

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

Download Ref No: NSE/COMP/48397

Date : May 26, 2021

Circular Ref. No: 52/2021

To All Members,

Sub: Updation of PAN details of KMP

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 on the Exchange platform.

Members are required to note that –

1. Members shall refer to the definition provided under sec. 2(51) of the Companies Act, 2013, in order to ascertain Key Management Personnel which include (i) the Chief Executive Officer or the Managing Director or the Manager; (ii) the Company Secretary; (iii) the Whole-time Director; (iv) the Chief Financial Officer; and (v) such other officer as may be prescribed. Further, the Member can also identify and declare any one or more personnel as their KMP(s) from the given list as per their constitution: Directors, Compliance Officer, Proprietor, Partners or any other competent personnel as identified by the member.
2. PAN copy is required to be uploaded against the name of the personnel identified as KMP in ENIT New Compliance on Member Portal. Detailed procedure is provided in Annexure I.
3. Members who have already submitted the details and have no changes to update need not make any further submission. However, members who are yet to submit the details or have changes to be updated are required to comply with the aforementioned requirement latest by **June 30, 2021**.
4. Failure to submit/upload the details on ENIT within the prescribed timelines, would be treated as non-compliance and attract a levy of late submission charges of Rs. 5,000 /- in accordance to our circular ref. no. NSE/INSP/36248 dated November 06, 2017.
5. 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.

Members are requested to ensure compliance of the above.

For and on behalf of

National Stock Exchange of India Limited**Srijith Menon****Associate Vice President**

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