

Annexure A – 1

Application Form for Membership 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.

Dear Madam/Sir,

We, _____, are desirous to become the **Clearing Member (CM)** in the _____ 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.	Trade name of Applicant	
3.	Form of Organization {(Corporate body, Financial Institution, Foreign Joint Venture, Others (please specify)}	
4.	Permanent Account No. (PAN) of the Applicant	
5.	Date of Incorporation/ Registration, as applicable (DD/MON/YYYY)	
6.	Corporate Identity No. (CIN), if applicable	
7.	MOA Object Clause no. containing stock broking/ clearing member activity under main objects (If stock broking/ clearing member clause is not forming part of main objects, please attach a copy of special resolution to amend the MOA to incorporate such objects in main object clause)	
10.	Brief description of group, if any, to which the applicant belongs	
11.	Whether admitted as a Trading Member/ Clearing Member of any other Stock Exchange/ Clearing Corporation. (Please provide the copy of the certificate of registration)	
12.	Details of Shareholders (holding more than 5% Shareholding/ Voting Rights in the Applicant) and Promoters (Attach a separate annexure, if required.)	Name of Shareholders – No. of Shares held % Shareholding/ Voting Rights –
13.	Details of Registration with any other Regulatory Authority	Regulator Name: Details of Registration:

		Registration No.:Validity:
14.	Related party information	Information of group entities-promoters, other group entities, step down subsidiaries

II. OFFICE DETAILS:

Type of office	Registered Office	Correspondence Office	Branch 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:

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	

*Please enclose separate annexure providing details of all the Directors

IV. 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 the applicant/ its directors or any associate of the applicant is/are associated with any recognized Stock Exchange(s) / Clearing Corporation(s) or have any other direct/indirect interest* in securities market?

YES / NO: ☐ In case yes, kindly provide the following details: (you may attach a separate sheet, if required, duly signed.

Sr.	1	2
Name of the person/ entity interested		
Nature of Interest		
Relationship with the applicant		
Type of organization		
Type of the intermediary #		
Name of the Exchange/ Clearing Corporation, if applicable		
Trade Name, if applicable		
Trading Segments, if applicable		
Authority granting registration		
Registration No.		

Registration Date		
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(#) Merchant Banker, Portfolio Manager, Registrar to Issue & Share Transfer Agent, Banker to an Issue, Mutual Fund, Venture Capital, Underwriter, Debenture Trustee, FII, Investment Advisor, Research Analyst, Sub-broker, Authorised Person, Remisier, etc.

(*) The member is deemed to have direct/indirect interest in the following conditions:

- i) Where he is individual, he or any of his relative being a broker/any intermediary, he or any of his relative being a partner in a broking firm/any intermediary, he or any of his relative being a director in a broking company/any intermediary or he or any of his relative clubbed together holding substantial equity in any broking company/any intermediary engaged in capital market.
- ii) Where it is partnership firm/ company/ limited liability partnership, the relative(s) of partner(s)/director(s) in the firm(s)/corporate body/ limited liability partnership being a broker/any intermediary or being partners(s)/ director(s) in any broking/intermediary engaged in capital market.
- iii) Relative shall mean husband, wife, brother, unmarried sister or any linear ascendant or descendant of any individual.

2. 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.

- a. 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.
- b. 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.

3. 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

V. 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)

Affix photo and also sign across the photo

Affix photo and also sign across the photo

Stamp:

Date:

Place:

Sign:

Name of the signatory:

Note: Should be signed by the directors