

(For Participant)

Application Form for Registration as Participant of AMC Repo Clearing Limited
(On the letterhead of the applicant)

To,
The Managing Director
AMC Repo Clearing Limited
Unit No-503, Windsor,
Off CST Road, Kalina,
Santacruz East,
Mumbai-400 098.

Submitted through Clearing member (Name, CM ID and Address)

Dear Madam/Sir,

We, _____ are desirous to become the participant of the **Clearing Member (CM name)** in the __ Repo segment of the AMC Repo Clearing Limited (“**AMC Repo**” or “**Clearing Corporation**”) and submit requisite details as under:

I. APPLICANT DETAILS:

Sr.	Particulars	
1.	Name of Applicant	
2.	Form of Organization {(Corporate body, Financial Institution, Trust, Insurance Companies, Others (please specify)}	
3.	Permanent Account No. (PAN) of the Applicant	
4.	Date of Incorporation/ Registration, as applicable (DD/MON/YYYY)	
5.	Corporate Identity No. (CIN), if applicable	
6.	Brief description of group, if any, to which the applicant belongs	
7.	Whether admitted as a Trading Member/ Clearing Member of any other Stock Exchange/ Clearing Corporation. (Please provide the copy of the certificate of registration)	
8.	Details of Registration with any other Regulatory Authority	Regulator Name: Details of Registration: Registration No.: Validity:
9.	Related party information	Information of group entities- promoters, other group entities, step down subsidiaries

II. OFFICE DETAILS:

Type of office	Registered Office	Correspondence Office
Address		
City		
District		
State/Union Territory		
Pin code		
STD Code		
Telephone No.		
Fax		
E-mail ID		
Website		

III. PERSONNEL DETAILS:

Details of the Chief Executive Officer /Managing Director, Compliance Officer and Other Directors (in case of a mutual fund, details of Chief Executive Officer /Managing Director, Compliance Officer and Other Directors of the AMC):

Particulars	CEO/Managing Director
Name	
Designation	
Date of Appointment	
Tel. No.	
Fax No.	
Mobile No.	
E-mail ID	
PAN	

Particulars	Compliance Officer
Name	
Qualification	
Tel. No.	
Fax No.	
Mobile No.	
E-mail ID	
PAN	
Date of appointment	
Experience	
Correspondence address	

Particulars	Other Directors*
Name	
Qualification	
Category	
DIN	
Details of Interest in the Applicant	

Details of Directorship in Other entities	
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*Please enclose separate annexure providing details of all the Directors

Particulars	Treasury	
	Head - Front Office	Head - Back Office
Name		
Qualification		
Tel. No.		
Fax No.		
Mobile No.		
E-mail ID		
PAN		
Date of appointment		
Experience		
Correspondence address		

IV. BANK DETAILS

A. For Margin Purpose:

Name of Bank	
Bank Branch Address	
Account name	
Account No.	
Account type	
IFSC Code	

B. For Settlement Purpose:

Name of Bank	
Bank Branch Address	
Account name	
Account No.	
Account type	
IFSC Code	

V. DEMAT ACCOUNT DETAILS

Name of the Depository	
Name of the Depository Participant	sx
Address of the Depository Participant	
Account Name	
Account No.	

VI. ASSOCIATES* DETAILS

Disclosure of PAN and Other details:

Sr.	Category	Name of person/entity	PAN	CIN (Applicable only for corporates)	Address
1	Promoters (Provide additional details such as, Address, Telephone No., Email etc.)				
2	Associate(s)				
3	All entities / persons falling within the verticals of applicant, both from bottom to top (e.g. holding co.) and top to bottom (e.g. subsidiary co.), whether they are registered with SEBI or any other regulatory authority: Name of Regulator: Details of Registration: Registration No.: Validity:				

- Whether there are any instances of violation or non-adherence to any securities market related regulations by the applicant entity/directors or its associate(s) / group companies in India or abroad or any associate of the applicant as indicated in above point 2. YES / NO:

If yes, whether any action has been taken by Exchange/Clearing Corporation/SEBI or other regulatory agency in this regard. If yes, kindly state the nature of violation, action initiated/taken and by which authority, and the details of corrective steps taken thereon. Further, kindly provide the following information as an annexure.

- Top 10 monetary penalties in case of foreign entities and all monetary penalties in case of Indian entities, imposed against the applicant or any associate of the applicant (for irregularities/violations in the financial services sector or for defaults in respect of shareholders / debenture holders and depositors, by any financial regulatory body or government authority or settlement arrived with any financial regulatory body during the last five years and details thereof). Penalties awarded for economic offences may be disclosed only in case of the applicant.
- Details of all cases of suspensions and cancellation of certificate of registration (for irregularities / violations in financial services sector or for defaults in respect of shareholders, debenture holders and depositors) of the applicant or any associate of the applicant shall be disclosed for the last 10 years.

All disclosures on penalties and action taken as per (a) and (b) above against foreign entities may be limited to the jurisdiction of the country where the principal activities (in terms of income / revenue) of the applicant / associate companies are carried out or where the headquarters is situated.

2. Is the applicant entity listed on any stock exchange?

YES / NO: In case yes, kindly provide following details:

Sr.	Name of Stock Exchange where listed	Date since when Listed	Current Status (Active/ Suspended/ Delisted	Date of Suspension/ Delisting, if applicable

VII. FINANCIAL DETAILS

1. Applicants Net-worth _____ (*Rs.in Lakhs*):
2. Name and address of the bankers and the facilities availed from such banks. (Please enclose reference letters from each bank)

Stamp:

Date:

Place:

Sign: _____

Name of the authorized signatory: _____
