

National Stock Exchange of India Limited Circular

DEPARTMENT: INSPECTION

Download Ref No: NSE/INSP/65224	Date: November 25, 2024
Circular Ref. No: 88/2024	

To All Trading Members,

Sub: Submission of ATR on Impersonation and Unauthorized Market Practices

Members attention is drawn to the Exchange circular no. NSE/INSP/61754 dated April 25, 2024, regarding “Advisory on Impersonation and Unauthorised Market Practices”, wherein trading members were advised to actively search the web/social media platforms for possible impersonation of their name/logo regularly and immediately take following actions: -

- a) Initiate steps to take down such App/website/social media posts etc. by filing police complaints,
- b) Issue public notices and
- c) Notify clients about-such impersonation findings, guiding them to verify the authentication of offer like asking them to visit official website or tagging official social media handles or calling customer care at email/phone no., etc. and advise clients not to participate/subscribe to any such product/scheme being offered.

Additionally, Trading Members were also requested to report such instances/findings along with action taken to the Exchange within 3 days after filing of police complaint.

In this regard, the Exchange is pleased to inform members that the details of the action taken can now be submitted to the Exchange online through the member portal. The details of such information / data to be provided in this regard have been specified in **Annexure - A**. The procedure for submitting the same through Member portal is given in **Annexure - B**.

Kindly note that, henceforth members need not submit the details of impersonation and action taken on email ID as previously provided in the aforesaid circular.

Further, as a part of investor awareness and cautioning the public at large, Exchange is publishing and updating all issued press releases, list of fake links/applications & websites reported by investors and trading members on NSE website under following link.

NSE website Link- <https://www.nseindia.com/invest/advisory-for-investors>

All Members are advised to take note of the above.

**For and on behalf of
National Stock Exchange of India Limited**

**Ajinkya Nikam
Senior Manager – Inspection**

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

REGIONAL OFFICE	CONTACT NO.	E MAIL ID
Ahmedabad (ARO)	079- 49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915 /17	inspection_cro@nse.co.in
Delhi (DRO)	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033- 40400412/ 459	inspection_kolkata@nse.co. in
Mumbai (WRO)	022-26598200/022-61928200	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	

Annexure – A

FORMAT OF ATR ON MEMBER IMPERSONATION		
SR. No.	Particulars	Description
Details of Trading Member		
1	TM Name	Auto capture
2	TM Code	Auto capture
3	Date of Police complaint	DD-MM-YYYY
3	Date and source of Impersonation Identified	DD-MM-YYYY Add New Provide sources of identification Browse Option: Supporting to be added.
B	Measures Taken by Trading Member Against Impersonation	
4	Police Complaint filed with Acknowledgment	DD-MM-YYYY Browse Option: Supporting to be added
5	Public Notice issued	DD-MM-YYYY Browse Option: Supporting to be added
6	Notification sent to all the Investors	DD-MM-YYYY Select applicability of the option from drop down: 1. Yes 2. No retail clients 3. Only Pro Trading Browse Option: Supporting to be added.
7	Action taken to take down application link /Social Media Channel/Website	DD-MM-YYYY Select applicability of the option from drop down: 1. Yes 2. No website 3. No Social media 4. No Application Browse Option: Supporting to be added.

C	Details of Impersonation	
6	Names of individual*	Alpha, Numeric, Special Character (Max - 500 Characters)
7	Names of Entity*	Alpha, Numeric, Special Character (Max - 1500 Character)
8	Mobile Nos.*	Numeric, and Character "+", "-", "&"
9	Email Id*	Alpha, Numeric, Special Character (Max - 500 Characters)
10	Address*	Alpha, Numeric, Special Character (Max - 2000 Characters)
11	Website	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
12	Application Name	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
13	Application Url link	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
14	Whatsapp	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
15	Facebook	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
16	Instagram	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
17	Telegram	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available
18	YouTube	Alpha, Numeric, Special Character (Max - 2000 Characters) Browse Option: Supporting/Print screen to be added, if Available

19	Bank Details	<p><u>Below are the details to be mentioned:</u> Name of Person Account Number Bank Name Bank Branch IFSC UPI Link</p> <p>In case if any one of the field is not available for above mentioned fields, please mention as "NA"</p> <p>Browse Option: Supporting/Print screen to be added, if Available</p>
20	Any other	<p>Alpha, Numeric, Special Character (Max - 2000 Characters)</p> <p>If Sr. No. 6 to Sr. No. 19 is selected as “Not Available” then Sr. No. 20 (Any other) is compulsory.</p> <p>Browse Option: Supporting/Print screen to be added, if Available</p>
21	TM Remarks, if any	<p>Alpha, Numeric, Special Character (Max - 5000 Characters)</p> <p>Browse Option: Supporting/Print screen to be added, if Available</p>

