

News Articles

Change of residential status of individual Client

In case any Resident Indian (RI) Client who is holding security in demat account which is opened under type 'resident' becomes Non-Resident Indian (NRI) then he/she is required to open a new demat account under type 'NRI' and transfer the security which he/she is holding in demat account opened under type 'resident'. As the process of opening of new account, transfer of securities in new account and closure of old account takes long time, Participants have suggested to permit the change in type and sub-type of such account from 'Resident-ordinary' or 'Resident-promoter' to 'NRI non-repatriable' or 'NRI non-repatriable-promoter' respectively.

In view of the above, Participants have to follow the below mentioned procedure for changing type and sub-type of the account.

1. Obtain a written request from the Client in the prescribed format for change in type from 'Resident' to 'NRI non-repatriable' alongwith declaration that Client have complied and will continue to comply with FEMA rules and regulations.
2. Obtain photocopy of relevant pages of current passport which evidences the change of residential status of Client alongwith Resident Visa/ Work Permit/ Employment Visa/ Current Visa or any other type of visa.
3. Obtain copy of proof of foreign address [*verified with original or attested by competent authority as per SEBI guideline*] of Client alongwith necessary KYC documents to update the KYC details in DPM and KRA system.



Highlights during the month

News Articles

Companies Name Change

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Performance Summary



Investor Accounts

141,06,428



Participants

270



Participant Service Centres

17,711



Demat Custody

₹ 115,06,522 Cr.



Settlement

₹ 1,57,241 Cr.



Companies available for demat

14,781



Instruments

- ◆ Debentures/Bonds 12,206
- ◆ Securitised Instruments 1,419
- ◆ Commercial Paper 1,966
- ◆ Certificates of Deposit 574

Did you know?

President Franklin D. Roosevelt placed the first order for a \$500 Series E Savings Bond in a radio broadcast on April 30, 1941.



Quote of the Month :

"It is better to hang out with people better than you. Pick out associates whose behavior is better than yours and you will drift in that direction." - Warren Buffett



4. Upon receipt of the aforesaid documents, Participant can change type and sub-type of demat account and also update KYC details in DPM as well as in KRA system.
5. Necessary changes in DPM system will be informed shortly. Meanwhile, on receipt of aforesaid request from Client and upon satisfactory verification of documents, Participant should submit the request to NSDL (physical or electronic at participantinterface@nsdl.co.in) alongwith copy of request received from the Client so as to enable us to change the type and sub-type of Client.

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

(Ref: Circular No. NSDL/POLICY/2015/0081 dated September 7, 2015)

Issuance of Compliance Report to Non-Compliant Account Holders under RGESS

In order to facilitate Participants regarding the annual account statement to be provided to Clients indicating Client's compliance with the scheme, the Compliance Report is being issued by NSDL to Non-Compliant account holder under RGESS. In this context, Participants are requested to note that the aforesaid certificate will be issued to Non-Compliant RGESS account holders who made initial investment in RGESS designated demat account in the initial year, which needs to be in Flexible Lock-in period for subsequent two years after completion of Fixed Lock-in period of one year but failed to maintain minimum 270 days compliance in Flexible Lock-in period as required under RGESS.

The aforesaid RGESS Compliance Report is made available to the Participants and Clients as mentioned below:

1. Participant can download the RGESS Compliance Report from the intranet site of NSDL i.e., <https://i-assist> at the link '**Compliance Report - RGESS**'. Participants are advised to provide the aforesaid certificate to their Clients in physical form or electronic form via email or website portal or any other mode which Participants may deem fit.
2. Client can download the RGESS Compliance Report from corporate website of NSDL i.e. www.nsdl.co.in or eservices website i.e. <https://eservices.nsdl.com> at the link '**Compliance Report – RGESS**'. The manner of authentication of the Client and the procedure for download will be same as for downloading New Retail Investor Certificate.

(Ref: Circular Nos. NSDL/POLICY/2015/0083 dated September 16, 2015)

Addition of Market Type Codes

With respect of Indian Clearing Corporation Limited pertaining to the settlements of Tender-Offers under Takeover and Delisting, following Market Type Codes have been added in the CC Calendar:

CC ID	Market Type Code	Description
IN001150	32	TAKEOVER
	33	DELISTING

Participants are requested to note the aforesaid codes relating to change in the static data for back-office batch interface with eDPM / Local DPM System.

