

Circular No.: NSDL/POLICY/2015/0007

Date: January 13, 2015

Subject: Risk based supervision of Participants.

Attention of Participants is invited to Circular No. NSDL/POLICY/2014/0129 dated December 26, 2014 regarding information to be provided by Depositories to SEBI periodically for risk assessment of Participants. Participants were informed that NSDL is in process of developing a mechanism for submission of information by the Participants. Details of such platform, process of submission and timelines would be communicated shortly.

In this context, Participants are requested to note that information to be provided for risk assessment will have to be digitally signed by Compliance Officer and Internal Auditor of the Participant. If Compliance Officer and / or Internal Auditor of Participant is / are not having a Class 2 or Class 3 Digital Signature Certificate (DSC) issued by a licensed Certifying Authority (CA) (*list of approved CAs is available at www.cca.gov.in*), they are requested to obtain the same.

Participants are requested to submit the following details to NSDL by email to participant-interface@nsdl.co.in on or before January 20, 2015:

Sr. No.	Details required	Compliance Officer	Internal Auditor
1	Name of DSC holder		
2	Name of certifying authority		
3	Serial no. of DSC		
4	Class of DSC (2 or 3 only)		

For and on behalf of
National Securities Depository Limited

Samar Banwat
Senior Vice President

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month.	By email at dp_igreport@nsdl.co.in Alternatively, by hard copy to the Investor Relationship Cell.	1. Circular No. NSDL/PI/98/500 dated October 6, 1998. 2. Circular No. NSDL/PI/2004/1688 dated September 16, 2004.
Compliance Certificate (July - December)	January 31st every year.	Digitally signed compliance certificate by email at nsdl-bp-inspection@nsdl.co.in Alternatively, by hard copy to Inspection Department.	1. Circular No. NSDL/ POLICY/2006/0023 dated July 6, 2006 and Circular No. NSDL/POLICY/2010/0017 dated February 22, 2010.


National Securities Depository Limited

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