

Annexure – 3: Frequently Asked Questions(FAQ) on Risk Based Supervision

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

Field no. 22: Total debit balance of all Clients: - Consider total debit balance of all clients across all segments and exchanges as on March 31, 2022.

Field no. 23: Total Available Collaterals from All Debit Balance Clients: - Consider total available collaterals (Free & un-encumbered) from debit balance clients (as considered for the above point) as on March 31, 2022. POA stocks to be excluded

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, 2022 (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

Annexure – 3: Frequently Asked Questions(FAQ) on Risk Based Supervision

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 *:-	0	Details Of Action Initiated/Pending :-	1 test
No. Of Instances Of Actions Taken *:-	0	Details Of Action Taken :-	1 test

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 *:-	1	Penalty Levied (In Rs) *:-	0.00
Details Of Disciplinary Action	Us		

K. Disciplinary actions against Key Person of the Member

35. No. Of Instances *:- 1

Select	Sr.No.	Name Of Concerned Person	Designation / Relation	PAN No.	Action Type	Other Action	Penalty Levied / Consent Amount (In Rs.)
<input type="checkbox"/>	1	UJHYHGFDDHG	HGFHRH	ABCDE1234E	Other	HTDAHGFDDGZ HGDJHYCJGX	10000.00

L. Details of Associates/Group Companies

Select Type	Name	Registration No.	PAN No.	Whether Active In Financial Market ?	Action
Select				Select	ADD

Nature of non-compliances and details of penalty levied

Name Of The Company	Registration No.	PAN No.	Whether Active In Financial Market ?	Action
			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 :-

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 :-

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 Supervision submitted to the Exchange is correct.

SUBMIT TO EXCHANGE