

LIST OF ABBREVIATIONS

AA	Appellate Authority
AC	Assessment Committee
ADB	Asian Development Bank
ADRs	American Depository Receipts
AGM	Annual General Body Meeting
AGM	Assistant General Manager
AI	Approved Intermediaries
AIF	Alternative Investment Fund
AIR	All India Radio
Ais	Anchor Investors
ALM	Asset Liability Management
AMBI	Association of Merchant Bankers of India
AMC	Asset Management Company
AMFI	Association of Mutual Funds in India
AML	Anti-Money Laundering
ANMI	Association of NSE Members of India
AO	Adjudicating Officer
AP	Authorised Persons
APEC	Asia Pacific Economic Co-operation
APG	Asia Pacific Group
APRC	Asia Pacific Regional Committee
Aps	Authorised Persons
ASBA	Application Supported by Blocked Amount
ASE	Ahmadabad Stock Exchange
ASR	Annual Statistical Report
ATR	Action Taken Report
AUC	Assets Under Custody
AUM	Assets Under Management
BBF	BSE Brokers' Forum
BCBS	Basel Committee on Banking Supervision

BCP	Business Continuity Plan
BgSE	Bangalore Stock Exchange
BhSE	Bhubaneswar Stock Exchange
BIFR	Board for Industrial and Financial Reconstruction
BIS	Bank for International Settlements
BO	Beneficiary Owner
BOLTS	BSE Online Trading System
BPS	Basis Points
BSE	Bombay Stock Exchange Ltd.
BSE	Natex BSE National Index (100 Scrips)
BSE	Sensex BSE Sensitive Index (30 Scrips)
BSE	The Stock Exchange, Mumbai
BTI	Banker to an Issue
BTST	Buy Today Sell Tomorrow
C&D	Corporatisation and Demutualisation
CAG	Comptroller and Auditor General of India
CAGR	Compounded Annual Growth Rate
CAPIO	Central Assistant Public Information Officer
CBDT	Central Board of Direct Taxes
CBI	Central Bureau of Investigation
CBOE	Chicago Board of Options Exchange
CBOT	Chicago Board of Trade
CBSE	Central Board of Secondary Education
CC	Clearing Corporation
CCCPS	Cumulative Compulsorily Convertible Preference Share
CCI	Competition Commission of India
CCIL	Clearing Corporation of India Limited
CCP	Central Counter Party
CDD	Customer Due Diligence
CDR	Corporate Debt Restructuring
CDs	Certificate of Deposits
CDSC	Contingent Deferred Sales Charge

CDSL	Central Depository Services (India) Limited
CEO	Chief Executive Officer
CETTM	Centre for Excellence in Telecom Technology and Management
CFA	Chartered Financial Analyst
CFDS	Corporate Filing and Dissemination System
CFERM	Certificate in Financial Engineering and Risk Management
CFFEX	China Financial Futures Exchange
CFI	Consolidated Fund of India
CFIM	Coordination Framework for Implementation Monitoring
CFO	Chief Financial Officer
CFT	Combating Financing of Terrorism
CFTC	Commodity Futures Trading Commission
CGM	Chief General Manager
CIC	Central Information Commission
CII	Confederation of Indian Industry
CIS	Collective Investment Scheme
CISA	Certified Information System Auditor
CISM	Certified Information Security Manager
CLA	Central Listing Authority
CLB	Company Law Board
CM	Clearing Members
CME	Chicago Mercantile Exchange
CNS	Continuous Net Settlement
CoSE	Cochin Stock Exchange
CPE	Continuous Professional Education/Continuing Professional Education
CPF	Customer Protection Fund
CPIOs	Central Public Information Officers
CPs	Commercial Papers
CPSS	Committee on Payment and Settlement Systems
CRA	Credit Rating Agency
CRAR	Capital to Risk-weighted Assets Ratio

