

# FORMAT

## PRE-AUDIT INFORMATION TO BE FURNISHED BY THE MEMBER OF COMMODITY EXCHANGE(S) COVERING THE FINANCIAL YEAR FOR WHICH AUDIT IS UNDERTAKEN

### AUDIT YEAR:-

**Note: Enclose extra sheets, if space provided for any item is found inadequate, keeping the format intact.**

### A. GENERAL INFORMATION

1)	Name/ Trade Name of the Member	
2)	(a) Status: Proprietorship/ Partnership/ Corporate. Give names of Proprietor/ Partners/ Directors as the case may be  (b) Type of membership	
3)	Office Address:-  Phone Numbers:- Fax-Number:- E-mail ID:- Name of the contact person:-  Telephone number:- Mobile Number:-	
4)	Details of Branch Office(s), if any, along with Address, Phone Numbers, E-mail ID, and name of the contact person and his telephone/mobile number	
5)	(a) Whether member of more than one Exchange. (b) If so, names of the exchanges & dates of acquiring memberships	
6)	UMC Number given by FMC	
7)	Registration Number(s) given by the Exchange(s).	
8)	Date of commencement of operation	
9)	No. of terminals, their type and locations with complete address (separate list to be attached)	

10)	Names of the Authorized persons entrusted to operate these terminals and No. and date of approval of the Exchange obtained for location of the terminals.	
11)	Details of the Back office software used.	
12)	Total No. of clients registered (a)No. of active clients (b)No. of inactive clients	
13)	Market Segment/Major commodities traded during the last three years	
14)	Current Networth of the firm at the end of the F.Y. under consideration	
15)	Details of Promoters/Partners/Directors who have interest in other entity(ies) and details of such entity(ies)	
16)	Details of family members/ associates operating on the same/ any other Exchanges	
17)	Details of other businesses activity, if any, carried out in the company or separately.	
18)	(a) Whether any audit or inspection was carried out by the Exchange in the previous two years. (b) If yes, enclose copy of the report/observations thereof.	
19)	Details of defaults in payments/ delivery in the last 2 years	
20)	Detail of Investor grievances/ complaints received during the last 3 years and action taken thereupon.(year wise)	
21)	Details of penalties, monetary or otherwise, levied by the Exchange in the previous two financial years.	
22)	Details of arbitration/ court cases pending if any	

23)	(a)Whether Compliance reports are submitted on time to the Exchange. (Yes/No) (b)In how many cases compliance submitted is not accepted. ( Enclose copies of Compliance reports)	
24)	Whether Minimum paid up capital specified by the Exchange are fulfilled / NOC issued for increasing paid up capital or not	
25)	(a) Service Tax Registration No. (b) VAT Registration No. (c)Enclose copies of the last 6 months' returns	
26)	Turnover for the last 2 years(Year wise) a) Turn over in propriety account b) Turnover in clients' account Also, give a monthly break-up of the turnover of the purchase and sales during the last 2 years	
27)	Name & addresses of Top 20 Clients by Turnover, with commodity wise break-up. (Note: Please also keep the KYC of those clients ready for inspection.)	
28)	Any other relevant information (Specify)	

## **B. BOOKS OF ACCOUNTS AND OTHER RECORDS**

1	Details of Books of Accounts and other records maintained as mandated by the Exchanges (Enclose List)	
2	Copies of the Audited Balance-sheet along with P&L Account and the annexure for the previous two years.	
3	Mode of issue of contract notes	
4	Mode of maintenance of Contract notes	
5	Details of Bank accounts maintained and the purposes thereof.	
6	Whether separate margin accounts are maintained for clients.	Yes/No
7	Details of clients having continuous debit balance of Rs. 50,000 or more for a period	

	exceeding 15days.	
9	Whether the open position file, trade file, margin files, downloaded from the exchange are readily available in soft copy.	Yes/No
10	<p>Details of all client code modifications carried out during the previous year and current year and reasons thereof, in tabular form, clearly showing:</p> <p>a) The client code wherein original trade took place.</p> <p>b) The commodity traded</p> <p>c) Price at which traded</p> <p>d) Date of trade</p> <p>e) Date of modification</p> <p>f) Client code where trade is transferred</p> <p>Reason for change</p>	
11	<p>(a)Names of top ten commodities (turnover wise).</p> <p>(b)Their combined share in your total trade</p> <p>(c)Please also furnish the dates on which the highest turnover was achieved in each of the commodities.</p> <p>(d) Whether any client is a relative of any of the promoters of directors or share holders of the Exchange Member</p>	

**Declaration**

I \_\_\_\_\_, Proprietor/Partner/Director/Authorized signatory of \_\_\_\_\_, who is a member of \_\_\_\_\_ Exchange(s) do hereby certify that the information furnished above are complete in all respects and are true and correct to the best of my information and belief. I hereby undertake to give access to all books of accounts and other documents and records maintained in hard copy or soft copy **for the period of audit and its preceding and succeeding periods** to the auditors appointed by the Commission as and when they visit my office for inspection/audit.

**Authorized Signatory  
(Name)**

**Date:**

**Designation  
(Enclose Copies of power of Attorney)**