

**ANNEXURE – A**

No.	Regulation	Applicable Requirement
1.	Securities and Exchange Board of India (Credit Rating Agencies) Regulations, 1999  ("CRA Regulations")	<p><b>Regulation 3- Application for grant of certificate of registration</b></p> <p><i>"(3) An application for the grant of a certificate under sub-regulation (1) shall be made to the Board in <u>Form A of the First Schedule</u> and ..."</i></p> <p style="text-align: center;"><b><u>FIRST SCHEDULE</u></b></p> <p style="text-align: center;"><b><u>Form A - Application for grant of certificate of registration.</u></b></p> <p style="text-align: center;"><b><u>Instructions for filing up Form</u></b></p> <p><i>"1. Applicants must submit to the Board a completed application form together with appropriate supporting documents. Supporting documents should be attested as true by a <u>notary public</u>."</i></p>
2.	Securities and Exchange Board of India (Custodian) Regulations, 1996	<p><b>Regulation 3- Application for grant of certificate</b></p> <p><i>"(1) ...</i></p> <p><i>(3) An application for grant of a certificate under sub-regulation (1) or sub regulation(2) shall be made in Form A and shall be accompanied by an application fee as specified in Part A of the Second Schedule and be paid in the manner specified in Part B thereof."</i></p> <p style="text-align: center;"><b><u>FIRST SCHEDULE</u></b></p> <p style="text-align: center;"><b><u>FORM A</u></b></p> <p><i>"INSTRUCTIONS</i></p> <p><i>i. ...</i></p> <p><i>x. All copies of documents should be attested as true by an authorised notary."</i></p>
3.	Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011	<p><b>Regulation 11- Exemptions by the Board</b></p> <p><i>"(1) ...</i></p> <p><i>(3) For seeking exemption under sub-regulation (1), the acquirer shall, and for seeking relaxation under sub-regulation (2) the target company shall file an application with the Board, supported by a <u>duly sworn affidavit</u>, giving details of the proposed</i></p>

No.	Regulation	Applicable Requirement
		<i>acquisition and the grounds on which the exemption has been sought.”</i>
4.	<u>Securities and Exchange Board of India (KYC (Know Your Client) Registration Agency) Regulations, 2011</u>	<p><b>Regulation 3- Application for grant of certificate of registration</b></p> <p><i>“3. An application for the grant of a certificate of registration as a KRA shall be made to the Board in Form as specified in <u>Schedule I</u> and shall be accompanied by such fees and in such manner as specified in <u>Schedule II</u> of these regulations.”</i></p> <p style="text-align: center;"><b><u>SCHEDULE I</u></b></p> <p style="text-align: center;"><b><u>Form A- Application for grant of certificate of registration</u></b></p> <p style="text-align: center;"><b><u>Instructions for filling up Form</u></b></p> <p><i>“1. Applicants must submit to the Board a completed application form together with appropriate supporting documents and applicable application fees. Supporting documents should be attested as true by a notary public.”</i></p>
5.	<u>Securities and Exchange Board of India (Buy-back of Securities) Regulations 2018</u>	<p><b>Regulation 28- Power to relax strict enforcement of the regulations.</b></p> <p><i>“(i)...</i></p> <p><i>(ii) For seeking relaxation under sub-regulation (i), the company shall file an application with the Board, supported by a <u>duly sworn affidavit</u>, giving details and the grounds on which such relaxation has been sought.”</i></p>
6.	<u>Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018</u>	<p><b>Regulation 3- Application for grant of certificate of registration</b></p> <p><i>“(1)....</i></p> <p><i>(2) An application for the grant of a certificate of registration as a depository shall be made to the Board by an applicant in <u>Form A of the First Schedule</u>, shall be accompanied by the fee specified in Part A of the Second Schedule and be paid in the manner specified in Part B thereof.”</i></p> <p style="text-align: center;"><b><u>FIRST SCHEDULE</u></b></p> <p style="text-align: center;"><b><u>Form A- Application for grant of certificate of registration as depository</u></b></p>

