

Membership Compliance Department

MEM-COMP/APP/null/2020

33/02/2021

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.)
-	-	-	-
	Total		-

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.)
-	-	-	-	-
	Total			-

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.
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Approved By