

CIRCULAR

NSE

Change in contract specifications of Gold Mini (100 gms) contracts

Applicability of Short Term Additional Surveillance Measure (ST-ASM)

Applicability of Additional Surveillance Measure (ASM)

Relaxation in Compliance requirements - COVID-19

Extension for Submission of undertaking pursuant to SOP in the cases of Clearing Member leading to default

Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries

<u>SEBI order in the matter of Front Running by employee / dealer of India Infoline Group and other connected entities using Mule Accounts</u>

<u>Introduction of Quarterly Options contracts on Nifty Bank Index</u>

BSE

Applicability of Short Term Additional Surveillance Measure (ST-ASM)

Graded Surveillance Measure (GSM) - List of securities moving into their respective GSM Stages

Extension for Submission of undertaking pursuant to SOP in the cases of Trading Member/Clearing Member leading to default

<u>Information regarding Client funding in cash segment by the Trading Members for the month of September 2020</u>

Margin Trading Compliance Certificate for half year ended September 30, 2020

Relaxation in timelines for compliance with regulatory requirements

Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries

SEBI order in the matter of Frunt Running by employee/ dealer of India Infoline Group and other connected entities using Mule Accounts.

ID-Cards expired data

<u>Applicability of Short Term Additional Surveillance Measure (ST-ASM)</u>

<u>SEBI order in the matter of Frunt Running by employee/ dealer of India Infoline Group and other</u> connected entities using Mule Accounts.

MCX

MCX File Formats (version 17.4.9)

Application for Surrender of Membership

Relaxation in timelines for compliance with regulatory requirements

Extension for Submission of undertaking pursuant to SOP in the cases of Trading Member leading to default

Pledge/ Re-pledge of Securities

ICEX

RELAXATION IN TIMELINES FOR COMPLIANCE WITH REGULATORY REQUIREMENTS

EXTENSION FOR SUBMISSION OF UNDERTAKING PURSUANT TO STANDARD OPERATING

PROCEDURE IN THE CASES OF TRADING MEMBER LEADING TO DEFAULT

NCDEX

Extension for Submission of undertaking pursuant to SOP in the cases of Trading Member / Clearing Member leading to default

Internal Risk Assessment of Registered Intermediaries

System Audit by the members of the Exchange – ATS (ALGO Trading)

Relaxation in timelines for compliance with regulatory requirements

Upgradation - Web based upload of 12 Digit CTCL Terminal details

NSDL

2020-0132-Policy-Annexure

2020-0132-Policy-Mapping of Unique Client Code (UCC) with demat accounts of the clients

INDIA INX

Payment of SEBI Turnover fees for the month of September 2020
Relaxation in timelines for compliance with regulatory requirements
Relaxation in timelines for compliance with regulatory requirements

NSE IFSC

<u>Submission of Quarterly reports for Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants</u>

Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries

Relaxation in timelines for compliance with regulatory requirements

Revision in Multiplier of Derivatives Contracts on Indian Stocks

Relaxation in timeliness for compliance with regulatory requirements

SEBI

<u>Framework for monitoring of foreign holding in Depository Receipts</u>

Relaxation in timelines for compliance with regulatory requirements

<u>Circular on Review of provisions regarding valuation of debt and money market instruments due to the COVID - 19 pandemic</u>

<u>Standard Operating Procedure in the cases of Trading Member / Clearing Member leading to default - Extension of timeline for submission of the Undertaking cum Indemnity bond by the Trading members (TMs) / Clearing Members (CMs) for all the bank accounts.</u>

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