

## 1. FORMS FOR ELIGIBILITY

### FORM A: Format for Letter of Application

(On the Letter head of the Applicant)

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Application for Grant of Certificate of Registration

**Reference:** Call for Application issued by WDRA

Being duly authorized to represent and act on behalf of \_\_\_\_\_ (hereinafter referred to as 'the Applicant'), and having reviewed and fully understood all of the Call for Application requirements and information provided, the undersigned hereby submits the Application for the project referred above.

We confirm that our Application is valid for a minimum period of nine (9) months from the Application Due Date in the Call for Application or on the signing of the final agreement between WDRA and the Repository and completion of the transition period thereafter, whichever is later.

We confirm that WDRA is authorised to conduct or to make any enquiry or investigations to verify the statements, document and information submitted with this application and / or in connection therewith and to seek clarification from our bankers, financial institutions and clients regarding the same.

The undersigned declares that the statements made and the information provided in this application is complete, true and correct in all respects.

Yours faithfully,

\_\_\_\_\_

(Signature of the Authorised Signatory of Applicant)

\_\_\_\_\_

(Name and designation of the Authorised Signatory of Applicant)

**FORM B: Format for Power of Attorney for Signing of Applicant**

**(On stamp paper of appropriate value)**

**Power of Attorney**

Know all men by these presents, we \_\_\_\_\_ (name and address of the registered office of Applicant) do hereby constitute, appoint and authorise Mr. / Ms. \_\_\_\_\_ (name and residential address) who is presently employed with us and holding the position of \_\_\_\_\_ as our or attorney, to do in our name and on our behalf, all such acts, deeds and things necessary in connection with or incidental to our Application for the providing services as repository, including signing and submission of all documents and providing information / responses to WDRA, representing us in all matters before WDRA, and generally dealing with WDRA in all matters in connection with our Application.

We hereby agree to ratify all acts, deeds and things lawfully done by our said attorney pursuant to this Power of Attorney and that all acts, deeds and things done by our aforesaid attorney shall and shall always be deemed to have been done by us.

For

\_\_\_\_\_  
\_\_\_\_\_  
(Signature)  
\_\_\_\_\_  
(Name, Title and Address)

Accepted

\_\_\_\_\_  
(Signature)  
\_\_\_\_\_  
(Name, Title and Address of the Attorney)

Note:

1. The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executant(s) and when it is so required the same should be under common seal affixed in accordance with the required procedure. The Power of Attorney should be on a stamp paper of appropriate value.
2. Also, wherever required, the Applicant should submit for verification the extract of the charter documents and documents such as a resolution/power of attorney in favour of the Person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.

**FORM C: Details of Applicant**

1. Name
2. Address of the office(s)
3. Date of incorporation and/or commencement of business.
4. Brief description of the Company including details of its main lines of business.
5. Name, Designation, Address and Phone Numbers of Authorised Signatory of the Applicant:
  - Name :
  - Designation :
  - Company :
  - Address :
  - Telephone Number :
  - Fax Number :
  - Mobile Number :
  - E-Mail Address :
6. Details of individual (s) who will serve as the point of contact / communication for WDRA within the Company:
  - Name :
  - Designation :
  - Company :
  - Address :
  - Telephone Number :
  - Fax Number :
  - Mobile Number :
  - E-Mail Address :
7. Details of Promotor Group:
8. Shareholding pattern as on 30.06.2016
9. Brief Profile of key team members with expertise in managing repository related operations (Please limit the number to a maximum of 7 team members)

**FORM D: Format for Anti-Collusion Certificate**

**(On the Letterhead of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Application for Grant of Certificate of Registration

Reference: Call for Application issued by WDRA

We hereby certify and confirm that in the preparation and submission of our Application for Grant of Certificate of Registration, we have not acted in concert or in collusion with any other Applicant or other person(s) and also not done any act, deed or thing which is or could be regarded as anti-competitive.

