

‘PART-B’

List of Exhibits

Exhibit-1

CLIENT REGISTRATION FORM/ DOCUMENTS	
I	Know Your Client (KYC) Application Form – Individual & non-individual
II	SARAL Account Opening Form for resident individuals
III	Nomination Form & Declaration Form for opting out of nomination

Exhibit-2

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)	
I	‘Demat Debit and Pledge Instruction’ (DDPI) Format

Exhibit-3

CONTRACT NOTE FORMAT	
I	Contract Note Format for Equity & Derivative Segment

Exhibit-4

DAILY MARGIN STATEMENT FORMAT	
I	Daily Margin Statement

Exhibit-5

NOTICE BOARD	
I	Notice Board Format

Exhibit-6

Format Of Register of Securities, Holding Statement, Bank Book, & Client Ledger	
I	Register of Securities
II	Holding Statement Submission
III	Bank Book
IV	Client Fund Ledger

Exhibit-7

COMPLIANCE SUBMISSIONS	
I	Data points wrt weekly monitoring of client funds
II	Confirmation to be submitted by Bank Confirmation to be submitted by Bank
III	Client Level Cash & Cash Equivalent Balances

Exhibit-1

<i>Annexure-I</i>	Know Your Client (KYC) Application Form – Individual & non-individual
<i>Annexure-II</i>	SARAL Account Opening Form for resident individuals
<i>Annexure-III</i>	Nomination Form & Declaration Form for opting out of nomination

Exhibit 1 (Annexure – I)
KNOW YOUR CLIENT (KYC) APPLICATION FORM
For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: _____ (dd/mm/yyyy)
4. a. Nationality: _____ b. Status: Resident Individual/ Non Resident/ Foreign National
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Residence Address: _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for residence address: _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY
☐ Originals verified and Self-Attested Document copies received

(.....)
Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):
 Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/ Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify) _____

PHOTOGRAPH

Please affix the recent passport size photographs and sign across it

B. ADDRESS DETAILS

1. Address for correspondence: _____
 _____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____
 _____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____
2. a) DIN of whole time directors: _____
 b) Aadhaar number of Promoters/Partners/Karta: _____

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Name & Signature of the Authorised Signatory _____

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Document copies received

(.....)

Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

Exhibit 1 (Annexure – II)
SARAL
ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT
PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

I KYC - Please fill this form in BLOCK LETTERS.
A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: ____ (dd/mm/yyyy)
4. Nationality: _____
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Residence/ Correspondence Address: _____ City/town/village: _____
Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Permanent Address (if different from above address): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
4. Specify the proof of address submitted for residence/correspondence /permanent address: _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant Date: ____ (dd/mm/yyyy)

☐ Originals verified and Self-Attested Document copies received (.....)

Name & Signature of the Authorised Signatory
Seal/Stamp of the intermediary

Date

II OTHER DETAILS:
1. Bank account details:

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/	MICR Number	IFSC code

2. Demat account details: (In case the client does not have DP account, this column may be crossed)

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes/No)
4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
NSE		BSE		MCX-SX	

5. Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference).....
6. Standing instructions to receive credits automatically into my BO account (Yes/No)
7. Nomination details (Name, PAN, Address and Phone no. of nominee); relationship with the nominee (If nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

Signature of the Applicant Date: ____ (dd/mm/yyyy)

Exhibit 1 (Annexure – III)
Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]

TM / DP Name and Address		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																									
Date		D	D	M	M	Y	Y	Y	Y	UCC/ DP ID	I	N							Client ID								
I/We wish to make a nomination. [As per details given below]																											
Nomination Details																											
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																											
Nomination can be made upto three nominees in the account.										Details of 1 st Nominee					Details of 2 nd Nominee					Details of 3 rd Nominee							
1	Name of the nominee(s) (Mr./Ms.)																										
2	Share of each Nominee		Equally [If not equally, please specify percentage]							%					%					%							
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																											
3	Relationship With the Applicant (If Any)																										
4	Address of Nominee(s) City / Place: State & Country:																										
			PIN Code																								
5	Mobile / Telephone No. of nominee(s) #																										
6	Email ID of nominee(s) #																										
7	Nominee Identification details # [Please tick any one of following and provide details of same] ☐ Photograph & Signature PAN ☐ Aadhaar Saving Bank account no. Demat Account ID																										
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																											
8	Date of Birth {in case of minor nominee(s)}																										
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																										

10	Address of Guardian(s)					
	City / Place: State & Country:					
		PIN Code				
11	Mobile / Telephone no. of Guardian #					
12	Email ID of Guardian #					
13	Relationship of Guardian with nominee					
14	Guardian Identification details # [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN Aadhaar Saving Bank account no. Proof of Identity ☐ Demat Account ID					
Name(s) of holder(s)					Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)						
Second Holder (Mr./Ms.)						
Third Holder (Mr./Ms.)						

