**ANNEXURE G**

**APPLICATION FOR EMPANELMENT AS APPLICATION SERVICE PROVIDER (ASP)**

(to be executed on letter head of the ASP)

Application for empanelment for: CTCL/IBT/STWT/DMA/SOR

(*Strike-out whatever not applicable)*

Segment: CAPITAL MARKET / FUTURES & OPTIONS /

(*Strike – out whatever not applicable)*

CURRENCY DERIVATIVES / COMMODITY SEGMENT

**BASIC DETAILS:**

Applicant Name :

Registered Address:

Telephone No.:

Email Id:

Name(s) & Designation of

Authorised Signatory:

Telephone No. of Authorised

Signatory:

Correspondence Address:

Telephone No.:

Email Id:

**ORGANISATION DETAILS**

* Complete details of promoters and their background: (To be enclosed)
* Whether the applicant has any affiliation with any brokers / subbrokers etc. including beneficial interests held by / in such brokers sub-brokers etc. (YES/NO)

If YES, to above then complete details of affiliation to be provided

* Organisational structure: (To be enclosed)

Total Staff:

* Directors etc.

Technical Staff:

* Hardware
* Software
* Support
* Others

No. of offices across country (Complete details to be provided)

**FINANCIAL DETAILS**

* Details of promoters & their background
* No of Years in IT business:
* IT Turnover for last 5 years (Complete details including balance sheet to be provided):
* Complete details of ISO certification for IT activity, if any:

**TECHNICAL DETAILS**

* Complete details of infrastructure available (as below):
* Hardware:
* Software: To be enclosed
* Communication / Networking:

Complete details of Projects implemented along with References:

(if newly floated company then details of promoter company)

Complete details CMM / ISO Certification for IT activity, if any :

(if newly floated company then details of promoter company)

**SYSTEM DETAILS:**

Comprehensive write-up of proposed solution including platforms for the solution, functionalities available, connectivity’s, detailed network diagram etc. to be provided

Detailed write-up to be provided for each of the following areas:

* Frequency of hardware & software upgrade
* Provisions for system redundancy, fault tolerance and load balancing
* Database redundancy and standby databases (hot standby / cold standby)
* Provisions to monitor system capacity and scalability of system on capacity utilisation
* Provisions for back-up systems and data storage
* Contingency planning in case of technical failure and capacity planning (including periodic evaluation of capacity based on historical and anticipated volumes) should be documented and be available for inspection
* Alternate means of communication in case of link failure – links to Exchange as well as Internet link failure
* Facilities for 24 X 7 call centre / Help Desk

**SECURITY REQUIREMENTS**

Detailed write-up to be provided in each of the following areas:

* Physical security of hardware / systems at hosting location and controls on admission of personnel into location.
* Access control of ASP staff to system. Audit trail of all access by ASP staff. Reconfirmation by second user for critical functions (second password).
* Use of authentication technology – user ID and First Level password (private code). Second Level password.
* Automatic expiry of passwords after a reasonable duration and reinitialization of access on entering fresh passwords. Encryption of passwords.
* Security, reliability and confidentiality of data related to members and clients. Provisions to ensure that a member / client can see data only pertaining to himself and not other members / clients.
* Records maintained in electronic form should not be susceptible to manipulation
* Logs of all activities / transaction to be maintained with proper audit facilities
* Secured Socket Layer access through Internet – certified by an approved Certifying Authority
* Firewalls between Internet and trading set-up
* Other security provisions, if any

Proposed pricing of providing the service to NSEIL Trading Members

*(Give details)*

We certify that all the statements are true and correct to the best of our knowledge. We undertake to ensure continuous compliance with all the requirements of the Exchange, DoT policy and regulations with regard to levels of encryption, etc and SEBI directives and other statutory requirements etc. in this regard, as may be issued from time to time.

Signed sealed and delivered by the Authorised representative of the Applicant

Date

Place: