



National Stock Exchange of India Limited



A Trading Member Guide  
for getting enabled on NSE

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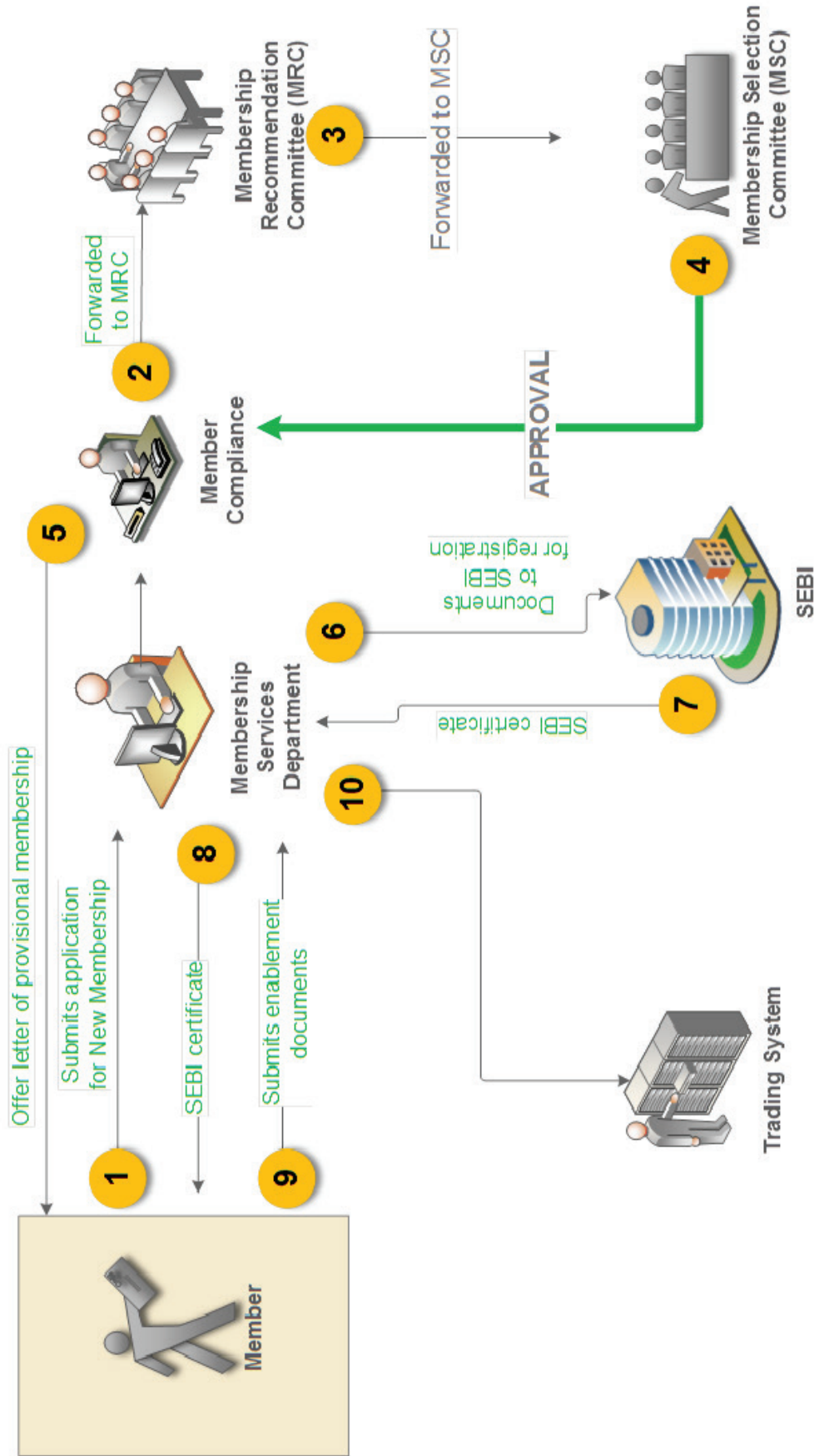
**SUMMARY**

Once the documents are sent to SEBI, the trading member can simultaneously start working on completing the commencement formalities.

This manual provides information on-

1. Connectivity related requirements
2. Deposit and networth requirements for corporates, Limited Liability Partnership, Individual & Partnership Firms
3. Documents required for enablement on following segments
  - Capital Market
  - Futures & Options Segment
  - Currency Derivatives
  - Mutual Fund Service system
  - Security Lending & Borrowing scheme (SLBS)
  - Commodity Derivatives Segment
  - Debt Segment

**ADMISSION PROCESS FLOW AT A GLANCE**



## GETTING STARTED - SUBSEQUENT TO ADMISSION LETTER FROM THE EXCHANGE

After receiving letter of Admission from the Exchange, you will have to apply for connectivity.

In order to provide equal access to all the Trading Members spread over a wide geographical area, the Exchange offers the following forms of telecommunication connectivity:

- VSAT (Very Small Aperture Terminal) - Satellite-based Connectivity
- Leased Line-Terrestrial-based Connectivity
- MPLS (Multiprotocol label switching)
- NOW

Trading Members are required to choose a scenario from the available categories to apply for connectivity. Choosing a scenario may depend on factors such as location, feasibility, etc.

In case of any query or clarification on Connectivity, please contact us on **Toll free 18002660053** or write to us on **msm@nse.co.in**.

The relevant formats for the new scenario (first time application for connectivity), colocation rack and documents for taking connectivity are available at <https://nseindia.com/membership/content/connectivity.htm>

## DEPOSITS AND COSTING FOR CONNECTIVITY

Below tabulated is the brief summary of the charges that are applicable towards support and the activities related to various modes of NSE networks. For more details on commercial and technology aspects, refer to the respective NSE website linked notices.

### VSAT, LEASED LINE AND MPLS CONNECTIVITY COST (IN RS.)

Type of Connectivity	Interest Free Security Deposit (IFSD)	Installation Charges (approx)	Annual Recovery Charges(ARC)	Last Mile Charges	Hardware Rent (approx)
<b>A) VSAT</b>					
1) Option I: Premium	-	17750	36000	-	-
2) Option II: Standard	-	17750	23500	-	-
<b>B) Leased Line (All bandwidths)</b>					
1) Category A (40 m.p.s)		As per service providers rate card (Refer NSE circular dated May 23, 2018 ref no. 13/2018 and May 31, 2018 ref no. 15/2018)	50000	As per service providers rate card (Refer NSE circular dated May 23, 2018 ref no. 13/2018 and May 31, 2018 ref no. 15/2018)	As per service providers rate card (Refer NSE circular dated May 23, 2018 ref no. 13/2018 and May 31, 2018 ref no. 15/2018)
2) Category B (100 m.p.s)			250000		
3) Category C (200 m.p.s)			500000		
4) Category D (400 m.p.s)			1000000		
5) Category S			50000		
<b>C) MPLS</b>					
Particulars	Category	Category	Category	Category	Category
	A	A	B	C	D
Bandwidth	2Mbps	4 / 6 / 8 / 10 / 20 Mbps			
Interactive messages per second	40	40	100	200	400
Message Annual Recovery Charges (excluding service tax)	NA	NA	250000	500000	1000000
Last mile /Port Charges & Escalation Matrix	Rate chart and escalation matrix is available on NSE website <a href="https://nseindia.com/membership/content/connectivity.htm">https://nseindia.com/membership/content/connectivity.htm</a>				

#### Note-

- VSAT, MPLS and category S are not available at co-location
- First category A connection on a Rack in co-location shall be provided free. Applicable ARC shall be collected by NSE for connections at co-location
- All above costs are exclusive of taxes. Applicable taxes will be charged extra

For availing MTBT data on non-colocation kindly refer Exchange circular - NSE/MSD/3819

## Colocation Facility

In keeping up with the global trends and in continuation of service excellence, the Exchange is facilitating its members to co-locate their NNF infrastructure at NSE premises. The co-location facility would have the following features:

- Co-location facility shall be used only for NNF trading on NSE.
- Co-location facilitates with dual UPS power source and 100% DG capacity which ensures uninterrupted power.
- Multiple Precision air conditioning units, with N+1 redundancy ensuring optimal temperature at all times.
- Co-location facility at the Exchange comes in 2 variants: Standard 42U Full Rack with 6KVA power and Half rack of 21U with 3.5KVA.

