

---

**NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED**

Circular to all trading and clearing members of the Exchange

Circular No : NCDEX/COMPLIANCE-007/2012/093  
Date : March 19, 2012  
Subject : SMS and E-mail alerts to clients by the Exchange

---

In terms of the Byelaws, Rules and Regulations of the Exchange and as per the directives of the Forward Markets Commission, Members are notified as under:

1. The Exchange will communicate the details of the trades executed on its platform to Constituents (Clients) at the end of each trading day, through SMS and E-mail alerts. The SMS and E-mail alerts will be sent to those Clients who have registered their preference through their respective Members, to receive these alerts directly from the Exchange. Form to be obtained by Members from their Clients is provided in the Annexure hereto.
2. The SMS alerts will contain details such as, number of trades and value of such trades executed during the day on account of the respective Client.
3. The E-mail alerts will provide information of all trades executed on the Exchange on account of the respective Client during the day which will enable the constituents to verify the trades on the Exchange website.
4. Members are required to verify the mobile number and/or E-mail Id of their clients in the format prescribed in the Annexure to this circular before uploading the same to the Exchange. Members shall upload the mobile number and E-mail Id only of the clients and not of any non clients such as employee of the Member etc. The registration of E-mail Id by the member will be as per our circular no. NCDEX/COMPLIANCE-003/2011/126 dated April 29, 2011.
5. The facility to capture preferred mode of receipt of alerts i.e. SMS or Email or both as well as the mobile number/ E-mail Id of the clients will be provided as part of the UCC details screen on the Web NCFE and will be made available from April 01, 2012. Please refer our circular no. NCDEX/CSG-001/2012/092 dated March 19, 2012 for the procedure of bulk upload.
6. Members are required to update any change in the preferred mode of receipt of alerts as well as mobile number / E-mail Id of the Clients to the Exchange at the earliest.
7. Once the mobile number, E-mail ID and the preference of the Client are uploaded to the Exchange, a SMS/ E-mail will be sent on the client's respective mobile

number/ E-mail Id. The Client will have to respond to such SMS / email in the manner prescribed. On receipt of such response by the Exchange, the alert facility will commence for such client.

8. In cases where the response SMS / email from a client is not received by the Exchange, the details of such Clients will be intimated to the Member concerned for necessary follow up.
9. It may also be noted that the Client may not receive the alert message in case such Client has opted for the 'Do Not Disturb' or such other restrictive options provided by various telcom service providers.

The above facility will be made available with effect from **May 01, 2012**.

Further, it may please be noted that this alert facility is only an additional facility provided by the Exchange and shall not be construed as substitute for any of the obligations of the Member to issue contract notes etc. as required under the Rules, Bye laws and Regulations of the Exchange. The Clients shall not rely solely on such alert / information for any purpose. The Exchange shall not be liable for any delay or any other interruption which may occur due to any reason including network or technical problems, server breakdown, maintenance shut down, breakdown of communication services or any other such technical disruption or any disruption beyond reasonable control of the Exchange.

Members and their Clients are requested to note the above.

For and on behalf of  
**National Commodity & Derivatives Exchange Limited**

Ramadevi Srinivasan  
Vice President - Compliance

---

For further information / clarifications, please contact  
1. Customer Service Group on phone: 022 6640 6613 -15, 011 2334 4795  
2. Customer Service Group by e-mail to: [askus@ncdex.com](mailto:askus@ncdex.com)

---

**Annexure****Form for registration and verification of mobile number and email address****Date:****To,****The Compliance Officer****Member Name & TM ID****Address**

We/I are/ am aware that National Commodity & Derivatives Exchange Ltd (NCDEX) provides SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

I want to receive transaction alerts in SMS as well as Email from NCDEX

I want to receive transaction alerts only in SMS from NCDEX

I want to receive transaction alerts only in Email from NCDEX

I do not want to receive any transaction alerts from NCDEX, specify reason  
.....

The alerts should be sent on:

Mobile number (enter 10 digit mobile no):

--	--	--	--	--	--	--	--	--	--

Email Id .....

We/I agree to the terms and condition specified by the Exchange in its circular no. \_\_\_\_\_ as modified from time to time. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

**Name of the client:.....****Signature:****Client ID:**