

Field no. G. Only in case of **no loans** given to Associate/group companies Please insert "0" in Secured and unsecured loans, associate details may be inserted Insert N.A./Not Applicable in loan details Click on add button (Refer below mentioned screenshot)

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.) *	Туре	Name	Registration No.	Whether Active In Financial Market ?	Details Of Loans	Action		
0	0	Associates 🗸			Inactive 🗸	Not Applicable	ADD		
28. Secured Loans (Rs.) : -			29. Unsecured	Loans (Rs.) : -				

After adding the detail, it will appear as per below screenshot:

Details	of loans : - (Max Limit 15	records	5)							
	ired Loans (Rs.) *	Unsecured (Rs.) *		Туре	Name	Registration No.	Whether Active In Financial Market ?	Detail	s Of Loans		Action
				Associates 🗸			Inactive 🗸			$\hat{\boldsymbol{\boldsymbol{\varphi}}}$	ADD
Select	Secured L	oans (Rs.)	Unsec	ured Loans (Rs.)	Туре	Name	Registration No.	Whether Active In Financial Market?		Details Of	Loans
		0.00		0.00	ASSOCIATES			Inactive	Not Applicable		
28. Sec	ured Loans (Rs.):- 0.00)			29. Unsecured	Loans (Rs.) : - 0.00				

Kindly note that in case of Loans given, it is mandatory to fill all the details of loan given in the above-mentioned table.

Field no. F: "Insurance Details: "

Click Add button after entering data

F. Other Details		
15. Total No. Of Employees *: - 12		
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
ABCD	10000	ADD

The records inserted will be reflected as below after clicking ADD button:



16. Typ	e Of Insurance Cover Obtained By The Member * : -	17. Amount Of Insurance Cover Obtained By The Member (Rs.) * : -	Action
			ADD
Select	Type Of Insurance Cover Obtained By The Member	Amount Of Insurance Cover Obtained By The Member (Rs.)	
	ABCD	10000.00	
18. Whe	ther There Are Any Subsidiaries / Branches / Representative (Offices In Other Countries ? : - Ves 🗸 Whether Regulatory Approval Ta	ken For Same ? : - Yes 🗸

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 Pledgee 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".



