

Annexure IV

List of indicative SEBI/ARCL Circulars

Particulars	References	Date
Maintenance of books of accounts and other documents / advertisement issued by member	Regulation 17 of SEBI (Stock Broker and Sub-brokers) Regulation 1992, Rule 15 of the Securities Contracts (Regulation) Rules, 1957 and Regulation 13.1 of ARCL	NA
Agreements in the capacity of Clearing Member with constituents as applicable only to Trading Members and Custodial Participants	Regulation 13.4 of ARCL Master Circular of AMC Repo/Ops/2023/006 dated July 21 2023	July 21 2023
Provisions of PMLA	Anti-Money Laundering Act, 2002 SEBI circulars dated February 03, 2023 and June 16, 2023	February 03, 2023 and June 16, 2023
NISM/SORM	SEBI notification no. LAD- NRO/GN/2010-11/21/29390 dated December 10, 2010, SEBI vide its notification no. LAD- NRO/GN/202- 13/33/1103,	December 10, 2010
Guidelines on Outsourcing of Activities by Intermediaries	SEBI circular CIR/MIRSD/24/2011	December 15, 2011
Procedure in the cases of TM/Clearing Member leading to default	Bye-laws 11.1, Regulation 5.2 of ARCL, Master Circular of AMC Repo/Ops/2023/006 dated July 21 2023	July 21, 2023
Reporting of Bank Accounts	Master Circular of AMC Repo/Ops/2023/006 dated July 21 2023	July 21 2023
Rule 8(1)(f) and 8(3)(f) of Securities Contracts (Regulation) Rules, 1957	SEBI Circular No. SMD/Policy/Cir-6 dated May 07, 1997, e SEBI Circular No. CIR/MIRSD/4/2015	September 29, 2015
Clarification to Gazette Notification of SEBI (Stock Brokers) (Amendment) Regulations, 2022	Gazette notification	January 17, 2023