

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INVESTIGATION	
Download Ref. No.: NSE/INVG/37223	Date: March 19, 2018
Circular Ref. No.:- 40/2018	

To All NSE Members

Sub: SEBI Order in the matter of Anirudh Sethi

This is with reference to NSE circular no. NSE/INVG/2007/8423 dated January 24, 2007 referring to SEBI order dated January 19, 2007 and NSE circular no. NSE/INVG/2009/12820 dated July 31, 2009 referring to SEBI order dated July 29, 2009, restraining Mr. Anirudh Sethi (Noticee) and his extant business name “Stock Market Navigator”, inter alia, from giving investment advice to clients including any recommendations containing company specific news which amounted to violation of provisions of the Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair Trade Practices Relating to the Securities Market) Regulations, 2003.

SEBI now vide its order no. WTM/MPB/SEBI/EFD-DRA4/153/2018 dated March 16, 2018 confirmed restraining Mr. Anirudh Sethi (ANBPS5743A) from accessing the securities market and further prohibiting from buying, selling or otherwise dealing in securities in any manner whatsoever, either directly or indirectly, till the expiry of 4 years from the date of refund.

The detailed order is available on SEBI website (<http://www.sebi.gov.in>). Further, the consolidated list of such entities is available on the Exchange website <http://www.nseindia.com> home page under “Domestic Investors – Regulatory – Regulatory Actions”.

The above directions shall come into force with immediate effect.

Members are advised to take note of the above and ensure compliance.

In case of any further queries, members are requested to contact the following officials:
Ms. Heena Wadhwa (Extn: 25366), Mr. Amit Kursija (Extn: 22382)
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For National Stock Exchange of India Limited

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