

## Membership Compliance Department

MEM-COMP/APP/null/2020

26/01/2021

### **Sub: Charges for non-submission of Daily Margin Trading Reporting for the month of January 2020**

As per SEBI comprehensive review of Margin Trading Facility, members were intimated to submit Margin Trading Files on a daily basis to the Exchange. The members were intimated to submit the files successfully by 12 pm of the next trading day vide Exchange circular ref. no. NSE/COMP/36350 dated November 22, 2017.

#### **Charges / Action for non-submission:**

As per the decision taken by the Board in its meeting held on August 03, 2018 the charges prescribed for non-submission of successful Margin Trading Reporting is as follows-

For one such instance in a month Rs. 1000

For two to five such instances in a month – Rs. 2000 per day for the number of instances

For more than five instances in a month- Withdrawal of Margin Trading Facility

Members were also intimated about the applicable charges for non-submission of Daily Margin Trading Reporting in the circular, NSE/INSP/39732 dated December 21, 2018.

**The current status of non-compliance for the month of January 2020 is as under:**

Category	Particulars	Count
I	Members who have not done margin trading reporting for one instance	-
II	Members who have not done margin trading reporting for two to five instances	-
III	Members who have not done margin trading reporting for more than five instances	-

**Category I** – Members who have not done margin trading reporting for one instance and hence charges of Rs. 1000/- are applicable for the below mentioned members:

Sr. No.	Member Code	Member Name	Amount (Rs.)
-	-	-	-
	<b>Total</b>		-

**Category II** – Members who have not done margin trading reporting for two to five instances in a month:

Sr. No.	Member Code	Member Name	Number of instances	Amount (Rs.)
-	-	-	-	-
	<b>Total</b>			-

**Category III** - Members who have not done margin trading reporting for more than five instances in a month:

Sr. No.	Member Name	Number of instances	Remarks
-	-	-	-

If approved, for category I and II, the Enforcement department shall be informed to intimate Finance & Accounts to levy charges as proposed hereinabove.

Please refer Annexure Annexure MTR Jan2020.xlsx for dates on which member has not done margin trading reporting.

Submitted for approval.  
null null

Approved By