

**NATIONAL STOCK EXCHANGE OF INDIA LIMITED****DEPARTMENT : Membership**

Download Ref No : 19028

September 30, 2011

Circular Ref. No : 761

Dear Members,

**Sub: Acceptance of applications for Authorised Person with Digital Signature through ENIT**

The Exchange is pleased to inform all its trading members that they can now submit applications for appointment and cancellation of Authorised Persons digitally signed vide ENIT. Such digitally signed applications received by the Exchange need not submit any physical document to the Exchange. The status of these applications would continue to be displayed in ENIT. The process for submitting application for appointment and cancellation of Authorised Person with digital signature in ENIT is provided in Annexure-1 and Annexure-2 respectively.

Members can continue to submit applications for appointment and cancellation of Authorised Person without digital signature by continuing to follow the existing procedure. Further, all trading members who are yet to procure digital signature are urged to expedite their procurement as Exchange is looking forward to accept only digitally signed applications shortly.

For any query in regard to applications of Authorised Person, kindly contact Membership Department on 022-26598249 and on email id [minward@nse.co.in](mailto:minward@nse.co.in).

For any query in regard to digital signature, kindly contact Mr. Gerard D'souza on 022-42547663 and on email id [gerard@nseit.co.in](mailto:gerard@nseit.co.in)

For National Stock Exchange of India Ltd.  
Sd/-

Rehana D'souza  
Asst Vice President  
Membership

| Telephone No | Fax No       | Email id   |
|--------------|--------------|--|
| 022-26598249 | 022-26598382 | <a href="mailto:minward@nse.co.in">minward@nse.co.in</a> |

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**Annexure – 1****Authorised Person Appointment**

1. The path for Authorised Person (AP) appointment on ENIT is :  
Exchange → Authorised Person → Authorised Person master digitally signed.
2. Trading members are required to fill all the details of proposed Authorised Person in the displayed form and then click on save as draft.
3. After saving the record a new page with subject as “**Authorised Person Attachment**” will open where scanned copies of below given documents are required to be uploaded :
  - i) Undertaking from applicant AP,
  - ii) Agreement between TM and applicant AP,
  - iii) Proof of Registered Office of AP
4. Post successful upload of all documents a message stating “**All necessary attachments uploaded successfully** “ will appear wherein after clicking “**OK**” ENIT reference number would be displayed.
5. Next the member has to add further details for Authorised Person: click on “**Additional Details** “and add Director\Partner\Proprietor details. Further, following documents regarding Director\Partner\Proprietor are required to be uploaded through ENIT. a) Pan Card b) Proof of date of Birth (optional), c) proof of educational qualification, d) proof of residential address, e) any other relevant document i.e. affidavit, copy of marriage certificate. After uploading aforesaid documents as attachments click on final save.
6. Once the final save option is clicked, page containing undertaking from trading member will be displayed wherein the member has to fill in place and go to the link “**Click to fill checklist**” and after filling the checklist the same has to be saved.
7. After saving the checklist the member is required to certify data and digitally sign the application. Further, the member is required to submit the application by clicking on “**OK** “. A page containing all applications made by the member to Exchange for AP appointment till date is displayed wherein the member is required to select the particular entry and click “**Submit to Exchange**”.

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8. Upon receipt of request from members through ENIT, the status of application in ENIT shall be displayed as “**Submitted to Exchange**”.
9. Once the scanned documents are received through ENIT, the application will be scrutinized at Exchange end. If everything is in order and application is complete the status in ENIT shall be changed to “**Under Process**” which will further change to “**Approved**”. In case there is a deficiency or discrepancy in the application the status in ENIT shall be changed to “**Returned**” highlighting the deficiencies in the application in remarks column on ENIT.
10. In case the application is returned by the Exchange, member has to resubmit the application on ENIT by clicking on “**Resubmit**” option, after completing all the deficiencies.

- Note:
- a) In case of Partnership deed only pages containing main object clause and name of partners along with their respective sharing ratio and copy of ROF (Certificate of Registration of Firm) needs to be scanned and uploaded.
  - b) In case of Corporate, pages pertaining to main object clause in MOA and Certificate of Incorporation needs to be scanned.
  - c) The aforesaid documents (in original) should be made available to the Exchange whenever required.
  - d) The documents to be uploaded have to be in .JPG, .JPEG or .PDF format. The total size of all documents being uploaded has to be less than 5MB.
  - e) Third Party Reference letter is not a mandatory document for Authorised Person Appointment.

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**Annexure – 2****Authorised Person Cancellation**

1. The path for Authorised Person cancellation on ENIT is :  
Exchange → Authorised Person → Cancellation of Authorised Person digitally signed
2. The trading member has to select trade name and segments for cancellation (all other details will be auto populated) and mention the reason for cancellation and submit the application.
3. Following documents are required to be scanned and uploaded through ENIT:
  - i) Request received from Authorised Person for cancellation
  - ii) Board Resolution (in case of Corporate Application)
  - iii) Letter of Authority (in case of Partnership Firm or LLP to be provided only when all the partners have not signed on Request letter),
  - iv) Copy of Public Notification (applicable only in case of any disciplinary action initiated by the Exchange and pending against the Authorised Person)
4. After uploading the necessary documents the member is required to fill the online checklist and member declaration and click on **“Final Save”**. The application is required to be digitally signed and submitted to the Exchange.
5. Upon receipt of request from members through ENIT, the status of application in ENIT shall be displayed as **“Submitted to Exchange”**.
6. Once the scanned documents are received through ENIT, the application will be scrutinized at Exchange end. If everything is in order and application is complete the status in ENIT shall be changed to **“Under Process”** which will further change to **“Cancelled”**. In case there is a deficiency or discrepancy in the application the status in ENIT shall be changed to **“Returned”** highlighting the deficiencies in the application in remarks column on ENIT.
7. In case the application is returned by the Exchange, member has to resubmit the application on ENIT by clicking on **“Resubmit”** option, after completing all the deficiencies.