



Marketplace Technologies Pvt Ltd

3rd floor, B-wing, Aggarwal Trade Centre, Plot 62, Sector 11, Belapur CBD, Navi Mumbai - 400 614

BUSINESS CONTACT INFORMATION

Company name			Please affix a recent photograph (only for individual)
Name of the Applicant			
Date of Birth/ Incorporation	Click here to enter a date.		
Pan Number			

BUSINESS CONTACT INFORMATION

Registered company address			
City		State	
ZIP Code		Mobile Number	
Contact Number	STD Code	Office Number	
Fax Number		Alternate Number	

AMFI/SEBI REGISTRATION DETAILS*

Type of Organization *	<input type="checkbox"/> Individual <input type="checkbox"/> Sole proprietorship <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Pvt Ltd Company <input type="checkbox"/> Public Ltd Company <input type="checkbox"/> HUF <input type="checkbox"/> Society <input type="checkbox"/> Trust <input type="checkbox"/> Other _____		
Your Business segment* (please mark <input checked="" type="checkbox"/> in the box)	<input type="checkbox"/> Banking <input type="checkbox"/> Insurance Advisory <input type="checkbox"/> Mutual Fund Advisory <input type="checkbox"/> Small Savings <input type="checkbox"/> Stock Broking <input type="checkbox"/> Other _____		

CONTACT PERSON REFERENCES*

Contact Person Name (Sales)		Phone	
Email ID		Mobile Number	
Contact Person Name (Operation)		Phone	
Email ID		Mobile Number	

BANK DETAILS*

Bank Name		A/c No.	
Bank Address		IFSC Code	
City		MICR	
State		Zip Code	
Type of account	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other	Other	

BUSINESS DETAILS

Total AUM in Equity Funds (Rs)	
Bank Address	
City	
State	

EXCHANGE ID DETAILS

EXCHANGE ID DETAILS (Note – Two Term ids required for BSE capital markets segment)					
EXCHANGE	SEGMENT	MEMBERCODE/ CLEARING NUMBER	Trader id/USER ID	PASSWORD	BSE TERM ID
BSE	CAPITAL				
BSE	FUTURES				
BSE	CURRENCY				
NSE	CAPITAL				
NSE	FUTURES				
NSE	CURRENCY				
MCX	FUTURES				
NCDEX	FUTURES				
NMCE	FUTURES				
STAR MF	MUTUAL FUNDS				

USER DETAILS REQUIRED

USER DETAILS REQUIRED – Please indicate the number of licenses you wish to purchase				
EXCHANGE	SEGMENT	CTCL/IML Licenses	IBT exe Licenses	Browser License (Perpetual) – Indicate Yes/No
NSE	CAPITAL			
NSE	FUTURES			
NSE	CURRENCY			
BSE	CAPITAL			
BSE	FUTURES			
BSE	CURRENCY			
MCX	FUTURES			
NCDEX	FUTURES			
NMCE	FUTURES			
STAR MF	MUTUAL FUND			

DECLARATION

I/ We hereby give my /our consent to work as an Associate for financial products (including mutual funds) mobilization with Marketplace Technologies Pvt Ltd on the terms and conditions as mentioned in the Associate agreement of even date which are acceptable to me/us. I/We hereby declare that the particulars furnished above by me/us are true and correct and that no material information has been concealed by me/us. I/We undertake to inform in writing of any change in the particulars furnished above. In case if any of the above information is found to be false or incorrect, I/We shall be solely liable for it. I/We hereby declare and undertake to abide by and strictly adhere to the terms and conditions contained herein including Associate Agreement and the changes as made by Marketplace Technologies Pvt Ltd from time to time. I/We hereby declare that I/we am/are AMFI/NISM/SEBI certified. I/We hereby undertake that I/we shall not distribute financial products including mutual funds in case of expiry of AMFI/ SEBI registration till the renewal of the same. I/We hereby declare and undertake to abide by and strictly adhere to the AMFI code of conduct for the mutual funds intermediaries and any other provisions / guidelines pertaining to Investment Advisers that may be enacted from time to time by appropriate authorities.

