



Annex - 2

Application Form for seeking in-principle approval to set up an Electronic Trading Platform

From

Name and address of registered office/ principal place of business of applicant

To

Chief General Manager,
Financial Markets Regulation Department,
Reserve Bank of India,
9th Floor, Central Office Building,
Shaheed Bhagat Singh Marg,
Mumbai –400001

Dear Sir,

Application for seeking in-principle approval for setting up an Electronic Trading Platform

We hereby submit an application for in-principle approval to set up an electronic trading platform for ...(Name of instrument/s). The required information and documents have been furnished as per instructions.

2. We declare that to the best of our knowledge and belief the information furnished in the statements/annexes enclosed are true/correct and complete and nothing has been concealed.

Yours faithfully

Signature:

Name:

Designation:

Company Seal:

Date and Place:

Encl: sheets



Application Form for in-principle approval to operate an Electronic Trading Platform

1. Name, legal status and constitution of the applicant.
2. Promoters/owners, Directors and Senior Management details (details of foreign holding if any).
3. Present net-worth – Auditor's certificate, audited financial statements if available.
4. Brief note on the applicant.
5. Previous experience of applicant and associated companies/firms/entities in operating trading infrastructure in financial markets.
6. Details of any punitive action or show cause notice or criminal prosecution by any regulator or any enforcement agency or any court, in India or in other jurisdictions against the applicant, any of its promoters or directors or any of its associated companies/firms/entities.
7. Details of the applicant, any of its promoters or directors, or any of its associated companies/firms/entities that has appeared in the list of defaulters published by any credit information company.
8. Particulars of Electronic Trading Platform for which authorization is sought: Details including financial instrument/s proposed to be traded, technology and trading processes proposed to be employed.
9. Roadmap for meeting the eligibility criteria and the conditions prescribed under these Directions.