Annexure IV

DOCUMENTS FOR CARDAMOM AUCTIONEER LICENCE

1. Basic Documents

a. Copy of PAN Card of the Entity

b. UDYAM/MSME Registration Certificate, if applicable

c. Copy of ESI Registration

d. Copy of PF Registration

e. Cardamom Auctioneer/ Dealer Licence

f. Bank account details of auctioneer from which auction transactions are carried out

2. Statutory Compliance

a.GST Certificate with additional place of business added for godown and pooling centres

b. Copy of latest GST Returns (GSTR 1, GSTR 3B and GSTR 2B) for the Months of April 2026 to June 2026.

c. Copy of GST Annual Returns- (GST 9 and 9C- for the last three FY)

3. Financial Documents

a. Copy of Audited Financial Statements with Notes to Accounts for the Financial Years 2022-23, 2023-24 and 2024-25

b. Bank Certificate / Letter indicating creditworthiness or existing credit facilities

c. Provisional Financial Statement for 2025-26

d. Bank Statements for the period April 2025 to March 2026 (Soft Copy to be submitted to Spices Board Separately via email)

e. Copies of sanctioned OD/CC facilities- issued by Bank

f. Latest Drawing Power Statement issued by bank

g. Cash flow statement for the last three financial years for entities other than companies

h. Tax Audit Report-Form 3CA, 3CD or form 3CB-3CD whichever is applicable

i.Declaration of details of contingent liabilities and guarantees to be self certified

j. Details of related party loans and advances with related party relationship

k. Age-wise Debtors Statement for the financial year 2025-26 to be certified by CA

(Ageing format: Below 30 days, 30-60 days, 60-90 days, Above 90 days)

l. Income Tax computation Statements- Last three financial years

m. Acknowledgement of IT returns (Last three financial years)

4. Infrastructure Documents

a. Copy of the Licence issued by the Local Administration for conducting the Cardamom Trade- To be renewed and Submitted to Spices Board every year

b. Rental / Lease Agreement of Godown / Pooling depots in the case of Rented / Leased Buildings. If it is owned, a copy of the latest Building Tax Receipt- The validity of the lease agreemnt should be for a period of three years covering the Block period 2026-29- (At the time of submission in the NSWS portal, the lease agreement and property tax receipt of lesser should also be merged and upload together as a single document)

c. Details of Main godown / Godown (minimum 75 MT capacity)

d. Details of Pooling Centres/Collection centres (minimum 3 centres with storage capacity 5T)

e. Proof of ownership / lease documents for all infrastructure facilities (the validity should be covering the block period 2026 to 2029)

f. Geo-tagged photographs of warehouse and pooling centres

g. Fire and Safety Compliance certificate for the main godown and pooling centres

h. Insurance details for main godown, and pooling centres

i. Details of equipment (electronic weighing machines, moisture meters, pooling machines, grading machines etc.)

j. Calibration Certificates for weighing machine/moisture meters

k. Security arrangement details for storage facilities

l. IT infrastructure /software details for auction& settlement tracking

m. FSSAI licence for godown and pooling centres (Validity covering for the Block period 2026-29)

5. Operational Capability

a. Proof of relevant experience in cardamom trade/Auction (minimum three years/ SBL licence) / agri-commodity business (documents supporting minimum 5 years experience requirement)

b. Details of manpower deployed (number and category of staff)

6. Risk & Settlement Compliance

a. Bank Guarantee readiness letter issued by the bank

b. Declaration regarding absence of insolvency proceedings

c. Declaration regarding no wilful default classification

d. Details of insurance coverage against operational risks

7. Declaration & Undertakings

a. Self-Declaration and Undertaking (as per prescribed format)

b. Declaration regarding Conflict of Interest

c. Declaration regarding non-involvement in private / unregulated auction activities

d. Declaration regarding compliance with financial transaction integrity (no netting / adjustment)

e. Declaration regarding litigation / pending cases (if any)

f. Declaration that farmer funds shall not be diverted for unrelated business purposes

g. Consent for independent financial verification by the Spices Board.

h. Declaration that auction transactions will be carried out only from the Bank account details submitted to Spices Board

8. Entity-Specific Documents

A. Companies:

1. Copy of Certificate of Incorporation
2. Copy of Memorandum and Articles of Association
3. Copy of self-declaration that none of the directors of the Company are disqualified to act as Director as on date of application (as per prescribed format)
4. List of Directors with DIN, PAN, and KYC Details (Aadhaar)
5. Details of charges created with ROC
6. Latest annual return (MGT7 form)

B. Partnership:

1. Copy of Partnership Firm Registration Certificate
2. Copy of Partnership Deed
3. List of Partners with PAN and KYC (Aadhaar)

C. Multi-State Co-operative Societies / Societies:

1. Copy of Registration Certificate
2. Copy of Bye Laws
3. List of Managing Committee / Office Bearers

D. For all the firms mentioned above,

1. Latest share holding Pattern

2. Board / Society/ Partnership -Resolution authorising licence application and nomination of the authorized signatory

3. List of Beneficial Owners (if applicable)

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