



Application Form for registration of offshore 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 registration of Offshore Electronic Trading Platform

We hereby submit an application for registration of 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



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Part-A

1. Name, legal status and constitution of the applicant.
2. Promoters/owners, Directors and Senior Management details
3. Net-worth – Auditor's certificate, audited financial statements if available.
4. Brief note on the applicant.
5. Experience of the applicant and associated companies/firms/entities in operating trading infrastructure in financial markets.
6. Details about the operations of the platform in countries other than India and regulations they are being subject to.
7. Details of any punitive action or show cause notice or criminal prosecution by any regulator or any enforcement agency or any court in any country against the applicant, any of its promoters or directors or any of its associated companies/firms/entities.
8. 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.

PART – B

1. Particulars of Electronic Trading Platform for which registration is sought
 - a. Details including financial instrument/s proposed to be traded, technology employed, trading process and trading rules, risk management practices, monitoring and surveillance system, other services being provided as part of trading systems etc.
 - b. Documentary evidence on adherence to eligibility criteria prescribed under paragraph 15 (b) of the regulations.
2. Any other information the applicant wishes to furnish.