## COST STRUCTURE

Related costs are as mentioned below:

Rack Size	Charges per rack p.a. (incl. basic IT charges) (in Rs.)	Initial Setup charges (in Rs.) (one time charge per rack)	Maximum permissible Interactive IPs
Full Rack	12,00,000	1,00,000	40
Half Rack	6,00,000	50,000	20

- Backup restore facility (optional) will be charged at Rs 66000/- per rack.
- Applicable service tax shall be levied on all the above charges
- Order Connectivity and market data connectivity will be provided on 10 Gbps network port
- Members can choose from various connectivity options available for market data and order message connectivity. (Please see the “Deposits and Costing” section of Connectivity for details)
- Members may take one or more leased line to the co-location facility from different telecom service providers for the purpose of setting up or modifying parameters, trading related activities and hardware, software, network related access, software download / upload and monitoring and data downloads. Such lease lines can terminate at the below mentioned locations:
  1. Members registered / dealing / branch office / Authorised Person /Sub Broker office
  2. Members rack in Colocation facility of another recognized stock exchange in India
  3. Members owned/hired rack in a third party data center in India
  4. A common designated access point/switch/router provided for the purpose at any other recognized Exchange in India
  5. A common switch in India provided by the empanelled telecom service providers of colocation
  6. A common designated access point/switch/router provided by Financial Market Infrastructures regulated by RBI that offers trading/reporting of underlying assets on which the Exchange provides derivatives contracts.

## CONNECTIVITY SERVICE PROVIDERS IN EXCHANGE COLOCATION

- Basic IT services namely Help Desk (24\*7), Hardware Checks, Incident Management (Level 1), On-site coordination, daily reports, Named resource (SPOC) for the account and Power ON/OFF / Boot on request will be provided.
- Due to security reasons, physical access to co-location data center will be restricted only to the initial set up and access for periodic or urgent maintenance if any would be only with prior permission from NSE.



- The Application form has to be accompanied by requisite Payment which has to be made by way of debit instruction of exchange due account / cheque / demand draft drawn in favour of National Stock Exchange of India Limited payable in Mumbai.
- Network performance parameters such as latency figures are published on periodic basis.
- Exchange has implemented robust access control and monitoring mechanism with appropriate policies.

In case of any query or clarification on Connectivity, please contact us on Toll free **18002660053** or write to us on **msm@nse.co.in**.

### ON OBTAINING THE CERTIFICATE OF REGISTRATION FROM SEBI

After Receiving SEBI registration certificate but before commencement of business trading member has to pay -

#### Fees & Charges

Sr. No	Particulars	Amount
1	Annual Subscription	CM segment For Corporates- Rs 1,00,000 p.a. + Applicable Tax For individuals/Partnership Firms-Rs 50,000 p.a. + applicable tax
2	Minimum Transaction Charges (F&O segment)	Rs. 1,00,000 p.a. + Applicable Tax
3	Transaction charges (CDS segment)	Rs 50,000 p.a. + Applicable Tax

### DEPOSIT & NETWORTH REQUIREMENTS (Corporates /Limited Liability Partnership)

Following is the deposit and networth requirement for corporates and limited liability partnership

DEPOSIT STRUCTURE (₹ in lakhs)

Segment	Type of Membership	Cash-NSE	Non-Cash NSE	Cash NSE Clearing	Non-Cash NSE Clearing	Total	Net Worth	
Capital Market	TM & SCM	85	-	15	25	125	100	
Futures & Options	TM	25	-	-	-	25	100	
	TM & SCM	25	-	25	25	75	100	
	TM & CM	25	-	25	25	75	300	
	PCM	-	-	25	25	50	300	
Currency Derivatives Segment	Existing Members	TM	2	8	-	-	10	100
		TM & SCM	2	8	25	25	60	500
		TM & CM	2	8	25	25	60	1000
	New Members	TM	2	13	-	-	15	100
		TM & SCM	2	18	25	25	70	500
		TM & CM	2	18	25	25	70	1000



	PCM	-	-	25	25	50	1000
Commodity Derivatives	TM	-	5	-	-	5	50
	TM & SCM	-	5	25	25	55	100
	TM & CM	-	5	25	25	55	300
	PCM	-	-	25	25	50	500

\* TM = Trading Membership.

\* TM & SCM = Trading and Self Clearing Membership.

\* TM & CM = Trading and Clearing Membership.

\* PCM = Professional Clearing Membership.

### DEPOSIT & NETWORTH REQUIREMENTS (Individual / Partnership Firms)

Following is the deposit and networth requirement for individual and partnership firms

DEPOSIT STRUCTURE (₹ in lakhs)

Segment	Type of Membership	Cash-NSE	Non-Cash NSE	Cash NSE Clearing	Non-Cash NSE Clearing	Total	Net Worth	
Capital Market	TM & SCM	26.5	-	6	17.5	50	75	
Futures & Options	TM	25	-	-	-	25	75	
	TM & SCM	25	-	25	25	75	100	
	TM & CM	25	-	25	25	75	300	
Currency Derivatives Segment	Existing Members	TM	2	8	-	-	10	100
		TM & SCM	2	8	25	25	60	500
		TM & CM	2	8	25	25	60	1000
	New Members	TM	2	13	-	-	15	100
		TM & SCM	2	18	25	25	70	500
		TM & CM	2	18	25	25	70	1000
Commodity Derivatives	TM	-	5	-	-	5	50	
	TM & SCM	-	5	25	25	55	100	
	TM & CM	-	5	25	25	55	300	
	PCM	-	-	25	25	50	500	

Deposit structure for Alpha category membership is available at [https://nseindia.com/membership/content/fees\\_depst\\_n\\_net\\_req.htm](https://nseindia.com/membership/content/fees_depst_n_net_req.htm)

\* TM = Trading Membership.

\* TM & SCM = Trading and Self Clearing Membership.

\* TM & CM = Trading and Clearing Membership.

\* PCM = Professional Clearing Membership

**CAPITAL MARKET SEGMENT**
**Documents required for enablement on Capital Market Segment in case of new scenario (first time enablement)-**

Formats for all requisite documents required for enablement under different scenarios/segments can be obtained from NSE website. Link for the same is given below-

<https://nseindia.com/membership/content/enablement.htm>

Sr. No.	Documents Required	Important Points
1	Trading and Clearing membership undertaking	<p>The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.</p> <p>The Stamp Paper must be in the name of the trading member executing the undertaking.</p> <p>The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):- (For Trading Membership Undertaking) This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 201_ (year) in favour of the National Stock Exchange of India Ltd.</p> <p>Signature (For Clearing Membership Undertaking) This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 201_ (year) in favour of the National Securities Clearing Corporation Ltd.</p> <p>Signature</p> <p>The undertaking is STRICTLY in accordance with our draft.</p> <p>The Undertaking has been signed by the proper person(s) :- i. Where the trading member is an individual – by the individual himself. ii. Where the trading member is a Partnership Firm – by all the partners of such a firm iii. Where the trading member is a company – by the Chairman / MD or any other Director of the company in accordance with the resolution of the Board of Directors to that effect, with the Common Seal of the company affixed in the presence of one witness. (A certified copy of the Board Resolution is to be obtained and maintained in our records).</p> <p>The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings.</p> <p>The undertaking is witnessed by two persons, whose name, address and signature is present.</p>

