Help File for Online Submission of Digitally Signed Authorised Person Applications for Appointment, Withdrawal (Cancellation) and Change in Profile through integrated MCX-AP Portal

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Introduction

The Exchange has informed all its Members vide Circular No. MCX/MEM/443/2018 dated October 26, 2018 that effective November 12, 2018, Members can submit digitally signed applications for Appointment, Withdrawal (Cancellation) and Change in Profile request of Authorised Person (AP), through its new integrated MCX-AP Portal.

In addition to the appointment of Authorised Persons, subsequent changes in the details of registered Authorised Persons and request for Cancellation also will be accepted digitally through the new MCX-AP Portal. For such applications, Members need not submit any physical documents to the Exchange. However, the said physical applications and documents would be required to be maintained at the Member's end for inspection by Exchange/SEBI.

All Members are requested to kindly refer the given help file to understand the process flow of Appointment, Withdrawal (Cancellation) and Change in Profile request of Authorised Person (AP) in the new MCX-AP Portal.

System configuration

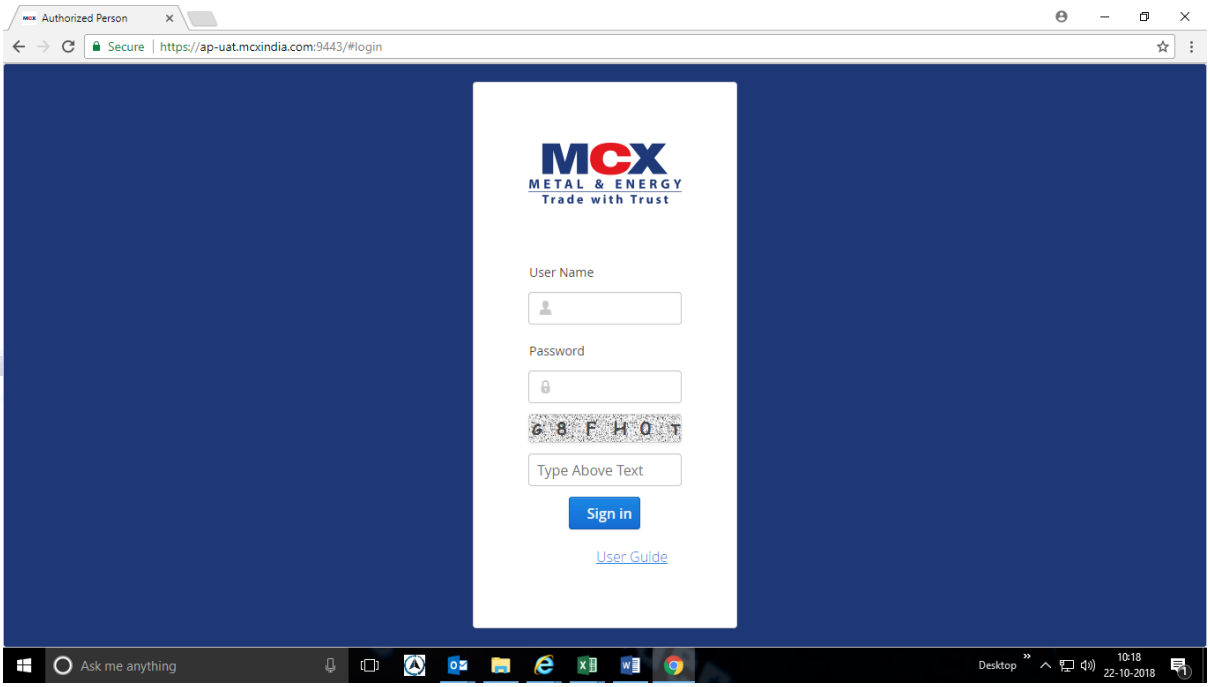
1. Best viewed – Internet Explorer (IE) version 11 or higher & Google Chrome (latest version)
2. Windows OS 10 or higher
3. Screen Resolution – 1920 x 1080 *(Recommended)*

a) Step 1: Click on https://approfile.mcxindia.com and login in the new Module. Please enter user name and password. Enter the captcha code and click on 'Sign in'. Please refer Print Screen 1.

Username: *Member ID*

Password: *Please enter the same password as is presently used for accessing MMPI portal.*

Print Screen 1

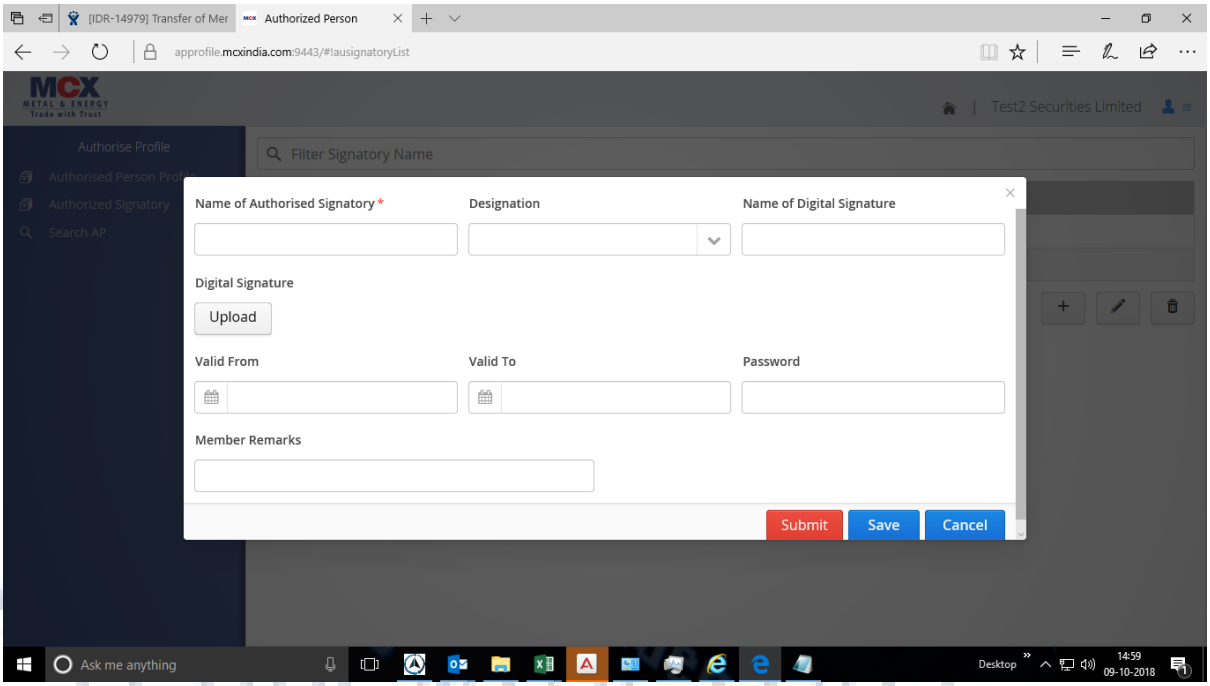


Intimation of Authorised Signatories through New AP Module.

