



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION

Download Ref.No.: NSE/INSP/36749

Date : January 15, 2018

Circular Ref.No.: 315/2017

To All Members,

Sub : Prevention of Unauthorised Trading by Stock Brokers

This has reference to SEBI circulars CIR/HO/MIRSD/MIRSD2/CIR/P/2017/108 dated September 26, 2017 & CIR/HO/MIRSD/MIRSD2/CIR/P/2017/124 dated November 30, 2017 and Exchange circulars NSE/INSP/35929 dated September 27, 2017 & NSE/INSP/36419 dated December 01, 2017 wherein all brokers were directed to execute trades of clients only after keeping evidence of the client placing such order.

In view of the representations received from Member Associations, SEBI vide its circular CIR/HO/MIRSD/MIRSD2/CIR/P/2018/09 dated January 11, 2018 has extended the timeline for implementation of the aforesaid circulars and has made the same applicable w.e.f **April 01, 2018**.

The copy of the said SEBI circular is enclosed herewith for reference as **Annexure-A**.

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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