

News Articles

DPM Version Release 6.2

In context to changes in file formats with respect to DPM Version Release 6.2., NSDL is in receipt of requests from some Participants to postpone the aforesaid version release as they require more time to incorporate the requisite changes in their back-office system. Accordingly, all Participants are hereby informed that the date of DPM Version Release 6.2 has now been revised to **November 12, 2016**. Participants are advised to make necessary changes in their back office system as per the file formats in respect of DPM System Version 6.2 latest by **November 5, 2016**.
(Ref: Circular No. NSDL/POLICY/2016/0081 dated October 3, 2016)

SEBI Letter on opening of HUF demat accounts and procedure to be adopted in the event of death of Karta of a HUF

1. SEBI has provided guidelines for opening of HUF (Hindu Undivided Family) demat accounts and procedure to be adopted in the event of death of Karta of a HUF as follows:

1.1 Opening of HUF demat account

- a) The demat account shall be opened in the name of HUF entity as the name of the entity appears on the PAN card. The PAN details of both the HUF entity and Karta of HUF shall be submitted to the Depository Participant (DP).



Highlights during the month

News Articles

Companies Name Change

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Performance Summary



Investor Accounts

1,51,06,130



Participants

268



Participant Service Centres

27,289



Demat Custody

₹ 1,35,85,191 Cr.



Settlement

₹ 2,60,977 Cr.



Companies available for demat

16,800



Instruments

- ◆ Debentures/Bonds 14,277
- ◆ Securitised Instruments 1,916
- ◆ Commercial Paper 2,367
- ◆ Certificates of Deposit 616

1.2 Death of Karta

- a) In event of death of Karta of HUF, the name of the deceased Karta in the Beneficial Owner (BO) account shall be replaced by the new Karta appointed by the members of the HUF who in such a case shall be the senior most member of the family, except married daughters.
- b) The new Karta shall submit the new list of members, a notarized copy of death certificate of the deceased Karta and a no objection from the surviving members of the HUF for him/her to act as Karta of the HUF.
- c) In event of death of Karta of HUF, the existing BO account need not be closed and the same account may continue. The death of the Karta shall not mean that the securities lying in the BO account of the HUF is deemed to have divided among the coparceners as if the partition has taken place.

1.3 Partition of HUF

- a) A total or partial partition shall be recognized only if a claim to that effect is made by one or more coparceners.
- b) An intimation of a total or partial partition shall be accompanied by a signed letter mentioning the names of the other members and their confirmation of a partition having taken place.
- c) In case of partial partition of the HUF, if desired by one or more coparceners, the new Karta shall transfer shares to the said coparceners who seek partition and the BO account of the HUF shall continue. The account of such coparceners shall be treated as their individual accounts.
- d) In case of full partition of the HUF, the shares shall be divided amongst all the coparceners in the manner specified by the applicant subject to fulfillment of clause 1.3(b) above and the HUF account shall cease to exist.

(Ref: Circular No. NSDL/POLICY/2016/0082 dated October 4, 2016)

SEBI circular on enhanced supervision of Depository Participants

1. SEBI constituted a committee on “Enhanced Supervision of Stock Brokers”, which included representatives from Stock Exchanges, Depositories and Brokers. With a view to implement the recommendations, the guidelines as mentioned in SEBI circular are being issued. These guidelines cover the following broad areas:
 - I. Uniform nomenclature to be followed by stock brokers for Naming/Tagging of Bank and Demat Accounts and the reporting of such accounts to the Stock Exchanges/Depositories.

