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ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

CIN:U51102MH1982PTC028030

Warehouse Audit Report

Date of Audit	22.10.2020	**Location**	Barabanki
Name of Warehouse	Origo Commodities India Pvt Ltd (M/s Gupta Suppliers Company)	**Address of Warehouse**	Khasra No. 137, Village-Badagaon, Barabanki, Uttar Pradesh Pin-225204
Name of Auditor	Anuj Kumar	**Name of Warehouse Manager**	Dharmendra Singh, Gajraj Chandra vanshi
Date of Previous Audit	19.05.2020	**Capacity of Warehouse**	1238 MT

Stock Reconciliation:

Commodity	Stock Quantity as on 21.10.2020				Difference if any	Remarks
	Quantity as per Exchange Drums	Quantity as per WSP Website MIS Drums	Quantity as per WSP Warehouse record Drums	Quantity as per Physical Verification Drums		
1. Mentha Oil						
i. Valid Stock	504	504	504	504	0	
ii. Under QC						
iii. Rejected						
iv. FED						
v. Non-Exchange						
Total	**504**	**504**	**504**	**504**	**0**	

Observations/Recommendations:

1- CCTV CAMERA WAS AVAILABLE IN WAREHOUSE IN WORKING CONDITION HENCE LIVE ELECTRICITY OBSERVED
2- OVERALL WAREHOUSE CONDITION IS SATISFACTORY AND PHYSICAL STOCK TALLIED WITH RECORDS

ARYA COLLATERAL WAREHOUSING SERVICES PVT LTD Ground Floor H-82, Sector-63, Noida-201301 Cont. No. 0120-4859300

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Stock not visually checked due to sealing of drum
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	Yes
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Yes
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	Yes (eNWR updated in stack card)
9	Whether the overwriting / correction are found in stack cards?	No
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	Dunnage not used
11	Whether Lot no. marking is done or not?	Yes
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	Yes (Drum sealing)
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	Yes (Verified with register)
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	No
17	If yes, whether physically separated from the valid stock?	NA
18	If yes, whether appropriate marking done or not?	NA
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	Non-MCX & Rejected stock is not found in warehouse
20	Whether any rejected stock lying in the warehouse for more than 10 working days after testing/ assaying?	No
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No

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22	Whether the hypothecation details displayed on stock, if applicable?	No

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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	WSP
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	No (As per WDRA norms there should be 3 staff but only 2 warehouse staff available at warehouse)
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	Yes, 1 day guard and as per warehouse supervisor 2 night guard deployed at warehouse
4	Name of the Security Agency offering services at WH	Paramount solider security services
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Out side the warehouse
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	10
	b. No. of Sand Buckets	52
	c. No. of Water Tank with storage Capacity	No
	d. Availability of water hydrant system.	No
	e. Any other arrangement	No
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 06.09.2021
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes (Verified with record)
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes (Verified with record)
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	Yes (Verified with record)
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	No
	a. Name of the fumigation agency	No

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	b. Previous date & type of treatment	No	
16	Whether the Live Electricity connection found inside the warehouse?	Yes (CCTV Camera found inside the warehouse)	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	Yes (Outside warehouse - 5 KG)	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	Hi tech	0.5	28.05.2021
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	NA	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	Yes, Last audit date - 03.10.2020	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes
2	Whether original DTD is available for all transactions at warehouse or not?	Yes
3	Whether the following registers are available and updated at Warehouse or not;	Yes
	• WH opening-closing Register	Yes , Last updated - 22.10.2020
	• Daily Transaction Register	Yes , Last updated - 22.10.2020
	• Complaint Register	Yes, Last updated Sept. 2020
	• Godown wise Depositor wise Stock Register	Yes , Last updated - 29.09.2020
	• Gate Inward-Outward Register	Yes , Last updated - 08.10.2020
	• PV register	Yes , Last updated - 21.10.2020
	• Weighbridge register	Yes , Last updated - 08.10.2020
	• Security Guard Register	Yes , Last updated - 22.10.2020
	• Weighbridge Internal Calibration	Yes , Last updated - 01.10.2020
	• Visitor Register	Yes , Last updated - 22.10.2020
	• Asset Register	Yes , Last updated - 05.08.2020
	• Consumables & Dead Stock Register	Yes , Last updated - 07.09.2020
	• Spot Rejection Register	Yes , Last updated - 19.06.2020
	• Sample courier register	Yes , Last updated - 17.07.2020
	• Moisture meter calibration register	Not applicable for mentha oil
	• Stack/Lot/Sample seal register	Yes , Last updated - 21.10.2020
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	Yes
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	Only Exchange stock
9	Whether the Delivery orders for withdrawal are received and available at warehouse file or not?	Yes
10	Whether the copy of SOP's is available at warehouse?	Yes

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11	Whether the any incidence record/ registers available or not?	Yes
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Yes, Valid up to - 14.09.2021
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	Not Applicable
14	If yes, indicate the agency from whom such registration is taken.	WDRA
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Yes (Warehouse license was expired on 30-06-20)
16	Whether the warehouse is included in the insurance policy?	Yes
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes
	- Standard Fire & Special Perils	30.12.2020
	- Burglary	30.12.2020
	- Fidelity Guarantee Insurance	19.05.2021
	- Professional Indemnity Cover	08.07.2021
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes

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Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, 4 Side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Yes, Kaccha road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Rail - Approx. 15 km, Road - Approx. 50 Meter
6	Number of Doors/ gates in the Warehouse with locking arrangements	1
7	Type of Doors (e.g. shutter / double door etc.)	Shutter
8	Type of Wall (brick / mortar /panels)	Brick
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	N.A. Since its bricks flooring
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Bricks
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 3 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	Yes
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	Moisture meter not applicable for mentha oil
2	Is inward /outward moisture checked or not? (lot wise moisture record)	Moisture not applicable for mentha oil
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	Yes
4	Has Reference sample duly sealed & signed by the WH official/in charge?	Yes
5	Is signature of depositor is taken on reference sample?	Yes
6	Is the sample storage area secure?	Yes
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	Yes
8	What records are available for courier of samples to the assayer?	Yes, Sample courier register
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NA
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NA

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Annexure-1

Checklist w.r.t. Exchange Circular (Mentha Oil)

