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)



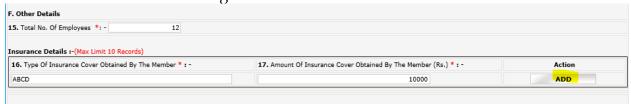
After adding the detail, it will appear as per below screenshot:



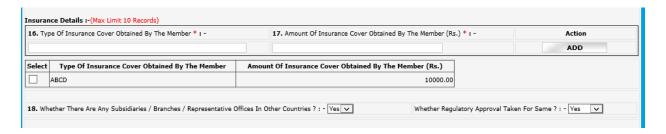
Kindly note that in case of Loans given, it is mandatory to fill all the details of loan given in the above-mentioned table.

Field no. F: "Insurance Details:"

Click **Add** button after entering data



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



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

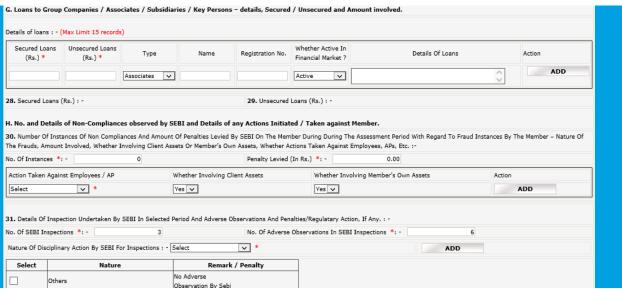
Field no. 24: Total Amount of Delayed Payment Charges Collected from The Clients: - Consider Total Amount of late/delayed payment charges levied on clients during the Year ended September 30, 2022 (across all exchanges)

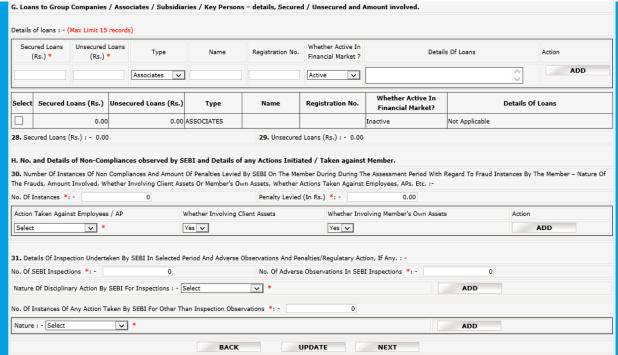
Field no. 30: Subpoint "Number of Instances *: " = Number of instances of Fraud

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 $\boldsymbol{0}$ instance)

| I. Details of action taken by Police or any Foreign Regulator | | | |
|-------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------------------------------------|----------------------------------------|
| 32. No. And Details Of Actions Initiated / Taken / Pending Against Memb | er 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 O |
| No. Of Instances Of Actions Taken *: - | 0 | Details Of Action Taken : - | <u></u> |
| 33. Whether Any Disciplinary Action Initiated / Pending/ Taken, Details A | and Penalty Levied By Any Foreign | Regulator Against The Member For Regulatory Non-C | 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 |
| | | | |

