

Change in Shareholding Pattern- Not Involving Change in DPG

Instruction for filling-up documents related to Change in Shareholding Pattern- Not Involving Change in DPG

Sr. No	Document Ref. No	Particulars	Submitted (Yes /No)
(1)	CSHNIC-1	Request letter on the letterhead of the Member	
i		Is letter submitted on the letterhead of the member	
ii		Is the letter is dated	
iii		Is the letter signed under the rubber stamp of the company	
(2)	CSHNIC-2	Present shareholding pattern of the TCM company	
i		Shareholding pattern is submitted in the prescribed format of the Exchange	
ii		Shareholding Pattern submitted is on the letter head of the company.	
iii		Shareholding Pattern submitted is certified by the Designated Director under the rubber stamp of the company/authorised signatories	
iv		Shareholding Pattern submitted is certified by Chartered Accountant along with rubber stamp of C.A. Firm.	
v		Persons holding 5% or more of the paid up capital are shown separately and not clubbed in Others.	
vi		The shareholding pattern is compared with the previous shareholding patterns and there is no change	
(3)	CSHNIC-3	Present DPG details of the TCM company on the letterhead of the company duly certified by C.A.	
i		Dominant Promoter Group (Annexure DPG1) is in the prescribed format of the Exchange.	
ii		The details of the shareholder of Dominant Promoter Group mentioned in the DPG (Annexure DPG 1) matches with the shareholding mentioned in the shareholding Pattern.	
iii		The details of the Dominant Promoter Group is certified by the Designated Director under the rubber stamp of the company/authorised signatories and by the Chartered Accountant under the rubber stamp of the Company	
(4)	CSHNIC-4	Certified true copy of the extracts of the board meeting / resolution from the TCM company for increase/ change in shareholding (mention the details)	

Sr. No	Document Ref. No	Particulars	Submitted (Yes /No)
i		The Board Resolution contains all the details of increase/ change/ transfer of shares	
ii		The Board Resolution is submitted on the letterhead of the company and duly signed and stamped by the Designated Director	
(5)		The above mentioned details are also required to be submitted in case of holding company if any.	
(6)	CSHNIC-5	Details of foreign holding	
(7)	CSHNIC-6	Debarred Undertaking on the letterhead of the company.	
i		Is Debarred Undertaking is in Format	
ii		Name of the member and name of the Designated Director mentioned in the first paragraph of the Undertaking.	
iii		Signed under the rubber stamp of the company/authorised signatories by the Designated Director.	
iv		The DPG Constituents / Shareholder / Partner mentioned in the undertaking	
v		Name of the Designated director is per the application form.	
vi		Date and Place should be mentioned in the Debarred Undertaking.	

Sr. No	Document Ref. No	Particulars	Submitted (Yes /No)
(8)	CSHNIC-7	Declaration of No Change in control	
(9)	CSHNIC-8	Undertaking of Foreign Holding	
(10)	CSHNIC-9	Undertaking and copies of will, affidavits in case of Transmission of Shares	

APPLICATION FOR CHANGE IN SHAREHOLDING PATTERN**(On the letterhead of the company)**

Date:

To,

Membership Department
 Multi Commodity Exchange of India Ltd.
 Exchange Square, CTS no 255,
 Gundavali village, Suren Road
 Chakala, Andheri (East),
 Mumbai -400 093.

Dear Sir / Madam,

We, _____, the member of the Exchange hereby submit application for change in shareholding pattern.

We further confirm that this change in shareholding pattern is as per Exchange circular no. MCX/MEM/132/2008 dated April 15, 2008.

The details of change in shareholding pattern are as per the details given below:

Sr. No	Particulars of change	Applicable (Yes / No / NA)
1	Issue of equity shares	
2	Transfer of equity shares among new/existing shareholders	
3	Transmission of shares	
4	Issue of bonus shares	
5	Right issue	
6	Split / Consolidation of equity shares	
7	ESOPs, GDRs, etc.	
8	Buy back of equity shares	
9	Issue of preference shares	
10	Redemption of preference shares	
11	Conversion of bonds/ preference shares to equity shares	
12	Any other changes, please specify	

For **(Name of Member)**

Signature of Designated Director

Name of Designated Director

Rubber stamp

Member ID:-

**SHAREHOLDING PATTERN (FOR CORPORATES)
(ON COMPANY'S LETTER HEAD)**

Share Holding Pattern of _____ (Name of Member) as on _____
(Date)

Paid up capital: Rs. _____ (In figures)

Paid up capital: Rs. _____ (In words)

Face value of each equity share (or any other instrument): Rs. ____ (In figures)

Rs. _____ (In words)

Sr. No.	Name	Number of shares held	Amount paid-up (Rs.)	% age of total
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
Others @				
TOTAL				100%

NOTE:

Give similar details thereof separately only in case of indirect support taken through the body corporate

Give similar details thereof separately in case of holding company

@ Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in Others.

1. _____
Signature(s)
of designated directors
with their names and
rubber stamp

2. _____
Signature(s)
of designated directors
with their names
rubber stamp

Date

Place:

Please take the Signature and Stamp of Chartered Accountant on this page

AUDITOR'S CERTIFICATE

This is to certify that the Shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

For (Name of Accounting Firm)

Place:

Name of the Partner/Proprietor
Chartered Accountant
Membership Number
Rubber stamp of firm

Annexure - DPG-1:

Details of Dominant Promoter Group as on _____ (Date)

Sr. No	Name	No of Shares*		Total Amount Paid*		% of total*		Total
		Self	Relative	Self	Relative	Self	Relative	
1								
2								
3								
4								
Total								

Date: 1. _____
Signature(s)
of designated directors
with name and
rubber stamp

2. _____
Signature(s)
of designated director
with names and
rubber stamp

Place:

AUDITOR'S CERTIFICATE

This is to certify that the Shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

For (Name of Accounting Firm)

Place:

Name of the Partner/Proprietor
Chartered Accountant
Membership Number
Rubber stamp of firm

*For arriving at the shareholding of persons constituting the Dominant Promoter Group the shareholding of close relatives, namely parents, spouse, children and their descendants, brothers, sisters and associates only may also be counted provided these relatives give an irrevocable, unconditional support in writing on the prescribed format of Exchange.