- II. Monitoring of Clients' Funds lying with the Stock Broker by the Stock Exchanges, through a sophisticated alerting and reconciliation mechanism, to detect any mis-utilisation of client's fund.
- III. Changes in the existing system of internal audit for stock brokers/depository participants viz. appointment, rotation of Internal Auditors, formulation of objective sample criteria, monitoring of quality of Internal Audit Reports, timeline for submissions of Internal Audit Reports, etc.
- IV. Monitoring of Financial Strength of Stock Brokers by Stock Exchanges so as to detect any signs of deteriorating financial health of stock brokers and serve as an early warning system to take preemptive and remedial measures.
- V. Imposition of uniform penal action on stock brokers/depository participants by the Stock Exchanges/ Depositories in the event of non-compliance with specified requirements.
- VI. **Other Requirements:**
 - a) Uploading client's funds and securities balances by Stock Brokers to Stock Exchange System and onwards transmission of the same to the clients for better transparency.
 - b) Clarification on Running Account Settlement
 - c) Providing PAN details of Directors, Key Management Personnel and Dealers, to Stock Exchanges and any change thereof.

Further details about this circular are posted on NSDL website www.nsd.co.in.

(Ref: Circular No. NSDL/POLICY/2016/0083 dated October 4, 2016)

Training Programme for Participants:

➤ CPE Training Programme for Participants

NSDL, an approved NISM Accredited Continuing Professional Education (CPE) Provider offers CPE training programmes viz. Depository Operations, Mutual Fund Distributors, Currency Derivatives, SORM, RTA-Corporate & SIC for eligible associated persons of Participants. In October 2016, NSDL conducted eight such training programmes at various locations viz., Ahmedabad, Chennai, Hyderabad, Indore, Kolkata, Mumbai and New Delhi which were attended by 102 officials of Participants.

List of Companies that have changed Names (During October 2016)

| Sr. No. | Old Name | New Name |
|---------|--|--|
| 1 | Semco Electric Private Limited | Sigma Electric Manufacturing Corporation Private Limited |
| 2 | L & T Vadodara Bharuch Tollway Limited | Vadodara Bharuch Tollway Limited |
| 3 | Mandhana Retail Ventures Limited | The Mandhana Retail Ventures Limited |
| 4 | Global Innovsource Solutions P. Ltd | Innovsource Private Limited |
| 5 | Consolidated Securities Limited | CSL Finance Limited |
| 6 | Stemcor India Private Limited | Moorgate Industries India Private Limited |
| 7 | Albrecht Builder Private Limited | Tril It4 Private Limited |
| 8 | GMR Renewable Energy Limited | GMR Generation Assets Limited |
| 9 | ACE Integrated Solutions Private Limited | Ace Integrated Solutions Limited |
| 10 | S Chand & Company Private Limited | S Chand And Company Limited |
| 11 | Sunehari Exports Limited | Dr. Fresh Assets Limited |
| 12 | L&T General Insurance Company Limited | HDFC General Insurance Limited |
| 13 | Tenova Metals India Private Limited | Tenova India Private Limited |
| 14 | Cooperatieve Centrale Raiffeisen-Boerenleenbank B.A. | Cooperatieve Rabobank U.A |
| 15 | Volvo Asset Finance India Private Limited | Volvo Financial Services (India) Private Limited |
| 16 | Vemagiri Power Generation Limited | GMR Vemagiri Power Generation Limited |
| 17 | Atria Brindavan Power Limited | Atria Brindavan Power Private Limited |
| 18 | Spectra International Private Limited | Spectra International Limited |
| 19 | Nirvikara Paper Mills Limited | Balkrishna Paper Mills Limited |
| 20 | QSSI Technologies India Private Limited | Optum Global Solutions (India) Private Limited |

