

RISK TEMPLATE FOR MEMBERS FOR THE PERIOD APRIL 01, 2017 - SEPTEMBER 30, 2017

Sl. No.	Particulars	Details	Description
A	Details of Branches		
1	Total number of Branches		Total Number of Branches of the Member (Excluding AP and Sub broker Offices) as on September 30, 2017. Branches without any operational terminals also to be included.
2	Number of Branches Inspected by Member during the Half Year ended September 30, 2017		Count of Branches Inspected by Member from April 01, 2017 to September 30, 2017
3	Number of APs Inspected by Member during the Half Year ended September 30, 2017		Count of APs Inspected by Member from April 01, 2017 to September 30, 2017
4	Number of Sub-broker Inspected by Member during the Half Year ended September 30, 2017		Count of Sub-Brokers Inspected by Member from April 01, 2017 to September 30, 2017
B	Details of Branches / Sub-broker offices with voice recording system		
5	Number of branches with voice recording facility		Count of branches of the members with voice recording facility as on September 30, 2017
6	Number of Sub-broker offices with voice recording facility		Count of Sub-broker offices of the members with voice recording facility as on September 30, 2017
7	Number of AP offices with voice recording facility		Count of AP offices of the members with voice recording facility as on September 30, 2017
C	Details of withdrawn/ termination of Sub-broker /AP		
8	Number of sub brokers who discontinued service or were terminated during the Half Year ended September 30, 2017		Number of Sub-brokers cancelled by the Members.
9	Number of APs who discontinued service or were terminated during the Half Year ended September 30, 2017		Number of APs cancelled by the Members.
10	Number of instances of Sub-broker/AP termination due to any regulatory non-compliance during the Half Year ended September 30, 2017		Total number of Sub-brokers/APs cancelled by the Members due to any regulatory non-compliance or due to any regulatory directions
D	No of Sub-broker/AP and Internet trading clients		
11	Number of Sub-broker clients		Total number of registered clients mapped to Sub-Brokers of the Member as on September 30, 2017. Client mapped to both Sub broker & AP of a Member, to be counted separately for Sub broker as well as AP
12	Number of AP clients		Total number of registered clients mapped to AP of the Member as on September 30, 2017. Client mapped to both Sub broker & AP of a Member, to be counted separately for Sub broker as well as AP
13	Total Internet Trading Clients		Total number of registered clients who have been provided internet trading facility (IBT) as on September 30, 2017.
E	Number of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc. as on September 30, 2017.		
14	PEP		Total Number of registered clients categorised by Member through the adoption of an appropriate client due diligence process as specified by the Prevention of Money Laundering Act, PMLA, 2002-
15	FATF		- Politically Exposed Persons
16	NRI		- Clients in high risk countries identified in the Financial Action Task Force (FATF) statements published regularly.
17	MF/ Trusts		- Non resident clients (NRIs only)
18	Others		- Mutual Funds/ Trusts categorised as high risk. - Others :- Charities, Non-Governmental Organizations (NGOs) and organizations receiving donations, Clients with dubious reputation, Companies offering foreign exchange offerings etc.
F	Other Details		
19	Total number of employees		Total Number of people employed by the Member including contract staff as on September 30, 2017
20	Type of Insurance cover obtained by the Member.		The type of Insurance cover taken by the Member e.g Stock Brokers Indemnity Policy, fire insurance etc.
21	Amount of Insurance cover obtained by the Member. (in Rs.)		The aggregate amount of all insurance cover obtained by the Member as on September 30, 2017.
22	Whether there are any subsidiaries/ branches/representative offices in other countries and whether regulatory approval taken for the same?		"Yes/No" to be mentioned for any subsidiaries/ branches/representative offices in other countries and whether regulatory approval taken
23	Location of BCP/ DR site		Location name to be specified. In case of no such site, pl. mention "Nil"
24	Brokerage income for the Half Year ended September 30, 2017 (in Rs.)		Gross brokerage revenue from broking operations (NSE only)
25	Operating profit/ loss for the Member for the Half Year ended September 30, 2017 (in Rs.)		Profit / loss from broking operations before interest and tax (For all Exchanges)
26	Total debit balances of all clients as on September 30, 2017 (in Rs.)		Total debit balance in NSE ledgers of all clients across segments as on September 30, 2017.
27	Total available collaterals from all debit balance clients as on September 30, 2017 (in Rs.)		Total available collaterals (Free & un-encumbered) from debit balance clients (as considered for the above point) as on September 30, 2017. POA stocks to be excluded.
28	Total amount of delayed payment charges collected from the clients (in Rs.)		Total Amount of late/delayed payment charges levied on clients during the Half Year ended September 30, 2017 in NSE ledgers.
29	Number of STRs filed during the Half Year ended September 30, 2017		Count of the Suspicious Transaction Reports filed with FIU-India
G	Loans given to group companies/ associates/ subsidiaries/ key persons during the Half Year ended September 30, 2017- details, secured/ unsecured and amount involved.		
30	Details of loans		Details of loans given to group companies/ associates/ subsidiaries/any other entity & key persons
31	Secured loans (in Rs.)		Total amount of secured loans given by the Member to group companies/ associates/ subsidiaries
32	Unsecured loans (in Rs.)		Total amount of un-secured loans given by the Member to group companies/ associates/ subsidiaries
H	Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member		
33	Number of instances of non compliances and amount of penalties levied by SEBI on the Member during Half Year ended September 30, 2017 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/ sub-broker, etc.		
	Number of Instances		Number of times SEBI has observed such issues
	Penalty levied (in Rs.)		Total Penalty levied by SEBI due to such issues
	Action taken against employees/ sub-broker/AP		Suspension / Debarring / Adjudication / Monetary Penalty / Warning / Advice /Terminations etc.
34	Details of inspection undertaken by SEBI during the Half Year ended September 30, 2017 ,details of adverse observations and penalties/regulatory action, if any.		
	Number of SEBI inspections		Count of total SEBI inspections during the Half Year ended September 30, 2017, including those of your Sub broker/APs
	Number of adverse observations in SEBI inspections		Please refer note below