(Ref: Circular Nos. NSDL/POLICY/2015/0085 dated September 18, 2015)

Internal and Concurrent Audit for depository operations

As per Bye Law 10.3, each Participant is 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. Such audit should be conducted twice a year and a copy of the report should be submitted to NSDL. In view of this guidelines related to scope of the audit and format of the audit report were provided which has now been modified.

Participants are advised to take note of the following:

1. Audit should cover all facts of the depository operations. Auditor may expand the scope of audit / add more audit points to achieve the objectives. Participants are advised to extend full co-operation to their auditors to enable them to perform an effective audit. All circulars / guidelines issued by NSDL / SEBI from time to time and other information / records desired by the auditors should be made available to them within a reasonable time.
2. Participants should forward the audit report as per schedule given below to NSDL:

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

3. Participants which remain operational for less than three months in an audit period can submit audit report for that audit period along with the audit report for next audit period. For example, if a Participant is made operational by NSDL on January 1, 2015, then it can submit first audit report for period January 1, 2015– September 30, 2015.
4. Audit work for areas which are covered under the scope of concurrent audit should be completed by next working day. If audit cannot be completed by next working day due to large volume, it must be completed within a week.
5. Participants may appoint same auditor for concurrent and internal audit. If both audits are done by same auditor, then a consolidated report must be submitted instead of two separate reports. If both audits are being done by different auditors, then two separate reports must be submitted.
6. Participants are advised to note that the audit report format provided in this circular is applicable for audit period April 1, 2015 to September 30, 2015 and onwards.
7. Participants are hereby informed that internal and/or concurrent audit reports which are not as per guidelines will be treated as non-submission of the report. NSDL reserves the right to advise a Participant to change its auditor if quality of the report is not satisfactory or the audit is not carried out as per guidelines.
8. The auditors may visit service centers (on sample basis) to check whether proper procedures are being followed at such centers.
9. Any one person conducting the internal and/or concurrent audit (risk prone areas) should obtain certification from the National Institute of Securities Markets (NISM) by passing the NISM-Series-VI: Depository Operations Certification Examination (DOCE). Alternatively, such persons, if eligible, may undergo Continuing Professional Education (CPE) program for depository operations (details available on www.nism.ac.in).
10. Participants can submit internal/concurrent audit report in electronic form subject to the conditions.
Further details about this circular are posted on NSDL website www.nsdl.co.in.

(Ref: Circular Nos. NSDL/POLICY/2015/0087 dated October 1, 2015)

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 September 2015, NSDL conducted five such training programmes at various locations viz., Ahmedabad, Chennai, Kolkata, Mumbai & New Delhi which were attended by more than 50 officials of Participants.

List of Participant Service Centre:

❖ For complete list of Participant Service Centres, kindly visit <https://nsdl.co.in/dpsch.php> on NSDL website.

List of Companies that have changed Names (During September 2015)

Sr. No.	Old Name	New Name
1	Grovya Exports & Marketing Limited	Grovya India Limited
2	Dr. Lal Pathlabs Private Limited	Dr. Lal Pathlabs Limited
3	Peacock Industries Limited	Pil Italica Lifestyle Limited
4	Suryoday Micro Finance Private Limited	Suryoday Micro Finance Limited
5	Cosmic Circuits Private Limited	Cadence AMS Design India Private Limited
6	Count N Denier (India) Limited	Scandent Imaging Limited
7	Hariganga Machineries and Engineering Services Limited	Shivkrupa Machineries and Engineering Services Limited
8	Quippo Telecom Infrastructure Limited	Quippo Telecom Infrastructure Private Limited
9	Multi Pack Systems Private Limited	Omori India Private Limited
10	Silkroad Sugar Private Limited	Parry Sugars Refinery India Private Limited
11	Shri Chlochem Limited	Archit Organosys Limited
12	ZF Lenksysteme India Private Limited	Robert Bosch Automotive Steering Private Limited
13	Puneet Resins Limited	Rishiroop Limited
14	Hero Steels Private Limited	Hero Steels Limited
15	Apnapaisa Private Limited	Amber Services Private Limited
16	Unilazer Media Limited	Business Broadcast News Holdings Limited
17	Electronica CNC Machining Techn. Limited	Electronica Industries Limited
18	REL Utility Engineers Limited	Crest Logistics and Engineers Private Limited
19	Brite Leasing and Finance Limited	Tempo Appliances India Limited
20	Renew Wind Energy (Jath) Private Limited	ReNew Wind Energy (Jath) Limited
21	IPE Global Private Limited	IPE Global Limited
22	Janalakshmi Financial Services Private Limited	Janalakshmi Financial Services Limited
23	Indu Navayuga Infra Projects Private Limited	Trichy Pandalur Tollways Private Limited
24	Equitas Micro Finance Private Limited	Equitas Micro Finance Limited
25	Three C Infra Square Private Limited	Samridhi Infra Square Private Limited
26	DTDC Courier & Cargo Limited	DTDC Express Limited
27	Feedback First Urban Infrastructure Development Company Limited	IDFC Finance Limited
28	Future Financial Services Limited	Future Financial Services Private Limited
29	Sterling Strips Limited	Sterling Powergensys Limited
30	Bhatia Industries & Infrastructure Limited	Hemang Resources Limited
31	JRG Securities Limited	Inditrade Capital Limited
32	Axis Capital Markets (India) Limited	Elixir Capital Limited

