



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INVESTOR SERVICES CELL

Download Ref.No.: NSE/ISC/2017/35268

Date : July 3, 2017

Circular Ref.No.: 03/2017

To All Members,

Sub : Enhanced Supervision of Stock Brokers – “Upload of fund balance and securities balance”

This is further to our circular NSE/INSP/35184 dated June 23, 2017 on enhanced supervision of stock brokers.

According to the circular trading members are required to upload client's fund and securities balances on a monthly basis for every client for onward transmission to the clients.

The procedure to be followed by the trading for uploading the balances is provided as per the Annexure 1.

All trading members are requested to upload the data as on last trading day of the month within seven days of the subsequent month. The circular shall be effective from the month of July, 2017. You are requested to upload the data as on last trading day of July, 2017 and subsequently.

For any clarifications, members may contact the Investor Services Cell of the Exchange.

For and on behalf of
National Stock Exchange of India Limited

Dinaz Shroff
Senior Manager
Investor Service Cell

Encl: As above

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