Sr. No.	Parameters	Observation
1	Any records available regarding person visits to depositor place for weighing the empty drums?	Yes
2	Are there any proof / records available stating that the empty drum weighment is done on calibrated w/b or weighing scale?	Yes
3	Whether the white sticker is non-tearable and non-removable?	Yes
4	Whether sticker is signed and date mentioned with permanent marker?	Yes
5	Whether depositor has submitted the mandi NOC (gate-pass)?	Yes
6	Any Drums accepted without white stickers?	No
7	Whether any record of preliminary testing is available or not?	Yes
8	Whether the weight of the Mentha Oil in drum is 180 kg Net or within tolerance limit of 1% (i.e. +/- 1.8 Kg)?	Yes (Within tolerance limit)
9	Whether the weighment of each drum is carried out post the sampling exercise on calibrated platform scale?	Yes
10	Whether the lot numbers are mentioned on drums with permanent marker?	Yes
11	Whether the drums in same lot are kept together?	Yes
12	Whether any undertaking taken from the depositor by WSP?	Yes
13	Whether any record available for revalidation? (If any)	No

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Inspection Details

Date of Inspection	22.10.2020	
Signature	Anuj Kumar	
Inspection Done By	Anuj Kumar	

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Warehouse Audit Report

Date of Audit	29.10.2020	**Location**	Bhiwandi
Name of Warehouse	Steinweg Sharaf (India) Pvt Ltd (C/O Emirates Logistics India Pvt Ltd)	**Address of Warehouse**	Survey no 11, Hissa No 6/B Ramila Complex, Village Ionad, Taluka Bhiwandi, Dist. Thane
Name of Auditor	Ajay Jangde	**Name of Warehouse Manager**	Roshan Pawar
Date of Previous Audit		**Capacity of Warehouse**	5000 MT (As per warehouse manager)

Stock Reconciliation:

Commodity	**Stock Quantity as on 28.10.2020**			**Difference if any**	**Remarks**
	Quantity as per Exchange	**Quantity as per WSP Warehouse record**	**Quantity as per Physical Verification**		
	Bundle	Bundle	Bundle		
1. Aluminium	240	240	240	0	
2. Copper	13	13	13	0	
3. Nickel	8	8	8	0	
4. Lead	115	115	115	0	

Observations/Recommendations:

1- OVERALL WAREHOUSE CONDITION IS SATISFACTORY AND PHYSICAL STOCK TALLIED WITH RECORDS

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Yes
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	No (Only Location no. Mentioned)
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Stack card not available
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	Stack card not available
9	Whether the overwriting / correction are found in stack cards?	Stack card not available
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	NOT APPLICABLE
11	Whether Lot no. marking is done or not?	No
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	NOT APPLICABLE
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	NOT APPLICABLE
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	Yes, Rejected & Non- Exchange
17	If yes, whether physically separated from the valid stock?	Yes
18	If yes, whether appropriate marking done or not?	Yes
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	Yes (Non exchange stock was stored adjacent to exchange deliverable stock)
20	Whether any rejected stock lying in the warehouse for	No

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	more than 10 working days after testing/ assaying?	
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No
22	Whether the hypothecation details displayed on stock, if applicable?	No



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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	Warehouse officials
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	No (As per WDRA Norms there should be 3 warehouse staff but only 2 staff was available at warehouse)
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	Yes, As per warehouse manager 4 day guard and 1 night guard available at warehouse
4	Name of the Security Agency offering services at WH	United security force
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Outside the warehouse
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	52
	b. No. of Sand Buckets	No
	c. No. of Water Tank with storage Capacity	No
	d. Availability of water hydrant system.	Yes
	e. Any other arrangement	No
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 18.09.2021
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes (Verified with record)
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes (Verified with record)
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	No
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	Yes
	a. Name of the fumigation agency	Pest & solution india

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	b. Previous date & type of treatment	13.10.2020 (Spray)	
16	Whether the Live Electricity connection found inside the warehouse?	Yes	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	NA	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside Complex	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	Gravity instruments pvt. Ltd.	3	16.10.2021
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	Yes	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	07.09.2020	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes, Copies available
2	Whether original DTD is available for all transactions at warehouse or not?	No (Photo copies available)
3	Whether the following registers are available and updated at Warehouse or not;	
	• WH opening-closing Register	Yes, Last updated - 29.10.2020
	• Daily Transaction Register	Yes, Last updated - 26.10.2020
	• Complaint Register	Yes (No entries available)
	• Godown wise Depositor wise Stock Register containing pledge details	Yes (Available in electronic form)
	• Gate Inward-Outward Register	Yes, Last updated - 28.10.2020
	• PV register	Yes (Not updated)
	• Weighbridge register	Not available at warehouse during audit
	• Security Guard Register	Yes, Last updated - 29.10.2020
	• Weighbridge Internal Calibration	Not available at warehouse during audit
	• Visitor Register	Yes, Last updated - 29.10.2020
	• Asset Register	Yes (Available in electronic form)
	• Consumables & Dead Stock Register	Yes (Available in electronic form)
	• Spot Rejection Register	Yes, Last updated - 26.10.2020
	• Sample courier register	NA
	• Moisture meter calibration register	NA
	• Stack/Lot/Sample seal register	NA
	• Incidence/Notices/Records	Yes
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes, Overwriting/correction found in DTR Register and same was vetted by warehouse incharge
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	No
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	Yes
9	Whether the Delivery orders for withdrawal are received	Yes

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	and available at warehouse file or not?	
10	Whether the copy of SOP's is available at warehouse?	Yes
11	Whether the any incidence record/ registers available or not?	Yes
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Yes, Valid up to 31.12.2020
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	No
14	If yes, indicate the agency from whom such registration is taken.	NA
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Gram Panchayat NOC (31.03.2021)
16	Whether the warehouse is included in the insurance policy?	Yes
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes
	- Standard Fire & Special Perils	Yes, Valid up to - 22.07.2021
	- Burglary	Yes, Valid up to - 22.07.2021
	- Fidelity Guarantee Insurance	NOT APPLICABLE
	- Professional Indemnity Cover	NOT APPLICABLE
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes

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ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

CIN:U51102MH1982PTC028030

Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, 4 Side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Yes, Paaka Road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Rail - Approx. 15 km & Road - Approx. 100 meter
6	Number of Doors/ gates in the Warehouse with locking arrangements	GD. 1- 8 Shutter & 1 Emergency door GD. 2 - 3 Shutter & 1 Emergency door
7	Type of Doors (e.g. shutter / double door etc.)	Shutter
8	Type of Wall (brick / mortar /panels)	Half brick wall and above that GI sheet
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel Sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	Yes (Except minor cracks)
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Concrete
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 3 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	Yes
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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CIN:U51102MH1982PTC028030

Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	NOT APPLICABLE
2	Is inward /outward moisture checked or not? (lot wise moisture record)	NOT APPLICABLE
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	NOT APPLICABLE
4	Has Reference sample duly sealed & signed by the WH official/in charge?	NOT APPLICABLE
5	Is signature of depositor is taken on reference sample?	NOT APPLICABLE
6	Is the sample storage area secure?	NOT APPLICABLE
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	NOT APPLICABLE
8	What records are available for courier of samples to the assayer?	NOT APPLICABLE
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NOT APPLICABLE
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NOT APPLICABLE