Corporate Action Statistics

| Sr. No. | Description | During October 2016 | | For F.Y. 2016 - 17 (Upto October 2016) | |
|---------|---------------------------|---------------------|-----------------------|--|------------------------|
| | | No. of Allottees | No. of Securities | No. of Allottees | No. of Securities |
| 1 | Equity Shares | 939,358 | 10,780,375,912 | 5,063,835 | 76,867,270,991 |
| 2 | Preference Shares | 2,308 | 503,198,580 | 73,672 | 7,142,180,899 |
| 3 | Bonds | 12,529 | 50,588,672 | 108,050 | 2,416,252,759 |
| 4 | Commercial Papers | 710 | 2,738,924 | 6,536 | 23,517,502 |
| 5 | Certificates Of Deposit | 91 | 1,019,600 | 1,732 | 23,530,868 |
| 6 | Securitised Instruments | 122 | 14,080,569,459 | 708 | 72,674,431,788 |
| 7 | Mutual Fund Units | 38,601 | 253,915,425 | 324,357 | 1,877,848,227 |
| 8 | Government Securities | 12,376 | 428,589 | 40,388 | 1,519,761 |
| 9 | Warrants | 97 | 36,259,600 | 161 | 830,998,014 |
| 10 | Mutual Fund Units (Trase) | 44,554 | 157,028,590 | 283,878 | 982,372,453 |
| | Total | 1,050,746 | 25,866,123,351 | 5,903,317 | 162,839,923,261 |

Performance Summary

INVESTORS

| Month -Year | Client Accounts |
|-------------|-------------------------|
| | No. of Accounts (lakhs) |
| Oct-14 | 134.61 |
| Oct-15 | 141.78 |
| Oct-16 | 151.06 |

PARTICIPANTS

| Month -Year | No. of Participants | Service Centres | Cities / Towns |
|-------------|---------------------|-----------------|----------------|
| Oct-14 | 273 | 14,380 | 1,552 |
| Oct-15 | 269 | 18,460 | 1,748 |
| Oct-16 | 268 | 27,289 | 1,941 |

DEMATERIALISATION

| Month -Year | No. of Dematerialised Securities (Cr.) | Value of Dematerialised Securities (₹ Cr.) |
|-------------|--|--|
| Oct-14 | 87,024 | 1,10,19,562 |
| Oct-15 | 101,720 | 1,16,84,461 |
| Oct-16 | 120,888 | 1,35,85,191 |

SETTLEMENT (LISTED EQUITY SHARES)

| Month -Year | Quantity of shares settled in dematerialised form (Cr.) | Value of shares settled in dematerialised form (₹ Cr.) |
|-------------|---|--|
| Oct-14 | 624 | 1,23,559 |
| Oct-15 | 679 | 1,58,252 |
| Oct-16 | 967 | 2,60,977 |

(Single Side)

EQUITY

| Month -Year | No. of Companies Operational |
|-------------|------------------------------|
| Oct-14 | 13,169 |
| Oct-15 | 14,913 |
| Oct-16 | 16,800 |

Companies

DEBENTURES / BONDS

| Month -Year | No. of Issuers | No. of active instruments | Demat Value (₹ Cr.) |
|-------------|----------------|---------------------------|---------------------|
| Oct-14 | 1,018 | 10,235 | 15,61,961 |
| Oct-15 | 1,266 | 12,374 | 19,13,743 |
| Oct-16 | 1,531 | 14,277 | 22,06,432 |

SECURITISED INSTRUMENTS

| Month -Year | No. of Issuers | No. of active instruments | Demat Value (₹ Cr.) |
|-------------|----------------|---------------------------|---------------------|
| Oct-14 | 876 | 1,222 | 1,19,600 |
| Oct-15 | 1,080 | 1,427 | 1,20,112 |
| Oct-16 | 1,468 | 1,916 | 1,60,741 |

COMMERCIAL PAPERS

| Month -Year | No. of Issuers | No. of active instruments | Demat Value (₹ Cr.) |
|-------------|----------------|---------------------------|---------------------|
| Oct-14 | 260 | 1,718 | 2,31,206 |
| Oct-15 | 355 | 1,995 | 3,84,736 |
| Oct-16 | 405 | 2,367 | 3,93,952 |

CERTIFICATES OF DEPOSIT

| Month -Year | No. of Issuers | No. of active instruments | Demat Value (₹ Cr.) |
|-------------|----------------|---------------------------|---------------------|
| Oct-14 | 40 | 1,218 | 2,93,418 |
| Oct-15 | 35 | 558 | 2,25,128 |
| Oct-16 | 36 | 616 | 2,09,185 |

Securities admitted for Dematerialisation during October 2016

| Sr. No. | COMPANY | ISIN | Sr. No. | COMPANY | ISIN |
|---------|---|--------------|---------|--|--------------|
| 1 | ACME Bhiwadi Solar Power Private Limited | INE879V01015 | 32 | DHL Infratech Private Limited | INE976V01019 |
| 2 | ACME Deoghar Solar Power Private Limited | INE972V01018 | 33 | Ecool Gaming Solutions Private Limited | INE820V01019 |
| 3 | ACME Hisar Solar Power Private Limited | INE973V01016 | 34 | Enkay Buildwell Private Limited | INE062P01010 |
| 4 | ACME Karnal Solar Power Private Limited | INE984V01013 | 35 | Eurolife Healthcare Private Limited | INE932V01012 |
| 5 | ACME Kurukshetra Solar Energy Private Limited | INE034W01015 | 36 | Feedback Power Operations & Maintenance Services Private Limited | INE981V01019 |
| 6 | ACME Mahbubnagar Solar Energy Private Limited | INE895V01011 | 37 | Fortis CSR Foundation | INE018W01018 |
| 7 | ACME Medak Solar Energy Private Limited | INE910V01018 | 38 | Future Style Lab Limited | INE913V01012 |
| 8 | ACME Narwana Solar Power Private Limited | INE811V01018 | 39 | Gajanand Constructions Private Limited | INE036W01010 |
| 9 | ACME Nizamabad Solar Energy Private Limited | INE892V01018 | 40 | Gaya Solar (Bihar) Private Limited | INE897V01017 |
| 10 | ACME Ranga Reddy Solar Power Private Limited | INE815V01019 | 41 | Global Consumer Products Private Limited | INE807V01016 |
| 11 | ACME Rewari Solar Power Private Limited | INE974V01014 | 42 | Global Edge Software Limited | INE867V01010 |
| 12 | ACME Yamunanagar Solar Power Private Limited | INE878V01017 | 43 | Gurgaon-Palwal Transmission Limited | INE979V01013 |
| 13 | Aditya Infotech Limited | INE819V01011 | 44 | Highend Properties Private Limited | INE866V01012 |
| 14 | Advance Steel Tubes Limited | INE968V01016 | 45 | Himgiri Castings Pvt Ltd | INE975V01011 |
| 15 | Agro Phos India Limited | INE740V01019 | 46 | Indian Aero Infrastructure Private Limited | INE035W01012 |
| 16 | Alexandria Labspace India I Private Limited | INE002W01012 | 47 | Indianivesh Housing Finance Limited | INE808V01014 |
| 17 | Alliance Spaces Private Limited | INE809V01012 | 48 | Jakson Power Private Limited | INE816V01017 |
| 18 | Annika Promoters Private Limited | INE930V01016 | 49 | Jindal Coke Limited | INE869V01016 |
| 19 | AR Venture Funds Management Private Limited | INE463V01018 | 50 | Jindal United Steel Limited | INE871V01012 |
| 20 | AR Wealth Management Private Limited | INE366V01013 | 51 | JM Fricttech India Private Limited | INE920V01017 |
| 21 | Arvind Beauty Brands Retail Private Limited | INE959V01015 | 52 | Kajal Synthetics and Silk Mills Limited | INE956V01011 |
| 22 | Arvind Fashions Limited | INE955V01013 | 53 | Kameni Upaskar Limited | INE019W01016 |
| 23 | Atria Wind Power (Savarakundla) Private Limited | INE986V01018 | 54 | Kavi Commercial Company Limited | INE828V01012 |
| 24 | Attrra Infotech Private Limited | INE818V01013 | 55 | Kavit Green Energy Private Limited | INE933V01010 |
| 25 | Badve Engineering Limited | INE894V01014 | 56 | KCS Financial Services Limited | INE020W01014 |
| 26 | Bajaj Capital Financial Services Limited | INE024W01016 | 57 | KEC Bikaner Sikar Transmission Private Limited | INE931V01014 |
| 27 | Balaji Wafers Private Limited | INE903V01013 | 58 | Kilaj Solar (Maharashtra) Private Limited | INE898V01015 |
| 28 | BDR Builders and Developers Private Limited | INE842V01013 | 59 | KMS Medisurgi Limited | INE870V01014 |
| 29 | Benchmark Industries Private Limited | INE823V01013 | 60 | Konark Rajhans Estates Private Limited | INE918V01011 |
| 30 | Biaora to Dewas Highway Private Limited | INE822V01015 | 61 | Laxmi R.A. Holdings and Investments Private Limited | INE789V01016 |
| 31 | Dhanlaxmi Infrastructure Private Limited | INE902V01015 | 62 | Leopard Infratech Private Limited | INE917V01013 |
| | | | 63 | Libas Designs Limited | INE908V01012 |
| | | | 64 | Madhav Copper Limited | INE813V01014 |
| | | | 65 | Madhepura Electric Locomotive Private Limited | INE957V01019 |

Securities admitted for Dematerialisation during October 2016 (Contd.)

| Sr. No. | COMPANY | ISIN | Sr. No. | COMPANY | ISIN |
|---------|--|--------------|---------|--|--------------|
| 66 | Maheshwaram Transmission Limited | INE990V01010 | 99 | Relstruct Buildcon Limited | INE792V01010 |
| 67 | Mahoba Solar (UP) Private Limited | INE899V01013 | 100 | Renew Agni Power Private Limited | INE032W01019 |
| 68 | Metro Dairy Limited | INE915V01017 | 101 | Renew Saur Shakti Private Limited | INE970V01012 |
| 69 | MGI Infra Private Limited | INE821V01017 | 102 | Renew Wind Energy (MP Four) Private Limited | INE033W01017 |
| 70 | Midcity Heights Private Limited | INE685V01016 | 103 | Renu Proptech Private Limited | INE850V01016 |
| 71 | Music Broadcast Limited | INE919I01016 | 104 | Rishi Container Freight Station Private Limited | INE027W01019 |
| 72 | Mytrah Akshaya Energy Private Limited | INE987V01016 | 105 | RKB Global Private Limited | INE028W01017 |
| 73 | MYTRAH BHAGIRATHA POWER PRIVATE LIMITED | INE988V01014 | 106 | Sattva Conware Private Limited | INE029W01015 |
| 74 | Nalanda Shelter Private Limited | INE774V01018 | 107 | Saurashtra Calcine Bauxite and Allied Industries Limited | INE411V01017 |
| 75 | Neemuch Solar Power Private Limited | INE909V01010 | 108 | Sethia Infrastructure Private Limited | INE960V01013 |
| 76 | Nimit Builders Private Limited | INE864V01017 | 109 | Sharewealth Securities Limited | INE750001013 |
| 77 | Odisha Generation Phase-II Transmission Limited | INE971V01010 | 110 | Shield Health Care Private Limited | INE934V01018 |
| 78 | Orange Semiconductors Private Limited | INE023W01018 | 111 | Sneha Agencies Private Limited | INE824V01011 |
| 79 | Paithan Mega Food Park Private Limited | INE849V01018 | 112 | Softech Ecoworld Private Limited | INE983V01015 |
| 80 | Panchsheel Buildtech Private Limited | INE991V01018 | 113 | Sunworld Solar Power Private Limited | INE814V01012 |
| 81 | Panki Investments Limited | INE826V01016 | 114 | Suraksha Diagnostic Private Limited | INE877V01019 |
| 82 | Paras Bhavani Steel Private Limited | INE021W01012 | 115 | Talettutayi Solar Projects Four Private Limited | INE841V01015 |
| 83 | Pay Point India Network Private Limited | INE916V01015 | 116 | Talettutayi Solar Projects One Private Limited | INE840V01017 |
| 84 | Paytm E-Commerce Private Limited | INE901V01017 | 117 | Tanvi Foods (India) Limited | INE978V01015 |
| 85 | PL Sunshine Limited | INE998V01013 | 118 | Tarun Kiran Bhoomi Private Limited | INE030W01013 |
| 86 | PL Surya Urja Limited | INE997V01015 | 119 | Tattva & Mittal Corporation Private Limited | INE995V01019 |
| 87 | Poona Dal and Besan Mills Private Limited | INE904V01011 | 120 | Tattva & Mittal Lifespaces Private Limited | INE996V01017 |
| 88 | Prompt Enterprises Private Limited | INE958V01017 | 121 | Trident Sugars Limited | INE912V01014 |
| 89 | Punj Lloyd Solar Power Limited | INE999V01011 | 122 | Vedant Fashions Private Limited | INE825V01018 |
| 90 | Raheja Developers Limited | INE050Q01013 | 123 | Vishnu Cotton Mills Ltd | INE022W01010 |
| 91 | Raheja Sezs Limited | INE962V01019 | 124 | VVF (India) Limited | INE989V01012 |
| 92 | Rajesh Signaturespaces Private Limited | INE843V01011 | 125 | Wardha Solar (Maharashtra) Private Limited | INE900V01019 |
| 93 | Ramprastha Sare Landholding Company Five Private Limited | INE026W01011 | 126 | Western India Forgings Private Limited | INE911V01016 |
| 94 | Ramprastha Sare Landholding Company Two Private Limited | INE025W01013 | 127 | Writer Business Services Private Limited | INE844V01019 |
| 95 | Ranjan Polyster Limited | INE936V01013 | 128 | Writer Lifestyle Private Limited | INE851V01014 |
| 96 | Rattanindia Solar 2 Limited | INE935V01015 | 129 | Xander Finance Private Limited | INE252T01019 |
| 97 | Rattanindia Solar Limited | INE865V01014 | 130 | Yarrow Infrastructure Limited | INE001W01014 |
| 98 | Recipharm Pharmaservices Private Limited | INE868V01018 | | | |

NSDL Calendar of Events

FORTHCOMING COMPLIANCE

| Particulars | Deadline | Manner of sending | Reference |
|---|---|--|---|
| Investor Grievance Report (Monthly) | By 10 th of the following month. | Through "e-Participant-Inspection Audit and Supervision System (e-PASS) | 1. Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015 |
| Internal/ Concurrent Audit Report (April - September) | November 15 th every year | Digitally signed report by email at nsdl-bp-inspection@nsdl.co.in. Alternatively, by hard copy to Inspection Department. | 1. Circular No.: NSDL/POLICY/2015/0087 dated October 1, 2015 2. Circular No. NSDL/POLICY/2010/0017 dated February 22, 2010 |

NSDL Offices

| Head Office | Branch Offices | |
|---|---|--|
| Mumbai 4th Floor, 'A' Wing, Trade World, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai - 400013 Tel: (022) 24994200 / 40904200 Fax: (022) 24976351 | Ahmedabad Unit No. 407, 4th floor, 3rd Eye One Commercial Complex Co-op. Soc. Ltd., C. G. Road, Near Panchvati Circle, Ahmedabad - 380006 Tel: (079) 26461376, Fax: (079) 26461375 | Chennai 6A, 6th Floor, Kences Towers, #1 Ramkrishna Street, North Usman Road, T. Nagar, Chennai - 600017 Tel: (044) 28143917 / 18, Fax: (044) 28144593 |
| | Kolkata Unit 2E, 2nd Floor, The Millenium 235/2A, A.J.C. Bose Road Kolkata - 700020 Tel: (033) 2281 4662 / (033) 2290 4246 | New Delhi Unit No.601,603,604, 6th Floor, Tower - A, Naurang House, Kasturba Gandhi Marg, Connaught Place, New Delhi - 110001 Tel: (011) 23353814 / 15, Fax: (011) 23353816 |

Investor Relationship Cell

Officer-In-Charge,
 National Securities Depository Ltd.
 4th Floor, 'A' Wing, Trade World, Kamala Mills Compound,
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NSDL Certification Programme

Officer-In-Charge,
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For more information, email us at info@nsdl.co.in