

Ajay Sanjay Bendkhale

From: anmiwirc@googlegroups.com on behalf of ANMI <ceo@anmi.in>
Sent: 29 November 2022 19:33
Subject: ANMI Compliance Desk - Communication received from NSE 'Advisory to Members'
Attachments: PR_Ayush and Rahul Kumar.pdf; PR_Kirti Patel Descent Wealth.pdf; PR_Adarsh Yadav.pdf

Dear Member,

Please find below advisory from NSE which reads as follows for your reference and compliance, if any, please:

"Dear Sir/Madam,

Exchange has received market intelligence that-

- persons named “Ayush and Rahul Kumar” operating through number “9685047680” are offering to handle trading account of investor by guaranteeing returns on various investment plans.
- person named “Kirti Patel” associated with Entity named “Descent Wealth Management” operating through number “9016478696” is guaranteeing returns on various investment plans.
- persons named “Adarsh Yadav”/ “Saheb Lal Yadav” are operating through YouTube channel and telegram channel named as “Art of Trading Mr. Adarsh” and WhatsApp/G pay number “9452815480” and Mobile number “9125094396” are collecting funds from the public and providing assured/guaranteed return scheme/s.

Hence, Exchange has issued the Press Release cautioning the investors regarding the same.

Exchange has, from time to time, clarified that Members are required to exercise adequate control and due diligence over all their Authorised Persons, staff officials as well as other authorities and monitor their activities to ensure that they are not engaged in any non-permitted activities such as such as providing assured/guaranteed return schemes, un-authorised portfolio management & investment schemes etc. as well as directly accepting or paying/delivering any funds and securities from/to the clients/investors. In case of noticing any irregularities in the operations of their Authorised persons, Member are required to seek

cancellation of the AP registration, withhold all money due to authorised person till resolution of investor problems, alert investors in the location where Authorised person operates, file a complaint with the police, and take all measures required to protect the interest of investors and market.

In view of the above, you are requested to kindly circulate above advisory and the press release to your respective Members so that they can caution their Investors and advise them not to subscribe any scheme or products/arrangements offered by any entities and person, involving assured/guaranteed returns or unauthorized portfolio management/Collective investment schemes. Such arrangements /schemes are not permitted under the SEBU/NSE Bye-laws Rules and regulations. Request you to also sensitize your Members regarding their responsibility to ensure adequate oversight over all the activities."

Thanks & Regards,

Dr. V. Raghavendra Prasad
Chief Executive Officer,
Association of National Exchanges Members of India (ANMI)
National Secretariat
Office No. 403, Swaroop Centre, Opp. Mistry Complex,
Near Om Nagar Circle, J.B. Nagar, Andheri East,
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PRESS RELEASE

Mumbai, 28 November 2022

Caution for Investors

It has been brought to the notice of the Exchange that persons named “**Adarsh Yadav**” / “**Saheb Lal Yadav**” operating through YouTube channel and telegram channel named as “**Art of Trading Mr. Adarsh**” and WhatsApp/G pay number “**9452815480**” and Mobile number “**9125094396**” are collecting funds from the public and providing assured/guaranteed return scheme/s. Investors are cautioned and advised not to subscribe to any such scheme/ product offered by any entities/persons offering indicative/assured/guaranteed returns in the stock market as the same is prohibited by law. It may also be noted that these entities are not registered either as a member or authorized person of any registered member of the National Stock Exchange of India Limited.

Participation in such prohibited schemes is at investors' own risk, cost and consequences as such schemes are neither approved nor endorsed by the Exchange.

The investors may note that for any kind of disputes relating to such prohibited schemes none of the following recourses will be available to investors:

1. Benefits of investor protection under Exchange's Jurisdiction
2. Exchange dispute resolution mechanism
3. Investor grievance redressal mechanism administered by Exchange.

Investors are advised to take note of the above.

Issued in interest of investors

About National Stock Exchange of India Limited (NSE):

National Stock Exchange of India (NSE) is the world's largest derivatives exchange by trading volume (contracts) as per the statistics maintained by Futures Industry Association (FIA) for calendar year 2021. NSE is ranked 4th in the world in the cash equities by number of trades as per the statistics maintained by the World Federation of Exchanges (WFE) for calendar year 2021. NSE was the first exchange in India to implement electronic or screen-based trading. It began operations in 1994 and is ranked as the largest stock exchange in India in terms of total and average daily turnover for equity shares every year since 1995, based on SEBI data. NSE has a fully integrated business model comprising exchange listings, trading services, clearing and settlement services, indices, market data feeds, technology solutions and financial education offerings.

NSE also oversees compliance by trading, clearing members and listed companies with the rules and regulations of SEBI and the exchange. NSE is a pioneer in technology and ensures the reliability and performance of its systems through a culture of innovation and investment in technology.

For more information, please visit: <https://www.nseindia.com>

For any media queries please contact: cc@nse.co.in

PRESS RELEASE

Mumbai, 28 November 2022

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Mumbai, 28 November 2022

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