

Chapter 1 - Dematerialisation and Rematerialisation

Annexure A

Pattern of holding at the time of rematerialisation

At the time of rematerialisation of securities the securities shall be issued to the persons as per the pattern of holdings in the account of the Participant from which such securities are rematerialised. This can be explained as follows:

1. **In case of rematerialisation of securities from the account held solely in the name of A:-**
These securities shall only be issued in the name of A. They cannot be issued in the names of A and any other person.
2. **In case of rematerialisation of securities from the account held jointly by A and B:-**
These securities shall only be issued in the names of A and B and cannot be issued in the individual name of A or B or any other persons including A and/ or B (eg. Issue of the securities in the joint names of A,B,C and D). The issue of such securities in the joint names of A and B also depends on the order in which the names of the persons appear in the accounts held with the Participant from which such securities have been rematerialised. The order of such names and manner could either be; or
 - a) **A is the first holder and B the second holder:-**
In this case the securities can only be issued in the joint names of A and B in which A is the first security holder and B is the second security holder. It cannot be issued in the joint names of A and B where B is shown as the first security holder.
 - b) **B is the first holder and A the second holder:-**
In this case the securities can only be issued in the joint names of A and B in which B is the first security holder and A is the second security holder. It cannot be issued in the joint names of A and B where A is shown as the first security holder.

Annexure B

REPURCHASE / REDEMPTION FORM

Participant's Name, Address & DP ID
(Pre-printed)

Serial No (Pre Printed)

Date : _____

I/We offer the below mentioned securities for repurchase/ redemption and declare that my/our account be debited by the number of securities to the extent of my/our repurchase/ redemption request and make the payment as per the bank account details available in the depository system. I/We hereby declare that the below mentioned person(s) are the beneficial owners of the securities mentioned.

Client ID								
Sole / First Holder Name								
Second Holder Name								
Third Holder Name								
Type of Security	MF Units / Others (please specify)							

ISIN	Mutual Fund / Issuer Name	All Units/No. of Units/Amount (₹) (Please mention as applicable)	RRN (Repurchase / Redemption Request Number) (To be filled in by Participant)
		Units	
		Amount	
		Units	
		Amount	
		Units	
		Amount	

Note : 1. In case the space is found to be insufficient, a duly signed annexure containing therefore said details in the same format may be attached.

2. If 'Units' and 'Amount' both are mentioned, the request will be processed based on the 'Units'

3. 'All' and 'Amount based' options are available only for redemption requests

Holder (s)	Signature(s)
First/ Sole Holder	
Second Holder	
Third Holder	

Acknowledgement

Serial No (pre-printed)

We hereby acknowledge the receipt of following request(s) for repurchase / redemption from Mr/Ms/M/s _____ having DP ID _____ and Client ID _____.

ISIN	Mutual Fund / Issuer Name	All Units/No. of Units/Amount (₹) (Please mention as applicable)
		Units

		Amount
		Units
		Amount
		Units
		Amount

Name of the Official :

Participant's Stamp & Date

Signature :

Chapter 3- Commercial Papers

Annexure A

Request from IPA for extinguishment of CPs on redemption

(To be submitted on the letterhead of the IPA)

Date: _____

To

Vice President

Issuer Interface Department

National Securities Depository Ltd.

3rd – 7th Floor, Naman Chambers,

Plot C32, G - Block,

Bandra Kurla Complex, Bandra (E),

Mumbai – 400 051

Dear Sir,

Sub: Redemption of Commercial Paper

We hereby certify that _____ (Name of the Issuer) _____, the Issuer has appointed us as the Issuing and Paying Agent (IPA) for the CP under reference and have entered into a valid IPA agreement with us.

For redemption of the CP issued under reference, we have been authorized by _____ (Name of the Issuer) _____, the Issuer to make a request to NSDL to extinguish the CPs from investor's accounts as a debit corporate action after fully redeeming the CPs.

We hereby confirm that all the necessary redemption payments have been made to the beneficiaries of CP under reference.

We therefore request you to extinguish the CP with below mentioned details from the beneficiary holders' accounts:

ISIN		
Date of Maturity (Date of Extinguishment)		
Reason for Extinguishment (tick any one as applicable)	<input type="checkbox"/> Full Redemption (De-activate ISIN after redemption) <input type="checkbox"/> Partial Redemption	
Redemption details	Number of records (with CP holdings)	Number of securities (Quantity)
In NSDL		
In CDSL		
Total		

Yours faithfully

For (name of IPA)

Name of the authorised signatory

Designation of the authorised signatory

Chapter 7 - Beneficiary Position Statement (BENPOS)

Operational guidelines for Transmission of Securities in Joint Demat Accounts i.e. deletion of name.

1. In case of death of the holder(s) in joint demat account, the surviving holder (s) may opt to continue the existing demat account by deleting the name of deceased account holder(s) from the demat account, by submitting a specific request along with the original death certificate or copy of death certificate attested by the joint account holder(s) subject to verification with the original or copy of the death certificate duly attested by a notary public or by a gazetted officer or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority.
2. In case, If the surviving holder(s) fails to submit above mentioned request **within one year** of the date of demise, a new demat account shall be opened by the surviving account holder(s) to execute transmission as per the existing procedure.
3. If case the first holder is deceased in the demat account:
 - a. The deletion of name of first holder in demat account shall make second holder as first holder and third holder if any as second holder in the demat account.
 - b. All the available details of second holder i.e Name, Father's / Spouse's Name, PAN, Mobile Number, email ID, Date of Birth, Family Flag, SMS Flag, PAN Flag etc., will be replaced in the place of first holder. Participants are advised to review the details and update if any changes in the details.
 - c. Further, Participants are advised to update the Local address and correspondence address, Bank account details, signatory details, POA/DDPI details, etc. in the first holder details.
 - d. IDeAS / SPEED-e Login details of first holders will be deleted/de-activated, the next first holder shall receive the email from NSDL for registration of IDeAS / SPEED-e facility.
4. If case the second holder is deceased in the demat account:
 - i) In case joint demat account is having two holders and the second holder is deceased, the available details of second holder will be deleted.
 - ii) In case joint demat account is having three holders, the deletion of name of second holder shall make third holder as second holder.
 - iii) All the available details of third holder i.e. Name, Father's / Spouse's Name, PAN, Mobile Number, email ID, Date of Birth, Family Flag, SMS Flag, PAN Flag etc., will be replaced in the place of second holder. Participants are advised to review the details and update if any changes in the details.
 - iv) There will be no change in first holder details.
5. If case the third holder is deceased in the demat account:

- a. There will be no change in the first and second holder details.
- b. The available details of third holder will be deleted.
6. The above facility shall be applicable for **individual client demat accounts** (without pledged securities / on hold securities).
7. In case the demat account has pending requests i.e. demat / remat / conversion / re-conversion/ re-purchase/tender-offer etc., Participants shall process the requests for deletion of name. However, monitoring of all such pending requests if any, shall be done by the surviving client(s).
8. The Participant shall verify the documents submitted and the signature of surviving Client(s), after being fully satisfied on all aspects, shall then effect the deletion of name.
9. Participants send intimation to clients after deletion of name in demat accounts

Chapter 5 - Transfer of Shares to Demat Account of IEPF Authority

Annexure A

CA Upload for Transfer to IEPF Authority
Investors holding Demat Account with DP of NSDL

Header Record "01"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	01
FILE IDENTIFICATION	CHARACTER	M	7	9	SHRI001
RTA INTERNAL REFERENCE NUMBER	INTEGER	M	16	25	
CREDIT ISIN	CHARACTER	M	12	37	Credit ISIN and Debit ISIN should be same
DEBIT ISIN	CHARACTER	M	12	49	Credit ISIN and Debit ISIN should be same
CA TYPE	INTEGER	M	4	53	0032 (Transfer to IEPF Authority - NSDL)
BOARD APPROVAL DATE	DATE	M	8	61	YYYYMMDD