No.	Regulation	Applicable Requirement
		<p style="text-align: center;"><b><u>Instructions</u></b></p> <p><i>“i...</i></p> <p><i>x. All copies of documents should be <u>attested as true by an authorised notary.</u>”</i></p> <hr/> <p><b>Regulation 11- Application for grant of certificate of commencement of business</b></p> <p><i>“11. A depository which has been granted a certificate of registration under regulation 7, shall within one year from the date of issue of such certificate make an application to the Board for commencement of business in <u>Form C of the First Schedule.</u>”</i></p> <p style="text-align: center;"><b><u>FIRST SCHEDULE</u></b></p> <p style="text-align: center;"><b><u>Form C- Application for grant of certificate of commencement of business as depository</u></b></p> <p style="text-align: center;"><b><u>Instructions</u></b></p> <p><i>i...</i></p> <p><i>ix. All copies of documents should be <u>attested as true by an authorised notary.</u>”</i></p> <hr/> <p><b>Regulation 32- Application for grant of certificate of registration</b></p> <p><i>“(1) An application for the grant of a certificate of registration as a participant shall be made to the Board <u>in Form F of the First Schedule</u>, through the depository in which the applicant proposes to act as a participant, shall be accompanied by the fee specified in Part A of the Second Schedule and be paid in the manner specified in Part B thereof.”</i></p> <p style="text-align: center;"><b><u>FIRST SCHEDULE</u></b></p> <p style="text-align: center;"><b><u>Form F- Application for Grant of Certificate of Registration as Participant</u></b></p> <p style="text-align: center;"><b><u>Instructions</u></b></p> <p><i>“i...</i></p> <p><i>x. All copies of documents should be <u>attested as true by an authorised notary.</u>”</i></p>

No.	Regulation	Applicable Requirement
7.	<u>Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2021</u>	<p><b>Regulation 42- Power to relax strict enforcement of the regulations</b></p> <p>“(1)...</p> <p>(2) For seeking relaxation under sub-regulation (1), the acquirer or the company shall file an application with the Board, supported by a <u>duly sworn affidavit</u>, providing details of such relaxation of the regulations and the grounds on which the relaxation has been sought.”</p>
8.	Securities and Exchange Board of India (Index Providers) Regulations, 2024	<p><b>Regulation 4- Application for grant of certificate of registration.</b></p> <p>“(1)...</p> <p>(2) An application for the grant of a certificate under sub-regulation (1) shall be made to the Board in Form A of the First Schedule and shall be accompanied by a non-refundable application fee, as specified in Part A of the Second Schedule, to be paid in the manner as specified in Part B.”</p> <p style="text-align: center;"><b><u>SCHEDULE I</u></b></p> <p style="text-align: center;"><b><u>Form A- Application for grant of certificate of registration</u></b></p> <p style="text-align: center;"><b><u>Instructions for filling up Form</u></b></p> <p>“1. Applicants shall submit to the Board a completed application form together with appropriate supporting documents. Supporting documents shall be <u>attested as true by a notary public.</u>”</p>
9.	Securities and Exchange Board of India (Settlement Proceedings) Regulations, 2018	<p><b>Regulation 3 - Application.</b></p> <p>“(1) ...</p> <p>(2) The application made under sub-regulation (1) shall be accompanied by a non-refundable application fee as specified in Part-B of Schedule I and the undertakings and waivers as specified in Part-C of Schedule-I: ...”</p> <p style="text-align: center;"><b><u>SCHEDULE-I</u></b></p> <p style="text-align: center;"><b><u>Part-C</u></b></p> <p style="text-align: center;"><b><u>Undertakings and Waivers</u></b></p>

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		<p style="text-align: center;"><b><u>Format</u></b></p> <p style="text-align: center;"><i>“Undertaking to be submitted by each applicant, along with the application with stamp duty duly paid and duly notarized at the time of execution.</i></p> <p style="text-align: center;">...</p> <p style="text-align: center;"><i>(Signature of the applicant with stamp and seal of the body corporate)</i></p> <p style="text-align: center;"><i>Before me.</i></p> <p style="text-align: center;"><i>Notary”</i></p>

