CLEARING, SETTLEMENT & RELATED FUNCTIONS

1. **Clearing and Settlement for Segments** -

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sr. No. | Name of Segment | Average Daily Settlement Value (INR Crores)\* | | Highest Settlement Value for the Month (INR Crores) |
| 1 | Equity market | Funds |  |  |
| Securities |  |  |
| 2 | Equity Derivatives | |  |  |
| 3 | Currency Derivatives | |  |  |
| 4 | Debt Market | Funds |  |  |
| Securities |  |  |
| 5 | ITP | Funds |  |  |
| Securities |  |  |

*\* Average Daily Settlement Value = Total Settlement Value for the Month/ Total number of trading days Total Settlement Value shall include settlement value of normal trades, trade for trade and block deals*

1. **Top 10 Settlement Shortages for each segment**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Sr.  No. | Name of Member | Shortage in Segment | Date of Settlement (for  which there was a shortage) | Number of times the Member had  settlement shortages in the previous 6 months | Shortage Type  (Funds/ Securities) | Amount (INR  Crores) |
|  |  |  |  |  |  |  |

*Note : In cases of repetitive shortages by members, action taken by the Clearing Corporation, if any -*

1. **Penalty Imposed on Short / Non-Collection of Margins / Margin Violation/ Settlement Shortages and other penalties Imposed/collected by Clearing Corporation -**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sr. No. | Type of Penalty Collected | Number of members | Amount of Penalty | Interest on Penalty | To which fund it is transferred (IPF/ SGF) |
|  |  |  |  |  |  |

*Note:*

*IPF - Investor Protection Fund SGF - Settlement Guarantee Fund*

1. **Securities lending and borrowing**

|  |  |  |
| --- | --- | --- |
| Sr. No. | Particulars | Figures |
| 1 | Number of securities permitted |  |
| 2 | Number of securities traded |  |
| 3 | Turnover for the month (INR) |  |
| 4 | Lending fees collected (INR) |  |

1. **Members declared Defaulter/Expelled**

|  |  |  |  |
| --- | --- | --- | --- |
| Sr. No | Name of Member declared defaulter/ Expelled | Date of default/ Expulsion | Reason for declaring defaulter/ Expulsion |
|  |  |  |  |

1. **Corpus of core SGF (for the Month of , 20XX)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Sr No | Segment | Minimum Required Corpus (INR  crores)\* | Contributions towards MRC by | | | Other Contributi ons  \*\* | Total SGF Available with the Clearing Corporation |
| Clearing Corporation (INR crores) | Stock Exchange (INR  crores) | Members (INR  crores) |
| 1 | Equity market |  |  |  |  |  |  |
| 2 | Equity Derivatives |  |  |  |  |  |  |
| 3 | Currency Derivatives |  |  |  |  |  |  |
| 4 | Debt Market |  |  |  |  |  |  |
| **Total** | |  |  |  |  |  |  |

*\* Minimum Require Corpus (MRC) as applicable for the month*

*\*\*Other Contributions shall include Penalties, Interests and other accruals to SGF*

1. **Investment of Core SGF**

|  |  |  |  |
| --- | --- | --- | --- |
| Sr No | Instrument of Investment | Amount (INR crores) | Tenure of Investment |
|  |  |  |  |

CLEARING CORPORATION ADMINISTRATION

1. **Composition of Governing Board (To be reported in case of change)**:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Sr.  No. | Names | Category | Date of Appointment | Date of Last Renewal of the term | No. of terms completed | Date of  Expiry of current term |
|  |  |  |  |  |  |  |

1. **Composition of Statutory/Standing Committees (To be reported in case of change):**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Sr.  No. | Names | Category | Date of Appointment | Date of Last Renewal of the term | No. of  terms completed | Date of Expiry of current term |
|  |  |  |  |  |  |  |

1. **Board Meeting / Annual General Meeting / Extra Ordinary General Meeting Held During the Month:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sr.  No. | Date of the Meeting | Names of Members who attended the Meeting | Board Meeting/ AGM/EGM | Main Heading of Agenda |
|  |  |  |  |  |

1. **Important Decisions taken by governing board in the meeting(s).**

MISCELLENEOUS

1. **Net worth as on March/ June/ September/ December 20XX (INR crores)** -
2. **Shareholding pattern as on date -**

|  |  |  |  |
| --- | --- | --- | --- |
| Sr. No. | Entity | Shares | % Equity |
|  |  |  |  |

1. **Implementation status of Circulars of Regulator**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Circular No. & date | Provisions in the circular (Subject) | Implemented (Y/N) | Date of implementation of the provisions | In case not implemented, reasons for non- implementation |
|  |  |  |  |  |

1. **No. of Clearing Member/Self Clearing Member/Professional Clearing Member segment wise.**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Segments | SCM | | TMCM | | PCM | | Custodian | |
| Total | Enabled | Total | Enabled | Total | Enabled | Total | Enabled |
|  |  |  |  |  |  |  |  |  |
| Total |  |  |  |  |  |  |  |  |

1. **Top 10 Clearing Members based on highest 'Daily Average Pay-In' obligation for each segment:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sr. No. | Name of Clearing  Member | Category (CM/SCM/PCM) | Segment | Amount (INR crores) \* |
|  |  |  |  |  |

*Note: Separate tables for each segment*

*\*Daily Average pay-in = Daily average value of Funds + Securities*

1. **Inspections of Clearing Members**

|  |  |  |
| --- | --- | --- |
| Sr. No | Number of Clearing members inspected during the period | Cumulative number of Clearing embers inspected during the current Financial Year |
|  |  |  |

1. **Major Observations in Clearing Member Inspections, if any** -
2. **Any other matter that the Clearing Corporation would like to report.**