CA DESCRIPTION	CHARACTER	M	4	65	0078 (Transfer to IEPF Authority)
EXECUTION DATE	DATE	M	8	73	YYYYMMDD
TOTAL CREDIT QUANTITY (FREE + LOCK-IN+ BLOCK)	DECIMAL	M	18	91	(Decimal 15, 3) Total Qty to be Credited in IEPF Demat Account
TOTAL DEBIT QUANTITY (FREE + LOCK-IN+ BLOCK)	DECIMAL	M	18	109	(Decimal 15, 3) Total Qty to be Debited from Client Account
TOTAL CREDIT QUANTITY (LOCK-IN)	DECIMAL	M	18	127	(Decimal 15, 3)
TOTAL DEBIT QUANTITY (LOCK-IN)	DECIMAL	M	18	145	(Decimal 15, 3)
TOTAL NUMBER OF (02) DETAIL RECORDS	INTEGER	M	7	152	
CIN / BCIN NUMBER	CHARACTER	M	21	173	
FINANCIAL YEAR TO WHICH THE AMOUNT RELATES	CHARACTER	M	7	180	YYYY-YY (E.g. 2008-09 for the financial year 2008-09)

Detail Record "02"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	02
DETAIL RECORD LINE NUMBER	INTEGER	M	7	9	
CREDIT DP ID	CHARACTER	M	8	17	IEPF Demat Account
CREDIT CLIENT ID	INTEGER	M	8	25	IEPF Demat Account
CREDIT CLIENT ACCOUNT CATEGORY	INTEGER	M	2	27	11-Non House
DEBIT DP ID	CHARACTER	M	8	35	
DEBIT CLIENT ID	INTEGER	M	8	43	
DEBIT CLIENT ACCOUNT CATEGORY	INTEGER	M	2	45	10-House 11-Non House
CREDIT QUANTITY	DECIMAL	M	18	63	(Decimal 15, 3) Qty to be credited to IEPF Authority Account
DEBIT QUANTITY	DECIMAL	M	18	81	(Decimal 15, 3) Qty to be debited in NSDL

CREDIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	83	00 in case of Free Position. Code must be valid.
CREDIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	91	Spaces in case of Free Position. Format "YYYYMMDD" This date should be same as Debit Qty Lock-in Release Date
DEBIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	93	00 in case of Free Position. Code must be valid NSDL Code
DEBIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	101	Spaces in case of Free Position. Format "YYYYMMDD" This date should be same as Credit Qty Lock-in Release Date

Response File(*.out file)

Header Record

Description	Data Type	Status	Size	End	Remarks
BATCH NUMBER	INTEGER	M	8	8	
RECORD TYPE	INTEGER	M	2	10	01 – Header
RTA INTERNAL REFERENCE NUMBER	CHARACTER	M	16	26	
SR BP ID	CHARACTER	M	8	34	
TOTAL NUMBER OF RECORDS MENTIONED IN HEADER	INTEGER	M	7	41	
BATCH STATUS	CHARACTER	M	1	42	A or R
CREDIT/DEBIT/SIMULTANEOUS INDICATOR	CHARACTER	M	1	43	S
BP INSTRUCTION ID	INTEGER	M	14	57	
EXECUTION DATE	CHARACTER	M	8	65	
TOTAL CREDIT QUANTITY	DECIMAL	O	18	83	(Decimal 15, 3)
TOTAL CREDIT ACCEPTED QUANTITY	DECIMAL	O	18	101	(Decimal 15, 3)
TOTAL CREDIT REJECTED QUANTITY	DECIMAL	O	18	119	(Decimal 15, 3)
TOTAL CREDIT LOCK QUANTITY	DECIMAL	O	18	137	(Decimal 15, 3)
TOTAL DEBIT QUANTITY	DECIMAL	O	18	155	(Decimal 15, 3)
TOTAL DEBIT ACCEPTED QUANTITY	DECIMAL	O	18	173	(Decimal 15, 3)

TOTAL DEBIT REJECTED QUANTITY	DECIMAL	O	18	191	(Decimal 15, 3)
TOTAL DEBIT LOCK QUANTITY	DECIMAL		18	209	(Decimal 15, 3)
CURRENT BUSINESS DATE	DATE	M	8	217	
USER ID (IMPORT)	CHARACTER	O	8	225	
FILLER	CHARACTER	O	3	228	

Annexure B

CA Upload for Transfer to IEPF Authority
Investors Holding Demat Account with DP of CDSL

Header Record "01"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	01
FILE IDENTIFICATION	CHARACTER	M	7	9	SHRI001
RTA INTERNAL REFERENCE INTEGER	INTEGER	M	16	25	
CREDIT ISIN	CHARACTER	M	12	37	Credit ISIN
FILLER	CHARACTER	M	12	49	
CA TYPE	INTEGER	M	4	53	0033 (Transfer to IEPF Authority - From CDSL)
BOARD APPROVAL DATE	DATE	M	8	61	YYYYMMDD
CA DESCRIPTION	CHARACTER	M	4	65	0078 (Transfer to IEPF Authority)
EXECUTION DATE	DATE	M	8	73	YYYYMMDD
TOTAL CREDIT QUANTITY (FREE + LOCK-IN)	DECIMAL	M	18	91	(Decimal 15,3) Total Qty to be Credited in IEPF Demat Account
TOTAL DEBIT QUANTITY (FREE + LOCK-IN)	DECIMAL	M	18	109	(Decimal 15,3) Total Qty debited in CDSL
TOTAL CREDIT QUANTITY (LOCK-IN)	DECIMAL	M	18	127	(Decimal 15,3) Total Lock-in Qty to be Credited in IEPF Demat Account
TOTAL DEBIT QUANTITY (LOCK-IN)	DECIMAL	M	18	145	(Decimal 15,3) Total Lock-in Qty debited in CDSL
TOTAL INTEGER OF (02) DETAIL RECORDS	INTEGER	M	7	152	
CIN / BCIN INTEGER	INTEGER	M	21	173	
FINANCIAL YEAR TO WHICH THE AMOUNT RELATES	CHARACTER	M	7	180	YYYY-YY (E.g. 2008-09 for the financial year 2008-09)

Detail Record "02"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	02
DETAIL RECORD LINE INTEGER	INTEGER	M	7	9	
CREDIT DP ID	CHARACTER	M	8	17	IEPF Demat Account
CREDIT CLIENT ID	INTEGER	M	8	25	IEPF Demat Account
CREDIT CLIENT ACCOUNT CATEGORY	INTEGER	M	2	27	11-Non House
DEBIT DP ID & DEBIT CLIENT ID (CDSL)	CHARACTER	M	16	43	16 Digit Debit DP ID Client ID from CDSL
FILLER	CHARACTER	O	2	45	
CREDIT QUANTITY	DECIMAL	M	18	63	(Decimal 15,3) Qty to be credited to IEPF Authority Account
DEBIT QUANTITY	DECIMAL	M	18	81	(Decimal 15,3) Qty debited in CDSL
CREDIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	83	00 In case of Free Position. Code must be valid NSDL Code
CREDIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	91	Spaces In case of Free Position. Format "YYYYMMDD"
DEBIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	93	00 In case of Free Position. Code must be valid NSDL Code
DEBIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	101	Spaces In case of Free Position. Format "YYYYMMDD"
FIRST HOLDER'S NAME	CHARACTER	M	164	265	
SECOND HOLDER'S NAME	CHARACTER	O	164	429	
THIRD HOLDER'S NAME	CHARACTER	O	164	593	
GUARDIAN'S NAME	CHARACTER	O	142	735	
NOMINEE'S NAME	CHARACTER	O	142	877	
FATHER/HUSBAND'S NAME	CHARACTER	O	50	927	
SEX OF SOLE/FIRST HOLDER	CHARACTER	O	1	928	
BIRTH DATE	CHARACTER	O	11	939	
ACCOUNT STATUS	INTEGER	O	2	941	
BO CATEGORY	INTEGER	O	2	943	
BO PRODUCT	INTEGER	O	4	947	

