

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" value="0"/>	<input type="text" value="0"/>	<input type="button" value="Associates"/> ▼	<input type="text"/>	<input type="text"/>	<input type="button" value="Inactive"/> ▼	<input type="text" value="Not Applicable"/>	<input type="button" value="ADD"/>

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

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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="button" value="v"/>	<input type="text"/>	<input type="text"/>	Inactive <input type="button" value="v"/>	<input type="text"/>	<input type="button" value="ADD"/>
Select	Secured Loans (Rs.)	Unsecured Loans (Rs.)	Type	Name	Registration No.	Whether Active In Financial Market?	Details Of Loans
<input type="checkbox"/>	0.00	0.00	ASSOCIATES			Inactive	Not Applicable
28. Secured Loans (Rs.) - 0.00				29. Unsecured Loans (Rs.) - 0.00			

F. Other Details

15. Total No. Of Employees * : -

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" value="ABCD"/>	<input type="text" value="10000"/>	<input type="button" value="ADD"/>

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.) * : -
<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 ? : -

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 September 30, 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 September 30, 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 September 30, 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

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)

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 *:-	1	Details Of Action Initiated/Pending :-	NA
No. Of Instances Of Actions Taken *:-	0	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 *:-	2	Penalty Levied (In Rs) *:-	7777.00
Details Of Disciplinary Action		NA	

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. *:-

0

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	Isdyufg Ugu	Test	ABCDE4568G	Other	Warning	0.00

L. Details of Associates/Group Companies

Select Type	Name	Registration No.	PAN No.	Whether Active In Financial Market ?	Action
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 *:-

0

Penalty Levied (In Rs) :-

10000.0000

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 *:-

0

Penalty Levied (In Rs) :-

10000.0000

N. Details of Branches and APs

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

Both

38. Active AP :-

1000

39. Active Branches :-

1

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