Members are required to intimate the details of the Authorised Signatory through new AP Module.

a) Click on Authorised Signatory (**AS**) tab and fill in the Authorised Signatory details in the fields. Please affix digital signature of the Authorised Signatory on a plain PDF file and upload the same in the 'Digital Signature' (**DS**) field. Please enter 'Valid From' and 'Valid To' date of the digital signature.

Print Screen 2



Note: For ascertaining the 'Valid From' and 'Valid To' dates, please follow the following process.

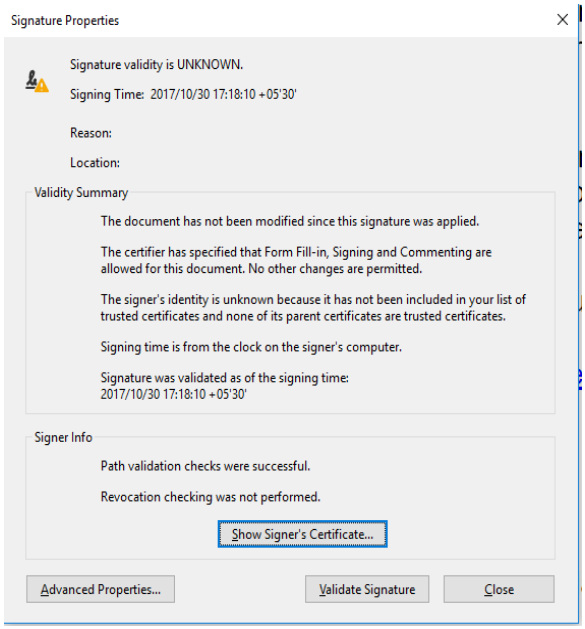
Open a digitally signed PDF wherein the AS's sign is affixed ->> Double Click on it



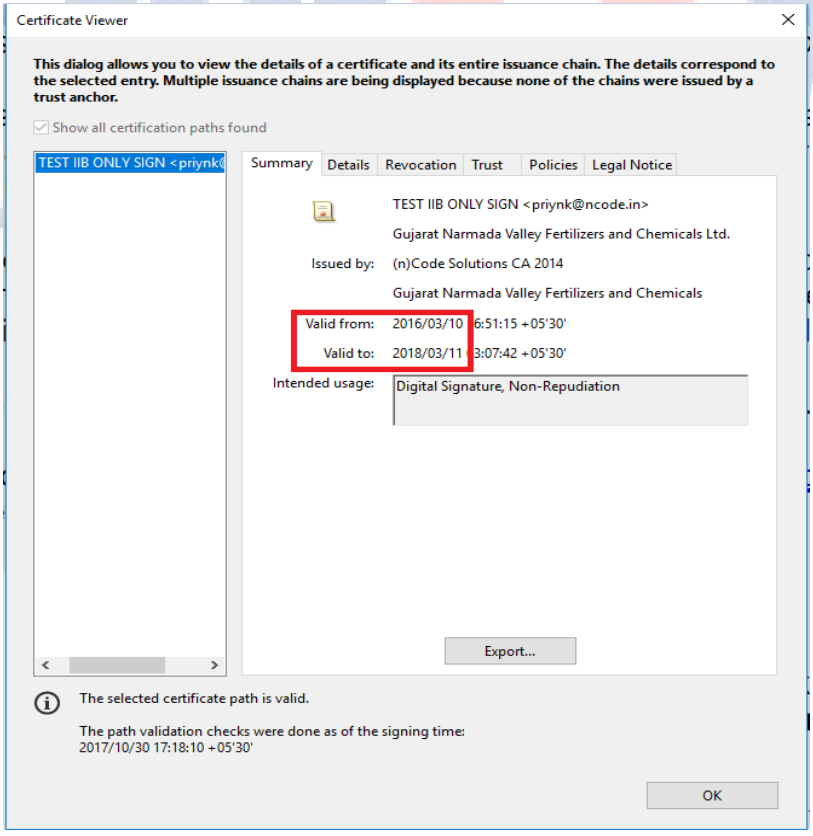
A pop-up window will open up ->> Click on "Signature Properties"



Another pop-up window will open up ->> Click on "Show Signer's Certificate"



A pop-up window 'Certificate Viewer' will open as under. Please note down the 'Valid from' and 'Valid to' dates.



b) **Next step is to create a new 'Password'. The 'Password' created will be mapped with the Authorised Signatory and the DS of the AS. Once you fill all these details, please click on 'Save' and submit. Please refer Print Screen 2.**

Note: Please remember the Password which you generate as the same is required for submitting applications each and every time.

c) On clicking submit, the request will be received by the Exchange for verification. The status of the said request will be shown as 'Pending' in the summary grid. The Authorised Signatory must be as per the Exchange records. In case, there is a change, a certified copy of Board Resolution/Authorisation letter is to be submitted to the Exchange.

d) Once the Exchange verifies the Authorised Signatory, the status of the AS will reflect as 'Verified'. The Members will now be able to submit online AP Registration/ Withdrawal (Cancellation)/ Change in Profile with such verified AS.

