

Ajay Sanjay Bendkhale

From: COMPLIANCE_DEPT@nse.co.in
Sent: 27 December 2022 18:07
To: Ajay Sanjay Bendkhale
Subject: Advisory to Members

Dear Sir/Madam,

It has been brought to your notice that person named Rahul , operating through mobile number 9881247653 , is providing securities market tips for trading in options assuring/guaranteeing returns on the investment made. Exchange has, from time to time, clarified that Members are required to exercise adequate control and due diligence over all their Authorised Persons, dealers, staff officials as well as other authorities and monitor their activities to ensure that they are not engaged in any non-permitted activities such as such as providing assured/guaranteed return schemes, un-authorised portfolio management & investment schemes etc. as well as directly accepting or paying/delivering any funds and securities from/to the clients/investors. You are required to caution the Investors/clients and advise them not to subscribe to any scheme or products/arrangements offered by any entities and person, involving assured/guaranteed returns or unauthorized portfolio management/Collective investment schemes. Such arrangements /schemes are not permitted under the SEBU/NSE Bye-laws Rules and regulations. Request you to also sensitize this and ensure adequate oversight over all the activities.

For National Stock Exchange of India Limited

Membership Compliance Department

Ajay Sanjay Bendkhale

From: COMPLIANCE_DEPT@nse.co.in
Sent: 27 December 2022 18:03
To: Ajay Sanjay Bendkhale
Subject: Advisory to Members

Dear Sir/Madam,

It has been brought to your notice that person named Anju Saraf operating through Mobile number 9167389973 and 9223300358 is collecting funds from the public and providing assured/guaranteed returns on investment in stock market.

Exchange has, from time to time, clarified that Members are required to exercise adequate control and due diligence over all their Authorised Persons, dealers, staff officials as well as other authorities and monitor their activities to ensure that they are not engaged in any non-permitted activities such as such as providing assured/guaranteed return schemes, un-authorized portfolio management & investment schemes etc. as well as directly accepting or paying/delivering any funds and securities from/to the clients/investors.

You are required to caution the Investors/clients and advise them not to subscribe to any scheme or products/arrangements offered by any entities and person, involving assured/guaranteed returns or unauthorized portfolio management/Collective investment schemes. Such arrangements /schemes are not permitted under the SEBU/NSE Bye-laws Rules and regulations. Request you to also sensitize this and ensure adequate oversight over all the activities.

For National Stock Exchange of India Limited

Membership Compliance Department

Ajay Sanjay Bendkhale

From: anmiwirc@googlegroups.com on behalf of ANMI <ceo@anmi.in>
Sent: 27 December 2022 18:55
Subject: ANMI Compliance Desk-Communication received from NSE "Advisory to Members"

Dear Member,

Please find below advisory from NSE which reads as follows for your reference and compliance, if any, please:

"Dear All,

It has been brought to the notice of the Exchange that persons named "Ravi" and "Nisha" associated with entity named "Nisha Stocks", operating through mobile number "8755261402", are offering to handle trading account of investor by asking investors to share their user ID and password and is guaranteeing returns.

Exchange has, from time to time, clarified that Members are required to exercise adequate control and due diligence over all their Authorised Persons, staff officials as well as other authorities and monitor their activities to ensure that they are not engaged in any non-permitted activities such as such as providing assured/guaranteed return schemes, un-authorized portfolio management & investment schemes etc. as well as directly accepting or paying/delivering any funds and securities from/to the clients/investors. In case of noticing any irregularities in the operations of their Authorised persons, Member are required to seek cancellation of the AP registration, withhold all money due to authorised person till resolution of investor problems, alert investors in the location where Authorised person operates, file a complaint with the police, and take all measures required to protect the interest of investors and market.

In view of the above, you are requested to kindly circulate above advisory to your respective Members so that they can caution their Investors and advise them not to subscribe any scheme or products/arrangements offered by any entities and person, involving assured/guaranteed returns or unauthorized portfolio management/Collective investment schemes. Such arrangements /schemes are not permitted under the SEBU/NSE Bye-laws Rules and regulations. Request you to also sensitize your Members regarding their responsibility to ensure adequate oversight over all the activities.Regards, NSE Team"

Thanks & Regards,

Dr. V. Raghavendra Prasad
Chief Executive Officer,

Association of National Exchanges Members of India (ANMI)
National Secretariat
Office No. 403, Swaroop Centre, Opp. Mistry Complex,
Near Om Nagar Circle, J.B. Nagar, Andheri East,
Mumbai-400099
Mob. No. +91 9167690775
Email: ceo@anmi.in, Website: www.anmi.in

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