

(On Member's Letter-Head)

Application for approval as Approved Trading User

Member ID No.: _____

To

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
Fax No 022 6708 0391

Dear Sir,

Sub: Application for new Trading User ID

I/We _____ (*Member Name*) hereby
apply _____ for the new User ID in the name of
Mr./Ms. _____ (*Name of the User*) to act as our
Approved User for trading on my/our behalf through MPLS Leased Line/ Internet/VSAT.

1.	Status & Address of the office where terminal is to be located.	Head office/Regd. Office/Dealing Office	
		Address:	
		City:	Pin Code:
		State:	Phone No:
		Fax No:	Mobile No:
E Mail ID:			
2.	Name of the person for whom this application for allotment of User ID is made (expand all initials)		
3.	Age of Approved user		
4.	Father's name of Approved user		
5.	Address of the Approved user	Address:	
		City:	Pin Code:
		State:	Phone No:
		Fax No:	Mobile No:
		E Mail ID:	
6.	Qualification of Approved user		
7.	PAN of Approved user (Copy of PAN card to be attached)		
8.	Nationality of Approved user		
9.	Relationship of the proposed User with the Member i.e. an employee, agent on commission basis, client or others.		

	(Pls. specify)	
10.	Connectivity Type (from where the proposed User would operate)	<input type="checkbox"/> MPLS Leased Line (Wireline) <input type="checkbox"/> MPLS Leased Line (Wireless) <input type="checkbox"/> VSAT <input type="checkbox"/> Internet
11.	MPLS Leased Line/VSAT IP Address (only for existing members)	
12.	User ID to be used on Internet (In case of Application for MPLS Leased Line/VSAT User ID)	_____ (YES / NO)
13.	No. of Existing User IDs at the above MPLS Leased Line / VSAT	
14.	Role ID	_____ (Admin / Trader)
15.	Proprietary Account Trading	<input type="checkbox"/> Enable* <input type="checkbox"/> Disable

* The members are required to submit Proprietary Account application / undertaking as stated in Circular No: ACE/T&S-012/2012/088 dated July 27, 2012 along with this application form.

I/We hereby agree and bind myself/ourselves to be responsible for all acts, quotations made and transactions done or effected by the said Mr. /Mrs. _____ as our Approved User on the Trading system of the Ace Derivatives and Commodity Exchange Limited (Ace)

In case of the said Mr. / Ms. _____ ceasing to be associated with me /us, I/we shall communicate to Ace the same along with related details and seek change/cancellation in the user ID so allotted against this application, as prescribed.

I/We certify that I/we have not applied for any other user ID in the name of the said Mr./Ms._____. The User ID so allotted would be used by the said Mr. /Ms. _____ only to access the Ace trading system.

I/We certify that approved user shall clear the Certification as prescribed by Ace.

Name of Approved User: _____

(Signature of Approved User)

For _____(Name of Member)

Signature _____
(Authorized Signatory)

Rubber stamp

Date: _____

Place: _____

Note: User ID's shall be allotted after the Exchange is satisfied that the same can be allotted and at the discretion of the Exchange.

UNDERTAKING FOR USER ID

(On a Non-Judicial stamp paper of Rs. 300/- or the same can also be franked)

Whereas _____ at _____ our _____ request _____ made _____ through M/s. _____ (Mem Name), (Member ID NO _____) who is a member of ACE DERIVATIVES AND COMMODITY EXCHANGE LIMITED (hereinafter referred to as "Ace"). Ace has agreed to provide additional User IDs to me/us and we hereby agree and bind myself/ourselves to be responsible for all acts, quotations made and transactions done or effected by the approved users on the Trading System of the Ace.

I/we hereby confirm that the terms and condition of the undertaking for connectivity has been read and understood by me/us and I/we hereby undertake to comply with the same.

I/We further undertake that I/we shall be responsible for all transactions done by the approved users using internet facility, if any, provided by Ace or for any risk arising out of internet use and shall not hold Ace responsible for any loss or risk arising from the use of internet trading.

Further, I/we _____ (Name of the member) confirm that Mr./Ms. _____ (Name of user) is not debarred/declared defaulter/suspended by SEBI/stock exchanges/other authorities.

I/we further confirm that I/we shall inform to Ace immediately whenever there is a change in our trading status/constitution due to above reasons.

Member Code _____

Approved User Code _____

Member Name _____

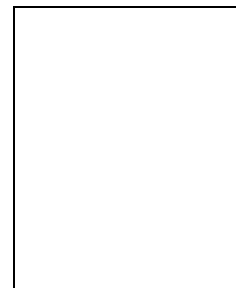
Approved User Name _____

Member Signature _____

Approved User Signature _____

Member Address _____

Approved User Address _____



(Approved User Photograph)

Annexure I

(On the Letter Head of the Member)

Date:

To,

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

Enabling user ids for proprietary account orders through terminals in one location

This is to inform you that the following User ID(s) is/are to be enabled for proprietary account order entry.

