades have been placed as a sub-broker unless he is a SEBI registered sub-broker. In case of Mr./Ms. \_\_\_\_\_ ceasing to be associated with us as \_\_\_\_\_, we shall communicate to you and seek the disablement of the User ID so allotted against this application. We are also aware that the Derivatives certificate has a validity of \_\_\_ years and accordingly the User IDs so allotted would be withdrawn by the Exchange on the expiry of such period unless the said certification is revalidated. I / We certify that we have not applied for any other User ID in the name of Mr. / Ms. \_\_\_\_\_ on the same segment for which this ID's now being applied for. The User ID so allotted would be utilized by Mr. / Ms. \_\_\_\_\_ only to access the Exchange trading system.

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**Stamp & Signature of the Trading Member**

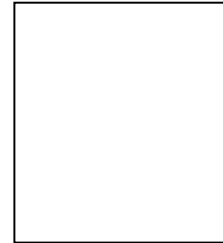
## UNDERTAKING FROM THE PROPOSED USER

I hereby declare that I am aware about the Rules, Regulations and Bye-laws and Circulars issued thereunder by the Exchange. I agree to become a User of M/s \_\_\_\_\_ (name of Trading Member). I would intimate the Exchange on ceasing to be an employee / User of M/s \_\_\_\_\_ (name of the trading member). I hereby agree to abide by the Rules, Regulations and Bye-laws and Circulars issued by the Exchange that may be in force from time to time and understand that appropriate action may be initiated by the Exchange in case of violation of the Rules, Regulations and Bye-laws and Circulars issued by the Exchange. I certify that I have not applied for any other User ID on the same segment for which this ID is now being applied for. I will not allow anybody else to access / use the Exchange Trading System using the User ID so allotted to me.

Date:

\_\_\_\_\_  
Name and signature of User

Place:



(Approved User Photograph)

**UNDERTAKING FOR USER ID**

(On Members Letter-Head)

Whereas at our request made through M/s. \_\_\_\_\_, (Member ID NO \_\_\_\_\_) who is a member of MCX Stock Exchange Limited (hereinafter referred to as "MCX-SX") has agreed to provide additional user ID/s to me/us and we hereby confirm that the terms and conditions of the undertaking for trading been read and understood by me/us and I/we hereby undertake to comply with the same. We further undertake that we shall be responsible for all transaction done by me/us using facility provided by MCX-SX or for any risk arising out use of facilities and shall not hold MCX-SX responsible for any loss or risk arising from the trading.

Further, I/we \_\_\_\_\_(Name of the member) confirm that Mr/Ms. \_\_\_\_\_(Name of user) is not debarred/declared defaulter/suspended by SEBI/stock exchanges/other authorities.

I/we further confirm that I/we shall inform to MCX-SX immediately whenever there is a change in our trading status/constitution due to above reasons.

Member Code \_\_\_\_\_

Approved User Code \_\_\_\_\_

Member Name \_\_\_\_\_

Approved User Name \_\_\_\_\_

Member Signature \_\_\_\_\_

Approved User Signature \_\_\_\_\_

Member Address \_\_\_\_\_

Approved user Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(On Members Letter-Head)

**Application for Cancellation of Approved User**

Member ID No.: \_\_\_\_\_

To,  
**Trading Department**  
MCX Stock Exchange Limited  
“Exchange Square”,  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093  
**Fax No.: 022 – 6726 9575**

Dear Sir,

**Sub: Application for cancellation of User ID**

One of our users, \_\_\_\_\_ (Name of the user) having user ID no \_\_\_\_\_, provided by MCX- SX, is no more associated with us for \_\_\_\_\_ (reason). We hereby agree and bind ourselves to be responsible for all acts, quotations and transactions done, trades made, or affected by him on the Trading System.

We request you to cancel the above said user ID with effect from \_\_\_\_/\_\_\_\_/\_\_\_\_ (Date).

We will be responsible to Exchange for clearing any dues for the user.

For (Name of Member)

Approved Signatory  
(Designated Director / Managing Partner / Proprietor)

Date:

Place:

Note: User ID's shall be deleted after the Exchange is satisfied that the same can be deleted and at the discretion of the Exchange.