		<p>The Undertaking must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> <li>4) Any corrections made by pen have been initialled by both the Trading member and the Notary.</li> </ol>
2	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories. Not required if already submitted at the time of Registration.
3	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement.
4	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <ol style="list-style-type: none"> <li>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Network Certificate.</li> <li>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</li> </ol>
5	Application for approval as users for 2 people in the given format on the company's letterhead.	Maximun two applications to be given out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for corporate managers and Dealers. To apply for NOW IP please contact our NOW team on toll free number 1800 2200 52 to fulfill the necessary requirements. Please note that the user id should be mapped with only one broker at a point of time.
6	Copy of NCFM Capital market dealers module scorecard and certificate	The certificates should be valid for a period of six month from the date of application. Kindly note that validity for NCFM- Capital Market module is 5 years.
7	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account. The nomenclature for the bank account is "<Trading member name>NSE<Segment> <Type of account>Account"
8	5 Points confirmation regarding settlement account	The letter should be acknowledged by the bank (signed and stamped) where the member has opened the settlement account. The settlement account number of capital market should be mentioned in the subject of the letter.
9	Depository Account along with the proof CDSL & NSDL	Submit the proof of opening the Pool a/c with CDSL and NSDL ( e.g the proof can be in the form of client master list)
10	Copy of CDSL letter	The letter should be acknowledged by CDSL (stamped and signed) and the Pool A/c number of CDSL is to be mentioned in the subject of the letter. There is Annexure-B to this letter where you have to mention the Member Code, DP Id and the Pool A/c no. of CDSL.

11	Auto Do (NSCCL Requirement)	You are requested to mention Yes/No against each type of settlement.
12	NCMS letter	Application to be on letterhead of the trading member signed by authorised signatories.
13	Application for CIM	Application to be on letterhead of the trading member signed by authorised signatories. To be submitted by members applying for enablement as clearing member
14	Payment of deposits and Annual subscription charges	<p>Payment of NSEIL deposits (Interest Free Cash Deposit) and Annual subscription charges should be done as per the Demand Advice sent to the member along with the Offer letter.</p> <p>Payment of NSCCL deposits (cash and non-cash) should be done as per the Demand Advice sent to the member along with the Offer Letter. The non-cash component (security deposit) can be brought in the form of Cash/Bank Guarantee/Fixed Deposit Receipt/Equity shares of companies and units of mutual funds in demat form/ Government of India Securities/T-Bills/Open ended Mutual Funds Units in demat form. For details please refer NSCCL Capital Market Consolidated Circular No. 594/2012 dated July 02, 2012 download ref. no. NSE/CMPT/21161.</p> <p>Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:-</p> <ol style="list-style-type: none"> <li>1. By way of “Account Payee” cheque/demand draft drawn in favour of “National Stock Exchange of India Limited”/”National Securities Clearing Corporation Limited” as payable at Mumbai.</li> <li>2. By way of RTGS.</li> </ol> <p>Following are the Bank Account details for NSEIL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account -CURRENT</li> <li>e) Account number - 00990610000064</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol> <p>Following are the Bank Account details for NSCCL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL SECURITIES CLEARING CORPORATION LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account -CURRENT</li> <li>e) Account number - 00990610000020</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol> <p>(In case member intends to do RTGS then details of the Bank Account name of the member, Bank Account number of the member, the date of transfer of funds and the transaction reference number should be intimated via mail after the transfer of funds has been done)</p>
		<p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <ol style="list-style-type: none"> <li>a) Bank Account Name</li> <li>b) Bank Account Number</li> <li>c) Date of transfer of funds</li> <li>d) Transaction Reference Number</li> </ol>

In addition to the above listed documents, following documents are also required to be submitted for new members of the Exchange-

Sr. No.	Documents Required	Important Points
1	TAP IP / NOW IP	Please confirm establishment of connectivity. NSE uses TCP/IP protocol based Wide Area Network facilitating higher bandwidth of 2Mbps, expansion and scalability. To apply for connectivity please submit an application for New Scenario available on our website <a href="http://www.nseindia.com">www.nseindia.com</a> under Membership>ExistingMembership>Connectivity>Formats>Download application for New Scenario. To apply for NOW IP please contact our NOW team on toll free number 1800 2200 52 to fulfill the necessary requirements.
2	Connect 2 NSE	To provide the form for Connect to NSE, mentioning the static IP
3	Copy of Insurance policy or receipt	Confirmation / Proof of taking up an insurance under the Broker Indemnity Policy. There is no minimum or maximum policy amount prescribed.
4	Copy of GST regn	The member is required to give the proof of service tax registration number.
5	Digital Signature	Any one of the designated director needs to apply for the digital signature. You can refer to Circular no.556 dated November 15, 2006. The application is to be submitted to NSE.IT Limited, Trade Globe, Ground Floor, Andheri Kurla Rd, Andheri East, Mumbai – 400059 and acknowledged copy of it to NSEIL.
6	Compliance Officer	The member is required to appoint a compliance officer as per Circular no.257 dated June 4, 2002. Kindly provide proof of Compliance officer clearing NISM Series-III-A: Securities Intermediaries Compliance (Non Fund) certification examination
7	Compliance of conditions as specified in the Offer Letter	If the members were offered provisional membership subject to certain conditions, they are requested to inform the Exchange the status of the same along with documentary evidence towards fulfillment of those conditions.
8	Proof of Bank Accounts	Open (a) Exchange Dues account (b) Own Account and (c) Client Account with the designated Bank and submit the proof of the same on the Bank's letterhead mentioning the account number, account type and the date of opening the account. The nomenclature for the above mentioned bank accounts is "<Trading member name>NSE<Segment> <Type of account>Account". No segment has to be mentioned for Exchange Dues account as it is the single account used for all segments.
9	BMC Undertaking	Application to be on letterhead of the trading member signed by authorised signatories.
10	Alpha Undertaking	Application to be on letterhead of the trading member signed by authorised signatories. To be submitted by members applying for enablement as an Alpha member

**FUTURE & OPTIONS SEGMENT**

Case I- Documents required to be submitted for enablement as a trading member-

Sr. No.	Documents Required	Important Points
1	Trading membership undertaking	<p>The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.</p> <p>The Stamp Paper must be in the name of the trading member executing the undertaking.</p> <p>The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-</p> <p>Signature</p> <p>The undertaking is STRICTLY in accordance with our draft.</p> <p>The Undertaking has been signed by the proper person(s) :-</p> <ul style="list-style-type: none"> <li>i. Where the trading member is an individual – by the individual himself.</li> <li>ii. Where the trading member is a Partnership Firm – by all the partners of such a firm</li> <li>iii. Where the trading member is a company – by the Chairman / MD or any other Director of the company in accordance with the resolution of the Board of Directors to that effect, with the Common Seal of the company affixed in the presence of one witness. (A certified copy of the Board Resolution is to be obtained and maintained in our records).</li> </ul> <p>The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings.</p> <p>The undertaking is witnessed by two persons, whose name, address and signature is present.</p> <p>The Undertaking must be duly Notarized</p> <ul style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> <li>4) Any corrections made by pen have been initialled by both the Trading member and the Notary.</li> </ul>
2	Clearing Member - Trading Member agreement on a stamp paper of Rs 200 (duly notarised).	In case a member is not a Clearing member then he needs to submit an agreement with the affiliated clearing member. It should be signed and stamped by both the parties on all the pages. (Certified True Copy of the same to be submitted)
3	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories. Not required if already submitted at the time of Registration.
4	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16C of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.