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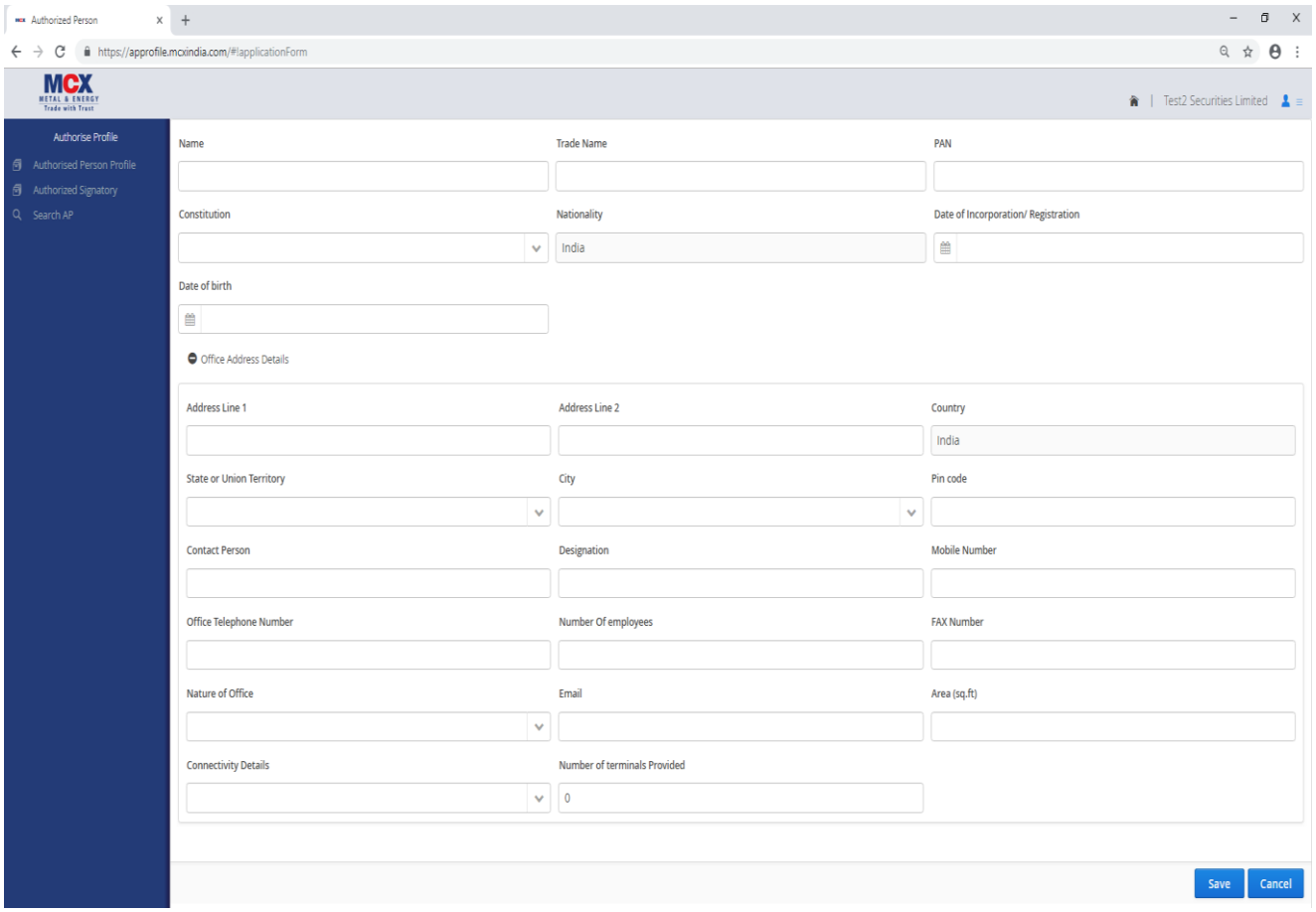
Procedure for submission of Application for Appointment of Authorised Person

a) Authorised Person Profile:

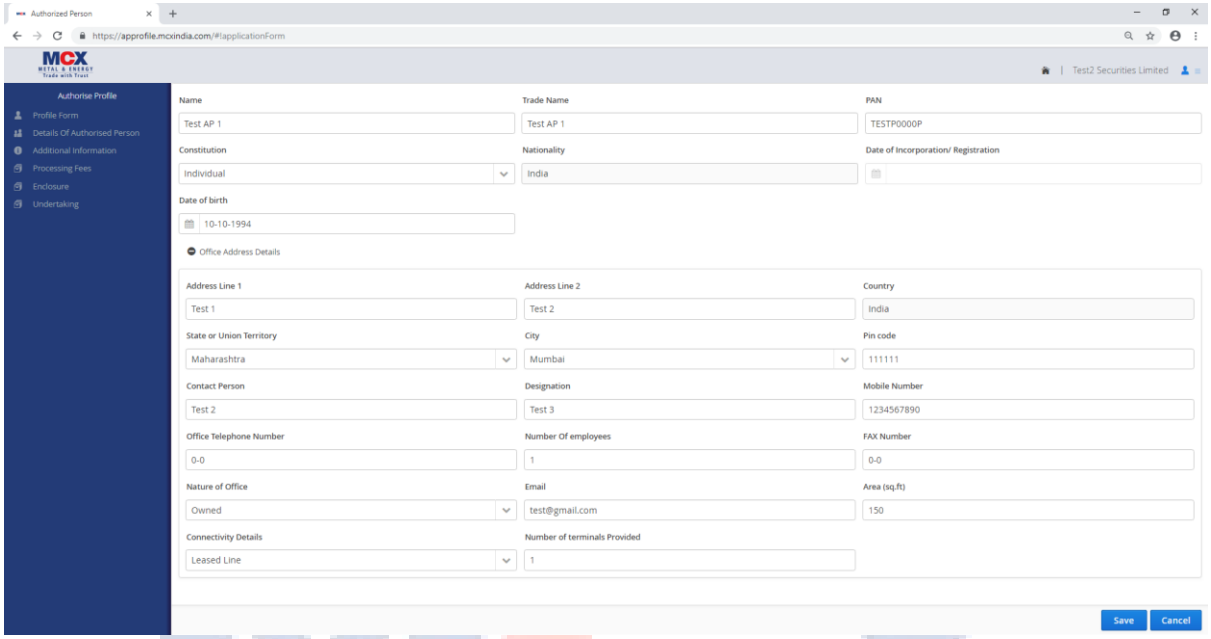
The Authorised Person Profile tab is the main tab. To 'Add' a new application, please click on "+" button. A blank Profile Form will open. Refer Print Screen 3

Print Screen 3



Enter all the relevant details in the fields and click on 'Save'. Please refer Print Screen 4.

