Circular No.: NSDL/POLICY/2018/0031   Date: May 31, 2018

Subject: Same Mobile number and/ or email ID captured for More than 5 Clients.

As all Participants are aware, as per SEBI directive, Participants are required to ensure that separate mobile number and email address are seeded for each client and under exceptional circumstances, the Participants may, at the specific written request of a client, seed the same mobile number or email address for more than one client provided that such clients belong to one family. 'Family' for this purpose has been defined as self, spouse, dependent children and dependent parents. SEBI has also advised that Participants should have appropriate procedures in place to verify that separate mobile number and email address are seeded for each client [Ref. NSDL Circular No. NSDL/POLICY/2015/0040 dated April 13, 2015 and Circular No. NSDL/POLICY/2015/0068 dated August 6, 2015].

In order to assist the Participants to identify such client accounts with them where the same mobile number and the email ID is captured for more than one client within the Participant system as well as across all Participants in NSDL system, in August 2015, the following reports were made available on i-Assist and Local DPM System [Ref. NSDL Circular No. NSDL/POLICY/2015/0068 dated August 6, 2015 & NSDL/POLICY/2015/0074 dated August 21, 2015].

1. **For inter-DP alerts**, the link for downloading the alerts is available through i-Assist under "List of Same Mobile number and email address (Inter DP)"

Sr. No.	Report	Type of Client Individual / Non-individual	Description of Report
1	Same Mobile number	Individual	Report will contain mobile numbers which are captured in demat account (across the Participants) for more than one Clients [across all the account holders].
2		Non-Individual	
3	Same email Address	Individual	Report will contain E-mail addresses which are captured in demat account (across the Participants) for more than one Clients [across all the account holders].
4		Non-Individual	

2. **For intra-DP alerts**, an export facility viz., Duplicate Mobile number / Email address is made available under Download option on Local DPM system.

Sr. No.	Report	Type of Client Individual / Non-individual	Description of Report
1	Same Mobile number	Individual	Report will contain mobile numbers which are captured in demat account (within the same DP/DP ID) for more than one Clients [across all the account holders].
2		Non-Individual	
3	Same email Address	Individual	Report will contain E-mail addresses which are captured in demat account (within the same DP/DP ID) for more than one Clients [across all the account holders].
4		Non-Individual	

In this context, SEBI has analysed the data and based on number of such clients where the same mobile number/email ID is captured in **5 or more instances** has advised to frame a policy to reduce such instances. Accordingly, Participants are requested to take note of the following:

1. An additional report of such Individual Clients (based on the PAN) where same mobile number and / or email id is seeded for **more than 5 Clients**, excluding the clients where the family flag is marked, will be provided in the following format on i-Assist under the link "*Same Mobile number and/ or email ID captured for More than 5* Clients" by June 7th, 2018. Updated list will be made available on monthly basis.

    i) List of Individual Clients where same mobile number is seeded **for more than 5 Clients** (excluding clients where family flag is marked)

Sr. No.	DP ID	Client ID	Name of account holder	PAN of account holder	Holder indicator	Mobile number

    ii) List of Individual Clients where same email id is seeded **for more than 5 Clients** (excluding clients where family flag is marked)

Sr. No.	DP ID	Client ID	Name of account holder	PAN of account holder	Holder indicator	Email id

2. Participants are requested to take it up with the clients to update the family flag (i.e. self, spouse, dependent children and dependent parents) if it falls within the permitted exceptions and obtain request from Client as per aforesaid NSDL Circular dated August 6, 2015 or provide the updated mobile number / email ID for updation in demat account as per prescribed procedure.

3. Participant must take efforts to contact the client and to obtain aforesaid request from the client so that the number of such clients where the same email ID or mobile number captured in case of **more than 5 clients** is reduced and brought to NIL.

Participants are requested to take note of the above and ensure compliance.

For and on behalf of
National Securities Depository Limited

**Ravindra Sahu
Senior Manager**

FORTHCOMING COMPLIANCE			
Particulars	**Deadline**	**Manner of sending**	**Reference**
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015