

NSDL Update

June 2023

News

1. Submission of networth certificate and/or audited financial statements by DPs registered in all Categories

Participants are required to submit a copy of audited financial statements within six months from the end of the financial year. Participants registered in all Categories i.e. Bank; Foreign Bank; Financial Services Company; Clearing Corporation/ Clearing House, Custodian, Registrar and Transfer Agent, Stock Brokers, NBFC, etc. shall be required to submit Networth Certificate along with Audited Financial Statements due for submissions for financial year 2022-2023 onwards.

Further, Participants registered under category of Bank and Foreign Bank may submit the net worth certificate in the prescribed format in which they submit to their respective Regulatory Authority.

Reference : Circular No. [NSDL/POLICY/2023/0069](https://www.nsdl.co.in/Policy/2023/0069) dated June 16, 2023 available on [NSDL website](https://www.nsdl.co.in/)

2. Upstreaming of clients' funds by Stock Brokers (SBs) / Clearing Members (CMs) to Clearing Corporations (CCs)

Participants are hereby informed that DPM system will be enhanced to facilitate Participants to open demat account in respect of Stock Brokers Client Nodal MFOS Account. The following new client sub-types will be made available in the Client Maintenance module of DPM system through the Local DPM version release.

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| Performance Summary | |
|-------------------------------|--------------------|
| Particulars | As on May 31, 2023 |
| Investor Accounts | 3,19,90,873 |
| Participants | 283 |
| Participant service centres | 59,668 |
| Demat Custody | ₹324.94 Lakh Crore |
| Settlement Value | ₹4.20 Lakh Crore |
| Companies available for demat | 41,517 |
| Number of Instruments | |
| Certificates of Deposit | 342 |
| Commercial Paper | 1,713 |
| Debentures/Bonds | 21,386 |
| Securitized Instruments | 3,862 |

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| Account Category | Client Type | Client Type Code | New Client Sub - Type Description | New Client Sub - Type Code |
|------------------|--------------|------------------|-----------------------------------|----------------------------|
| Individuals | Stock Broker | 19 | TM - Client Nodal MFOS Account | 7 |
| Individuals | Stock Broker | 19 | CM - Client Nodal MFOS Account | 8 |
| Individuals | Stock Broker | 19 | TM/CM - Client Nodal MFOS Account | 9 |
| Corporates | Stock Broker | 20 | TM - Client Nodal MFOS Account | 8 |
| Corporates | Stock Broker | 20 | CM - Client Nodal MFOS Account | 9 |
| Corporates | Stock Broker | 20 | TM/CM - Client Nodal MFOS Account | 10 |

If TM/CM opts to open the 'Client Nodal MFOS Account' with a Participant with whom the TM/CM has an existing TM/CM account, then a consent form in a prescribed format needs to be obtained by Participant from TM/CM. However, if TM/CM opts to open 'Client Nodal MFOS Account' with a Participant with whom TM/CM does not have an existing TM/CM account, then TM/CM will be required to follow the complete procedure of account opening as per prescribed guidelines.

If TM/CM has existing account with Participant and opted SPEED-e facility for same, then TM/CM can opt SPEED-e facility for 'Client Nodal MFOS Account' by mentioning Y for SPEED-e facility required in consent form. Participant are required to create user ids in SPEED-e login of Participant as per details available in existing account. For mapping of DSC, participants are required to send email to NSDL in a prescribed format to speede@nsdl.co.in

The operating guidelines in respect of "Client Nodal MFOS Account" will be provided to Participants separately.

Reference : Circular No. [NSDL/POLICY/2023/0068](#) dated June 14, 2023 available on [NSDL website](#)

3. Addition of New Off-market Transfer Reason Code

NSDL has introduced the following new off-market transfer reason code in DPM system.

| New Reason Code | New Reason Code description |
|-----------------|--|
| 31 | Transfer From/To for Tri-party Repo Collateral |

Reference : Circular No. [NSDL/POLICY/2023/0065](#) dated June 12, 2023 available on [NSDL website](#)

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4. Submission of VAPT report

Participants need to ensure that the VAPT be carried out and completed during the period '**September to November**' of every financial year and the final report on said VAPT shall be submitted to NSDL within one month from the date of completion of VAPT after approval from Technology Committee.

Reference : Circular No. [NSDL/POLICY/2023/0064](#) dated June 12, 2023 available on [NSDL website](#)

5. Comprehensive guidelines for Investor Protection Fund and Investor Services Fund at Stock Exchanges and Depositories

SEBI vide its Circular No. SEBI/HO/MRD/MRD-PoD-3/P/CIR/2023/81 dated May 30, 2023 has issued Comprehensive guidelines for Investor Protection Fund and Investor Services Fund at Stock Exchanges and Depositories.

Participants are requested to take note of it and inform their clients suitably.

Reference : Further details is mentioned in Circular No. [NSDL/POLICY/2023/0062](#) dated June 6, 2023 available on [NSDL website](#).

6. Master Circular for Electronic Gold Receipts (EGRs)

SEBI has been issuing various Circulars from time to time for specifying the framework of EGRs, its risk management, Standard Operating Guidelines for Vault Managers & Depositories, etc. In order to enable the stakeholders to have access to all the provisions mentioned in these circulars at one place, the provisions of the said circulars are incorporated in this Master Circular for EGRs. It covers various circulars issued on EGR till March 31, 2023.

Reference : Further details is mentioned in Circular No. [NSDL/POLICY/2023/0061](#) dated June 02, 2023 available on [NSDL website](#).

7. Risk disclosure with respect to trading by individual traders in Equity Futures & Options Segment

With a view to facilitating informed decision making by the investors trading in derivatives segment, SEBI has decided to introduce 'Risk disclosures' with respect to trading in equity Futures & Options (F&O) segment.

Accordingly, all stock brokers shall display the '**Risk disclosures**' as given by SEBI in a prescribed format on their websites and to all their clients in the manner as specified below:

Upon login into their trading accounts with brokers, the clients may be prompted to read the 'Risk disclosures' (which may appear as a pop-up window upon login) and shall be allowed to proceed ahead only after acknowledging the same.

The 'Risk disclosures' shall be displayed prominently, covering at least 50 percent area of the screen.

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All Qualified Stock Brokers (QSBs) shall maintain the Profit and Loss (P&L) data of their clients on continuous basis as per the prescribed format. The P&L data of the clients shall be retained for at least 5 years.

Applicability : The provisions of this circular shall come into force with effect from July 01, 2023.

Reference : Circular No. [NSDL/POLICY/2023/0060](#) dated May 31, 2023 available on [NSDL website](#).

8. Master Circular for Custodians

Designated Depository Participants (DDPs)/Custodians are requested to take note of SEBI circular on Master Circular for Custodians, SEBI Circular no. SEBI/HO/AFD/AFD -PoD/P/CIR/2023/ 063 dated April 27, 2023. In addition to the requirements specified under this Master Circular, the custodians shall be required to independently comply with the other requirements specified by SEBI for market intermediaries such as the 'Levy of Goods & Services Tax (GST) on the fees payable to SEBI', 'Approach to securities market data access and terms of usage of data provided by data sources in Indian securities market', 'Digital mode of payment', 'Information regarding Grievance Redressal Mechanism' and 'Guidelines on Outsourcing of Activities by Intermediaries', etc.

With respect to any other directions or guidance issued by SEBI, as specifically applicable to Custodians, the same shall continue to remain in force in addition to the provisions of this Master Circular or any other law for the time being in force.

Reference : Further details is mentioned in Circular No. [NSDL/POLICY/DDP/2023/0002](#) dated May 26, 2023 available on [NSDL website](#).

Key Information for Investors

Investor Grievance Redressal Mechanism

1. SEBI Master Circular on the redressal of investor grievances through the SEBI Complaints Redress System (SCORES) platform dated November 7, 2022

Investors can access the master circular with the below link [SEBI | Master Circular on the redressal of investor grievances through the SEBI Complaints Redress System \(SCORES\) platform](#)

2. We encourage investors to Read '**Investor Charter**' at https://nsdl.co.in/publications/investor_charter.php
3. Online web-based complaints redressal system of NSDL can be accessed via link <https://nsdl.co.in/nsdlnews/investors.php> (**Post your complaints/queries to NSDL**)
4. **Lodge your complaint** with SEBI at www.scores.gov.in/ or SEBI Mobile App - SCORES






- **SEBI Toll free helpline** - 18002667575 / 1800227575
- **NSDL email for grievance** - relations@nsdl.com

- **NSDL helpline** - 022-48867000 / 022-24997000
- **NSDL email for other information** - info@nsdl.com

NSDL Update

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NSDL on Social Media

NSDL is now present on Facebook, Twitter, Instagram, LinkedIn and YouTube. We invite all our esteemed readers to join us by clicking on the below icons.     

**For Securities admitted for dematerialisation during May 2023,
visit https://nsdl.co.in/securities_admitted_for_dematerialisation.php**

**For List of Companies which changed Name during May 2023,
visit <https://nsdl.co.in/list-comchange.php>**

Corporate Action Statistics - May 2023

| Sr. No. | Description | During May 2023 | | For F.Y. 2023 - 24 (Upto May 2023) | |
|---------|---------------------------------|------------------|------------------------|------------------------------------|--------------------------|
| | | No. of Allottees | No. of Securities | No. of Allottees | No. of Securities |
| 1 | Equity Shares | 9,01,983 | 17,07,95,05,247 | 14,47,035 | 49,75,37,40,350 |
| 2 | Preference Shares | 158 | 5,75,72,59,935 | 14,589 | 8,99,10,17,704 |
| 3 | Bonds | 15,614 | 18,44,87,51,592 | 26,979 | 30,11,18,77,146 |
| 4 | Commercial Papers | 733 | 23,62,506 | 1,587 | 48,89,279 |
| 5 | Certificates of Deposit | 291 | 12,48,800 | 824 | 34,73,510 |
| 6 | Securitised Instruments | 151 | 13,64,92,78,600 | 251 | 43,38,49,35,228 |
| 7 | Mutual Fund Units | 5,02,998 | 30,81,67,600 | 8,93,528 | 1,30,54,58,128 |
| 8 | Government Securities | 1,257 | 1,83,68,109 | 31,099 | 4,83,09,138 |
| 9 | Warrants | 33 | 3,49,75,580 | 1,185 | 2,91,41,95,046 |
| 10 | Mutual Fund Units (Trase) | 1,09,705 | 58,19,81,127 | 2,34,505 | 2,59,45,81,067 |
| 11 | Infrastructure Investment Trust | 6 | 25,67,92,573 | 18 | 92,54,38,644 |
| 12 | Real Estate Investment Fund | 10,365 | 1,69,49,36,705 | 10,365 | 1,69,49,36,705 |
| 13 | Rights Entitlements | 10,192 | 12,17,75,652 | 36,750 | 19,56,43,283 |
| | Total | 15,53,486 | 57,95,54,04,026 | 26,98,715 | 1,41,92,84,95,183 |

Forthcoming Compliance

| Particulars | Deadline | Manner of sending | Reference |
|-------------------------------------|---|-------------------|---|
| Investor Grievance Report (Monthly) | By the 10 th of the following month. | Through e-PASS | Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015 |

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Performance Summary

| Investors | |
|--------------|------------------------|
| Month - Year | No. of Accounts (Lakh) |
| May - 2021 | 221.56 |
| May - 2022 | 276.10 |
| May - 2023 | 319.90 |

| Participants | | | |
|--------------|---------------------|-----------------|--------------|
| Month-Year | No. of Participants | Service Centres | Cities/Towns |
| May - 2021 | 277 | 36,123 | 1,985 |
| May - 2022 | 277 | 57,112 | 2,037 |
| May - 2023 | 283 | 59,668 | 2,039 |

| Dematerialisation | | |
|-------------------|--|--|
| Month - Year | No. of Dematerialised Securities (Crore) | Value of Dematerialised Securities (₹ Crore) |
| May - 2021 | 2,53,720 | 2,61,06,952 |
| May - 2022 | 2,85,496 | 2,97,54,855 |
| May - 2023 | 3,30,427 | 3,24,94,958 |

| Settlement | | |
|--------------|---|--|
| Month - Year | Quantity of Shares settled in Dematerialized Form (Crore) | Value of Shares settled in Dematerialized Form (₹ Crore) |
| May - 2021 | 1,870 | 4,43,704 |
| May - 2022 | 1,299 | 4,15,995 |
| May - 2023 | 1,359 | 4,20,909 |