We further confirm that we have not offered nor will offer any illegal gratification in cash or kind to any person or agency in connection with the Application.

Dated this \_\_\_\_\_ Day of \_\_\_\_\_, 2016

\_\_\_\_\_  
(Name of the Applicant)\_\_\_\_\_

(Signature of the Authorised Representative)

\_\_\_\_\_  
(Name and designation of the Authorised Representative)

**FORM E: Format for Undertaking**

**(On the Letterhead of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Application for Grant of Certificate of Registration

**Reference:** Call for Application issued by WDRA

We confirm that we have not been denied renewal of an existing registration or the Certificate of Registration has not been cancelled or terminated by any of the regulatory agencies, including RBI, SEBI, PFRDA and IRDA as on the Application Due Date indicated in the Call for Application issued by WDRA.

Yours faithfully,

\_\_\_\_\_  
(Signature of Authorised Signatory)

\_\_\_\_\_  
(Name and designation of the Authorised Representative)

**FORM F: Format for Undertaking for creating a strategic business Unit to perform functions of the Repository**

**(On the Letterhead of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Undertaking for creating a strategic business unit to perform functions of the Repository

**Reference:** Call for Application issued by WDRA

We hereby certify and confirm that we will create a strategic business unit to perform the functions of a Repository and this strategic business unit will be independent and shall not carry out other businesses.

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Yours faithfully,

\_\_\_\_\_

(Signature of Authorised Signatory)

\_\_\_\_\_

(Name and designation of the Authorised Representative)

**FORM G: Format for Undertaking for Key Managerial Person(s)**

**(On the Letterhead of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Undertaking for Key Managerial Person(s)

**Reference:** Call for Application issued by WDRA

We hereby certify and confirm the following that the key managerial person(s) including the

\_\_\_\_\_,

- Have not been convicted by a court of law for any offence and sentenced in respect of that offence at any time in the preceding five years from the date of this application
- Are not of unsound mind or an undischarged insolvent.
- Are not under a declaration of ineligibility/banned/ blacklisted by any Regulatory Authority, State or Central Government/ any other Government institutions in India for any reason whatsoever as on the date of submission of the application
- Are not under investigation by any law enforcement agency for unfair practices or any other offence

Yours faithfully,

\_\_\_\_\_

(Signature of Authorised Signatory)

\_\_\_\_\_

(Name and designation of the Authorised Representative)



**FORM H: Format for Declaration for compliance with the provisions of the Act, Rules, Regulations and Guidelines**

**(On the Letterhead of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi

**Subject:** Declaration for compliance with the provisions of the Act, Rules, Regulations and Guidelines

**Reference:** Call for Application issued by WDRA

We hereby certify and confirm that we will comply with the provisions of the Act, Rules, Regulations and Guidelines made thereunder by WDRA from time to time.

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Yours faithfully,

\_\_\_\_\_

(Signature of Authorised Signatory)

\_\_\_\_\_

(Name and designation of the Authorised Representative)

**FORM I: Format for Undertaking for Business Entity**

**(On the Letterhead of the Applicant)**

**Reference:** Call for Application issued by WDRA

We confirm that we are registered under the following statutes:

Type of Statute	Please tick as appropriate	Entity Name
The Companies Act, 1956		
Limited Liability Partnership Act 2008		
Law equivalent to Companies Act in case of incorporation outside India		

We are enclosing the certificate of incorporation / copy of statute or letter from statutory auditor that the company is registered as per details above (strike out whichever is not applicable), for your reference.

Yours faithfully,

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name and designation<sup>1</sup> of signatory)

Enclosed: Certificate of Registration or Letter from Auditor that the Applicant is a Business Entity as per definition of Section 3.2 of the Call for Application document

<sup>1</sup> To be issued by the Chief Financial Officer/Company Secretary/competent office

**FORM J: Experience Certification from Statutory Auditor**

**ON LETTERHEAD OF STATUTORY AUDITOR**

Date:

We have verified the relevant statutory and other records of M/s \_\_\_\_\_ [*Name of the Applicant*], and certify the M/s. \_\_\_\_\_ had been functioning in the business of \_\_\_\_\_ (*name of business services.*) since \_\_\_\_\_.