5	Audited Annual Accounts	For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT. Further, please note the following:- 1. Balance Sheet and Profit & Loss Account to be given as on the date of Networth Certificate. 2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.
6	Application for approval as users for 2 people in the given format on the company's letterhead.	Maximum two applications to be given out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers.
7	Certified copy of NCFM/ BSE/ MCXSX/NISM Derivatives certificate/ scorecard of the users.	The certificates should be valid for a period of six months from the date of application and the Registration number, percentage scored; validity period should be present on the copy of the certificate provided.
8	Payment of deposits and Advance transaction charges	Payment of deposits* and Advance transaction charges should be done as per the Demand Advice sent to the trading member along with the Offer letter. Payment of deposits under this demand advice shall be done in either of the following ways:- 1. By way of "Account Payee" cheque/demand draft drawn in favour of "National Stock Exchange of India Limited" as payable at Mumbai. 2. By way of RTGS. (In case the member wants to be enabled only as trading member and intends to clear its trades through some other clearing member then such a trading member is requested to ensure that its clearing member deposits collateral security deposit of Rs.10 lakhs (of which Rs.2 lakhs should be in cash) to NSCCL on its behalf)
		Following are the Bank Account details:- a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED b) Name of the Bank - HDFC BANK LIMITED c) Name of the Branch - FORT, MUMBAI d) Nature of Account -CURRENT e) Account number - 00990610000064 f) IFSC Code of the Bank/Branch - HDFC0000060
		In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:- a) Bank Account Name b) Bank Account Number c) Date of transfer of funds d) Transaction Reference Number

Case II - Documents required to be submitted for enablement as a trading member & clearing member (F&O)-

Sr. No.	Documents Required	Important Points
1	Trading and Clearing membership undertaking	The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.



		<p>The Stamp Paper must be in the name of the trading member executing the undertaking.</p> <p>The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-</p> <p>(For Trading Membership Undertaking)  This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 200_ in favour of the National Stock Exchange of India Ltd.</p> <p>Signature</p> <p>(For Clearing Membership Undertaking)  This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 200_ in favour of the National Securities Clearing Corporation Ltd.</p> <p>Signature</p> <p>The undertaking is STRICTLY in accordance with our draft.</p> <p>The Undertaking has been signed by the proper person(s) :-</p> <ul style="list-style-type: none"> <li>i. Where the trading member is an individual – by the individual himself.</li> <li>ii. Where the trading member is a Partnership Firm – by all the partners of such a firm</li> <li>iii. Where the trading member is a company – by the Chairman / MD or any other Director of the company in accordance with the resolution of the Board of Directors to that effect, with the Common Seal of the company affixed in the presence of one witness. (A certified copy of the Board Resolution is to be obtained and maintained in our records).</li> </ul> <p>The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings.</p> <p>The undertaking is witnessed by two persons, whose name, address and signature is present.</p> <p>The Undertaking must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary’s name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> <li>4) Any corrections made by pen have been initialed by both the Trading member and the Notary.</li> </ol>
2	Board Resolution - mentioning the authorised signatories	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories. Not required if already submitted at the time of Registration.
3	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16C of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.

4	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <ol style="list-style-type: none"> <li>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Networth Certificate.</li> <li>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</li> </ol>
5	Application for approval as users	Two applications to be given on the company's letterhead out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers.
6	Certified copy of NCFM/ BSE/ MCX SX/NISM Derivatives certificate/ scorecard of the users.	The certificates should be valid for a period of six months from the date of application and the Registration number, percentage scored; validity period should be present on the copy of the certificate provided.
7	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account. The nomenclature for the bank account is "<Trading member name>NSE<Segment> <Type of account>Account"
8	5 Points confirmation regarding settlement account	The letter should be acknowledged by the bank where the settlement account is opened. The settlement account number of F&O segment should be mentioned in the subject of the letter. This is applicable only in case of Clearing Member
9	NCMS letter	Please send a mail to email id connect2nse@nse.co.in for setting up NCMS. Please mention the Member Name, Member Code and Segment.
10	Application for Availing Close-Out Facility	To be on the letterhead of the member duly signed by the authorised signatories as per board resolution.
11	Payment of Trading and Clearing membership deposits and Advance transaction charges	<p>Payment of Trading membership deposits and Advance transaction charges should be done as per the Demand Advice sent to the member along with the Offer letter.</p> <p>Payment of Clearing membership deposit should be done as per the Demand Advice sent to the member along with the Offer Letter. Minimum Rs 25 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance Rs. 25 lakhs to be brought in the form of Cash/Bank Guarantee/Fixed Deposit Receipt/Equity shares of approved companies and units of mutual funds in demat form/Government of India Securities/ T-Bills/Open ended Mutual Funds Units in demat form. For details please refer NSCCL Futures &amp; Options Consolidated Circular No. 1435/2012 dated July 02, 2012 download ref. no. NSE/CMPT/21163.</p>

	<p>Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:-</p> <ol style="list-style-type: none"> <li>1. By way of “Account Payee” cheque/demand draft drawn in favour of “National Stock Exchange of India Limited”/”National Securities Clearing Corporation Limited” as payable at Mumbai.</li> <li>2. By way of RTGS.</li> </ol> <p>Following are the Bank Account details for NSEIL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account -CURRENT</li> <li>e) Account number - 00990610000064</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol>
	<p>Following are the Bank Account details for NSCCL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL SECURITIES CLEARING CORPORATION LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account - CURRENT</li> <li>e) Account number - 00990630000945</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol>
	<p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <ol style="list-style-type: none"> <li>a) Bank Account Name</li> <li>b) Bank Account Number</li> <li>c) Date of transfer of funds</li> <li>d) Transaction Reference Number</li> </ol>

Additionally following are the documents to be submitted for new members of the Exchange-

Sr. No.	Documents Required	Important Points
1	TAP IP / NOW IP	Please confirm establishment of connectivity. NSE uses TCP/IP protocol based Wide Area Network facilitating higher bandwidth of 2Mbps, expansion and scalability. To apply for connectivity please submit an application for New Scenario available on our website <a href="http://www.nseindia.com">www.nseindia.com</a> under Membership>ExistingMembership>Connectivity>Formats>Download application for New Scenario. To apply for NOW IP please contact our NOW team on toll free number 1800 2200 52 to fulfill the necessary requirements.
2	Connect 2 NSE	Please send a mail to email id <a href="mailto:connect2nse@nse.co.in">connect2nse@nse.co.in</a> for setting up Connect2NSE. Please mention the Member Name, Member Code, Segment and the required application.
3	Copy of Insurance policy or receipt	Confirmation / Proof of taking up an insurance under the Broker Indemnity Policy. There is no minimum or maximum policy amount prescribed.

4	Copy of GST registration	The member is required to give the proof of service tax registration number.
5	Digital Signature	Any one of the designated director needs to apply for the digital signature. You can refer to Circular no.556 dated November 15, 2006. The application is to be submitted to NSE.IT Limited, Trade Globe, Ground Floor, Andheri Kurla Rd, Andheri East, Mumbai – 400059 and acknowledged copy of it to NSEIL.
6	Compliance Officer	The member is required to appoint a compliance officer as per Circular no.257 dated June 4, 2002. Kindly provide proof of Compliance officer clearing NISM Series-III-A: Securities Intermediaries Compliance (Non Fund) certification examination
7	Compliance of conditions as specified in the Offer Letter	If the members were offered provisional membership subject to certain conditions, they are requested to inform the Exchange the status of the same along with documentary evidence towards fulfillment of those conditions.
8	Proof of Bank Accounts	Open (a) Exchange Dues account (b) Own Account and (c) Client Account with the designated Bank and submit the proof of the same on the Bank's letterhead mentioning the account number, account type and the date of opening the account. The nomenclature for the above mentioned bank accounts is "<Trading member name>NSE<Segment> <Type of account>Account". No segment has to be mentioned for Exchange Dues account as it is the single account used for all segments.
9	BMC Undertaking	Application to be on letterhead of the trading member signed by authorised signatories.
10	Application for CIM	Application to be on letterhead of the trading member signed by authorised signatories. To be submitted by members applying for enablement as clearing member
11	Alpha Undertaking	Application to be on letterhead of the trading member signed by authorised signatories. To be submitted by members applying for enablement as an Alpha member

## CURRENCY DERIVATIVES SEGMENT

### Case I- DOCUMENTS REQUIRED TO BE SUBMITTED FOR ENABLEMENT ON CURRENCY DERIVATIVES SEGMENT AS A TRADING MEMBER

Sr. No.	Documents Required	Important Points
1	Trading membership undertaking	The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.
		The Stamp Paper must be in the name of the trading member executing the undertaking. The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra. On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):- This Non-Judicial Stamp Paper forms part & parcel of this _____ undertaking executed by _____ on the _____ day of _____ 201_ (year) in favour of the National Stock Exchange of India Ltd.  Signature
		The undertaking is STRICTLY in accordance with our draft.