SIGNATURES

Signature		Signature	
Name and Title		Name and Title	
Date & Place		Date & Place	

Terms And Conditions Governing Appointment Of Marketplace Technologies Pvt Ltd

1. These terms and conditions ("Terms & Conditions") shall govern the appointment of Marketplace Technologies Pvt Ltd Associates for performance of obligations under the Associate Agreement of even date executed between Marketplace Technologies Pvt Ltd, which contain the operational modalities for online transaction and other terms and conditions. In the event of a conflict between these Terms & Conditions and the Associate Agreement, the terms of the Associate Agreement shall prevail.
2. The arrangement between Marketplace Technologies Pvt Ltd shall be exclusively on 'principal to principal' basis. In no event, shall the relationship between Marketplace Technologies Pvt Ltd and the IFA be construed as that of principal and agent or that of employer and employee as there is no such intention to create such kind of relationship.
3. The IFA shall not, at any time, represent to outsiders as the agent or employee of Marketplace Technologies Pvt Ltd. He/She/It shall promptly pass on the cheques received by him/her/it from the clients/investors to Marketplace Technologies Pvt Ltd along with the relevant application. At no point of time, the IFA shall accept any cash or cash equivalent from any of his/her/its clients.
4. The IFA hereby agrees that he/she/it shall strictly comply with all laws, rules and regulations where the IFA conducts his/her/its business relating to the performance of or obligation in furtherance to this Associate Empanelment Form and the Associate Agreement.
5. IFA not having AMFI Certification or such other regulatory certification as per applicable laws from time to time, are not authorized to deal in various financial products including mutual funds as per these Terms & Conditions read with the Associate Agreement. This shall apply to all employees and / or sub-brokers, agents, sub-distributors of IFA by whatever name called. Accordingly, Marketplace Technologies Pvt Ltd reserves the right to withhold any amounts due to IFA during such period as such certification is invalid.
6. IFA shall not hold Marketplace Technologies Pvt Ltd responsible for any loss incurred as not anticipated and arising out of any revision in the rate of commission or change of brokerage by a Product Provider. In cases where any Product Provider initiates recovery of brokerage in relation to any business procured by the IFA, such brokerage already paid to the IFA would be recovered from him/her/it proportionately and for all such business where brokerage is yet to be paid the same shall be netted off.
7. Taxes, if any, at the applicable rates will be deducted from payments to be made to the IFA as per prevailing laws.
8. Marketplace Technologies Pvt Ltd shall monitor the compliance of the Statutory Guidelines, and the Code of Conduct prescribed by SEBI / AMFI for IFAs in respect of business done across all financial products including mutual funds. In case of non-compliance of statutory guidelines by IFA, Marketplace Technologies Pvt Ltd may suspend further business and pay out of commissions etc. until full compliance.
9. IFA shall indemnify Marketplace Technologies Pvt Ltd in respect of all costs, expenses, losses and damages that Marketplace Technologies Pvt Ltd may incur (i) due to the negligence, willful default or fraud or any other act or omission of such IFA including sub-broker under an IFA, (ii) against every and all claims, demands, damages, liabilities, proceedings, losses, charges and expenses made, suffered, caused or incurred, whether directly or indirectly to Marketplace Technologies Pvt Ltd by reason of commission of any wrongful act or omission on the part of the IFA, and/or (iii) on account of provision of services in the period when its SEBI/ AMFI certification has expired. The provision of this Clause shall survive the termination or expiry of the Associate Agreement.
10. As a condition of empanelment, the IFA agrees that Marketplace Technologies Pvt Ltd shall have exclusive ownership of, and any and all rights, title and interest in all copyrights, trademarks, service mark rights, patents or processes associated with any work, mark, invention or process ("Intellectual Property") produced during the course of the empanelment, which was originated or developed in connection with the empanelment reduced to practice following the termination of such empanelment if the invention or process existed in an identifiable form prior to such termination.
11. As a further condition of empanelment, the IFA agrees to execute any and all documents necessary to protect and preserve the Intellectual Property of Marketplace Technologies Pvt Ltd, even if no longer engaged. The IFA further agrees at Marketplace Technologies Pvt Ltd's request to confirm such rights in writing.
12. A login Id will be allotted to an IFA only after due compliance with registration. Incomplete registration documents or inappropriate information are liable to be rejected. All logins made through such allotted login identity shall be deemed to be made by IFA and IFA shall be solely liable/ responsible for any misuse or fraud of such login Id.
13. IFA shall not guarantee any returns to any existing or potential customer. IFA shall not make any misrepresentation or false or misleading advertisement in any manner and/or of any nature to the existing and/or potential customers.
14. Marketplace Technologies Pvt Ltd reserves the right to alter any of the terms and conditions governing appointment of IFA and to terminate the Associate Agreement without assigning any reason, whether arising as a result of this Associate Empanelment Form and the Associate Agreement if the business procured is not as agreed between the parties, in accordance with the procedure in the Associate Agreement.
15. The relationship between Marketplace Technologies Pvt Ltd and IFA shall expire in accordance with the Max One Associate Agreement, either by efflux of time or on happening of any of the following events (i) if the IFA commits breach of any of the terms mentioned herein; (ii) If Marketplace Technologies Pvt Ltd goes into voluntary liquidation; (iii) If the IFA is guilty of any conduct, commission or omission which Marketplace Technologies Pvt Ltd believes is prejudicial to the interest of the Company or the Investor; (iii) If any event happens which makes the performance of the Associate Agreement impossible by reason of any force majeure or otherwise.
16. IFA shall be responsible for all his/her/its acts, deeds or omissions prior to the termination of IFA in accordance with the Associate Agreement. The termination of association with an IFA will not absolve him/her/it from all the acts, deeds or omissions done by him/her/it during the currency of appointment as an IFA.
17. These Terms and Conditions shall be governed under the laws of India, and the courts of Mumbai alone shall have exclusive jurisdiction in respect thereof.

