

APPLICATION FORM FOR COMMODITY PARTICIPANTS OF NCDEX SPOT EXCHANGE LIMITED (NSPOT)

1. Name of Applicant:

2. Constitution:

Individual

Sole Proprietorship

Partnership Firm

Corporate Pvt. Ltd.

Corporate - Public Ltd - Listed

Corporate - Public Ltd - Unlisted

Cooperative Society

Others - Please Specify

3. Date of Birth / Incorporation / Registration / Proposed

If Corporate/Partnership Yes No

4. PAN No. / TIN No.

Yes No

**5. Details of the Chief Executive / Managing Partner / Chairman/ Individual/ Proprietor/ Partner
(As per Form CP-2)**

Name

Address

City

Pin

Tel. No.

Fax. No.	<input type="text"/>
Email ID	<input type="text"/>
Contact Person Name	<input type="text"/>

**6 (A). Name of Stock / Commodity exchange/s on which applicant is a Member.
(As per Form CP-1)**

Exchange Name1

Exchange Name2

Exchange Name3

None (if none, please tick in checkbox)

6 (B). Name of Stock/Commodity Exchange/s on which Any Director / Dominant Promoter / Partner is a Member. (As per Form CP-1)

Exchange Name1

Exchange Name2

Exchange Name3

None(if none, please tick in checkbox)

7. Authorized Signatory/ies Details

Name

Address

City	<input type="text"/>
Pin	<input type="text"/>
Tel. No.	<input type="text"/>
Mob. No.	<input type="text"/>
Fax. No.	<input type="text"/>

Email ID	<input type="text"/>
Contact Person Name	<input type="text"/>
Designation	<input type="text"/>

8. Address of Registered Office

Address

<input type="text"/>
<input type="text"/>

City	<input type="text"/>
Pin	<input type="text"/>
Tel. No.	<input type="text"/>
Mob. No.	<input type="text"/>
Fax. No.	<input type="text"/>
Email ID	<input type="text"/>
Contact Person Name	<input type="text"/>
Contact Person No. & Mob	<input type="text"/>
Designation	<input type="text"/>

9. Address For Communication

Address

<input type="text"/>
<input type="text"/>

City	<input type="text"/>
Pin	<input type="text"/>
Tel. No.	<input type="text"/>
Mob. No.	<input type="text"/>
Fax. No.	<input type="text"/>
Email ID	<input type="text"/>
Contact Person Name	<input type="text"/>
Contact Person No. & Mob	<input type="text"/>
Designation	<input type="text"/>

10. Name & Address of the Bankers with facilities enjoyed if any

A) Bank Name & Address

B) Account No.

C) Account Type

NOTE: {Please provide a certificate from Bank mentioning that account/s is being operated satisfactory & Authentication of signatures of all authorized persons operating account/s}

11. ANNUAL TURNOVER FOR LAST 2 YEARS (Rs. In Lakh):

12. (A) Name & Address of APMC in which the member is registered:

12. (B) Registration No. & Date/ License No., Date & Type:

13. Names of Commodities in which Trading is done:

14. Whether any Godowns are owned by any Party:

Details of Godowns (No. of Godowns, capacity, location & commodities stored):

Declaration:

- ❖ I/ we hereby declare that none of us has been adjudged or proved to be insolvent at any time/ have not compromised with creditors for less than full discharge of debts/ have not been subjected to any disciplinary action/ suspended/ expelled or declared a defaulter on any stock/ commodity exchange/ have never been debarred from trading in securities/ commodities by any Regulatory Authority like RBI, SEBI, FMC, Registrar of co-operative societies, statutory authorities, etc./ have never been denied/ rejected membership of any stock/ commodity exchange or commercial organization/ have never been convicted of any offence involving fraud or financial irregularities/ & never been involved in any litigations/ suits or proceedings or in any financial liability of contingent or uncertain nature.
- ❖ I/ we hereby state that the above mentioned particulars and annexure/ certificates given here to are true, correct and complete to the best of my/ our knowledge & information.
- ❖ I/ we also state that no relevant material fact has been misstated, misinterpreted or suppressed. Any misstatement or misinterpretation or suppression of facts in connection with the application for Commodity Participant/ Auction membership or breach of any undertaking or condition of admission entails rejection of application or expulsion from membership.