		<p>The Undertaking has been signed by the proper person(s) :-</p> <p>i. Where the trading member is an individual – by the individual himself.</p> <p>ii. Where the trading member is a Partnership Firm – by all the partners of such a firm</p> <p>iii. Where the trading member is a company – by the Chairman / MD or any other Director of the company in accordance with the resolution of the Board of Directors to that effect, with the Common Seal of the company affixed in the presence of one witness. (A certified copy of the Board Resolution is to be obtained and maintained in our records).</p>
		The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings.
		The undertaking is witnessed by two persons, whose name, address and signature is present.
		<p>The Undertaking must be duly Notarized</p> <p>1) The Notary Stamp is present on all pages.</p> <p>2) The Notary’s name and address along with his signature appears on the last page</p> <p>3) The Notary date &amp; execution date should be the same</p> <p>4) Any corrections made by pen have been initialed by both the Trading member and the Notary.</p>
2	Clearing Member - Trading Member agreement on a stamp paper of Rs 200 (duly notarised).	Incase a member is not a Clearing member then he needs to submit an agreement with the affiliated clearing member. It should be signed and stamped by both the parties on all the pages. (Certified True Copy of the same to be submitted)
3	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories. Not required if already submitted at the time of Registration.
4	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16L of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.
5	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <p>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Network Certificate.</p> <p>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</p>
6	Application for approval as users for 2 people in the given format on the company's letterhead.	Maximum two applications to be given out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers. Please note that the user id should be mapped with only one broker at a point of time.
7	Certified copy of NISM certificate/ scorecard of the users.	The certificates should be valid for a period of six months from the date of application and the Registration number, percentage scored, validity period should be present on the copy of the certificate provided.

8	Payment of Trading membership deposits and Advance transaction charges as per Demand Advice	Payment of Trading membership deposits and Advance transaction charges should be done as per the Demand Advice sent to the trading member along with the Offer letter. Minimum Rs 2 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance to be brought in the form of Interest Free Cash Deposit/Bank Guarantee/ Fixed Deposit Receipt. Approved list of banks for issuance of Bank Guarantees / Fixed Deposit Receipts that are accepted as collaterals by NSCCL shall be applicable for NSEIL also.
		Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:- 1. By way of "Account Payee" cheque/demand draft drawn in favour of "National Stock Exchange of India Limited" as payable at Mumbai. 2. By way of RTGS.
		Following are the Bank Account details for RTGS:- a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED b) Name of the Bank - HDFC BANK LIMITED c) Name of the Branch - FORT, MUMBAI d) Nature of Account -CURRENT e) Account number - 00990610000064 f) IFSC Code of the Bank/Branch - HDFC0000060
		In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:- a) Bank Account Name b) Bank Account Number c) Date of transfer of funds d) Transaction Reference Number
9	Disablement of user id's in the Interest Rate Futures segment	Incase if the trading member is already enabled in the IRF segment then either NISM certificates for the users already enabled in IRF will have to be submitted or else disablement request of IRF user id's will have to be put on ENIT. Further, please note that the user id's allotted for CD segment will be eligible to trade in IRF also.

#### Case II- DOCUMENTS TO BE SUBMITTED FOR ENABLEMENT AS A TRADING & CLEARING MEMBER (CDS)

Sr. No.	Documents Required	Important Points
1	Trading and Clearing membership undertaking	The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.
		The Stamp Paper must be in the name of the trading member executing the undertaking.
		The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra.
		On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-  (For Trading Membership Undertaking) This Non-Judicial Stamp Paper forms part & parcel of this _____ undertaking executed by _____ on the _____ day of _____ 200_ in favour of the National Stock Exchange of India Ltd.  Signature

		<p>(For Clearing Membership Undertaking)</p> <p>This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 200_ in favour of the National Securities Clearing Corporation Ltd.</p> <p>Signature</p>
		The undertaking is STRICTLY in accordance with our draft.
		<p>The Undertaking has been signed by the proper person(s) :-</p> <p>i. Where the trading member is an individual – by the individual himself.</p> <p>ii. Where the trading member is a Partnership Firm – by all the partners of such a firm</p> <p>iii. Where the trading member is a company – by the Chairman / MD or any other Director of the company in accordance with the resolution of the Board of Directors to that effect, with the Common Seal of the company affixed in the presence of one witness. (A certified copy of the Board Resolution is to be obtained and maintained in our records).</p>
		The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings.
		The undertaking is witnessed by two persons, whose name, address and signature is present.
		<p>The Undertaking must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> <li>4) Any corrections made by pen have been initialed by both the Trading member and the Notary.</li> </ol>
2	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories. Not required if already submitted at the time of Registration.
3	Latest Networth Certificate (Annexure C1)	For existing members, networth certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16L of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.
4	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <ol style="list-style-type: none"> <li>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Networth Certificate.</li> <li>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</li> </ol>
5	Application for approval as users	Two applications to be given on the company's letterhead out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers. Please note that the user id should be mapped with only one broker at a point of time.
6	Certified copy of NISM certificate/ scorecard of the users.	The certificates should be valid for a period of six months from the date of application and the Registration number, percentage scored, validity period should be present on the copy of the certificate provided.



7	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account. The nomenclature for the bank account is "<Trading member name>NSE<Segment> <Type of account>Account"
8	5 Points confirmation regarding settlement account	The letter should be acknowledged by the bank where the settlement account is opened. The settlement account number of CDS segment should be mentioned in the subject of the letter. This is applicable only in case of Clearing Member
9	NCMS letter	Please send a mail to email id connect2nse@nse.co.in for setting up NCMS. Please mention the Member Name, Member Code and Segment.
10	Application for Availing Close-Out Facility	To be on the letterhead of the member duly signed by the authorised signatories as per board resolution.
11	Payment of Trading and Clearing membership deposits and Advance transaction charges	Payment of Trading membership deposits and Advance transaction charges should be done as per the Demand Advice sent to the member along with the Offer letter. Minimum Rs 2 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance to be brought in the form of Interest Free Cash Deposit/Bank Guarantee/Fixed Deposit Receipt. Approved list of banks for issuance of Bank Guarantees / Fixed Deposit Receipts that are accepted as collaterals by NSCCL shall be applicable for NSEIL also. Trading members who are also Clearing Members of the Currency Derivatives segment of NSCCL may bring in approved Government Securities in addition to Fixed Deposit and Bank Guarantee as mentioned above. The approved Government Securities shall be accepted through the SGL account operated and maintained by NSCCL. The procedure for submitting G-Sec/T-Bills as collateral is detailed in NSCCL Currency Derivatives Consolidated Circular No. 398/2012 dated July 02, 2012 download ref. no. NSE/CD/21165.
		Payment of Clearing membership deposit should be done as per the Demand Advice sent to the member along with the Offer Letter. Minimum Rs 25 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance Rs. 25 lakhs to be brought in the form of Cash/Bank Guarantee/Fixed Deposit Receipt/Equity shares of approved companies and units of mutual funds in demat form/Government of India Securities/T-Bills/Open ended Mutual Funds Units in demat form. For details please refer NSCCL Currency Derivatives Consolidated Circular No. 398/2012 dated July 02, 2012 download ref. no. NSE/CD/21165.
		Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:- 1. By way of "Account Payee" cheque/demand draft drawn in favour of "National Stock Exchange of India Limited"/"National Securities Clearing Corporation Limited" as payable at Mumbai. 2. By way of RTGS.
		Following are the Bank Account details for NSEIL:- a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED b) Name of the Bank - HDFC BANK LIMITED c) Name of the Branch - FORT, MUMBAI d) Nature of Account -CURRENT e) Account number - 00990610000064 f) IFSC Code of the Bank/Branch - HDFC0000060

