

CHECKLIST

A. 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 <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.	(Format as per Annexure-1)	
II	Net worth <ol style="list-style-type: none"> 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. <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 • The figures reported in Computation of networth should tally with the relevant figures as reported in the Balance Sheet. 3. Annual Report-Soft copy of Latest Annual Report needs to be provided <p>If the applicant is regulated by sectoral regulator, the net worth may be computed in the manner as specified by such sectoral regulator.</p>	(Format as per Annexure-2)	
III	Copy of Registration certificate issued by regulatory authority, if any.		

Supporting to be annexed			
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 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)	
3.	Certificate of Incorporation, MOA and AOA/ Indenture of Trust if it is a Mutual Fund		
4.	Annual Accounts- Balance sheet and Profit& Loss account duly certified by CA		
5.	PAN Details <ul style="list-style-type: none"> 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 		
6.	Copy of GST Form/Certificate to be provided		
7.	RTGS/NEFT for Admission Fees Admission fees-One time (Rs.50,000/- plus applicable tax).		

B. CHECKLIST OF DOCUMENTS/INFORMATION FOR ENABLEMENT

Sr. No.	DOCUMENTS REQUIRED	IMPORTANT POINTS		
1.	CM/Participant agreement (Format as per Annexure-4/4a)	Signed copy of agreement		
2.	Clearing / Settlement Bank account	Details of the settlement bank account number and the date of opening the account.		
3.	Demat account details	Details of NSDL Demat account-DP Id, Client ID and the date of opening the account/CML copy		
4.	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.		

Sr. No.	DOCUMENTS REQUIRED	IMPORTANT POINTS		
5.	Deposit for Enablement of Participant	RTGS/NEFT-Rs. 1 lakh deposits in cash		
6.		F-TRAC Registration	Participants needs to get register with F-trac for trade reporting purpose. (Trade reporting will be done by ARCL on behalf of Participants)	