	Max Limit 15 records	;)						
Secured Loans (Rs.) *	Unsecured Loans (Rs.) *	Туре	Name	Registration No.	Whether Active In Financial Market ?	Details Of Loans	Details Of Loans	
		Associates 🗸			Active		$\hat{}$	ADD
Secured Loans	(Rs.) : -			29. Unsecured	Loans (Rs.) : -			
Number Of Inst	ances Of Non Compli	ances And Amount Of	Penalties Levied By S	5EBI On The Merr	ed / Taken against Member ber During During The Assessr ctions Taken Against Employee	ment Period With Regard To Fra	ud Instances By T	The Member – Nature Of
. Of Instances *	-	0		Penalty Levied	(In Rs.) *: -	0.00		
ction Taken Agair	st Employees / AP	Whe	ether Involving Client	t Assets	Whether Involving Me	mber's Own Assets	Action	
elect	× *	Yes			Ves 🗸			ADD
		3 or Inspections : - Sele			alties/Regulatary Action, If Any Observations In SEBI Inspecti		6	
		3 or Inspections : - Sele		No. Of Adverse		ons *: -	6	
ature Of Disciplin	ary Action By SEBI Fo	3 or Inspections : - Sele	ect 🔤	No. Of Adverse		ons *: -	6	
Select Select State Of Disciplin	ary Action By SEBI Fo Nature rs nspection Undertaken pections *: -	3 or Inspections : - Sele No Obs	ect	No. Of Adverse * Penalty bservations And P		Any. : -	6	
Select Othe Othe 31. Details Of I No. Of SEBI Ins	ary Action By SEBI Fo Nature rs nspection Undertaken pections *: -	3 or Inspections : - Sele No Obs n By SEBI In Selected F 3 3I For Inspections : - [ect	No. Of Adverse * Penalty bservations And R No. Of Adverse	Observations In SEBI Inspecti	Any. : - ctions *: -		
ature Of Disciplin Select Othe 31. Details Of I No. Of SEBI Ins Nature Of Disc	ary Action By SEBI Fo Nature rs pection Undertaken pections *: -	3 or Inspections : - Sele No Obs By SEBI In Selected F 3 3 3 If For Inspections : - [S	ect	No. Of Adverse * Penalty bservations And R No. Of Adver	Observations In SEBI Inspecti	Any. : - ctions *: -		
sture Of Disciplin Select Othe 31. Details Of I No. Of SEBI Ins Nature Of Disc Select Othe	ary Action By SEBI Fo Nature rs nspection Undertaken pections *: iplinary Action By SEE Nat	3 or Inspections : - Sele No Obs By SEBI In Selected F 3 3 3 If For Inspections : - [S	Remark / F Adverse servation Bv Sebi Period And Adverse Of Select Remark No Adverse Observation By Sebi	No. Of Adverse * Penalty bservations And f No. Of Adver * / Penalty	Observations In SEBI Inspecti	Any. : - ctions *: -		
ature Of Disciplin Select Othe 31. Details Of I No. Of SEBI Ins Nature Of Disc Select	ary Action By SEBI Fo Nature rs nspection Undertaken pections *: - iplinary Action By SEE Nat Others s Of Any Action Taken	3 or Inspections : - Sele No Obs By SEBI In Selected F 3 3 If For Inspections : - [5 ure	Remark / F Adverse servation Bv Sebi Period And Adverse Of Select Remark No Adverse Observation By Sebi	No. Of Adverse * Penalty bservations And f No. Of Adver * / Penalty	Observations In SEBI Inspection	Any. : - ctions *: -		
Select Othe S1. Details Of I No. Of SEBI Ins Nature Of Disc Select No. Of Instance	ary Action By SEBI Fo Nature rs nspection Undertaken pections *: - iplinary Action By SEE Nat Others s Of Any Action Taken	3 or Inspections : - Sele No Obs By SEBI In Selected F 3 3 IFor Inspections : - [2 ure n By SEBI For Other Th	Remark / F Adverse servation Bv Sebi Period And Adverse Of Select Remark No Adverse Observation By Sebi	No. Of Adverse * Penalty bservations And f No. Of Adver * / Penalty	Observations In SEBI Inspection	Any. : - ctions *: - ADD		

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 Regulat	or									
32. No. And Details Of Actions Initiated / Taken / Pending Again:	st Member Or Its Employees By Police W.	r.t. Frauds, Forgery Etc. : -								
No. Of Instances Of Actions Initiated / Pending $*$: -	Of Instances Of Actions Initiated / Pending *: - 1 Details Of Action Initiated/Pending : -									
No. Of Instances Of Actions Taken *: -	0	Details Of Action Taken : -	\bigcirc							
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 *: -	2	Penalty Levied (In Rs) *: -	7777.00							
Details Of Disciplinary Action	$\hat{}$									
J. No. of Instances of sharing of Client Information	J. No. of Instances of sharing of Client Information									
34. No. Of Instances Of Sharing Client KYC Or Trade Information	n With Associate / Group Company / Third	Party, *:-	0							
34. No. Of Instances Of Sharing Client KYC Or Trade Information With Associate / Group Company / Third Party. *:- 0										



. Disciplinary actions against Key Person of the Member								
0								
Designation/Re	lation * PAN No. *	Action	Type Penalty levie	d/ Consent amount (In	Rs.) * A	ction		
		Select 🗸			AD	D		
			Reason (If PAN Not	Whether Active in	Regulatory	1		
Name	Registration No.	PAN No.	Applicable)	Financial Market ?	Bodies			
			rippireduicy		bodies	Actio		
_	Companies	Companies	Companies	Companies Name Resistration No. PAN No. Reason (If PAN Not.	Companies Name Reason (If PAN Not Whether Active in	Companies		

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 *: -	1	Penalty Levied (In Rs) : -	10000						
N. Details of Branches and APs									
37. Whether Broker Operates Only Through Internet Or Its Own Branches : - Both 🗸									
38. Active AP : -	. Active AP : - 10000 39. Active Branches : - 10000								
Compliance Officer Details									
Name Of Compliance Officer : -									
Email Id Of Compliance Officer : -									
	BACK	UPDATE							
✓ * UnderTaking :: We confirm that the details of Risk Based Su	pervision submitted to the E	xchange is correct.							
	SUBMIT TO E	XCHANGE							