



CIRCULAR

CIR/MRD/DSA/12/2011

October 24, 2011

To,  
The Managing Directors / Chief Executive Officers/  
Officiating Executive Directors of all the Stock Exchanges.

Dear Sir / Madam,

**Sub.: Reporting format under Regulation 11 of Securities Contracts (Regulation) (Manner of Increasing and Maintaining Public Shareholding in Recognised Stock Exchanges) Regulations, 2006**

1. Securities Contracts (Regulation) (Manner of Increasing and Maintaining Public Shareholding in Recognised Stock Exchanges) Regulations, 2006 hereinafter referred as 'MIMPS Regulations' were notified on November 13, 2006 and came into force from the date of publication.
2. Regulation 11 of MIMPS Regulations *inter alia* prescribes certain obligations on the recognised stock exchanges pertaining to their shareholding including submission of a report to SEBI within 15 days from the end of each quarter.
3. In this regard, it has been observed that stock exchanges have been submitting the said report in different formats. Accordingly, it has been decided to standardize the format of reporting of shareholding pattern of the recognised stock exchange under MIMPS Regulations.
4. The stock exchanges are therefore advised to ensure the submission of the report under MIMPS Regulations on a quarterly basis within the aforesaid prescribed time period, as per the format given at **Annexure-A**.
5. The stock exchanges are directed to communicate to SEBI, the status of the implementation of the provisions of this circular in their Monthly / Quarterly Development Report.
6. This circular is issued in exercise of powers conferred under Section 11(1) of the Securities and Exchange Board of India Act, 1992 read with Section 12A of Securities Contracts (Regulation) Act, 1956, to protect the interests of investors in securities and to promote the development of, and to regulate the securities markets.
7. This circular is available on SEBI website at [www.sebi.gov.in](http://www.sebi.gov.in).

Yours faithfully,

**Rajesh Kumar D**  
Deputy General Manager  
Tel. No. 2644 9242  
Email: [rajeshkd@sebi.gov.in](mailto:rajeshkd@sebi.gov.in)

Encl: as above



Annexure A

**Report under Regulation 11(2) of under Securities Contracts (Regulation) (Manner of Increasing and Maintaining Public Shareholding in Recognised Stock Exchanges) Regulations, 2006.**

[ Quarter ended \_\_\_\_\_ ]

A. Top ten shareholders during the quarter

Sl. No.	Name of the shareholder	Number of shares held at the end of the quarter	Percentage of shareholding
1			
2			

B. Shareholders falling under Regulation 8 who have acquired shares during the quarter

Sl. No.	Name of the shareholder who acquired shares	Name of the shareholder from whom shares acquired	Number of shares acquired during the quarter	Percentage of shareholding after the acquisition
1				
2				

C. Category wise shareholding pattern in the recognised stock exchange (alongwith the names of the shareholders)-

**i. TRADING MEMBERS**

Sl. No.	Category of shareholder	No. of shareholders	Total number of shares	Percentage of shares
	Individuals			
1				
2				
	Corporates (Listed)			
1				
	Corporates (Unlisted)			
1				
	Banks (wherever permitted)			
1				
	Any other (specify)			
	<b>Total (A)</b>			



**ii. ASSOCIATES OF TRADING MEMBERS**

Sr. No.	Category of shareholder	No. of shareholders	Total number of shares	Percentage of shares
	Individuals			
1				
2				
	Corporates (Listed)			
1				
	Corporates (Unlisted)			
1				
	HUF			
1				
	Trust			
1				
	Financial Institutions / Banks			
1				
	Foreign Holding(FDI)			
1				
	Foreign Holding (FII)			
1				
	Any other (specify)			
	<b>Total (B)</b>			
	<b>TOTAL (A+B)</b>			

**iii. PUBLIC SHAREHOLDING**

Sr. No.	Category of shareholder	No. of shareholders	Total number of shares	Percentage of shares
	Individuals			
1				
2				
	Corporates (Listed)			
1				
	Corporates (Unlisted)			
1				
	HUF			
1				
	Trust			
1				
	Financial Institutions / Banks			
1				
	Foreign Holding(FDI)			



1				
	Foreign Holding (FII)			
1				
<u>Any other(specify)</u>				
	Insurance Companies			
1				
	Mutual Funds			
1				
	Venture Capital Fund			
1				
	Any other (specify)			
	<b>Total (C)</b>			
<b>Grand Total(A)+(B)+(C)</b>				

**D. SHAREHOLDERS ACTING IN CONCERT**

The exchange shall indicate the shareholding pattern in the format given below in respect of each set of shareholders, in case they hold shares alongwith persons acting in concert –

Sr. No.	Name of the shareholder	Category of shareholder	Details of holding	
			Number of shares	Percentage
1				
2				
3				

**UNDERTAKING UNDER REGULATION 11**

E. The Managing Director / Executive Director of the recognised stock exchange shall submit an undertaking confirming the compliance of the provisions Regulation 11(1) of Securities Contracts (Regulation) (Manner of Increasing and Maintaining Public Shareholding in Recognised Stock Exchanges) Regulations, 2006 to SEBI on a quarterly basis within fifteen days from the end of each quarter.

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