

SUMMARY OF CASH TRANSACTION REPORTS (CTRs) 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

The principal officer should submit this summary alongwith CTRs received from branches/franchisees to the Director, FIU-IND.

Address	Director, FIU-IND Financial Intelligence Unit-India 6th Floor, Hotel Samrat Chanakyapuri, New Delhi -110021 India
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EXPLANATION OF SPECIFIC TERMS

PART 1: DETAILS OF THE SUMMARY

Separate summary should be furnished for each month. Supplementary summary is required to be submitted where a summary for the month has already been submitted. In case of supplementary summary, only additional CTRs need to be enclosed.

PART 2: DETAILS OF THE PRINCIPAL OFFICER

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

2.4. Category of the intermediary

"A"- Stock brokers
 "B"- Sub-brokers
 "C"- Share transfer agents
 "D"- Bankers to an issue
 "E"- Trustees to trust deed
 "F"- Registrars to issue
 "G"- Merchant bankers
 "H"- Underwriters
 "I"- Portfolio Managers
 "J"- Investment advisers
 "K"- Depositories
 "L"- Depository Participants
 "M"- Custodian of securities
 "N"- Foreign institutional investors
 "O"- Credit rating agencies
 "P"- Venture capital funds
 "Q"- Collective investment schemes
 "R"- Mutual Funds
 "Z"- Others

PART 3: STATISTICS FOR THE MONTH

3.1. Number of branches/franchisees of the intermediary.

3.2. Number of branches/franchisees which have sent CTRs or submitted NIL report for the month.

3.3. Number of branches which have submitted CTRs for the month.

3.4. Number of original CTRs (accounts) should match with the original CTRs enclosed with this summary.

3.5. Number of replacement CTRs (accounts) should match with the replacement CTRs enclosed with this summary. All replacement CTRs received from branches/franchisees should be enclosed at the end of the reports for the month.

3.6. This figure should be the cumulative total of 3.4. above for the all the summaries of the month

ALL CTRs MUST BE ENCLOSED.