

**DEPUTY GENERAL MANAGER
MARKET REGULATION DEPARTMENT**
E-mail: sundaresanvs@sebi.gov.in

MRD/DOP/MAPIN/Cir –26 /2004
August 16, 2004

1. **The Executive Directors/Managing Director/Administrators of All Stock Exchanges**
2. **All Mutual Funds registered with SEBI**
3. **Association of Mutual Funds in India (AMFI)**
4. **All Collective Investment Schemes registered with SEBI**

Dear Sir/Madam,

Sub: SEBI (Central Database of Market Participants) Regulations, 2003

1. The SEBI (Central Database of Market Participants) Regulations, 2003 were notified on November 20, 2003 and subsequently amended vide SEBI (Central Database of Market Participants) (Amendment) Regulations, 2004 notified on July 21, 2004.
2. Pursuant to clause (g-) of sub regulation (1) of Regulation 2 of the captioned Regulations, SEBI has appointed the National Securities Depositories Limited (NSDL), as the Designated Service Provider for the purpose of the said Regulations.
3. Pursuant to the notification dated July 30, 2004 issued under the captioned Regulations, SEBI has, interalia, specified as under:
 - 3.1. Sub-brokers within the meaning of rule 2(f) of the SEBI (Stock-Brokers and Sub-brokers) Rules, 1992 as 'specified Intermediaries', who along with their related persons are required to obtain Unique Identification Numbers (UIN) before December 31, 2004.
 - 3.2. All investors being bodies corporate as 'specified investors', who along with their promoters and directors are required to obtain a UIN before December 31, 2004.
 - 3.3. All investors, whether bodies corporate or not, intending to avail of the margin trading facility in terms of the requirements laid down by the Board, as 'specified investors', are required to obtain a UIN before August 31, 2004.

4. It is to be noted that with effect from January 1, 2005,
 - 4.1. As per the provisions of sub-regulation (1) of regulation (4) of the captioned regulations, no sub-broker being a specified intermediary shall act as such, if the UIN has not been obtained for itself and its related persons by December 31, 2004.
 - 4.2. As per the provisions of sub-regulation (2) of regulation 6 of the captioned regulations, no specified investor being a body corporate shall buy, sell or deal in any securities which are listed on any recognized stock exchange or in units of a mutual fund or a collective investment scheme or subscribe to securities which are proposed to be listed in any recognized stock exchange or units of a mutual fund or a collective investment scheme unless such specified investor, its promoters and directors have been allotted UIN by December 31, 2004.
5. It is also to be noted that from September 1, 2004, no specified investor whether body corporate or not, shall avail of the margin trading facility in terms of the requirements laid down by the Board, unless such investor has obtained a UIN by August 31, 2004.
6. The SEBI Regulations, Notifications and application forms are available on the SEBI Website www.sebi.gov.in as also on the NSDL website <http://mapin.nsdl.com>.
7. The specified investors, specified intermediaries and their related persons, who are required to obtain a UIN under the said Regulations, may contact NSDL or any Point of Service (POS) mentioned in the Annexure for the purpose of making an application.
8. While making the application,
 - 8.1. it is mandatory for the applicant who is a natural person to provide biometric impressions of the left thumb, left index finger, right thumb and right index finger and photograph electronically on the system of the Designated Service Provider.
 - 8.2. an applicant shall ensure that he furnishes correct and true information. Attention is invited to Regulation 15 which prohibits a person from making a false statement or misrepresentation of any fact in any application made to the Designated Service Provider and Regulation 20 which specifies the action for false information.
9. It may also be noted that the specified intermediary/ related persons/ specified investors have the following continuing obligations after being allotted UIN:

- 9.1. To intimate changes, if any, in the particulars submitted to the MAPIN Database within 30 days
 - 9.2. To ensure that within 30 days of any person becoming a related person he has been allotted or has applied for a UIN.
10. Contravention of the above would invite action as specified in Regulation 19 of the captioned Regulations.
11. The stock exchanges are advised to,
- 11.1. make necessary amendments to the relevant bye-laws, rules and regulations for the implementation of the above decisions immediately, as may be applicable and necessary.
 - 11.2. bring the provisions of this circular to the notice of the member brokers/ clearing members/ sub-brokers of the Exchange and also to disseminate the same on the website.
 - 11.3. communicate to SEBI, the status of the implementation of the provisions of this circular in Section II, item no. 13 of the Monthly Development Report for the month of August 2004.
12. The mutual funds are advised to,
- 12.1. report the status of compliance to the provisions of this circular to SEBI in all the Compliance Test Reports as well as the Half Yearly Trustee Reports.
 - 12.2. bring the provisions of this circular to the notice of the investors of the mutual fund and also to disseminate the same on the website.
13. This circular is being issued in exercise of powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992, to protect the interest of investors in securities and to promote the development of, and to regulate the securities market.

