

## Annexure A

Sr. No.	Indicative list of reasons for incorrect submission
1	Reporting of securities available in client's demat account under the block mechanism in weekly holding statement.
2	Client PAN uploaded in UCC database of Exchange and weekly submissions are different.
3	Non reporting of securities that are transferred to clearing member in weekly holding statement for settlement obligation and available with clearing member at end of day.
4	Non reporting of securities in the weekly holding statement received from the client for payin and available with member at end of day.
5	Client PAN uploaded in weekly submissions or Exchange UCC database and depository records (NSDL/CDSL) for demat account of client is different.
6	Reporting same data for multiple dates in the weekly submissions.
7	Submission for all days of a week (i.e. Monday to Saturday irrespective of trading holiday) were not uploaded.
8	Non reporting of securities pay-in / pay-out shortage data to clearing corporations.
9	Incorrect / Partial reporting of securities pay-in / pay-out shortages data to clearing corporations.
10	Non reporting of securities available in frozen demat accounts in the weekly holding statement.
11	Continuing reporting of securities in pool account in the weekly holding statement submission even after payin made for such securities to clearing corporation.
12	Reporting securities under old / incorrect ISIN in the holding statement.
13	Corporate action quantities were reported in incorrect ISIN.
14	PAN uploaded of client in weekly submissions and pan mapped to demat account in the depositories records was different.
15	Non reporting of Client Securities holding in EPI/CUSA/POOL a/c.
16	Incorrect reporting of holding data due to software/technical issue.
17	Continuing reporting of securities in weekly holding statement even securities were transferred to client.
18	Technical errors like reversal of margin postings, open bills while reporting clear balance.
19	Entry in register of securities was done prior to the date of actual execution in Demat a/c.
20	Funds or securities details of certain clients or balance of certain bank accounts were not uploaded in the weekly submissions.
21	Stock/funds balance of one Client was wrongly reported under another Client UCC.
22	DP Instruction for transfer of shares got failed and rectified later in back office.
23	Holding in certain demat accounts was reported twice.
24	Securities pledged in favor of TM by client by way of margin pledge repledge were also reported in the weekly holding statement.
25	Incorrect reporting of peak ledger balance or Credit entry in ledger in lieu of EPI or Pool Account or Uncleared Cheques or Last settlement date or Cash Collateral for MTF clients in weekly submission of Cash & Cash Equivalent Balances.

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26	Corporate Action quantities were not reported by the trading member due to decimal quantity.
27	Reporting MTF balances details into NON-MTF type and vice versa.
28	Newly registered clients having zero balances were not reported in the Cash & Cash Equivalent Balances submission.
29	Incorrect reporting of demat account type in “Member Account Type” field in the weekly submission of Holding Statement.
30	Non reporting of own securities of member in the weekly Holding Statement.
31	Reporting EPI holding as POOL account holding in weekly Holding Statement.
32	Incorrect reporting of Non-funded portion of BG and Margin utilised for credit balance clients in Cash & Cash Equivalent Balances submission.
33	Reporting bank balance of Client bank accounts as per bank book instead of clear bank balance as per bank statement in the weekly submission of Bank Balances.
34	FDR’s created by member from client ledger balances were reported separately in FDR column in Cash & Cash Equivalent Balances submission.
35	Non-reporting of Option value balance in the clear financial balance in the Cash & Cash Equivalent Balances submission.
36	Incorrect reporting of unclaimed/unsettled clients details & client bank account number in Cash & Cash Equivalent Balances submission.
37	Reporting of Authorised persons deposits in the Cash & Cash Equivalent Balances submission.