

FAQ

1. Do we need to upload details for all registered clients including institutional clients or clients with nil balance?

Data for all clients registered with a trading member and whose ledgers are maintained by the trading member need to be uploaded irrespective of their balances.

2. Is this reporting applicable to clearing member or Trading Member-Clearing Member, which clears only prop trades?

Reporting has to be done by Members in their capacity as a trading Member for their respective clients.

3. Whether stocks which are delivered in broker's pool account for pay in purpose is to be considered while reporting balance?

Yes, all assets of the constituent, as available in their ledger, are required to be reported.

4. In case we don't have clients email ID and mobile no., what is to be provided?

Trading members can provide "notprovided@notprovided.com" in the email ID field and "6666666666" in the mobile number field. However, Members should ensure that email ID and mobile no. are sought from the respective clients and updated wherever available.

5. Trading Members have old clients and some of the clients shares are lying with trading member. However, they are not traceable. Then, what details should be filed in the PAN of the client?

PAN details as NNNNN1111N can be uploaded.

6. What if client is not due for settlement or settlement has not been done for particular client?

"NA" can be mentioned in the field 'last balance settlement date' in case the settlement of the client is not due and "ND" is case settlement of clients is not done.

7. Trading Members are doing bill to bill settlement. In such a scenario can you please let us know the details to be filled in column 'Last balance settlement date.'

Trading members can provide "BTB" in the Last balance settlement date column

8. In case the last settlement happened prior to the month for which reporting is being done, then what is required to be reported in last balance settlement date column?

Date on which last settlement has taken place needs to be reported irrespective of month of reporting. In case the settlement has not been done during the preceding month/quarter (as mandated by the client), Members should mention "ND" in the relevant field.

9. In 'total number of ISINs and total quantity of securities' columns, data for all exchanges or only NSE is required to be reported?

Data across all exchanges