

Findoc Investmart Pvt Ltd

CIRCULARS (EXCHANGE & REGULATORY)

02.Mar.2023

NATIONAL STOCK EXCHANGE OF INDIA (NSE)		
Category	Subject	Circular No.
Trading	New Versions of Linux and Windows UDP Serve	NSE/MSD/55851
Clearing	Mock trading on Saturday, March 04, 2023 - No new version release	NSE/SLBS/55850
Trading	Mock trading on Saturday, March 04, 2023 - No new version release	NSE/COM/55849
Trading	Mock trading on Saturday, March 04, 2023 - No new version release	NSE/CD/55848
Trading	Mock trading on Saturday, March 04, 2023 - No new version release	NSE/CMTR/55847
Trading	Mock trading on Saturday, March 04, 2023 - No new version release	NSE/FAOP/55846
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	Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sadhna Broadcast Limited	20230302-9
Compliance	Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sharpline Broadcast Limited	20230302-8
Compliance	Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sharpline Broadcast Limited.	20230302-6
Compliance	Interim Order in the matter of Stock Recommendations using YouTube in the scrip of Sadhna Broadcast Limited.	20230302-5
Trading	Applicability of Additional Surveillance Measure	20230302-42
Others	Voluntary Closure of Business - Shivmangal Securities Pvt. Ltd.	20230302-18
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.
Investigation	<u>FATF public statements dated 24 February 2023 against FATF identified jurisdiction that have strategic AML/CFT deficiencies</u>	13138
Investigation	<u>Caution towards dealing with Unsolicited Messages / Videos / any other reference- Update</u>	13139

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	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.
Recovery Proceedings	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.
Recovery Proceedings	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

NATIONAL COMMODITY & DERIVATIVE EXCHANGE (NCDEX)

Category	Subject	Circular No.
Compliance	Order in the matter of M/s. Prompt Commodities Ltd	NCDEX/COMPLIANCE-022/2023
Surveillance & Investigation	Applicability of Event based Additional Surveillance Margin - E-ASM	NCDEX/SURVEILLANCE & INVESTIGATION-029/2023

MULTI COMMODITY EXCHANGE OF INDIA (MCX)		
Category	Subject	Circular No.
Membership and Compliance	SEBI Order against Prompt Commodities Ltd.	150
Membership and Compliance	SEBI Order against Saaketa Commodities Pvt. Ltd.	151
MCXCCL	SEBI Order against Prompt Commodities Limited	152
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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.	
NO CIRCULAR 02.03.2023		

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