CUSTOMER TYPE	INTEGER	O	2	949	
BO SUB STATUS	INTEGER	O	4	953	
OCCUPATION	CHARACTER	O	4	957	
PAN OF SOLE/FIRST HOLDER	CHARACTER	O	25	982	
PAN OF SECOND HOLDER	CHARACTER	O	25	1007	
PAN OF THIRD HOLDER	CHARACTER	O	25	1032	
FILLER	CHARACTER	O	1	1033	
FILLER	CHARACTER	O	2	1035	
FILLER	CHARACTER	O	1	1036	
A/C OPENING DATE	CHARACTER	M	11	1047	
SEBI REGISTRATION NO	CHARACTER	O	24	1071	
STOCK EXCHANGE ID	INTEGER	O	2	1073	
CLEARING HOUSE / CORPORATION ID	INTEGER	O	6	1079	
CM ID	CHARACTER	O	8	1087	
TRADING ID	CHARACTER	O	8	1095	
RBI REGISTRATION NO.	CHARACTER	O	30	1125	
RBI APPROVAL DATE	CHARACTER	O	11	1136	
TAX DEDUCTION STATUS	INTEGER	O	2	1138	
NATIONALITY	CHARACTER	O	3	1141	
BO CORRESPONDENCE ADDRESS LINE 1	CHARACTER	O	50	1191	
BO CORRESPONDENCE ADDRESS LINE 2	CHARACTER	O	50	1241	
BO CORRESPONDENCE ADDRESS LINE 3	CHARACTER	O	50	1291	
BO CORRESPONDENCE ADDRESS CITY	CHARACTER	O	30	1321	
BO CORRESPONDENCE ADDRESS STATE	CHARACTER	O	30	1351	
BO CORRESPONDENCE ADDRESS COUNTRY	CHARACTER	O	30	1381	
BO CORRESPONDENCE ADDRESS PIN CODE	CHARACTER	O	10	1391	
BO ADDRESS LINE 1 (PERMANENT)	CHARACTER	M	50	1441	

BO ADDRESS LINE 2 (PERMANENT)	CHARACTER	O	50	1491	
BO ADDRESS LINE 3 (PERMANENT)	CHARACTER	O	50	1541	
BO ADDRESS CITY (PERMANENT)	CHARACTER	M	30	1571	
BO ADDRESS STATE (PERMANENT)	CHARACTER	M	30	1601	
BO ADDRESS COUNTRY (PERMANENT)	CHARACTER	M	30	1631	
BO ADDRESS PIN CODE (PERMANENT)	CHARACTER	M	10	1641	
TELEPHONE 1	CHARACTER	O	17	1658	
TELEPHONE 2	CHARACTER	O	17	1675	
BO FAX INTEGER	CHARACTER	O	17	1692	
BO E-MAIL ADDRESS	CHARACTER	O	50	1742	
ECS MANDATE FLAG	CHARACTER	O	1	1743	
DIVIDEND MICR NO.(BANK CODE)	CHARACTER	O	12	1755	
DIVIDEND BANK BRANCH	CHARACTER	O	12	1767	
BANK NAME	CHARACTER	M	100	1867	
BANK ADDRESS LINE 1	CHARACTER	O	40	1907	
BANK ADDRESS LINE 2	CHARACTER	O	40	1947	
BANK ADDRESS LINE 3	CHARACTER	O	40	1987	
BANK ADDRESS CITY	CHARACTER	O	25	2012	
BANK ADDRESS STATE	CHARACTER	O	25	2037	
BANK ADDRESS COUNTRY	CHARACTER	O	25	2062	
BANK ADDRESS ZIP	CHARACTER	O	10	2072	
DIVIDEND BANK CURRENCY	INTEGER	O	6	2078	
DIVIDEND BANK ACCOUNT TYPE	INTEGER	M	5	2083	
DIVIDEND BANK ACCOUNT INTEGER	CHARACTER	M	20	2103	
FILLER	CHARACTER	O	22	2125	
FILLER	CHARACTER	O	22	2147	
FILLER	CHARACTER	O	22	2169	
FILLER	CHARACTER	O	22	2191	
FILLER	CHARACTER	O	22	2213	

FILLER	CHARACTER	O	22	2235	
FILLER	CHARACTER	O	22	2257	
FILLER	CHARACTER	O	22	2279	
FILLER	CHARACTER	O	22	2301	
FILLER	CHARACTER	O	8	2309	
FILLER	CHARACTER	O	22	2331	
FILLER	CHARACTER	O	22	2353	
ANNUAL REPORT FLAG	CHARACTER	O	1	2354	
UID OF FIRST HOLDER	CHARACTER	O	12	2366	
UID OF SECOND HOLDER	CHARACTER	O	12	2378	
UID OF THIRD HOLDER	CHARACTER	O	12	2390	
PAN OF GUARDIAN	CHARACTER	O	10	2400	
UID OF GUARDIAN	CHARACTER	O	12	2412	
FILLER	CHARACTER	O	25	2437	
FILLER	CHARACTER	O	25	2462	
FILLER	CHARACTER	O	25	2487	
FILLER	CHARACTER	O	25	2512	
FILLER	CHARACTER	O	25	2537	
BO RGESS FLAG	CHARACTER	O	1	2538	
FILLER	CHARACTER	O	1	2539	
FILLER	CHARACTER	O	1	2540	
FILLER	CHARACTER	O	1	2541	
FILLER	CHARACTER	O	1	2542	
Detail Record "03" - Optional for Equity ISINs available in DN database					
Description	Data Type	Status	Size	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	"03"
DETAIL RECORD LINE INTEGER	INTEGER	M	7	9	

ISIN	CHARACTER	M	12	21	
DEBIT/CREDIT INDICATOR	CHARACTER	M	1	22	D-Debit C-Credit
"FROM DISTINCTIVE INTEGERS" IN NSDL	INTEGER	M	18	40	There is no decimal place
"TO DISTINCTIVE INTEGERS" IN NSDL	INTEGER	M	18	58	There is no decimal place
QUANTITY	INTEGER	M	18	76	To DN - From DN + 1, There is no decimal place
FLAG FOR STATUS OF DN RANGE	INTEGER	M	2	78	98 (IEPF Transfer)
CA TYPE	INTEGER	M	4	82	0033 (Transfer to IEPF Authority - CDSL)

Note : Multiple records of unique DN Ranges are allowed for Record type "03" for Debit & Credit ISIN's

Response File(*.out file)

Header Record

Description	Data Type	Status	Size	End	Remarks
BATCH NUMBER	INTEGER	M	8	8	
RECORD TYPE	INTEGER	M	2	10	01 – Header
RTA INTERNAL REFERENCE NUMBER	CHARACTER	M	16	26	
SR BP ID	CHARACTER	M	8	34	
TOTAL NUMBER OF RECORDS MENTIONED IN HEADER	INTEGER	M	7	41	
BATCH STATUS	CHARACTER	M	1	42	A or R
CREDIT/DEBIT/SIMULTANEOUS INDICATOR	CHARACTER	M	1	43	C
BP INSTRUCTION ID	INTEGER	M	14	57	
EXECUTION DATE	CHARACTER	M	8	65	
TOTAL CREDIT QUANTITY	DECIMAL	O	18	83	(Decimal 15, 3)
TOTAL CREDIT ACCEPTED QUANTITY	DECIMAL	O	18	101	(Decimal 15, 3)
TOTAL CREDIT REJECTED QUANTITY	DECIMAL	O	18	119	(Decimal 15, 3)
TOTAL CREDIT LOCK QUANTITY	DECIMAL	O	18	137	(Decimal 15, 3)

