

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

Download Ref No: NSE/INSP/39393

Date : November 13, 2018

Circular Ref. No: 347/2018

To All Members,

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

This has reference to NSE circular no. NSE/INSP/38743 dated August 30, 2018 regarding maintenance of Register of Securities (ROS), Holding Statement, Bank book and Client Ledger.

Exchange shall seek periodic upload of day-wise Holding Statement in the specified standard format. The periodicity of reporting shall be weekly. Members have to submit the above mentioned data for all calendar days of that week on or before the next four trading days of subsequent week. This circular shall be applicable with effect from January 01, 2019. The first submission shall have to be made for the week ending on January 06, 2019.

Based on the representation received from Member associations and in consultation with SEBI, guidelines for maintenance of standardised books have been revised.

Please find enclosed herewith following Annexures:

1. Revised Guidelines on ROS, Holding Statement, Bank Book and Client Ledger - **Annexure B**
2. Guidelines for maintenance and uploading of Holding statement – **Annexure B(a)_Holding Statement**
3. Guidelines for maintenance of Register of Securities – **Annexure B(b)_ROS**
4. Guidelines for maintenance of Bank Book – **Annexure B(c)_Bank Book**
5. Guidelines for maintenance of Client Fund Ledger – **Annexure B(d)_Client Fund Ledger**
6. Summary of modifications made in Guidelines – **Amendment Summary _Annexure B**

All members are requested to take note and comply.

For and on behalf of
National Stock Exchange of India Limited

Manish Sharma
Senior Manager - Inspection

Encl.: As above

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

CENTRE	CONTACT No.	Email ID
Ahmedabad	079-49008632	inspectionahm@nse.co.in
Chennai	044- 66309915/17	inspection_cro@nse.co.in
Delhi	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai	022-25045224/259/264	compliance_wro@nse.co.in
Help Desk	1800 22 00 51- (2)	compliance_assistance@nse.co.in