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Annexure-1

Checklist w.r.t. Exchange Circular (Base Metal)

Sr. No.	Parameters	Observation
1	Whether the Certificate of Analysis (CoA) of the producer has be collected or not at the time of deposits with containing details like Brand name of the associated lots, Producer's name, Batch No & certificate date.	Yes
2	Whether the packing list for deposited goods are available or not with following details; - Contains net weight - Contains gross weight - Contains batch no - No. of units in bundles/lot.	Yes
3	Whether the copy of Invoice available for all deposits.	Yes
4	Whether the copy of Certificate of Origin is available or not?	No
5	Whether the copy of Custom clearance documents is available or not? (In case of Imported Goods.)	No imported goods
6	Whether the producer's sticker is available or not on each ingots/ bundle?	Yes
7	Whether the following details are mentioned in sticker or not?	
	• Producer/ manufacturer name	Yes
	• Net Weight	Yes
	• Batch No	Yes
	• Purity	Yes
	• Date of Manufacturing/ Production	Yes
	• Number of Pieces of Ingots/ sheets in each bundle	Yes
8	Whether the production date of the Goods are within 01 year from deposit date. (It should not be earlier than 1 year from the date of deposit in warehouse)	Yes
9	Whether the Ingots/ bundle are physically sound and free of harmful/ any defects? (such as segregation, piping, cracks, inclusions or visible contamination of metal)	Yes
10	Is there any inconsistency in branding of metal (like Non-LME brands have been visibly mixed within a bundle)	No

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11	Whether the Inspection of electrical points done or not? (If yes, Pls mentioned the frequency i.e. annually or semi-annually basis)	No

Inspection Details

Date of Inspection	29.10.2020	
Signature	Ajay Jangde	
Inspection Done By	Ajay Jangde	

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ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

CIN:U51102MH1982PTC028030

Warehouse Audit Report

Date of Audit	27.10.2020	**Location**	Chennai
Name of Warehouse	Steinweg Sharaf (India) Pvt Ltd (C/O Emirates Logistics India Pvt Ltd)	**Address of Warehouse**	Survey Nos 289/2A2, PART 289/2B2, PART289/2C2, PART as per Patta No.455,326, situated at Alamathi Village,Poneeri tauk., Thiruvallur dist.,Chennai-600052
Name of Auditor	Manish Kumar	**Name of Warehouse Manager**	Raj kumar
Date of Previous Audit	05.06.2020	**Capacity of Warehouse**	14000 MT (As per warehouse manager)

Stock Reconciliation:

Commodity	Stock Quantity as on 26.10.2020			Difference if any	Remarks
	Quantity as per Exchange	Quantity as per WSP Warehouse record	Quantity as per Physical Verification		
	Bundle	Bundle	Bundle		
1. Lead	80	80	80	0	

Observations/Recommendations:

1- PERIODIC AUDIT WAS NOT CONDUCTED BY WSP PERSONNEL
2- OVERALL WAREHOUSING SERVICES PVT LTD Ground Floor H-82, Sector-63, Noida (U.P.)-201301 Cont. No. 0120-4859300

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Yes
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	Yes
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Lot no. Mentioned
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	Only Lot no. updated
9	Whether the overwriting / correction are found in stack cards?	No
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	NOT APPLICABLE
11	Whether Lot no. marking is done or not?	Yes
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	NOT APPLICABLE
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	NOT APPLICABLE
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	Non-Exchange stock available in warehouse
17	If yes, whether physically separated from the valid stock?	Yes
18	If yes, whether appropriate marking done or not?	No
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	No
20	Whether any rejected stock lying in the warehouse for	No

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	more than 10 working days after testing/ assaying?	
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No
22	Whether the hypothecation details displayed on stock, if applicable?	No

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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	Warehouse officials
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	Yes, 6 staffs
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	Yes, As per warehouse manager 4 day guard and 1 night guard available at warehouse
4	Name of the Security Agency offering services at WH	Fortune gaurding services pvt. Ltd.
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Outside the warehouse
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	60
	b. No. of Sand Buckets	No
	c. No. of Water Tank with storage Capacity	1, Capacity - 1 lakh ltr
	d. Availability of water hydrant system.	Yes
	e. Any other arrangement	No
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 23.02.2021 (20 Kg), Valid up to - Feb. 21 (6 kg)
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes , As per warehouse manager but record not found during audit
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes , As per warehouse manager but record not found during audit
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	Yes , As per warehouse manager but record not found during audit
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	Yes
	a. Name of the fumigation agency	Mass Pest control (As per warehouse manager)

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	b. Previous date & type of treatment	No treatment	
16	Whether the Live Electricity connection found inside the warehouse?	Yes	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	NA	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside Complex	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	Gravity instruments pvt. Ltd.	2	22.11.2020
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	No	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	Periodic audit was not conducted by wsp personnel	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes, Copies available
2	Whether original DTD is available for all transactions at warehouse or not?	Yes
3	Whether the following registers are available and updated at Warehouse or not;	
	• WH opening-closing Register	Yes, Register available but no entry done in register
	• Daily Transaction Register	Yes, Last updated - 20.10.2020
	• Complaint Register	Yes, Last updated - 30.09.2020
	• Godown wise Depositor wise Stock Register containing pledge details	Not available at warehouse during audit
	• Gate Inward-Outward Register	Yes, Last updated - 20.10.2020
	• PV register	Yes, Last updated - 20.10.2020
	• Weighbridge register	Not available at warehouse during audit
	• Security Guard Register	Yes, Last updated - 27.10.2020
	• Weighbridge Internal Calibration	Not available at warehouse during audit
	• Visitor Register	Yes, Last updated - 27.10.2020
	• Asset Register	Yes, Last updated - 07.12.2019
	• Consumables & Dead Stock Register	Not available at warehouse during audit
	• Spot Rejection Register	Yes, Register available but no entry done in register
	• Sample courier register	NOT APPLICABLE
	• Moisture meter calibration register	NOT APPLICABLE
	• Stack/Lot/Sample seal register	NOT APPLICABLE
	• Incidence/Notices/Records	Not available at warehouse during audit
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes, Correction found in DTR but as per warehouse manager no approval taken from WSP HO
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	Yes
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	No
9	Whether the Delivery orders for withdrawal are received	Yes