TOTAL DEBIT QUANTITY	DECIMAL	O	18	155	(Decimal 15, 3)
TOTAL DEBIT ACCEPTED QUANTITY	DECIMAL	O	18	173	(Decimal 15, 3)
TOTAL DEBIT REJECTED QUANTITY	DECIMAL	O	18	191	(Decimal 15, 3)
TOTAL DEBIT LOCK QUANTITY	DECIMAL		18	209	(Decimal 15, 3)
CURRENT BUSINESS DATE	DATE	M	8	217	
USER ID (IMPORT)	CHARACTER	O	8	225	
FILLER	CHARACTER	O	3	228	

Annexure C

CA Upload for Transfer to IEPF Authority					
Investors Holding Physical Share Certificates					
Header Record "01"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	01
FILE IDENTIFICATION	CHARACTER	M	7	9	SHRI001
RTA INTERNAL REFERENCE NUMBER	INTEGER	M	16	25	
CREDIT ISIN	CHARACTER	M	12	37	Credit ISIN
FILLER	CHARACTER	M	12	49	
CA TYPE	INTEGER	M	4	53	0034 (Transfer to IEPF Authority - Physical)
BOARD APPROVAL DATE	DATE	M	8	61	YYYYMMDD
CA DESCRIPTION	CHARACTER	M	4	65	0078 (Transfer to IEPF Authority)
EXECUTION DATE	DATE	M	8	73	YYYYMMDD
TOTAL CREDIT QUANTITY (FREE + LOCK-IN)	DECIMAL	M	18	91	(Decimal 15,3) Total Qty to be Credited in IEPF Demat Account
TOTAL DEBIT QUANTITY (FREE + LOCK-IN)	DECIMAL	M	18	109	(Decimal 15,3) Total Qty to be debited from Physical Mode
TOTAL CREDIT QUANTITY (LOCK-IN)	DECIMAL	M	18	127	(Decimal 15,3)
TOTAL DEBIT QUANTITY (LOCK-IN)	DECIMAL	M	18	145	(Decimal 15,3)
TOTAL NUMBER OF (02) DETAIL RECORDS	INTEGER	M	7	152	
CIN / BCIN NUMBER	INTEGER	M	21	173	
FINANCIAL YEAR TO WHICH THE AMOUNT RELATES	CHARACTER	M	7	180	YYYY-YY (E.g. 2008-09 for the financial year 2008-09)

Detail Record "02"					
Description	Data Type	Status	Length	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	02
DETAIL RECORD LINE NUMBER	INTEGER	M	7	9	
CREDIT DP ID	CHARACTER	M	8	17	
CREDIT CLIENT ID	INTEGER	M	8	25	
CREDIT CLIENT ACCOUNT CATEGORY	INTEGER	M	2	27	11-Non House
FOLIO NUMBER	CHARACTER	M	16	43	Folio number for physical certificates. Special character - / allowed
FILLER	INTEGER	O	2	45	
CREDIT QUANTITY	DECIMAL	M	18	63	(Decimal 15,3) Qty to be credited to IEPF Authority Account
DEBIT QUANTITY	DECIMAL	M	18	81	(Decimal 15, 3) Qty to be converted to Demat
CREDIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	83	00 In case of Free Position. Code must be valid NSDL Code
CREDIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	91	Spaces in case of Free position. Format "YYYYMMDD"
DEBIT QUANTITY LOCK-IN REASON CODE	INTEGER	M	2	93	00 in case of Free Position. Code must be valid NSDL Code
DEBIT QUANTITY LOCK-IN RELEASE DATE	DATE	M	8	101	Spaces in case of Free Position. Format "YYYYMMDD"
FIRST HOLDER'S NAME	CHARACTER	M	164	265	
SECOND HOLDER'S NAME	CHARACTER	O	164	429	
THIRD HOLDER'S NAME	CHARACTER	O	164	593	
GUARDIAN'S NAME	CHARACTER	O	142	735	
NOMINEE'S NAME	CHARACTER	O	142	877	
FATHER/HUSBAND'S NAME	CHARACTER	O	50	927	
SEX OF SOLE/FIRST HOLDER	CHARACTER	O	1	928	
BIRTH DATE	CHARACTER	O	11	939	
FILLER	INTEGER	O	2	941	

FILLER	INTEGER	O	2	943	
FILLER	INTEGER	O	4	947	
FILLER	INTEGER	O	2	949	
FILLER	INTEGER	O	4	953	
OCCUPATION	CHARACTER	O	4	957	
PAN OF SOLE/FIRST HOLDER	CHARACTER	O	25	982	
PAN OF SECOND HOLDER	CHARACTER	O	25	1007	
PAN OF THIRD HOLDER	CHARACTER	O	25	1032	
FILLER	CHARACTER	O	1	1033	
FILLER	CHARACTER	O	2	1035	
FILLER	CHARACTER	O	1	1036	
FILLER	CHARACTER	O	11	1047	
FILLER	CHARACTER	O	24	1071	
FILLER	INTEGER	O	2	1073	
FILLER	INTEGER	O	6	1079	
FILLER	CHARACTER	O	8	1087	
FILLER	CHARACTER	O	8	1095	
FILLER	CHARACTER	O	30	1125	
FILLER	CHARACTER	O	11	1136	
FILLER	INTEGER	O	2	1138	
NATIONALITY	CHARACTER	O	3	1141	
BO CORRESPONDENCE ADDRESS LINE 1	CHARACTER	O	50	1191	
BO CORRESPONDENCE ADDRESS LINE 2	CHARACTER	O	50	1241	
BO CORRESPONDENCE ADDRESS LINE 3	CHARACTER	O	50	1291	
BO CORRESPONDENCE ADDRESS CITY	CHARACTER	O	30	1321	

BO CORRESPONDENCE ADDRESS STATE	CHARACTER	O	30	1351	
BO CORRESPONDENCE ADDRESS COUNTRY	CHARACTER	O	30	1381	
BO CORRESPONDENCE ADDRESS PIN CODE	CHARACTER	O	10	1391	
BO ADDRESS LINE 1 (PERMANENT)	CHARACTER	M	50	1441	
BO ADDRESS LINE 2 (PERMANENT)	CHARACTER	O	50	1491	
BO ADDRESS LINE 3 (PERMANENT)	CHARACTER	O	50	1541	
BO ADDRESS CITY (PERMANENT)	CHARACTER	O	30	1571	
BO ADDRESS STATE (PERMANENT)	CHARACTER	O	30	1601	
BO ADDRESS COUNTRY (PERMANENT)	CHARACTER	O	30	1631	
BO ADDRESS PIN CODE (PERMANENT)	CHARACTER	O	10	1641	
TELEPHONE 1	CHARACTER	O	17	1658	
TELEPHONE 2	CHARACTER	O	17	1675	
BO FAX INTEGER	CHARACTER	O	17	1692	
BO E-MAIL ADDRESS	CHARACTER	O	50	1742	
ECS MANDATE FLAG	CHARACTER	O	1	1743	
DIVIDEND MICR NO.(BANK CODE)	CHARACTER	O	12	1755	
DIVIDEND BANK BRANCH	CHARACTER	O	12	1767	
BANK NAME	CHARACTER	O	100	1867	
BANK ADDRESS LINE 1	CHARACTER	O	40	1907	
BANK ADDRESS LINE 2	CHARACTER	O	40	1947	
BANK ADDRESS LINE 3	CHARACTER	O	40	1987	
BANK ADDRESS CITY	CHARACTER	O	25	2012	
BANK ADDRESS STATE	CHARACTER	O	25	2037	
BANK ADDRESS COUNTRY	CHARACTER	O	25	2062	
BANK ADDRESS ZIP	CHARACTER	O	10	2072	
DIVIDEND BANK CURRENCY	INTEGER	O	6	2078	

DIVIDEND BANK ACCOUNT TYPE	INTEGER	O	5	2083	
DIVIDEND BANK ACCOUNT INTEGER	CHARACTER	O	20	2103	
FILLER	CHARACTER	O	22	2125	
FILLER	CHARACTER	O	22	2147	
FILLER	CHARACTER	O	22	2169	
FILLER	CHARACTER	O	22	2191	
FILLER	CHARACTER	O	22	2213	
FILLER	CHARACTER	O	22	2235	
FILLER	CHARACTER	O	22	2257	
FILLER	CHARACTER	O	22	2279	
FILLER	CHARACTER	O	22	2301	
FILLER	CHARACTER	O	8	2309	
FILLER	CHARACTER	O	22	2331	
FILLER	CHARACTER	O	22	2353	
ANNUAL REPORT FLAG	CHARACTER	O	1	2354	
UID OF FIRST HOLDER	CHARACTER	O	12	2366	
UID OF SECOND HOLDER	CHARACTER	O	12	2378	
UID OF THIRD HOLDER	CHARACTER	O	12	2390	
PAN OF GUARDIAN	CHARACTER	O	10	2400	
UID OF GUARDIAN	CHARACTER	O	12	2412	
FILLER	CHARACTER	O	25	2437	
FILLER	CHARACTER	O	25	2462	
FILLER	CHARACTER	O	25	2487	
FILLER	CHARACTER	O	25	2512	
FILLER	CHARACTER	O	25	2537	
BO RGESS FLAG	CHARACTER	O	1	2538	
FILLER	CHARACTER	O	1	2539	
FILLER	CHARACTER	O	1	2540	
FILLER	CHARACTER	O	1	2541	

FILLER	CHARACTER	O	1	2542	
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Detail Record "03" - Mandatory for Equity ISINs available in DN database - Applicable for Physical					
Description	Data Type	Status	Size	End	Remarks
RECORD IDENTIFICATION	CHARACTER	M	2	2	"03"
DETAIL RECORD LINE NUMBER	INTEGER	M	7	9	
DEBIT/CREDIT ISIN	CHARACTER	M	12	21	
DEBIT/CREDIT INDICATOR	CHARACTER	M	1	22	D-Debit C-Credit
"FROM DISTINCTIVE NUMBERS" IN NSDL	INTEGER	M	18	40	There is no decimal places
"TO DISTINCTIVE NUMBERS" IN NSDL	INTEGER	M	18	58	There is no decimal places
QUANTITY	INTEGER	M	18	76	To DN - From DN + 1, There is no decimal places
FLAG FOR STATUS OF DN RANGE	INTEGER	M	2	78	98 (IEPF Transfer)
CA TYPE	INTEGER	M	4	82	0034 (Transfer to IEPF Authority - Physical)

Response File(*.out file)

Header Record

Description	Data Type	Status	Size	End	Remarks
BATCH NUMBER	INTEGER	M	8	8	
RECORD TYPE	INTEGER	M	2	10	01 – Header
RTA INTERNAL REFERENCE NUMBER	CHARACTER	M	16	26	
SR BP ID	CHARACTER	M	8	34	
TOTAL NUMBER OF RECORDS MENTIONED IN HEADER	INTEGER	M	7	41	
BATCH STATUS	CHARACTER	M	1	42	A or R
CREDIT/DEBIT/SIMULTANEOUS INDICATOR	CHARACTER	M	1	43	C
BP INSTRUCTION ID	INTEGER	M	14	57	

EXECUTION DATE	CHARACTER	M	8	65	
TOTAL CREDIT QUANTITY	DECIMAL	O	18	83	(Decimal 15, 3)
TOTAL CREDIT ACCEPTED QUANTITY	DECIMAL	O	18	101	(Decimal 15, 3)
TOTAL CREDIT REJECTED QUANTITY	DECIMAL	O	18	119	(Decimal 15, 3)
TOTAL CREDIT LOCK QUANTITY	DECIMAL	O	18	137	(Decimal 15, 3)
TOTAL DEBIT QUANTITY	DECIMAL	O	18	155	(Decimal 15, 3)
TOTAL DEBIT ACCEPTED QUANTITY	DECIMAL	O	18	173	(Decimal 15, 3)
TOTAL DEBIT REJECTED QUANTITY	DECIMAL	O	18	191	(Decimal 15, 3)
TOTAL DEBIT LOCK QUANTITY	DECIMAL	O	18	209	(Decimal 15, 3)
CURRENT BUSINESS DATE	DATE	M	8	217	
USER ID (IMPORT)	CHARACTER	O	8	225	
FILLER	CHARACTER	O	3	228	

Annexure D

Subscription Letter

(To be printed on Issuer's letterhead)

Date: _____

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Sub.: Annual Subscription

Dear Sir,

<Company Name> (<ISIN>) wishes to avail for annual subscription for Investor Education and Protection Fund (IEPF) related services of NSDL for downloading the below mentioned reports from the Issuer Portal on a subscription basis.

	Fee	Yes/No
IEPF Holding report	Rs. 100, 000	
IEPF Transfer report	Rs. 20,000 (Upto 5000 records)	
	Rs. 50,000 (More than 5000 records)	

Yours faithfully,

Signature:- _____

Name of the Company Secretary/ Managing Director:- _____

Company Secretary/Managing Director (*Please tick as applicable*).

Chapter 7 - Distinctive Number Database

Annexure A

Systemic check using distinctive numbers database in corporate actions executed between depositories

Sr. No.	Type of CA Transaction	CA Type Code	Allotment Description Code	Flag for status of DN Range
i	Transfer of shares to IEPF Authority (NSDL to CDSL)	35	78	98
ii	Transfer of shares to IEPF Authority (CDSL to NSDL)	33	78	98
iii	Transfer of shares under Lock-in	13	44	97
iv	Transmission of lock-in	13	45	96
v	Transfer of Shares From Trust To Employee	6	81	95
vi	Transfer of shares from/to Unclaimed suspense/escrow account of an Issuer	12	81	94
vii	Transfer to other depository (Transfer under suspended ISIN)	12	62	93
viii	Transfer to other depository (Transmission under suspended ISIN)	12	63	93
ix	Transfer to other depository (Offer for Sale)	3	17	93

Chapter 9 - e-Voting System

Annexure A





eVoting

Login method for e-Voting and joining virtual meeting for Individual shareholders holding securities in demat mode

In terms of SEBI circular dated December 9, 2020 on e-Voting facility provided by Listed Companies, Individual shareholders holding securities in demat mode are allowed to vote through their demat account maintained with Depositories and Depository Participants. Shareholders are advised to update their mobile number and email Id in their demat accounts in order to access e-Voting facility.

