THE GAZETTE OF INDIA

EXTRAORDINARY

PART –III – SECTION 4

PUBLISHED BY AUTHORITY

NEW DELHI, MAY 30, 2018

SECURITIES AND EXCHANGE BOARD OF INDIA

NOTIFICATION

Mumbai, the 30th of May, 2018

SECURITIES AND EXCHANGE BOARD OF INDIA (BANKERS TO AN ISSUE) (AMENDMENT) REGULATIONS, 2018

No. SEBI/LAD-NRO/GN/2018/16.- In exercise of the powers conferred by section 30 of the Securities and Exchange Board of India Act, 1992 (15 of 1992), the Board hereby makes the following Regulations to further amend the Securities and Exchange Board of India (Bankers to an Issue) Regulations, 1994, namely,-

1. These regulations may be called the Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 2018.

2. They shall come into force on the date of their publication in the Official Gazette.

3. In the Securities and Exchange Board of India (Bankers to an Issue) Regulations, 1994,-

    i. in regulation 12, in sub-regulation 3, the word “three” shall be substituted with the word “eight”.

Sd/-
AJAY TYAGI
CHAIRMAN
SECURITIES AND EXCHANGE BOARD OF INDIA

Footnotes :

1. The principal regulations Securities and Exchange Board of India (Bankers to an Issue) Regulations, 1994 were published in Official Gazette of India on July 14, 1994 vide F.No. SEBI/LE/7/94.
2. The Securities and Exchange Board of India (Bankers to an Issue) Regulations, 1994 was subsequently amended on:

a) November 28, 1995 by Securities and Exchange Board of India (Payment of Fees) (Amendment) Regulations, 1995 vide No. S.O. 939 (E);

b) January 5, 1998 by Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 1998 vide No. S.O. 15 (E).

c) September 30, 1999 by Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 1999 vide No. S.O. 800 (E).

d) March 28, 2000 by Securities and Exchange Board of India (Appeal to Securities Appellate Tribunal) (Amendment) Regulations, 2000 vide No. S.O. 278 (E).

e) May 29, 2001 by Securities and Exchange Board of India (Investment Advice by Intermediaries) (Amendment) Regulations, 2001 vide No. S.O. 476 (E).

f) September 27, 2002 by Securities and Exchange Board of India (Procedure for Holding Enquiry by Enquiry Officer and Imposing Penalty) Regulations, 2002 vide No. S.O. 1045 (E).

g) October 1, 2003 by Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 2003 vide No. S.O. 1159 (E).

h) March 10, 2004 by the Securities and Exchange Board of India (Criteria for Fit and Proper Person) Regulations, 2004 vide S.O. No. 398(E).

i) September 7, 2006 by the Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 2006 vide S.O No.1449 (E).

j) May 26, 2008 by the Securities and Exchange Board of India (Intermediaries) Regulations, 2008 vide Notification No. LAD/NRO/GN/2008/11/126538.

k) April 13, 2011 by the Securities and Exchange Board of India (Change in Conditions of Registration of Certain Intermediaries) (Amendment) Regulations, 2011 vide Notification No. LAD/ NRO/ GN/ 2011-12/03/12650.

l) July 05, 2011 by the Securities and Exchange Board of India (Bankers to an Issue) (Amendment) Regulations, 2011 vide Notification No. LAD-NRO/GN/2011-12/12/21115.

m) March 6, 2017 by the Securities and Exchange Board of India (Payment of Fees and Mode of Payment) (Amendment) Regulations, 2017 vide Notification No. LAD-NRO/GN/2016- 17/037 read with March 29, 2017 by the Securities and Exchange Board of India (Payment of Fees and Mode of Payment) (Amendment) Regulations, 2017 vide Notification No. LAD-NRO/GN/2016-17/038.

****