

DATE: April 02, 2019

## CIRCULARS

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### RBI

- Auction for Sale (Issue/re-issue) of Government Stock (GS)
- Auction of Government of India Dated Securities
- Assignment of Lead Bank Responsibility
- Disclosure in the "Notes to Accounts" to the Financial Statements – Divergence in the asset classification and provisioning
- Large Exposures Framework (LEF)

### NSE

- Submission of compliance certificate for the quarter ended March 2019
- Role of Sub-Broker (SB) vis-a-vis Authorized Person (AP)
- CM – Revised Settlement calendar for April 2019
- SEBI Order in the matter of M/s Tarini International Ltd.
- SEBI Order in the matter of Way2Gains, CapitalMirror and AstroCapitalSolutions.
- Mock trading (Contingency) on Saturday, April 06, 2019 – New version NEAT 1.2.2
- Mock trading (Contingency) on Saturday, April 06, 2019 – New version of NEAT +7.3.2
- Mock trading (Contingency) on Saturday, April 06, 2019 – No new version release
- Mock trading on Saturday, April 06, 2019 – New version of NEAT 9.39.0 and NEAT+ 7.3.2

- Applicability of Short Term Additional Surveillance Measure (ST-ASM)
- Transaction charges for Tri Party Repo Market Platform
- Transaction charges for futures based on overnight call rate (MIBOR)
- Transaction charges for Cross Currency Futures and Options Contracts
- Continue levy of Transaction Charges in the Debt Segment
- Revision of transaction charges for Currency Options
- Applicable MWPL, TM, FII/FPI & MF Limits
- Revision in Market Lot of Derivative Contracts on Individual Stocks
- Discontinuation of Limited Physical Market
- Collection of broker turnover stamp duty by agency on transaction of security and commodity through brokers for the state of Uttar Pradesh

## BSE

- Waiver of warehouse storage charges and assaying charges for Cotton Bales
- Set-off of transaction charges across trading segments against Annual Membership Subscription fees.
- Annual Membership Subscription Fees for the Financial Year 2019-2020 (April 1, 2019 to March 31, 2020)
- Visit of Registrar & Transfer Agents at BSE Ltd. for the month of April, 2019.
- Collection of Broker Turnover Stamp duty by Agency on Transaction of Security & Commodity through Brokers for the State of UTTAR PRADESH
- Securities And Exchange Board Of India (Payment Of Fees) (Amendment)
- Submission of Net Worth Certificate by the trading members providing Margin Trading Facility to their clients.

## MCX

- Submission of Goods and Service Tax (GST) registration details
- Risk Based Supervision – Submission of Data/Details/Information for the period April 01, 2018 to March 31, 2019
- Payment of Stamp Duty in Uttar Pradesh
- Commencement of Zinc July 2019 Option Contract with Zinc (5 MT) Futures (Compulsory delivery) as underlying
- Deferment of Lead Mini and Nickel Mini Futures Contracts for the month of August 2019
- Launch of Nickel (250 KGS) and Lead (5 MT) June 2019, July 2019 and August 2019 Futures Contracts with modifications
- Commencement of Futures Trading in Zinc August 2019 Contract
- Commencement of Futures Trading in Aluminium August 2019 Contract
- Commencement of Futures Trading in Ten New Contracts
- Revision in Delivery and Settlement Procedure for Nickel & Lead

## SEBI

- Procedure and formats for limited review / audit report of the listed entity and those entities whose accounts are to be consolidated with the listed entity
- Adjudication Order in respect of Matri Mangal Trading Private Limited in the matter of Trading in Illiquid Stock Options
- Adjudication Order in respect of seven entities in the matter of Cinema Capital Venture Fund
- Settlement Order with respect to Himachal Futuristic Communications Ltd. in the matter of GDR issue by Himachal Futuristic Communications Ltd.
- Summary Settlement Order in respect of Mr. T. Valsaraj & 11 Others in the matter of Coastal Corporation Limited

- [Summary Settlement Order in respect of M/s. Coastal Corporation Limited in the matter of Coastal Corporation Limited](#)
- [Settlement Order with respect to Citibank N.A.](#)
- [Settlement Order in respect of Johnson Controls, Inc. in the matter of Hitachi Home and Life Solutions India Limited](#)
- [Settlement Order in respect of Genus Prime Infra Ltd in the matter of Genus Prime Infra Ltd.](#)
- [Adjudication order against Chandrakant Tibrawala and 8 other entities in Shree Hanuman Sugar & Industries Ltd](#)
- [Appeal No. 3366 of 2019 filed by Krishnam Parasramka](#)
- [Adjudication order in the matter of Cupid Trades and Finance Limited](#)
- [Order in the matter of Tarini International Ltd.](#)
- [Interim Order in the matter of Way2Gains, Capital Mirror and Astro Capital Solutions](#)
- [Adjudication Order in respect of Ashok Investors Trust Ltd. in the matter of Dealings in Illiquid stock options at BSE](#)
- [Adjudication Order in respect of S. Jayalakshmi in the matter of Arihant Foundations & Housing Ltd](#)
- [Adjudication Order in respect of Laurels Properties Private Limited in the matter of dealing in Illiquid Stock Options at the BSE](#)
- [Adjudication Order in respect of JPA Solutions Private Limited & Jagdishchandra Jhamaklal Mansukhani in the matter of Man Industries \(India\) Ltd.](#)
- [Adjudication Order in respect of Gannayak Sales Private Limited in the matter of Sangam Advisors Limited](#)
- [Adjudication Order dated March 29, 2019 in respect of Late Jadavji Karamshi Chheda in the matter of dealings of Magnum Fincom Broking Private Limited in the IPOs of Kernex Microsystems Limited, Punj Lloyd Limited and ABG Shipyard Limited](#)
- [Adjudication order in respect of Mrs. Santosh Mittal in the matter of Trading in Illiquid Stock Options on BSE](#)
- [Adjudication Order \(AO\) dated March 29, 2019 in respect of Daisy Investment Private Limited in the matter of Modipon Limited](#)

- [Adjudication Order in respect of SMS Techsoft against 33 entities w.r.t non-compliance with SEBI directions](#)
- [Adjudication Order in respect of Maina Trexim Private Limited in the matter of Trading in Illiquid Stock Options](#)
- [Adjudication order in respect of Ms. Tara Gajaria in the matter of Fortune Financial Services \(India\) Ltd. \(now known as The Investment Trust Of India Ltd.\)](#)
- [Adjudication Order in respect of Laurels Properties Private Limited in the matter of dealing in Illiquid Stock Options at the BSE](#)

### [NSDL](#)

- [No New Circular](#)

### [NCDEX](#)

- [Approved Securities under Scheme of Deposit – List of Eligible Securities](#)
- [Scheme of deposit for acceptance of Mutual Fund Units as Collateral](#)
- [Final Settlement Price of Crude Palm Oil contract expired on March 29 2019](#)
- [Application for Surrender of membership](#)
- [Go live date for revised file format for Unique Client Code details](#)
- [System Audit by the Members of the Exchange](#)
- [Risk Based Supervision – Submission of Information for the period – April 01, 2018 – March 31, 2019](#)
- [Application for Surrender of membership](#)

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