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name									
Trading Member/Participant's Address									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

EXHIBIT – 2
Demat Debit and Pledge Instruction

S.No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	

* the same may be eSigned or signed physically

EXHIBIT-3

CONTRACT NOTE FORMAT	
	Contract Note Format For Equity, Commodity & Derivative Segment

Exhibit -3

Revised/Supplementary

CONTRACT NOTE CUM TAX INVOICE
(Tax Invoice under Section 31 of GST Act)

NAME OF THE MEMBER, LOGO OF THE MEMBER
SEBI REGISTRATION NO. ADDRESS, TELEPHONE NO, FAX NO AND WEBSITE
NAME OF COMPLIANCE OFFICER HIS/ HER EMAIL & TELEPHONE NO., EMAIL ID FOR INVESTOR COMPLAINT
DEALING OFFICES ADDRESS, TELEPHONE NO, FAX NO

CONTRACT NOTE NO.			Name of Clearing Corporation & CM Segment	Name of Clearing Corporation & Segment	Name of Clearing Corporation & Segment
Invoice Reference Number (IRN)					
TRADE DATE		SETTLEMENT NO.	Settlement number of T+1	Settlement number of T+2	
		SETTLEMENT DATE	Settlement date of T+1	Settlement date of T+2	
Name of the Client Address of the Client State/State Code (Place of supply) PAN of Client UCC of Client Trading Back office code* GST Identification No. of client (if available)		GIVE CLEARING CORPORATION-WISE / SEGMENTWISE SETTLEMENT NO. & DATES			

	Name of Exchange & Segment	Name of Exchange & Segment	Name of Exchange & Segment	Name of Exchange & Segment
*Trading/ Back Office Code (If Different from UCC)				

Sir/ Madam,

I / We have this day done by your order and on your account the following transactions:

Order No.	Order Time	Trade No.	Trade Time	Security/ Contract description	Buy (B)/ Sell (S)	Quantity	Gross Rate/ Trade Price Per unit (in foreign currency) ¹	Gross Rate/ Trade Price Per unit (Rs) ²	Brokerage per Unit (Rs)	Net Rate per Unit (Rs)	Closing Rate per Unit (only for Derivatives) (Rs.)	Net Total (Before Levies) (Rs)	Remarks
Name of Exchange & Segment													
Position Brought Forward in case of Derivatives (Where applicable)													
Trade 1													
Trade 2													
Trade N													
Name of Exchange & Segment													
Position Brought Forward in case of Derivatives (Where applicable)													
Trade 1													
Trade 2													
Trade N													

	Segment	Segment	Segment	Segment	Segment	Segment	TOTAL (Net)
Settlement Number							
PAY IN/ PAY OUT OBLIGATION							
Taxable value of supply ¹							
Securities Transaction Tax (Rs.)							
Commodities Transaction Tax (Rs.)							
CGST ⁴	Rate						
	Amount (Rs.)						
SGST ⁴	Rate						
	Amount (Rs.)						
IGST ⁴	Rate						
	Amount (Rs.)						
UTT ⁴	Rate						
	Amount (Rs.)						
Exchange Transaction Charges (Rs.)							
SEBI turnover Fees. (Rs.)							
Stamp Duty (Rs.)							
Net amount receivable by Client / (payable by Client) (Rs.)							

¹ Applicable only in case of cross currency contracts

² To be converted into INR, based on RBI reference rate as on the date of transaction, in case cross currency contracts

³ To be calculated in accordance with the provisions of the applicable GST Laws issued from time to time

⁴ CGST:-Central GST; SGST:- State GST; IGST:-Integrated GST; UTT:- Union Territory Tax. Details of trade-wise levies shall be provided on request.

Transactions mentioned in this contract note cum bill shall be governed and subject to the Rules, Bye-laws, Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India issued from time to time. It shall also be subject to the relevant Acts, Rules, Regulations, Directives, Notifications, Guidelines (including GST Laws) & Circulars issued by SEBI / Government of India / State Governments and Union Territory Governments issued from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website. Please visit www.nseindia.com for NSE, www.bseindia.com for BSE and www.mseil.in for MSEI.

