
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange

Circular No : NCDEX/COMPLIANCE-127/2023

Date : November 17, 2023

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 submissions for period ended September 30, 2023 on or before due date **November 30, 2023** as stated in the table below:

Sr. No.	Compliance	Exchange circular for reference	Submission method
1	Risk Based Supervision (RBS)	NCDEX/COMPLIANCE-104/2023 dated October 09, 2023	NCFE portal
2	Internal Audit Report (IAR)	NCDEX/COMPLIANCE-114/2023 dated October 23, 2023	Email IAR to iar_submission@ncdex.com
3	System Audit by the members of the Exchange – ATS (ALGO Trading)	NCDEX/COMPLIANCE-119/2023 dated October 27, 2023	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
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