



ISE Securities & Services Limited

Corporate Office : 6th Floor, 601, "Dakshna" Next to Raigad Bhavan, Sector - 11, CBD - Belapur, Navi Mumbai - 400 614, Tel : (022) 61829500, Fax : (022) 61829547, e-mail : helpdesk@iseindia.com
Internet URL : <http://www.iseindia.com>, **Investor grievance e-mail :** invgrieviss@iseindia.com
CIN : U67190MH2000PLC123707



Ref: 17-18/ISS/Surveillance/71 /6382/MM / December 5, 2017

All Registered Intermediaries of ISE Securities & Services Limited ISS (RIs)

Dear Sir / Madam,

Sub: Caution towards Unsolicited Messages.

BSE vide its Notice No. 20171117-18 dated 17/11/2017, and NSE vide its Circular Ref: No. 0208/2017, dated 17/11/2017, informed all the Members, that it has come to the notice of the Exchanges & Securities and Exchange Board of India (SEBI) that unsolicited messages are being sent to induce investment or sale of stocks of certain listed companies, indicating target prices by unregistered or unauthorised entities. Copy of the above circular is herewith attached for your immediate attention.

Intermediaries are requested to advise their clients to remain cautious on such unsolicited messages being circulated by unregistered/ unauthorized entities and exercise necessary caution with respect to tips/rumors circulated via messages while dealing in the securities listed on the Exchange.

It is further advised that in case any Intermediaries suspects that there is an unusual trading pattern by any of their client, then the Intermediaries shall inform ISS for carrying further scrutiny on the matter and to report the same to BSE/NSE as the case may be.

Thanking You,

Yours Faithfully,

(Mayuri Marathe)

Help Desk Department

ISE Securities & Services Limited

BSE:INB011077733 (Equities Segment), NSE:INB 231077737 (Capital Market Segment), INF 231077737 (Equity Derivatives Segment), INE 231077737 (Currency Derivatives Segment), MCX-SX:INE 261077737 (Currency Derivatives Segment)

Registered Office : International Infotech Park, Tower No. 7, 5th Floor, Sector - 30, Vashi, Navi Mumbai - 400 703. Tel. : (022) 2781 2056

NOTICES

Notice No.	20171117-18	Notice Date	17 Nov 2017
Category	Trading	Segment	Equity
Subject	Caution towards unsolicited messages		
Content			

Sub: Caution towards unsolicited messages

It has come to the notice of the Exchange & Securities and Exchange Board of India (SEBI) that unsolicited messages are being sent to induce investment or sale of the stock of certain listed companies, indicating target prices by unregistered or unauthorised entities.

Trading members are requested to advise their clients to remain cautious on such unsolicited messages being circulated by unregistered/ unauthorized entities.

It is further advised that in case the trading member suspects that there is an unusual trading pattern by any client then the trading member shall release the payout to the client only after carrying further scrutiny like:-

- Scrutiny of KYC documents to compare income range declared and value of such transaction,
- Whether the client is individual or Private Corporate Body,
- Whether the client is directly/indirectly connected to the company/ promoters/ directors of the company, etc.
- Method of acquisition of shares by client - whether on-market/off-market/IPO/Preferential allotment,
- Whether source of funds and period of holding is not in line with the client's usual behavior.

The trading member shall intimate his decision to withhold the pay-out to the client along with his rationale to the stock exchange within three days of withholding of pay-out. The intimation shall be sent to investigation@bseindia.com

Further, market participants are aware that Exchange has provided facility to share their information or evidence of systemic wrongdoing, potential frauds or unethical behaviour to the Exchange through the anonymous portal as per web page link given below:

(<http://www.bseindia.com/investors/tip-off-registration.aspx?expandable=0>)

Market participants are advised to use facility to report any such information anonymously and confidentially.

Market participants are advised to take note of the above and exercise necessary caution with respect to tips / rumours circulated via messages while dealing in the securities listed on the Exchange.

In case of any clarification, members may contact on 022 – 2272 8852 / 8315.

For & On behalf of BSE Ltd.

Usha Sharma
Addl. General Manager
Surveillance

November 17, 2017

Rajesh Gandhi
Asst. General Manager
Surveillance

Handwritten signature



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INVESTIGATION

Download Ref. No.: NSE/INVG/36333

Date: November 17, 2017

Circular Ref. No.: 0208 /2017

To All NSE Members

Sub: Caution towards unsolicited messages

It has come to the notice of the Exchange & Securities and Exchange Board of India (SEBI) that unsolicited messages are being sent to induce investment or sale of the stock of certain listed companies, indicating target prices by unregistered or unauthorised entities.

Trading members are requested to advise their clients to remain cautious on such unsolicited messages being circulated by unregistered/ unauthorized entities.

It is further advised that in case the trading member suspects that there is an unusual trading pattern by any client then the trading member shall release the payout to the client only after carrying further scrutiny like:-

- i) Scrutiny of KYC documents to compare income range declared and value of such transaction,
- ii) Whether the client is individual or Private Corporate Body,
- iii) Whether the client is directly/indirectly connected to the company/ promoters/ directors of the company, etc.
- iv) Method of acquisition of shares by client - whether on-market/off-market/IPO/Preferential allotment,
- v) Whether source of funds and period of holding is not in line with the client's usual behavior.

The trading member shall intimate his decision to withhold the pay-out to the client along with his rationale to the stock exchange within three days of withholding of pay-out. The intimation shall be sent to invsg@nse.co.in

Further, market participants are aware that Exchange has provided facility to share their information or evidence of systemic wrongdoing, potential frauds or unethical behaviour to the Exchange through the anonymous portal as per web page link given below:

(http://www.nseindia.com/int_invest/dynacontent/any_portal.htm)

Regd. Office : Exchange Plaza, Bandra Kurla Complex, Bandra (E), Mumbai – 400 051

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Market participants are advised to use facility to report any such information anonymously and confidentially.

Market participants are advised to take note of the above and exercise necessary caution with respect to tips/rumours circulated via messages while dealing in the securities listed on the Exchange.

In case of any further queries, members are requested to contact the following officials:

Mr. Chirag Jain (Extn: 22480), Mr. Binoy Yohannan (Extn: 24332), Mr. Hiren Thakkar (Extn. 22399)
Direct No: 022-26598417/18

For National Stock Exchange of India Limited

Avishkar Naik

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Avishkar Naik

Regd. Office : Exchange Plaza, Bandra Kurla Complex, Bandra (E), Mumbai – 400 051