(On Members Letter-Head)

**(Application for Mapping of Member Administrator / Approved Users to the mode of connectivity)**

Member ID No.: \_\_\_\_\_

To,  
Trading Department  
MCX Stock Exchange Limited  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093  
Fax No.: 022 – 6726 9575

Dear Sir,

**Sub: Mapping of Member Administrator / Approved Users to the mode of connectivity**

I/We \_\_\_\_\_ (Trade name of Member) hereby apply for the mapping of Member Administrator / Approved Users for trading through Internet/VSAT/MPLS-Leased Line connectivity.

We hereby confirm that we intend to access and trade on MCX Stock Exchange Limited as per mode of connectivity chosen below.

Sr. No.	Member ID	User ID	Approved User Name	Mode of Connectivity (VSAT/MPLS-Leased Line)	IP Address

For (Name of the Member)

Approved Signatory  
(Designated Director/Managing Partner/Proprietor)

Date:

Place:

**APPLICATION FOR PRO-ACCOUNT ENABLEMENT AT MULTIPLE LOCATIONS**

**(on Member's Letterhead)**

To,

Date:

Trading Department  
MCX Stock Exchange Limited  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093  
Fax No.: 022 – 6726 9575

I/we, a Trading Member of MCX-SX, wish to **avail** of the facility of placing orders on "Pro-account" through the following trading terminals.

In this regard, I/we are furnishing the following details: -

Trading Member ID :

Name of Trading Member :

SEBI registration no :

Address of the **Default** location :

Details of **Default** location in respect of which facility of using Pro-account sought: -

Sr. No.	User id	User Name	Branch Id	Vsat Id No. / MPLS-Leased Line Id No.	
				Primary	Dual Locking (if any)

Details of **additional** location(s) in respect of which facility of using Pro-account sought: -

Sr. No.	User id	User Name	Branch Id	Postal Address	Vsat Id No. / MPLS-Leased Line Id No.		Name and designation of the Director (s)/ Partner(s) supervising/ stationed at the location	Reason for availing pro-facility
					Primary	Dual Locking (if any)		

Yours faithfully,

Name of the Trading Member

Name & Designation of the person signed

## UNDERTAKING FOR AVAILING PRO-ACCOUNT ORDER ENTRY FACILITY AT MULTIPLE LOCATIONS

I/We \_\_\_\_\_, an individual /a firm registered under the Indian Partnership Act, 1932 / a Company / body corporate incorporated under the Companies Act of 1956 / \_\_\_\_\_ Act, 19\_\_\_, and residing at / having our registered office \_\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_ give this UNDERTAKING on this the \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_ at \_\_\_\_\_ IN FAVOUR of MCX Stock Exchange Limited, a company incorporated under the Companies Act of 1956, with its registered office at "Exchange Square", CTS No 255, Suren Road, Andheri (E), Mumbai – 400093 (hereinafter called "MCX-SX")

### WHEREAS

1. MCX-SX provides trading software (TWS) to enable its Trading Members to trade and in addition MCX-SX also provides Computer To Computer Link (hereinafter called "CTCL") facility to Trading Members for order entry, receipt of order and trade confirmation and also for receipt of data relating to its trade quotations.
2. MCX-SX, has prescribed that the facility of placing orders on "Pro-account" through trading terminals shall be availed by the Trading Members only at one location of the Trading members as specified / required by the Trading Members; any trading terminal located at a place other than the above location shall have a facility to place order only for and on behalf of a Constituent by entering client code details as required by MCX-SX/ SEBI; and In case any Trading Member requires the facility of using "Pro-account" through trading terminals from more than one location, such Trading Member shall request MCX-SX stating the reason for using the "Pro-account" at multiple locations.
3. MCX-SX has as a precondition to the Undersigned being permitted the facility of using "Pro-account" through trading terminals from more than one location required me/us to furnish the undertaking in the manner and on the terms herein below:-

**NOW THEREFORE IN CONSIDERATION OF MCX-SX** having agreed to allow me/us at my/our request to avail the Pro-account facility from more than one location, I/we hereby **IRREVOCABLY AND UNCONDITIONALLY UNDERTAKE** and agree to abide by and be bound by the following terms and conditions:-

