*(To be given on the letterhead of the applicant)*

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To,

Member Service Department

National Stock Exchange of India Ltd.

Exchange Plaza

Bandra-Kurla Complex

Bandra (E)

Mumbai – 400 050.

**Subject: Application for conversion of existing membership to Alpha membership**

Dear Sir,

I/ We, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_the trading member of the National Stock Exchange of India Limited bearing SEBI registration number \_\_\_\_\_\_\_\_\_\_\_\_\_*are* desirous of converting our existing membership into Alpha category of membership for all segments(CM, FO, CD & DEBT) for whichever I/ We are enabled as on date.

I/ We hereby undertake / confirm that:

1. To adhere to the Bye-laws, Rules and Regulations framed by NSEIL for the respective segments/sub-segment from time to time.
2. To adhere to the Bye-laws, Rules and Regulations introduced/ modified from time to time with/without prior notice.
3. I / We are aware that maximum number of Clients ID’s (pertaining to Family and Associate Firms/ Companies) allowed under this category will be 50. Further, I/ we have understood the meaning of Family and Associate Firms/ Companies.

* *As I/ we are getting enabled under constitution of Corporate, the meaning of Family and Associate Firms/ Companies will denote; Company + Directors + their relatives \*\* + Holding Company + subsidiaries + associate companies (controlling interest 20% or more) + HUFs of relatives + Associate firms (controlling interest of 51% or more) + Firms in which the company or one or more directors or their relatives either jointly/severally hold interest of 51% or more. (Strike off if not applicable).*

*OR*

* *As I/ we are getting enabled under constitution of Partnership Firm/ LLP, the meaning of Family and Associate Firms/companies will denote; Firm + Partners + their relatives + HUFs of relatives + Firms in which the firm or one or more partners or their relatives either jointly/severally hold interest of 51% or more + Companies in which the firm/partners or their relatives jointly/severally hold interest of 20% or more. (Strike off if not applicable).*

*OR*

* *As I am getting enabled under constitution of Individual the meaning of Family and Associate Firms/ companies will denote; Self + relatives + HUFs of relatives + Firms in which self/ relatives jointly/severally hold interest of 51% or more + Companies in which self/relatives jointly/severally hold interest of 20% or more. (Strike off if not applicable).*

1. I / We are aware of all provisions pertaining to Alpha membership as stated in circular ref no 804/2012 (download ref no NSE/MEM/21759) dated September 24, 2012 and circular ref no 005/2018 (download ref no NSE/MSD/ 37083) dated March 01, 2018 and as may be amended from time to time. And I / we undertake to adhere to same at all points of time. Further, I/ We also undertake to adhere to any modifications in aforesaid circular with/without prior notice.
2. I/We confirm that the following are our deposits available with the Exchange:-

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| CM (NSEIL) | F&O (NSEIL) | CD(NSEIL) | | Debt(NSEIL) | CM (NSCCL) | | F&O (NSCCL) | | CD (NSCCL) | | DEBT (NSCCL) | |
|  |  | Cash | Non-cash |  | Cash | Non-cash | Cash | Non-cash | Cash | Non-cash | Cash | Non-cash |
|  |  |  |  |  |  |  |  |  |  |

Thanking You.

**Yours sincerely,**

**Signature with Stamp**

**(To be signed by the individual /all the designated directors/ partners and dominant promoters)**

Place:

\*\*The term relative is as per the enclosed Family Tree.