		<p>Following are the Bank Account details for NSCCL:-</p> <p>a) Beneficiary Name - NATIONAL SECURITIES CLEARING CORPORATION LIMITED</p> <p>b) Name of the Bank - HDFC BANK LIMITED</p> <p>c) Name of the Branch - FORT, MUMBAI</p> <p>d) Nature of Account -CURRENT</p> <p>e) Account number - 00990630003182</p> <p>f) IFSC Code of the Bank/Branch - HDFC0000060</p>
		<p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <p>a) Bank Account Name</p> <p>b) Bank Account Number</p> <p>c) Date of transfer of funds</p> <p>d) Transaction Reference Number</p>
12	Disablement of user id's in the Interest Rate Futures segment	<p>Incase if the trading member is already enabled in the IRF segment then either NISM certificates for the users already enabled in IRF will have to be submitted or else disablement request of IRF user id's will have to be put on ENIT. Further, please note that the user id's allotted for CD segment will be eligible to trade in IRF also.</p>

Following are the additional documents required to be submitted for new members of the Exchange (CDS)

Sr. No.	Documents Required	Important Points
1	TAP IP / NOW IP	Please confirm establishment of connectivity. NSE uses TCP/IP protocol based Wide Area Network facilitating higher bandwidth of 2Mbps, expansion and scalability. To apply for connectivity please submit an application for New Scenario available on our website <a href="http://www.nseindia.com">www.nseindia.com</a> under Membership>ExistingMembership>Connectivity>Formats>Download application for New Scenario. To apply for NOW IP please contact our NOW team on toll free number 1800 2200 52 to fulfill the necessary requirements.
2	Connect 2 NSE	Please send a mail to email id <a href="mailto:connect2nse@nse.co.in">connect2nse@nse.co.in</a> for setting up Connect2NSE. Please mention the Member Name, Member Code, Segment and the required application.
3	Copy of Insurance policy or receipt	Confirmation / Proof of taking up an insurance under the Broker Indemnity Policy. There is no minimum or maximum policy amount prescribed.
4	Copy of GST registration	The member is required to give the proof of service tax registration number.
5	Digital Signature	Any one of the designated director needs to apply for the digital signature. You can refer to Circular no.556 dated November 15, 2006. The application is to be submitted to NSE.IT Limited, Trade Globe, Ground Floor, Andheri Kurla Rd, Andheri East, Mumbai – 400059 and acknowledged copy of it to NSEIL.
6	Compliance Officer	The member is required to appoint a compliance officer as per Circular no.257 dated June 4, 2002. Kindly provide proof of Compliance officer clearing NISM Series-III-A: Securities Intermediaries Compliance (Non Fund) certification examination
7	Compliance of conditions as specified in the Offer Letter	If the members were offered provisional membership subject to certain conditions, they are requested to inform the Exchange the status of the same along with documentary evidence towards fulfilment of those conditions.

8	Proof of Bank Accounts	Open (a) Exchange Dues account (b) Own Account and (c) Client Account with the designated Bank and submit the proof of the same on the Bank's letterhead mentioning the account number, account type and the date of opening the account. The nomenclature for the above mentioned bank accounts is "<Trading member name>NSE<Segment> <Type of account>Account". No segment has to be mentioned for Exchange Dues account as it is the single account used for all segments.
9	BMC Undertaking	Application to be on letterhead of the trading member signed by authorised signatories.
10	Application for CIM	Application to be on letterhead of the trading member signed by authorised signatories. To be submitted by members applying for enablement as clearing member

### MUTUAL FUND SERVICE SYSTEM

The following documents are required to be submitted for enablement in MFSS

Sr. No.	Documents Required	Important Points
1	Member request letter	To be on the letterhead of the trading member duly signed by the authorized signatories.
2	Intimation of ARN with AMFI certificate	Member should submit copy of the ARN granted to the member. The copy should be attested by the authorized signatories as per Borad Resolution.
3	Undertaking for participating with NSEIL	1. Format as per cir. No 3 dated November 24, 2009 ref no (NSE/CMTR/13533)
		2. The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher
		3. The Stamp Paper must be in the name of the trading member executing the undertaking
		4. The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra
		5. On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-  This Non-Judicial Stamp Paper forms part & parcel of this _____ undertaking executed by _____ on the _____ day of _____ 200_ in favour of the National Stock Exchange of India Ltd.  Signature
		6. The undertaking is STRICTLY in accordance with our draft
		7. The signatures / initials are on all pages. At least 2 designated directors should sign on all the pages of the undertakings, with the Common Seal of the company affixed on the last page of the undertaking.
		8. The Undertaking must be duly Notarized 1) The Notary Stamp is present on all pages. 2) The Notary's name and address along with his signature appears on the last page 3) The Notary date & execution date should be the same

		9. Any corrections made by pen have been initialed by both the Trading member and the Notary.
		10. The undertaking is witnessed by two persons, whose name, address and signature is present.
4	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories.
5	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account.
6	5 Points confirmation regarding settlement account	The letter should be acknowledged by the bank where the settlement account is opened. The settlement account number of MFSS segment should be mentioned in the subject of the letter.
7	Admin user id form	As per prescribed format

### SECURITY LENDING & BORROWING SCHEME (SLBS)

Following documents are required to be submitted for Enablement in SLBS-

Sr. No.	Documents Required	Important Points
1	Covering letter	To be on the letterhead of the trading member applying for enablement in SLBS duly signed by the authorized signatories.
2	Participant and NSCCL Agreement	<p>Agreement should be on a stamp paper of Rs. 600/- or franking of Rs. 600/-. The validity of the Stamp Paper being 6 (six) months, must be executed within that period, if executed within the state of Maharashtra.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-</p> <p>This Non-Judicial Stamp Paper forms part &amp; parcel of this Participant and National Securities Clearing Corporation Limited agreement to be submitted to NSCCL being executed between _____ (Participant) and NSCCL on the _____ day of _____ 201_ (year).</p> <p>Signature</p> <p>The agreement is STRICTLY in accordance with our draft</p> <p>The signatures / initials are on all pages of the agreement At least 2 designated directors should sign on all the pages of the agreement, with the Common Seal of the company affixed on the last page of the agreement.</p> <p>The agreement must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> </ol>

		Any corrections made by pen have been initialed by both the parties to the agreement and the Notary. The agreement is witnessed by two persons, whose name, address and signature is present.
3	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity naming the authorised signatories along with their specimen signatures. Atleast 2 designated directors should be the authorised signatories.
4	Acknowledged copy of letter to CDSL for depository account of SLBS	The letter should be acknowledged by CDSL (stamped and signed) and the pool a/c number of CDSL is to be mentioned in the subject of the letter. There is Annexure-B to this letter where you have to mention the Member Code, DP Id and the Pool a/c no. of CDSL.
5	NSDL Auto-Do letter	To be on the letterhead of the trading member applying for enablement in SLBS duly signed by the authorized signatories.
6	Depository Account proof of CDSL and NSDL	Submit the proof of opening the Pool a/c with CDSL & NSDL ( e.g the proof can be in the form of client master list)
7	Interest Free Cash Security Deposit of Rs. 10,00,000/- in favour of NSCCL	Payment of cash deposits shall be done in either of the following ways:- 1. By way of "Account Payee" cheque/demand draft drawn in favour of "NATIONAL SECURITIES CLEARING CORPORATION LIMITED" as payable at Mumbai. 2. By way of RTGS. a) Beneficiary Name - NATIONAL SECURITIES CLEARING CORPORATION LIMITED b) Name of the Bank - HDFC BANK LIMITED c) Name of the Branch - FORT, MUMBAI d) Nature of Account -CURRENT e) Account number - 00990610008064 f) IFSC Code of the Bank/Branch - HDFC0000060 (In case member intends to do RTGS then details of the Bank Account name of the member, Bank Account number of the member, the date of transfer of funds and the transaction reference number should be intimated via mail after the transfer of funds has been done)

## COMMODITY DERIVATIVES SEGMENT

Case I- The following documents are required to be submitted for enablement in commodity derivatives segment as a trading member who is already a member of the exchange.

