

Name of the AP	PAN of AP	No. of Clients Mapped to AP

Referral(Income Shared with AP)	Brokerage(Income Share with AP)	Date of Registration of AP

AP Registration Number	Last Inspection date	Last Inpection - Period (Date of End of last inpection period)

Turnover	No. of allotted Trading terminals	Start Date of Inspection(DD-MON-YYYY)

End Date of Inspection(DD-MON-YYYY)	BASIS OF INSPECTION (Top 50% registered AP based on Turnover of previous year(Yes/No))	BASIS OF INSPECTION (Mandatory Annual Inspection based on Turnover/Unauthorised Trading Complaint(Yes/No))

No of complaints for Unauthorised Trading (only number no special character)	BASIS OF INSPECTION (Ad-Hoc /Market Intelligence/Scanning of social Media (Yes/No))	BASIS OF INSPECTION (Sudden increase in AP Turnover /Client /Commission/Brokerage paid by Member (Yes/No))

Whether all clients are registered directly with the Trading Member only.(Complied/Not Complied)	There is no movement of Funds and securities between the clients and AP. (Complied/Not Complied)	There are no fixed payments at regular intervals to the clients mapped to AP.(Complied/Not Complied)
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There are no cash dealings done with clients by AP. (Complied/Not Complied)	The AP is not involved in any fund-based activities / collecting deposits from investors / unauthorised trading or any other such schemes.(Complied/Not Complied)	The AP is not involved in any illegal/dabba/paper trading. (Complied/Not Complied)
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The AP has not dealt with any unregistered intermediary on behalf of its clients/self.(Complied/Not Complied)	The AP is not involved in accepting deposits from the public and giving assured returns to their clients.(Complied/Not Complied)	Complaints received against AP pertaining to Assured Returns / Unauthorised Trading / Dabba Trading / associated with unregistered intermediary.(Complied/Not Complied)
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The AP does not offer any incentives to clients for opening trading accounts.(YES/NO)	AP has sought any authorisation to trade on behalf of its clients.(Complied/Not Complied)	Advertisements for soliciting business are not issued by the APs in newspapers / pamphlets / journals / magazines / emails including social media like Facebook or Instagram or telegram channels etc. without seeking appropriate approvals from the Exchange through the Trading Member. This includes not publishing performance returns etc. (YES/NO)
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All AP terminals are as per the information reported to the Exchange.(Complied/Not Complied)	Trading terminals are operated by approved and certified users.(Complied/Not Complied)	Adequate systems including voice recording have been put in place with a view to ensure recording of order placement from clients. Trading Members must ensure that APs who do not have trading terminals assigned to them cannot place trades on behalf of the Trading Members clients.(Complied/Not Complied)
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Documents like contract notes statement of funds daily margin statement are not generated and issued by the AP. However AP may provide administrative assistance in procurement of documents from the Trading Member after maintaining proper records of the same.(Complied/Not Complied)	The AP has not dealt with / or associated with any other Trading Member/AP on behalf of its clients/self on the same Stock Exchange.(Complied/Not Complied)	Trading activities/Turnover of AP/Clients mapped with the AP are monitored and necessary actions/investigations are undertaken on a timely basis. (Complied/Not Complied)
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The AP has the necessary infrastructure like adequate office space equipment and manpower to effectively discharge the activities on behalf of the Trading Member.(Complied/Not Complied)	Complaints received by and against the APs are handled appropriately and proper records are maintained. (Complied/Not Complied)	Proper segregation and demarcation are maintained at AP office.(Complied/Not Complied)
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Notice board of the Trading Member containing all details/information prescribed from time to time are displayed at the AP/s location.(Complied/Not Complied)	SEBI registration certificate of the Trading Member and registration letter issued by the Exchange is displayed at the location.(Complied/Not Complied)	As required by SEBI circular CIR/MIRSD/3/2014 dated August 28 2014 information about the grievance redressal mechanism available to investors is prominently displayed at the location.(Complied/Not Complied)
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Branch/AP records/data are properly maintained with confidentiality in a secure manner including sufficient backup.(Complied/Not Complied)	All clients mapped to the AP/Branch are notified at least thirty days before the change.(In case of change/shifting of location of AP/Branch)(Complied/Not Complied)	Notice Board and applicable SEBI registration certificates are immediately put up at the new location.(In case of change/shifting of location of AP/Branch) (Complied/Not Complied)
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The new location including details of terminals if any have been duly reported to the Exchange and the old location including terminals at the old location if any have been deactivated. (In case of change/shifting of location of AP/Branch) (Complied/Not Complied)	At the new location adequate systems including voice recording display of Notice Board and SEBI Registration certificates and terminals etc. have been promptly installed to ensure the smooth functioning of business operations and the recording of order placements from clients. (In case of change/shifting of location of AP/Branch) (Complied/Not Complied)	Any changes in the APs contact details such as registered / communication address email address mobile number or any changes in the Directors/ Partners of AP are not reported/ incorrectly reported to the Members.(Complied/Not Complied)
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The APs mobile number and email address are not mapped to any of its client in UCC uploaded to Exchange. (Complied/Not Complied)	Whether any other non-compliance observed(Yes/No)	In case of any other Non-Compliance...please provide details

Whether any of the finding are repetitive in nature(Yes/No)	In case of any schemes are offered...please provide details.	Whether any Disciplinary/Corrective action taken (Yes/No)

Type of Action taken (Advise/Warning/Penalty/Others)
