

# Branch Self Certification

Month/Year

Branch

Tag

SSJ Finance Group  
Merchant Chamber, 41, New Marine Lines,  
Opp. Patkar Hall,

Mumbai, Maharashtra  
India  
400020

Text

Respondent's

Name:

Position:

Phone:

**Number of Active Clients during the month (Traded during the month)**

**Number of accounts opened during the month**

**Number of accounts closed during the month**

**Amount of over dues, interest and penal charges recovered during the month**

**No. of cheques bounced during the month**

**Total No. of Margin cheques received during the month**

**No. of Clients seen as potential NPAs (total)**

**Value of potential NPA (total)**

**No. of Complaints regarding Non-receipt of Contract Notes & Cheques by the branch**

**No. of Complaints regarding discretionary trade**

**No. of Complaints - Others received by the branch**

**Are dealer terminals operated by the same persons whose certificates have been submitted to exchanges?**

Yes  No

**Whether the monthly reconciliation of all the terminals are being done by the Branch?**

Yes  No

**Whether KYC forms are scrutinised at the Branch before sending it to Head Office?**

Yes  No

**Whether suspicious transaction are monitored and reported to HO**

Yes  No

**Whether proper monitoring transactions that can lead to price rigging, circular trading or market manipulation are being done?**

Yes  No

**Whether the proper process for margin collection and its monitoring is being followed?**

Yes  No

**Do the branch obtain the appropriate approvals in place for exceptions and overdraft limit to client from RMS?**

Yes  No

**Whether the Branch are monitoring of Short Margin of clients?**

Yes  No

**Whether the Branch does not deal with clients who are in fact acting as unregistered sub-brokers/authorised person or any other unregistered intermediary?**

Yes  No

**Whether the Branch maintain compliant register?**

Yes  No

**Whether the proper review of the compliant register is being done?**

Yes  No

**Whether proper approvals are being obtained for any Advertisement made by branches during the month?**

Yes  No

**Is passing of brokerage to client being done?**

Yes  No

Whether the Branch are monitoring Active/Inactive clients?

Yes  No

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Whether the telephone recording are being carried out properly?

Yes  No

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Whether the trade confirmations are being provided to the clients?

Yes  No

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Whether the trades are being executed only on recorded lines?

Yes  No

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Whether the trades are not being executed on mobile phones?

Yes  No

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Whether the Branch has the confirmation of correctness and effectiveness of the recording system from the concerned department?

Yes  No

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Whether the Branch does not accept the blank DIS/Cheques from the Clients?

Yes  No

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Whether the Branch maintain the Order Log?

Yes  No

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Whether the Branch maintain the Trade Log?

Yes  No

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Whether the Branch monitors the cheque bouncing cases?

Yes  No

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Whether the Cheque Inward/Outward register for Funds Pay-in / Pay-out is being maintained?

Yes  No

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Whether the screen locking facility exists in such Trading Terminals if left idle for more than 5 min.?

Yes  No

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Whether the branch does not involved in any cash dealing with the clients?

Yes  No

Whether the third party cheques are not being accepted by the Branches?

Yes  No

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Whether Authority letter / PoA have been collected from clients where trades are carried out by other than client in client's trading account and copy of the same is submitted the same to HO?

Yes  No

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Whether any demand draft are being accepted, if yes, the prescribed procedure is followed?

Yes  No

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Whether the Branch had faced any Regulatory Inspections during the month?

Yes  No

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**Details of display of certificates/notice board, etc.**

SEBI - NSE Cash

Yes  No

SEBI - BSE Cash

Yes  No

SEBI - NSE FO

Yes  No

SEBI - BSE FO

Yes  No

SEBI - NSE CD

Yes  No

SEBI - MCX-SX CD

Yes  No

MCX

Yes  No

NCDEX

Yes  No

DOs and Dots -  
Exchanges and CDSL

Yes  No

SEBI - CDSL

Yes  No

Registered Office  
Address

Yes  No

Display Board

Yes  No

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[Please save the form and send the same to co@ssjfinance.com](mailto:co@ssjfinance.com)