



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION	
Download Ref.No.: NSE/INSP/34379	Date : March 15, 2017
Circular Ref.No.: 300/2017	

To All Members

Sub : System for submission of data for monitoring of Clients' Funds lying with the Stock Broker

Exchange has provided a facility in the Member portal (Connect2NSE) to facilitate Members to upload the data for reconciliation towards monitoring of clients' funds which includes data such as client ledger & bank balances, details of collaterals and margin obligations etc.

All Members are requested to use this facility, train their staff on the same and ensure preparedness to meet this requirement as and when the SEBI circulars SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 & SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/138 dated September 26, 2016 and December 20, 2016 respectively on "Enhanced Supervision of Stock Brokers" becomes applicable. Participation by Members will also help in identifying any difficulties/concerns while working on this facility.

Members can access this facility electronically every month through the Inspection module in the Member portal and submit the data as on last day of the previous month for testing the system. Currently, Members can start submitting the information relating to February 2017 and subsequently every month for March 2017, April 2017 & May 2017 respectively. The procedure for submitting the information through the Inspection module in the Member portal is given in **Annexure-A** of this circular.

All Members are advised to take note of the above.

**For and on behalf of
National Stock Exchange of India Limited**

**Srijith Menon
Manager-Inspection**

Enclosed: Annexure –A

In case of any clarifications, Members may contact our below offices:

CENTRE	CONTACT NO.	EMAIL ID
Ahmedabad	079-49008632	inspectionahm@nse.co.in
Chennai	044-28479915 / 17	inspection_cro@nse.co.in
Delhi	011-23459138/146/127	delhi_inspection@nse.co.in
Kolkata	033-40400411 / 406	inspection_kolkata@nse.co.in
Mumbai	022-25045259/224/227	compliance_wro@nse.co.in

Telephone No	Fax No	Email id
1800 2200 51	022-26598194	compliance_assistance@nse.co.in