

Watch list – List of scrips in which unsolicited SMSs were circulated

| Sr. no. | Date of Dissemination | Symbol | Scrip Code | Name of the Company | Watch List |
|---------|-----------------------|------------|------------|---|------------------|
| 1 | 10/08/2021 | DIGISPICE | 517214 | Digispice Technologies Limited | Current List |
| 2 | 13/08/2021 | LATIMMETAL | 505693 | La Tim Metal & Industries Ltd | Current List |
| 3 | 16/08/2021 | SAGARDEEP | - | Sagardeep Alloys Limited | Current List |
| 4 | 27/08/2021 | KERALAYUR | 530163 | Kerala Ayurveda Ltd | Current List |
| 5 | 09/09/2021 | SHRGLTR | 512463 | Shree Global Tradefin Ltd | Current List |
| 6 | 15/09/2021 | SUPERIOR | 539835 | Superior Finlease Ltd | Current List |
| 7 | 20/09/2021 | EASEMYTRIP | 543272 | Easy Trip Planners Limited | Current List |
| 8 | 20/09/2021 | TEJASNET | 540595 | Tejas Networks Limited | Current List |
| 9 | 20/09/2021 | BLS | 540073 | Bls International Services Limited | Current List |
| 7 | 02/09/2021 | BALFC | 511724 | Baid Leasing And Finance Co. Ltd | Information List |
| 11 | 15/03/2018 | MOHITIND | 531453 | Mohit Industries Ltd | Historical List |
| 12 | 12/08/2018 | DANUBE | 540361 | Danube Industries Ltd (Formerly Dwekam Industries Ltd) | Historical List |
| 13 | 15/03/2018 | STEELXIND | 534748 | Steel Exchange India Ltd | Historical List |
| 14 | 15/03/2018 | SWADEIN | 506863 | Swadeshi Industries Leasing Co. Ltd. | Historical List |
| 15 | 15/03/2018 | UNICRSE | 531963 | Universal Credit & Securities Ltd. | Historical List |
| 16 | 04/05/2018 | ALPSMOTOR | 538423 | Alps Motor Finance Ltd | Historical List |
| 17 | 04/05/2018 | BCPAL | 538364 | Birdhi Chand Pannalal Agencies Ltd | Historical List |
| 18 | 04/05/2018 | SKP | 537954 | Shri Krishna Prasadam Ltd | Historical List |
| 19 | 04/05/2018 | SRDL | 535141 | Sunstar Realty Development Ltd | Historical List |
| 20 | 04/05/2018 | KALPACOMME | 539014 | Kalpa Commercial Ltd | Historical List |
| 21 | 04/05/2018 | AMSONS | 538861 | Amsons Apparels Ltd | Historical List |
| 22 | 04/05/2018 | EML | 538653 | Ejecta Marketing Ltd | Historical List |
| 23 | 04/05/2018 | SAWABUSI | 531893 | SAWACA BUSINESS MACHINES LTD | Historical List |
| 24 | 04/05/2018 | FUNNY | 539169 | Funny Software Ltd | Historical List |
| 25 | 04/05/2018 | VFL | 537820 | Viji Finance Ltd | Historical List |
| 26 | 15/05/2018 | SRESTHA | 539217 | Srestha Finvest Ltd | Historical List |
| 27 | 13/07/2018 | KMSL | 540812 | Kids Medical Systems Ltd | Historical List |
| 28 | 16/07/2018 | APLAYA | 511064 | Aplaya Creations Ltd | Historical List |
| 29 | 19/07/2018 | KAPILRAJ | 539679 | Kapil Raj Finance Ltd | Historical List |
| 30 | 19/07/2018 | TPROJECT | 538464 | Thirani Projects Ltd | Historical List |
| 31 | 24/07/2018 | GAYATRI | 532183 | Gayatri Sugars Ltd | Historical List |
| 32 | 07/08/2018 | VBIND | 539123 | V B Industries Ltd | Historical List |
| 33 | 16/08/2018 | COLORCHIPS | 540023 | Colorchips New Media Limited (Earlier known as MILLITOONS ENTERTAINMENT LTD.) | Historical List |
| 34 | 16/08/2018 | JTAPARIA | 538539 | J. Taparia Projects Ltd | Historical List |
| 35 | 14/12/2018 | PREMSYN | 509835 | Premier Synthetics Ltd | Historical List |
| 36 | 01/02/2019 | BALFC | 511724 | Baid Leasing & Finance Ltd | Historical List |
| 37 | 27/02/2019 | OBRSESY | 514330 | Overseas Synthetics Ltd | Historical List |
| 38 | 08/05/2019 | GBLIL | 539009 | GBL Industries Ltd | Historical List |