CRC	Conflict Resolution Committee
CRISIL	Credit Rating and Information Services of India Ltd
CRR	Cash Reserve Ratio
CSE	Calcutta Stock Exchange
CSL	Certificate in Securities Law
CSO	Central Statistical Organisation
CSX	Coimbatore Stock Exchange
CTR	Compliance Test Report
DC	Division Chief
DCA	Department of Company Affairs
DFIs	Development Financial Institutions/Designated Financial Institutions
DFSA	Dubai Financial Services Authority
DGCI&S	Directorate General of Commercial Intelligence and Statistics
DIIs	Domestic Institutional Investors
DIN	Director Identification Number
DIP	Disclosure and Investor Protection
DIP	Guidelines Disclosure and Investor Protection Guidelines
DIS	Delivery Instruction Slip
DJIA	Dow Jones Industrial Average
DLP	Data Leakage Protection
DMA	Direct Market Access
DMRC	Derivatives Market Review Committee
DMS	Document Management System
DOCE	Depository Operations Certification Examination
DoT	Department of Telecommunication
DPAI	Depository Participants Association of India
DPs	Depository Participants
DRM	Disaster Recovery Management
DRs	Depository Receipts
DSE	Delhi Stock Exchange
DSE	Designated Stock Exchange

DTC	Direct Tax Code
DTCC	Depositories Trust and Clearing Corporation
DvP	Delivery <i>versus</i> Payment
DWBIS	Data Warehousing and Business Intelligence System
EC	Executive Committee
ECB	External Commercial Borrowing
ECNs	Electronic Contract Notes
ECS	Electronic Clearing Services
ECS	Electronic Clearing and Settlement
ED	Enforcement Directorate
ED	Executive Director
EDIFAR	Electronic Data Information Filing and Retrieval
EFD	Enforcement Department
EFT	Electronic Funds Transfer
EGM	Extraordinary General Meeting
ELSS	Equity Linked Saving Scheme
EMA	European Monetary Agent
EMC	Emerging Markets Committee
EMCAB	Emerging Markets Advisory Board
EMEs	Emerging Market Economies
EPFO	Employees Provident Fund Organisation
ERO	Eastern Regional Office (SEBI)
ESPS	Employee Stock Purchase Scheme
ETF	Exchange Traded Fund
F & O	Segment Futures & Options Segment
F&O	Futures and Options
FAQs	Frequently Asked Questions
FATF	Financial Action Task Force
FCCBs	Foreign Currency Convertible Bonds
FCDs	Fully Convertible Debentures
FCFS	First Come First Served
FEMA	Foreign Exchange Management Act, 2000

FERA	Foreign Exchange Regulation Act, 1973
FFMS	Financial Markets Service of Russian Federation
FIFO	First In First Out Method
FIIs	Foreign Institutional Investors
FIMMDA	Fixed Income Money Market and Derivatives Association of India
FINRA	Financial Industry Regulatory Authority
FIPB	Foreign Investment Promotion Board
FIR	First Information Report
FIRE	Financial Institutions Reform and Expansion
FIRE	International Development –Financial Institutions Reforms and Expansion
FI	Financial Institutions
FISE :	Federation of Indian Stock Exchanges
FIU-IND	Financial Intelligence Unit - India
FMC	Forward Markets Commission (India)
FMCG	Fast Moving Consumer Goods
FoF	Fund of Funds
FOREX	Foreign Exchange
FPCIL	Financial Planning Corporation (India) Pvt. Ltd.
FPOs	Further Public Offerings
FPOs	Follow-on Public Offerings
FRAs	Forward Rate Agreements
FRBM	Fiscal Responsibility and Budget Management Act
FRTI	Financial Regulators Training Initiative
FSA	Financial Services Authority, UK
FSAP	Financial Sector Assessment Programme
FSB	Financial Stability Board
FSC	Financial Services Commission
FSDC	Financial Stability and Development Council
FSF	Financial Stability Forum
FSLRC	Financial Sector Legislative Reforms Commission

FSR	Financial Stability Report
FSRB	FATF-Style Regional Body
FSS	Financial Supervisory Service, South Korea
FUTP	Fraudulent and Unfair Trade Practices
FVCI	Foreign Venture Capital Investor
FY	Financial Year
G20	Group of Twenty
GAAPs	Generally Accepted Accounting Principles
GCGF	Global Corporate Governance Forum
GDCF	Gross Domestic Capital Formation
GDP	Gross Domestic Product
GDRs	Global Depository Receipts
GDS	Gross Domestic Savings
GETFs	Gold Exchange Traded Funds
GFIL	Golden Forest India Limited
GIC	General Insurance Corporation
GIR	General Index Registrar Number
GNI	Gross National Income
GNP	Gross National Product
GoI	Government of India
GSE	Gauhati Stock Exchange
G-Sec	Government Securities
GSO	Green Shoe Option
GTB	Global Trust Bank
HFT	High Frequency Trading
HNIs	High Net Worth Individuals
HPAC	High Powered Advisory Committee
HRMS	Human Resources Management System
HSE	Hyderabad Stock Exchange
HUFs	Hindu Undivided Families
IA	Investors' Associations
IAD	Investor Awareness Division