1. That I/we undertake to enter proprietary orders only from the Pro-account terminals permitted by MCX-SX and undertake not to misuse the said "Pro-account" facility and state that the proprietary trades on the Pro-account terminals pertain to proprietary trades and not client trades.
2. That I/we state that our Director(s) / Partner(s) is/are based at the location where the "Pro-account" trading terminals are located. The Pro-account facility shall be made available to the Approved Users only after obtaining the prior written consent of MCX-SX and subject to such terms and conditions as may be prescribed by MCX-SX from time to time.
3. That I/we undertake not to use the "Pro-account" trading terminals for purposes other than the defined reasons.
4. That I/we undertake to take all such steps and/or precautions to ensure and keep ensured that the 'Pro-account' facility is not extended to a location other than the location of the trading terminals where the "Pro-account" facility is permitted by MCX-SX and CTCL terminals shall not be extended beyond the location of such permitted trading terminals.

Signature..... (Authorised Signature / Managing Partners / Individual)

Rubber Stamp

Notary (Stamp and Seal)

5. That MCX-SX, at its absolute discretion, may make the Pro-account facility available to me / us only from the date of my / our enablement on the Pro-account facility till such time as it may deem fit and further that the Pro-account facility may at any time be withdrawn by MCX-SX at its discretion without giving me / us any notice or any reasons whatsoever.
6. That I/we shall execute, sign, and subscribe, to such other documents, papers, agreements, covenants, bonds, and / or undertakings as may be prescribed or required by MCX-SX from time to time.
7. That I/we undertake to abide by all the provisions of the Byelaws, Rules, Regulations and Circulars/norms and requirements that may be in force from time to time relating to use and operation of the Trading Software (TWS) (including use of CTCL software) and that they shall also mutatis mutandis become applicable to the use and operation of the Pro-account facility.
8. That I/we undertake to render all possible assistance and cooperation to MCX-SX by providing all information in any form as it may require and shall produce such documents, records, accounts, books, data howsoever stored including data stored in magnetic tapes, floppy diskettes, etc. and any other information as may be required by MCX-SX at its discretion.

**IN WITNESS WHEREOF** this Undertaking is executed by the undersigned on the day, month, year and the place first mentioned above.

Signed by,

for and on behalf of Trading member

Before me

Signature..... (Authorised Signature / Managing Partners / Individual)

Rubber Stamp

Notary (Stamp and Seal)

## INSTRUCTIONS FOR UNDERTAKING

1. The Undertaking is to be executed on a non-judicial stamp paper worth Rs.100/- if executed in State of Maharashtra. If this Undertaking is executed outside the State of Maharashtra, then it must be executed on a non judicial stamp paper stamped in accordance to the duty as payable in the place of execution or on a non-judicial stamp paper worth Rs. 100/- whichever is higher.
2. Undertaking (including all annexures / schedules) has to be notarised before a Notary Public.
3. All the pages of this Undertaking (including all annexures / schedules) have to be signed in full. The persons signing should also sign in full at all places in the Undertaking where anything has been hand-written / any corrections have been made.

If the Trading Member is an individual, then the Undertaking has to be signed by the individual Trading Member himself.

If the Trading member is a firm, then ALL the partners are required to sign this Undertaking.

If the Trading Member is a corporate, then the Undertaking has to be signed by the Managing Director or any two Directors of the company named as an authorised signatories of the company. If the Trading Member is a corporate, the Undertaking has to be accompanied with a certified copy of the resolution of the Board of Directors of the company authorising the person(s) executing the undertaking to do so. The Common Seal of the company has to be affixed by the company on this Undertaking in the presence of such persons as authorised by the Articles of Association of the company. The Board Resolution should clearly state that the affixation of common seal shall be made in the presence of such persons as authorised by the Articles of Association of the company and should also clearly state the names of such persons. The above persons should sign the undertaking as a token of their presence when the common seal is affixed.