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| 39 | 08/05/2019 | DARSHANORNA | 539884 | Darshan Orna Ltd | Historical List |
| 40 | 22/07/2019 | LPDC | 533012 | Landmark Property Development Company Limited | Historical List |
| 41 | 01/04/2020 | MUL | 539219 | Mauria Udyog Ltd | Historical List |
| 42 | 01/04/2020 | 7NR | 540615 | 7NR Retail Ltd | Historical List |
| 43 | 01/04/2020 | DARJEELING | 539770 | Darjeeling Ropeway Company Ltd | Historical List |
| 44 | 01/04/2020 | AGROPHOS | - | Agro Phos India Limited | Historical List |
| 45 | 01/10/2020 | MITTAL | NA | Mittal Life Style Limited | Historical List |
| 46 | 01/10/2020 | OMAXE | 532880 | Omaxe Limited | Historical List |
| 47 | 20/10/2020 | THINKINK | 539310 | Thinkink Picturez Ltd | Historical List |
| 48 | 28/10/2020 | LLFICL | 540360 | Leading Leasing Finance And Investment Company Ltd | Historical List |
| 49 | 30/12/2020 | IRB | 532947 | IRB Infrastructure Developers Limited | Historical List |
| 50 | 18/02/2021 | IFINSER | 539692 | Interactive Financial Services Ltd. | Historical List |
| 51 | 07/12/2020 | OTCO | 523151 | Otco International Limited | Historical List |
| 52 | 16/06/2021 | AKG | - | AKG Exim Limited | Historical List |
| 53 | 24/06/2021 | BIGBLOC | 540061 | Bigbloc Construction Ltd | Historical List |
| 54 | 16/04/2021 | ELLORATRAD | 542803 | Ellora Trading Ltd | Historical List |



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

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|-----------------------------------|-------------------------|
| DEPARTMENT : INVESTIGATION | |
| Download Ref. No.: NSE/INVG/31456 | Date: December 29, 2015 |
| Circular Ref. No.:- 0358/2015 | |

To All NSE Members

Sub: Caution towards unsolicited emails and SMS

Trading members are requested to advise their clients and remain cautious on the unsolicited emails and SMS advising investor to buy, sell or hold securities and trade only on the basis of informed decision.

Further, Members and Investors are also requested to share their knowledge or evidence of systemic wrongdoing, potential frauds or unethical behaviour through the anonymous portal facility provided on Exchange website:

(http://www.nseindia.com/int_invest/dynacontent/any_portal.htm)

Members and Investors are advised to take note of the above.

In case of any further queries, requested to contact: Direct No: 022-26598417/18

For National Stock Exchange of India Limited

Avishkar Naik
Chief Manager

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|-----------------|-----------------|--|
| Telephone No | Fax No | Email id |
| +91-22-26598228 | +91-22-26598195 | invg@nse.co.in |

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

| DEPARTMENT : INVESTIGATION | |
|-----------------------------------|------------------------|
| Download Ref. No.: NSE/INVG/33495 | Date: October 25, 2016 |
| Circular Ref. No.:- 0237/2016 | |

To All Members

This is further to Exchange Circular download ref no: NSE/INVG/31456 dated December 29, 2015 whereby trading members were advised to exercise caution towards unsolicited emails and SMS and were also requested to advise their clients to buy, sell or hold securities and trade only on the basis of informed decision.

In recent past, Exchange has come across SMS tips being circulated whereby as a festive bonanza, various stocks are being recommended with higher price targets leading to heightened trading activities in such stocks.

In view of above & as a part of surveillance measure to protect investor's interest and maintain market integrity, Exchange is once again advising members to exercise greater caution with respect to **tips / rumours circulated via various mediums such as analyst websites, social networks, SMS, WhatsApp, Blogs etc.** while dealing in the securities listed on the Exchange on behalf of their clients.

Trading Members are further requested to advise their clients not to blindly follow these unfounded rumours, tips etc. and invest after conducting appropriate analysis of respective companies.

Members and Investors are also requested to share their knowledge or evidence of systemic wrongdoing, potential frauds or unethical behavior through the anonymous portal facility provided on Exchange website: (http://www.nseindia.com/int_invest/dynacontent/any_portal.htm)

For National Stock Exchange of India Limited
Avishkar Naik

Chief Manager

| Telephone No | Fax No | Email id |
|-----------------|-----------------|--|
| +91-22-26598228 | +91-22-26598195 | invg@nse.co.in |

Regd. Office: Exchange Plaza, Plot No. C/1, G-Block, Bandra-Kurla Complex, Bandra (E), Mumbai 400 051, India.