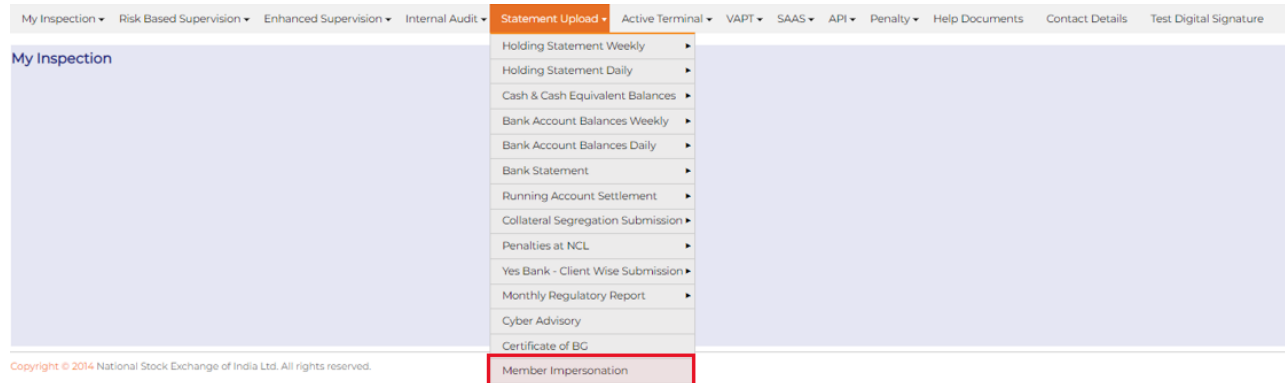
Note:

1. All fields are compulsory.
2. Each new complaint should be reported separately.
3. Browse option allows PDF, JPEG, Word Doc., Excel file, PPT
4. Once all the data is “Submitted” no further modification in data is allowed.
5. *In case if any one of the field is not available for above mentioned fields, please mention as "NA"

Annexure – B

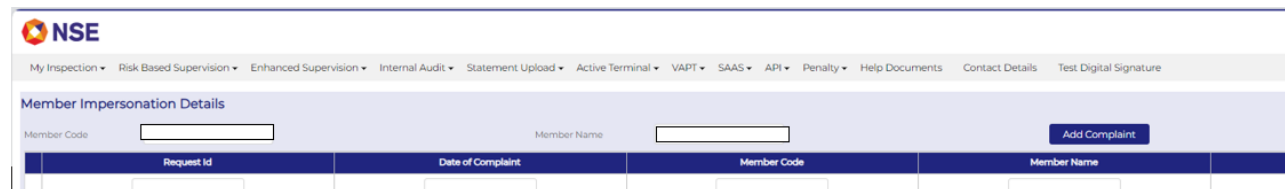
Member Portal User Guide for Member Impersonation

1. Login to ENIT portal>Inspection>Statement Upload>Member Impersonation



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2. Add Complaint



Request Id	Date of Complaint	Member Code	Member Name
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3. Fill Data as per police complaint filed.

My Inspection ▾ Risk Based Supervision ▾ Enhanced Supervision ▾ Internal Audit ▾ Statement Upload ▾ Active Terminal ▾ VAPT ▾ SAAS ▾ API ▾ Penalty ▾ Help Documents Contact Details Test Digital Signature			
Date of Police Complaint*			
<input type="text"/>			
<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>			
Select	Date of Impersonation Identified*	Provide sources of identification*	
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>	
<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>			
Select	Police Complaint filed with Acknowledgment*	Date of Acknowledgment*	
<input type="checkbox"/>	Yes	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>
<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>			
Select	Public Notice issued in Newspapers*	Date of Notice issued*	
<input type="checkbox"/>	Yes	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>
<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>			
Select	Notification sent to all the Investors*	Date of Notification*	
<input type="checkbox"/>	Yes	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>
<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>			
Select	Action taken to take down application link*	Action Taken Date*	
<input type="checkbox"/>	Yes	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>

4. Submit the data

<input type="checkbox"/>						<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>
Available ▾	Add Row	Delete Row				
Select	Instagram*					
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>				
Available ▾	Add Row	Delete Row				
Select	Telegram*					
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>				
Available ▾	Add Row	Delete Row				
Select	Youtube*					
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>				
Available ▾	Add Row	Delete Row				
Select	Name of Person*	Account Number*	Bank Name*	Bank Branch*	IFC Code*	UPI Link*
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>
<small>In case if any one of the field is not available for above mentioned fields, please mention as "NA"</small>						
Available ▾	Add Row	Delete Row				
Select	Any other*					
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>				
Available ▾	Add Row	Delete Row				
Select	TM Remarks, if any*					
<input type="checkbox"/>	<input type="text"/>	<input type="button" value="Choose File"/> <input type="button" value="No fi...osen"/>				
<input type="button" value="Save As Draft"/> <input type="button" value="Submit"/> <input type="button" value="Back"/>						