

# National Stock Exchange of India Limited

## Circular

**DEPARTMENT: INSPECTION****Download Ref No: NSE/INSP/ 65679****Date: December 19, 2024****Circular Ref. No: 92/2024**

To All Trading Members,

**Sub: SMS and E-mail alerts to investors by Stock Exchanges**

Members' attention is drawn to SEBI Circular Ref No. CIR/MIRSD/15/2011 dated August 02, 2011 on "SMS and E-mail alerts to investors by Stock Exchanges" wherein the Trading Members were directed to ensure that separate mobile number/E-mail address is uploaded for each client. It was also stated that, under exceptional circumstances, the stock broker 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.

SEBI vide Circular Ref No. SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2024/169 dated December 03, 2024 further clarified that, under exceptional circumstances, the stock broker may, at the specific written request of a client, upload the same mobile number/E-mail address for more than one client provided such client belong to one family (in case of individual clients as stated above) or such client is the authorised person of an HUF, Corporate, Partnership or Trust (in case of non-individual clients).

Family / Authorized person for this purpose shall include:

- a. In case of individuals, self, spouse, dependent children and dependent parents.
- b. In case of HUF, Karta or any of the Co-parceners as per prior approval of Karta.
- c. In case of Partnership firm, any of the partners as per prior approval of all / authorized partners.
- d. In case of a Trust, any of the trustees or beneficiaries as per resolution passed by the Trust.
- e. In case of Corporates, the authorized person operating the trading account as per the Board Resolution

During inspections conducted by the Exchange, it has been observed that the Trading Members are uploading same mobile number/E-mail address for the clients which do not qualify the definition of "Family" as per the aforesaid SEBI Circulars.

In view of the above, it is reiterated that the Trading Members shall upload separate mobile number/E-mail addresses for each client. However, Trading Members may upload, at the specific written request of a client, same mobile number/E-mail address for more than one client provided such client belongs to one "Family" ( in case of individual clients as stated above) or such client is the authorised person of an HUF, Corporate, Partnership or Trust (in case of non-individual clients as stated above) as defined in SEBI Circular Ref No. SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2024/169 dated December 03, 2024.

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## National Stock Exchange of India Limited

Members are advised to take note of the contents of the Circular and ensure strict compliance.

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

**Kapil Marwah  
Associate Vice President**

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

<b>Regional Office</b>	<b>CONTACT NO.</b>	<b>E MAIL ID</b>
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 / 59	inspection_kolkata@nse.co.in
Mumbai (WRO)	022-26598200 / 022-61928200	compliance_wro@nse.co.in
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