

NOTICES

Notice No.	20241015-48	Notice Date	15 Oct 2024
Category	Compliance	Segment	General
Subject	Market Access through Authorised Persons		
Attachments	Annexure B.xls ; Annexure A.pdf		

Content

To All Members,

1. Attention of Members’ is drawn to Exchange Notice No.20240828-52 dated August 28, 2024, and 20211124-3 dated November 24, 2021, which mandates Members to exercise adequate control and due diligence over the activities & transactions of their **Authorised Persons (APs)** and conduct their periodic inspection in the manner as specified therein.

2. In this regard, Exchange has provided an online system in BEFS for reporting inspections/supervision undertaken by the Members. The same can be accessed at <https://befsbseindia.com/login.aspx> at the following path:

AP Registration -> Inspection of Authorised Person

The reporting shall be done in the following manner.

a) All inspections undertaken during the quarter till August 28, 2024, submissions to be done in the format as specified in the Notice No. 20211124-3 dated November 24, 2021

b) All inspections undertaken during the quarter after August 28, 2024,Member should comply with guidelines prescribed in Exchange Notice No. 20240828-52 dated August 28, 2024, and submission to be done according to the format enclosed in Annexure B.

c) Inspections undertaken during a particular quarter shall be reported within one month from end of the said quarter. For instances:

Inspections undertaken during the FY	Due date of reporting
Inspections done during the Quarter-1	July 31, XXXX
Inspections done during the Quarter-2	Oct 31, XXXX
Inspections done during the Quarter-3	Jan 31, XXXX
Inspections done during the Quarter-4	April 30, XXXX

d) In case no inspection is undertaken during a particular quarter, Members will have to mandatorily submit a “Nil” declaration for the said quarter.

The manual for reporting the aforementioned information is enclosed as Annexure-A and New Format for submission of AP inspection is enclosed as Annexure-B.

Members are advised to carefully go through the same for the purpose of reporting.

Members are also hereby notified that they shall be mandatorily required to report any incidence, observed by them, involving assured returns or any unauthorised schemes operated by the AP, to the Exchange, within 2 working days.

All Members are advised to take note of the same and ensure compliance.

In case of any clarifications, members may contact us on details given as under:

Contact Nos.	Email ID
022-69158540 022-45720640/440	bse.inspection@bseindia.com

For and on behalf of BSE Ltd.

Hiteshkumar Desai
General Manager
Member Oversight

Richa Ghosh
Asst. Gen. Manager
Member Oversight