

ADMISSION RELATED DOCUMENTS - CHECKLIST

Name of Applicant : _____ _____			
Sr. No.	Details	Yes / No	Remarks
1.	Application Form duly signed on all pages	Yes <input type="checkbox"/> No <input type="checkbox"/>	
2.	Applied for TM / BM <input type="checkbox"/> TCM / SCM <input type="checkbox"/> ITCM /GCM <input type="checkbox"/> PCM /SCM <input type="checkbox"/>		
3.	Market Segment Applied For – mentioned in Application Form Commodity Market Segment <input type="checkbox"/> Currency Market Segment <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
4.	Original Certified True Copy of the Board Resolutions seeking membership of GBOT and should include appointment of Director's/ representatives who are authorised signatories.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5.	Paid Up Equity Capital in US \$ _____ meets the requirement of the Exchange	Yes <input type="checkbox"/> No <input type="checkbox"/>	
6.	The networth certificate of the applicant duly certified by the Audit Firm as per format in (Annexure 3) Asset Valuation Method <input type="checkbox"/> Networth in US \$ _____	Yes <input type="checkbox"/> No <input type="checkbox"/>	
7.	Is the paid up capital & networth meeting the eligibility criteria	Yes <input type="checkbox"/> No <input type="checkbox"/>	
8.	Type of Company <input type="checkbox"/> Domestic <input type="checkbox"/> GBL I <input type="checkbox"/> Any others please specify _____		
9.	Three copies of the Constitution documents / Memorandum and Articles of Association and other documents of incorporation attested by the Company Secretary or legal counsel.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
10.	Country and place of Incorporation : _____		
11.	Date of Incorporation : _____		
12.	Tax Account Number. (TAN) of the Company enclosed letter from Tax authority.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
13.	Value Added Tax (VAT) number of the Company enclosed letter from Tax authority.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
14.	List of Directors as per Annexure 2B	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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15.	Declaration from all Directors of the Applicant Company duly signed on all pages as per Annexure 2A.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
16.	Declaration from Company Secretary of the applicant company duly signed on all pages as per Annexure 2A	Yes <input type="checkbox"/> No <input type="checkbox"/>	
17.	Declaration from Compliance Officer of the applicant company duly signed on all pages as per Annexure 2A.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
18.	Declaration in respect of person(s) (not more than 2) authorised to represent the applicant in relation to dealings with GBOT as per Annexure 2A, if not submitted above. Name of signatories 1 2	Yes <input type="checkbox"/> No <input type="checkbox"/>	
19.	Declaration from Authorised Signatories as per Board Resolution and duly signed on all pages as per Annexure 2A. Name of Authorised Signatories 1 2 3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
20.	Declaration from Shareholders comprising of the Controlling Group duly signed on all pages as per Annexure 2A	Yes <input type="checkbox"/> No <input type="checkbox"/>	
21.	Declaration from all shareholder(s) not falling under 14, 15, 16 and 17 above but holding 5 % or more shares duly signed on all pages as per Annexure 2A.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
22.	Declaration as per Annexure 2A from the parent company, if it is a wholly owned subsidiary of another company duly signed on all pages by the Company Secretary / Authorised Signatory of that parent company.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
23.	Declaration from all Directors of such holding company or parent company duly signed on all pages of that parent company as per Annexure 2A.	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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24.	Declaration from where the applicant is formed by a Trust who is the sole or majority shareholder or the ultimate beneficial owner of the Applicant, details of each of the Trustees and the Manager of the Trust shall be furnished.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
25.	Copies of the Certificates of Registration on the respective Currency / Commodity / Stock Exchanges (if any) Name of Currency/ Commodity /Stock Exchange 1 2 3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
26.	Certificate of Good Standing from relevant Regulatory body or from a lawyer authorised to practise law in the foreign jurisdiction certifying that that the Applicant is legally entitled to carry out the functions of an Investment Dealer in that jurisdiction, if the applicant is not licensed.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
27.	Current bank details where the applicant maintains its main banking account. Name of Bank(s) 1 2 3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
28.	Please provide written references from one or more banks relating to the Applicant or to parties related to the Applicant. Name of Bank 1 2 3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
29.	Please attach the name, address, telephone numbers, email ids and website of the Applicant's current Audit Firm.	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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Sr. No.	Details	Yes / No	Remarks
30.	Auditor's for the previous three years (if they have changed) names, addresses telephone numbers, email ids and website of previous auditors during this period. 1 2 3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
31.	Two copies of Audited Balance Sheet and Annual Report for the past 3 years, <i>(in the case of applicants newly incorporated this is not applicable)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
32.	The shareholding pattern of the applicant company duly certified by the Company Secretary as per format in (Annexure 4) mentioning the Controlling Shareholding Group.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
33.	The details of the Controlling shareholder group to be duly certified by a Company Secretary as per format in (Annexure 5)	Yes <input type="checkbox"/> No <input type="checkbox"/>	
34.	In case the CSG contains other Corporates then the shareholding pattern of those Corporates are to be certified by the Company Secretary / Auditor of those companies and submitted.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
35.	The names and addresses of all shareholders who own at least 5% of the issued shares in the corporation, together with the number of shares and percentage held by each as per Annexure 2A.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
36.	Statement indicating the experience of the Applicant and/or parties related to the Applicant (including Directors, Officers and employees) in (precious metals, currencies and/or commodities market, including both physical and derivatives market), whether as a principal or on behalf of clients. <div style="text-align: center;">Full Name</div> 1) Director(s) 1) Officer(s) 2) Employees	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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37.	Admission Fees of must accompany the application. Draft No. _____ dated _____ Amount _____ USD\$ drawn on _____ (bank name & address) OR Transfer of Admission Fee details (scanned copy of the Transfer instructions given to the bank to transfer the Admission Fee to the GBOT Account.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
38.	Other documents enclosed :		
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Checked by Name :

Signature :

Date :