

ANNEXURE 1

Guidelines for Quarterly Compliance Reporting under Surveillance Obligation for Trading Members

Frequency of Reporting	Quarterly
Last day of Submission	15 calendar days from the end of quarter

Format and File Structure of quarterly compliance reporting:

File Format I: Status of Alerts generated by the Trading member

Name of Alert	No. of alerts under process at the beginning of quarter	No. of new alerts generated in the quarter	No. of alerts verified & closed in the quarter	No. of alerts referred to Exchange (*)	No. of alerts pending / under process at the end of quarter

Sr. No.	Field Name	Length (Max)	Description
1.	Name of the Alert	Char (upto 150 including space)	Alpha numeric
2.	No. of alerts under process at the beginning of quarter	Number (upto 5 digits)	Numeric
3.	No. of new alerts generated in the quarter	Number (upto 5 digits)	Numeric
4.	No. of alerts verified & closed in the quarter	Number (upto 5 digits)	Numeric
5.	No. of alerts referred to Exchange (*)	Number (upto 5 digits)	Numeric
6.	No. of alerts pending / under process at the end of quarter	Number (upto 5 digits)	Numeric

File Format II: Details of alerts referred to the Exchange

Sr. No.	Date of Alert	Type of Alert	Brief observation and details of action taken	Date referred to Exchange

Sr. No.	Field Name	Length (Max)	Description
1.	Sr. No.	Number (upto 5 digits)	Numeric
2.	Date of Alert	ddmmyyyy	ddmmyyyy
3.	Type of Alert	Char (upto 150 including space)	Alpha numeric
4.	Brief observation and details of action taken	Char (upto 3000 including space)	Alpha, Numeric, Special characters
5.	Date referred to Exchange	ddmmyyyy	ddmmyyyy

File Format III: Details of any major surveillance action taken (other than alerts referred to Exchange), if any, during the quarter:

Sr. No.	Brief action taken during the quarter

Sr. No.	Field Name	Length (Max)	Description
1.	Sr. No.	Number (upto 5 digits)	Numeric
2.	Brief action taken during the quarter	Char (upto 3000 including space)	Alpha, Numeric, Special characters

- In case of Upload Files, all the 3 tables mentioned above need to be uploaded separately in (.csv) format.
- In case after successfully uploading the quarterly compliance reports, trading member re-submits the quarterly compliance reports, the reporting made earlier shall be overwritten and latest submission date shall be considered as date of submission by the trading member. Re-submission will be allowed till 15th day from the end of the relevant quarter.
- Files with success status only shall be considered as due compliance by the trading member.
- ***In case where Trading members has nothing to report under File Format II and/ or under File Format III, a facility has been provided to submit 'NIL Report' in the BEFS.***
- ***Once trading members successfully submits the files and or Nil Report as above, email will be sent to trading members confirming successful submission of quarterly compliance.***

*******End of Document*******