

National Stock Exchange Of India Limited**Department : COMPLIANCE**

Download Ref No: NSE/COMP/40041

Date : January 25, 2019

Circular Ref. No: 05/2019

To All Members,

Sub: Updation of PAN details of KMP and Directors

As part of compliance with respect to Enhanced Supervision of Stock Brokers/Depository Participants, members are required to identify their KMP (Key Management Personnel) and update their PAN details alongwith the PAN details of their Directors on the Exchange platform.

All members are required to note that they have to upload PAN copy against each and every Director under Directors Details module on ENIT New Compliance alongwith updation of KMP(s) details. Members can identify and declare any one or more personnel as their KMP(s) from the given list as per their constitution: CEO or MD or Manager, Company Secretary, CFO, Director(s), Compliance Officer, Proprietor, Partners and any other competent personnel as identified by the member.

The functionality to update the same has been provided on ENIT New Compliance on Member Portal. Detailed procedure is explained at Annexure I.

Members have to comply with the aforementioned requirement latest by April 30, 2019 and failing to submit/update the PAN details of their KMP(s) and Directors latest by April 30, 2019 will be treated as non-compliance and attract a penalty of Rs. 5000 /- in accordance to our circular ref. no. NSE/INSP/36248 dated November 06, 2017. Members are also required to note that any change in the aforesaid information/details has to be updated within 7 days of such change. Failure to adhere will be treated as non-compliance.

In case of any clarifications/suggestions, members are requested to contact the Membership Compliance department at toll free no. 1800 266 0058 or at email id: compliance_mem@nse.co.in.

For and on behalf of

National Stock Exchange of India Limited**Dr. Dinesh Kumar Soni****VP & Head-Inspection, Membership & Exchange Compliance**

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