CIN: U67120MH1992PLC069769 · Tel: +91 22 26598129 / 022-26598166 · Fax: +91 22 26598195 Web site: www.nseindia.com



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

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|-----------------------------------|-------------------------|
| DEPARTMENT : INVESTIGATION | |
| Download Ref. No.: NSE/INVG/36333 | Date: November 17, 2017 |
| Circular Ref. No.:- 0208 /2017 | |

To All NSE Members

Sub: Caution towards unsolicited messages

It has come to the notice of the Exchange & Securities and Exchange Board of India (SEBI) that unsolicited messages are being sent to induce investment or sale of the stock of certain listed companies, indicating target prices by unregistered or unauthorised entities.

Trading members are requested to advise their clients to remain cautious on such unsolicited messages being circulated by unregistered/ unauthorized entities.

It is further advised that in case the trading member suspects that there is an unusual trading pattern by any client then the trading member shall release the payout to the client only after carrying further scrutiny like:-

- i) Scrutiny of KYC documents to compare income range declared and value of such transaction,
- ii) Whether the client is individual or Private Corporate Body,
- iii) Whether the client is directly/indirectly connected to the company/ promoters/ directors of the company, etc.
- iv) Method of acquisition of shares by client - whether on-market/off-market/IPO/Preferential allotment,
- v) Whether source of funds and period of holding is not in line with the client's usual behavior.

The trading member shall intimate his decision to withhold the pay-out to the client along with his rationale to the stock exchange within three days of withholding of pay-out. The intimation shall be sent to inv@nse.co.in

Further, market participants are aware that Exchange has provided facility to share their information or evidence of systemic wrongdoing, potential frauds or unethical behaviour to the Exchange through the anonymous portal as per web page link given below:

http://www.nseindia.com/int_invest/dynacontent/any_portal.htm

Market participants are advised to use facility to report any such information anonymously and confidentially.

Market participants are advised to take note of the above and exercise necessary caution with respect to tips/rumours circulated via messages while dealing in the securities listed on the Exchange.

In case of any further queries, members are requested to contact the following officials:

Mr. Chirag Jain (Extn: 22480), Mr. Binoy Yohannan (Extn: 24332), Mr. Hiren Thakkar (Extn. 22399)
Direct No: 022-26598417/18

For National Stock Exchange of India Limited

Avishkar Naik

Assistant Vice President

| Telephone No | Fax No | Email id |
|-----------------|-----------------|--|
| +91-22-26598228 | +91-22-26598195 | inv@nse.co.in |

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

| DEPARTMENT : SURVEILLANCE | |
|--|-----------------------------|
| Download Ref. No.: NSE/SURV/37526 | Date: April 13, 2018 |
| Circular Ref. No.:- 83/2018 | |

To All NSE Members

Sub: Additional Surveillance Margin on Trading Members who have traded for substantial activity in scrips having unsolicited SMS.

In continuation to various Surveillance measures already implemented, SEBI and Exchanges in a joint meeting have decided that, in stocks wherein unsolicited SMSs have been found to be circulated and have resulted in an increased trading activity, an additional surveillance margin of 25% shall be levied on the Trading Members who have a substantial trading activity in these stocks. The additional margin shall be applicable in Equity and Equity Derivatives Segment.

The trading members identified by the Exchanges shall be informed individually about the additional margins and the same shall be effective from April 23, 2018.

The above surveillance measures are without prejudice to the right of SEBI and Exchanges to take any other surveillance measures, in any manner, on a case to case basis or holistically depending upon the situation and circumstances as may be warranted.

This circular is being issued by the Exchange as a surveillance measure with a view to ensure market safety & safeguard interest of investors.

In case of any clarifications, members may contact on following numbers 26598129/26598166.

For National Stock Exchange of India Limited

Avishkar Naik
Assistant Vice President
Surveillance

| | |
|--------------------------|------------------------|
| Telephone No | Email id |
| +91-22-26598129/26598166 | surveillance@nse.co.in |

National Stock Exchange Of India Limited**Department : INVESTIGATION**

Download Ref No: NSE/INVG/45517

Date : August 30, 2020

Circular Ref No: 138/2020

To
All Trading Members / Market Participants,

Sub: Caution towards dealing with Unsolicited Messages – Update

This is with reference to circular NSE/INVG/36333 dated November 17, 2017, NSE/INVG/37765 dated May 15, 2018, NSE/INVG/38284 dated July 10, 2018 and NSE/INVG/45431 dated Aug 20, 2020 cautioning the trading members on unsolicited messages being circulated by unregistered/unauthorised entities and advising trading members to carry out necessary due diligence before releasing the pay-out to their clients.

Further, trading members are aware that list of securities in which unsolicited messages are being circulated (“SMS Stocks”) are published from time to time on trading terminals, Exchange website under head ‘Investors Beware’ & Member portal (ENIT), inter alia cautioning the market participants against stock recommendations & to do thorough analysis about the company before investing.