Print Screen 4



Once the details are saved, other requisite tabs will become available for data entry.

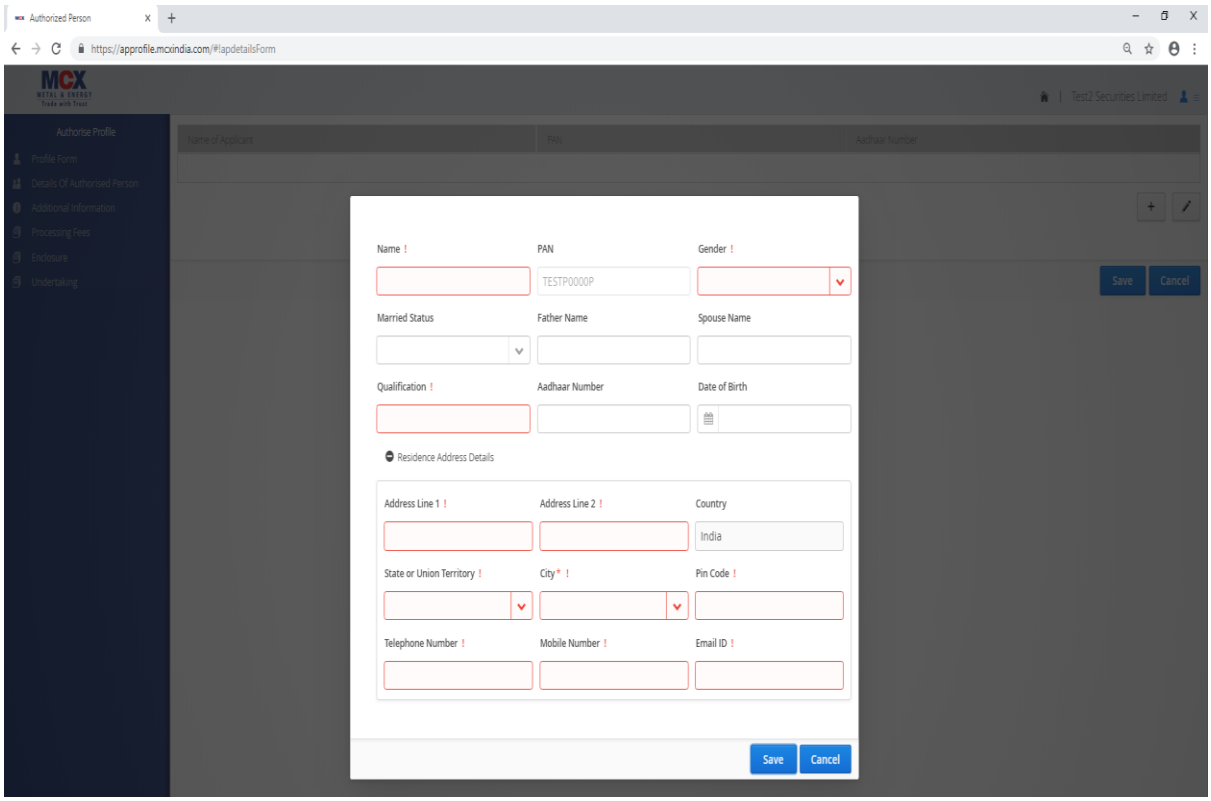
Click on next tab i.e. Details of Authorised Person and click on "+" to add the details. Please refer Print Screen 5

Print Screen 5



Please enter the Authorised Person details in the relevant fields and click on ‘Save’. Please refer Print Screen 6. Note: the fields highlighted in ‘red’ are mandatory.

Print Screen 6



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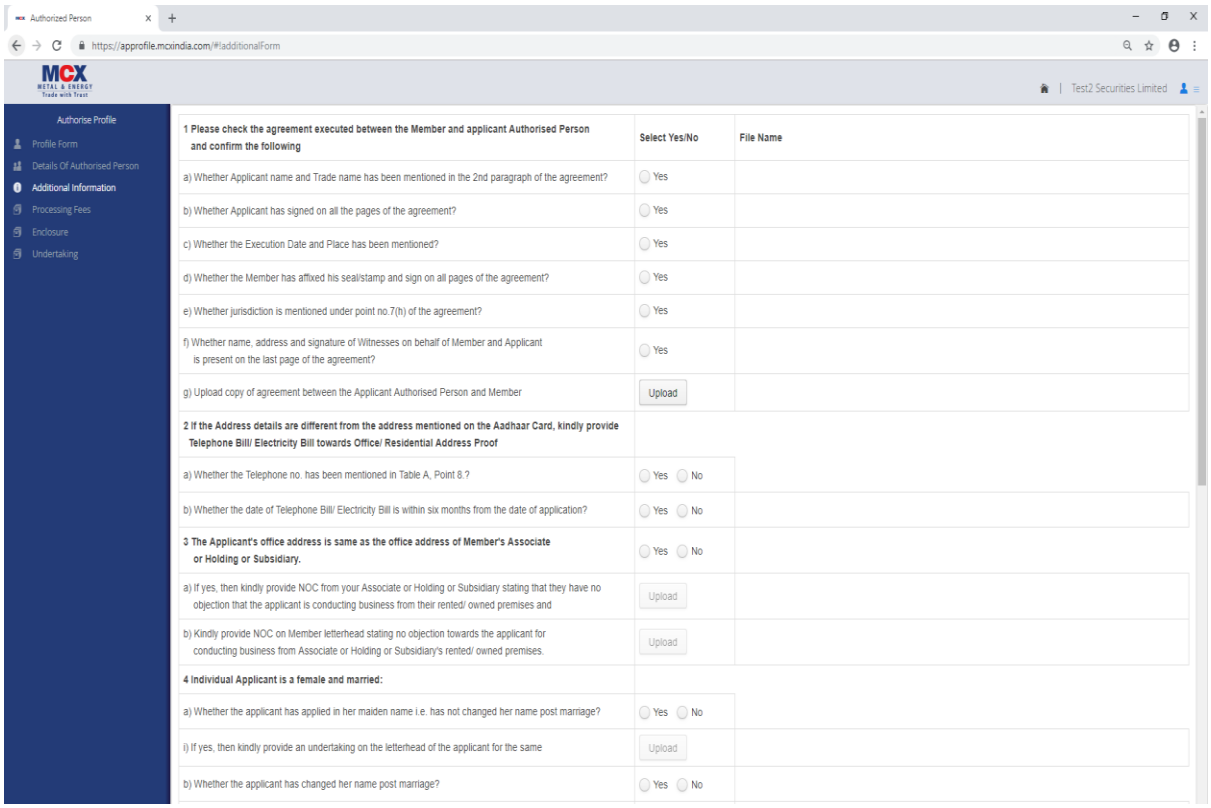
Go to next tab ‘Additional Information’. Enter the relevant details and upload the document. Click on ‘Save’. Please refer Print Screen 7 and Print Screen 8.