Yours faithfully,

V S SUNDARESAN

Encl: Details of POS in Annexure (3 pages)

ANNEXURE – Details of Point of Service

Ahmedabad

Integrated Enterprises [India] Limited

21, Nirman Ground Floor
Behind Navrangpura Bus Stop
Navrangpura
Ahmedabad – 380 009
Tel No.: (079) - 2644 3289 / 7825
Contact Person: Mr. G. R. Balaji

Bangalore

Geojit Financial Services Limited

303, 3rd Floor, House of Lords,
St. Marks Road, Bangalore – 560 001
Tel No.: (080) - 227 1259
Contact Person: Mr. Laiju Paul

Chennai

Integrated Enterprises [India] Limited

2nd Floor, Kences Towers, No.1
Ramkrishna Street, North Usman Road,
T. Nagar,
Chennai 600 017
Tel No.: (044) - 2814 0801 - 03
Contact Person: Mr. R. Murali

Geojit Financial Services Limited

C-53, Chinthamani,
Annanagar East,
Chennai 600102
Tel No.: (044) - 26193401

Contact Person : S. Sivakumar

Cochin

Geojit Financial Services Limited

4th Floor, Finance Towers,
Kaloor, Cochin – 682 017
Tel No.: (0484) - 2405501
Contact Person: Mr. Bijukumar N.

Hyderabad

Karvy Consultants Limited

46, Avenue 4, Street No.1,
Banjara Hills,
Hyderabad – 500 034.
Tel No. (040) - 2331 2454 / 2332 0251
Contact Person: Mr. Yatin Sang

Jaipur

Alankit Assignments Limited

101-104, Luhadia Tower
Ashok Marg, 'C' Scheme
Jaipur
Tel No.: (0141) - 237 4531 – 33
Contact Person: Mr. Sumit Agrawal

Kolkata

CMC Limited

SDF Building, Sector – V
Module 219 – 222 ,
Salt Lake,
Kolkata – 700 091
Tel No.: (033) - 2357 7050 / 3248 / 3249
Contact Person: Mr. Arif Anwar

Karvy Consultants Limited

49, Jatin Das Road
Kolkata – 700 029
Tel No.: (033) - 2464 4891 / 2464 7231
Contact Person: Mr. Vijay Dhanuka

Mumbai

CMC Limited

CMC House, C-18,
Bandra Kurla Complex,
Bandra [East],
Mumbai 400 051
Tel No.: 2659 1000 / 01 / 02, 26591039, 26591048, 26591796
Contact Person: Mr. S Ramanathan

Geojit Financial Services Limited

“Saooli”, 29, J.P.Road
Andheri (West)
Mumbai 400 053
Tel No.: 2623 9200
Contact Person: Aruna Kadam

Geojit Financial Services Limited
Office No. 3, 1st Floor, Natwar Chamber
94, Nagindas Master Road
Fort
Mumbai – 400 023
Tel No.: 56368911-13
Contact Person: Mr. Hemant

Integrated Enterprises [India] Limited
Chamber D, A to Z Business Chambers
No 30, Tamarind Lane
Fort
Mumbai – 400023
Tel No.: 22632293 / 94
Contact Person: Mr. Gopalakrishnan Anand

Karvy Consultants Limited
16/22, Bake House
Maharashtra Chamber of Commerce Lane
Opp. MSC Bank,
Fort
Mumbai 400 023
Tel No. : 022 56064261
Contact Person: Mr. Gurmeet

New Delhi

Alankit Assignments Limited
205-208, Anarkali Complex, Jhandelwala Extension,
New Delhi 110 055.
Tel No.: (011) - 2361 0220 - 24
Contact Person: Mr. Rajeev Berk