**Membership Application Form**

Date: / /

To,

Head - Membership

Metropolitan Stock Exchange of India Limited/Metropolitan Clearing Corporation of India Limited

205A, 2nd Floor, Piramal Agastya Corporate Park, Kamani Junction,

L.B.S Road, Kurla West, Mumbai - 400 070

**Subject: Application for membership of Metropolitan Stock Exchange of India Limited (MSE)
under Rules of the Exchange**

Dear Sir,

I/We am/are desirous of becoming a Member of the MSE. I/We hereby apply for membership in the following segments in terms of the Memorandum & Articles of Association and the Rules, Bye-Laws, Regulations, Circulars, Notifications and Office Orders, issued by the Exchange and/or SEBI from time to time.

Segment\*

Capital Market TM SCM TCM PCM

Futures & Options/ IRF TM SCM TCM PCM

Currency Derivatives / IRF TM SCM TCM PCM

Wholesale Debt Market TM SCM TCM PCM

I/We undertake to comply at all times with all the relevant Rules, Bye-Laws, Regulations, Circulars, Notifications and Office Orders, issued by the Exchange and/or SEBI from time to time upon admission as Member of the Exchange.

I/We state that we are qualified to become Members of the Exchange and has/have not incurred any disqualifications either under the Exchange Rules/Circulars or SEBI Regulations. I/we am/are fit and proper in terms of SEBI (Intermediaries) Regulations, 2008.

I/We shall be liable for all transactions done on the Exchange by me/us or by my/our authorised representatives and I/we shall comply with all requirements of the Exchange relating to settlement thereof.

I/We also confirm to abide by all decisions of the Exchange/Clearing Corporation with respect to the operation of the Exchange/Clearing Corporation and would perform accordingly in meeting my/our financial, regulatory and operational responsibility as decided by the Exchange/Clearing Corporation from time to time.

I/We give my/our details in the Format given in Annexure A to this application.

Thanking you.

Yours sincerely,

**Signature with Stamp**

(Individual/ Designated Partners/ Designated Directors)

Place:

\*All additional Exchange and SEBI compliances for each segment, as applicable, will have to be done separately.

**Annexure - A (Details of applicant)**

1. Date of Birth/Formation/Incorporation: DD/MM/YYYY

2. Permanent Account No. (PAN):

3. Corporate Identity No. (CIN):

4. Brief Description of principal activity of the applicant\*:

5. Brief description of group, if any, to which the applicant belongs\*:

6. Address for Correspondence:

 City: District:

 State/ Union Territory: Pin code:

 STD Code: Tel:

 Fax: Website:

 Email:

7. Details of Infrastructure/ Office: (In case the applicant has any other offices, the details of the same can be given in similar format:

 Address:

 State/ Union Territory:

 City: Pin code:

 Tel: Fax:

 Carpet area of office (in sq.ft): Ownership/ Leased, etc.:

 Contact Person/ Authorised Signatory and designation:

8. Details of the Chief Executive Officer/Managing Director (Please attach a resume separately):

 Name:

 Designation: Tel:

 Fax: Mobile:

 PAN No: Email:

9. Whether you or any two of your Directors or partners have minimum 2 years of relevant experience in securities market. (Yes/ No)

10. What is your networth (Please give your networth as on a date not longer than six months before the date of the application)

11. Details of Compliance Officer:

 Name:

 Mobile: PAN No:

 Email:

12. Are you an existing member of the Exchange/Clearing Corporation? If so, please specify the details:

 Membership Id:

 Sebi Registration No:

Signature (1): Signature (2):

Rubber Stamp: Rubber Stamp:

\*May attach material/ write up separately

**Annexure - A (Contd..)**

13. Please give answers to the following questions in YES/ NO only. (If answer to any of the questions is Yes, please provide complete details, separately by way of a write up, annexing to this format)

a. Whether you have been engaged as principal or employee in any business Yes No
other than that of securities?

b. Have you committed any act which may render you liable to be wound – up? Yes No

c. Have you had a provisional liquidator or receiver or official liquidator appointed Yes No
by any court?

d. Whether any of your designated directors are associated with any of the members/ Yes No
sub-brokers/ authorised persons of the Exchange?

e. Are you listed on any stock exchange? Yes No

f. Are you a member of any other Exchange/ Clearing Corporation? Yes No
If so, please specify the details:

 Name of the Exchange:

 Segment:

 Sebi Registration No:

g. Whether you or your directors or partners, were at any time convicted of any Yes No
economic offence or offence involving fraud or dishonesty or involving
moral turpitude?

h. Whether you or your directors or partners were at any time subjected to any Yes No
proceedings or penalty by the Board under SEBI Act or any of the regulations
framed under the SEBI Act?

i. Whether you or your directors or partners were declared insolvent/bankrupt or Yes No
declared defaulter or expelled by any exchange or clearing corporation?

j. Whether any of your Directors held the offices as Directors in any company which Yes No
had been a member of any stock exchange or clearing corporation & had been
declared defaulter or expelled by the stock exchange or clearing corporation?

k. Whether you or any of your Directors or partners were previously refused Yes No
membership by any stock exchange or clearing corporation?

14. **Details of fees paid in favour of Metropolitan Stock Exchange of India Limited**

 Payment in the form of: **Demand Draft/ Pay Order/ Cheque/ NEFT/ RTGS**

 Instrument No: Instrument date:

 Issuing Bank: Amount:

 NEFT/ RTGS Date: Transaction Ref No:

**MSE Bank Details for NEFT & RTGS:** HDFC Bank, Credit Account No.: 00990680013757
IFSC Code: HDFC0000060

Signature (1): Signature (2):

Rubber Stamp: Rubber Stamp:

\*May attach material/write-up separately

**Membership Application Form (contd..)**

**UNDERTAKING**

We hereby undertake/ state that:

• The above-mentioned particulars are true, correct and complete to the best of our knowledge and information and no relevant material fact has been suppressed.

• There is not any misstatement or misrepresentation or suppression of facts in connection with this application for trading membership or breach of any undertaking or condition of admission to trading/clearing membership entails rejection of application or membership.

• I/We have disclosed and reported all the details in regard to inquiry/investigation, if any, that has been conducted by any authority including government agencies against applicant/promoters/directors etc., during the past 10 years and the findings of the concerned agencies available with me/us have been disclosed fully along with this application.

• I/We shall pay the required fee and deposits to the Exchange and submit the necessary documents as required by the Exchange for my/our seeking the trading membership of the Exchange and as required from time to time.

• I/We understand that the admission fee and processing fee being paid along with this application by me/us to MSE is non-refundable and I/We undertake not to make any claim on MSE for refund of the said fees for any reason whatsoever.

• I/We will notify the Exchange within 15 days of any change in information provided in the application.

• I/We will take prior approval for any change in our constitution.

• On admission of membership of the Exchange I/we will not deal in any business other than that of securities.

Date:

Place:

Authorised Signatories:

Signature(s):

Name of the signatories:

Designation of the signatories:

Trade name of the applicant:

Rubber Stamp:

Photographs:

Affix photograph and sign across the photograph

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