Login method for Individual shareholders holding securities in demat mode is given below:

Type of shareholders	Login Method
Individual Shareholders holding securities in demat mode with NSDL	<ol style="list-style-type: none">1. Existing IDeAS user can visit the e-Services website of NSDL Viz. https://eservices.nsdl.com either on a Personal Computer or on a mobile. On the e-Services home page click on the “Beneficial Owner” icon under “Login” which is available under ‘IDeAS’ section , this will prompt you to enter your existing User ID and Password. After successful authentication, you will be able to see e-Voting services under Value added services. Click on “Access to e-Voting” under e-Voting services and you will be able to see e-Voting page. Click on company name or e-Voting service provider name and you will be re-directed to e-Voting service provider website for casting your vote during the remote e-Voting period or joining virtual meeting & voting during the meeting.2. If your are not registered for IDeAS e-Services, option to register is available at https://eservices.nsdl.com. Select “Register Online for IDeAS Portal” or click at https://eservices.nsdl.com/SecureWeb/IdeasDirectReg.jsp3. Visit the e-Voting website of NSDL. Open web browser by typing the following URL: https://www.evoting.nsdl.com/ either on a Personal Computer or on a mobile. Once the home page of e-Voting system is launched, click on the icon “Login” which is available under ‘Shareholder/Member’ section. A new screen will open. You will have to enter your User ID (i.e. your sixteen digit demat account number hold with NSDL), Password/OTP and a Verification Code as shown on the screen. After successful authentication, you will be

	<p>redirected to NSDL Depository site wherein you can see e-Voting page. Click on company name or e-Voting service provider name and you will be redirected to e-Voting service provider website for casting your vote during the remote e-Voting period or joining virtual meeting & voting during the meeting.</p> <p>4. Shareholders/Members can also download NSDL Mobile App “NSDL Speede” facility by scanning the QR code mentioned below for seamless voting experience.</p> <div style="text-align: center;"> <p>NSDL Mobile App is available on</p> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">  <p>App Store</p> </div> <div style="text-align: center;">  <p>Google Play</p> </div> </div> <div style="display: flex; justify-content: space-around; align-items: center; margin-top: 10px;">   </div> </div>
Individual Shareholders (holding securities in demat mode) login through their depository participants	<p>You can also login using the login credentials of your demat account through your Depository Participant registered with NSDL for e-Voting facility. upon logging in, you will be able to see e-Voting option. Click on e-Voting option, you will be redirected to NSDL Depository site after successful authentication, wherein you can see e-Voting feature. Click on company name or e-Voting service provider name and you will be redirected to e-Voting service provider website for casting your vote during the remote e-Voting period or joining virtual meeting & voting during the meeting.</p>

Annexure B

Consent Letter

(To be printed on Issuer's letterhead)

Date:

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Dear Sir,

For the purpose of providing e-Voting facility to the members/ shareholders of the company, for exercising their right to vote in respect of AGM/ EGM/Postal Ballot/Directors Election and In compliance with provisions of SEBI circular dated December 9, 2020, we hereby provide event details. We ensure to provide such details to NSDL by accessing NSDL Issuer Portal from next event onwards and request NSDL to consider this for current event mentioned.

The Schedule of Events for e-voting is as follows: -

Cut Off Date	
ISIN	
Issuer Name	
Event Type (Please mention AGM,EGM, Postal Ballot)	
Voting Start Date	
Voting Start Time	
Voting End Date	
Voting End Time	.
General Meeting Date	
General Meeting Start Time	
EVEN ID	

Contact Person of the company (Coordinating for e-voting)	
Designation	
Contact No.	
Email address	

Yours faithfully,

Signature:-

Name of the Company Secretary/ Managing Director:-

Company Secretary/Managing Director (*Please tick as applicable*).

Chapter 10 - Monitoring of Foreign Investment limits in listed Indian companies

Annexure A

Procedure for obtaining validation for the foreign portfolio investors from NSDL

1. RTAs shall provide the following details in an Excel Format at email id viz., fpimonitor@nsdl.com to NSDL in respect of Foreign Portfolio Investors (FPIs) which they intend to validate:

Name of the Company				
ISIN				
Type of Issue/offering				
Issue size (in Rs)				
DP ID	Client ID	PAN	SEBI – FPI Registration No.	Name of the FPI Applicant

- RTAs should mandatorily provide DP ID-Client ID or PAN or SEBI FPI Registration number of the FPI applicant in order to validate the information.
 - Name of the FPI applicant may be additionally provided, if available.
2. NSDL will validate the aforesaid information requested by RTAs with FPI Grouping Information as available with NSDL.
 3. The response to the requested information will be provided to the RTAs in the below mentioned format :

Input Criteria entered by Issuer/RTA					NSDL Response	
DP ID	Client ID	PAN	SEBI – FPI Registration No.	Name of the FPI Applicant	Whether forming part of FPI – Same Investor Group (Yes or No)	If Yes, NSDL assigned FPI Group ID

4. A fee will be levied to Issuers/R&T Agents on issue size of the primary issuance as under plus applicable taxes:

Issue Size (In Rs.)	Amount (Rs.)
Upto 10 crore	7,500
Above 10 crore and upto 100 crore	18,750
Above 100 crore and upto 1000	37,500
Above 1000 crore	50,000

Chapter 13 – Internal Audit

Annexure – 2

Cover page	
Internal Audit Report for Depository Operations	
Name of the auditee	
SHR ID(s)	INXXXXXX
	INXXXXXX
SEBI registration number	
Expiry date of SEBI registration certificate	
Audit period	From DD-MMM-YYYY to DD-MMM-YYYY
Date(s) of Internal audit	
Name of the auditor	
Membership no. of the auditor	
NISM- Series IIA /Series IIB (applicable for only Mutual Fund Processing RTAs)/CPE Certificate no.(of any person conducting the internal audit)	
Date till which certificate is valid	DD-MM-YYYY
Name of the audit firm	
Full postal address of the audit firm	
Contact number along with STD code / mobile number of auditor	
email ID of auditor	
I / We hereby declare that Circular no. NSDL/CIR/40/2023 dated October 03, 2023 was read and understood by me / us and this report is based on the guidelines given in this Circular. I / We hereby further declare that I / we have no conflict of interest with the RTA/Issuer connected to NSDL.	
Signature of the auditor	
Stamp of the auditor / audit firm	

Date

DD-MMM-YYYY

“I hereby declare that digital signature certificate being used by me for signing this document is a valid digital signature certificate on this date in terms of provisions of Information Technology Act, 2000 and rules framed thereunder and that it has not been revoked by the issuing authority till this date.”

Activity wise sampling details				
Sr. No.	Area	Count for the audit period (total number of demat request and remat request confirmed / rejected, etc.)	No. of samples checked	Percentage of samples checked
1	Demat Confirmation {number of samples checked must include transposition cum demat and transmission cum demat cases} (atleast 25%)			
2	Demat Rejection (atleast 25%)			
3	Remat Confirmation (atleast 25%)			
4	Remat Rejection (atleast 25%)			
5	Investor Grievances received in respect of depository operations received by RTA / Issuer (100%)			
6	Reconciliation (atleast for two different dates for all the ISINs (100%) associated with the RTA)			
7	Transfer and Transmission of locked in securities & of securities where ISIN is suspended (atleast 25%)			
8	Redemption			
9	Activity wise sampling details only applicable for RTAs servicing Mutual Funds			
9.1	Conversion Confirmation {number of samples checked must include transmission cum demat cases} (atleast 25%)			
9.2	Conversion Rejection (atleast 25%)			

9.3	Reconversion Confirmation (atleast 25%)			
9.4	Reconversion Rejection (atleast 25%)			
9.5	Redemption/Repurchase			
10	No. of ISIN handled by RTA			
10.1	Listed			
10.1.1	Full Connectivity			
10.1.2	Part Connectivity			
10.2	Unlisted			

	Checklist			
Sr. No.	Audit Areas	Auditor's Observation	Auditor's Remarks	Management's Comment*
1	Demat / Remat / Conversion / Reconversion / Redemption /Repurchase Requests Processing			
1.1	Whether there is a proper procedure in place for inward of requests received from Participants?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, discrepancies must be mentioned here	
1.2	Whether adequate controls exists over requests received and their respective status?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, discrepancies must be mentioned here	
1.3	Whether serial number and stamp of date of receipt has been affixed on the requests received by the RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, discrepancies must be mentioned here	
1.4	Whether the requests received during the audit period have been processed within the stipulated time frame?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
1.5	Whether date of receipt mentioned on the requests matches with the receipt date entered in the NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
1.6	Whether request forms received were duly authorised by the Participant and were completely filled?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2	Demat Request Confirmation			

2.1	While processing demat request, whether the validity of the physical security certificate(s) or the Letter of Confirmation is verified?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.2	While processing demat request, whether the RTA/Issuer connected to NSDL verifies whether the application for demat has been made by the person(s) whose name is recorded in the Register of member?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

2.3	Whether register of member (ROM) is updated before confirmation of demat requests?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
2.4	Whether RTA/Issuer connected to NSDL transfers the registered ownership of securities to the name of National Securities Depository Limited when the demat requests are processed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
2.5	While processing demat request, whether the RTA/Issuer connected to NSDL verifies the details mentioned in the DRF and as appearing on the physical security certificate(s) with the details received electronically?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.6	While processing demat request, whether the RTA verifies the signature of the applicant(s) with the signature as available in record of the RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.7	Whether Certificates received with requests were marked with words "Surrendered for Dematerialisation", two parallel lines across the certificate, two holes punched on the company name in the prescribed manner, DP ID and client ID mentioned on the certificate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
2.8	Whether only those securities have been dematerialised by RTA/Issuer connected to NSDL for which listing approval has been received from the relevant stock exchange(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
2.9	Whether Issuer/RTA has accepted the demat request, wherein physical security certificate(s) have got lost in transit, and carried out the dematerialisation on the basis of indemnity and proof of dispatch furnished by the Participant as per prescribed guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.10	Whether any requests have been confirmed where there exists any prohibitory order, stop transfer, attachment order, or disputed title on the said securities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable		
2.11	If reply to 2.10 above is yes, mention the number of cases along with details of the matter.			

2.12	Whether proper internal controls are in place for processing transposition cum demat requests received from Participants?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.13	Whether RTA/Issuer connected to NSDL is processing dematerialization request in respect of the remaining physical shares in line with guidelines issued under NSDL Circular 24/2019 dated November 18, 2019 (SEBI Circular No. 2019/ 122 dated November 5, 2019) with respect of Enhanced due diligence for dematerialization of physical securities. ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.14	Whether RTA/Issuer connected to NSDL has obtained the additional documents explaining the difference in name in line with guidelines issued under NSDL Circular 24/2019 dated November 18, 2019 (SEBI Circular No.2019/122 dated November 5, 2019) with respect to instances, where flags/alerts have been generated by Depository for mismatch of name on the share certificate (s) vis a vis name of the BO of demat account.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.15	Whether RTA/Issuer connected to NSDL follows operational guidelines for transfer and Dematerialization of re-lodged physical shares in line with guidelines issued under NSDL Circular 47/2020 dated December 11, 2020 (SEBI Circular No.2020/236 dated December 2, 2020)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
2.16	Whether RTA accepted partial dematerialisation i.e. entire request is not rejected or returned where only a part of request to be rejected?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
3	Demat Request Rejection			
3.1	Whether rejection memos have been sent within five days of rejection?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
3.2	Whether rejection memo contains DP ID, client ID, rejection code and rejection reason?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
3.3	Whether rejection code and rejection reason as mentioned in the rejection memo matches with that captured in the NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
3.4	Whether the rejection code and rejection reason selected by RTA/Issuer connected to NSDL for rejecting the request were correct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

3.5	Whether certificates or letter of confirmation and physical documents are sent to the concerned Participant within 5 days of rejection of demat request?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
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3.6	Whether proof of despatch for request rejections has been properly maintained by the RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
3.7	Whether rejection memos have been sent only after rejecting the requests in NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

4	Conversion Request Confirmation			
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4.1	While processing conversion request, whether the RTA/Issuer connected to NSDL verifies the details mentioned in the CRF with that recorded on the SOA and with details as received electronically?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
4.2	Whether any requests have been confirmed where there exists any prohibitory order, stop transfer, attachment order, or disputed title on the said mutual fund (MF) units?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable		
4.3	If reply to 4.2 above is yes, mention the number of cases along with details of the matter.			
4.4	While processing conversion request, whether the RTA verifies the signature of the applicant(s) with the signature as available in record of the RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

5	Conversion Request Rejection			
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5.1	Whether rejection memos along with SOA have been sent in cases of rejections and proof of dispatch maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
5.2	Whether rejection code and rejection reason as mentioned in the rejection memo matches with that captured in the NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
5.3	Whether the rejection code and rejection reason selected by RTA/Issuer connected to NSDL for rejecting the request, was correct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

6	Remat Request Confirmation			
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6.1	Whether RTA/Issuer connected to NSDL transfers the registered ownership of securities from the name of National Securities Depository Limited to the name of the BO when the remat requests are processed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
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6.2	Whether certificates are sent within period of 30 days from the date of receipt of remat request?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
6.3	Whether proof of despatch of physical certificates has been properly maintained by RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
7	Remat Rejection			
7.1	Whether rejection memos have been sent in all cases of rejections within five days of rejection?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
7.2	Whether rejection memo contains DP ID, client ID, rejection code and rejection reason?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
7.3	Whether rejection code and rejection reason as mentioned in the rejection memo matches with that captured in the NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
7.4	Whether the rejection code and rejection reason selected by RTA/Issuer connected to NSDL for rejecting the request were correct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
7.5	Whether proof of despatch for request rejections has been properly maintained by the RTA/Issuer connected to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
7.6	Whether rejection memos have been sent only after rejecting the requests in NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
8	Reconversion/Redemption/Repurchase Request Confirmation			

8.1	Whether units at the time of reconversion have been issued to the persons as per the pattern of holdings in the account of the Participant from which such units are reconverted?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
9	Reconversion Request Rejection/Redemption/Repurchase rejection			
9.1	Whether rejection memos have been sent in all cases of rejections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
9.2	Whether rejection code and rejection reason as mentioned in the rejection memo matches with that captured in the NSDL system?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	

9.3	Whether the rejection code and rejection reason selected by RTA/Issuer connected to NSDL for rejecting the request was correct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
10	IPO/Corporate Actions			
10.1	Whether Corporate Actions processed during the audit period have been carried out in accordance with SEBI/ NSDL guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
10.2	Whether in case of securities listed on stock exchanges, electronic payment modes approved by RBI such as ECS, NEFT etc. are being used to make cash payment to investors in their bank accounts taken directly from their demat accounts?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
10.3	Whether in case where either the bank details such as MICR, IFSC etc. that are required for making electronic payment are not available or the electronic payment instructions have failed or have been rejected by the bank, cash payments made through physical payment instruments for distribution of cash benefits have the bank account details taken directly from demat accounts of investors printed on such instruments?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
10.4	Whether any unclaimed shares (i.e., shares which could not be allotted to the rightful shareholder due to insufficient/incorrect information or any other reason) have been credited to suspense account?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	

10.5	Whether details of shareholding of each allottee whose shares have been credited to suspense account is properly maintained by the Issuer?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
10.6	In case if the RTA/Issuer connected to NSDL has transferred any shares out of the said suspense account during the audit period, whether the same was as per the stipulated procedure?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
10.7	Whether in case of redemptions, RTA/Issuer connected to NSDL has made payment towards repurchase / redemption to the clients?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
10.8	Whether RTA/Issuer connected to NSDL verifies name of the investor(s) as appearing on the Issue Application Form with that as obtained from NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
10.9	Whether the name of National Securities Depository Limited (NSDL) is recorded as "Registered owner of Securities" in the Register of Members for securities allotted in electronic form in NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of discrepancies must be mentioned here	

