NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange
Circular No : NCDEX/COMPLIANCE-069/2022
Date : November 17, 2022
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, 2022 on or before due date **30 November 2022** as stated in the table below:

Sr. No.	Compliance	Exchange circular for reference	Submission method
1	Risk Based Supervision (RBS)	NCDEX/COMPLIANCE-062/2022 dated October 07, 2022	NCFE portal
2	Internal Audit Report (IAR)	NCDEX/COMPLIANCE-064/2022 dated October 18, 2022	Email IAR to **iar_submission@ncdex.com**
3	System Audit by the members of the Exchange – ATS (ALGO Trading)	NCDEX/COMPLIANCE-059/2022 dated September 27, 2022	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-020/2017/285 dated October 31, 2017 or aforesaid referred 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 – Audit & Inspection

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