Corporate Action Statistics

Sr. No.	Description	During September 2015		For F.Y. 2015 - 16 (Upto September 2015)	
		No. of Allottees	No. of Securities	No. of Allottees	No. of Securities
1	Equity Shares	555,500	8,026,690,480	3,320,248	56,952,531,308
2	Preference Shares	55	291,418,014	316	4,800,759,740
3	Bonds	2,115	1,111,865,537	32,441	2,638,195,257
4	Commercial Papers	731	2,026,303	4,750	14,097,414
5	Certificates of Deposit	347	5,433,640	1,873	27,461,444
6	Securitized Instruments	36	652,508,724	474	23,157,574,677
7	Mutual Fund Units	34,477	161,581,537	280,158	1,332,035,245
8	Warrants	3	24,251,230	110	146,549,614
9	Mutual Fund Units (Trase)	27,997	129,008,567	154,616	976,803,936
	Total	621,261	10,404,784,032	3,794,986	90,046,008,635

Performance Summary

INVESTORS

Month - Year	Client Accounts
	No. of Accounts (lakhs)
Sep-13	129.19
Sep-14	133.87
Sep-15	141.06

PARTICIPANTS

Month - Year	No. of Participants	Service Centres	Cities / Towns
Sep-13	280	14,348	1,538
Sep-14	273	14,319	1,553
Sep-15	270	17,711	1,677

DEMATERIALISATION

Month - Year	No. of Dematerialised Securities (Cr.)	Value of Dematerialised Securities (₹ Cr.)
Sep-13	72,880	76,79,090
Sep-14	86,185	107,18,010
Sep-15	99,587	115,06,522

SETTLEMENT (LISTED EQUITY SHARES)

Month - Year	Quantity of shares settled in dematerialised form (Cr.)	Value of shares settled in dematerialised form (₹ Cr.)
Sep-13	583	1,22,287
Sep-14	929	1,81,635
Sep-15	680	1,57,241

(Single Side)

EQUITY

Month - Year	No. of Companies Operational
Sep-13	11,416
Sep-14	13,050
Sep-15	14,781

Companies

DEBENTURES / BONDS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (₹ Cr.)
Sep-13	812	8,983	13,36,133
Sep-14	1,004	10,099	15,45,213
Sep-15	1,231	12,206	18,51,891

SECURITISED INSTRUMENTS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (₹ Cr.)
Sep-13	622	931	59,880
Sep-14	855	1,202	1,17,757
Sep-15	1,063	1,419	1,29,554

COMMERCIAL PAPERS

Month - Year	No. of Issuers	No. of active instruments	Demat Value (₹ Cr.)
Sep-13	165	1,040	1,01,798
Sep-14	244	1,642	2,12,255
Sep-15	349	1,966	3,04,859

CERTIFICATES OF DEPOSIT

Month - Year	No. of Issuers	No. of active instruments	Demat Value (₹ Cr.)
Sep-13	41	1,343	3,59,284
Sep-14	40	1,302	3,24,714
Sep-15	34	574	2,11,785