Date:

Place:

Yours faithfully,

QR Code



For _____ (Name of Trading Member)

PAN of Trading Member	
GSTIN of Trading Member	
Description of Service	
Accounting code of services	

Name & Signature/Digital Signature of Partner / Proprietor / Authorized Signatory

Exhibit – 4
Annexure-B
Format – Daily Margin Statement to be issued to clients

Client Code:

ClientName:

Exchange:

Seg	Trade day	Margins available till T day						Margin/ Consolidated Crystallized Obligation / MTM required by Exchange/CC end of T & T+1 day respectively				Excess / Shortfall w.r.t. Requirement by Exchange / CC	Additional Margin required by member as per RMS	MarginStatus (Balance with Member /Due fromclient)
		Funds	Value of Securities (after haircut)	Value of margin pledge Securities (after haircut)	Bank Guarantees / FDR	Any other approved form of Margin	Total Margins Available (E)	Total upfront Margin	Consolidated Crystallized Obligation / MTM	Delivery Margin	Total Requirement			
		A	B	C	D	E	F=(A+B+C+D+E)	G	H	I	J=(G+H+I)	K=F-J	L	M=(K-L)

*approved form as may be specified by the Exchange/CC from time to time

Notes:

1. Daily Margin Statement to be issued on T day itself
2. Daily Margin statement to mention the name, email id, telephone number and address of compliance officer
3. Detailed exhibits for the margin collected to be provided to the clients. In case of securities (scrip name, qty, value) Bank Guarantee (BG no, amount, expiry date) and FDR's (FDR No., Amount and Maturity date)

Exhibit-5
NOTICE BOARD FORMAT:
FOR STOCK BROKERS / DEPOSITORY PARTICIPANTS

Dear Investor,

In case of any grievance / complaint against the Stock Broker / Depository Participant:

- Please contact Compliance Officer of the Stock Broker/ Depository Participant (Name) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXXXX.
- You may also approach CEO/ Partner/Proprietor (Name) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXXXX.
- If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository at the following -

	Web Address	Contact No	Email-id
BSE	www.bseindia.com	xxxxxxx	xxx@bseindia.com
NSE	www.nseindia.com	xxxxxxx	xxx@nse.co.in
MCX-SX	www.mcx-sx.com	xxxxxxx	xxx@mcx-sx.com

	Web Address	Contact No	Email-id
CDSL	www.cdslindia.com	xxxxxxx	xxx@cdslindia.com
NSDL	www.nsdl.co.in	xxxxxxx	xxx@nsdl.co.in

- You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

Exhibit - 6
I. Register of Securities

Member Name:

Period:

Transacti on Date	Exe cuti on Dat e	Clear ing Cor porati on (CC) / Clear ing Mem ber	Seg me nt Typ e	Uni qu e Cli ent Co de (UCC)	Back Of fic e Cli ent C ode	Cli ent N ame	Cli ent P AN	Memb er Demat Accoun t No.	Counte rparty Demat Accoun t No.	Settl eme nt No.	IS IN C ode	Sc rip N ame	Qty Deli vere d	Qty Rec eive d	Bal anc e	Pledge/ Unpled ge	T rf . R ef . N o.	Tran sacti on Type	Pur pos e
								Fr om	To	Fr om	To								

II. Holding Statement

Member Name:

As on Date:

Member's Demat Account No.	Member Account Type	Unique Client Code (UCC)	Client Name	Client PAN	ISIN Code	Scrip Name	Security Type	Pledged Balance	Free Balance	Total	Closing Price	Value (Rs.)
										Pledged balance + Free balance		

III. Bank Book

Member Name:

Period:

Account Name and Number:

Account Type & Exchange: (Client / Settlement / Own)

Segment Type

Dat e	Valu e Date	Accoun t Name	Bank Accoun t No.	Uniqu e Client Code (UCC)	Back Offic e Cli ent Code	Cli ent PAN	Narratio n	Vouche r No.	Settlemen t No.	Ref . No.	Paymen t (Rs.)	Receip t (Rs.)	Balanc e (Rs.)	Purpos e

IV. Client Fund Ledger

Member's Name:
Period:

Unique Client Code (UC C)	Back Office Client Code	Client Name	Client PAN	Transaction Date	Settle- ment Date	Clearing Corpora- tion / Clearing Member	Segm- ent Type	Settle- ment No.	Bill/C hq No.	Transac- tion Type	Particul- ars / Narrati- on	Vouc- her No.	De- bit (Rs.)	Cred- it (Rs.)	Balan- ce (Rs.)