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	and available at warehouse file or not?	
10	Whether the copy of SOP's is available at warehouse?	Yes
11	Whether the any incidence record/ registers available or not?	Not available at warehouse during audit
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Agreement copy not available at warehouse during audit
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	Yes (As per warehouse manager)
14	If yes, indicate the agency from whom such registration is taken.	Tamilnadu government (As per warehouse manager)
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Not available at warehouse during audit
16	Whether the warehouse is included in the insurance policy?	Insurance record not available at warehouse during audit
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes (Copies available at WSP H.O)
	- Standard Fire & Special Perils	Not available at warehouse during audit
	- Burglary	Not available at warehouse during audit
	- Fidelity Guarantee Insurance	Not available at warehouse during audit
	- Professional Indemnity Cover	Not available at warehouse during audit
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes, as declared by warehouse manager



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Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, 4 Side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Yes, Paaka Road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Rail - Approx. 20 km & Road - Approx. 100 meter
6	Number of Doors/ gates in the Warehouse with locking arrangements	20
7	Type of Doors (e.g. shutter / double door etc.)	Shutter
8	Type of Wall (brick / mortar /panels)	Half brick wall and above that GI sheet
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel Sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	Yes (Except minor cracks)
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Concrete
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 4.5 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	Yes
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	NOT APPLICABLE
2	Is inward /outward moisture checked or not? (lot wise moisture record)	NOT APPLICABLE
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	NOT APPLICABLE
4	Has Reference sample duly sealed & signed by the WH official/in charge?	NOT APPLICABLE
5	Is signature of depositor is taken on reference sample?	NOT APPLICABLE
6	Is the sample storage area secure?	NOT APPLICABLE
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	NOT APPLICABLE
8	What records are available for courier of samples to the assayer?	NOT APPLICABLE
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NOT APPLICABLE
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NOT APPLICABLE

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Annexure-1

Checklist w.r.t. Exchange Circular (Base Metal)

Sr. No.	Parameters	Observation
1	Whether the Certificate of Analysis (CoA) of the producer has be collected or not at the time of deposits with containing details like Brand name of the associated lots, Producer's name, Batch No & certificate date.	Yes
2	Whether the packing list for deposited goods are available or not with following details; - Contains net weight - Contains gross weight - Contains batch no - No. of units in bundles/lot.	Yes
3	Whether the copy of Invoice available for all deposits.	Yes
4	Whether the copy of Certificate of Origin is available or not?	Yes
5	Whether the copy of Custom clearance documents is available or not? (In case of Imported Goods.)	No imported goods
6	Whether the producer's sticker is available or not on each ingots/ bundle?	Yes
7	Whether the following details are mentioned in sticker or not?	
	• Producer/ manufacturer name	Yes
	• Net Weight	Yes
	• Batch No	Yes
	• Purity	Yes
	• Date of Manufacturing/ Production	Yes
	• Number of Pieces of Ingots/ sheets in each bundle	Yes
8	Whether the production date of the Goods are within 01 year from deposit date. (It should not be earlier than 1 year from the date of deposit in warehouse)	Yes (Production date - 26.07.2020 & As per warehouse manager 31.07.2019)
9	Whether the Ingots/ bundle are physically sound and free of harmful/ any defects? (such as segregation, piping, cracks, inclusions or visible contamination of metal)	Yes
10	Is there any inconsistency in branding of metal (like Non-LME brands have been visibly mixed within a bundle)	No

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11	Whether the Inspection of electrical points done or not? (If yes, Pls mentioned the frequency i.e. annually or semi-annually basis)	Yes (As per warehouse manager annually)

Inspection Details

Date of Inspection	27.10.2020	
Signature	Manish Kumar	
Inspection Done By	Manish Kumar	

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ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

CIN:U51102MH1982PTC028030

Warehouse Audit Report

Date of Audit	30.10.2020	**Location**	Uran-Raigad
Name of Warehouse	Steinweg Sharaf (India) Pvt Ltd (Hind Terminals Pvt. Ltd.)	**Address of Warehouse**	Property No 781, Survey No 70/5B Gavhan Phata Chirnar Road, Village – Veshvi Taluka - Uran, District - Raigad
Name of Auditor	Ajay Jangde	**Name of Warehouse Manager**	Sanjay Gawale
Date of Previous Audit		**Capacity of Warehouse**	8500 MT (As per warehouse manager)

Stock Reconciliation:

Commodity	Stock Quantity as on 29.10.2020			Difference if any	Remarks
	Quantity as per Exchange	Quantity as per WSP Warehouse record	Quantity as per Physical Verification		
	Bundle	Bundle	Bundle		
1. Lead	11	11	11	0	
2. Zinc	825	825	825	0	
3. Aluminium	95	95	95	0	
4. Copper	163	163	163	0	
5. Nickel	142	142	142	0	

Observations/Recommendations:

1- OVERALL WAREHOUSE CONDITION IS SATISFACTORY AND PHYSICAL STOCK TALLIED WITH RECORDS

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Yes
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	Yes
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Lot no. Mentioned
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	No (Only Lot no. Updated)
9	Whether the overwriting / correction are found in stack cards?	No
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	NOT APPLICABLE
11	Whether Lot no. marking is done or not?	Yes
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	NOT APPLICABLE
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	NOT APPLICABLE
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	Yes, Rejected & Non-Exchange stock
17	If yes, whether physically separated from the valid stock?	Yes
18	If yes, whether appropriate marking done or not?	Yes
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	Yes
20	Whether any rejected stock lying in the warehouse for	Yes, Aluminium - 2 bundle (22.05.2020)

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	more than 10 working days after testing/ assaying?	
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No
22	Whether the hypothecation details displayed on stock, if applicable?	No

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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	WSP
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	No (As per WDRA Norms there should be 4 staff at warehouse but only 2 staff was available at warehouse)
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	Yes, As per warehouse manager 3 day guard and 2 night guard available at warehouse
4	Name of the Security Agency offering services at WH	Bombay intelligence security (India) ltd.
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Outside the warehouse (Security desk)
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	15
	b. No. of Sand Buckets	No
	c. No. of Water Tank with storage Capacity	No
	d. Availability of water hydrant system.	No
	e. Any other arrangement	No
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 22.09.2021
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes, As per warehouse manager but record not found at warehouse
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes (Verified with record)
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	No
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	Yes
	a. Name of the fumigation agency	Self

