

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, 2023.

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, 2023 (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

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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"/> | <input type="text"/> | Associates <input type="button" value="v"/> | <input type="text"/> | <input type="text"/> | Active <input type="button" value="v"/> | <input type="text"/> | <input type="button" value="ADD"/> |

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

H. No. and Details of Non-Compliances observed by SEBI and Details of any Actions Initiated / Taken against Member.

30. Number Of Instances Of Non Compliances And Amount Of Penalties Levied By SEBI On The Member During The Assessment Period With Regard To Fraud Instances By The Member – Nature Of The Frauds, Amount Involved, Whether Involving Client Assets Or Member’s Own Assets, Whether Actions Taken Against Employees, APs, Etc. :-

No. Of Instances * : - Penalty Levied (In Rs.) * : -

| Action Taken Against Employees / AP | Whether Involving Client Assets | Whether Involving Member’s Own Assets | Action |
|---|--------------------------------------|---------------------------------------|------------------------------------|
| Select <input type="button" value="v"/> * | Yes <input type="button" value="v"/> | Yes <input type="button" value="v"/> | <input type="button" value="ADD"/> |

31. Details Of Inspection Undertaken By SEBI In Selected Period And Adverse Observations And Penalties/Regulatory Action, If Any. :-

No. Of SEBI Inspections * : - No. Of Adverse Observations In SEBI Inspections * : -

Nature Of Disciplinary Action By SEBI For Inspections : - *

| Select | Nature | Remark / Penalty |
|--------------------------|--------|--------------------------------|
| <input type="checkbox"/> | Others | No Adverse Observation By Sebi |

31. Details Of Inspection Undertaken By SEBI In Selected Period And Adverse Observations And Penalties/Regulatory Action, If Any. :-

No. Of SEBI Inspections * : - No. Of Adverse Observations In SEBI Inspections * : -

Nature Of Disciplinary Action By SEBI For Inspections : - *

| Select | Nature | Remark / Penalty |
|--------------------------|--------|--------------------------------|
| <input type="checkbox"/> | Others | No Adverse Observation By Sebi |

No. Of Instances Of Any Action Taken By SEBI For Other Than Inspection Observations * : -

Nature : - *

Record Is Reject With Remark :Delete

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 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 * : - Details Of Action Initiated/Pending : -

No. Of Instances Of Actions Taken * : - 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 * : - Penalty Levied (In Rs) * : -

Details Of Disciplinary Action

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. *:-

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K . Disciplinary actions against Key Person of the Member

35. No. Of Instances *:-

| Name Of Concerned Person * | Designation/Relation * | PAN No. * | Action Type | Penalty Levied/ Consent Amount (In Rs.) * | Action |
|----------------------------|------------------------|----------------------|---|---|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | Select <input type="button" value="v"/> | <input type="text"/> | <input type="text"/> |

L. Details of Associates/ Group Companies

| Select Type | Name | Registration No. | PAN No. | Whether Active In Financial Market ? | Action |
|---|----------------------|----------------------|----------------------|---|----------------------|
| Select <input type="button" value="v"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | Select <input type="button" value="v"/> | <input type="text"/> |

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 *:- Penalty Levied (In Rs) :-

N. Details of Branches and APs

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

Both

38. Active AP :-

39. Active Branches :-

Compliance Officer Details

Name Of Compliance Officer :-

Email Id Of Compliance Officer :-

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 *:- Penalty Levied (In Rs) :-

N. Details of Branches and APs

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Both

38. Active AP :-

39. Active Branches :-

Compliance Officer Details

Name Of Compliance Officer :-

Email Id Of Compliance Officer :-

* UnderTaking :: We confirm that the details of Risk Based Supervision submitted to the Exchange is correct.