Sr. No.	Documents Required	Important Points
1	Trading membership undertaking	<p>The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.</p> <p>The Stamp Paper must be in the name of the trading member executing the undertaking. The validity of the Stamp Paper being 6 (six) months, must be executed within that period.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-</p> <p>This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 201_ in favour of the National Stock Exchange of India Ltd.</p> <p>Signature</p>

		<p>The undertaking is STRICTLY in accordance with our draft.</p> <p>The Undertaking has been signed by authorized signatory.</p> <p>Correct Board Resolution meeting date is mentioned in the undertaking.</p> <p>The undertaking is witnessed by two persons, whose name, address and signature is present.</p> <p>The Undertaking must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> </ol>
2	Clearing Member - Trading Member agreement on a stamp paper of Rs 500 (duly notarised).	In case a member is not a Clearing member then he needs to submit an agreement with the affiliated clearing member. It should be signed and stamped by both the parties on all the pages. (Certified True Copy of the same to be submitted)
3	Board Resolution - mentioning the authorised signatories	Provide certified true copy of Board Resolution along with list of authorised signatories clearly mentioning the Segment, type of membership to be enabled for trading/clearing purpose.
4	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16C of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.
5	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <ol style="list-style-type: none"> <li>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Network Certificate.</li> <li>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</li> </ol>
6	Application for approval as users for 2 people in the given format on the company's letterhead.	<p>At least two applications to be given out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers.</p> <p>Provide attested copy PAN card of user.</p>
7	Certified copy of NCFM/ NISM/ MCX- MCCP/ NCDEX Commodities Derivatives certificate scorecard of the users.	The certificates should be valid for a period of at least 1 month from the date of application and the Registration number, percentage scored, validity period should be present on the copy of the certificate provided.

8	Payment of deposits	<p>Payment of deposits should be done as per the Demand Advice sent to the trading member along with the Offer letter. Payment of deposits under this demand advice shall be done in either of the following ways:-</p> <ol style="list-style-type: none"> <li>1. By way of "Account Payee" cheque/demand draft drawn in favour of "National Stock Exchange of India Limited" as payable at Mumbai.</li> <li>2. By way of RTGS.</li> </ol>
		<p>Following are the Bank Account details:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account -CURRENT</li> <li>e) Account number - 00990610000064</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol>
		<p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <ol style="list-style-type: none"> <li>a) Bank Account Name</li> <li>b) Bank Account Number</li> <li>c) Date of transfer of funds</li> <li>d) Transaction Reference Number</li> </ol>

Case II- The following documents are required to be submitted for enablement in commodity derivatives segment as a trading member and self-clearing member who is already a member of the exchange

Sr. No.	Documents Required	Important Points
1	Trading membership undertaking	<p>The Undertaking is on a Non-Judicial Stamp Paper of the Value of Rs.600/- or is in accordance with the prevailing rates applicable in the place of execution, whichever is higher.</p> <p>The Stamp Paper must be in the name of the trading member executing the undertaking.</p> <p>The validity of the Stamp Paper being 6 (six) months, must be executed within that period.</p> <p>On the Stamp Paper, the following must be typed and signed, if more than one stamp paper is used. The same must be stated on each Stamp Paper. (in case the matter as per format is not being re-typed on the stamp paper):-</p> <p>This Non-Judicial Stamp Paper forms part &amp; parcel of this _____ undertaking executed by _____ on the _____ day of _____ 201_ in favour of the National Stock Exchange of India Ltd.</p> <p>Signature</p> <p>The undertaking is STRICTLY in accordance with our draft.</p> <p>The Undertaking has been signed by authorized signatory.</p> <p>Correct Board Resolution meeting date is mentioned in the undertaking.</p> <p>The undertaking is witnessed by two persons, whose name, address and signature is present.</p>



		<p>The Undertaking must be duly Notarized</p> <ol style="list-style-type: none"> <li>1) The Notary Stamp is present on all pages.</li> <li>2) The Notary's name and address along with his signature appears on the last page</li> <li>3) The Notary date &amp; execution date should be the same</li> <li>4) Any corrections made by pen have been initialed by both the Trading member and the Notary.</li> </ol>
2	Board Resolution - mentioning the authorised signatories	Provide certified true copy of Board Resolution along with list of authorised signatories clearly mentioning the Segment, type of membership to be enabled for trading/clearing purpose.
3	Latest Network Certificate (Annexure C1)	For existing members, network certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16C of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008
4	Audited Annual Accounts	<p>For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT.</p> <p>Further, please note the following:-</p> <ol style="list-style-type: none"> <li>1. Balance Sheet and Profit &amp; Loss Account to be given as on the date of Network Certificate.</li> <li>2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.</li> </ol>
5	Application for approval as users for 2 people in the given format on the company's letterhead.	At least two applications to be given out of which one user will be allotted the corporate manager id and the other the dealer id. Please specify the names for Corporate managers and Dealers.
		Provide attested copy PAN card of user.
6	Certified copy of NCFM/ NISM/ MCX-MCCP/ NCDEX Commodities Derivatives certificate scorecard of the users.	The certificates should be valid for a period of at least 1 month from the date of application and the Registration number, percentage scored, validity period should be present on the copy of the certificate provided.
7	Clearing membership undertaking	
8	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account. The nomenclature for the bank account is "<Trading member name>NSE<Segment> <Type of account>Account"
9	5 Points confirmation regarding settlement account	

10	NCMS letter	
11	IMS Activation letter	
12	CIM Activation Letter	
13	N-Mass	
14	Connect 2 NSE	Please send a mail to email id connect2nse@nse.co.in for setting up Connect2NSE. Please mention the Member Name, Member Code, Segment and the required application.
15	Payment of deposits	<p>Payment of Trading membership deposits should be done as per the Demand Advice sent to the member along with the Offer letter</p> <p>Payment of Clearing membership deposit should be done as per the Demand Advice sent to the member along with the Offer Letter. Minimum Rs 25 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance Rs. 25 lakhs to be brought in the form of Cash and Cash equivalent.</p> <p>Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:-</p> <ol style="list-style-type: none"> <li>1. By way of "Account Payee" cheque/demand draft drawn in favour of "National Stock Exchange of India Limited"/"National Securities Clearing Corporation Limited" as payable at Mumbai.</li> <li>2. By way of RTGS.</li> </ol> <p>Following are the Bank Account details for NSEIL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NATIONAL STOCK EXCHANGE OF INDIA LIMITED</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Name of the Branch - FORT, MUMBAI</li> <li>d) Nature of Account -CURRENT</li> <li>e) Account number - 00990610000064</li> <li>f) IFSC Code of the Bank/Branch - HDFC0000060</li> </ol> <p>Following are the Bank Account details for NCL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NSE CLEARING LTD -MARGIN A/C COMMODITY</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Centre (Location) : Fort, Mumbai</li> <li>d) Name of the Branch - FORT, MUMBAI</li> <li>e) Account type : Current account</li> <li>f) Credit Account number - 57500000264752</li> <li>g) IFSC code : HDFC0000060</li> </ol> <p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <ol style="list-style-type: none"> <li>a) Bank Account Name</li> <li>b) Bank Account Number</li> <li>c) Date of transfer of funds</li> <li>d) Transaction Reference Number</li> </ol>

Case III- The following documents are required to be submitted for enablement in commodity derivatives segment as a clearing member

