



## Frequently Asked Questions (FAQ) on Risk Based Supervision

**Insurance Details** :- (Max Limit 10 Records)

16. Type Of Insurance Cover Obtained By The Member * :-		17. Amount Of Insurance Cover Obtained By The Member (Rs.) * :-		Action	
<input type="text"/>		<input type="text"/>		<input type="button" value="ADD"/>	
Select	Type Of Insurance Cover Obtained By The Member	Amount Of Insurance Cover Obtained By The Member (Rs.)			
<input type="checkbox"/>	ABCD	10000.00			

18. Whether There Are Any Subsidiaries / Branches / Representative Offices In Other Countries ? :-  Whether Regulatory Approval Taken For Same ? :-

**Field no. 20:** Brokerage Income: - Consider Gross brokerage revenue from broking operations across all exchanges.

**Field no. 22:** Aggregate value of clear Debit Balances of all clients across MTF/Non-MTF balances as obtained from trial balance across segments and across exchanges (after adjusting for open bills of clients, uncleared cheques deposited by clients and uncleared cheques issued to clients and the margin obligations if posted in the client ledger if any). Open bills also contain ‘value of credit entry posted in client ledger in lieu of successful EPI of securities to CC.

**Field no. 23:** Total available collateral from debit balance clients (as considered for the point no. 22 above) as on last day of the assessment period:

For aggregating total available collateral of the member for the debit balance clients, the client wise available collateral should be considered as lower of debit and Total value of collateral for that client.

Total value of collateral to be considered should be, collateral available in the demat account of the Trading Member which is Pool Account and Pledged to the Trading Member i.e., Client Securities Margin Pledge Account, Client Securities Under Margin Funding Account, Client Unpaid Securities Pledge Account.

Further, value of the collaterals to be reported as:

- T day for quantity and
- T – 1 day for Var & Closing price

**Field no. 24:** Total Amount of Delayed Payment Charges Collected from The Clients: - Consider Total Amount of late/delayed payment charges levied on clients during the Year ended March 31, 2024 (across all exchanges)

**Field no. 30:** Subpoint “**Number of Instances** \*”: “ = Number of instances of Fraud

**Field no. 31:** Subpoint “**No. of SEBI inspections** \*”: “ = Number of inspections by SEBI

**Field no. 32:** Action by Police/Foreign Regulator

**Field no. 35:** Number of instances of Disciplinary Action against Key Person

**Field no. L:** The entities wherein PAN is not applicable shall be termed as “**PANNOTAPPL**”. However, it is mandatory for the member to specify reasons in case of non-applicability of PAN in the column “Reasons for PAN not applicable”.

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**G. Loans to Group Companies / Associates / Subsidiaries / Key Persons – details, Secured / Unsecured and Amount involved.**

Details of loans : - (Max Limit 15 records)

Secured Loans (Rs.) *	Unsecured Loans (Rs.) *	Type	Name	Registration No.	Whether Active In Financial Market ?	Details Of Loans	Action
<input type="text"/>	<input type="text"/>	Associates ▼	<input type="text"/>	<input type="text"/>	Active ▼	<input type="text"/>	<input type="button" value="ADD"/>

28. Secured Loans (Rs.) : -  29. Unsecured Loans (Rs.) : -

**H. No. and Details of Non-Compliances observed by SEBI and Details of any Actions Initiated / Taken against Member.**

30. Number Of Instances Of Non Compliances And Amount Of Penalties Levied By SEBI On The Member During During The Assessment Period With Regard To Fraud Instances By The Member – Nature Of The Frauds, Amount Involved, Whether Involving Client Assets Or Member's Own Assets, Whether Actions Taken Against Employees, APs, Etc. :-

No. Of Instances \* : -  Penalty Levied (In Rs.) \* : -

Action Taken Against Employees / AP	Whether Involving Client Assets	Whether Involving Member's Own Assets	Action
Select ▼ *	Yes ▼	Yes ▼	<input type="button" value="ADD"/>

31. Details Of Inspection Undertaken By SEBI In Selected Period And Adverse Observations And Penalties/Regulatory Action, If Any. :-

No. Of SEBI Inspections \* : -  No. Of Adverse Observations In SEBI Inspections \* : -

Nature Of Disciplinary Action By SEBI For Inspections : - Select ▼ \*

Select	Nature	Remark / Penalty
<input type="checkbox"/>	Others	No Adverse Observation By Sebi

31. Details Of Inspection Undertaken By SEBI In Selected Period And Adverse Observations And Penalties/Regulatory Action, If Any. :-

No. Of SEBI Inspections \* : -  No. Of Adverse Observations In SEBI Inspections \* : -

Nature Of Disciplinary Action By SEBI For Inspections : - Select ▼ \*

Select	Nature	Remark / Penalty
<input type="checkbox"/>	Others	No Adverse Observation By Sebi

No. Of Instances Of Any Action Taken By SEBI For Other Than Inspection Observations \* : -

Nature : - Select ▼ \*

Record Is Reject With Remark :Delete

In case of 0 instances, insert 0 in no. of instances/No. of SEBI inspection, press tab, tab..., finally update/save the data

(Note:- Action is just option display, will not be added as part of data, in case of 0 instance)

**I. Details of action taken by Police or any Foreign Regulator**

32. No. And Details Of Actions Initiated / Taken / Pending Against Member Or Its Employees By Police W.r.t. Frauds, Forgery Etc. :-

No. Of Instances Of Actions Initiated / Pending \* : -  Details Of Action Initiated/Pending : -

No. Of Instances Of Actions Taken \* : -  Details Of Action Taken : -

33. Whether Any Disciplinary Action Initiated / Pending/ Taken, Details And Penalty Levied By Any Foreign Regulator Against The Member For Regulatory Non-Compliances In Their Jurisdiction? :-

No. Of Instances \* : -  Penalty Levied (In Rs.) \* : -

Details Of Disciplinary Action

**J. No. of Instances of sharing of Client Information**

34. No. Of Instances Of Sharing Client KYC Or Trade Information With Associate / Group Company / Third Party. \* :-

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### K . Disciplinary actions against Key Person of the Member

35. No. Of Instances \*:-

Name of Concerned Person *	Designation/Relation *	PAN No. *	Action Type	Penalty levied/ Consent amount (In Rs.) *	Action
<input type="text"/>	<input type="text"/>	<input type="text"/>	Select ▼	<input type="text"/>	ADD

### L. Details of Associates/Group Companies

Select Type	Name	Registration No.	PAN No.	Reason (If PAN Not Applicable)	Whether Active in Financial Market ?	Regulatory Bodies	Action
Select ▼	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Select ▼	Select ▼	ADD

### M. Actions initiated/ taken/ pending against the stock broker, its employees, key persons, controlling person

36. Number Of Instances And Amount Involved, If Any, In Actions Initiated/ Taken/ Pending Against The Stock Broker, Its Employees, Key Persons, Controlling Person By SEBI, SAT, Courts, Consumer Forums, Stock Exchanges, Other Regulators, Etc. Pertaining To Securities Market Operations In The Period :-

No. Of Instances Of Non-Compliances \*:-  Penalty Levied (In Rs) :-

### N. Details of Branches and APs

37. Whether Broker Operates Only Through Internet Or Its Own Branches :-

Both ▼

38. Active AP :-

39. Active Branches :-

### Compliance Officer Details

Name Of Compliance Officer :-

Email Id Of Compliance Officer :-

BACK

UPDATE

\* UnderTaking :: We confirm that the details of Risk Based Supervision submitted to the Exchange is correct.

SUBMIT TO EXCHANGE