

Application Form for Authorisation to operate 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, Central Office,
1st Floor, RBI Main Building,
Shaheed Bhagat Singh Marg,
Mumbai –400001

Dear Sir,

Application for authorisation for setting up / operating an Electronic Trading Platform

We hereby submit an application for authorisation to set up / operate 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 ETP operator.
2. Promoters/owners, Directors and Senior Management details (details of foreign holding if any).
3. Net-worth – Auditor's certificate, audited financial statements if available.
4. Brief note on the ETP operator.
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.

PART – B

1. Particulars of Electronic Trading Platform for which authorization 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. Details on adherence to eligibility criteria prescribed under the regulations.
 - c. Details on adherence to other requirements prescribed under the regulations.
 - d. Information on data storage and access.
2. If desirous of providing clearing and settlement service, the details thereof.
3. Any other information the applicant wishes to furnish.