

National Stock Exchange Of India Limited
Department :

Download Ref No: NSE/INSP/40559

Date : March 27, 2019

Circular Ref. No: 04/2019

To All Members

Sub: Operation of terminals by the approved user/ person

This has reference to Regulation 3 of the Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007 and various notifications/ circulars issued by SEBI/Exchange, which stipulates passing of certification program by the associated persons who are approver users or sales personnel of the member.

In view of the same, Members are advised to ensure that all their approved users/person have valid certification as specified by SEBI/ Exchange from time to time and no trades are executed without a valid certification.

Members should ensure that correct and updated information relating to trading terminal and certification is reported to the Exchange and any non-compliance in this regard shall attract appropriate disciplinary actions including levy of penalty as specified under Exchange circular bearing reference no. NSE/INSP/36248 dated November 06, 2017.

Members are advised to take note of the same and put in place systems and procedures so as to ensure adherence to the compliance requirements.

For and on behalf of
National Stock Exchange of India Limited

Srijith Menon
Chief Manager-Inspection

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

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