

NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED
Member Compliance Guide – SMS and E-mail alerts to clients

Uploading of mobile number and E-mail address by stock brokers

Members shall upload the details of clients, such as, name, mobile number, address for correspondence and E-mail address.

Members shall ensure that the mobile numbers/E-mail addresses of their employees/sub-brokers/remisiers/authorized persons are not uploaded on behalf of clients.

Members shall ensure that separate mobile number/E-mail address is uploaded for each client. However, under exceptional circumstances, the member may, at the specific written request of a client, upload the same mobile number/E-mail address for more than one client provided such clients belong to one family. 'Family' for this purpose would mean self, spouse, dependent children and dependent parents.

Verification by the stock exchanges

After uploading of details by the members, the Exchange shall take necessary steps to verify the details by any mode as considered appropriate by them which may include the following:

- a. By way of sending SMS and E-mail directly to the investors at the numbers/E-mail address uploaded by the members.
- b. By way of sending letters to the address of the investors uploaded by the members.

Sending of alerts by the stock exchanges

Upon receipt of confirmation from the investors, the Exchange shall commence sending the transaction details generated based on investors' Permanent Account Number, directly to them.

Handling of discrepancies, if any.

If any discrepancy is observed by the Exchanges in the details uploaded by the members including non-confirmation by investors, bounced E-mails, undelivered SMS/letters, etc., the Exchange shall inform the respective member.

Reference:

- SEBI Circular no.CIR/MIRSD/15/2011 dated August 02, 2011
- Circular no. NCDEX/MEMBERSHIP-001/2017/002 dated January 03, 2017

For further information / clarifications, please contact:

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