



Metropolitan Stock Exchange of India Limited

Membership Application Form

Date:

To,
Head - Membership
Metropolitan Stock Exchange of India Limited/ Metropolitan Clearing Corporation of India Limited
4th Floor, Vibgyor Towers, Plot No. C-62,
Opp. Trident Hotel, Bandra Kurla Complex,
Bandra East, Mumbai - 400098

**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		<input type="checkbox"/> TCM - SCM		
Futures & Options / IRF	<input type="checkbox"/> TM	<input type="checkbox"/> SCM	<input type="checkbox"/> TCM	<input type="checkbox"/> PCM
Currency Derivatives / IRF	<input type="checkbox"/> TM	<input type="checkbox"/> SCM	<input type="checkbox"/> TCM	<input type="checkbox"/> PCM
Wholesale Debt Market	<input type="checkbox"/> TM	<input type="checkbox"/> SCM	<input type="checkbox"/> TCM	<input type="checkbox"/> 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 us or by our authorised representatives and 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 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 network	(Please give your network 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? If so, please specify the details:	
	Membership Id:	
	SEBI Registration No:	

Signature (1):

Rubber Stamp:

Signature (2):

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 other than that of securities? ☐ Yes ☐ No
- 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 by any court? ☐ Yes ☐ No
- d. Whether any of your designated directors are associated with any of the members/ sub-brokers/ authorised persons of the Exchange? ☐ Yes ☐ No
- e. Are you listed on any stock exchange? ☐ Yes ☐ No
- f. Are you a member of any other Exchange/ Clearing Corporation? If so, please specify the details:
- Name of the Exchange: ☐ Yes ☐ No
- Segment: ☐ Yes ☐ No
- SEBI Registration No: ☐ Yes ☐ No
- g. Whether you or your directors or partners, were at any time convicted of any economic offence or offence involving fraud or dishonesty or involving moral turpitude? ☐ Yes ☐ No
- h. Whether you or your directors or partners were at any time subjected to any proceedings or penalty by the Board under SEBI Act or any of the regulations framed under the SEBI Act? ☐ Yes ☐ No
- i. Whether you or your directors or partners were declared insolvent/bankrupt or declared defaulter or expelled by any exchange or clearing corporation? ☐ Yes ☐ No
- j. Whether any of your Directors held the offices as Directors in any company which had been a member of any stock exchange or clearing corporation & had been declared defaulter or expelled by the stock exchange or clearing corporation? ☐ Yes ☐ No
- k. Whether you or any of your Directors or partners were previously refused membership by any stock exchange or clearing corporation? ☐ Yes ☐ No

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: HDFC 0000060

Signature (1):
Rubber Stamp:

Signature (2):
Rubber Stamp:

Membership Application Form (contd..)

UNDERTAKING

I/ 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 no 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 past 10 years and the findings of the concerned agencies available with 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 our seeking the trading membership of the Exchange and as required from time to time.
- I understand that the admission fee and processing fee being paid alongwith this application by me/us to MSE is non-refundable and I 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.
- I/ we agree to permit MSE to send transactional SMS / Email alerts to us and our clients as per prevailing SEBI guidelines in force from time to time.
- 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

Affix photograph
and sign across
the photograph