Print Screen 7



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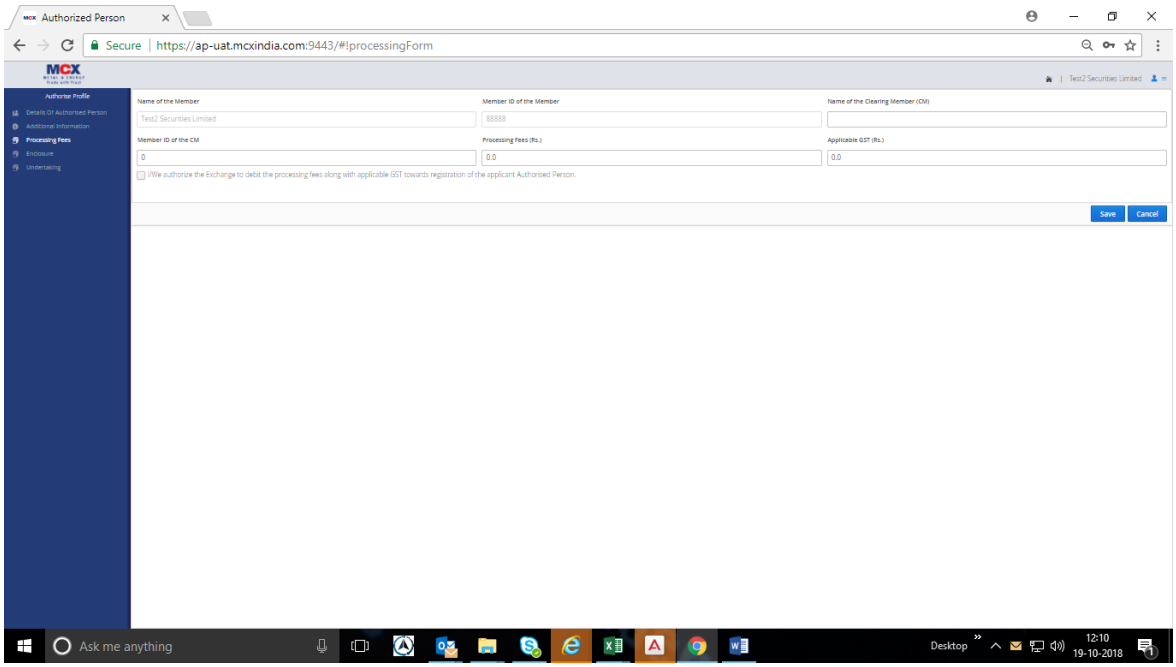
After saving, got to next tab 'Processing Fees'. Enter the Clearing Member Name, Clearing Member ID, Processing fee and GST.

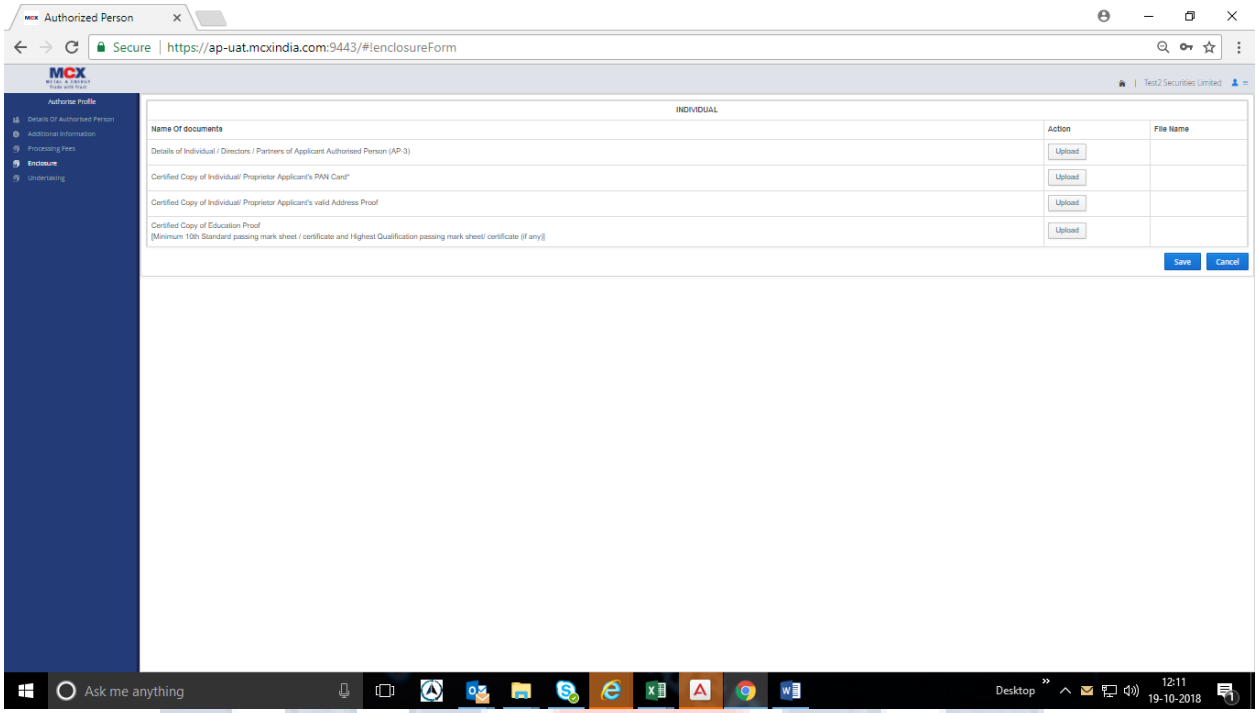
Trading Members are requested to collect One Time Authorisation Letter (format is attached) from their Clearing Member to debit processing fees towards registration of Authorised Person applications submitted to the Exchange and the same should be sent to Exchange at apcell@mcxindia.com . Thereafter, submit the original hard copy of the same to Exchange. Please note that the Exchange will not process the AP Registration application if the one time Authorisation letter is not received from the Trading Member.

