

THE GAZETTE OF INDIA
EXTRAORDINARY
PART – III – SECTION 4
PUBLISHED BY AUTHORITY
NEW DELHI, the 2nd MAY, 2011
SECURITIES AND EXCHANGE BOARD OF INDIA
NOTIFICATION
Mumbai, the 2nd May, 2011
SECURITIES AND EXCHANGE BOARD OF INDIA
(FOREIGN INSTITUTIONAL INVESTORS)
(AMENDMENT) REGULATIONS, 2011

No. **LAD-NRO/GN/2011-12/06/13995**—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 (Foreign Institutional Investors) Regulations, 1995, namely:—

1. These Regulations may be called the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2011.
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 (Foreign Institutional Investors) Regulations, 1995—
 - (i) in regulation 15, after sub-regulation (7) the following shall be inserted, namely:—

“(7A) In cases where the Government of India enters into agreements or treaties with other sovereign Governments and where such agreements or treaties specifically recognize certain entities to be distinct and separate, the Board may, during the validity of such agreements or treaties, recognize them as such, subject to conditions as may be specified by it.”

U.K. SINHA

CHAIRMAN

SECURITIES AND EXCHANGE BOARD OF INDIA

Footnotes:

1. The Securities and Exchange Board of India (Foreign Institutional Investors) Regulations, 1995, the Principal Regulations, were published in the Gazette of India on November 14, 1995 vide S.O. No. 918 (E).

2. The Principal Regulations were subsequently amended:

- (a) on November 28, 1995 by the Securities and Exchange Board of India (Payment of Fees) Amendment Regulations, 1995 vide S.O. 939(E).
- (b) on October 9, 1996 by the Securities and Exchange Board of India (Foreign Institutional Investors) Amendment Regulations, 1996 vide S.O. 702(E).
- (c) on November 19, 1996 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 1996 vide S.O. 799(E).
- (d) on February 12, 1997 by the Securities and Exchange Board of India (Foreign Institutional Investors) Amendment Regulations, 1997 vide S.O. 105(E).
- (e) on July 10, 1997 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 1997 vide S.O. 495(E).
- (f) on December 5, 1997 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Third Amendment) Regulations, 1997 vide S.O. 823(E).
- (g) on April 20, 1998 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 1998 vide S.O. 333(E).
- (h) on May 18, 1998 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 1998 vide S.O. 417(E).
- (i) on June 30, 1998 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Third Amendment) Regulations, 1998 vide S.O. 545(E).
- (j) on April 16, 1999 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 1999 vide S.O. 263(E).
- (k) on August 26, 1999 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 1999 vide S.O. 688(E).
- (l) on February 29, 2000 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2000 vide S.O. 180(E).
- (m) on March 28, 2000 by the Securities and Exchange Board of India (Appeal to the Securities Appellate Tribunal) (Amendment) Regulations, 2000 vide S.O. 278(E).
- (n) on October 20, 2000 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2000 vide S.O. No.946(E).
- (o) on February 13, 2001 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2001 vide S.O. 128(E).
- (p) on May 29, 2001 by the Securities and Exchange Board of India (Investment Advice by Intermediaries) (Amendment) Regulations, 2001 vide S.O. 476(E).
- (q) on September 27, 2002 by the Securities and Exchange Board of India (Procedure for Holding Enquiry by Enquiry Officer and Imposing Penalty) Regulations, 2002 vide S.O. 1045(E).
- (r) on December 10, 2002 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2002 vide No. S.O. 1292 (E).
- (s) on May 14, 2003 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2003 vide No. S.O. 548(E).
- (t) on August 28, 2003 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2003 vide No. S.O. 990 (E).
- (u) on January 27, 2004 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2004 vide F. No. SEBI/LAD/DOP/19023/2004.
- (v) on February 19, 2004 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2004 vide F. No. SEBI/LAD/DOP/3349/2004.
- (w) on 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).

- (x) on June 26, 2006 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2006 vide S.O. 948(E).
- (y) on August 21, 2006 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2006 vide S.O. 1332 (E).
- (z) on January 8, 2007 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2007 vide No. SEBI/LAD/DOP/1446/2007.
- (aa) on December 31, 2007 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2007 vide F. No. 11/LC/GM/2007/31/12/2007.
- (ab) on May 22, 2008 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2008 vide F. No. LADNRO/GN/2008/10/126204.
- (ac) on May 26, 2008 by the Securities and Exchange Board of India (Intermediaries) Regulations, 2008 vide LAD-NRO/GN/2008/11/126538.
- (ad) on October 30, 2008 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Second Amendment) Regulations, 2008 vide No. LAD-NRO/GN/2008/25/142800.
- (ae) on June 29, 2009 by the Securities and Exchange Board of India (Payment of Fees) (Amendment) Regulations, 2009 vide No. LAD-NRO/GN/2009-10/11/167759.
- (af) on April 13, 2010 by the Securities and Exchange Board of India (Foreign Institutional Investors) (Amendment) Regulations, 2010 vide No. LAD-NRO/GN/2010-11/02/1107.