

**Regional Investor Awareness Programme with SEBI held at Unnao on March 29, 2019**



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**Performance Summary\***



Investor Accounts

1,84,08,648



Participants

276



Participant Service Centres

30,764



Demat Custody

₹ 175.79 Lakh Crore



Settlement

₹ 2.89 Lakh Crore



Companies available for demat

24,377



**Instruments**

◆ Certificates of Deposit 459

◆ Commercial Papers 2,016

◆ Debentures/Bonds 14,997

◆ Securitised Instruments 2,579

\* Information as on February 28, 2019

## News Articles

### Transfer of securities held in physical mode – clarification

SEBI has clarified the following regarding transfer of securities held in physical mode:

1. Investors may continue to hold the shares in physical form even after April 01, 2019. However, any investor who wants to transfer shares (which are held in physical form) after April 01, 2019 can do so only after the shares are dematerialized.
2. The transfer deed(s) lodged prior to deadline and returned due to deficiency in the document may be re-lodged for transfer even after April 01, 2019.
3. Investors can continue to demat their physical shares, transmission (i.e. transfer of title of shares by way of inheritance / succession) and transposition (i.e. re-arrangement / interchanging of the order of name of shareholders) in physical shares even after April 01, 2019.

**Reference:** Circular No. NSDL/POLICY/2019/0019 dated April 01, 2019, available on NSDL website [www.nsdl.co.in](http://www.nsdl.co.in)

### Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries

Participants which are offering or using AI and ML applications or systems as defined by SEBI should submit a report in prescribed format to NSDL on quarterly basis within 15 days of the expiry of the quarter.

**Reference:** Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019, available on NSDL website [www.nsdl.co.in](http://www.nsdl.co.in)

### Internal and Concurrent Audit for depository operations

Participants are required to have its depository operations audited by a qualified Chartered Accountant or a Company Secretary or a Cost and Management Accountant holding a Certificate of Practice and submit the report to NSDL on half yearly basis as mentioned below -

Audit Period	Due date for submission of report to NSDL
April 1 to September 30	November 15
October 1 to March 31	May 15

Audit should cover all facets of the depository operations. Auditor may expand the scope of audit / add more audit points to achieve the objectives.

**Reference:** Circular No. NSDL/POLICY/2019/0017 dated March 27, 2019, available on NSDL website [www.nsdl.co.in](http://www.nsdl.co.in)

### Training Programmes for Participants:

#### ➤ NISM certification programme for Participants

To facilitate officials of Participants to prepare and appear for NISM - Series VI - Depository Operations Certification Examination (DOCE), NSDL conducted a training programme at Mumbai in March 2019.

#### ➤ CPE Training Programme for Participants

NSDL, a NISM accredited Continuing Professional Education (CPE) Provider offers CPE training programmes in different modules for eligible associated persons. In February and March 2019, NSDL conducted 14 such training programmes at Ahmedabad, Chennai, Hyderabad, Jaipur, Kolkata, Lucknow, Mumbai, New Delhi and Pune.

#### ➤ Training Programme for Issuers and Registrar & Transfer Agents

NSDL conducted a two days training programme for Issuers and Registrar & Transfer Agents at Mumbai in February 2019.

### Investor Education initiatives undertaken by NSDL

NSDL conducts Investor Awareness Programmes (IAPs) throughout the country to ensure investors are aware of different aspects of investing. Till date, NSDL has conducted over 3,400 programmes which have been attended by more than 3.33 Lakh investors. Feedback received from investors during these IAPs is extremely encouraging. While schedule of these programs is published online at <https://nsdl.co.in/Investor-Awareness-Programmes.php>, we shall be happy to conduct IAPs for your organization / institute / society. Help us in driving the investor education initiative further by writing to us at [info@nsdl.co.in](mailto:info@nsdl.co.in) about such programmes to be conducted.

**More the education, more the prudence.**

**Admission to these programmes is free for all investors.**

## Corporate Action Statistics

Sr. No.	Description	During February 2019		For F.Y. 2018 - 19 (Upto February 2019)	
		No. of Allottees	No. of Securities	No. of Allottees	No. of Securities
1	Alternative Investment Fund	0	0	8	1,000,000
2	Bonds	28,619	332,582,724	268,275	4,164,109,572
3	Certificates of Deposit	356	7,600,700	2,686	53,973,053
4	Commercial Papers	684	3,706,358	9,523	47,826,046
5	Equity Shares	286,905	11,957,586,988	7,962,935	169,381,075,478
6	Government Securities	1,908	905,543	21,858	8,242,905
7	Infrastructure Investment Trust	0	0	24	472,681,646
8	Mutual Fund Units	95,722	3,984,297,684	832,746	16,756,270,549
9	Preference Shares	39	2,293,318,793	4,330	9,771,230,993
10	Securitized Instruments	120	18,740,958,490	1,772	197,628,082,822
11	Mutual Fund Units (Trase)	80,212	206,252,510	995,834	3,774,872,701
12	Warrants	3	2,349,940	200	932,713,867
	<b>Total</b>	<b>494,568</b>	<b>37,529,559,730</b>	<b>10,100,191</b>	<b>402,992,079,632</b>

## List of Companies which have changed Name during February 2019

Sr. No.	Old Name	New Name
1	AIPL Ambuja Housing and Urban Infrastructure Limited	AIPL Housing and Urban Infrastructure Limited
2	Anveshan Heavy Engineering Limited	The Anup Engineering Limited
3	Arshiya Rail Siding and Infrastructure Limited	Ascendas Panvel FTWZ Limited
4	Bee Secure Home Finance Private Limited	Incred Housing Finance Private Limited
5	Binani Cement Limited	Ultratech Nathdwara Cement Limited
6	Bombay Oxygen Corporation Limited	Bombay Oxygen Investments Limited
7	Centrum Direct Limited	Ebixcash World Money Limited
8	Chhattisgarh Industries Limited	Stratmont Industries Limited
9	CM&D - Sila Development Services India Private Limited	Sila Project Management Services Private Limited
10	Dhanuka Commercial Limited	Moneyboxx Finance Limited
11	Digicall Teleservices Private Limited	Karvy Digikonnnect Limited
12	Energion GJ Wind Power Private Limited	Vena Energy Patan Power Private Limited
13	Energion KN Wind Power Private Limited	Vena Energy KN Wind Power Private Limited
14	Energion MH Wind Power Private Limited	Vena Energy MH Wind Power Private Limited
15	Energion MP Wind Power Private Limited	Vena Energy JMD Power Private Limited
16	Energion Power Resources Private Limited	Vena Energy Power Resources Private Limited
17	Energion RJ Wind Power Private Limited	Vena Energy Fatanpur Power Private Limited
18	Escorts Asset Management Limited	Quant Money Managers Limited
19	ETA Technopark Limited	Bayline Infocity Limited
20	Galaxy Entertainment Corporation Limited	Galaxy Cloud Kitchens Limited
21	Gsquare Zamin Pallavaram Land Private Limited	Radial IT Park Private Limited
22	Harirani Investment and Trading Private Limited	MAHYCO GROW FINANCE PRIVATE LIMITED
23	Kirby Building Systems Ind (Uttaranchal) Private Limited	Kirby Building Systems & Structures India Private Limited
24	Lohia Investments Limited	Dhritika Holdings Limited
25	Machilipatnam Port Limited	Navayuga Machilipatnam Port Limited
26	Mid India Power and Steel Limited	Shreeyam Power and Steel Industries Limited
27	Nabinagar Power Generating Company Private Limited	Nabinagar Power Generating Company Limited
28	Nuvo Logistics Private Limited	Ptap Delivery Solutions Private Limited
29	Pentech Metals Private Limited	Pentech Metals Limited
30	Rangsons Electronics Private Limited	Cyient DLM Private Limited
31	Rattanindia Solar Limited	Rattanindia Solar Private Limited
32	SEI Solar Power Maharashtra Private Limited	Amplus Solar Power Mh Private Limited
33	Sterling and Wilson Solar Private Limited	Sterling and Wilson Solar Limited
34	Vega Conveyors and Automation Limited	Vega Conveyors and Automation Private Limited

## Performance Summary

### INVESTORS

Month - Year	Client Accounts
	No. of Accounts (Lakh)
Feb-17	154.33
Feb-18	169.93
Feb-19	184.08

### PARTICIPANTS

Month - Year	No. of Participants	Service Centres	Cities / Towns
Feb-17	267	27,384	1,944
Feb-18	276	28,188	1,938
Feb-19	276	30,764	1,934

### DEMATERIALISATION

Month - Year	No. of Dematerialised Securities (In Crore)	Value of Dematerialised Securities (In ₹ Crore)
Feb-17	1,28,088	1,41,32,301
Feb-18	1,48,815	1,75,82,613
Feb-19	1,79,018	1,75,79,017

### SETTLEMENT (LISTED EQUITY SHARES)

Month - Year	Quantity of shares settled in dematerialised form (In Crore)	Value of shares settled in dematerialised form (In ₹ Crore)
Feb-17	943	2,15,658
Feb-18	1,052	2,58,409
Feb-19	1,094	2,89,334

(Single Side)

### EQUITY

Month - Year	No. of Companies Operational
Feb-17	17,461
Feb-18	19,635
Feb-19	24,377

**Companies**

### DEBENTURES / BONDS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (In ₹ Crore)
Feb-17	1,667	14,786	23,44,229
Feb-18	1,953	15,492	27,50,964
Feb-19	2,166	14,997	29,63,862

### SECURITISED INSTRUMENTS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (In ₹ Crore)
Feb-17	1,497	1,946	1,65,860
Feb-18	1,728	2,137	1,94,985
Feb-19	2,050	2,579	2,39,791

### COMMERCIAL PAPERS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (In ₹ Crore)
Feb-17	428	2,531	4,22,783
Feb-18	421	2,358	5,46,412
Feb-19	358	2,016	5,43,658

### CERTIFICATES OF DEPOSIT

Month - Year	No. of Issuers	No. of active instruments	Demat Value (In ₹ Crore)
Feb-17	31	501	1,76,004
Feb-18	29	410	2,08,492
Feb-19	36	459	2,46,634

## Forthcoming CPE (Depository Operations Module) Training Programmes for Participants\*

Sr. No.	Date of Training	Location of Training
1	April 27, 2019	Chennai, Kolkata and New Delhi
2	May 24, 2019	Ahmedabad and Mumbai
3	May 25, 2019	Kolkata and New Delhi

\* Schedule is subject to change.