Print Screen 8



After saving, got to the next tab ‘Enclosure’ and upload KYC documents. Scan documents should be in PDF/.tif format and the each file should not be more than 1 MB. Refer Print Screen 9.

Print Screen 9



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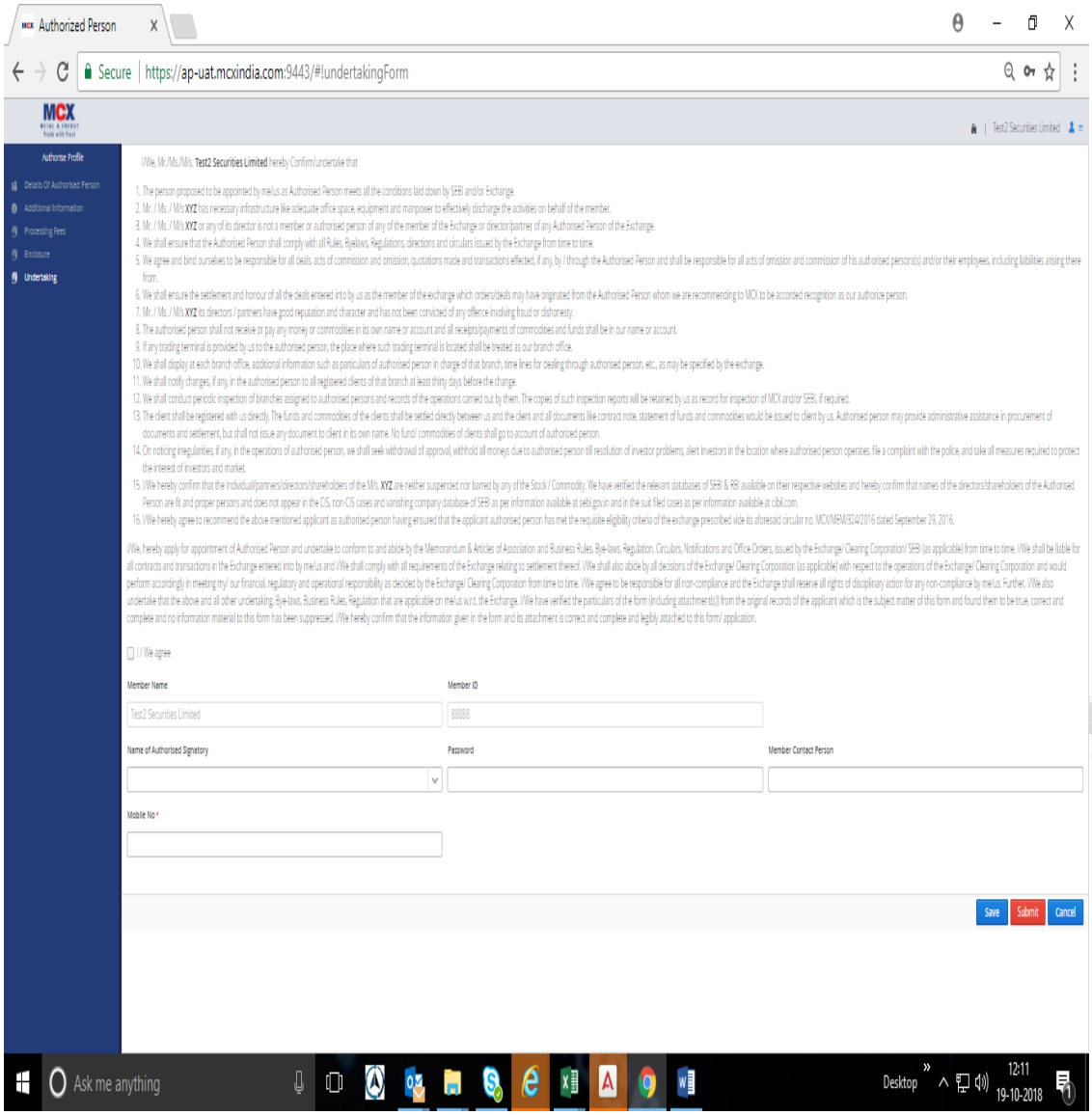
After saving, got to the next tab ‘Undertaking’ and fill the details and save and submit to Exchange. Refer Print Screen 10.

