

National Stock Exchange of India

Circular

Department: SURVEILLANCE	
Download Ref No: NSE/SURV/54513	Date: November 18, 2022
Circular Ref. No: 717/2022	

To All NSE Members

Sub: Surveillance Indicator - Update

This is further to Exchange Circular no. NSE/SURV/39327, NSE/SURV/45768, NSE/SURV/53054 dated November 02, 2018, September 21, 2020, July 22, 2022, respectively in respect of Additional Surveillance Measure (ASM).

With effect from November 21, 2022, the following additional value in field "SurvInd" in security.txt & nnf_security.dat file shall be introduced to indicate scrips in various Surveillance action.

The additional surveillance indicators for securities under respective list shall be as under -

Surveillance Indicator	Description	Short Code (Surv Indicator)
32	Unsolicited Video	Unsolicited Video (32)
33	Unsolicited Video and LTASM Stage IV	Unsolicited Video and LTASM Stage IV (33)

As informed earlier vide above referred circulars, while placing an order on a security which is under Graded Surveillance Measure (GSM) /Additional Surveillance Measure (ASM)/IRP as per IBC/Unsolicited SMS or Videos/Pledge/ASM ICA/ASM IBC, Exchange provides an alert message on NEAT/NEAT+.

Similarly trading Members are required to develop a functionality on their non-NEAT front end including IBT, STWT, CTCL etc., whereby any person while placing an order in a security which is under Graded Surveillance Measure (GSM)/Additional Surveillance Measure (ASM) /IRP as per IBC/Unsolicited SMS or Videos/Pledge/ASM ICA/ASM IBC, gets the following message so that the person placing the order is aware of such surveillance action on the scrip before placing the order. The message shall be as under:

"Security is under Surveillance Measure- <relevant Short Code (Surv Indicator)>, would you like to continue?" Yes / No

National Stock Exchange of India

The functionality will provide the option for the person placing the order to either select “Yes” or “No”. The order shall be sent to the Exchange only if option “Yes” is selected. The relevant Short Code (Surv Indicator) shall be populated as per the consolidated list of Surveillance indicators assigned to securities under various Surveillance actions is attached as **Annexure-I**. As referred above the field “SurvInd” in security.txt & nnf_security.dat file shall populate the respective scrip-wise surveillance indicator to indicate scrips in various Surveillance action.

The system changes at the Trading Members end should be completed within 6 months from the date of this circular. The confirmation mechanism for the same will be communicated to the market by a separate circular.

For National Stock Exchange of India Limited

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