

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

Download Ref No: NSE/COMP/49509

Date: September 03, 2021

Circular Ref. No: 76/2021

To All Members,

**Sub.: Reporting of clients mapped to Authorised Persons (AP)**

Member's attention is drawn to SEBI circular MIRSD/DR-1/Cir-16/09 dated November 06, 2009, on "Market Access through Authorised Persons", wherein the framework for governing the market access through Authorised persons (AP) was introduced.

In order to have additional information about the APs and to enhance the regulatory oversight over them, it has been decided, after mutual discussion with other Exchanges, to obtain and maintain the details of the clients that are mapped to the respective registered APs. In view of the same, all the trading members are hereby required to upload the details of such clients, if any, as given in **Annexure-A**, against the respective APs in the Exchange database, as per the following timelines:

- a) Members shall be required to upload, latest by November 05, 2021, the details of all the clients (registered upto October 31, 2021) and mapped to AP, if any.
- b) For new clients registered w.e.f. November 01, 2021, the details shall be uploaded on a weekly basis, on or before the next 2 trading days of subsequent week. For e.g., the clients registered from November 01, 2021, to November 05, 2021, shall be uploaded by November 09, 2021, and for the week ending November 12, 2021, by November 16, 2021, and so on.

A provision for uploading client details, if any, at the time of new AP registration has also been provided. The mode of uploading the client data is provided in the user manual attached as **Annexure -B**. Members are advised to ensure that details of the clients reported should match with the Exchange UCC records.

The module for submitting the client data shall be made available from September 06, 2021, onwards in the following link: - **ENIT- Compliance – Membership – Authorised Persons**.

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

For and on behalf of

**National Stock Exchange of India Limited****Manasi Sawant**  
**Senior Manager**