

National Stock Exchange Of India Limited**Department : INVESTOR SERVICES CELL**

Download Ref No: NSE/ISC/47869

Date: April 01, 2021

Circular Ref. No: 07/2021

To All Members,

Mandatory fields in Unique Client Code (UCC) information provided to Exchange

Trading Members are required to assign Unique Client Codes (UCC) for all the clients trading on the Exchange platform.

In this regard, it has been decided in consultation with SEBI and other Exchanges that the following details of clients shall be made **mandatory for new as well as existing clients**.

Field Name	Applicability to Category of Clients
MOBILE NUMBER	For Retail clients, Mobile number has been made mandatory For Institutional clients (client category 6, 7, 8, 9, 12, 16, 21, 22 ,23 & 24) either Telephone Number (Office) or Mobile Number is mandatory '6666666666' shall not be considered as valid mobile number
EMAIL ID	Email id has been made mandatory for ALL clients. 'notprovided@notprovided.com' shall not be considered as valid email id.

In view of the above, please note that system development related to changes in the batch file upload format is under progress and once the system is ready for the same, it will be communicated to the trading members separately.

Further, it may be noted that the trading members are required to cross verify the client data for all **their existing clients** as well for **new clients** at their end to ensure that **all the mandatory** and important details for their clients such as **Name, PAN, Category, Complete Address, PIN code, Mobile number, Email ID, Income** details is updated on the UCC system of the Exchange latest by **May 31, 2021**.

In case of failure to meet the above guidelines, the status of such client codes shall be **marked as "Closed"** in UCC system of the Exchange. Any trades executed in client codes not having the mandatory details will attract penal action.

Trading Members are requested to ensure compliance to the above requirement on immediate basis to avoid any difficulties / action in future.

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

**Dinaz Shroff
Chief Manager**

Toll Free No	Email id
1800 266 0058 (select option 2)	uci@nse.co.in

NOTICES

Notice No.	20210401-53	Notice Date	01 Apr 2021
Category	Compliance	Segment	General
Subject	Mandatory fields in Unique Client Code (UCC) information provided to Exchange		

Content

Trading Members are required to assign Unique Client Codes (UCC) for all the clients trading on the Exchange platform.

In this regard, it has been decided in consultation with SEBI and other Exchanges that the following details of clients shall be made **mandatory for new as well as existing clients**.

Sr. No.	Field Name	Applicability to Category of Clients
1.	Mobile Number	For Retail clients, Mobile number has been made mandatory. For Institutional clients either Telephone Number (Office) or Mobile Number is mandatory . It may be noted that '666666666' or "111100000" shall not be considered as valid mobile number.
2.	Email Id	Email id has been made mandatory for ALL clients. In case of email id please note that " notprovided@notprovided.com " or " notprovided@bse.com " shall not be considered as valid email id.

In view of the above, please note that system development related to changes in the batch file upload format is under progress and once the system is ready for the same, it will be communicated to the trading members separately.

Further, it may be noted that the trading members are required to cross verify the client data for all **their existing clients** as well for **new clients** at their end to ensure that **all the mandatory** and important details for their clients such as **Name, PAN, Category, Complete Address, PIN code, Mobile number, Email ID, Income** details is updated on the UCC system of the Exchange latest by **May 31, 2021**.

In case of failure to meet the above guidelines, the status of such client codes shall be **marked as "Closed"** in UCC system of the Exchange. Any trades executed in client codes not having the mandatory details will attract penal action.

Trading Members are requested to ensure compliance to the above requirement on immediate basis to avoid any difficulties / action in future.

For any clarifications, if any, you may please call on 022-2272 8435/022-2272 5785.

For and on behalf of BSE Ltd.

Hiteshkumar Desai
Additional General Manager
Brokers' Supervision

Sandeep Sharma
Senior Manager
Brokers' Supervision