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	b. Previous date & type of treatment	As per warehouse manager spray done on 29.10.2020	
16	Whether the Live Electricity connection found inside the warehouse?	Yes	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	NOT APPLICABLE	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside Complex	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	Shri Laxmi sclaes	3	19.07.2021
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	Yes	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	Yes, Last audit date - 07.09.2020	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes, Copies available
2	Whether original DTD is available for all transactions at warehouse or not?	Yes
3	Whether the following registers are available and updated at Warehouse or not;	
	• WH opening-closing Register	Yes, Last updated - 30.10.2020
	• Daily Transaction Register	Yes, Last updated - 29.10.2020
	• Complaint Register	Yes, Last updated Oct. 2020
	• Godown wise Depositor wise Stock Register containing pledge details	Yes (Available in electronic form)
	• Gate Inward-Outward Register	Yes, Last updated - 29.10.2020
	• PV register	Yes, Last updated - 03.10.2020
	• Weighbridge register	Yes, Last updated - 29.01.2020
	• Security Guard Register	Yes, Last updated - 30.10.2020
	• Weighbridge Internal Calibration	Yes, Last updated - 16.10.2020
	• Visitor Register	Yes, Last updated - 30.10.2020
	• Asset Register	Yes, Last updated - 05.10.2019
	• Consumables & Dead Stock Register	Yes (Available in electronic form)
	• Spot Rejection Register	Yes, Last updated - 29.10.2020
	• Sample courier register	NOT APPLICABLE
	• Moisture meter calibration register	NOT APPLICABLE
	• Stack/Lot/Sample seal register	NOT APPLICABLE
	• Incidence/Notices/Records	Yes (Incidence record available but no any incidence found, Last updated- Oct. 2020)
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes, Overwriting/correction found in DTR Register and same was vetted by warehouse incharge
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	No (Only commodity wise quantity updated)
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	Yes

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9	Whether the Delivery orders for withdrawal are received and available at warehouse file or not?	Yes
10	Whether the copy of SOP's is available at warehouse?	Yes
11	Whether the any incidence record/ registers available or not?	Yes
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Yes, Valid up to 25.06.2021
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	No
14	If yes, indicate the agency from whom such registration is taken.	NA
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Gram Panchayat NOC available
16	Whether the warehouse is included in the insurance policy?	Yes
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes
	- Standard Fire & Special Perils	Yes, Valid up to - 22.07.2021
	- Burglary	Yes, Valid up to - 22.07.2021
	- Fidelity Guarantee Insurance	NOT APPLICABLE
	- Professional Indemnity Cover	NOT APPLICABLE
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes

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Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, 4 Side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Yes, Paaka Road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Rail - Approx. 22 km & Road - Approx. 200 meter
6	Number of Doors/ gates in the Warehouse with locking arrangements	21
7	Type of Doors (e.g. shutter / double door etc.)	Shutter
8	Type of Wall (brick / mortar /panels)	Half brick wall and above that GI sheet
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel Sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	Yes (Except minor cracks)
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Concrete
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 4 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	Yes
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	NOT APPLICABLE
2	Is inward /outward moisture checked or not? (lot wise moisture record)	NOT APPLICABLE
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	NOT APPLICABLE
4	Has Reference sample duly sealed & signed by the WH official/in charge?	NOT APPLICABLE
5	Is signature of depositor is taken on reference sample?	NOT APPLICABLE
6	Is the sample storage area secure?	NOT APPLICABLE
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	NOT APPLICABLE
8	What records are available for courier of samples to the assayer?	NOT APPLICABLE
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NOT APPLICABLE
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NOT APPLICABLE

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Annexure-1

Checklist w.r.t. Exchange Circular (Base Metal)

Sr. No.	Parameters	Observation
1	Whether the Certificate of Analysis (CoA) of the producer has be collected or not at the time of deposits with containing details like Brand name of the associated lots, Producer's name, Batch No & certificate date.	Yes
2	Whether the packing list for deposited goods are available or not with following details; - Contains net weight - Contains gross weight - Contains batch no - No. of units in bundles/lot.	Yes
3	Whether the copy of Invoice available for all deposits.	Yes
4	Whether the copy of Certificate of Origin is available or not?	Yes
5	Whether the copy of Custom clearance documents is available or not? (In case of Imported Goods.)	Yes
6	Whether the producer's sticker is available or not on each ingots/ bundle?	Yes
7	Whether the following details are mentioned in sticker or not?	
	• Producer/ manufacturer name	Yes
	• Net Weight	Yes
	• Batch No	Yes
	• Purity	Yes
	• Date of Manufacturing/ Production	Yes
	• Number of Pieces of Ingots/ sheets in each bundle	Yes
8	Whether the production date of the Goods are within 01 year from deposit date. (It should not be earlier than 1 year from the date of deposit in warehouse)	Yes
9	Whether the Ingots/ bundle are physically sound and free of harmful/ any defects? (such as segregation, piping, cracks, inclusions or visible contamination of metal)	Yes
10	Is there any inconsistency in branding of metal (like Non-LME brands have been visibly mixed within a bundle)	No

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11	Whether the Inspection of electrical points done or not? (If yes, Pls mentioned the frequency i.e. annually or semi-annually basis)	Yes (Annually)

Inspection Details

Date of Inspection	30.10.2020	
Signature	Ajay Jangde	
Inspection Done By	Ajay Jangde	

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ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

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Warehouse Audit Report

Date of Audit	22.10.2020	**Location**	Barabanki
Name of Warehouse	Yamada Logistics Pvt Ltd (Kapoor Baboo Gupta Warehouse Chamber No.-1)	**Address of Warehouse**	Khasra No.-137, Village - Badagaon, Pargana-Nawabganj,Tehsil - Nawabganj, Distt.-Barabanki (U.P) – 225204
Name of Auditor	Anuj Kumar	**Name of Warehouse Manager**	Vikrant Sindhu
Date of Previous Audit		**Capacity of Warehouse**	2588 MT

Stock Reconciliation:

Commodity	**Stock Quantity as on 21.10.2020**				**Difference if any**	**Remarks**
	Quantity as per Exchange Drums	**Quantity as per WSP Website MIS** Drums	**Quantity as per WSP Warehouse record** Drums	**Quantity as per Physical Verification** Drums		
1. Mentha Oil						
i. Valid Stock	186	186	186	186	0	
ii. Under QC						
iii. Rejected						
iv. FED						
v. Non-Exchange						
Total	**186**	**186**	**186**	**186**	**0**	

Observations/Recommendations:

1- CCTV CAMERA WAS AVAILABLE IN WAREHOUSE IN WORKING CONDITION HENCE LIVE ELECTRICITY OBSERVED
2- OVERALL WAREHOUSE CONDITION IS SATISFACTORY AND PHYSICAL STOCK TALLIED WITH RECORDS