Default Location (*complete address*): _____

Sr. No.	User ID	User Name	VSAT/ Leased Line/Internet*	IP address	Reasons**
1					
2					

**IP address of internet connectivity used for putting proprietary trades need not be mentioned*

*** To be furnished only if more than 2 terminals are required for putting proprietary trades at one location.*

Signature and seal of the member

Authorised Signatory

Place: _____

Date: _____

Annexure II

(On the Letter Head of the Member)

Date:

To,

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

Enabling user ids for proprietary account orders through terminals in more than one location:

I/ We, wish to avail of the facility of placing orders on “Pro account” through trading terminals from more than one location as detailed herein under:

Sr. No.	User ID	User Name	Location**	VSAT/ Leased Line***/Internet	IP address*	Reasons for additional Ids
1						
2						
3						

**IP address of internet connectivity used for putting proprietary trades need not be mentioned*

***Pls mention complete address*

****In case of Leased Line /VSAT pls provide IP address*

Signature and seal of the member

Authorised Signatory

Place: _____

Date: _____

Annexure III

INSTRUCTIONS TO FILL THE UNDERTAKING

- Undertaking should be executed on a Non-Judicial stamp paper of Rs.100/- or the value prevailing in your State, whichever is higher
- This Undertaking has to be notarized.
- Must be signed and stamped on each page
- Every hand written information should be counter signed by the authorised signatory
- In case of any Individual, the Undertaking has to be signed by the individual Trading Member himself. In case of corporate, the Undertaking has to be signed by the Managing Director or any two Directors of the company named as Authorised Signatories of the company. Further, the Undertaking has to be accompanied with a certified copy of Board Resolution authorizing the person(s) executing the Undertaking to do so. In case of a partnership firm/LLP, the Undertaking has to be signed by at least two Partners/Designated Partners as the case may be and accompanied by a certified copy of Resolution authorizing the person(s) executing the Undertaking to do so.

Undertaking For Availing Proprietary Account Order Entry Facility

I/We _____, an individual /a partnership firm/ LLP registered under the Indian Partnership Act, 1932 / Limited Liability Partnership Act, 2008/ a Company / body corporate incorporated under the Companies Act of 1956 / _____ Act, 19__, and residing at / having our registered office at _____ give this UNDERTAKING on this ____ day of _____ 20__ at _____

IN FAVOUR of

Ace Derivatives & Commodity Exchange Limited, a company incorporated under the Companies Act, 1956, with its registered office at Rawat Ni Wadi, Near Central Bank of India, Gandhi Road, Ahmedabad-380001 and its corporate office at 6th Floor- Zone II, Kotak Infinity, Building No. 21, Infinity IT Park, General A K Vaidya Marg, Dindoshi, Malad (E), Mumbai – 400 097 (hereinafter called “**ACE**”, which expression shall unless it be repugnant to the context or meaning thereof be deemed to mean and include their successors and assigns)

WHEREAS

- 1) ACE provides the trading software most commonly known as Trader Workstation software ('TWS') to enable its Trading Members to trade in futures contracts of various commodities. In addition, ACE also permits Computer To Computer Link (hereinafter called “CTCL”) facility to its Trading Members for order entry, receipt of order and trade confirmation and also for receipt of data relating to its trade quotations.
- 2) ACE has prescribed that the facility of placing orders on “Pro-account” through trading terminals (“TWS/CTCL”) shall be availed by the Trading Members only at one location of the Trading Members as specified / required by the Trading Members. Further, any trading terminal located at a place other than the above location shall have a facility to place order only for and on behalf of a Constituent by entering client code details as required by ACE / Forward Markets Commission ('FMC'); and in case any Trading Member requires the facility of using “Pro-account” through trading terminals from more than one location, such Trading Member shall request ACE stating the reason for using the “Pro-account” at multiple locations.

- 3) ACE has as a precondition to the Undersigned being permitted the facility of using "Pro-account" through trading terminals from more than one location requires me/us to furnish the undertaking in the manner and on the terms herein below:-

NOW THEREFORE IN CONSIDERATION OF ACE having agreed to allow me/us at my/our request to avail the Pro-account trading facility from more than one location, I/we hereby **IRREVOCABLY AND UNCONDITIONALLY UNDERTAKE** and agree to abide by and be bound by the following terms and conditions:-

- 1) That I/we undertake to enter proprietary orders only from the Pro-account terminals permitted by ACE and undertake not to misuse the said "Pro-account" facility and state that the proprietary trades on the Pro-account terminals pertain to proprietary trades and not client trades.
- 2) That I/we state that our Director(s) / Partner(s)/Officials is/are based at the location where the "Pro-account" trading terminals are located. The Pro-account facility shall be made available to the Approved Users only after obtaining the prior written consent of ACE and subject to such terms and conditions as may be prescribed by ACE from time to time.
- 3) That I/we undertake not to use the 'Pro-account' trading terminals for purposes other than the defined reasons.
- 4) That I/we undertake to take all such steps and/or precautions to ensure and keep ensured that the 'Pro-account' facility is not extended to a location other than the location of the trading terminals where the "Pro-account" facility is permitted by ACE and shall not be extended beyond the location of such permitted trading terminals.
- 5) That ACE, at its absolute discretion, may make the Pro-account facility available to me / us only from the date of my / our enablement on the Pro-account facility till such time as it may deem fit and further that the Pro-account facility may at any time be withdrawn by ACE at its discretion without giving me / us any notice or any reasons whatsoever.
- 6) That I/we shall execute, sign and subscribe, to such other documents, papers, agreements, covenants, bonds, and / or undertakings as may be prescribed or required by ACE from time to time.

- 7) That I/we undertake to abide by all the provisions of the Byelaws, Rules, Business Rules and Circulars/norms and requirements that may be in force from time to time relating to use and operation of the Trading System (including use of CTCL software) and that they shall also mutatis mutandis become applicable to the use and operation of the Pro-account facility.

- 8) That I/we undertake to render all possible assistance and cooperation to ACE by providing all information in any form as it may require and shall produce such documents, records, accounts, books, data howsoever stored including data stored in magnetic tapes, floppy diskettes, etc. and any other information as may be required by ACE at its discretion.

IN WITNESS WHEREOF this Undertaking is executed by the undersigned on the day, month, year and the place first mentioned above.

Signed by, for and on behalf of:

Before Me,

Authorised Signatory