

## ESCerts Membership Registration

### Instructions for filling up the form:

- Please read the terms and conditions, and guidelines carefully before filling-up the application form.
- Please attach all relevant documents along with this application.
- Please use additional sheets to furnish information, wherever necessary.
- Please sign & affix rubber stamp on all pages.
- Indian Energy Exchange or The Exchange or IEX has been used interchangeably unless otherwise specified.

### Terms and Conditions for seeking ESCerts Membership

1. An applicant shall be an Indian National.
2. The applicant shall submit the application form alongwith the amount as specified in the Fee and Deposit Structure.
3. This amount has to be remitted to our Delhi Office by way of DD/RTGS/NEFT favoring 'Indian Energy Exchange Ltd'. along with the following documents, (duly attested by the applicant), which form a part of the Membership Eligibility Criteria:
  - a. Corporates:**
    - i) Board Resolution seeking membership of the Exchange and for appointment of authorised signatories and authorised persons
    - ii) Latest Annual Report/Auditors Report or Certification of Incorporation
    - iii) Copy of PAN card of the Applicant
    - iv) Bio-data of the Designated Directors who have signed the Membership Application Form
    - v) Net worth Certificate not older than six months, if applicable
    - vi) Certified copy of Memorandum and Articles of Association
    - vii) Shareholding Pattern
    - viii) Membership Undertaking
    - ix) Details of IEX-Settlement Account and IEX-Client Account through Bank Reference Letter
  - b. Partnership Firm:**
    - i) Copy of Firm's Registration Certificate
    - ii) Partnership Deed
    - iii) Managing Partner Authorisation
    - iv) Sharing Pattern
    - v) Brief history of Applicant and its Promoters
    - vi) Net worth Certificate not older than six months
    - vii) Bio-data of the Managing Partners who have signed the Membership Application Form
    - viii) Copy of PAN card of the Applicant
    - ix) Proof of address of the Applicant
    - x) Latest Annual Report
    - xi) Membership Undertaking
    - xii) Details of IEX-Settlement Account and IEX-Client Account through Bank Reference Letter
  - c. Individual:**
    - i) Brief History of the Proprietary Firm
    - ii) Net worth Certificate not older than six months
    - iii) Affidavit by Proprietor
    - iv) Proof of Address of the Applicant
    - v) Bio-data of the Proprietor
    - vi) Copy of PAN card of the Applicant

- vii) Membership Undertaking
- viii) Details of IEX-Settlement Account and IEX-Client Account through Bank Reference Letter

**d. In case of Government Department/Government Owned Company/Central and State PSU, submit the following documents along with the application form:**

- i) Board Resolution or Authorisation from Chairman /MD/CEO seeking Membership of the Exchange and for the appointment of authorised signatories and authorised persons
- ii) PAN card of the Applicant (Not required for Govt. Depts)
- iii) Membership Undertaking
- iv) Details of IEX-Settlement Account and IEX-Client Account through Bank Reference Letter

**e. Trading Licensees shall submit only the following documents along with the Application Form:**

- i) Copy of valid Inter-State Trading License
- ii) Board Resolution seeking Membership of the Exchange and for the appointment of authorised signatories and authorised persons
- iii) Copy of PAN card of the Applicant
- iv) Copy of Net worth Certificate
- v) Membership Undertaking
- vi) Details of IEX-Settlement Account and IEX-Client Account through Bank Reference Letter

**f. Any other document as specified by the Exchange from time to time**

- 4. The Applicant shall submit the following documents which would be required before commencement of the operations:
  - a) Know Your Client – Client Registration Form (In case of Member having Client). In addition, Member Client Agreement (MCA) and Risk Disclosure Document (RDD)
  - b) Any other document, as may be specified by the Exchange from time to time
  - c) MPLS Application with Undertaking
- 5. The Exchange reserves the right to accept or reject any application or amend the terms and conditions without assigning any reason whatsoever.
- 6. In case the amount is not paid as per schedule provided by the Exchange, then the Exchange reserves the right to reject/terminate the membership and forfeit the Application processing fee paid to IEX.
- 7. Please call/write to us at the following address for further clarification:

*Head – Membership*

**Indian Energy Exchange Limited**

Unit No. 3, 4, 5 and 6, Fourth Floor, TDI Centre,  
Plot No. 7, District Centre, Jasola, New Delhi-110 025  
Tel.: +91-11-43004000 | Fax: +91-11-43004015  
Email: membership@iexindia.com  
Website: www.iexindia.com

## ESCerts Membership Application Form

To,  
 The Managing Director  
**Indian Energy Exchange Limited**  
 Unit No. 3, 4, 5 and 6, Fourth Floor,  
 TDI Centre, Plot No. 7, District Centre,  
 Jasola, New Delhi-110 025

Dear Sir,

I/We am/are desirous of becoming a ESCerts (Proprietary/ Professional / Trader) Member (Strike out whichever is not applicable) of Indian Energy Exchange Limited (IEX). I/we hereby apply for the said membership and, undertake, to conform to and to abide by the Memorandum & Articles of Association and the Rules, Bye-Laws, Regulations, Business Rules, Circulars, Notifications and Office Orders, issued by the Exchange, from time to time. I/We shall be liable for all contracts and transactions in the Exchange entered into by us or by our authorized persons and I/We shall comply with all the requirements of the Exchange relating to settlement thereof. I/We shall also abide by all decisions of the Exchange with respect to the operations of the Exchange and would perform accordingly in meeting my/our financial, regulatory and operational responsibility as decided by the Exchange from time to time. I/We agree to be responsible for all non-compliance and the Exchange shall reserve all rights of disciplinary action for any non-compliance by me/us.

