

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION	
Download Ref.No.: NSE/INSP/32471	Date : May 31, 2016
Circular Ref.No.: 279/2016	

To All Members

Sub : Updation of E Mail IDs and Mobile Numbers of retail clients

This has reference to SEBI circular CIR/MIRSD/15/2011 dated August 02, 2011, Exchange circulars NSE/INVG/21841 dated October 4, 2012, NSE/INSP/27339 dated August 12, 2014 and NSE/INSP/27368 dated August 18, 2014 regarding updation of E-mail IDs and mobile numbers of clients.

The following points should be ensured by the members while implementing the above circulars:

1. Separate mobile number/E-mail address shall be uploaded for each client. The stock broker may, at the specific written request from client, upload the same mobile number/E-mail address of one of the client's family member. 'Family' for this purpose would mean self, spouse, dependent children and dependent parents.
2. Mobile numbers/e-mail addresses of member's employees/sub-brokers/authorized persons should not be uploaded as mobile number or E mail ID of the client.
3. For all existing clients, member should collect their e mail IDs & mobile numbers and upload the same to Exchange before executing any fresh transaction for that client.
4. In cases where investors do not have mobile number/email id, member shall obtain a declaration from the client to this effect and report the same in UCI online by entering '**notprovided@notprovided.com**' in the email field and '**6666666666**' in the mobile number field.
5. Where members are unable to get the details from their existing clients, Members are advised to retain verifiable records of seeking details of email Id and mobile number for such clients. However no fresh trade can be done for such client unless the E mail ID & mobile number is collected and uploaded in UCI or declaration as stated at point no. 4 above is obtained.
6. The E mail and mobile number details of the clients should not be kept blank in the UCI online database.

All members are requested to strictly adhere to the aforementioned requirements and exercise due diligence while uploading the E mail ID and mobile numbers declared by their clients to the UCI online of the Exchange.

In case of any clarifications, Members may contact our below offices:

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**For and on behalf of
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