Securities admitted for Dematerialisation during September 2015

Sr. No.	COMPANY	ISIN
1	ACE Housing and Construction Limited	INE139T01018
2	ACME Magadh Solar Power Private Limited	INE492T01011
3	ACME Nalanda Solar Power Private Limited	INE493T01019
4	ACME Solar Rooftop Systems Private Limited	INE500T01011
5	Adithya Aquaculture Limited	INE373T01013
6	Agarwal Packers and Movers Limited	INE518T01013
7	Ancient Leasing Finance and Investment Company Limited	INE124T01010
8	Aris International Limited	INE588E01026
9	Aura Power Private Limited	INE547T01012
10	Avant Garde Power Solutions Private Limited	INE420T01012
11	Avenue Supermarts Limited	INE192R01011
12	Azure Clean Energy Private Limited	INE497T01010
13	Azure Photovoltaic Private Limited	INE482T01012
14	Azure Power (Raj.) Private Limited	INE485T01015
15	Azure Power Makemake Private Limited	INE523T01013
16	Azure Sunrise Private Limited	INE481T01014
17	Baidyanath Power Private Limited	INE498T01018
18	Baleshwar Kharagpur Expressway Limited	INE521T01017
19	Bella Casa Fashion & Retail Limited	INE344T01014
20	Bengal Intelligent Parks Private Limited	INE426T01019
21	Boulevard Projects Private Limited	INE495T01014
22	BVR Malls Private Limited	INE484T01018
23	Camson Seeds Limited	INE494T01017
24	Capital Vehicles Sales Limited	INE478T01010
25	Celerity Infrastructure Private Limited	INE486T01013
26	Centralab Healthcare Services Private Limited	INE409T01015
27	Cetex Petrochemicals Limited	INE402T01010
28	Channelplay Limited	INE508T01014
29	CHW Forge Pvt Ltd	INE205N01010
30	Clariant India Limited	INE517T01015

Sr. No.	COMPANY	ISIN
31	Cranes Developers Private Limited	INE461T01016
32	Cremica Food Industries Limited	INE404T01016
33	Dayakara Solar Power Private Limited	INE489T01017
34	DBL Hata-Dargawon Tollways Limited	INE424T01014
35	DBL Patan Rehli Tollways Limited	INE423T01016
36	Delhi Warehousing Private Limited	INE531T01016
37	Devarahipparigi Wind Power Private Limited	INE505T01010
38	Devnandan Builders Private Limited	INE430T01011
39	Devnandan Infracon Private Limited	INE431T01019
40	E Complex Private Limited	INE799R01013
41	Embassy Industrial Parks Chennai Private Limited	INE412T01019
42	Emerald Jewellery Retail Limited	INE475T01016
43	Encompass Design India Private Limited	INE433T01015
44	Essel Infraprojects Limited	INE498F01017
45	Etco Industries Private Limited	INE545T01016
46	ETechAces Marketing and Consulting Private Limited	INE417T01018
47	Expert Global E- Commerce Solutions Private Limited	INE462T01014
48	Fasttrack Housing Finance Private Limited	INE401T01012
49	Fawn Trade and Travels Private Limited	INE532T01014
50	Feedback Infra Private Limited	INE563M01014
51	First Energy Private Limited	INE460T01018
52	Fortis La Femme Limited	INE411T01011
53	Gadgil Diamonds Private Limited	INE419T01014
54	Ghatge Patil Industries Limited	INE206T01015
55	Goel Scientific Glass Works Limited	INE410T01013
56	Gracious Vanijya Limited	INE405T01013
57	Grahati Solar Energy Private Limited	INE490T01015
58	Guardian Promoters and Developers Private Limited	INE434T01013
59	Hiranandani Healthcare Private Limited	INE414T01015
60	Jalpa Devi Tollways Limited	INE422T01018

