

CHECKLIST

A. AS CONSTITUENT IN THE CLEARING CORPORATION

Entities seeking registration as constituent in REPO segment of the Clearing Corporation shall provide the following documents/details:

| Sr. | Documents | Tick the box |
|------------|--|----------------------------|
| I | Application Form <ul style="list-style-type: none">• To be on the letterhead of the Applicant• Each page of the form/ annexures attached thereto to be duly stamped and signed by the authorized signatories.• If any information is not applicable, “Not applicable/N/A” to be mentioned.• Recommendation of clearing member should be signed by the authorised signatory of the clearing member | (Format as per Annexure-1) |
| II | Certificate of Chartered Accountant w.r.t Networth <p>To be given as per the format prescribed by the Clearing Corporation, duly certified by CA.</p> <ul style="list-style-type: none">• The certification of the CA should not be older than 6 months from the date of submission of application.• To be on the letterhead of certifying CA• To be given as per the format prescribed by the Clearing Corporation<ul style="list-style-type: none">- As per L.C. Gupta networth computation- If the applicant is regulated by sectoral regulator other than SEBI, the networth may be computed in the manner as specified by such sectoral regulator.• The figures reported in Computation of networth should tally with the relevant figures as reported in the Balance Sheet. | (Format as per Annexure-2) |
| III | Copy of Registration certificate issued by regulatory authority, if any. | |

| Supporting to be annexed | | |
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| Sr. | Documents | |
| 1. | Group structure <ul style="list-style-type: none"> Kindly provide the latest group corporate structure of the applicant's group of companies. | |
| 2. | Board Resolution <ul style="list-style-type: none"> To authorise the applicant entity to apply to Clearing Corporation for accepting direct margins and collateral from the applicant entity which is the constituent. To mention the names and designation of authorized signatory(ies) and whether jointly/severally, etc. The specimen sign of authorized signatory (ies) to be provided. | (Format as per Annexure -3) |
| 3. | Certificate of Incorporation, MOA and AOA/ Indenture of Trust <ul style="list-style-type: none"> To be certified true, stamped and signed by the authorized signatories. The main objects of the Memorandum of Association/ Indenture of Trust should contain clauses pertaining to investment in securities. In case there is a change in registered office address/ change in authorised capital, kindly provide relevant documents submitted to Registrar of Companies in this regard. | |
| 4. | PAN Details <ul style="list-style-type: none"> To provide certified copy of the PAN card of the applicant entity. PAN details of client and KMP. | |