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Stock not visually checked due to sealing of drum
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	Yes
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Yes
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	Yes (eNWR updated in stack card)
9	Whether the overwriting / correction are found in stack cards?	No
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	Dunnage not used
11	Whether Lot no. marking is done or not?	Yes
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	Yes (Drum sealing)
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	Yes (Verified with register)
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	No
17	If yes, whether physically separated from the valid stock?	NA
18	If yes, whether appropriate marking done or not?	NA
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	Non-MCX & Rejected stock is not found in warehouse
20	Whether any rejected stock lying in the warehouse for more than 10 working days after testing/ assaying?	No
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No

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22	Whether the hypothecation details displayed on stock, if applicable?	No

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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	WSP
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	No (As per WDRA Norms there should be 3 staff but only 2 warehouse staffs available at warehouse)
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	No (As per WDRA Norms there should be 4 guard but 1 day guard and as per warehouse supervisor 2 night guard available at warehouse)
4	Name of the Security Agency offering services at WH	Suraksha security and placement
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Outside the warehouse
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	4
	b. No. of Sand Buckets	20
	c. No. of Water Tank with storage Capacity	200 ltr
	d. Availability of water hydrant system.	No
	e. Any other arrangement	Hand Pump
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 31.08.2021
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes (Verified with record)
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes (Verified with record)
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	Yes (Verified with record)
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	No
	a. Name of the fumigation agency	No

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	b. Previous date & type of treatment	No	
16	Whether the Live Electricity connection found inside the warehouse?	Yes (CCTV Camera found in warehouse)	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	Yes, Outside warehouse (5 Kg.)	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	- (Manual weighing scale)	0.5	27.07.2021
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	NA	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	Yes, Last audit date - 07.10.2020	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes
2	Whether original DTD is available for all transactions at warehouse or not?	Yes
3	Whether the following registers are available and updated at Warehouse or not;	Yes
	• WH opening-closing Register	Yes, Last updated - 22.10.2020
	• Daily Transaction Register	Yes, Last updated - 12.10.2020
	• Complaint Register	Yes, Last updated - 30.09.2020
	• Godown wise Depositor wise Stock Register	Yes, Last updated - 12.10.2020
	• Gate Inward-Outward Register	Yes, Last updated - 12.10.2020
	• PV register	Yes, Last updated - 19.10.2020
	• Weighbridge register	Yes, Last updated - 20.07.2020
	• Security Guard Register	Yes, Last updated - 22.10.2020
	• Weighbridge Internal Calibration	Yes, Last updated - 12.10.2020
	• Visitor Register	Yes, Last updated - 22.10.2020
	• Asset Register	Yes (Date not mentioned)
	• Consumables & Dead Stock Register	Yes, Last updated - 18.06.2020
	• Spot Rejection Register	Yes
	• Sample courier register	Yes, Last updated - 20.07.2020
	• Moisture meter calibration register	Not applicable for mentha oil
	• Stack/Lot/Sample seal register	Yes, Last updated 20.07.2020
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes (Correction found in weighbridge register but WSP HO approval found)
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	Yes
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	Only exchange stock
9	Whether the Delivery orders for withdrawal are received and available at warehouse file or not?	Yes
10	Whether the copy of SOP's is available at warehouse?	Yes

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11	Whether the any incidence record/ registers available or not?	Yes
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Yes, Valid up to - 14.03.2021
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	No
14	If yes, indicate the agency from whom such registration is taken.	WDRA
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Yes (Warehouse license was expired on 30-06-20)
16	Whether the warehouse is included in the insurance policy?	Yes
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes
	- Standard Fire & Special Perils	12.11.2020
	- Burglary	12.11.2020
	- Fidelity Guarantee Insurance	27.03.2021
	- Professional Indemnity Cover	20.01.2021
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes

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Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, 4 side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Pakka Road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Rail - Approx. 15 km, Road -Approx. 50 meter
6	Number of Doors/ gates in the Warehouse with locking arrangements	2
7	Type of Doors (e.g. shutter / double door etc.)	Iron door
8	Type of Wall (brick / mortar /panels)	Bricks
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel Sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	N.A. Since its bricks flooring
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Bricks
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 2.5 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	No (Warehouse outside cleaning required)
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	Moisture meter not applicable for mentha oil
2	Is inward /outward moisture checked or not? (lot wise moisture record)	Moisture not applicable for mentha oil
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	Yes
4	Has Reference sample duly sealed & signed by the WH official/in charge?	Yes
5	Is signature of depositor is taken on reference sample?	Yes
6	Is the sample storage area secure?	Yes
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	Yes
8	What records are available for courier of samples to the assayer?	Yes, Sample courier register
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NA
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NA

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Annexure-1

Checklist w.r.t. Exchange Circular (Mentha Oil)

Sr. No.	Parameters	Observation
1	Any records available regarding person visits to depositor place for weighing the empty drums?	Yes
2	Are there any proof / records available stating that the empty drum weighment is done on calibrated w/b or weighing scale?	Yes
3	Whether the white sticker is non-tearable and non-removable?	Yes
4	Whether sticker is signed and date mentioned with permanent marker?	Yes
5	Whether depositor has submitted the mandi NOC (gate-pass)?	Yes
6	Any Drums accepted without white stickers?	No
7	Whether any record of preliminary testing is available or not?	Yes
8	Whether the weight of the Mentha Oil in drum is 180 kg Net or within tolerance limit of 1% (i.e. +/- 1.8 Kg)?	Yes (Within tolerance limit)
9	Whether the weighment of each drum is carried out post the sampling exercise on calibrated platform scale?	Yes
10	Whether the lot numbers are mentioned on drums with permanent marker?	Yes
11	Whether the drums in same lot are kept together?	Yes
12	Whether any undertaking taken from the depositor by WSP?	Yes
13	Whether any record available for revalidation? (If any)	No

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Inspection Details

Date of Inspection	22.10.2020	
Signature	Anuj Kumar	
Inspection Done By	Anuj Kumar	

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Warehouse Audit Report

Date of Audit	28.10.2020	**Location**	Bhiwandi
Name of Warehouse	Yamada Logistics Pvt. Ltd (Om Harihar Corporation)	**Address of Warehouse**	House number -220 , Bldg no- K5 , Gala no- 5/1, Survey number -31, Hissa number-1 , Harihar complex, Vadunavghar, Bhiwandi-421302
Name of Auditor	Ajay Jangde	**Name of Warehouse Manager**	Amaan Momin
Date of Previous Audit		**Capacity of Warehouse**	7500 MT

Stock Reconciliation:

Commodity	**Stock Quantity as on 27.10.2020**			**Difference if any**	**Remarks**
	Quantity as per Exchange	**Quantity as per WSP Warehouse record**	**Quantity as per Physical Verification**		
	Bundle	Bundle	Bundle		
1. Aluminium	1	1	1	0	
2. Copper	312	312	312	0	
3. Nickel	233	233	233	0	
4. Zink	997	997	997	0	
5. Lead	255	255	255	0	