IAIP	Indian Association of Investment Professionals
IAIS	International Association of Insurance Supervisors
IB	Intelligence Bureau
IBT	Internet Based Trading
ICAI	Institute of Chartered Accountants of India
ICCL	Indian Clearing Corporation Limited
ICDM	Indian Corporate Debt Market
ICDR	Issue of Capital and Disclosure Requirements
ICICI	Industrial Credit and Investment Corporation of India
ICSE	Inter-Connected Stock Exchange
ICSI	Institute of Company Secretaries of India
IDBI	Industrial Development Bank of India
IDF	Infrastructure Debt Fund
IDFC	Infrastructure Development Finance Company Limited
IDRs	Indian Depository Receipts
IFCF	India Focus Cardinal Fund
IFIE	International Forum for Investor Education
IFRS	International Financial Reporting System
IFRS	International Financial Reporting Standards
IGRC	Investor Grievance Redressal Committee
IIP	Index of Industrial Production
IL&FS	Infrastructure Leasing and Financial Services
IMD	India Millennium Deposit
IMD	Investment Management Department
IMF	International Monetary Fund
IMN	Implementation Monitoring Network
IMSS	Integrated Market Surveillance System
INR	Indian Rupee
IOSCO	International Organisation of Securities Commissions
IP Tele-	Internet Protocol Telephony
IPEF	Investor Protection and Education Fund
IPF	Investor Protection Fund

IPOs	Initial Public Offerings
IPP	Institutional Placement Programme
IPS	Intrusion Detection and Prevention System
IPV	In-Person Verification
IRD	Interest Rate Derivative
IRDA	Insurance Regulatory and Development Authority
IRDs	Interest Rate Derivatives
IRM	Information Rights Management
IRS	Interest Rate Swap
ISB	Indian School of Business
ISD	Integrated Surveillance Department
ISD	Integrated Surveillance System
ISDN	Integrated Services Digital Network
ISE	Inter-connected Stock Exchange of India Ltd.
ISIN	International Securities Identification Number
ISP	Internet Service Provider
IT	Information Technology
ITF	Implementation Task Force
JF	Joint Forum
JPC	Joint Parliamentary Committee
JPY	Japanese Yen
JSE	Jaipur Stock Exchange
KIM	Key Information Memorandum
KRA	KYC Registration Agency
KYC	Know Your Client
LAF	Liquidity Adjustment Facility
LAN	Local Area Network
LBMA	London Bullion Market Association
LEAPS	Long Term Equity Anticipation Securities
LoI	Letter of Intent
LSE	Ludhiana Stock Exchange
MAPIN	Central Database of Market Participants and Investors

MAS	Monetary Authority of Singapore
MBs	Merchant Bankers
MCA	Ministry of Company Affairs
MCR	Monthly Cumulative Report
MCV	Multiple Share Class Vehicle
MCX-SX	MCX Stock Exchange
MF	Mutual Fund
MFD	Mutual Fund Department
MFs	Mutual Funds
MIDC	Maharashtra Industrial Development Corporation
MIFC	Mumbai International Financial Centre
MIIs	Market Infrastructure Institutions
MIMPS	Manner of Increasing and Maintaining Public Shareholding in Recognised Stock Exchanges
MIS	Management Information System
MmoU	Multilateral Memorandum of Understanding
MNCs	Multinational Corporations
MoF	Ministry of Finance
MoU	Memorandum of Understanding
MPSE	Madhya Pradesh Stock Exchange Ltd.
MSE	Madras Stock Exchange
MSEA	Magadh Stock Exchange Association
MSS	Market Stabilisation Scheme
MWPL	Market Wide Position Limits
NABARD	National Bank for Agriculture and Rural Development
NASDAQ	National Association of Securities Dealers Automated Quotations
NAV Net	Asset Value
NBFCs	Non-Banking Financial Companies
NCAER	National Council of Applied Economic Research
NCDS	Non Convertible Debt Securities
NCDs	Non-Convertible Debentures

