FORM NO. 1

[*See* rule 4]

Monthly Statement to be furnished by a stock exchange in respect of transactions in which client codes have been modified after registering in the system for the month of …….

Sl. No.	**Particulars of the stock exchange**	
1.	Name	*(refer Note 1)*
2.	Address	*(refer Note 2)*
3.	Permanent Account Number	

4. Details of transaction in which client codes have been modified after registering in system are enclosed in a soft copy as annexure.

DECLARATION

I……(name of the principal officer) having Permanent Account Number …….. in my capacity as … of …. (name of stock exchange) hereby certify that all the particulars furnished above are correct and complete.

Place: …… Signature of the Principal Officer of the Stock Exchange

Date: …… Name:

Designation:

Annexure to FORM NO. 1
(Soft Copy)

Derivative Market (for scrips)

Sl. No.	Transaction ID	Brokers' Name	Brokers' Id	Original Client Code	Name of the original Client	PAN of the original client	Modified Client Code	Name of the modified Client	PAN of the modified client	Scrip Name	Scrip Code	Quantity	Rate	Total Value of Transaction	Buy or Sale	Date of Transaction
1																
2																
3																
4																
5																

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Derivative Market (for commodity)

Sl. No.	Transaction ID	Brokers' Name	Brokers' Id	Original Client Code	Name of the original Client	PAN of the original client	Modified Client Code	Name of the modified Client	PAN of the modified client	Commodity derivative name	Commodity derivative code	Quantity	Rate	Total Value of Transaction	Buy or Sale	Date of Transaction
1																
2																
3																
4																
5																

Cash Market

Sl. No.	Transaction ID	Brokers' Name	Brokers' Id	Original Client Code	Name of the original Client	PAN of the original client	Modified Client Code	Name of the modified Client	PAN of the modified client	Scrip Name	Scrip Code	Quantity	Rate	Total Value of Transaction	Buy or Sale	Date of Transaction
1																
2																
3																
4																
5																

Notes:

1. The name shall be provided in full.
2. The address shall contain i. Country/Region, ii. Flat/Door/Building iii. Road/Street/ Block/Sector, iv. PIN/ZIP Code, v. Post Office, vi. Area/locality, vii. District, viii. State.
3. Some of the information in the form would be pre-filled to the extent possible.
4. Amounts to be filled in ₹ unless otherwise provided.

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