Affix Passport size
photograph of the
Signatory

Affix Passport size
photograph of the
Signatory

Signed :

Name :

Designation :

Date :

Place :

Signed :

Name :

Designation :

Date :

Place :

APPLICATION TO BE SIGNED BY:

For individuals - By the Individual himself/herself

partnership firms - By any two working partners of the firm

Co-operative Societies - By two persons duly authorized by resolution in accordance with Bye Laws of the society
(submit copy of the relevant resolutions, duly signed)

Corporates / Institution:- Managing Director/Whole Time Director/any other person authorized by the Board.
(submit certified true copy of the relevant Board resolution)

Signature of the Bankers (The bankers need to sign here to authenticate the signatures of the authorized signatories and also state that the conduct of the account of the party is satisfactory):

Signed :

Bank Name :

Designation :

Date :

Place :

CHECK LIST

An applicant for membership is required to note the following and furnish all the documents.

Applications should be complete in all respects.

Duly completed application should be submitted along with the following relevant Annexure (from CP1 to CP4 along with format of certificate in form CB 1 (as applicable looking to type of organization whether applicant is Individual, proprietorship, partnership. Coop society, corporate (listed or otherwise), etc

CP-1: Details of Stock / Commodities Exchange Memberships, other than NCDEX

CP-2: Details of Directors/ Partners/ Proprietor

CP-3: Share holding pattern of company/Sharing Pattern of the Partnership Firm

CP-4: Details of the Stock Exchanges in which Applicant Company is listed

TCM Undertaking (as applicable to type of organization i.e. corporate/ partnership/ individual) needs to be submitted executed on Rs. 300/- non judicial stamp paper & duly notarized. Also note that the notary date & the date of execution of TCM need to be same.

The Annexures, CP-3 and CP-4 are to be certified by the Statutory Auditors

Attested copies of

- Certificate of Incorporation certificate of commencement of business (if applicable), Memorandum & Articles of Association or Partnership Deed-- Commodity broking / trading / hedging / financing / processing / financial services should be one of the objects of the company
- Copies of the Balance Sheet for last three financial years since the time entity are constituted.
- Copies of the latest returns of Income Tax along with proof of filing the same.

Proof of age and educational qualification, duly attested by a Gazetted officer / Chartered accountant to be attached.

Such other documents as may be called for and be required by the Exchange from time to time.

Such other documents that the applicant believes are relevant to the application may also be submitted.

Attention of applicants is particularly drawn to the following provisions:

- Any canvassing by an applicant shall debar his application from being considered for membership
 - The number of members to be admitted shall be at the sole discretion of the Exchange.

ANNEXURE-CB1 (For Corporate / Institutions / Co-operative Society)

**FORMAT OF CERTIFICATE TO BE FURNISHED BY APPLICANT
ALONG WITH APPLICATION**

From: The name and address of the Applicant

To:

The Managing Director,
NCDEX Spot Exchange Limited
Akruti Park, LBS Marg
Kanjur Marg (W)
Mumbai 400 078

Dear Sir,

1. Details of membership(s) in any stock / commodity exchange in the name of the company, its subsidiaries or any of the directors / dominant promoter groups therein, are given in Annexure **CP-1**. It is further certified that none of these memberships has ever been suspended / expelled / penalized / declared defaulter nor any other disciplinary action initiated there against by the concerned stock / commodity exchanges or any other regulatory or statutory authority except as detailed in the application form.
2. Attested copies of Certificate of Incorporation, Certificate for Commencement of Business (if applicable), and Memorandum and Articles of Association of the company are enclosed. Copies of the audited Balance Sheets for last three financial years are also enclosed.
3. The share holding pattern of the company as on _____ is given in Annexure **CP-3**.
4. After _____ (*date given in (2) above*), there has been no change in the Board of Directors of the undersigned, nor is it likely to be effected due to any direct or indirect transfer of shares or other equity instruments in the share capital of the company or any direct or indirect transfer of shares or other equity instruments in the share capital of any one or more companies or bodies corporate holding any part of the paid up capital of the company.
(*If any change has taken/likely to take place, please give complete details in separate sheet*)
We undertake to keep the Exchange informed of any changes in the Board of Directors or in the shareholding pattern.
5. In case the company is currently an unlisted company and goes for a public issue, the Offer document / Prospectus shall be submitted to Exchange for prior perusal, at least 21 days before opening of the subscription list.