**APPLICATION FOR CANCELLATION OF PRO-ACCOUNT TRADING (on member's letterhead)**

To,

Date:

Trading Department  
MCX Stock Exchange Limited  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093  
Fax No.: 022 – 6726 9575

Ref: Trading Member ID - \_\_\_\_\_, Trading Member Name - \_\_\_\_\_

I/we, a Trading Member of MCX-SX wish to **disable** the facility of placing orders on "Pro-account" through the following trading terminal(s):

Sr. No.	User id	User Name

Yours faithfully,

Name of the Trading Member

Name & Designation of the person signed

(On the Letterhead of the Trading Member)

**APPLICATION FOR CHANGE OF USER NAME IN CURRENCY DERIVATIVES SEGMENT**

To: Membership Department  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093

Dear Sir,

I/We \_\_\_\_\_ (Name of Trading Member) do hereby request you to change our approved user as follows

DETAILS OF NEW USER								
User Id	Existing User Name	Proposed User Name	Pan card no of New User	Date of birth	Permanent Address	Name of the certificate issued	Registration No./ Validity Date of Derivatives certificate	Relationship of the proposed User with the Trading Member

I/We hereby agree and bind myself/ourselves to be responsible for all acts, quotations made and transactions done, trades made, or effected by Mr. / Ms. \_\_\_\_\_ as our Approved User on the Trading System on the Currency Derivatives Segment of the MCX Stock Exchange. I/We shall ensure that he/she will not execute any order on his/her own account or on account of anyone without such order having my/our prior approval in writing. We shall ensure that the proposed Approved User Mr. / Ms. \_\_\_\_\_ will not function / place orders / deal on the trading system in any manner that would represent that the trades have been placed as a sub-broker unless he is a SEBI registered sub-broker. In case of Mr./Ms. \_\_\_\_\_ ceasing to be associated with us as \_\_\_\_\_, we shall communicate to you and seek the disablement of the User ID so allotted against this application. We are also aware that the Derivatives certificate has a validity of \_\_\_ years and accordingly the User IDs so allotted would be withdrawn by the Exchange on the expiry of such period unless the said certification is revalidated. I / We certify that we have not applied for any other User ID in the name of Mr. / Ms. \_\_\_\_\_ on the same segment for which this ID's now being applied for. The User ID so allotted would be utilized by Mr. / Ms. \_\_\_\_\_ only to access the Exchange trading system.

Further, I/we \_\_\_\_\_(Name of the member) confirm that Mr/Ms. \_\_\_\_\_(Name of user) is not debarred/declared defaulter/suspended by SEBI/stock exchanges/other authorities.

Authorized Signatory \_\_\_\_\_  
& rubber stamp

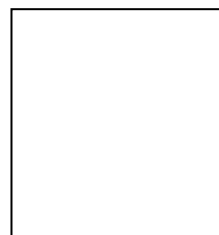
Date:  
Place:

**UNDERTAKING FROM THE PROPOSED USER**

I hereby declare that I am aware about the Rules, Regulations and Bye-laws and Circulars issued thereunder by the Exchange. I agree to become a User of M/s \_\_\_\_\_ (name of Trading Member). I would intimate the Exchange on ceasing to be an employee / User of M/s \_\_\_\_\_ (name of the trading member). I hereby agree to abide by the Rules, Regulations and Bye-laws and Circulars issued by the Exchange that may be in force from time to time and understand that appropriate action may be initiated by the Exchange in case of violation of the Rules, Regulations and Bye-laws and Circulars issued by the Exchange. I certify that I have not applied for any other User ID on the same segment for which this ID is now being applied for. I will not allow anybody else to access / use the Exchange Trading System using the User ID so allotted to me.

Place:  
Date:

\_\_\_\_\_  
Name and signature of User



(Approved User Photograph)

(On Members Letter-Head)  
**(Shifting of TWS location)**

Date : \_\_\_\_\_

To,  
Membership Department  
MCX Stock Exchange Limited  
"Exchange Square",  
CTS No 255,  
Suren Road, Andheri (E), Mumbai – 400093  
Fax No.: 022 – 6726 9575

Trading Member ID :

**Approval for Shifting of TWS**

Dear Sir,

I/We, a TM/TCM of MCX-SX hereby apply for shifting of TWS from one location to another. The details are given below :

Sr. No.	User id	Approved User Name	Existing Connectivity (VSAT/ LL/ Internet ID & IP Address )	Current Location	Proposed Connectivity (VSAT/ LL/ Internet ID & IP Address )	Proposed Location address	Name & contact No at the proposed location	Reason for Shifting of Location

For (Name of the Member)

Approved Signatory  
(Designated Director/Managing Partner/Proprietor)

Date:

Place: