

Circular No.: NSDL/POLICY/2015/0011

Date: January 20, 2015

Subject: Securities Intermediaries Compliance Continuing Professional Education (CPE) programmes scheduled at various locations in India in February 2015.

Attention of Participants is invited to NSDL Circular No. NSDL/POLICY/2013/0040 dated March 13, 2013 regarding SEBI notification dated March 11, 2013 requiring NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification from National Institute of Securities Markets for **Compliance Officers** of Participants. In this regard, all Participants are hereby informed that NSDL will conduct One day CPE programmes for Securities Intermediaries Compliance at the following locations for associated persons in securities markets at the given dates:

Location	Date of Programme	Day
New Delhi	February 28, 2015	Saturday
Ahmedabad	February 28, 2015	Saturday

The details of CPE training programmes are enclosed at Annexure.

Participants may nominate their eligible officials for the above programmes. Further, if Participants require NSDL to conduct CPE training programmes at any other locations, then an email may be sent at cpe@nsdl.co.in

For and on behalf of
National Securities Depository Limited

Samar Banwat
Senior Vice President

Enclosed: One

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.

