**CHECKLIST**

1. **CHECKLIST FOR REGISTRATION AS PARTICIPANT IN THE CLEARING CORPORATION**

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

|  |  |  |
| --- | --- | --- |
| **Sr.** | **Documents** | **Tick the box**  |
| **I** | **Application Form** * 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.
 | (Format as per Annexure-1) |
| **II** | **Net worth**1.Self-Certification of Asset Under Management (AUM)- **In case of Mutual Fund****2.**Certificate of Chartered Accountant w.r.t Net worth**- Other than Mutual Fund**To be given as per the format prescribed by the Clearing Corporation, duly certified by CA.* 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
* The figures reported in Computation of networth should tally with the relevant figures as reported in the Balance Sheet.

**If the applicant is regulated by sectoral regulator, the net worth may be computed in the manner as specified by such sectoral regulator.****3.Annual Report**-Soft copy of Latest Annual Report needs to be provided | (Format as per Annexure-2) |
| **III** | **Copy of Registration certificate issued by regulatory authority, if any.** |  |

| **Supporting to be annexed** |
| --- |
| **Sr.**  | **Documents** |  |
|  | **Group structure*** Kindly provide the latest group corporate structure of the applicant’s group of companies.
 |  |
|  | **Board Resolution*** To authorise the applicant entity to apply to Clearing Corporation for being participant \_\_\_\_\_\_\_\_\_\_\_\_\_\_, as applicable.
* 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 |
|  | **Certificate of Incorporation, MOA and AOA/ Indenture of Trust if it is a Mutual Fund** |  |
|  | **Annual Accounts**Balance Sheet and Profit & Loss Account duly certified by Chartered accountant |  |
|  | **PAN Details*** To provide certified copy of the PAN card of the applicant entity.
* PAN details of the entities disclosed in Associates details (point no. 1 of IV) of Application form
 |  |
|  | **Copy of GST Form/Certificate to be provided** |  |
|  | **NEFT/ RTGS for Admission fees*** Admission fees (One time) Rs. 50,000/- (plus applicable tax).
 |  |

1. **CHECKLIST OF DOCUMENTS/INFORMATION FOR ENABLEMENT**

| **Sl. No.** | **DOCUMENTS REQUIRED** | **IMPORTANT POINTS** |
| --- | --- | --- |
|  | CM/Participant agreement(Format as per Annexure-4/4a) | Signed copy of Agreement |
|  | Clearing / Settlement Bank account | Details of the settlement bank account number and the date of opening the account. |
|  | Demat account details | Details of NSDL Demat account-DP Id, Client ID and the date of opening the account/CML copy |
|  | Confirmation Letter- confirmation regarding Clearing / settlement account(Format as per Annexure 5) | The letter should be acknowledged by the bank where the settlement account is opened. The settlement account number should be mentioned in the subject of the letter. |
|  | Deposit for Enablement of the Participant | NEFT/ RTGS- Rs. 1 lakh deposits in cash |
|  | F-TRAC Registration with CCIL -Ensure enabled for Corporate Bond Repo | Participants needs to get register with F-trac for trade reporting purpose. (Trade reporting will be done by ARCL on behalf of Participants). In case entity is not registered with F-Trac, same needs to be register by contacting Clearing Corporation Of India Limited-Phone no.: 022 6154 6554) |
|  | Contact details of Authorised Persons | Format as per Annexure-Contact details of authorized person  |
|  | Details for ARCL Web Portal for addition and release of collaterals | Details in the below format for creation of admin login id |
|  | Annual Report | Soft copy of Annual Report  |
|  | NMASS Form |  |