Instructions for filling the documents related to Authorised Person Registration

The Exchange has informed all its Members vide Circular Nos. MCX/MEM/443/2018 dated October 26, 2018 and MCX/MEM/467/2018 dated November 09, 2018 that effective November 12, 2018, Members can submit digitally signed applications for Appointment, Withdrawal (Cancellation) and Change in Profile request of Authorised Persons (APs), through its new integrated MCX-AP Portal. To access the AP portal, click on : https://approfile.mcxindia.com

Sr.No.	Forms	Details
1	**AP-3**	Details of Directors/ members of Managing Committee/ Governing Body/ /Partner/Individual of Authorised Person
		Instructions:-
i		To be submitted on the letterhead of Authorised Person and all columns duly filled with initials expanded wherever applicable.
ii		Name of the Authorised Person and as on date is mentioned
iii		Details mentioned matches with the application form online and proofs submitted.
iv		The details are certified by the Director / members of Managing Committee /Governing Body/ Partner / Individual under the rubber stamp of company / firm /trade name.
v		Details of Director/ members of Managing Committee /Governing Body / Partners submitted is certified by a practicing Chartered Accountant/Company Secretary Firm along with rubber stamp of CA/CS Firm, name of the CA/CS firm, name of partner/proprietor, UDIN and his/her Membership number.
vi		Details of Individual applications wherein education affidavit is submitted due to loss of education proof, then it is to be certified by a practicing Chartered Accountant/Company Secretary Firm along with rubber stamp of CA/CS Firm, name of the CA/CS Firm, name of partner/proprietor, UDIN and his/her Membership number.
vii		Photograph of all the Directors/ members of Managing Committee /Governing Body/Partners/Individual are affixed and self-attested. Across the photo signature is mandatory.
viii		The screen shot of the validated copy of the KRA-KYC of the applicant (Authorised Person) is attached
2	**AP-4**	Member has to collect the Undertaking (AP-4) from the applicant and is to be retained at the Member's end. Member has to confirm that they have collected the Undertaking and the same is to be confirmed on the portal under the tab 'Additional Information' Point No.7
3	**AP-5a**	**Shareholding Pattern (For Corporate Authorised Persons)**
		Instructions:-
i		Shareholding Pattern submitted is in the prescribed format of the Exchange and should be submitted on the letterhead of the Authorised Person

ii		All the required details are mentioned in the shareholding pattern submitted and is certified by the Director under the rubber stamp of the company.
iii		Shareholding Pattern submitted is certified by a Chartered Accountant/Company Secretary Firm along with rubber stamp of CA/CS Firm, name of the CA/CS firm, name of partner / proprietor, UDIN and his/her Membership number.
4	**AP-5b**	**Sharing Pattern (For Partnership firm/LLP Authorised Persons**
		Instructions:-
i		Sharing Pattern submitted is in the prescribed format of the Exchange and on the letterhead of Authorised Person.
ii		Names of the Partners and their sharing in profit and loss mentioned in Sharing Pattern match with the names and sharing in profit and loss mentioned in the Partnership Deed.
iii		The Sharing Pattern submitted is certified by the Partners under the rubber stamp of the Firm and is also certified by a Chartered Accountant/Company Secretary Firm along with rubber stamp of CA/CS Firm, name of the CA/CS firm, name of partner/proprietor, UDIN and his/her Membership number.
5	**AP-6**	**Certified Copy of Member and Authorised Person Agreement.**
		Instructions:-
i		Agreement is in prescribed format of the Exchange and on a non-judicial stamp paper of Rs.100/-. Also clear franking date/stamp date should be mentioned.
ii		None of the clauses are deleted or any clause is added in the Agreement.
iii		All the pages are signed by the member and Authorised Person.
iv		Name, signature and address of the 2 witnesses are provided by the Member and Authorised Person
v		The agreement date should be on or after the stamp paper/franking date.
vi		The application should be submitted within 6 months from the date of agreement

Proof of Individual/Proprietor/Directors/Partners

(1)		**KYC Documents**
APP1	**Pan Card**	PAN details of Directors/Partners/Individual and PAN of Corporate/Partnership Firm in the case of Corporate/Partnership/LLP
		Validated copy of KRA-KYC of the Individual/Partner/Director/Corporate/Partnership/LLP
	Education Proof	Minimum 10th standard pass or equivalent examination recognised by Government. If the applicant has lost/misplaced education proof, he/she can submit an education affidavit on a non-judicial stamp paper of Rs.300/- duly notarised by the Notary Public.

	Registered Office and Residential Address of Individual/Proprietor/Corporate/Partnership Firm/ Directors /Partners of Authorised Person	Proof of address with expiry date, if any, should be valid on the date of submission. Proof in regional languages should be translated in English/Hindi. Duly certified scanned copies of any of the following documents can be submitted: Latest Landline Telephone Bill (not older than 3 months) / Latest Utility bill (not older than 3 months) / Govt. Issued ID cards / Bank Statement/Pass Book (single/joint/second holder). The first page (containing the address) and the page with the latest transaction list (not older than 3 months) should be uploaded. Notarized / Registered Rent Agreement (In case of agreements in regional languages the commencement date, name and address of the parties and the validity of the agreement should be translated in English/Hindi). Voter id / Driving License /Valid Passport /Aadhaar Card / Ration card. • In case of a Proprietorship Firm the proof can be in the name of the firm or the proprietor of the firm. • In case the office address proof is in the name of Spouse/Parents of the applicant, an undertaking/NOC from the Spouse/Parents is required to be submitted along with the address proof. • In case the applicant is operating from the Trading Member premises, an address proof of the trading member along with the NOC from the trading member is to be submitted.
(2)	**APP-6**	**Memorandum and Article of Association (for Corporate)**
		The Memorandum and Article of Association OR Bye-Law and certificate of incorporation submitted is certified as true copy by the member (should be certified by designated director/managing partner / Individual / proprietor /authorised signatory who are on records of Exchange) under the rubber stamp.
		The Name of the Company and the date of Incorporation mentioned in the Incorporation Certificate matches with details given in Application Form.
		The Name of the Company and the date of Incorporation mentioned in the Incorporation Certificate matches with details given in Application Form.
		The Object Clause of the Memorandum and Article of Association contains the commodity Clause i.e. dealing in Securities/Commodity Derivatives contracts
(3)	**APP-7**	**Registered Partnership Deed (For Partnership Firm/LLP)**
i		The Firm Registration Certificate submitted as certified true copy by the member (should be certified by designated director/managing partner / Individual / proprietor /authorized signatory who are on records of Exchange) under the rubber stamp.
Ii		The Partnership Deed submitted is Registered Partnership Deed.
Iii		The Registered Partnership Deed submitted is certified as true copy by the member (should be certified by designated director/managing partner / Individual / proprietor /Authorised signatory who are on records of Exchange) under the rubber stamp.
Iv		The Registered Partnership Deed submitted contains trading in Securities/Commodity Derivatives as nature of business.
V		The date mentioned in the deed on which it has come into existence/ effective is the date mentioned in the Application Form as date of registration.
vi		The name and date mentioned in the deed on which it has come into existence/ effective matches with PAN card.
ii		If there is a delay in getting the Firm Registration Certificate; Exchange will consider ROF acknowledgement copy along with the undertaking submitted by the Member