Companies

| Equity | |
|--------------|------------------------------|
| Month - Year | No. of Companies Operational |
| May - 2021 | 34,659 |
| May - 2022 | 38,115 |
| May - 2023 | 41,517 |

| Debentures/Bonds | | | |
|------------------|----------------|---------------------------|-----------------------|
| Month - Year | No. of Issuers | No. of active instruments | Demat Value (₹ Crore) |
| May - 2021 | 3,252 | 18,541 | 37,49,144 |
| May - 2022 | 3,561 | 19,533 | 38,57,094 |
| May - 2023 | 3,872 | 21,386 | 41,87,069 |

| Securitised Instruments | | | |
|-------------------------|----------------|---------------------------|-----------------------|
| Month - Year | No. of Issuers | No. of active instruments | Demat Value (₹ Crore) |
| May - 2021 | 2,821 | 3,486 | 2,97,008 |
| May - 2022 | 2,919 | 3,588 | 3,14,747 |
| May - 2023 | 3,089 | 3,862 | 3,32,645 |

| Commercial Paper | | | |
|------------------|----------------|---------------------------|-----------------------|
| Month - Year | No. of Issuers | No. of active instruments | Demat Value (₹ Crore) |
| May - 2021 | 319 | 1,573 | 4,92,680 |
| May - 2022 | 298 | 1,685 | 4,53,531 |
| May - 2023 | 267 | 1,713 | 4,59,782 |

| Certificates of Deposit | | | |
|-------------------------|----------------|---------------------------|-----------------------|
| Month - Year | No. of Issuers | No. of active instruments | Demat Value (₹ Crore) |
| May - 2021 | 26 | 174 | 1,15,070 |
| May - 2022 | 26 | 249 | 2,50,545 |
| May - 2023 | 33 | 342 | 3,89,935 |

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Hurry!! Nominate Your Loved Ones in your demat account by September 30, 2023

Nominate Karo - Surakshit, Samajhdaar, aur Atmanirbhar Niveshak Bano !





Hurry!! Last date is
30th September, 2023

NOMINATE YOUR LOVED ONES TODAY!!

Opting-in/Opting-out of nomination is mandatory in your Demat Account to avoid your account becoming inactive





SCAN TO
KNOW
MORE



SCAN TO
NOMINATE
ONLINE*

*Applicable to single demat account holder (Resident Individual) who have not opted-in/opted-out for Nomination in their demat account.

www.nsdl.co.in

Follow us on: 

Update your email ID & income range in your demat account

Be a Surakshit, Samajhdaar aur Atmanirbhar Niveshak





Update your email ID & income range in your demat account

Dear Investor,

If your demat account has been frozen due to non-update of email ID and income range, kindly update the details in **3 easy steps**

Step 1 - Visit <https://eservices.nsdl.com/kyc-attributes/#/login>, Enter DP ID, Client ID & PAN. Submit OTP

Step 2 - Update email ID / income range

Step 3 - e-Sign



Scan to know the procedure



Or

★ Download NSDL Speede Mobile App to update your email ID & income range



Play Store



App Store

Or

★ Visit your Depository Participant (DP) to update email ID and income range

www.nsdl.co.in

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Be a Prudent Investor – Consult a SEBI Registered Investment Advisor and Do Your Own Homework Before Investing

NSDL Head Office

Trade World, A-wing, 4th Floor, Kamala mills Compound, Lower Parel Mumbai - 400013
022-48867000 / 022-24997000

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