**ANNEXURE – B**

**DRAFT NOTIFICATION**

**THE GAZETTE OF INDIA  
EXTRAORDINARY  
PART – III – SECTION 4  
PUBLISHED BY AUTHORITY  
SECURITIES AND EXCHANGE BOARD OF INDIA  
NOTIFICATION**

**Mumbai, the ....., 2023**

**SECURITIES AND EXCHANGE BOARD OF INDIA (ATTESTATION OF  
DOCUMENTS) (AMENDMENT) REGULATIONS, 2024**

No ..... In exercise of the powers conferred by section 21A, section 23JA and section 31 of the Securities Contracts (Regulation) Act, 1956 (42 of 1956), section 11, section 11A, section 12, section 15JB and section 30 of the Securities and Exchange Board of India Act, 1992 (15 of 1992), section 19-IA and section 25 of the Depositories Act, 1996 (22 of 1996), and clause (f) of sub-section (2) of section 68 of the Companies Act, 2013 (18 of 2013), the Board hereby makes the following regulations to further amend the Securities and Exchange Board of India (Custodian) Regulations, 1996, Securities and Exchange Board of India (Credit Rating Agencies) Regulations, 1999, Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, Securities and Exchange Board of India {KYC (Know Your Client) Registration Agency} Regulations, 2011, Securities and Exchange Board of India (Buy-back of Securities) Regulations 2018, Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018, Securities and Exchange Board of India (Settlement Proceedings) Regulations, 2018, Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2021, Securities and Exchange Board of India (Index Providers) Regulations, 2024, namely:–

1. These regulations may be called the Securities and Exchange Board of India (Attestation of Documents) (Amendment) Regulations, 2024.
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 (Custodian) Regulations, 1996, in the First Schedule, in Form A, in clause x, the words “attested as true by an authorised notary” shall be substituted with the words “self-attested”.
4. In Securities and Exchange Board of India (Credit Rating Agencies) Regulations, 1999, in the First Schedule, in Form A, in clause 1, the words “attested as true by a notary public” shall be substituted with the words “self-attested”.
5. In Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, in regulation 11, in sub-regulation (3),
  - (1) the words “supported by a duly sworn affidavit” shall be deleted; and
  - (2) before the words “application with the Board”, the word “self-attested” shall be inserted.
6. In Securities and Exchange Board of India {KYC (Know Your Client) Registration Agency} Regulations, 2011, in Schedule I, in Form A, in clause 1, the words “attested as true by a notary public” shall be substituted with the words “self-attested”.
7. In Securities and Exchange Board of India (Buy-back of Securities) Regulations 2018, in regulation 28, in clause (ii),
  - (1) the words “supported by a duly sworn affidavit” shall be deleted; and
  - (2) before the words “application with the Board”, the word “self-attested” shall be inserted.
8. In Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018, in the First Schedule,
  - (1) in Form A, in clause x, the words “attested as true by an authorised notary” shall be substituted with the words “self-attested”;
  - (2) in Form C, in clause ix, the words “attested as true by an authorised notary” shall be substituted with the words “self-attested”; and
  - (3) in Form F, in clause x, the words “attested as true by an authorised notary” shall be substituted with the words “self-attested”.
9. In Securities and Exchange Board of India (Settlement Proceedings) Regulations, 2018, in Part C of Schedule-I,
  - (1) the words “and duly notarized at the time of execution” shall be deleted; and
  - (2) before the words “application with stamp duty”, the word “self-attested” shall be inserted.

10. In Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2021, in regulation 42, in sub-regulation (2), the words “supported by a duly sworn affidavit” shall be substituted with “which shall be self-attested”.
11. In Securities and Exchange Board of India (Index Providers) Regulations, 2024, in Schedule I, in Form A, in clause 1, the words “attested as true by a notary public” shall be substituted with the words “self-attested”.

**SECURITIES AND EXCHANGE BOARD OF INDIA**

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