

Annexure 1
Checklist for submission of Annual Return

Name of the Member		
Member ID		
Sr. No.	Particulars	Yes/No/NA
1	Self attested Financial Statements (which includes Balance Sheet, Profit and Loss Account/ Income and Expenditure Account, Directors' and Auditor's Reports) duly certified by a CA	
2	Net worth certificate along with computation sheet duly certified by CA	
3	Details of Directors/ Partners/ Proprietor/ Karta/Individual	
4	Details of Shareholding/Sharing Pattern duly certified by CA / CS	
5	Details of Dominant Promoter Group (DPG)	
6	Undertaking from Relatives supporting the DPG	
7	Undertaking from Body corporate supporting the DPG	
8	Shareholding pattern of Body corporate supporting the DPG	
9	Declaration from Individual/Proprietor/Partner/Director	
10	Declaration cum Confirmation of Inactive Member	
11	Other Details of Member	

Signature and seal of the member

Authorised Signatory

Place:

Date:

Annexure 2

Certificate date: _____

Submitted by: _____

CERTIFICATE

(To be given by a practicing Chartered Accountant)

This is to certify that the Net worth of Mr. /Ms / M/s _____ as on _____ as per the statement of computation of even date annexed to this report is Rupees _____ only).

We further certify that the computation of Networth, based on my / our scrutiny of the books of accounts, records and documents, is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor

Membership Number

Rubber Stamp

Note: Detailed computation to be attached to this certificate.

Composition of Net worth of the Members

The Members will have the option of computing their net worth as per any of the two methods given below. Members may choose any one method, which should then be followed always. Any change in method will require prior approval from the Exchange

Method 1:

The net worth should be computed either as per the format given below:

(Rs. In Lakhs)

Paid Up capital*	
Net worth calculated as follows	
Paid up capital	
Add: Reserve & Surplus (excluding revaluation reserves)	
Less: Accumulated losses if any -	
Less: Miscellaneous Expenditure -	
Total Net worth	

* Give details of capital issued after the date specified above.

Place:

For (Name of Accounting Firm)

Date:

Name Partner/Proprietor

Membership Number

Rubber stamp

Method 2:

By valuation of assets on the following basis:

- A. Listed (Quoted) investments in the name of the applicant (at market value)
- B. Margin of 30% on market value of listed (quoted) Investments
- C. Net value of listed Investments (A) – (B)
- D. Investments in unlisted (unquoted) companies (as per Note No. 2)
- E. Margin of 50% on (D)
- F. Net value of unlisted Investments (D) – (E)
- G. Other Investments (at cost) with PPF and NSC at current value, Statutory deposits with Ace, Deposits with registered NBFCs, Bank FDs
- H. Total Net Investments (C) + (F) + (G)
- I. Market Value of Land & Building component of the Fixed Assets
- J. Margin on I at 50%
- K. Net value of such fixed assets (I – J)
- L. Debtors not exceeding 3 months + Cash & Bank balance
- M. Current Liabilities
- N. Long term liabilities
- O. Networth (H + K + L) – (M + N)

Place:

Date:

For (Name of Accounting Firm)

Name of Partner /Proprietor

Membership Number

Rubber Stamp

Notes:

1. Valuation of fixed assets for the consideration of net worth would have to be certified by government approved valuers which should not be more than 2 years old. Only those items of land & building that are in the name of the member as well as in the possession of the member shall be included under the head (I) - Land & Building component of the Fixed Assets. Those properties that are taken on lease shall not be included for computation of net worth. Fixed Assets other than Land & Building shall not be included for the purpose of computation of net worth.

2. Valuation of unlisted investments would be at "fair value" of the said investment, i.e. the average of the "break up value" and the "earning value". For this purpose: -

a) The "break up value" means the equity capital and reserves as reduced by intangible assets and revaluation reserves, divided by the number of equity shares of the investee company.

b) The "earning value" means the value of an equity share computed by taking the average of profits after tax as reduced by the preference dividend and adjusted for extraordinary and non-recurring items, for the immediately preceding three years and further divided by the number of equity shares of the investee company and capitalised at the following rate:

In case of predominantly manufacturing company, eight percent;

In case of predominantly trading company, ten percent; and

In case of any other company, including an NBFC, twelve percent;

If, an investee company is a loss making company, the earning value will be taken at zero. (For e.g. earning value for an NBFC with capitalization rate of 12%, is earning per share multiplied by 100/12)

3. Current assets should exclude loans to related entities, bad and doubtful debts and debts outstanding for more than 3 months, advance against capital assets, pledged securities / assets, prepaid expenses and also intangible assets.

4. Debtors should be distinguished as debtors arising from commodity operations and others.

5. Value of membership card / Deposits with any other Stock / Commodity Exchange are to be excluded for the purpose of computation of net worth.

