

Ace Derivatives and Commodity Exchange Limited

CHANGE IN SHARING PATTERN INVOLVING CHANGE IN DPG

PARTNERSHIP FIRM / LIMITED LIABILITY PARTNERSHIP

Checklist

Sr. no.	Annexure	Particulars	Compliance (Yes/No.)
1	B1	Application for change in sharing pattern	
2	B2	Sharing pattern and DPG <i>(Present and proposed)</i>	
3	B3	Undertaking for relative support <i>(in case of any)</i>	
4	B4	Details of foreign holding <i>(If no foreign holding then submit the foreign holding details mentioned as "NA")</i>	
5	B5	Undertaking for foreign holding <i>(in case of any foreign holding)</i>	
6	B6	Declaration by Partners	
7		Certified copy of Rectification deed (To be submitted after the approval from the Exchange)	
8		Processing fees of Rs. 5000/- plus service tax as per Circular No:-ACE /MEM-007/2010/050 dated 29/12/2010	

Please feel free to call /write to us for queries, if any:

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
 E-mail: membership@aceindia.com

APPLICATION FOR CHANGE IN SHARING PATTERN
(On the letterhead of the firm)

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,

Reference: Member ID: _____

We, _____, the member of the Exchange hereby seek your approval for changes in the Sharing Pattern/ DPG of the _____ (name of the member) as per the details given below:

Sr. No.	Particulars of change	Applicable (Yes/No)	Proposed/post facto
1.	Change in sharing pattern		
2.	Change in Constituents of DPG		
3.	Admission of partner		
4.	Retirement of partner		

Details of post-facto changes:

Sr. No.	Particulars of change	Date of change	Remarks, if any

In case of any clarification, Name of the contact person: _____
 Telephone No _____ Mobile No _____ email
 id _____

For: _____ (Name of Member)

Signature and seal of the member

Authorised Signatory

Place: _____

Date: _____

Annexure B2

SHARING PATTERN AND DETAILS OF DOMINANT PROMOTER GROUP (FOR PARTNERSHIP FIRM)

Sharing Pattern of _____ (Name of the Firm) as on _____ (Date)

Paid up capital: Rs. _____ (In figures)

Paid up capital: Rs. _____ (In words)

Details of sharing pattern and Dominant Promoter Group (Present and Proposed)						
Sr. No.	Name of the partner	Relationship (specify relation – In case of indirect Support)	Present sharing as on _____ (date)		Proposed sharing as on _____ (date)	
			Capital in the Firm	Sharing Ratio (%)	Capital in the Firm	Sharing Ratio (%)
DPG – Direct						
1						
2						
DPG Indirect (support)						
1						
2						
Non DPG						
1						
2						

Please take signatures and stamp of Designated Partner & Chartered Accountant on this page

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place: _____

Date: _____

AUDITOR'S CERTIFICATE

This is to certify that the Sharing in _____ (name of the firm) as given above is based on my/ our scrutiny of the books of accounts, records and documents. The above statements are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Date:

For (Name of Accounting Firm)

Place:

Name of the Partner/Proprietor

Membership Number

Rubber stamp of firm

Annexure B3

Undertaking from Relative of Persons constituting DPG (Dominant Promoter Group)

{Each relative is to submit separate copy of this disclosure in the form of Annexure}

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

I am partner in the Partnership Firm _____ 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.

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

Date:

Signature: _____

Place:

(Name of the Relative of Persons
constituting DPG)

WITNESS BY:

Name:

Name:

Address:

Address:

Signature:

Signature:

Place:

Place:

Date:

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.

Details of foreign holding
(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

Dear Sir,

Subject: Details of foreign holding

Foreign holding details as required by the Exchange are furnished as follows:

Name of the Applicant				
Sr. No	Name of Foreign holder	Nature/Type of Foreign holder **	Amount paid up in Rs.	% of sharing
1				
2				
3				
4				

* In case your company is a subsidiary company, then the foreign holdings of your (ultimate) parent/holding company is also to be furnished
** Please specify whether the holder is 1) Foreign Company 2) Foreign Individual 3) Non-Resident Indian (NRI) 4) Overseas Corporate Body (OCB) 5) Foreign Institutional Investor (FII) 6) Person of Indian Origin (PIO) 7) Non Resident – Limited Liability Partnership

We undertake to intimate and update the Exchange as and when there is any change in the aforesaid information.

Thanking you,

Yours faithfully,

Signature and seal of the member

Authorised Signatory

Place: _____

Date: _____

Format of Foreign Holding Undertaking
(on the Letterhead 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,

“We hereby confirm and undertake all the necessary approvals for allotment of shares to foreign shareholders have been obtained from the appropriate/relevant authorities including that of Foreign Investment Promotion Board (FIPB) to deal in commodities futures contracts by us”.

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

Thanking you,

Yours faithfully,

Signature and seal of the member

Authorised Signatory

Place: _____

Date: _____

(On the letterhead 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 _____ (Name of Designated Partner) _____, (Name of the Designated Partner) and constituents of dominant promoter group;

- a. Are not debarred/suspended/declared defaulters by SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange
- b. Are not connected with any of the defaulting/ suspended member of any recognized Stock Exchange/Commodity Exchange.
- c. There are no complaints/disciplinary action against us at SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange.
- d. Have no investigation/ enquiry by SEBI/FMC/RBI/any recognized Stock Exchange/Commodity Exchange is pending against us or undertaken against us.

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

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

Thanking you,

Yours faithfully,

Signature and seal of the member

Signature and seal of the member

Authorised Signatory

Authorised Signatory

Place: _____

Date: _____