## Securities admitted for dematerialisation during February 2019

To view the list of securities that have been admitted for dematerialisation during February 2019, kindly visit [https://nsdl.co.in/securities\\_admitted\\_for\\_dematerialisation.php](https://nsdl.co.in/securities_admitted_for_dematerialisation.php)

## Forthcoming Investor Awareness Programmes

Sr. No.	Date	Venue	City	State/Union Territory	Timing
1	27-Apr-19	Hotel Grandeur, White House Lane, Opposite Monghabhai Hall, Bechar Road, Valsad – 396001, Gujarat	Valsad	Gujarat	11.00 am onwards
2	27-Apr-19	Lotus Luxury Banquet Hall, Sector 35E, Kharghar, Navi Mumbai – 410210, Maharashtra	Navi Mumbai	Maharashtra	05.00 p.m. onwards
3	27-Apr-19	The Classic, Patiala Bypass Road, Near Nankiana Chowk, Sangrur – 148001, Punjab	Sangrur	Punjab	06.30 p.m. onwards
4	27-Apr-19	Hotel Golden Laurel Inn, City Center, Station Road, Deoria – 274001, Uttar Pradesh	Deoria	Uttar Pradesh	04.00 p.m. onwards
5	27-Apr-19	Best Western Ashoka, Metro Station, 6–1–70, Lakdikapul Road, Near Ambedkar Colony, Lakdikapul, Hyderabad – 500004, Telangana	Hyderabad	Telangana	06.00 p.m. onwards
6	28-Apr-19	Hotel Gangotri, Zadeshwar Road, Bholav, Bharuch – 392012, Gujarat	Bharuch	Gujarat	10.30 a.m. onwards
7	04-May-19	Hotel Ranjee's, CF–2 Shaheed Path Opp. BBD Viraj Tower, Vikrant Khand, Gomti Nagar, Lucknow – 226010, Uttar Pradesh	Lucknow	Uttar Pradesh	06.00 p.m. onwards
8	10-May-19	Bhupinder Plaza, Opp. Hemkunt Petrol Pump, Sirhind Road, Patiala – 147001, Punjab	Patiala	Punjab	04.30 p.m. onwards
9	11-May-19	Hotel The Harison, Near Govt. PG College, NH 21 A, Nalagarh – 174101, Himachal Pradesh	Nalagarh	Himachal Pradesh	04.30 p.m. onwards

• Schedule is subject to change. Please visit <https://nsdl.co.in/Investor-Awareness-Programmes.php> for updated schedule.



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For more information, visit [www.nsd.com](http://www.nsd.com)



## Forthcoming Compliance

Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 <sup>th</sup> of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Charge Structure (Yearly)	April 30 <sup>th</sup> every year.	By email at dpfees@nsdl.co.in	1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007.
Risk based supervision of Participants (October - March)	April 30 <sup>th</sup> every year.	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (October - March)	May 15 <sup>th</sup> every year.	Through e-PASS	Circular No. NSDL/POLICY/2019/0017 dated March 27, 2019

## NSDL Offices

### Head Office

**Mumbai** 4<sup>th</sup> Floor, 'A' Wing, Trade World, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai - 400013  
Tel.: (022) 24994200

### Branch Offices

<b>Ahmedabad</b> 402, 4 <sup>th</sup> Floor, Heritage Horizon, Off. C.G. Road, Navrangpura, Ahmedabad - 380009 Tel.: (079) 26461375	<b>Bengaluru</b> Office No. 106, DBS house 26, Cunningham Road, Bengaluru - 560052 Tel.: (080) 40407106	<b>Chennai</b> 6A, 6 <sup>th</sup> Floor, Kences Towers, #1 Ramkrishna Street, North Usman Road, T. Nagar, Chennai - 600017 Tel.: (044) 28143911, 28143917	<b>Hyderabad</b> Office No. 123, Hyderabad Regus Mid-Town, 1 <sup>st</sup> Floor, Mid Town Plaza, Road No. 1, Banjara Hills, Hyderabad - 500033 Tel.: (040) 44334178
<b>Kochi</b> Suite No. S – 105, Monlash Business Center, 4 <sup>th</sup> Floor, Crescens Tower, NH 47, Changampuzha Nagar Post, Kochi - 682033 Tel.: (0484) 2933075	<b>Kolkata</b> Unit 2E, 2 <sup>nd</sup> Floor, The Millenium, 235/2A, A.J.C. Bose Road, Kolkata - 700020 Tel.: (033) 22904243, 22904246	<b>New Delhi</b> Unit No. 601, 603, 604, 6 <sup>th</sup> Floor, Tower-A, Naurang House, Kasturba Gandhi Marg, Connaught Place, New Delhi - 110001 Tel.: (011) 23353814, 23353815	

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