Exhibit-7 (Annexure – I)
Data points wrt weekly monitoring of client funds

S. No	Particulars	Remarks
1	Total of day end balance in all Client Bank Accounts (In Rs.)	- Provide total EOD fund balance available in all Client Bank Accounts (as per Bank Statement) including the Settlement Accounts across all Exchanges. - Balances in OD/LAS (Loan against shares) accounts shall not be considered. Any FDR that has been created out of the client funds received by member and lying with member shall not be considered towards availability of client funds payable.
2	Collateral deposited with clearing corporations in form of Cash and Cash Equivalents (In Rs.)	Aggregate value of collateral deposited with all clearing corporations in form of Cash & Cash Equivalents as mentioned below (Cash, FD, BG). - Cash, FDRs & BGs deposited with Clearing corporation - In case of BG, only funded portion of the BG shall be considered. Underlying collateral of BG given in form of Cash or FDR only should be considered in the funded portion of BG. Underlying collateral of BG given in form other than Cash/FDR such as shares/immovable property etc. should not be considered as funded portion of BG. - Early pay in of funds to CC to be considered, if it is debited from settlement bank account and same is not included in any of collateral report of clearing corporations. For NSE Clearing deposits, the amount can be taken from the COLDTLS file (deducting non-funded portion of BG) downloaded to the members. For deposits in other clearing corporations, Members need to refer to the daily reports downloaded by the respective clearing corporation.
3	Collateral deposited with clearing member in form of Cash and Cash Equivalents (In Rs.)	Aggregate value of collateral deposited with all clearing member in form of Cash & Cash Equivalents as mentioned below (Cash, FD, BG) - Cash, FDRs & BGs deposited with Clearing Member - In case of BG, only funded portion of the BG shall be considered. Underlying collateral of BG given in form of Cash or FDR only should be considered in the funded portion of BG. Underlying collateral of BG given in form other than Cash/FDR such as shares/immovable property etc. should not be considered as funded portion of BG.

4	Total Credit Balance of all clients (In Rs.)	Aggregate value of Credit Balances of all clients as obtained from trial balance across stock exchanges (after adjusting for open bills of clients, uncleared cheques deposited by clients and uncleared cheques issued to clients and the margin obligations if posted in the client ledger if any). Open bills also contain 'value of credit entry posted in client ledger in lieu of successful EPI of securities to CC. Debit balance of client in MTF will not be adjusted against the credit balance of same client in non-MTF.
5	Total debit balance of all clients (In Rs.)	Aggregate value of debit Balances of all clients as obtained from trial balance across stock exchanges (after adjusting for open bills of clients, uncleared cheques deposited by clients and uncleared cheques issued to clients and the margin obligations if posted in the client ledger). Open bills also contain 'value of credit entry posted in client ledger in lieu of successful EPI of securities to CC'
6	Value of own securities deposited as collateral with Clearing corporation (In Rs.)	Value of own collaterals i.e. securities/commodities/cash equivalents other than FDRs/BGs which have been deposited with the clearing corporations across all Exchanges. (Haircut to be applied as stipulated by the respective clearing corporation) The securities/commodities/cash equivalents other than FDRs/BGs shall be valued (after haircut) at closing rate of the last trading day of the week.
7	Value of Own Securities Deposited as Collateral with Clearing Member (In Rs.)	- Value of own collaterals i.e. securities/commodities/cash equivalents other than FDRs/BGs which have been deposited with the clearing member across Exchanges. - Valuation of securities/commodities/cash equivalents other than FDRs/BGs to be taken after applying haircut stipulated by the clearing member at closing rate of the last trading day of the week.
8	Value of Non funded portion of the Bank Guarantee (In Rs.)	Provide value of non-funded part of the BG across all Clearing corporations
9	Proprietary Margin Obligation	Provide value of proprietary margin obligations across Clearing Corporations. It shall be the sum of Margin obligations in Cash and Derivative segments for proprietary trading positions as on the reporting day. The figures for PRO margin obligation in NSE can be obtained from the following files: - For CM Segment – MG-13 (Initial Margin/VAR + Extreme loss margin + MTM loss + additional/adhoc margin) For Derivative Segment - Total margin (SPAN margin + Extreme Loss margin+ Delivery margin (wherever applicable) + Margin on consolidated crystallized obligation) For PRO margin obligation in other Exchanges/CC, refer daily reports downloaded from the respective Clearing Corporation.