Print Screen 10

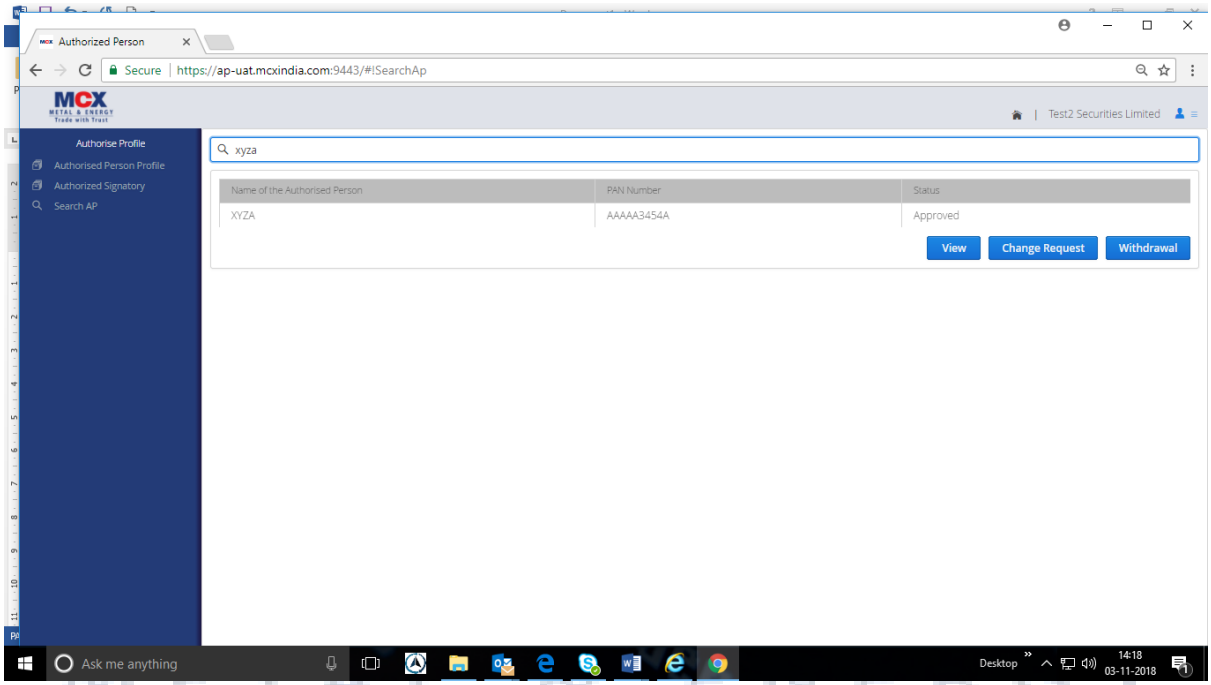


On clicking on submit to Exchange, the request will be received by the Exchange for processing. The status of the said request will be shown as ‘Pending’ in the summary grid.

Procedure for submission of Application for Change in profile of Authorised Person

a) The Members will be able to apply for change in profile of Authorised Person.
b) Go to 'Search AP' tab. Search AP by name or PAN and click on 'Change Request' button. Refer Print Screen 1A

Print Screen 1A



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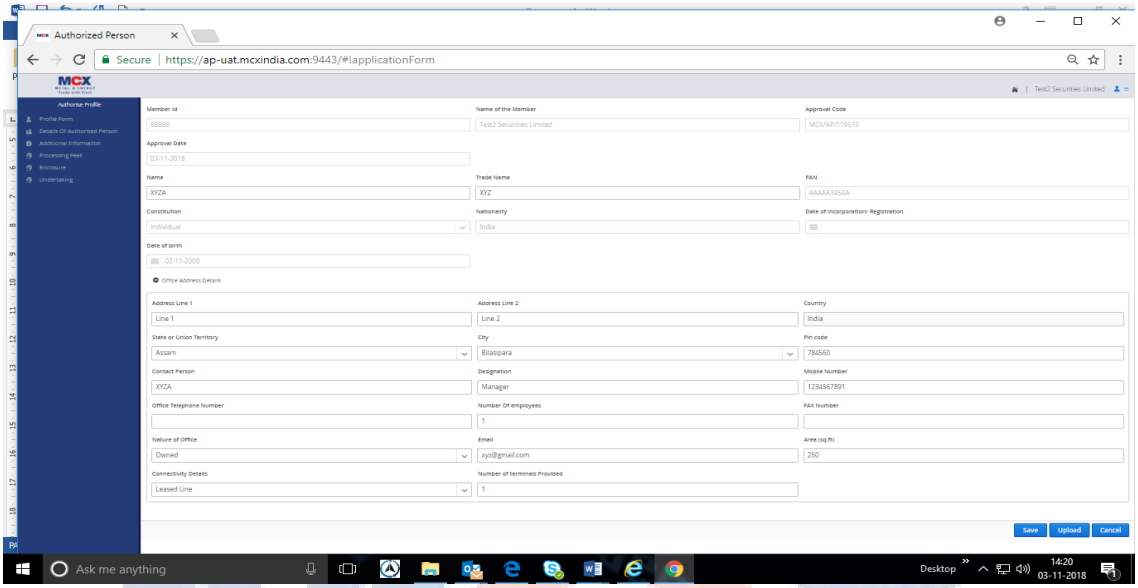
c) Once you click on 'Change Request' button the below screen will be displayed. You can make an application for Change in Name, Trade Name, Address, and Change in Director/Partner and upload the supporting documents towards the same. Refer Print Screen 1B

Print Screen 1B



d) Once the details are filled/documents uploaded, go to Undertaking tab, select the Authorised Signatory Name, enter the password, save and submit to Exchange.

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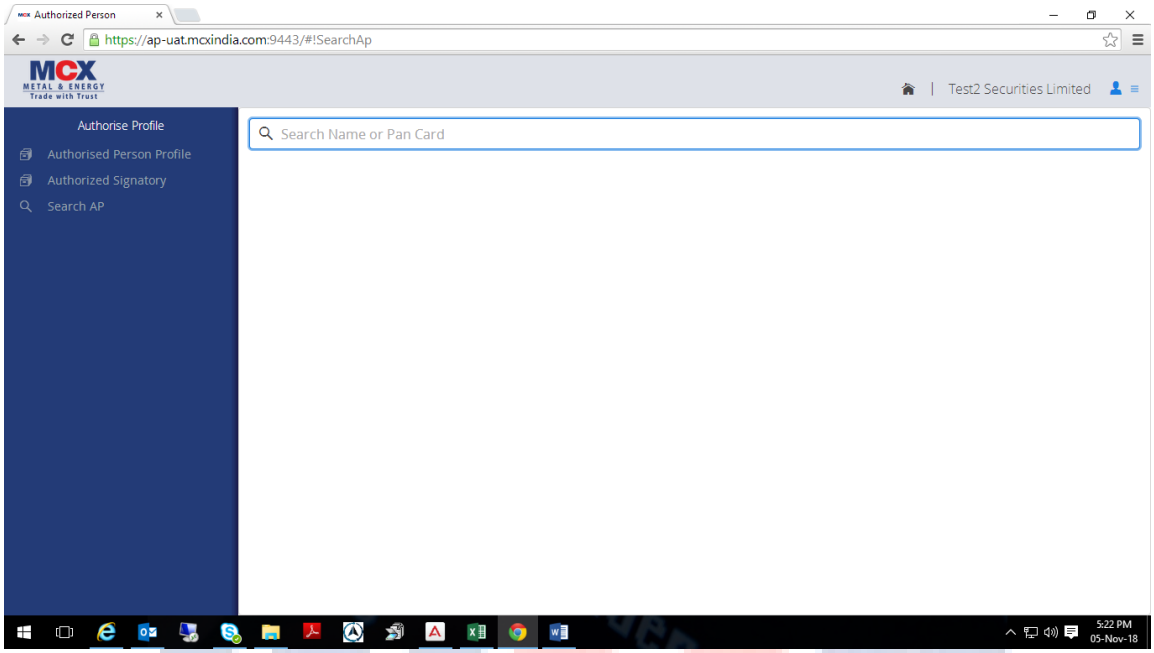
Procedure for submission of Application for Withdrawal (Cancellation) of Authorised Person