We hereby state that the information given above is true, correct and complete to the best of our knowledge and information. We also state that no relevant material fact has been suppressed. We agree that in the event of any of the above statements being found false, incorrect or incomplete, we accept that the Exchange may take any action as it may deem fit, including termination of the trading membership. We also agree to provide the Exchange with all such documents as may be called for and /or required by the Exchange from time to time.

We hereby undertake to inform the Exchange about any change in the above-mentioned facts within 15 days of the change taking place / coming to our knowledge, whichever is earlier.

Place:

Date:

** Signature(s)

** To be signed by any persons authorized by the Board. (Submit certified true copy of the relevant Board resolution)

ANNEXURE: CB1 (For Partnership Firms)

**FORMAT OF CERTIFICATE TO BE FURNISHED BY PARTNERSHIP FIRM
ALONGWITH APPLICATION**

From: The Name and address of the Applicant

To:

The Managing Director
NCDEX Spot Exchange Limited

Akruti Park,
LBS Marg
Kanjur Marg (W)
Mumbai 400 078

Dear Sir,

1. Attested copies of Partnership Deed are enclosed.
2. Sharing pattern of profits and losses of the partners / persons in the firm is given in Annexure **CP-3. We undertake to keep the Exchange informed of any changes in the partners.**

We hereby state that the information given above as well as in the annexure is true, correct and complete to the best of our knowledge and information. We also state that no relevant material fact has been suppressed. We agree that in the event of any of the above statements being found false, incorrect or incomplete, we accept that the Exchange may take any action as it may deem fit, including termination of the membership. We also agree to provide the Exchange with all such documents as may be called for and / or required by the Exchange from time to time.

We hereby undertake to inform the Exchange of the change in the above-mentioned facts within 15 days of the change taking place/coming to our knowledge, whichever is earlier.

Place:

Date:

Signature:

**** TO BE SIGNED BY:** Any two working partners of the firm

ANNEXURE - CB1 (For Individuals / Sole Proprietorship)

**FORMAT OF CERTIFICATE TO BE FURNISHED BY APPLICANT
ALONGWITH APPLICATION**

From: The name and address of the Applicant

To:

The Managing Director
NCDEX Spot Exchange Limited
Akruti Park
LBS Road
Kanjur Marg (W)
Mumbai 400 078

Dear Sir,

1. Upon grant of membership, I shall trade /and clear trades on NCDEX Spot Exchange Limited trading platform under the name and style of M/s _____, of which I am sole proprietor. All trades and transactions done under the above name shall be binding on me and shall be deemed to be done / undertaken by me in my individual capacity for all purposes. All rights and liabilities in the above name shall be deemed to be my rights and liabilities.
2. Details of membership(s) in any stock / commodity exchange in my name/firms in which I am a partner/the company (including its subsidiaries) in which I am a promoter or director are given in **Annexure CP-1**. It is further certified that none of these memberships have been suspended/ expelled/ penalized/ declared defaulter or any other disciplinary action initiated there against by the concerned stock / commodity exchanges or any other regulatory or statutory authority except as detailed in Annexures CP-1 & CP-2.

I hereby state that the information given above as well as in the annexure is true, correct and complete to the best of my knowledge and information. I also state that no relevant material fact has been suppressed. I agree that in the event of any of the above statements being found false, incorrect or incomplete, I accept that the Exchange may take any action as it may deem fit, including termination of the trading membership. I also agree to provide the Exchange with all such documents as may be called for and / or required by the Exchange from time to time.

I hereby undertake to inform the Exchange of any change in the above mentioned facts within 15 days of the change taking place/ coming to my knowledge, whichever is earlier.

Place :

Date :

Signature