NCFM	NSE Certification on Financial Management
NCLT	National Company Law Tribunal
NDP	Net Domestic Product
NDS	Negotiated Dealing System
NEFT	National Electronic Funds Transfer
NFO	New Fund Offer
NGOs	Non-Government Organisations
NIC	National Informatics Centre
NIIs	Non-Institutional Investors
NISM:	National Institute of Securities Markets
NNI	Net National Income
NNP	Net National Product
NOC	No Objection Certificate
NPA	Non-Performing Assets
NRIs	Non-Resident Indians
NRO	Northern Regional Office (SEBI)
NSCCL	National Securities Clearing Corporation Ltd.
NSDL	National Securities Depository Limited
NSE	National Stock Exchange of India Limited
NSEIL	National Stock Exchange of India Limited
NSMD	Network for Securities Markets Data
NTPC	National Thermal Power Corporation
OCBs	Overseas Corporate Bodies
OD	Offer Document
ODG	Oracle Data Guard
ODI	Offshore Derivatives Instrument
OECD	Organization for Economic Co-operation and Development
OFCs	Offshore Financial Centres
OFS	Offer for Sale of Shares
OI	Open Interest
OIAE	Office of Investor Assistance and Education
OIC	Overseas Investor Cell

OMO	Open Market Operations
OSD	Officer on Special Duty
OSD	Officer on Special Duty
OTC	Over the Counter
OTCEI	Over-The-Counter-Exchange of India
P.A.	Per Annum
P/B ratio	Price to Book-Value ratio
P/E ratio	Price-Earnings ratio
PA	Public Announcement
PAC	Person-Acting-in-Concert
PAN	Permanent Account Number
PCC	Protected Cell Company
PCD	Partly Convertible Debenture
PCI	Press Council of India
PCR	Put Call Ratio
PF	Provident Fund
PFI	Public Financial Institution
PFRDA	Pension Fund Regulatory and Development Authority
PFUTP	Prevention of Fraudulent and Unfair Trade Practices
PGPSM	Post Graduate Programme in Securities Markets
PID	Public Interest Directors
PIL	Public Interest Litigation
PIOs	Public Information Officers / Persons of Indian Origin
PMAC	Primary Market Advisory Committee
PMLA	Prevention of Money Laundering Act
PNB	Punjab National Bank
PNs/P Notes	Participatory Notes
PoA	Power of Attorney
PoS	Points of Service
PQ Cell	Parliament Question Cell
PQ	Parliament Question
PSEs	Public Sector Enterprises

PSU	Public Sector Undertaking
PTC	Pass Through Certificate
QFIs	Qualified Foreign Investors
QIBs	Qualified Institutional Buyers
QIP	Qualified Institutional Placement
RAIN	Registrars Association of India
RBI	Reserve Bank of India
RCG	Regional Committee Group
REER	Real Effective Exchange Rate
REIT	Real Estate Investment Trust
REMF	Real Estate Mutual Fund
RHPs	Red Herring Prospectus
RII	Retail Individual Investors
RIL	Reliance Infrastructure Limited
RNRL	Reliance Natural Resources Limited
RoCs	Registrar of Companies
RP	Resource Persons
RPT	Related Party Transactions
RRD	Regulatory Research Division
RSEs	Regional Stock Exchanges
RTA	Registrar to an Issue and Share Transfer Agent
RTGS	Real Time Gross Settlement System
RTI	Registrar to an Issue / Right to Information
RTI	Registrar to the Issue
RTI	Right to Information
S&P CNX NIFTY	S&P CNX NIFTY Index (50 Scrips)
SAARC	South Asian Association for Regional Co-operation
SAI	Statement of Additional Information
SAI	Statement of Additional Information
SARFAESI	Securitisation and Act Reconstruction of Financial Assets and Enforcement of Security Interest Act