Pursuant to above, I/we submit below the details of firm's candidature:

1.	Name of the Applicant (in full):	
2.	Registered Office Address:	
	City:	State:
	Pin code:	Telephone (with STD Code): +91-
	Fax (with STD Code): +91-	Email:
3.	Address for Correspondence:	
	City:	State:
	Pin code:	Telephone (with STD Code): +91-
	Fax (with STD Code): +91-	Email:
	Name of the contact person(s):	
	Designation:	
	Mobile: +91-	
4.	Plant Address:	
	City:	State:
	Pin Code:	Telephone (with STD Code): +91:
	Plant Head Name:	Mobile: +91-
5.	Eligible Entity (EE) PAT Details	
	Registration Certificate Number if issued or expected date of issuance:	
	PAT Cycle:	
	Name of State Designated Agency:	
6.	Source type/ Industrial Sector	Please tick the appropriate option: Aluminum / Cement / Chlor-Alkali / Fertilizer / Pulp & Paper / Thermal Power Plants / Iron & Steel/ Textiles / Others (Please Specify): _____
7.	Nationality	

8.	Constitution	Please tick the appropriate option: Individual / Registered Partnership Firm / Private Ltd Co. / HUF / Public Ltd Co / Institution / PSU / Others (Please Specify):_____	
9.	Date of Incorporation/Registration:		
10.	Details of Chief Executive / Proprietor / Partner / Director		
	Name:	Designation:	
	Telephone (with STD Code): +91-	Fax (with STD Code): +91-	
	Mobile: +91-	Email:	
11.	Permanent Account No.:		
12.	GSTIN:		
13.	CIN No.:		
14.	Details of Existing Bank Account		
	Bank Name and Branch Address:		
	Account No.:	Account operational since:	
15.	Present Business / Occupation:		
16.	Present Net worth:		
17.	Are you a member of any other Power / Commodity / Stock Exchange (Yes/No)? If yes, Name of the Exchange:		
18.	Please give following details of the applicant: Strike out which is not applicable:		
	a) Have you been declared/rendered incompetent to enter into the contract under any law in force in India?	Yes/No	
	b) Have you ever been declared a defaulter by any Regulator / Association or Exchange recognized by the Government under any law?	Yes/No	
	c) Whether any court case is pending against applicant / directors / partners?	Yes/No	
	d) Have you ever been pronounced guilty of a criminal offence involving moral turpitude?	Yes/No	
	e) Has any disciplinary action been taken by any power / commodity / stock exchange against you or any of the partners / promoters / directors of yours?	Yes/No	
	f) Have you ever been adjudged bankrupt or have been proved to be insolvent at any time?	Yes/No	
	g) Have you ever been involved in litigations, lawsuits or proceedings or have been involved in any financial liability of contingent or unascertained nature?	Yes/No	
	h) Have you ever been at any time convicted of an offence involving fraud or dishonesty or financial irregularities?	Yes/No	
	i) Have you ever been associated with or a trading member of or subscriber to or a shareholder or debenture holder of any other power / commodity / Stock exchange?	Yes/No	
	j) Have you ever been denied / rejected membership of any power /commodity / stock exchange or commercial organization? If yes, when?	Yes/No	
	k) Have you committed any act which may render you liable to be wound up?	Yes/No	
	l) Have you ever been suspended / expelled / declared a defaulter on any other power/commodity / stock exchange or have been debarred from trading in power / commodities / securities by any Regulatory Authorities like CERC / FMC / RBI / SEBI etc.?	Yes/No	
	m) Have you ever had a provisional liquidator or receiver or official liquidator appointed by a competent court against you?	Yes/No	
	n) Have you ever been punished for contravention of any of the provisions of Electricity Act, 2003 and Energy Conservation Act or any rules or regulations made there under?	Yes/No	
	(In case answers to any of the above questions is yes, then please provide relevant details enclosing a separate sheet)		
19.	Name and contact number of your authorized representative, who shall be responsible to the Exchange to ensure compliance of different provisions of the law and procedures:		
	Name:	Contact No:	

## Undertaking by ESCerts Member

I/We undertake that any misstatement or misrepresentation or suppression of facts in connection with this application for membership or breach of any undertaking or condition of admission to membership may entail rejection of our application or expulsion of our membership.

I/We hereby state that the above-mentioned particulars are true, correct and complete to the best of my/our knowledge and information. I/We also state that no relevant material fact has been suppressed while applying for the ESCerts Membership of IEX.

I/We shall appear for interview, whenever called by the Exchange for my/our seeking the ESCerts membership of the Exchange.

I/We shall pay the required fee and deposit to the Exchange and submit the necessary documents as stated in the terms and conditions and any other document as required by the Exchange for my/our seeking the ESCerts membership of the Exchange.

I/We understand that i/we will be allowed to facilitate sale and purchase of ESCerts only under this membership.

Date: \_\_\_\_\_

Place: \_\_\_\_\_

Authorised Signatories:

Signature(s):

Affix Rubber Stamp:

Name of the Signatories:

Designation of the Signatories:

Name of the Organisation:

Photographs:

Affix photograph  
and sign across  
the photograph

Affix photograph  
and sign across  
the photograph

**Guidelines:**

**Authorise Signatories, as detailed, shall sign the Application, paste his/her recent passport size photo and sign across the photo:**

- Corporate : Two Directors, authorised by the Board of Directors and supported by the Resolution
- Individual : Individual
- HUF : Karta
- Partnership firm : Managing Partners, as authorised by the Registered Partnership Deed