Observations/Recommendations:

1- OVERALL WAREHOUSE CONDITION IS SATISFACTORY AND PHYSICAL STOCK TALLIED WITH RECORDS

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Observations on Stacking

Sr. No.	Parameters	Observation
1	Whether the appearance of the stocks visually seems to be ok?	Yes
2	Whether Packaging condition of stock deposited is as per MCXCCL norms?	Yes
3	Whether the stacking of the stock is uniform across the warehouse and in countable position?	Yes
4	Whether the adequate alleyways between stacks & wall to stacks are kept for easy movement, aeration & chemical treatments?	Yes
5	Whether proper stack layout / stacks plan available with warehouse?	Yes
6	Whether all stacks provided with stack /lot cards with up to date entries and displayed on stacks?	Yes
7	Whether the CAD number and sample bales numbers/ sample details are updated in stack card?	Yes
8	Whether the unique lot number generated through system (ComRIS, CCRL and eNWR) is updated in stack card?	No (Lot no. Mentioned in stack card)
9	Whether the overwriting / correction are found in stack cards?	No
10	Whether the adequate quantity of dunnage material such as plastic sheet, pallets, wooden blocks, etc. used? State the type of dunnage material used.	NOT APPLICABLE
11	Whether Lot no. marking is done or not?	Yes
12	Whether stack sealing/ drum sealing (for Mentha Oil) is done appropriately?	NOT APPLICABLE
13	Whether the Warehouse staffs has checked the seal intactness of stocks every month? (Pls verify in register)	NOT APPLICABLE
14	Any Wet/cut/torn/damage bags/bales/drum found on the stack or floor?	No
15	Any spillage spread across the stack/floor?	No
16	Any FED/ Rejected / Non-Exchange stock lying in the warehouse?	Yes, Rejected & Invalid stock
17	If yes, whether physically separated from the valid stock?	Yes
18	If yes, whether appropriate marking done or not?	Yes
19	Whether the clear demarcation between MCX deliverable, Non-MCX & Rejected stock is done or not?	Yes
20	Whether any rejected stock lying in the warehouse for	No

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	more than 10 working days after testing/ assaying?	
21	Whether any more than 03 months expired (FED) stocks is lying in the warehouse?	No
22	Whether the hypothecation details displayed on stock, if applicable?	No

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Observations on WH Operation

Sr. No.	Parameters	Observations
1	Custody of lock and key is with WSP/WH Owner/others (Pls specify)	WSP
2	Whether the warehouse staff deputed as per WDRA norms or not? (pls specify the no. of WH staffs deputed at warehouse)	Yes, 4 staffs
3	Whether warehouse is having adequate security arrangements? Indicate No. of security guards deployed shift wise	Yes, As per warehouse manager 1 day guard and 2 night guard available at warehouse
4	Name of the Security Agency offering services at WH	Sainik security
5	Whether the company ID card is available with Wh staff and security personnel or not?	Yes
6	Whether there are proper night lighting for the security purpose?	Yes
7	Whether the proper WSP Sign Board displayed with security & emergency numbers?	Yes
8	Whether the proper Sign board of exchange accreditation displayed in wh premise or not?	Yes
9	Whether the "Complaint/feedback register available at warehouse" displayed outside the warehouse or not? (Pls mention the placed of display the board)	Yes, Outside the warehouse
10	Whether Fire Fighting equipment available as below;	Yes
	a. No. of Fire Extinguishers	4
	b. No. of Sand Buckets	No
	c. No. of Water Tank with storage Capacity	No
	d. Availability of water hydrant system.	No
	e. Any other arrangement	Yes
11	Whether all of them are valid & in working condition? (mentioned the expiry date of Fire Extinguishers)	Yes, Valid up to - 16.08.2022
12	Whether the warehouse staffs and undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records)	Yes (Verified with record)
13	Whether the **security personnel** undergo the training of fire safety & handling of firefighting equipment's? (Please verify with records and frequency)	Yes (Verified with record)
14	Whether the WSP has provided any training to warehouse staff about warehouse/ exchange stock management, WDRA etc or not? (pls verify the training records & frequency)	Yes (Verified with record)
15	Any arrangement for Prophylactic Measures and Pest Control at WH? (Yes/NO)	No
	a. Name of the fumigation agency	No

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	b. Previous date & type of treatment	No	
16	Whether the Live Electricity connection found inside the warehouse?	Yes	
17	Whether Storage of hazardous Stock in warehouse / In premise is done?	No	
18	Whether LPG cylinder kept inside warehouse or outside warehouse? (Applicable for Mentha oil)	NA	
19	Whether any other Stock stored in the warehouse that may contaminate / adversely affect Exchange deliverable stock?	No	
20	Weigh Bridge availability (Inside / Outside complex)	Inside Complex	
	Name of weighbridge	WB Capacity in MT	Expiry date of calibration certificate
A	ISPL	3	11.02.2021
B			
C			
21	Whether the list of accredited weighbridge along with calibration certificate displayed in warehouses or not?	Yes	
22	Whether the periodic stock audit done by Internal audit team of WSP? (Please verify with visitor register at the warehouse)	Yes, Last audit date - 03.10.2020	

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Observation on WH Record Keeping

Sr. No.	Parameters	Observation & Remark
1	Whether the copy of KYD is available for all depositors at warehouse or not?	Yes
2	Whether original DTD is available for all transactions at warehouse or not?	No, 1 Original DTD was not available for deposit date 20.10.2020
3	Whether the following registers are available and updated at Warehouse or not;	
	• WH opening-closing Register	Yes, Last updated - 28.10.2020
	• Daily Transaction Register	Yes, Last updated - 27.10.2020
	• Complaint Register	Yes, Last updated - 30.09.2020
	• Godown wise Depositor wise Stock Register containing pledge details	Yes, Last updated - 27.10.2020
	• Gate Inward-Outward Register	Yes, Last updated - 27.10.2020
	• PV register	Yes, Last updated - 27.10.2020
	• Weighbridge register	Yes, Last updated - 27.10.2020
	• Security Guard Register	Yes, Last updated - 28.10.2020
	• Weighbridge Internal Calibration	Yes, Last updated - 27.10.2020
	• Visitor Register	Yes, Last updated - 28.10.2020
	• Asset Register	Yes (Date not mentioned)
	• Consumables & Dead Stock Register	Yes, Last updated - 28.10.2020
	• Spot Rejection Register	Yes, Last updated - 22.10.2020
	• Sample courier register	NA
	• Moisture meter calibration register	NA
	• Stack/Lot/Sample seal register	NA
	• Incidence/Notices/Records	Yes
4	Whether the Overwriting/correction found in warehouse Registers? If yes pls check the approval from WSP HO obtained or not	Yes, Correction found in DTR and security register but approval taken from WSP HO
5	Whether the Lot wise physical Verification (PV) recorded in PV register or not?	Yes
6	Whether the transaction wise weighbridge receipts for inward/outward are available at warehouse or not?	Yes
7	Whether the Commodity deposits & withdrawal document are available at warehouse or not?	Yes
8	Whether the separate entries are done for Exchange & Non-exchange stock?	Yes
9	Whether the Delivery orders for withdrawal are received	Yes