USEFUL INFORMATION
PREREQUISITES FOR SETTING UP FRONT OFFICE APPLICATION

EXCHANGE RELATED

The following exchange related connectivity and logins needs to be available for the application to run.

1. Connectivity to NSE Test and Live environment. For this we need
 - a. NSE CTCL Id (Test and Live)
 - b. NEAT Terminal (To check if proper connectivity to the exchange is established)
2. Connectivity to NCDEX Test and Live environment. For this we need
 - a. NCDEX CTCL Id (Test and Live)
 - b. TWS Terminal (To check if proper connectivity to the exchange is established)
3. Connectivity to MCX Test and Live environment. For this we need
 - a. MCX CTCL Id (Test and Live)
 - b. TWS Terminal (To check if proper connectivity to the exchange is established)
4. Connectivity to BSE Test and Live environment. For this we need
 - a. BSE IML set up with IML Id (Test and Live). Note that two IML Ids are required.
 - b. BOLT terminal (To check if proper connectivity to the exchange is established)
5. Connectivity to BSE Star MF Test and Live environment. For this we need
 - a. BSE Star MF set up with IML Id (Test and Live). Note that two IML Ids are required.
 - b. BOLT terminal (To check if proper connectivity to the exchange is established)

PROCESSES

The following are the processes that constitute the CTCL Trading Application.

1. Sign-on application for NSE CM – Sends and receives orders for NSE Cash Market.
2. Broadcast Process for NSE CM – Receives NSE Cash Market broadcast.
3. Sign-on application for NSE FNO – Sends and receives orders for NSE FNO Market.
4. Broadcast process for NSE FNO – Receives NSE FNO Market broadcast.
5. Sign-on application for BSE CM – Sends and receives orders for BSE Cash Market.
6. Broadcast process for BSE CM – Receives BSE Cash Market broadcast.
7. Market Depth process for BSE CM – Requests and receives BSE Cash Market, Market Depth details as this is not broadcasted for all securities.
8. Sign-on application for NCDEX Commodities – Sends and receives orders for NCDEX Commodities Market.
9. Broadcast Process for NCDEX Commodities – Receives NCDEX Commodities Market broadcast.
10. Sign-on application for MCX Commodities – Sends and receives orders for MCX Commodities Market.
11. Broadcast Process for MCX Commodities – Receives MCX Commodities Market broadcast.
12. Sign-on application for Star MF – Mutual funds – Sends and receives orders
13. Broadcast Process for Star MF – Mutual funds – Receives Market broadcast.
14. Application Server – Users connect to this process for accessing data.
15. Broadcast Pusher – Sends out the broadcast data from different exchanges to the user.
16. Interactive Pusher – Sends the order confirmations and trade confirmations to the user.
17. RMS server – Calculates and maintains the Risk details of the users.
18. Sync Process – Converts messages from exchange to user readable format and caches data for Local Database.
19. Market Movement – Stores Broadcast data to database; calculates market movement, index movement, top gainers, top losers, top 20 by value, top 20 by volume.
20. TCP to Multicast process – Converts the exchange broadcast format to format for end users.

Notes

1. One machine will be used as a Database Server.
2. * The Database Server machine (I.e. one of the machines) should have RAID drive so that recovery is possible in case of the machine crashing.
3. The distribution of the other processes will be based on usage pattern.
4. The second LAN cards on the remaining machines are required for connecting to BSE.

BSE CONNECTIVITY

Two IML Ids are required for better performance. One will be used for interactive communication, i.e. for orders and trades and the second one will be used for fetching index details and market depth.

NSE CONNECTIVITY

For connectivity to NSE we will need one of the machines needs to have an EICON card or connectivity to a server having EICON Card and running the EICON server.

INTERNET CONNECTIVITY

If it is required that the application be available on the internet, then the Application Server machine should have a real IP. This machine should or preferably be behind a firewall, for security reasons.