Details of contraventions	Penalty structure
I - Dealings with clients	
Client registration documents	
(a) Not provided / Not executed	Rs. 5,000/- per client
(b) Inclusion of contravening clauses / omission of	Rs. 5,000/-
material details	
(c) other discrepancy / not in the prescribed format	Advice
(a) Record of in person verification of clients at the	Rs 500 per client
time of client registration not maintained	
(b) Other discrepancies in carrying out in person	Advice
verification of clients	
Copy of client registration documents not delivered /	Advice
Trading Code, UCC and mail id not communicated	
in writing	
Bank and demat account operations	
(a) Separate clients bank or demat account not	Rs. 5,000/-
maintained	
(b) Pay in / payout not received from / delivered to	In excess of 2% of number of
respective clients	instances, fine of Rs 5,000/- else
	advice
(c) Non-segregation of own and clients' funds or	In excess of 2% of number of
securities	instances, fine of Rs 5,000/- else
	advice
(d) Delay in release of payout of funds / securities	In excess of 2% of number of
	instances, fine of Rs 5,000/- else
	advice
Use of multiple codes for a client or own trades	Advice
Quarterly statement of accounts for funds or	In excess of 2% of number of
securities not sent	clients, fine of Rs 5,000/ Other
	discrepancies – Advice
Cash dealings with clients	0.1% of the value
Exclusive e-mail id for investors' complaints not	Advice
created or not displayed	I
Transfer of trades / Errors at the time of order entry	In excess of 2% of number of
	orders executed, fine of 0.1% of value of trades
Evasion of margin	0.1% of the value of trades subject
Evasion of margin	to minimum of Rs 10,000/-
Mis-utilisation of clients' funds and/or securities	Rs. 1,00,000/- or 0.1% of the value
ivits-utilisation of chefits Tunds and/of securities	of misuse whichever is higher
Excess brokerage charged	First Instance - TM to be advised
Excess brokerage charged	to refund the excess brokerage
	to retuild the excess blokelage
	<b>Subsequent</b> - TM to be advised to
	refund the excess brokerage and
	fine equal to the excess brokerage
	charged or Rs 5,000/- whichever is
	higher
If brokerage not charged at all	Advice

Permitted Funding to clients (includes activity whereby member is charging interest and allowing further exposure to clients in spite of debit balances) Informing the investors / general public about cancellation of registration of its sub-broker(s) Pending Investor complaint  II - Contract Notes Non issue of Contract Notes Issued with material discrepancies / Duplicates or copies or proof of dispatch of contract notes not maintained/ Consent of client not obtained for sending ECN/ Not issued within 24 hours of trade execution/ Not signed by authorized signatory ECN Log report not maintained in case of bounced back mails, ECN not displayed on website, ECN's sent to Email accounts other than those created / provided by clients Contract Note issued without pre-printed serial no. Issuance of False Contract Notes  III - Margin Trading Margin trading facility in scrip's other than permitted Short collection of margin in excess of 20% Other procedural contraventions Agreement not executed with clients IV - Trading System & Office Management Unauthorised extension of terminal Non-display of notice board or SEBI registration certificate Non-appointment of compliance officer Execution of trades on own account from locations other than those permitted by the Exchange Non-compliance with PMLA requirements (a) Non maintenance of Written procedures relating to PMLA (b) Non Appointment of Principal Officer / Non Intimation of change of Principal Officer to FIU Delhi (c) Non-Implementation of systems in place to monitor, identify suspicious transaction and		I . 1 ·
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member is charging interest and allowing further exposure to clients in spite of debit balances)  Informing the investors / general public about cancellation of registration of its sub-broker(s)  Pending Investor complaint Advice  II - Contract Notes  Non issue of Contract Notes  Issued with material discrepancies / Duplicates or copies or proof of dispatch of contract notes not maintained/ Consent of client not obtained for sending ECN/ Not issued within 24 hours of trade execution/ Not signed by authorized signatory  ECN Log report not maintained in case of bounced back mails, ECN not displayed on website, ECN's sent to Email accounts other than those created / provided by clients  Contract Note issued otherwise than in format prescribed by the Exchange  Contract Note issued otherwise than in format prescribed by the Exchange  Contract Note issued without pre-printed serial no.  Issuance of False Contract Notes  III - Margin Trading  Margin trading facility in scrip's other than permitted  Short collection of margin in excess of 20%  Rs. 10,000/- Other procedural contraventions  Rg. 10,000/- Agreement not executed with clients  IV - Trading System & Office Management  Unauthorised extension of terminal  Non-display of notice board or SEBI registration certificate  Non-appointment of compliance officer  Non-appointment of compliance officer  Non-appointment of compliance officer  Rs. 5,000/-  Execution of trades on own account from locations other than those permitted by the Exchange  Non-compliance with PMLA requirements  (a) Non maintenance of Written procedures relating to PMLA  (b) Non Appointment of Principal Officer / Non Intimation of change of Principal Officer to FIU  Delhi  (c) Non-Implementation of systems in place to monitor, identify suspicious transaction and		
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Margin trading facility in scrip's other than permitted  Short collection of margin in excess of 20%  Other procedural contraventions  Agreement not executed with clients  IV - Trading System & Office Management  Unauthorised extension of terminal  Non-display of notice board or SEBI registration certificate  Non-appointment of compliance officer  Execution of trades on own account from locations other than those permitted by the Exchange  Non-compliance with PMLA requirements  (a) Non maintenance of Written procedures relating to PMLA  (b) Non Appointment of Principal Officer/ Non Intimation of change of Principal officer to FIU  Delhi  (c) Non-Implementation of systems in place to monitor, identify suspicious transaction and	III Manain Tanakina	Contract Note
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Intimation of change of Principal officer to FIU  Delhi  (c) Non-Implementation of systems in place to monitor, identify suspicious transaction and		1
Delhi  (c) Non-Implementation of systems in place to monitor, identify suspicious transaction and	1	
(c) Non-Implementation of systems in place to monitor, identify suspicious transaction and	Intimation of change of Principal officer to FIU	
monitor, identify suspicious transaction and	Delhi	]
	(c) Non-Implementation of systems in place to	
procedures for reporting the same to FIU Delhi	monitor, identify suspicious transaction and	
II	procedures for reporting the same to FIU Delhi	

(d) Non Adoption of quotomon due diligence	Advisa
(d) Non Adoption of customer due diligence	Advice
(e) Non Maintenance of records of transactions and	Advice
on going training to staff members	
Submitting wrong of Compliance Certificate	Rs. 10,000/-
TM involved in business other than securities	Rs.25,000/- and /or suspension
business	
V - Books of Accounts	
Non-maintenance of client ledger	Rs. 10,000/-
Segregation of Exchange wise client ledgers not	Rs. 10,000/-
maintained	
Client ledger not maintained properly	Rs. 5,000/-
Client-wise Scrip wise Register of securities not	Rs. 10,000/-
maintained	
Register of Securities not in the prescribed format	Advice
Discrepancies / Incorrect details in Register of	Rs. 5,000/-
Securities	
Books (Except Client ledger) not maintained	Rs 5,000/- per book subject to
	maximum of Rs.10,000/-
Books (Except Client ledger) not maintained	Rs 5,000/- per book subject to
properly	maximum of Rs.15,000/-