We have also scrutinized the documents made available to us for the said project and certify the following:

<b>Date of commencement of relevant business</b>	<b>Markets covered (Securities/ Insurance/ Commodities/Others)</b>	<b>Investor Base in each market</b>
Project Title		

Signature and Seal

and registration number of Statutory Auditor

**FORM K: Format for Statement of Financial Capability**

The following format shall be used for statement of financial capability of Applicant:

<b>Year</b>	<b>Annual Turnover</b>
Year 1	Fill details
Year 2	Fill details
Year 3	Fill Details

Instructions:

For the purpose of Eligibility:

1. The financial year would be the same as the one normally followed by the Applicant for its Annual Report. Year 1 shall be the last completed financial year for which audited financial statements are available. Year 2 shall be the financial year previous to Year 1. In this case, Year 1 refers to FY 2015-16, Year 2 refers to FY 2014-15 and Year 3 refers to FY 2013-14
2. The Applicant shall provide the audited annual financial statements as required for this Call for Application document.

**FORM L: Format for Financial Capability Criteria from Auditor**

**ON LETTERHEAD OF AUDITOR**

**TO WHOMSOEVER IT MAY CONCERN**

**Financial Capability Certification**

Date:

We have verified the relevant statutory and other records of M/s \_\_\_\_\_ [*Name of the Applicant*], and certify the following:

<b>Criteria</b>	<b>For Year 1 (Financial Year 2013 to 2014)</b>	<b>For Year 2 (Financial Year 2014 to 2015)</b>	<b>For Year 3 (Financial Year 2015 to 2016)</b>
<b>Annual Turnover</b>			

Signature and Seal

and registration number of  
Statutory Auditor

**FORM M: Format for Networth Criteria from Auditor**

**ON LETTERHEAD OF AUDITOR**

**TO WHOMSOEVER IT MAY CONCERN**

**Networth Certification**

Date:

We have verified the relevant statutory and other records of M/s \_\_\_\_\_ [*Name of the Applicant*], and certify the following:

<b>Criteria</b>	<b>For Year 1 (Financial Year 2013 to 2014) as on 31.03.2014</b>	<b>For Year 2 (Financial Year 2014 to 2015) as on 31.03.2015</b>	<b>For Year 3 (Financial Year 2015 to 2016) as of 31.03.2016 or 30.09.2016</b>
<b>Networth</b>			

Signature and Seal

and registration number of  
Statutory Auditor

**FORM N: Format for Letter for Enclosing Technical Application**

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**(On the Letter head of the Applicant)**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi 110 016

**Subject:** Application for Grant of Certificate of Registration

**Reference:** Call for Application issued by WDRA

Dear Sir,

We are pleased to enclose the following plans which we propose to implement, if the captioned Project is awarded to us. These plans are part of our Technical Application as required under Sections 3 and 4 of the Call for Application.

We understand that, the proposed plans are binding on us and non-compliance of the same during implementation may lead to an event of default on the part of Repository and consequences of events of default, including penalty, appropriation of performance guarantee etc, shall be applicable accordingly.

Yours faithfully,

\_\_\_\_\_  
(Signature of Authorised Signatory)