6. Advance / Investment with or debts due from persons / entities notified under Special Court (Trial of Offences Relating to Transactions in Securities) Act, 1992 are to be excluded for the purpose of computation of net worth.

**Annexure 3 (For Individual/Proprietor/HUF)
(On letter-head of the member)**

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Details of Individual / Proprietor / Karta as on 31.03.2014

Name	Date of Birth	PAN	Educational Qualification	Details of experience in Commodity markets or securities markets	Residential Address (please specify City, State and Pin code)	Telephone, Mobile No, fax no and Email ID	Directorship/ controlling stake in other companies/ partnership firm/LLP	Whether associated with other Exchange/ Members/Company If Yes, then give details

Signature and seal of the member

Authorised Signatory

Place:

Date:

**Annexure 3 (For Partnership Firm / LLP)
(On letter-head of the member)**

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Details of Partners as on 31.03.2014

Sr. No.	Name	Date of Birth	PAN	Educational Qualification	Details of experience in Commodity markets or securities markets	Designated Partner (Yes/No) #	Residential Address (please specify City, State and Pin code)	Telephone, Mobile No, fax no and Email ID	Directorship/ controlling stake in other companies/ partnership firm/LLP	Whether associated with other Exchange/ Members/Company If Yes, then give details

Note: # Designated partner(s) should possess adequate experience pertaining to derivatives or commodity futures market.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

**Annexure 3 (For Body Corporate)
(On letter-head of the member)**

Membership Department
Ace Derivatives and Commodity Exchange Limited
 6th Floor- Zone II, Kotak Infinity, Building No. 21,
 Infinity IT Park, General A K Vaidya Marg,
 Dindoshi, Malad (E), Mumbai – 400 097.

Details of Directors as on 31.03.2014

Sr. No.	Name	Date of Birth	PAN	DIN	Educational Qualification	Details of experience in Commodity markets or securities markets	Designated Director (Yes/No) #	Residential Address (please specify City, State and Pin code)	Telephone, Mobile No, fax no and Email ID	Belongs to Promoter Group (Yes/No)	Belongs to Dominant Promoter Group (Yes/No)	Directorship/ controlling stake in other companies/ partnership firm/LLP	Whether associated with other Exchange/ Members/ Company If Yes, then give details

Note: # Designated director(s) should possess adequate experience pertaining to derivatives or commodity Futures Market.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

Annexure 4 (For Partnership Firm/LLP)
(On letter-head of the member)

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Sharing pattern of _____ as on 31.03.2014

Sr. No.	Name of the Partner (Name in full)	Capital (Rs. In lakhs)	Sharing ratio (%)
1			
2			
3			
4			
5			
6			
7			
8			
TOTAL			100%

Note:

1. In case of a body corporate holding 20 % or more of the capital in the firm, the shareholding pattern of such body corporate shall also be furnished.
2. Each page of this annexure is to be signed and stamped by CA / CS

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

CERTIFICATE

(To be given by a practicing Chartered Accountant/Company Secretary)

This is to certify that the sharing pattern in M/s _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of the firm)

Date:

Name of the Partner/Proprietor

Membership Number

Rubber stamp

**Annexure 4 (For Body Corporate)
(On letter-head of the member)**

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Shareholding pattern of M/s _____ as on 31.03.2014

Paid Up Capital Rs. _____

Equity/ Preference (Please indicate and use separate sheets for equity/ preference shares)

Sr. No.	Name of the shareholder	Number of shares held	Face value per share	Amount Paid up (Rs. in lacs)	% of total	PAN
1						
2						
3						
4						
5						
Others						
TOTAL					100%	

Note:

1. In case of body corporate holding 20 % or more of the paid up capital in the company, the shareholding pattern of such body corporate shall also be furnished in the same format as given above
2. Each page of this annexure is to be signed and stamped by CA / CS

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

CERTIFICATE

(To be given by a practicing Chartered Accountant/Company Secretary)

This is to certify that the Shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of the firm)

Date:

Name of the Partner / Proprietor

Membership Number

Rubberstamp

**Annexure 5 (For Partnership Firm /LLP)
(On letter-head of the member)**

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Details of Dominant Promoter Group as on 31.03.2014

Sr. No.	Name of dominant partner	Address of the dominant Partner (please also specify City, State and Pin code)	Name of person(s) / corporate (s) supporting dominant partner	Relation #	Capital (Rs. in lacs)	Sharing ratio (%) @		% of Total Sharing ratio
						Self	Relatives	
1								
2								
3								
TOTAL								

Note:

Please specify relation of person supporting dominant partner

@ For arriving at sharing of person constituting the dominant promoter group the dominant promoter's parents, spouse, children and their descendants, brothers and sisters only may be counted as specified / close relatives provided these relatives give an irrevocable, unconditional support in writing in the prescribed format.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

