

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

Download Ref No: NSE/INSP/41053

Date : May 20, 2019

Circular Ref. No: 13/2019

To All Members,

Sub: Disciplinary actions for late/non submission of data towards Holding Statement

This is further to Exchange circulars NSE/INSP/39393, NSE/INSP/39855 and NSE/INSP/40743 dated November 13, 2018, January 03, 2019 and April 12, 2019 respectively on the weekly upload of the Holding Statement data to the Exchange. All Trading Members (except for those who are carrying out only proprietary trading and/or only trading for institutional clients) are required to submit the data towards Holding Statement for all calendar days of the week except Sunday on or before the next four trading days of subsequent week.

All Members are required to ensure strict adherence to the timelines of submission of the Holding statements. The Disciplinary actions with respect to any delay or non-submission are stipulated in **Annexure-A**. Disciplinary actions shall be initiated for all submissions from June 2019 (i.e. week ending on 8th June, 2019) and onwards.

Hence, all Members are advised to ensure that the data is submitted without fail within the prescribed timelines in order to avoid any disciplinary actions.

For and on behalf of**National Stock Exchange of India Limited****Srijith Menon****Chief Manager-Inspection**Enclosed: **Annexure A**

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
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Mumbai(WRO)	022-25045264/259/224	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	

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

Annexure-A**Disciplinary Actions for Late/Non-submission of holding statement**

Particulars	Disciplinary Action/Charges
Late/Non submission	Rs. 10,000/day In case of non-submission for second consecutive week, no new client registration to be allowed In case of non-submission for third consecutive week, Member shall be disabled in all segments and across all Exchanges.

Note:

- 1. Late submission charges shall be levied only till the due date of next submission cycle.**
- 2. Member will not be permitted to upload the next submission cycle unless the previous one is uploaded.**