
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange

Circular No : NCDEX/COMPLIANCE-085/2024

Date : November 19, 2024

Subject : Reminder – Submission of data pertaining to Risk Based Supervision, Internal Audit Report and System Audit Report

As per SEBI Directives, Members are required to submit the below reports for period ended September 30, 2024 on or before due date **November 30, 2024** as stated in the table below:

Sr. No.	Compliance	Exchange circular for reference	Submission method
1	Risk Based Supervision (RBS)	NCDEX/COMPLIANCE-074/2024 dated October 11, 2024	NCFE portal
2	Internal Audit Report (IAR)	NCDEX/COMPLIANCE-076/2024 dated October 15, 2024 & NCDEX/COMPLIANCE-084/2024 dated November 14, 2024	Email IAR to iar_submission@ncdex.com
3	System Audit Report (SAR)	NCDEX/COMPLIANCE-075/2024 dated October 15, 2024	Email SAR to sar_submission@ncdex.com

Members are reminded to submit the aforesaid submissions (if not submitted) on or before due date to avoid any disciplinary action. Non-submission / delayed submission shall attract penalty / disciplinary actions as per Exchange Circular no. NCDEX/COMPLIANCE-111/2023 dated October 19, 2023 or aforesaid circulars, as applicable.

Members are advised to ensure compliance with the above regulatory requirements.

For and on behalf of

National Commodity & Derivatives Exchange Limited

Pranesh Shetty
Senior Vice President – Inspection & Enforcement

For further information/clarifications, please contact

1. Customer Service Group on toll free number: 1800 26 62339
2. Customer Service Group by e-mail to : askus@ncdex.com