**Annexure 5 (For Body Corporate)
(On letter-head of the member)**

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Details of Dominant Promoter Group as on 31.03.2014

Sr. No	Name of dominant shareholder	Address of the dominant Shareholder(please also specify City, State and Pin code)	Name of person(s) / corporate (s) supporting dominant partner	Relation #	No. of shares Held	Total Amt paid up (Rs. in lacs)	% of Total @		% of Total
							Self	Relatives	
1									
2									
3									
TOTAL									

Note:

Please specify relation of person supporting dominant partner

@ For arriving at sharing of person constituting the dominant promoter group the dominant promoter's parents, spouse, children and their descendants, brothers and sisters only may be counted as specified / close relatives provided these relatives give an irrevocable, unconditional support in writing in the prescribed format.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place:

Date:

Annexure 6 (For Partnership Firm/LLP)

Undertaking from Relatives supporting the DPG (if applicable)

I, Mr./Ms./Mrs _____, son / daughter / wife of _____ resident of _____ declare that

I am partner in the Partnership Firm/LLP _____ for sharing profit and loss to the extent of ____% as on _____ (Date)

I state that I shall irrevocably and unconditionally support in respect of my sharing pattern to Mr./ Mrs. _____, a partner in the above mentioned partnership firm. I further state that I have no objection to my above mentioned sharing pattern being clubbed with the sharing pattern of Mr. / Mrs. _____ who is my _____ (give relationship with the latter) for the purpose of determining the dominant partner group of the said Partnership Firm/LLP

This support is irrevocable and I also undertake to give prior information to Ace Derivatives and Commodity Exchange Limited before selling or otherwise transferring my part or whole of my above mentioned sharing pattern.

Signature: _____

(Name of the Relative supporting the DPG)

WITNESSES:

(1) Name:

Address:

Signature:

Place:

Date:

(2) Name:

Address:

Signature:

Place:

Date

Note: For arriving at sharing of person constituting the dominant promoter group the dominant promoter's parents, spouse, children and their descendants, brothers and sisters only may be counted as specified / close relatives provided these relatives give an irrevocable, unconditional support in writing in the prescribed format.

Annexure 6 (For Body Corporate)

Undertaking from Relatives supporting the DPG (if applicable)

I, Mr. /Ms. /Mrs. _____, son/daughter/wife of Mr. _____, resident of _____ declare that

I am the absolute owner of _____ (no.) of shares of Rs. ____ each, which constitutes _____ % of the total paid up capital of the company _____ as on this date.

I state that I shall irrevocably and unconditionally support in respect of my shareholding to Mr./Ms. _____, a shareholder in the above mentioned company. I further state that I have no objection to my above mentioned shareholding being clubbed with the shareholding of Mr. _____, who is my _____ (give relations with the latter) for the purpose of determining the dominant promoter group of the said company.

This support is irrevocable and I also undertake to give prior information to Ace Derivatives and Commodity Exchange Limited before selling or otherwise transferring any part or whole of my above mentioned shareholding.

Signature: _____

(Name of the Relative supporting the DPG)

WITNESSES:

(1) Name:

Address:

Signature:

Place:

Date:

(2) Name:

Address:

Signature:

Place:

Date

Note: For arriving at sharing of person constituting the dominant promoter group the dominant promoter's parents, spouse, children and their descendants, brothers and sisters only may be counted as specified / close relatives provided these relatives give an irrevocable, unconditional support in writing in the prescribed format.

Annexure 7

Undertaking from Corporate entity supporting the DPG (if applicable)

We, M/s. _____ Limited, incorporated as a Company under the Companies Act, 1956 and having its registered office at _____ do state as under:

1. As per the existing norms of Ace Derivatives and Commodity Exchange Limited (Ace), the shareholding of Mr./Ms. _____* in our company in direct proportion to our shareholding in the Member Company, may be reckoned for the purpose of arriving at the dominant promoter group in M/s. _____ (Member Company).
2. We are _____% shareholder of the Member Company and Mr./Ms. _____, dominant promoters of the Member Company along with his/her specified relatives i.e., _____ are having _____% shareholding in our company.
3. Mr./Ms. _____* have requested Ace to consider their shareholding in our company in the permissible proportion to arrive at the dominant shareholders in the Member Company and also requested us to give an irrevocable undertaking extending unconditional support to Mr. /Ms. _____ (Name of the Dominant promoters of the Member Company) to enable Ace to consider the aforesaid as dominant promoter group.
4. We hereby extend our unconditional and irrevocable support in support of Mr./Ms. _____ (Name of the Dominant promoters of the Member Company) for the purpose of the determining the dominant promoter group in the said Member Company.
5. We also undertake to give prior information to Ace before effecting any change in the shareholding of Mr./Ms. _____.*

For M/s _____

Name and signature of the Director:

WITNESSES:

(1) Name:

Address:

Signature:

Place:

Date:

(2) Name:

Address:

Signature:

Place:

Date

* Name of the Dominant Promoters of the Member Company along with their specified relatives having shareholding in the corporate giving the undertaking.

