

Annexure – A

RISK TEMPLATE FOR MEMBERS FOR THE ASSESMENT PERIOD APRIL 01, 2026 - SEPTEMBER 30, 2026		
Sr. No.	Particulars	Description
A	Details of Branches	
1	Total no. of Branches as on last day of Assessment Period	Total Number of Branches of the Member (Excluding AP) as on assessment period
a	No. of Branches with Terminals	
b	No. of Branches without Terminals and having client servicing facility	
2	Number of Branches Inspected by Member during the Assessment Period	Count of Branches Inspected by Member during the assessment period
a	No. of Branches with Terminals	
b	No. of Branches without Terminals and having client servicing facility	
B	Details of Branches / AP offices with order placement facility	
3	Number of branches having order placement facility	Count of branches as on the assessment period as per SEBI circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated March 22, 2018.
4	Number of APs offices having order placement facility	Count of APs offices of the member as on the assessment period as per SEBI circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated March 22, 2018.
C	No. Internet trading clients	
5	Total Internet Trading Clients	Total number of registered clients who have been provided internet trading facility (IBT) as on assessment period.
D	No. of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc. registered as on assessment period - 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	
6	PEP	Politically Exposed Persons
7	FATF	Clients in high-risk countries identified in the Financial Action Task Force (FATF) statements published regularly.
8	NRI	Non-resident clients

Metropolitan Stock Exchange of India Limited

Building A, Unit 205A, 2nd Floor, Piramal Corporate Park, L.B.S Road, Kurla (West), Mumbai - 400 070.

Tel: +91-22-6112 9000 | customerservice@mse.co.in | www.mseindia.com | CIN: U65999MH2008PLC185856

9	MF/ Trusts	Mutual Funds/ Trusts Categorised as High Risk
10	Others	Others: - Charities, Non-Governmental Organizations (NGOs) and organizations receiving donations, Clients with dubious reputation, Companies offering foreign exchange offerings etc.
E	Other Details	
11	Total No. of employees, employed for broking operations	Total Number of people employed by the Member including contract staff for broking operations as on last day of Assessment period
12	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. as on the Last day of assessment Period.
13	Amount of Insurance cover obtained by the Member. (Rs.)	The aggregate amount of all insurance cover obtained by the Member as on assessment period.
14	Brokerage income for the assessment period (in Rs.)	Gross brokerage revenue from broking operations across all exchanges.
15	Operating profit/ loss for the Member for the assessment period (in Rs.)	Profit / loss from broking operations before tax (For all Exchanges)
16	Total amount of delayed payment charges collected from the clients (Rs.)	Total Amount of late/delayed payment charges/ interest levied on clients during the assessment period (across all Exchanges).
17	Number of STRs filed during the Assessment Period	Count of the Suspicious Transaction Reports filed with FIU-India
F	Loans given to group companies/ associates/ subsidiaries/ key persons during the assessment period– details, secured/ unsecured and amount involved.	
18	Details of loans	Details of loans to group companies/ associates/ subsidiaries / Key person/other entity
19	Secured loans (In Rs.)	Total amount of secured loans given by the Member to group companies/ associates/ subsidiaries
20	Unsecured loans (In Rs.)	Total amount of un-secured loans given by the Member to group companies/ associates/ subsidiaries
G	Details of action taken by Police or any Foreign regulator	
21	Number and details of actions initiated/ taken/ pending against Member or its employees by police w.r.t. frauds, forgery, etc.	

Metropolitan Stock Exchange of India Limited

Building A, Unit 205A, 2nd Floor, Piramal Corporate Park, L.B.S Road, Kurla (West), Mumbai - 400 070.

 Tel: +91-22-6112 9000 | customerservice@mse.co.in | www.mseindia.com | CIN: U65999MH2008PLC185856

	No. of instances of Actions initiated/pending	Number of total proceedings initiated by Police (if any) for fraud, forgery etc. during the assessment period
	No. of instances of Actions taken	Number of total action by Police (if any) during the assessment period
22	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	Number of total non-compliances observed by foreign regulator (if any) during the assessment period
	Penalty levied (In Rs)	Penalty levied for the non-compliances observed by foreign regulator (if any) during the Assessment Period
H	No. of Instances of sharing of client Information	
23	No 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 assessment period
I	Disciplinary actions against key persons of the Member	
24	Details of disciplinary actions initiated/ taken against key persons of the Member by SEBI, or any other regulatory authority during the assessment period viz. name of concerned person, Designation/Relation, 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 assessment period
	No. of Instances	Number of actions taken against the key persons of the Member during the assessment period.
	Penalty levied/ consent amount (In Rs.)	Penalty levied/consent amount for such disciplinary actions initiated/taken
J	Actions initiated/ taken/ pending against the stock broker, its employees, key persons*, controlling person	

Metropolitan Stock Exchange of India Limited

Building A, Unit 205A, 2nd Floor, Piramal Corporate Park, L.B.S Road, Kurla (West), Mumbai - 400 070.

 Tel: +91-22-6112 9000 | customerservice@mse.co.in | www.mseindia.com | CIN: U65999MH2008PLC185856

25	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 Assessment Period	
	No. of Instances of non-compliances	No. of Instances of non-compliances
	Penalty levied (In Rs)	Penalty levied (In Rs)

Note: *"Key person" means and includes directors, promoters, compliance officer

Metropolitan Stock Exchange of India Limited

Building A, Unit 205A, 2nd Floor, Piramal Corporate Park, L.B.S Road, Kurla (West), Mumbai - 400 070.

Tel: +91-22-6112 9000 | customerservice@mse.co.in | www.mseindia.com | CIN: U65999MH2008PLC185856