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	and available at warehouse file or not?	
10	Whether the copy of SOP's is available at warehouse?	Yes
11	Whether the any incidence record/ registers available or not?	Yes
12	If warehouse is on lease, whether agreement exists between WSP and the warehouse? Valid up to _____	Yes, Valid from 10.08.2019 to till 3 Years
13	Whether the Warehouse is registered under relevant State/ Central Warehousing Authority?	No
14	If yes, indicate the agency from whom such registration is taken.	NA
15	Whether the Warehouse License copy & WDRA registration copy is available at the warehouse?	Gram Panchayat NOC
16	Whether the warehouse is included in the insurance policy?	Yes
17	Whether the warehouse is covered for following risks under insurance? (Yes/No). If Yes, Valid up to _____	Yes
	- Standard Fire & Special Perils	12.11.2020
	- Burglary	12.11.2020
	- Fidelity Guarantee Insurance	27.03.2021
	- Professional Indemnity Cover	20.01.2021
18	Whether the stock stored in warehouse is sufficiently covered under desired insurance or not? (as per current valuation of stocks)	Yes

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Observation on WH Structure

Sr. No.	Parameters	Observations
1	Warehouse condition (both internal/external) is in sound and store worthy condition?	Yes (Inside wall plaster work is going on)
2	Whether any other WSP / Exchange have reserved the space in same warehouse?	No
3	Whether the warehouse has well- protected pakka boundary walls / barbed wire fencing etc.?	Yes, Only 3 Side Pakka wall
4	Whether warehouse having proper approach road & adequate parking space for vehicles (Pakka/Kaccha road)?	Yes, Paaka Road
5	Whether warehouse is well connected with rail and road networks? (Approx. distance in KM)	Yes, Highway - Approx. 10-15 km, Main road- 100 mtr & Train - 15 km approx.
6	Number of Doors/ gates in the Warehouse with locking arrangements	4 shutter (8 Locking)
7	Type of Doors (e.g. shutter / double door etc.)	Shutter
8	Type of Wall (brick / mortar /panels)	Half brick wall and above that GI sheet
9	Whether the walls are properly plastered and painted/white washed free from cracks and crevices?	Yes
10	Whether adequate ventilators and air inlets are available?	Yes
11	Type of Roof - Cement Sheet / Steel Sheet / Concrete	Steel Sheet
12	Is there any roof leakage?	No
13	Whether flooring is even without cracks / crevices / dampness?	Yes (Except minor cracks)
14	Type of Flooring : Concrete / Stones / Tiles / Normal flooring / No flooring/Other	Concrete
15	Whether the warehouse have adequate elevation from ground level i.e. plinth height from the ground Level? (Indicate the floor level from ground level)	Yes, Approx. 4 feet
16	Whether there are adequate arrangements for drainage of rain water to avoid flooding?	Yes
17	Whether hygiene & cleanliness inside the warehouse & premises (Under Vegetation control) maintained?	Yes
18	Whether any infestation by termites/ white ants in the buildings and warehouse premises?	No
19	Whether the stock is free from Infestation (Rodent/Insects)?	Yes

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20	Natural light availability	Yes

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Observation on Quality Operation

Sr. No.	Parameters	Observation
1	Is moisture meter in working condition or Not?	NOT APPLICABLE
2	Is inward /outward moisture checked or not? (lot wise moisture record)	NOT APPLICABLE
3	Is necessary sampling details updated on sample tag? (name of warehouse, date of sampling, stack no, lot No,)	NOT APPLICABLE
4	Has Reference sample duly sealed & signed by the WH official/in charge?	NOT APPLICABLE
5	Is signature of depositor is taken on reference sample?	NOT APPLICABLE
6	Is the sample storage area secure?	NOT APPLICABLE
7	Whether Reference samples kept in proper custody till the expiry date of the test results?	NOT APPLICABLE
8	What records are available for courier of samples to the assayer?	NOT APPLICABLE
9	Whether all bags have been open & completely emptied for sampling? (In case of Cardamom)	NOT APPLICABLE
10	Whether 5% of bags have been open & completely emptied for sampling? (In case of Castor Seed)	NOT APPLICABLE

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Simplifying Agribusiness

ARYA COLLATERAL WAREHOUSING SERVICES PVT. LTD.

CIN:U51102MH1982PTC028030

Annexure-1

Checklist w.r.t. Exchange Circular (Base Metal)

Sr. No.	Parameters	Observation
1	Whether the Certificate of Analysis (CoA) of the producer has be collected or not at the time of deposits with containing details like Brand name of the associated lots, Producer's name, Batch No & certificate date.	Yes
2	Whether the packing list for deposited goods are available or not with following details; - Contains net weight - Contains gross weight - Contains batch no - No. of units in bundles/lot.	Yes
3	Whether the copy of Invoice available for all deposits.	Yes
4	Whether the copy of Certificate of Origin is available or not?	Yes
5	Whether the copy of Custom clearance documents is available or not? (In case of Imported Goods.)	Yes
6	Whether the producer's sticker is available or not on each ingots/ bundle?	Yes
7	Whether the following details are mentioned in sticker or not?	
	• Producer/ manufacturer name	Yes
	• Net Weight	Yes
	• Batch No	Yes
	• Purity	Yes
	• Date of Manufacturing/ Production	Yes
	• Number of Pieces of Ingots/ sheets in each bundle	Yes
8	Whether the production date of the Goods are within 01 year from deposit date. (It should not be earlier than 1 year from the date of deposit in warehouse)	Yes
9	Whether the Ingots/ bundle are physically sound and free of harmful/ any defects? (such as segregation, piping, cracks, inclusions or visible contamination of metal)	Yes
10	Is there any inconsistency in branding of metal (like Non-LME brands have been visibly mixed within a bundle)	No

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11	Whether the Inspection of electrical points done or not? (If yes, Pls mentioned the frequency i.e. annually or semi-annually basis)	No

Inspection Details

Date of Inspection	28.10.2020	
Signature	Ajay Jangde	
Inspection Done By	Ajay Jangde	

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