	Nature of disciplinary action by SEBI for inspections		Suspension / Adjudication / Monetary Penalty / Warning / Advice etc. (If more than one inspection of SEBI, all details of action to be provided.)
	Monetary penalty, if any, levied by SEBI (in Rs.)		Total Amount of monetary penalty levied by SEBI in all inspections
I	Details of action taken by Police or any Foreign regulator		
35	Number and details of actions initiated/ taken/ pending against Member or its employees by police w.r.t. frauds, forgery, etc.		
	Number of instances of Actions initiated/pending		Number of total proceedings initiated by Police (if any) for fraud, forgery etc. during the Half Year ended September 30, 2017
	Number of instances of Actions taken		Number of total action by Police (if any) during the Half Year ended September 30, 2017.
36	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?		
	Number of Instances		Number of total non compliances observed by Foreign regulator (if any) during the Half Year ended September 30, 2017.
	Penalty levied (in Rs.)		
J	Number of Instances of sharing of client Information		
37	Number of Instances of sharing client KYC or trade information with associate/ group company/ third party.		Number of Instances of sharing of client information without his express consent during the Half Year ended September 30, 2017
K	Disciplinary actions against key persons of the Member		
38	Details of disciplinary actions initiated/ taken against key persons of the Member by SEBI, or any other regulatory authority during the Half Year ended September 30, 2017 viz. name of concerned person, PAN, type of action and penalty if any. Also specify the consent amount, if any.		
	Details of disciplinary actions initiated/ taken		Details of disciplinary actions against key persons during the Half Year ended September 30, 2017.
	Number of Instances		Number of actions taken against the key persons of the Member during the Half Year ended September 30, 2017.
	Penalty levied/ consent amount (in Rs.)		
L	Details of Associates/Group Companies		
39	Details of Associates/ group companies along with details of registration and whether active in any sector of the financial market.		Please provide the details of your Associate companies and group companies along with their PAN and registration number. Also confirm whether they are active in any sector of the financial market

- 1 "Key person" means and includes directors, promoters, compliance officer
- 2 * To be provided where action has been taken by SEBI during the period irrespective of when the inspection was undertaken
- * "Number of instances" means number of inspections in which adverse observation was found relating to that area
- Example-1 : Only the observations need to be considered for number of Instances. Eg. Observations during the Half Year ended September 30, 2017 inspections.

Inspection Observations in <u>one</u> SEBI inspection	Number of non-compliances in inspection	Number of Instances for above purpose
Misuse of client funds and securities	24 clients	1
Delay or non-settlement of the client accounts on timely basis.	18 clients	1
Delay or non-issuance of statements of accounts and daily margin statements.	7 clients	1
Instances of misuse of Power of Attorney provided by the client.	12 clients	1
Number of adverse observations in SEBI inspections for Point Number 36		4

Example-2 : In case of more than 1 inspections during the Half Year ended September 30, 2017

SEBI Inspection during the Half Year ended September 30, 2017	Observations	Number of Instances for the above purpose
Apr-17	Misuse of client funds and securities	1
	Delay or non-settlement of the client accounts on timely basis.	1
	Delay or non-issuance of statements of accounts and daily margin statements.	1
	Instances of misuse of Power of Attorney provided by the client.	1
Jul-17	Misuse of client funds and securities	1
	Instances of misuse of Power of Attorney provided by the client.	1
	Number of adverse observations in SEBI inspections for Point Number 36	6