**FORM O: Format of Performance Guarantee**

Ref: \_\_\_\_\_

Date \_\_\_\_\_

Bank Guarantee No: \_\_\_\_\_

To

Warehousing Development and Regulatory Authority

4/1, Siri Institutional Area,

August Kranti Marg,

Hauz Khas, New Delhi – 11 00 16

Phone: +91-11-26515504

Fax: +91-11- 26515503

1. Against contract vide Advance Acceptance of the Application No. \_\_\_\_\_ dated \_\_\_\_\_ covering \_\_\_\_\_ (hereinafter called the said 'Application) entered into between Warehousing Development and Regulatory Authority ('WDRA') (hereinafter called 'the Authority) and \_\_\_\_\_ (hereinafter called the 'Applicant') this is to certify that at the request of the Applicant we \_\_\_\_\_ Bank Ltd., are holding in trust in favor of the Authority, the amount of \_\_\_\_\_ (write the sum here in words) to indemnify and keep indemnified the Authority against any loss or damage that may be caused to or suffered by the Authority by reason of any breach by the Applicant of any of the terms and conditions of the said Application and/or in the performance thereof. We agree that the decision of the Authority, whether any breach of any of the terms and conditions of the said Application and/or in the performance thereof has been committed by the Applicant and the amount of loss or damage that has been caused or suffered by the Authority shall be final and binding on us and the amount of the said loss or damage shall be paid by us forthwith on demand and without demur to the Authority.
2. We \_\_\_\_\_ Bank Ltd, further agree that the guarantee herein contained shall remain in full force and effect during the period that would be taken for satisfactory performance and fulfillment in all respects of the said Application by the Applicant i.e. till \_\_\_\_\_ hereinafter called the said date and that if any claim accrues or arises against us \_\_\_\_\_ Bank Ltd, by virtue of this guarantee before the said date, the same shall



be enforceable against us \_\_\_\_\_ Bank Ltd, notwithstanding the fact that the same is enforced within six months after the said date, provided that notice of any such claim has been given to us \_\_\_\_\_ Bank Ltd, by the Authority before the said date. Payment under this letter of guarantee shall be made promptly upon our receipt of notice to that effect from the Authority.

3. It is fully understood that this guarantee is effective from the date of the said Application and that we \_\_\_\_\_ Bank Ltd, undertake not to revoke this guarantee during its currency without the consent in writing of the Authority.
4. We undertake to pay to the Authority any money so demanded notwithstanding any dispute or disputes raised by the Applicant in any suit or proceeding pending before any court or Tribunal relating thereto our liability under this present bond being absolute and unequivocal.  
The payment so made by us under this bond shall be a valid discharge of our liability for payment there under and the Applicant shall have no claim against us for making such payment.
5. We \_\_\_\_\_ Bank Ltd, further agree that the Authority shall have the fullest liberty, without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Application or to extend time of performance by the Tendered from time to time or to postpone for any time or from time to time any of the powers exercisable by the Authority against the said Applicant and to forebear or enforce any of the terms and conditions relating to the said Application and we, \_\_\_\_\_ Bank Ltd., shall not be released from our liability under this guarantee by reason of any such variation or extension being granted to the said Applicant or for any forbearance by the Authority to the said Applicant or for any forbearance and or omission on the part of the Authority or any other matter or thing whatsoever, which under the law relating to sureties, would, but for this provision have the effect of so releasing us from our liability under this guarantee.
6. This guarantee will not be discharged due to the change in the constitution of the Bank or the Applicant.

Date \_\_\_\_\_

Place \_\_\_\_\_

Witness \_\_\_\_\_

Signature \_\_\_\_\_

Printed name \_\_\_\_\_

**(Bank's common seal)**

**FORM P: Format for Service Level plans**

Date:

The Chairman, WDRA,  
4/1, Siri Institutional Area,  
August Kranti Marg,  
Hauz Khas, New Delhi 110 016

**Subject:** Application for Grant of Certificate of Registration

**Reference:** Call for Application issued by WDRA

Dear Sir,

We refer to the Call for Application document issued by WDRA for Grant of Certificate of Registration. As per the Service Level Agreement submitted as a part of the Technical Application, we propose to provide the Service Levels, as enclosed with this letter.

The proposed Service Levels as indicated above is unconditional and is in line with the requirements of the Call for Application.

Yours faithfully,

\_\_\_\_\_  
(Signature of Authorised Representative)

\_\_\_\_\_  
(Name and designation of the Authorised Representative)