

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : COMPLIANCE	
Download Ref. No. : NSE/COMP/34029	Date : January 18, 2017
Circular Ref. No. : 296/2017	

To All Members,

Sub.: Updation of Associate details

This has reference to SEBI circular CIR/MRD/DSA/01/2016 dated January 01, 2016 and Exchange circulars NSE/COMP/31683 dated February 03, 2016 and NSE/COMP/32001 dated March 17, 2016 regarding procedures for ensuring compliance with Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) by Listed Stock Exchanges which stipulates that in case of a listed Stock Exchange, the shareholding of trading members or their associates and agents should not exceed 49 per cent. Accordingly, the Exchange requires data relating to associates of Members which shall be used for the purpose of allocation in the BSE IPO and continuous monitoring and maintenance of the public shareholding.

Members have submitted the details of their associates as part of the Risk based Supervision (RBS) submission for the half year ended September 30, 2016. Members are requested to view the submission made by them with respect to the Associate details, by logging into the Member portal (Screenshot is enclosed as **Annexure-1**).

In case of any change in the same, Members are advised to provide/update the details of their associates as per format provided as **Annexure-2** in excel sheet and forward it to email id report_mem@nse.co.in. As per information available with us, BSE IPO is opening on January 23, 2017 and the Associate data is required by January 19, 2017 failing which the details of the associates submitted as part of the RBS shall be considered final and used for this purpose. In case of any changes in future, Members are advised to inform such change to the Exchange through the said email id in the format provided.

For and on behalf of
National Stock Exchange of India Limited

Nipa Simaria
Chief Manager

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