(On the letter head of the member)

Appointment / Change in Compliance Officer

Date:

To
Multi Commodity Exchange of India Limited and / or Multi Commodity Exchange Clearing Corporation Limited
Exchange Square,
Suren Road, Andheri East,
Mumbai – 400093

Dear Sir/ Madam

Sub: Appointment / Change in Compliance Officer

Ref : SEBI Registration No. INZ_____

Other Membership details :

Member ID	Name of the Exchange / Clearing Corporation / Depositories

I/We have appointed new Compliance officer as per the provisions of the Regulation 18A of the SEBI (Stock Brokers) Regulations, 1992. Details are given as per following table:

Name of Compliance Officer	
First Name	
Middle Name	
Last Name	
Father's Name	
Mobile Number	
Telephone Number (Direct)/Board with Extn.	
Date of Birth	
PAN	
Aadhaar Number (Optional)	
Qualification	
E-mail id 1	
E-mail id 2	
Appointment Date	
Date of passing NISM series IIIA Certification	
Valid Till	
Undertaking for obtaining NISM series III A certification (Y/NA) **Refer Note 1**	
Residence Address	
Address Line 1	
Address Line 2	
City	
State or Union Territory	
PIN Code	
Res. Telephone	

Office Address (where the Compliance Officer is available)	
Address Line 1	
Address Line 2	
City	
State or Union Territory	
PIN Code	

Note 1 -To be given if the compliance officer has not obtained NISM Series III A certification at the time of employment and the period of one year from the date of employment is not lapsed in accordance with The Gazette of India notification dated 11-March-2013 issued under Regulation 3 of SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007 and any other such compliance requirements issued from time to time.

I / We confirm that Mr./Ms_____ appointed as Compliance officer is 'fit and proper person' as per Schedule II of SEBI (Intermediaries) Regulations, 2008 and SEBI (Stock Brokers) Regulations, 1992 as amended till date including with reference to following criteria:

i) integrity, reputation and character;
ii) absence of conviction and restraint orders;
iii) competence including financial solvency and net worth;
iv) absence of categorization as a wilful defaulter.

I / we hereby confirm that all the above details are true and correct. I / We undertake to intimate the Exchange/ Clearing Corporation. as and when there is any change in the aforesaid information submitted to the Exchange/ Clearing Corporation.

Yours faithfully

For _____ (Name of the member)

For _____ (Name of the member)

Name and signature of Authorized Signatory
Designated Director/Designated Partner /
Managing Partner / Proprietor

Signature of the Incoming Compliance Officer

Enclosed:

1. Copy of PAN card duly certified by the member.
2. NISM series III A certificate or; Undertaking as per Note 1.
3. Copy of Bio Data (including Previous Employment Details, if any)