

**CASH TRANSACTION REPORT (CTR) FOR AN INTERMEDIARY**

Kindly fill in CAPITAL. Read the instructions before filling the form.

**PART 1 DETAILS OF REPORT**

1.1 Month and year of report 2 0 0  
M M Y Y Y Y

1.2 Is this a replacement to an earlier report? NO YES (Tick ✓ as applicable)

1.3 Date of sending original report if this is a replacement report 2 0 0  
D D M M Y Y Y Y

**PART 2 DETAILS OF REPORTING BRANCH / FRANCHISEE**

2.1 Name of intermediary

2.2 SEBI registration number

2.3 ID allotted by FIU-IND

2.4 Address (No., Building)

2.5 Street/Road

2.6 Locality

2.7 City/Town, District

2.8 State, Country

2.9 Pin code

2.10 Tel (with STD code)

2.11 Fax

2.12 E-mail

**PART 3 DETAILS OF ACCOUNT**

3.1 Account number

3.2 Type of account  Trading account  Demat account  Account with Portfolio Manager  
 Other (Specify)

3.3 Type of account holder  Individual  Legal person/entity  Central/State Government  
 Central/State Government owned undertaking  Other

3.4 Date of account opening

**PART 4 LIST OF ACCOUNT HOLDERS**

	Name of Individual/Legal Person/Entity	Client code/number	Annexure
4.1			<div style="border-left: 1px solid black; border-right: 1px solid black; border-bottom: 1px solid black; height: 100px; width: 100%;"></div>
4.2			
4.3			
4.4			
4.5			

Mention A for Individuals, B for Legal Person/ Entity

Mention appropriate annexure number

Tick ✓ to confirm

(Details of all account holders should be furnished in prescribed annexure)

Number of additional sheets for PART 4 attached (Leave blank if space provided above is sufficient and no extra sheet is attached)



## CASH TRANSACTION REPORT (CTR) FOR AN INTERMEDIARY INSTRUCTIONS

### GENERAL INSTRUCTIONS

#### The Prevention of Money Laundering Act 2002

Under the Prevention of Money Laundering Act 2002, every intermediary shall furnish details of :

(A) All cash transactions of the value of more than rupees ten lakhs or its equivalent in foreign currency;

(B) All series of cash transactions integrally connected to each other which have been valued below rupees ten lakhs or its equivalent in foreign currency where such series of transactions have taken place within a month;

Provided that where the principal officer of an intermediary has reason to believe that a single transaction or series of transactions integrally connected to each other have been valued below the prescribed limit so as to defeat the provisions of this section, such officer shall furnish information in respect of such transactions to the Director within the prescribed time.

#### How to submit

Every branch/franchisee must submit this form to the Director, FIU-IND only through the principal officer of the intermediary designated under PMLA, 2002

### EXPLANATION OF SPECIFIC TERMS

#### PART 1: DETAILS OF REPORT

Replacement report is a report submitted in replacement of an earlier CTR. When a replacement report is submitted, date of submitting original CTR may be mentioned and the complete CTR has to be submitted again.

#### PART 2: DETAILS OF REPORTING BRANCH / FRANCHISEE

Particulars of the branch/franchisee in which the reported account is maintained should be submitted in this part.

2.3. ID allotted by FIU-IND may be left blank till the same is communicated by FIU-IND.

#### PART 3: DETAILS OF ACCOUNT

A separate CTR is required to be filed for each reported account.

#### PART 4: LIST OF ACCOUNT HOLDERS

Client code/number is the number allotted by the intermediary to identify the client. Enclose a separate annexure for each account holder.

#### PART 5: LIST OF OTHER RELATED PERSONS

The Client code/number may be mentioned if the related person is also a client of the intermediary. The related person can be of following types:

- “B”- Authorised signatory
- “C”- Director/Partner/Member etc. of a Legal Person/Entity
- “D”- Introducer
- “E”- Guarantor
- “Z” - Other

Enclose a separate annexure for each related person.

#### PART 6: DETAILS OF TRANSACTIONS

**Debit**- Cash withdrawn from the account.

**Credit**- Cash deposited in the account.

The amount should be rounded off to nearest rupee without decimal. If this amount was not in Indian Rupees, it should be converted into rupees. Mention any other information related to the transaction (such as amount and type of foreign currency) in the Remarks column.

#### PART 7: CUMULATIVE TOTALS

7.1. Total of all debit entries in the account from 1st April of the financial year till the last day of the month of reporting.

7.2. Total of all credit entries in the account from 1st April of the financial year till the last day of the month of reporting.

**ALL ANNEXURES MUST BE ENCLOSED.**