10	Margin utilized for positions of Credit Balance Clients (MC)	Margin utilized (Minimum of Credit Balance of clients & Margin Obligation of such clients after deducting the value of securities/commodities repledged with CC/CM after appropriate haircut for the purpose of margin) for positions of credit balance clients across all Clearing Corporation. The figures for client margin obligation in NSE can be obtained from the following files:- For CM Segment – MG-13 (Initial Margin/VAR + Extreme loss margin + MTM loss + additional/adhoc margin) For Derivative Segment - Total margin (SPAN margin + Extreme Loss margin+ Delivery margin (wherever applicable) + Margin on consolidated crystallized obligation) For margin obligation in other Exchanges/CC, refer daily reports downloaded from the respective Clearing Corporation
11	Free/unblocked Collateral deposited with Clearing Corporation	Value of unutilized collateral lying with the clearing corporations across Stock Exchanges. For NSE /NSE Clearing balances, the amount can be obtained from the following files downloaded to the member :- For Equity Segment:- MG01 (Balance Deposit available) For F&O, CD & Commodity Segment :- MG11 (Excess Effective Deposits required if figure is negative). Further, aggregate value of free allocated cash of respective client available with CC to be considered as computed below from CC02 file:- Value of “Cash Component-Allocated” if available after deducting value of margin. (Value of margin shall be the “margin” as per CC02 file if available after deducting value of “Cash Component- Value of Gsec/GMF/CMF repledged” and “Non- Cash Component – Value of Non-Cash repledged”) Further Early pay in of funds to CC to be considered, if it is debited from settlement bank account and same is not included in any of collateral report of clearing corporations.
12	Free/unblocked Collateral deposited with Clearing Member (In Rs.)	Value of unutilized collateral lying with your clearing Members across Stock Exchanges.

Exhibit-7 (Annexure – II)**CONFIRMATION TO BE SUBMITTED BY BANK**

To,
National Stock Exchange of India Limited (NSEIL)
Exchange Plaza, C-1, Block G,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Date:

We _____ (Name of Bank) having office at
.....

hereby confirm that:

1. The National Stock Exchange of India Limited (NSEIL) has issued circular dated March 15, 2022 on confirmation to be provided by banks to submit day wise; account number wise; end of day clear running balances and information/statement of all bank accounts maintained by (name of the trading member) with the bank.
2. The said trading member has requested us that we provide the aforesaid details to the NSEIL directly.
3. We will submit day wise; account number wise; end of day clear running balances and information/statement of all bank accounts maintained by said trading member with us to NSEIL on daily/weekly basis as per the requirement of NSEIL. The details of the bank accounts held by trading member are as follows:

Thanking You,
Yours
Sincerely,

Name of Authorized Signatory
Designation
Contact details and email id
rubber stamp of bank

Exhibit-7 (Annexure – III)
Format of Cash & Cash Equivalent Balances:

TRADING MEMBER PAN	DATE	UNIQUE CLIENT CODE	CLIENT PAN	CLIENT NAME	MTF/ NONMTF INDICATOR	FINANCIAL LEDGER BALANCE- A	FINANCIAL LEDGER BALANCE (CLEAR)-B	PEAK FINANCIAL LEDGER BALANCE (CLEAR)-C	FINANCIAL LEDGER BALANCE- MCX	FINANCIAL LEDGER BALANCE- NCDEX	FINANCIAL LEDGER BALANCE- ICEX
					MTF						
					NON MTF						

BANK GUARANTEE (BG)	FIXED DEPOSIT RECEIPT (FDR)	GOVERNMENT OF INDIA SECURITIES (GSEC)	GIL T FUND DS	CREDIT ENTRY IN LEDGER IN LIEU OF EPI	POOL ACCOUNT	UNCLE AN RED CHECK QUES	VALUE OF COMMODITIES	CASH COLLATERAL FOR MTF POSITIONS	UNCLAIMED/ UNSETTLED CLIENT FUNDS	CLIENT BANK ACCOUNT TNO.	LAST SETTLEMENT DATE	ES INFORMATION TYPE	VALUE