

CIRCULAR

Ref.: Comp/2012-13/04

June 19, 2012

Dear Sir/Madam,


Sub: Observation / Caution letters based on trading pattern of trading members and their client/s.

This is with reference to BSE notice no. 20120605-30 and NSE circular no. NSE/INVG/20934 dated 05.06.2012 and MCX-SX circular MCX-SX/ID/790/2012 dated 06.06.2012 on the captioned subject.

With a view to identify and alert members/ clients at an early stage about unusual / abnormal activity, exchange will issue observation / caution letters to Members/ clients directly where prima facie unusual / abnormal activities is observed by the exchange.

In this regards, you are advised not to carry out any abnormal activities on behalf of your clients and accordingly inform your clients about the same in order to avoid any observation/caution letter from exchanges. Hence we advise you to take due care and exercise caution while dealing in market on behalf of your clients.

Please take note of the same and exercise due diligence.


Regards,
Compliance Department

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