



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION

Download Ref.No.: NSE/INSP/35911

Date : September 25, 2017

Circular Ref.No.: 314/2017

To All Members,

Sub : Clarification to Enhanced Supervision circular

This has reference to SEBI circulars SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016, SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/138 dated December 20, 2016 and CIR/HO/MIRSD/MIRSD2/CIR/P/2017/64 dated June 22, 2017 and Exchange circulars NSE/INSP/33276 dated September 27, 2016, NSE/INSP/33861 dated December 21, 2016 and NSE/INSP/35184 dated June 23, 2017 on Enhanced Supervision of Stock Brokers.

In order to address the operational difficulties faced by the Members and based on the representations from the Stock Exchanges, SEBI vide their circular dated September 25, 2017 bearing Ref No. CIR/HO/MIRSD/MIRSD2/CIR/PB/2017/107, has issued clarifications on certain provisions of the circular on Enhanced Supervision. The copy of the said SEBI circular is enclosed herewith for reference.

All Members are advised to take note of the same and comply.

For and on behalf of
National Stock Exchange of India Limited

Srijith Menon
Senior Manager-Inspection

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

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