



NOTICES

Notice No.	20200821-30	Notice Date	21 Aug 2020
Category	Compliance	Segment	General
Subject	Weekly Submission of Holding Statement		
Attachments	Annexures.zip ;		
Content			

This is in continuation to Exchange Notice No. 20180830-31 dated August 30, 2018, 20181115-27 dated November 15, 2018, 20190104-33 dated January 4, 2019, 20190412-43 dated April 12, 2019 and 20190802-34 dated August 2, 2019 regarding standardization of Register of Securities (ROS), Holding Statement, Bank book and Client Ledger and weekly submission of holding statement data.

Stock Brokers are advised to comply with the requirement and upload the Holding Statement data and Nil Holding data electronically for all dates (Monday to Saturday) of the reporting week on or before the next four trading days of subsequent week through BEFS Portal.

Henceforth, the aforesaid data / details for all days of the week except Sunday shall be required to be submitted on or before the next four trading days of subsequent week.

Kindly note that data file can't be revised after the due date of submission and file with success status shall be considered as final submission.

Stock brokers are required to upload of a single file for all the dates (Monday to Saturday) in the week i.e. day-wise Holding Statement by selecting the working day. The revised file naming convention shall be PAN_HS_DDMMYYYY wherein PAN shall be the Stock broker's PAN and date shall be end of the reporting week (i.e. Saturday). The file format shall be CSV (comma separated) + ZIP, same has been attached as **Annexure - 1**.

Stock brokers are also required to upload 'Nil file' for all the dates (Monday to Saturday) in the week i.e. day-wise Holding Statement by selecting the working day. The revised file naming convention shall be PAN_NH_DDMMYYYY wherein PAN shall be the Stock broker's PAN and date shall be end of the reporting week (i.e. Saturday). The file format shall be CSV (comma separated) + ZIP, same has been attached as **Annexure - 2**.

Further, the Stock Brokers shall not be required to upload data in "NIL file" for the following clients:

- **Client accounts wherein no trades have been carried out since last 12 (Twelve) months across all Exchanges and also having NIL securities balances.**

A user manual (**Annexure - A**) for submitting the information is enclosed for ready reference.

Further, for convenience of the Stock Brokers for uploading the holding statement, guidelines (in Q & A format) is attached as **Annexure - B**.

Please be informed that non/late submission would attract penalties/disciplinary action as per BSE Notice No. 20190520-34 dated May 20, 2019 as below: -

Particulars	Disciplinary Action/Charges
Late/Non-submission	Rs. 10,000/day
	In case of non-submission for second consecutive week, no new client registration to be allowed
	In case of non-submission for third consecutive week, Stock broker shall be disabled in all segments and across all Exchanges.

Note:

1. Late Submission charges shall be levied only till the due date of next submission cycle.
2. Stock broker will not be permitted to upload the next submission cycle unless the previous one is uploaded.

All members are advised to take note of the same and comply.

In case of any clarifications, you may contact us on:

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For and On behalf of BSE Ltd.

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