Sr. No.	COMPANY	ISIN
61	Jattashankar Industries Limited	INE722N01014
62	JBM Homes Private Limited	INE483T01010
63	Jindal Stainless (Hisar) Limited	INE455T01018
64	Joghali Wind Energy Private Limited	INE514T01012
65	Kamron Laboratories Limited	INE276T01018
66	Khandke Wind Energy Private Limited	INE419001015
67	Kherapati Vanijya Limited	INE368T01013
68	Lanco Solar Energy Private Limited	INE487T01011
69	Lupin Holdings Private Limited	INE537T01013
70	Lushan Developers and Traders Private Limited	INE520T01019
71	Mahidad Wind Energy Private Limited	INE513T01014
72	Manipal Cure and Care Private Limited	INE413T01017
73	Memg Holdings Private Limited	INE416T01010
74	MGF Automobiles Limited	INE477T01012
75	Mid-City Superstructures Private Limited	INE468T01011
76	Mihit Solar Power Private Limited	INE491T01013
77	Moradabad Bareilly Expressway Limited	INE447T01015
78	Morn Media Limited	INE343T01016
79	MP Border Checkpost Development Company Limited	INE446T01017
80	Mytrah Vayu (Som) Private Limited	INE467T01013
81	Narayana Learning Private Limited	INE522T01015
82	Navigant Corporate Advisors Limited	INE364T01012
83	Neemrana Hotels Private Limited	INE533T01012
84	Ostro Madhya Wind Private Limited	INE450T01019
85	Palvai Green Power Private Limited	INE546T01014
86	Palvai Solar Energy Private Limited	INE548T01010
87	Patdiam Jewellery Limited	INE473T01011
88	Perfect Engineering Products Limited	INE530T01018
89	Pune Sholapur Road Development Company Limited	INE451T01017
90	Quality Needles Private Limited	INE432T01017
91	Rahas Investments Private Limited	INE538T01011
92	Reliance Jio Digital Services Private Limited	INE506T01018
93	Reliance Jio Infratel Private Limited	INE507T01016

Sr. No.	COMPANY	ISIN
94	Reliance Jio Media Private Limited	INE418T01016
95	Riverbank Developers Private Limited	INE539S01011
96	Rotographics (India) Limited	INE364S01014
97	Rotomag Motors and Controls Private Limited	INE408T01017
98	Sanjay Construction and Finance Pvt Ltd	INE437T01016
99	Sanmina-SCI Technology India Private Limited	INE421T01010
100	SasMos HET Technologies Limited	INE436T01018
101	Shakumbhri Pulp and Paper Mills Limited	INE509T01012
102	Shoden Developers Private Limited	INE504T01013
103	Shriline Properties Private Limited	INE974S01010
104	Shriprop Dwellers Private Limited	INE512T01016
105	Sikar Bikaner Highway Limited	INE445T01019
106	Silver Jubilee Traveller Limited	INE515T01019
107	Speedon Network Limited	INE403T01018
108	Star Agriwarehousing and Collateral Management Limited	INE438T01014
109	Sterioplast Private Limited	INE488T01019
110	Supernus Property Development Services Private Limited	INE435T01010
111	Synchem Investments Private Limited	INE536T01015
112	Taal Enterprises Limited	INE524T01011
113	Three C Shelters Private Limited	INE496T01012
114	Total Hospitality Limited	INE109E01013
115	Umbel Properties Private Limited	INE415T01012
116	Vantage Knowledge Academy Limited	INE427T01017
117	Vastu Housing Finance Corporation Limited	INE459T01010
118	Vectus Industries Limited	INE407T01019
119	Vishwatma Solar Energy Private Limited	INE454T01011
120	Visioned Investments Private Limited	INE540T01017
121	Wellness Forever Medicare Private Limited	INE449T01011
122	Welterman International Limited	INE662D01013
123	Yuvika Properties Private Limited	INE499T01016
124	Zyma Laboratories Limited	INE539T01019

NSDL Calendar of Events

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.
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 and 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 5th Floor, The Millenium, Flat No. 5W, 235 / 2A, Acharya Jagdish Chandra Bose Road, Kolkata - 700020 Tel: (033) 22814661 / 62, Fax: (033) 22891945	New Delhi 409 / 410, Ashoka Estate Building, 4th Floor, Barakhamba Road, Connaught Place, New Delhi - 110001 Tel: (011) 23353815 / 17, Fax: (011) 23353756	

Investor Relationship Cell

Officer-In-Charge,
 National Securities Depository Ltd.
 4th Floor, 'A' Wing, Trade World, Kamala Mills Compound,
 Senapati Bapat Marg, Lower Parel, Mumbai - 400013
 Tel: (022) 24994200 / 40904200
 Fax: (022) 24976351
 Email: relations@nsdl.co.in

NSDL Certification Programme

Officer-In-Charge,
 National Securities Depository Ltd.
 4th Floor, 'A' Wing, Trade World, Kamala Mills Compound,
 Senapati Bapat Marg, Lower Parel, Mumbai - 400013
 Tel: (022) 24994200 / 40904200
 Fax: (022) 24976351
 Email: trainingdept@nsdl.co.in

For more information, email us at info@nsdl.co.in