SAS	Statistical Analysis System
SASRF	South Asian Securities Regulators' Forum
SAST	Substantial Acquisition of Shares and Takeovers
SAT	Securities Appellate Tribunal
SC(R)R, 1957	Securities Contract (Regulation) Rules, 1957
SCB	Scheduled Commercial Bank
SCM	Self Clearing Member
SCN	Show Cause Notice
SCOD	SEBI Committee on Disclosures
SCODA	SEBI Committee on Disclosures & Accounting Standards
SCORES	SEBI Complaints Redress System
SCSB	Self Certified Syndicate Banks
SDI	Securitized Debt Instrument
SEBI :	Securities and Exchange Board of India
SEBON	Securities Board of Nepal
SEC	Securities and Exchange Commission, United States
SEFT	Special Electronic Fund Transfer
SFC	Securities and Futures Commission, Hong Kong
SGF	Settlement Guarantee Fund
SGL	Subsidiary General Ledger
SHCIL	Stock Holding Corporation of India Limited
SID	Scheme Information Document
SIEFL	School for Investor Education and Financial Literacy
SIFI	Systemically Important Financial Institutions
SII	Securities Investment Institute
SIP	Systematic Investment Plan
SKSE	Saurashtra Kutch Stock Exchange
SLB	Securities Lending and Borrowing
SLP	Special Leave Petitions
SLR	Statutory Liquidity Ratio
SMAC	Secondary Market Advisory Committee / Securities Market

	Awareness Campaign
SMARTS	Securities Markets Automated, Research, Training and Surveillance
SMDA	Securities Market Data Access
SMEs	Small and Medium Enterprises
SMILE	Securities Markets Infrastructure Leveraging Expert Task Force
SMS	Short Messaging Service
SMTI	Securities Market Training Institute
SOP	Statement of Purpose
SOR	Smart Order Routing
SPAN	Standardised Portfolio Analysis of Risk
SPDE	Special Purpose Distinct Entities
SPVs	Special Purpose Vehicles
SRO	Southern Regional Office
SROs	Self Regulatory Organisations
SS&SHA	Share Subscription and Shareholder Agreement
SSE	School for Securities Education
SSIT	Special Surveillance Inspection Team
SSL	Secured Socket Layer
SSNNL	Sardar Sarovar Narmada Nigam Ltd.
STA	Share Transfer Agent
STP	Straight Through Processing/ Systematic Transfer Plan
STR	Suspicious Transaction Report
STT	Securities Transaction Tax
STWT	Securities Trading using Wireless Technology
SWP	Systematic Withdrawal Plan
T to T	Trade-to-Trade
TAC	Technical Advisory Committee
T-Bills	Treasury Bills
TC	Technical Committee
TCS	TATA Consultancy Services Ltd.
TDS	Tax Deduction at Source

TFC	International Forum for Investor Education
TFCG	Task Force on Corporate Governance
TFT	Trade for Trade
TIDCO	Tamilnadu Industrial
TM	Trading Member
TOT	Training of Trainers
TRAC	Takeover Regulations Advisory Committee
TVA	Tennessee Valley Authority
UAT	User Acceptance Test
UCC	Unique Client Code
UCR	Uniform Confirmation Receipt
UIN	Unique Identification Number
UPSE	Uttar Pradesh Stock Exchange Ltd.
UPSI	Unpublished Price Sensitive Information
USA	United States of America
USAID	United States Aid for International Development
USD	United States Dollar
USE	United Stock Exchange
USIBC	US-India Business Council
USSEC	United States Securities and Exchange Commission
UTI MF	UTI Mutual Fund
UTI	Unit Trust of India
VaR	Value-at-Risk
VCF	Venture Capital Fund
VCU	Venture Capital Undertaking
VPN	Virtual Private Network
VSAT	Very Small Aperture Terminal
VSE	Vadodara Stock Exchange
WAN	Wide Area Network
WAP	Wireless Application Protocol
WBIDFC	West Bengal Infrastructure Development Finance Corporation
WCM	Web Content Management System

WDM	Wholesale Debt Market
WFE	World Federation of Exchanges
WP	Writ Petition
WPI	Wholesale Price Index
WRO	Western Regional Office
WTM	Whole Time Member
WTO	World Trade Organisation
XBRL	Extensible Business Reporting Language

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