

Findoc Investmart Pvt Ltd

CIRCULARS (EXCHANGE & REGULATORY)

03.Mar.2023

NATIONAL STOCK EXCHANGE OF INDIA (NSE)		
Category	Subject	Circular No.
Trading	Sovereign Gold Bond 2022-23 Issuance and Subscription- Series IV Sovereign Gold Bond 2022-23- Issuance and Subscription - Series IV	NSE/IPO/55877
Compliance	Internal Risk Assessment of Registered Intermediaries	NSE/COMP/55876
Compliance	Enhanced Obligations and Responsibilities on Qualified Stock Brokers (QSBs)	NSE/INSP/55875
Compliance	Enhanced obligations and responsibilities on Qualified Stock Brokers (QSBs)	NCL/CMPL/55873
Clearing	Acceptance of Fixed Deposits Receipts FDR's in Electronic Form	NCL/CMPT/55872
Trading	Acceptance of Fixed Deposit Receipts FDR's in Electronic Form	NCL/CMPT/55871
Clearing	Revised MWPL, Participant, Institutional and Non institutional client limits for 360ONE	NCL/CMPT/55844
Compliance	Applicability of Surveillance Measure in respect of companies with high 'Encumbrance' as per Reg. 28 (3) of SEBI (SAST) Regulation 2011	NSE/SURV/55843
Listing	Listing of further issues of securities	NSE/CML/55842
Compliance	SEBI Interim Order in the matter of Stock Recommendation using YouTube in the scrip of Sharpline Broadcast Limited.	NSE/INVG/55833
Compliance	SEBI Interim Order in the matter of Stock Recommendations using Youtube in the scriip of Sadhna Broadcast Limited	NSE/INVG/55832

BSE LTD

Category	Subject	Circular No.
Compliance	Enhanced Obligations and Responsibilities on Qualified Stock Brokers (QSBs)	20230303-66
Trading	Guidelines for Online Bidding platform for Sovereign Gold Bond 2022-23: Series IV	20230303-64
Compliance	Internal Risk Assessment of Registered Intermediaries	20230303-61
Trading	Surveillance Indicator – Update	20230303-25
Trading	Graded Surveillance Measure (GSM) - List of securities moving into their respective GSM Stages	20230303-42
Trading	Applicability of Short Term Additional Surveillance Measure (ST-ASM)	20230303-47
Others	Resignation of Trading Member	20230302-16
Trading	Offer to Buy – Acquisition Window (BUYBACK) for SOFTSOL INDIA LTD- Live Activities Schedule	20230302-43

METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED		
Category	Subject	Circular No.
Trading	<u>Mock Trading in Equity Derivatives Segment on Saturday, March 04, 2023</u>	13145
Trading	<u>Mock Trading in Currency Derivatives Segment on Saturday, March 04, 2023</u>	13144

SECURITIES AND EXCHANGE BOARD OF INDIA (SEBI)

Subject	
Orders of Chairman/Members	<u>Order in respect of MCS Limited</u>
Orders of Chairman/Members	<u>Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sadhna Broadcast Limited</u>
Orders of Chairman/Members	<u>Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sharpline Broadcast Limited</u>
Unserved Summons / Notices	<u>Unserved Show cause Notice dated March 11, 2022 issued to Appu Marketing and Manufacturing Ltd (now known as Ejecta Marketing Limited) in the matter of dealings in Illiquid Stock Options at BSE</u>
Recovery Proceedings	<u>Remittance Order issued in RC No. 5912 of 2022 drawn against Rajesh A Patel (PAN: AQUPP6874F) in the matter of RTS Power Corporation Ltd</u>
Recovery Proceedings	<u>Notices of Attachment issued in RC No. 6238 of 2023 drawn against Gopal D Mudavat, Megha Mahesh Khandelwal and Mahesh Omprakash Khandelwal in the matter of Abhishek Infraventures Limited</u>

Recovery Proceedings	<u>Completion of Recovery Certificate No. 6236 of 2023 issued against Rajeev Gupta HUF [Defaulter] PAN: AAKHR8666R in the matter of Dealings in Illiquid Stock Options at the BSE.</u>
Recovery Proceedings	<u>Release Order – Rajeev Gupta HUF [Defaulter] PAN: AAKHR8666R in the matter of Dealings in Illiquid Stock Options at the BSE : Certificate No. 6236 of 2023.</u>
Recovery Proceedings	<u>RC.No.4604 - Release Order dated 02.03.2023 - Recovery proceedings under RC. No. 4604 of 2022 against CIFCO Finance Limited (PAN: AAACC1765F) in the matter of CIFCO Finance Limited</u>

NATIONAL COMMODITY & DERIVATIVE EXCHANGE (NCDEX)

Category	Subject	Circular No.
NCCL	<u>Margin Framework for Commodity Derivatives Segment</u>	NCCL/RISK-012/2023
Surveillance & Investigation	<u>Applicability of Event based Additional Surveillance Margin - E-ASM</u>	NCDEX/SURVEILLANCE & INVESTIGATION-030/2023

MULTI COMMODITY EXCHANGE OF INDIA (MCX)

Category	Subject	Circular No.
	NO CIRCULAR 03.03.2023	

NSE IFSC LTD

Category	Subject	Circular No.
Regulatory	Listing of USD 750,000,000 5.686% Senior Notes issued by HDFC Bank Limited, acting through its GIFT City Office under the USD 3,000,000,000 Medium Term Note Programme	NSEIFSC/REG/1185

National Securities Depository Limited (NSDL)

	Subject	Circular No.
033	2023-033-Tender Offer Change in settlement date of Triveni Engineering & Industries Limited - Tender offer for Buyback	SUMIT
032	2023-032-Tender Offer Softsol India Limited - Tender offer for Buyback	

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