

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : COMPLIANCE	
Download Ref. No. : NSE/COMP/36922	Date : February 7, 2018
Circular Ref. No. : 6/2018	

To All Members,

Sub: Reminder for Sub-broker renewal fees for block of five financial years ending March 2023

Exchange vide circular ref. no. NSE/COMP/36772 dated January 18, 2018 has intimated the members about the provisional list of sub-brokers eligible for renewal fees for block of five financial years ending March 2023 which shall become due on April 01, 2018.

Members were also provided a provisional list of sub-broker(s) through FTP (Path: memltrs\dnld).

In this regard, members are once again requested to submit either of the following application(s) on or before **March 20, 2018** for the sub-brokers who fall under the registration period April 01, 2008 to March 31, 2009 and April 01, 2013 to March 31, 2014 and do not wish to continue their business with the trading member as a sub-broker after March 31, 2018 to avoid the payment of renewal fees:

- a. Surrender of sub-broker registration or
- b. Conversion of sub-broker to Authorized Person (ensure Authorized Person is registered on or before **March 20, 2018**)

Further the trading members are requested to note that:

1. In case of any clarification or changes in the list of sub-brokers sent through FTP, kindly send an e-mail at compliance_mem@nse.co.in with subject "Sub-broker Renewal fees";
2. If incomplete/discrepant application for sub-broker cancellation or conversion of sub-broker to Authorized Person is received, then the application will not be considered and sub-broker renewal fees shall be applicable.

For and on behalf of
National Stock Exchange of India Limited

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