

LEC (NRIs)

[Paragraph 10C.23(i)]

Statement showing company-wise details of total purchases and sales of equity shares/convertible debentures made through designated branches of ADs under Portfolio Investment Scheme on behalf of their NRI/OCB clients

Name and address of the Link Office _____

Sr.No. _____

INSTRUCTIONS

- i) This statement should be serially numbered and must be submitted to the Reserve Bank on the following working day.
- ii) If no purchases/sales are made on any particular day, a 'nil' statement need not be submitted to the Reserve Bank.
- iii) All purchase and sale transactions for which a firm commitment has been made to acquire or transfer equity shares/convertible debentures in the form of the broker's contract notes issued by recognised stock exchange brokers, should be included in this statement on the same day, irrespective of whether the actual deliveries have been effected or not.
- iv) Designated bank branches should obtain the broker's contract notes/intimations of actual purchase/sale transactions on the date of the transaction itself so that such purchases/sales could be included in the daily statement.
- v) All purchases/sales of shares/convertible debentures both on repatriation and non-repatriation basis under Portfolio Investment Scheme only should be included in this statement. Sale of shares/debentures acquired out of new issues directly from Indian companies should not be reported in this statement.

Name of the company (indicate full name)	Type of security	Whether Repatriable or Non-Repatriable	PURCHASES				SALES			
			No.	Face value per share/debenture	Debenture Series No. (indicate the Series No.)	Total purchase price	No.	Face value per share/debenture	Debenture Series No. (indicate the Series No.)	Total sale proceeds
1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.
	1.Equity shares 2.PCDs/ FCDs 3.Others (to be specified)	Repatriable								
	1.Equity shares 2.PCDs/ FCDs 3.Others (to be specified)	Non-Repatriable								

We hereby certify that the above statement includes all the purchases and sales of equity shares and convertible debentures made on _____ by all the designated branches in India of our bank through stock exchanges in India on behalf of non-residents of Indian nationality/origin (NRIs) and overseas companies, partnership firms, societies and other corporate bodies owned by such persons to the extent of at least 60 per cent (OCBs) or NRIs/OCBs themselves. We also certify that the investments in each company by any single NRI does not exceed 5% of the paid up capital/each series of convertible debentures.

Place _____

Date _____

Stamp

(Signature of Authorised Official)

Name : _____

Designation : _____

Forwarded to the Chief General Manager, Exchange Control Department, (Foreign Investment Division), Reserve Bank of India, Central Office, Central Office Building, 11th Floor, Shahid Bhagat Singh Road, Fort, Mumbai-400 001.