

Ref: 06-07/ISS/1693/PI
August 22, 2007

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All Registered Intermediaries of ISS
President / Executive Director of Participating Exchanges, Co-ordination Officers at Participating Exchanges / Regional Administrative Offices

Dear Sir,

Sub: Reminder for submission of duplicate copy of contract note
Ref: Our Earlier Circular reference no. 06-07/ISS/37045/VV dated July 18, 2006

This is with reference to the subject captioned above regarding submission of duplicate copy of contract notes. As required under NSE Regulation 3.5.1, 3.5.2, 3.5.3, 6.1.17, NSE Circular No. NSE/CMT/001 dated 28/10/1994 and NSE/CMT/005 dated 12/12/1994 and the Regulations of BSE, all the Registered Intermediaries have to ensure that contract notes are issued to all the clients:

- ✓ Within 24 hours of the execution of the contract.
- ✓ With all relevant details filled in bearing the signature of the authorized signatory.
- ✓ Bearing a running serial number, which is initialized at the beginning of each financial year.
- ✓ Copies / duplicates of contract notes issued to the clients containing signature of the respective clients for having received the same within 24 hours of execution of the contract **to be sent to ISE Securities & Services Ltd. (ISS) within 30th of the following month. These copies / duplicates have to be bound in a book form and the month for which such contract notes pertain to should be written on the bound books along with the sub-broker codes.** Non-receipt of such copies of contract notes by ISS within the stipulated time (i.e. 30th of the following month) shall be considered as serious violation and appropriate disciplinary action may be initiated.
- ✓ Such bound books should be submitted to ISS for NSE (Cash & F&O) and BSE separately.
- ✓ All the contract notes duly acknowledged by the client containing the date of receipt (which should be within 24 hours of execution of contract) should be maintained Client wise and Date wise and the same should be bound and sent to us in the manner prescribed above.

All Registered Intermediaries and the clients registered with them are requested to comply with the above requirements.

Yours faithfully,
For **ISE SECURITIES & SERVICES LIMITED**

PARTHASARTHY IYENGAR
Deputy Manager
Legal, Secretarial & Compliance Dept.