

National Stock Exchange Of India Limited

DEPARTMENT : INSPECTION

Download Ref. No.: NSE/INSP/38743

Date : August 30, 2018

Circular Ref. No.: 337/2018

To All Members,

Sub: Standardisation of Register of Securities, Holding Statement, Bank Book and Client Ledger

This has reference to Regulation 6.1.3A (e), 6.1.5 (a) & (e) of NSEIL Capital Market Regulation, Regulation 6.1.6.1 (a) and 6.1.17A of NSEIL F&O Regulation and NSE circular Ref no. NSE/INSP/4986 dated April 16, 2004 regarding maintenance of Register of Securities, bank book and client ledgers.

In order to standardize the maintenance of books of accounts / records and ensure uniformity across all Members, a standard format for Register of Securities, Holding Statement, Bank Book and Client Ledger is prescribed herewith. The formats have been finalized in consultation with SEBI & Member associations.

Please find enclosed herewith the following Annexures in this regard:

1. Formats for Register of Securities, Holding Statement, Bank Book & Client Ledger-**Annexure A**.
2. Guidelines on its implementation for reference -**Annexure B**

The revised formats shall be applicable w.e.f. December 01, 2018. Members are advised to make necessary changes in their back office in order to comply with requirements.

Members shall preserve the aforementioned records for such periods as stipulated by the relevant Acts, Rules, Regulations and various circulars issued from time to time.

Members are requested to note that, post implementation of standard formats across the members, Exchange may seek periodic upload of data relating to funds and securities in the manner prescribed in the formats. The details of the same including the periodicity shall be informed in due course.

Members may further note that non-maintenance of Register of Securities, Holding Statement, Bank Book and Client Ledger in the prescribed format is a violation of the provisions of the Securities Contracts (Regulation) Rules 1957 / Regulations of the Exchange and will attract appropriate disciplinary action as per Rule 1 and 2 of Chapter IV of NSEIL Rules.

All members are requested to take note and comply.

For and on behalf of**National Stock Exchange of India Limited****Dr. Dinesh Kumar Soni****VP & Head- Inspection & Exchange Compliance**Enclosed: **Annexure A & B**

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

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