

**Notice No.:** COMP-2009-034

**Issue Date:** September 30, 2009

**Subject:** Annual SCA License Renewal

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**Notice to all SCA licensed Broker Members.**

**Subject:** Emirates Securities and Commodities Authority (SCA) License Renewals

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Dear Member,

In accordance with Article 3-6 of SCA Regulation 157 of 2005, the Exchange requests that all SCA licensed Broker Members renew their license for 2010<sup>1</sup>.

All SCA licensed Broker Members are requested to complete the SCA license renewal form – Annexure A (attached), and an undertaking – Annexure B (attached). A payment of AED 2500 favoring the *Securities & Commodities Authority* must accompany these documents.

The deadline for submission is October 31, 2009. Please send your documents and payment to the following address:

Compliance Department  
Dubai Gold & Commodities Exchange  
Emaar Business Park, Building 2,  
Level 1, Sheikh Zayed Road,  
PO Box 37736, Dubai, UAE

Should you wish to remit the annual renewal fees directly to SCA via telegraphic transfer, bank details are as follows:

|                     |  |
|---------------------|--|
| <b>Account Name</b> | Securities & Commodities Authority   |
| <b>Bank</b>         | Abu Dhabi Islamic Bank, Head Office, Abu Dhabi, UAE. Tel # 00971-2-6343000               |
| <b>Account No.</b>  | 10344468   |
| <b>Swift Code</b>   | For Transfers from USA: ABDIAEAD382328<br>For Transfers from Rest of the World: ABDIAEAD |

Kindly send a copy of your remittance confirmation record to DGCX, along with the completed forms.

**For Dubai Gold & Commodities Exchange**

**Tony Day**

**Head of Compliance, Audit & Membership**

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<sup>1</sup> In the event that a Member is licensed by SCA, but does not want to renew the license, please contact [compliance@dgcx.ae](mailto:compliance@dgcx.ae)

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## Annexure A - Application for Renewal of a DGCX Broker License<sup>2</sup>

|    |   |  |
|----|---|--|
| 1  | Company name                                    |  |
| 2  | Place (country/city) of establishment           |  |
| 3  | Date of Establishment                           |  |
| 4  | Net Current Tangible Assets (NCTA) <sup>3</sup> |  |
| 5  | Type of Membership                              |  |
| 6  | Company Directors / Shareholders                |  |
| 7  | General Manager                                 |  |
| 8  | Operations / Trading manager                    |  |
| 9  | DGCX Registered Users                           |  |
| 10 | Company contact details                         |  |

### Undertaking

The brokerage company named above undertakes to adhere to all laws, rules and regulations of the SCA as will apply from time to time.

Signed.....

Position in company.....

Date.....Company Stamp.....

<sup>2</sup> To be printed on the letterhead of respective Broker Member

<sup>3</sup> NCTA as defined in DGCX By-Laws

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## Annexure B - Undertaking to be submitted by Broker Member<sup>4</sup>

Date:

To:

The Compliance Department  
Dubai Gold & Commodities Exchange  
Emaar Business Park  
Building No 2, Level 1,  
Dubai,  
UAE

Sir,

In pursuance of SCA license renewal, We \_\_\_\_\_  
(Broker name) hereby certify that we have taken all the necessary steps to ensure that we  
have complied with DGCX By-laws and DCCC Clearing Rules.

Signed sealed and delivered by

Authorized Signatory

Name:

Designation:

Broker Member

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<sup>4</sup> To be printed on the letterhead of respective Broker Member