Annexure 8
(On letter-head of the body corporate)

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Shareholding pattern of M/s _____ as on 31.03.2014

Paid Up Capital Rs. _____

Equity/ Preference (Please indicate and use separate sheets for equity/ preference shares)

Sr. No.	Name of the shareholder	Number of shares held	Face value per share	Amount Paid up (Rs. in lacs)	% of total
1					
2					
3					
4					
5					
Others					
TOTAL					100%

Note:

1. Each page of this annexure is to be signed and stamped by CA / CS

Signature and seal of the body corporate

Signature and seal of the body corporate

Authorised Signatory

Authorised Signatory

Place:

Date:

CERTIFICATE

(To be given by a practicing Chartered Accountant/Company Secretary)

This is to certify that the Shareholding in _____ as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of the firm)

Date:

Name of the Partner / Proprietor

Membership Number

Rubber stamp

Annexure 9
Declaration from Individual/Proprietor/Partner/Director
(On the letter head of the member)

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Dear Sir,

I/We hereby confirm/undertake that _____
_____ (Trade Name of the Member) and its Karta / Partner(s) / Director(s)
and constituents of dominant promoter group;

- a. am /are not debarred/ suspended/ declared defaulters by SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange
- b. have no complaints/disciplinary action/ proceedings/ penalty at SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange.
- c. have no pending investigation/ enquiry by SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange.
- d. have not been convicted of any offence / punished for contravention of any provisions of the FCR Act or Regulations made there under or any other applicable Act or Regulations made there under
- e. am / are not connected with any of the defaulting/ suspended member of any recognized Stock Exchange/Commodity Exchange.
- f. am /are not declared insolvent by Stock Exchange/Commodity Exchange

In case of any action/complaints/investigation/enquiry by any Statutory Agency/Regulatory Agency/Stock Exchange/Commodity Exchange or any statutory body in future, We undertake to intimate the same to the Exchange immediately.

I/We declare that the information given above is true.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place: _____

Date: _____

Annexure 10
Declaration cum Confirmation of Inactive Member
(On the letter head of the member)

To,
Membership Department
Ace Derivatives and Commodity Exchange Limited
6th Floor- Zone II, Kotak Infinity, Building No. 21,
Infinity IT Park, General A K Vaidya Marg,
Dindoshi, Malad (E), Mumbai – 400 097.

Sub: Our Membership of the Exchange: Member ID: _____

Dear Sir,

With reference to your Circular no.ACE/MEM-003/2014/103 dated August 11, 2014, I/We _____ (Name of Member) do declare and confirm as under:

- a. I/ We have not traded on the Exchange during the financial year 2013-2014.
- b. I/ We have got our books of accounts for the financial year ended 2013-2014 audited by qualified Chartered Accountant and will arrange to submit the same as and when required by the Exchange or by auditors appointed by the Exchange and/or Forward Markets Commission.
- c. I/We have enclosed our Networth Certificate and computation thereof as on _____ in the prescribed formats duly certified by Chartered Accountant.
- d. I/We hereby declare that there is no change in the present address / contact details and if there is any change the same will be intimated to the Exchange in the prescribed format.
- e. I/We hereby declare that there is no change in the Proprietor / Karta / Designated Partners/Directors, Sharing/Shareholding Pattern and Dominant Promoter Group (DPG) of the member entity and if there is any change the same will be intimated to the Exchange in the prescribed format.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place: _____

Date: _____

Annexure 11
Other details of Member
(On the letter head of the member)

Sr. No.	Particulars	Details
1	Registered office address	Address Contact person Tel No Fax No Mobile No Email ID
2	Correspondence office address	Address Contact person Tel No Fax No Mobile No Email ID
3	Details of Principle officer	Name Office Address City State Pin Code Tel (with STD) Fax (with STD) Mobile: Email:
4	Details of Compliance officer	Name Office Address City State Pin Code Tel (with STD) Fax (with STD) Mobile: Email:
5	Occupation of a Member: <ul style="list-style-type: none"> •Farmers •Hedgers •Commodity Traders •Others (Please specify) 	
6	Details of Membership of Member / its subsidiaries /holding co. /group	Name & Address of Entity Name of the Exchange

	company/associate with other Exchanges	Membership Number Date of acquiring Membership
7	Details of promoters: (Details to be given for all promoters)	Name Address City State Pin Code Tel (with STD) Fax (with STD) Mobile: Email:

Note: Please attach additional sheets, if required.

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place: _____

Date: _____