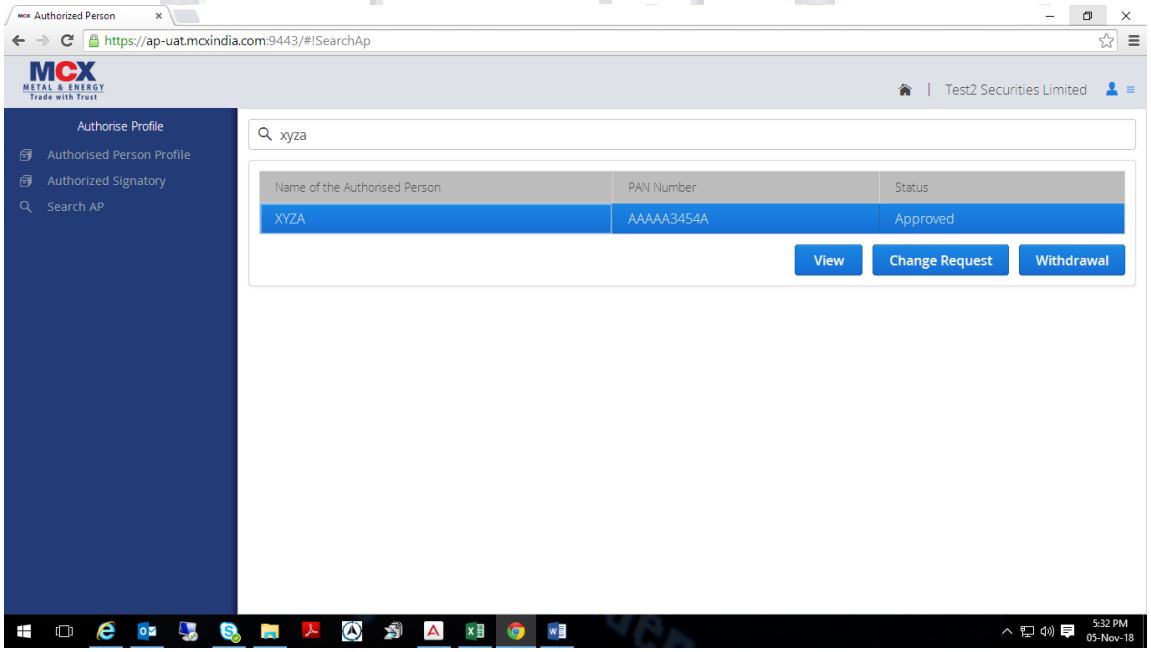
a) Go to 'Search AP' tab. Search AP by name or PAN.

Print Screen 2A



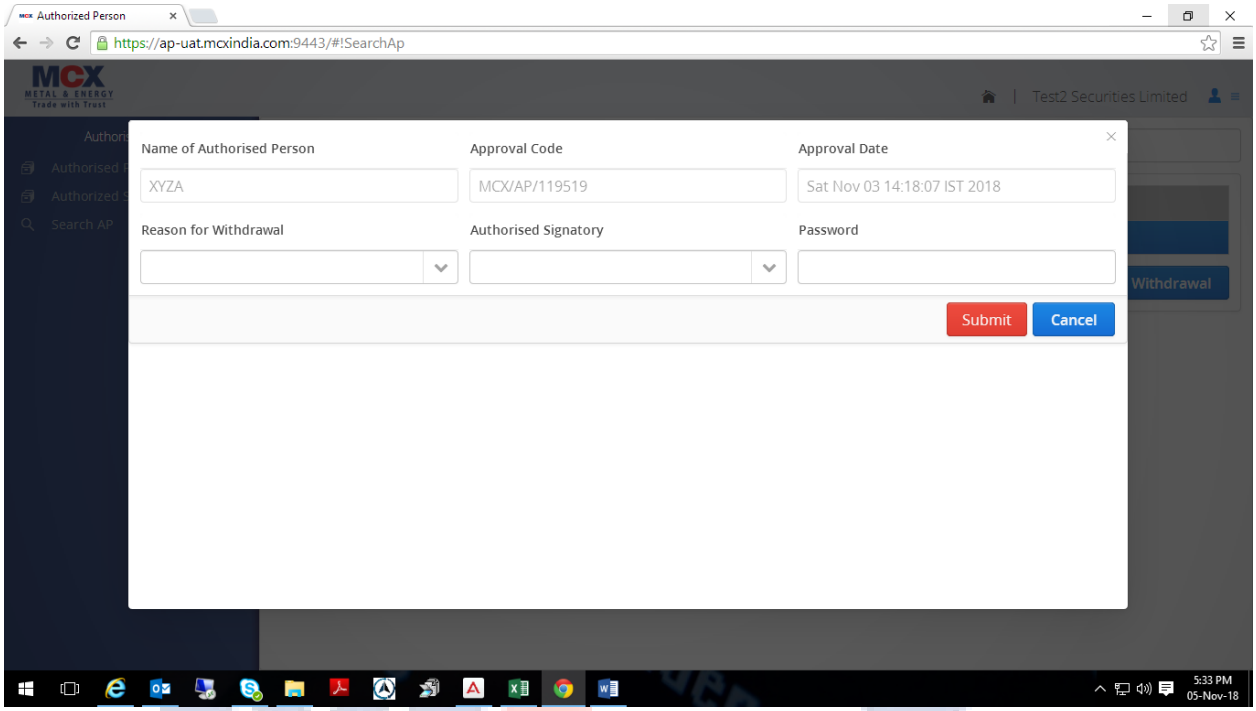
b) On selection of the AP select the Withdrawal option

Print Screen 2B



c) Select the reason for withdrawal in the list mentioned in the drop down.

Print Screen 2C



d) On selection of the option, upload the required documents. Select the Authorised Signatory, enter password and click on Submit.

Print Screen 2D

