

National Stock Exchange Of India Limited

DEPARTMENT : INSPECTION	
Download Ref. No.: NSE/INSP/40793	Date : April 22, 2019
Circular Ref. No.: 09/2019	

To All Members,

Sub: Late/Non Submission charges for System Audit Report - period ended March 31, 2019.

This has reference to Exchange circular NSE/MSD/40717 dated April 10, 2019 with respect to System Audit of Non Neat System of Stock Brokers/ Trading Member.

The due date for submission of the said system audit report is June 30, 2019. Submission of system audit report shall be considered complete only after stock broker / trading member submits the report to the Exchange after providing management comments. Please note that in case of late/non submission of System Audit report by a member for period ended March 31, 2019, following disciplinary actions will be initiated:

Particulars	Disciplinary action
Submission within 1 month from end of due date for submission	Late submission charges of Rs.100 /- per day
Non-submission within one month from the due date for submission	Withdrawal of trading facility.

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

For and on behalf of
National Stock Exchange of India Limited

Chief Manager
Srijith Menon - Inspection

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

Regional Office	CONTACT NO.	E MAIL ID
Ahmedabad (ARO)	079-49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915/17	inspection_cro@nse.co.in
Delhi (DRO)	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai(WRO)	022-25045264/259/224	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	