In this regard, based on the discussions held in the recent meeting of SEBI with Stock Exchanges, the following is being clarified for the benefit of the trading members/market participants:

1. Action applicable under ‘For Information list’:

Based on the references received by the Exchange and pre-defined objective criterion, the Exchange publishes the list of stocks in the ‘For Information’ list so as to enable the members to conduct proper due diligence in case of unusual trading pattern by any client. In such cases the trading member shall have to carry out adequate monitoring, to check the selling concentration/trading pattern of their clients in such Stocks.

Additionally, the trading member shall also carry out due diligence and shall release the payout to their client only after carrying out further scrutiny as per Exchange Notice viz. NSE/INVG/36333 dated November 17, 2017 inter alia covering the following:

- i) Scrutiny of KYC documents to compare income range declared and value of such transaction,
- ii) Whether the client is directly/indirectly connected to the company/ promoters/ directors of the company, etc.
- iii) Method of acquisition of shares by client - whether on-market/off-market/IPO/Preferential allotment,
- iv) Whether source of funds and period of holding is not in line with the client’s usual behaviour.

The trading member shall intimate his decision to withhold the pay-out to the client along with his rationale to the stock exchange within three days of withholding of pay-out. The intimation shall be sent on the email address, invg@nse.co.in.

2. Action applicable for 'Current Watch list':

Based on the references received and pre-defined objective criterion the Exchange publishes the list of stocks in the 'Current Watchlist' from time to time. Once a stock gets shortlisted in the Current Watchlist, the following shall be applicable:

- a) Exchange shall intimate the concerned Trading Members having significant selling concentration of clients in the SMS Stocks and accordingly the Trading Member shall have to withhold the sale proceeds of the shortlisted clients.
- b) Such withholding of funds shall be applicable for the transactions executed for a period of past 7 calendar days (on retrospective basis) from the date of entry in Current Watchlist. Such 7 calendar days may also be prior to date of entry of stock into the 'For Information list'.
- c) Trading members shall ensure that the clients as identified in point no 2(a), do not transact further in the SMS Stocks.
- d) Sales Proceeds of SMS stocks shall be withheld in the form of funds/securities which shall be transferred to separate designated account, irrespective of whether the client continues to trade with the said Trading Member or not.
- e) Designated Account details:
 - I. Trading member shall open designated bank account with any scheduled commercial bank or designated demat account for the aforementioned purpose.
 - II. Trading member shall submit a confirmation to the Exchanges after transferring the requisite funds to the designated account.
 - III. Trading member shall submit duly certified letter from designated bank / depository participant confirming the balance on a monthly basis.
 - IV. Trading member shall not be allowed to withdraw funds/securities out of the designated account until further directions.
 - V. Withholding of sale proceeds may be in form of cash or cash equivalents or in form of securities forming part of S & P BSE 500 or NSE 500 with a hair-cut of 30% or applicable VAR whichever is higher, shall only be considered as collateral in lieu of funds required to be withheld.
 - VI. Trading Member shall promptly replace the securities in case of any change in the composition of S&P BSE 500 or NSE 500.
 - VII. Trading Member shall ensure that any fall in value of securities shall have to be compensated by bringing in additional eligible securities from time to time and shall maintain audit trail of such changes.
 - VIII. Compliance officer of the trading members on a monthly basis shall submit a compliance status w.r.t withholding of sales proceeds (i.e. valuation and details of stocks/ funds withheld) on the email address invg@nse.co.in
- f) Funds/securities withheld by the trading member shall be retained for a period of 1 year or till completion of examination whichever is earlier. Post elapse of such period as referred above, upon intimation by the Exchange the withheld funds/securities shall be released by the trading members after providing necessary undertaking as guided by the Exchange. Trading member shall make all efforts to bring the funds back from clients else Trading member shall transfer his own funds/securities to the extent of deficit to the designated bank/demat account.
- g) Any non-compliance in the matter shall be viewed seriously and may attract further action which may inter alia include additional action such as referring trading members for special inspection, levy of additional margins, other disciplinary actions as deemed fit.

3. References of unsolicited messages: Exchange shall be considering references of unsolicited messages that are received at designated email-ids or mobile number alongwith other details as informed on the Exchange website under head 'Investors Beware '. Exchange shall ascertain the veracity /genuineness of references before updating the 'For Information/Current Watch list'. The aforesaid measure is without prejudice to the rights of SEBI and Exchanges to take any further actions, in any manner, as may be warranted.

Members are advised to take note of the above and ensure compliance with aforementioned requirements, as may be applicable.

In case of any further queries, members are requested to contact the following officials: Ms. Saba Curtay, Ms. Sheetal More, Mr. Ronak Rajgor (Extn: 25187)
Direct No: 022-26598417/18

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

**Binoy Yohannan
Chief Manager**