Sr. No.	Documents Required	Important Points
1	Clearing membership undertaking	
2	Board Resolution - mentioning the authorised signatories	Provide certified true copy of Board Resolution along with list of authorised signatories clearly mentioning the Segment, type of membership to be enabled for trading/clearing purpose
3	Latest Networth Certificate (Annexure C1)	For existing members, networth certificate need not be provided if already submitted on ENIT. In case the annexure submitted at the time of application for Registration is not more than 6 months old and there is no change in it then the same need not be submitted for enablement. The computation should be as per Regulation 16C of the SEBI (Stock Brokers & Sub-Brokers) (Amendment) Regulations, 2008.
4	Audited Annual Accounts	For existing members, Audited Annual Accounts need not be provided if already submitted on ENIT. Further, please note the following:- 1. Balance Sheet and Profit & Loss Account to be given as on the date of Networth Certificate. 2. To be certified by the practicing Chartered Accountant with a mention of the name of Partner of CA firm signing and his/her membership no.
5	Proof of opening Clearing/ Settlement Bank account	To be on the Bank's letterhead mentioning the account number, account name and the date of opening the account. The nomenclature for the bank account is "<Trading member name>NSE<Segment> <Type of account>Account"
6	5 Points confirmation regarding settlement account	
7	IMS Activation letter	
8	NCMS	
9	CIM Activation Letter	
10	N-Mass	
11	Connect 2	Please send a mail to email id connect2nse@nse.co.in for setting up Connect2NSE. Please mention the Member Name, Member Code, Segment and the required application.
12	Letter from the Trading member regarding change in clearing member affiliation	
13	Letter from the Outgoing Clearing member	

14	Letter from the Incoming Clearing member	
15	Payment of deposits	<p>Payment of Interest Free Cash Deposit under this demand advice shall be done in either of the following ways:-</p> <ol style="list-style-type: none"> <li>1. By way of “Account Payee” cheque/demand draft drawn in favour of “National Securities Clearing Corporation Limited” as payable at Mumbai.</li> <li>2. By way of RTGS.</li> </ol> <p>Payment of Clearing membership deposit should be done as per the Demand Advice sent to the member along with the Offer Letter. Minimum Rs 25 Lakhs is to be brought in the form of Interest Free Cash Deposit and balance Rs. 25 lakhs to be brought in the form of Cash and Cash equivalent.</p> <p>Following are the Bank Account details for NCL:-</p> <ol style="list-style-type: none"> <li>a) Beneficiary Name - NSE CLEARING LTD - MARGIN A/C COMMODITY</li> <li>b) Name of the Bank - HDFC BANK LIMITED</li> <li>c) Centre (Location) : Fort, Mumbai</li> <li>d) Name of the Branch - FORT, MUMBAI</li> <li>e) Account type : Current account</li> <li>f) Credit Account number - 57500000264752</li> <li>g) IFSC code : HDFC0000060</li> </ol> <p>In case member intends to do RTGS then the following details need to be mailed by the member after the transfer of funds is done:-</p> <ol style="list-style-type: none"> <li>a) Bank Account Name</li> <li>b) Bank Account Number</li> <li>c) Date of transfer of funds</li> <li>d) Transaction Reference Number</li> </ol>

Following are the additional documents required to be submitted for new members of the Exchange (Commodity Derivatives Segment)

Sr. No.	Documents Required	Important Points
1	Connectivity	<p>For enablement connectivity is a pre-requisite.</p> <ol style="list-style-type: none"> <li>1) For new connectivity please submit an application for New Scenario available on our website <a href="http://www.nseindia.com">www.nseindia.com</a> under Membership&gt;ExistingMembership&gt;Connectivity&gt;Formats&gt;Download application for New Scenario.</li> <li>2) To apply for NOW IP please contact our NOW team on toll free number 1800 266 0052 to fulfill the necessary requirements.</li> </ol>
2	Copy of Insurance policy or receipt	Confirmation / Proof of taking up an insurance under the Broker Indemnity Policy
3	Copy of GST registration	The member is required to give the proof of service tax registration number/GST.
4	Digital Signature	Any one of the designated director needs to apply for the digital signature. You can refer to Circular no.556 dated November 15, 2006. The application is to be submitted to NSE.IT Limited, Trade Globe, Ground Floor, Andheri Kurla Rd, Andheri East, Mumbai – 400059 and acknowledged copy of it to NSEIL.

5	Compliance Officer	The member is required to appoint a compliance officer as per Circular no.257 dated June 4, 2002. Kindly provide proof of Compliance officer clearing NISM Series-III-A: Securities Intermediaries Compliance (Non Fund) certification examination
6	Compliance of conditions as specified in the Offer Letter	If the members were offered provisional membership subject to certain conditions, they are requested to inform the Exchange the status of the same along with documentary evidence towards fulfillment of those conditions.
7	Proof of Bank Accounts	Open (a) Exchange Dues account (b) Own Account and (c) Client Account with the designated Bank and submit the proof of the same on the Bank's letterhead mentioning the account number, account type and the date of opening the account. The nomenclature for the above mentioned bank accounts is "<Trading member name>NSE<Segment> <Type of account>Account". No segment has to be mentioned for Exchange Dues account as it is the single account used for all segments.
8	BMC Undertaking	Application to be on letterhead of the trading member signed by authorised signatories.
9	Connect 2 NSE	Please send a mail to email id connect2nse@nse.co.in for setting up Connect2NSE. Please mention the Member Name, Member Code, Segment and the required application.
10	CIM Activation Letter	

## DEBT SEGMENT

The following documents are required to be submitted for enablement in Debt segment

Sr. No.	Documents Required	Important Points
1	Application for registration in Debt segment	To be given on letter head of the member and should be signed by at least two designated directors
2	Trading membership undertaking and Clearing membership undertaking	Each Undertaking should be on a stamp paper of Rs. 600/- or franking of Rs. 600/-.
		The undertakings should be supported by a board resolution as per point no. 4 below
		The undertakings should be signed by the authorised signatories as per the board resolution.
		Minimum two directors should sign on all the pages of all the undertakings.
		Common seal should be affixed incase of a corporate
		The date of execution and the notary date should be the same.
		Signatures and addresses of two witnesses required.
3	Clearing Member - Trading Member agreement on a stamp paper of Rs 200 (duly notarised).	Incuse a member is not a Clearing member/Self Clearing member then he needs to submit an agreement with the affiliated clearing member. It should be signed and stamped by both the parties on all the pages.
4	Board Resolution	Board Resolution is to be prepared specifying the Enablement activity and should be signed by atleast two designated directors.

5	Application for approval as user in the given format on the company's letterhead.	As per the format prescribed
6	Clearing / Settlement Bank account	To be on the Bank's letterhead mentioning the account number and the date of opening the account.
7	5 Points confirmation regarding Clearing / settlement account	The letter should be acknowledged by the bank where the settlement account is opened. The settlement account number should be mentioned in the subject of the letter. This is applicable only in case of Clearing/ Self Clearing Member/ Professional Clearing Members/ Custodians.
8	Applicable in case of Self Clearing/ Clearing/ Professional Clearing Members/ Custodians	Rs. 1 lakh deposits in cash towards NSCCL
9	Application for enablement on Debt segment	To be given on letter head of the member and should be signed by authorized signatories.

The following documents are required to be submitted for enablement on tri party repo market platform

Sr. No.	Documents Required	Important Points
1	Trading Member - NSEIL agreement	Agreement should be on a stamp paper of Rs. 600/- or franking of Rs. 600/-  The agreement should be signed by the authorised signatories as per the board resolution/authorization letter. The signatures/initials are on all pages of the agreement affixed on the last page of the agreement.
2	Board Resolution/ Authorization letter	The Board Resolution is to be prepared specifying the Enablement activity and should be signed by authorized signatories. e member is required to give the proof of service tax registration number/GST.
3	Application for enablement on Debt segment	To be given on letter head of the member and should be signed by authorized signatories.

The contact details of NSE's offices are given below:

Name of the Regional office	Contact no.	Email id
Ahmedabad Regional Office	079-49008602/14	dl-ro-aro-all@nse.co.in
Chennai Regional Office	044-66309900 Extn 44027 044-66309910	dl-mem-bd-cro@nse.co.in
Delhi Regional Office	011-23459130 011-23459134 011-23459166	dl-mem-bd-dro@nse.co.in
Kolkatta Regional Office	033-40400406/11	dl-mem-bd-kro@nse.co.in
Western Regional Office (Mumbai)	022-25045268 022-25045269	membership_mumbai@nse.co.in