Details of Foreign Holding**On Letterhead of the Member****Date:****To,**

Membership Department
 Multi Commodity Exchange of India Ltd.
 Exchange Square, CTS no 255,
 Gundavali village, Suren Road
 Chakala, Andheri (East),
 Mumbai -400 093.

Dear Sir,

Subject: Details of foreign holding

Foreign holding details as required by the Exchange are furnished as follows:-

Name of the Applicant					
Sr. No	Name of Foreign holder	Nature/Type of Foreign holder **	No. of Shares held	Amount paid up in Rs.	% of holding
1					
2					
3					
4					
<p>* In case your company is a subsidiary company, then the foreign holdings of your (ultimate) parent/holding company is also to be furnished</p> <p>** Please specify whether the holder is 1) Foreign Company 2) Foreign Individual 3) Non-Resident Indian (NRI) 4) Overseas Corporate Body (OCB) 5) Foreign Institutional Investor (FII) 6) Person of Indian Origin (PIO) 7) Non Resident – Limited Liability Partnership</p>					

We undertake to intimate and update the Exchange as and when there is any change in the aforesaid information.

Thanking you,

For (Trade Name)

Approved Signatory
 (Name of Designated Director)
 Rubber Stamp

Approved Signatory
 (Name of Designated Director)
 Rubber Stamp

**Format of Undertaking
(On the letterhead of the Member)**

Date: _____

To,
Membership Department
Multi-Commodity Exchange of India Ltd.
Exchange Square, CTS no 255,
Gundavali village, Suren Road
Chakala, Andheri (East),
Mumbai 400 093.

Dear Sir,

"I/We hereby confirm/undertake that _____ (Trade Name of the Member) and _____ (Name of Proprietor/ Designated Directors/ Managing Partners/ Karta) _____ (Name of Proprietor/ Designated Directors/ Managing Partners/ Karta) and constituents of dominant promoter group

- a. are not debarred/suspended/expelled/ declared defaulters by SEBI/FMC/RBI/ any recognized Stock Exchange / any recognized Commodity Exchange.
- b. are not connected with any of the defaulting/debarred/expelled/suspended member of any Stock Exchange/ Commodity Exchange
- c. there are no complaints/ disciplinary action against us at SEBI/FMC/RBI/ any recognized Stock Exchange / any recognized Commodity Exchange
- d. no investigation / enquiry by SEBI/FMC/RBI/ any recognized Stock Exchange / any recognized commodity Exchange is pending against us or undertaken against us
- e. the proprietor / Karta / Partners/ Directors of the member entity are not suspended/ expelled / declared defaulter/insolvent/bankrupt by any recognized Stock Exchange/ recognized Commodity Exchange
- f. the proprietor/karta/Partners/Directors of the member entity are not involved in any type of money laundering activities.
- g. the proprietor/Karta/Partner/Director of the member entity have not committed any act and / or have not any time convicted for any act involving threat to the public/national interest.

In case of any action/complaints/investigation/enquiry by any Statutory Agency/ Regulatory Agency/ Stock Exchange/ Commodity Exchange in future, I/ We undertake to intimate the Exchange immediately.

I/We declare that the information given above is true and any misstatement or misrepresentation or suppression of facts in connection with the above undertaking may entail rejection of our application or expulsion of our membership.

Yours faithfully,

For (Name of the Member)

1. Authorised Signatory
(Name of Designated Director/ Managing Partner/ Proprietor/ Karta)

2. Authorised Signatory
(Name of Designated Director/ Managing Partner/ Proprietor/ Karta)

Rubber stamp

Place:-

Declaration for No Change in control
(On letterhead of the Member)

Date: _____

To,
Membership Department
Multi Commodity Exchange of India Ltd.
Exchange Square, CTS no 255,
Gundavali village, Suren Road
Chakala, Andheri (East),
Mumbai -400 093.

Dear Sir,

We hereby confirm /undertake that:

1. There is no change in percentage of shares held by the Dominant Promoter Group due to change in shareholding pattern of the company.

2. There is no addition or deletion of constituents of Dominant Promoter Group due to change in shareholding pattern of the company.

3. There is no change in management or change in control due to change in shareholding pattern of the company.

In case of any such change in future we undertake to intimate the Exchange immediately.

We declare that the information given above is true.

Yours faithfully,

For (Name of the Member)

Authorised Signatory
(Designated Director)
Name:-

Rubber Stamp

Place:

Format of Foreign Holding Undertaking

(on the Letterhead of the Member)

Date:-

To,
Membership Department
Multi Commodity Exchange of India Ltd.
Exchange Square, CTS no 255,
Gundavali village, Suren Road
Chakala, Andheri (East),
Mumbai -400 093.

Dear Sir,

“We hereby confirm and undertake all the necessary approvals for allotment of shares to foreign shareholders have been obtained from the appropriate/relevant authorities including that of Foreign Investment Promotion Board (FIPB) to deal in commodities futures contracts by us”.

I/We declare that the information given above is true.

Yours faithfully,

For (Name of the Member)

1. Authorised Signatory
(Designated Director)
Name:-

Rubber stamp