

National Stock Exchange of India

Circular

Department: SURVEILLANCE	
Download Ref No: NSE/SURV/49765	Date: September 29, 2021
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To All NSE Members

Sub: Surveillance Obligation - Quarterly reporting by trading members

This is in continuation to Exchange circular no. NSE/SURV/48818 dated July 01, 2021, pertaining to Surveillance Obligations for Trading Members – Update.

As per the aforementioned circular, trading members are required to provide duly approved status of alerts on a quarterly basis within 15 days from the end of the quarter. In this regard, trading members may please note that the reporting facility has been made available to the trading members on the Member Surveillance Dashboard (MSD). The process to be followed for quarterly submission is attached as **Annexure**.

Further, it may please be noted that in case of late/non-submission of quarterly reporting of alerts generated by the trading member, penalty as given below shall be levied:

Submission of Status Report beyond the stipulated time	Penalty to be imposed
1 st instance	Rs.10,000 per day till submission of quarterly report
2 nd instance onwards	Rs.20,000 per day till submission of quarterly report

Trading members may also note that to provide immediate assistance and improve operational convenience, Exchange is pleased to announce the dedicated Toll-Free number 1800 266 0050 (Select IVR option 3). Members can call between 9.30 hours and 17:45 hours on all working days.

For National Stock Exchange of India Limited

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