10.10	Whether for locations where facility of ECS is available, bank details of applicants have been taken directly from demat accounts of the applicants in respect of refund in public / rights issues made completely in demat form?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
11	Reconciliation			
11.1	Whether separate folios for NSDL & CDSL are maintained in backoffice?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
11.2	What is the mechanism of carrying out daily reconciliation?	<input type="checkbox"/> Manual <input type="checkbox"/> Back office		
11.3	Whether reconciliation between NSDL control position and Register of Members is carried out on a daily basis by RTA/Issuer connected to NSDL as per SEBI/NSDL guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
11.4	If reply to 11.3 above is no, then mention the frequency at which reconciliation is being carried out.			
11.5	Whether reconciliation mismatch was observed?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

11.6	If reply to 11.5 above is yes, whether RTA / Issuer connected to NSDL has sent any mismatch report to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
11.7	Whether RTA/Issuer connected to NSDL is maintaining a register for recording the reconciliation figures?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
11.8	Whether the back office records are reconciled with the NSDL records for pending remat?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
11.9	Whether arithmetic sum of shares in NSDL system, in CDSL system and shares held in physical form is equal to the total issued capital of the company?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
11.10	Whether RTA has a suitable SOP to handle instance(s) of erroneous confirmation of the demat request instead of rejection, if any in accordance with NSDL circular NSDL/CIR/II/33/2023 dated August 17, 2023?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
11.11	Whether RTA does not have any instance(s) of erroneous confirmation of the demat request instead of rejection reported resulting in mismatch in share capital? - If no, whether same has been rectified?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
12	INVESTOR GRIEVANCES			

12.1	Whether there is any system to record & redress all grievances of clients?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of discrepancies must be mentioned here	
12.2	Whether all investor grievances received have been redressed within stipulated timelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of discrepancies must be mentioned here	
12.3	Whether grievance received from Beneficial Owner directly is also reported in grievance report submitted to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
12.4	Whether quarterly investor grievance reports have been submitted to NSDL as per SEBI / NSDL guidelines within stipulated timelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of discrepancies must be mentioned here	
13	Record Maintenance			

13.1	Whether Issuer or its Registrar and Transfer Agent maintain the records relating to its Depository related business activities such as demat / remat / conversion / reconversion as per the period prescribed under NSDL guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
13.2	Whether all documents related to Corporate Actions are maintained ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, discrepancies must be mentioned here	
13.3	Whether RTA has a process to maintain a record of the destroyed certificates?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, discrepancies must be mentioned here	
14	Status of compliance for deviations / observations noted in last NSDL inspection and internal / concurrent audit report			
14.1	Whether RTA/Issuer connected to NSDL has complied with all the deviations noted during last NSDL inspection?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of the non compliance must be mentioned here	
14.2	Whether RTA/Issuer connected to NSDL has taken adequate preventive measures in respect of deviations noted during last NSDL inspection?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable		
14.3	Whether RTA / Issuer connected to NSDL has taken adequate preventive and corrective measures in respect of deviations noted during last internal audit?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of the non compliance must be mentioned here	
14.4	Whether NSDL has sought any specific comment from auditor with respect to any issue?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, then provide details / comments on issues	

14.5	Whether NSDL has sought any specific certification from auditor with respect to any issue?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, provide details along with supporting documents	
15	Reporting by RTA/Issuer connected to NSDL to its Board of Directors			
15.1	Whether RTA/ Issuer connected to NSDL has placed last inspection findings alongwith management comment before its Board of Directors? <i>(same may be verified from the extract of the minutes of the Board Meeting)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If yes, then mention date of the Board Meeting	

15.2	Whether RTA/Issuer connected to NSDL has placed last internal audit findings alongwith management comment before its Board of Directors? (same may be verified from the extract of the minutes of the Board Meeting)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If yes, then mention date of the Board Meeting	
16	Miscellaneous			
16.1	Whether change in office address (Registered / Corporate) and / or investor relations officer / Compliance officer / contact details of RTA / Issuer connected to NSDL has been communicated to NSDL as per prescribed guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
16.2	Whether RTA is updating Distinctive Number (DN) information in respect of all physical share capital and overall DN range for dematerialised share capital for all listed companies in the manner prescribed by SEBI?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here	
16.3	Whether common agency requirement as prescribed by SEBI is being adhered to with respect to all the companies handled by the RTA?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
16.4	While processing demat request, whether name and specimen signature of authorised signatory is obtained by the RTA handling only electronic connectivity?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
16.5	While processing demat request, whether confirmation received from the company is compared with the list of authorised signatories before updating system by the RTA handling only electronic connectivity?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	
16.6	Whether the RTA handling only electronic connectivity ensures that no activity is carried out in case of companies who have not provided specimen signatures of the authorized signatories?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then details of discrepancies must be mentioned here	

16.7	Whether Issuer connected to NSDL / RTA has processed requests for transfer of locked-in securities or securities held under suspended ISIN in case of account closure (inter-depository) and transmission (intra depository and inter-depository) as per prescribed guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, then number of cases with discrepancies must be mentioned here.	
16.8	Whether depository operations handled by RTA / Issuer connected to NSDL are in accordance with SEBI/ NSDL guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, details of discrepancies must be mentioned here	

16.9	Whether the Issuer having connectivity with NSDL and handling registry operations in-house, has more than one lac share holders?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, details of discrepancies must be mentioned here	
16.10	If reply to 16.9 above is yes, whether procedure for registration as Share Transfer Agent has been initiated/ completed with SEBI?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	If no, details of discrepancies must be mentioned here	
16.11.	Whether all associated persons engaged in depository operations are NISM certified as per SEBI/NSDL guidelines?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, details of discrepancies must be mentioned here	
16.12	Whether RTA is complying with the following requirements w.r.t. Online Resolution of Disputes in the Indian Securities Market in accordance with NSDL Circular no. NSDL/CIR/II/31/2023 dated August 17, 2023: - Implementation of ODR mechanism as required in aforesaid circular i.e. registration of RTA on the ODR Portal by September 15, 2023. - Display a link to the ODR Portal on the home page of their websites and mobile apps.	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, details of discrepancies must be mentioned here	
16.13	Whether any regulatory action has been taken against RTA by SEBI, RBI, stock exchanges, etc.?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, then details regulatory action must be mentioned here	
16.14	Whether any other deviation/non-compliance observed by internal auditor which is not specifically covered above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, then details must be mentioned here	
17	System Areas			
17.1	Whether adequate physical and logical access restrictions for usage of system are in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then number of cases with discrepancies must be mentioned here	
17.2	Whether scheme of variable access rights is implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	

17.3	Whether NSDL system is used only for the depository operations and no other software or alteration of parameters / configuration has been made?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.4	Whether Antivirus software in the client machine is updated as per prescribed frequency?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.5	Whether all the softwares installed on client machine are licensed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.6	Whether documentation relating to procedure for internet and etoken has been maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.7	Whether hardware and operating system on machines used for depository operations are as per the specifications mentioned in the latest Form B submitted to NSDL?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.8	Whether scheduled switch to fallback connectivity is done and the record thereof is maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.9	Whether all the hardware / equipments used for depository operations are covered under AMC / warranty?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.10.	Whether backup of back office data is taken?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, then details of the issue must be mentioned here	
17.11	Unique Document Identification Number (UDIN)		To be filled by Practicing Chartered Accountants/ Company Secretaries (if applicable)	
	Important References (only illustrative, not exhaustive) -			
1	NSDL Bye laws and Business Rules			
2	Compliance Manual			
2	Other circulars issued by NSDL and SEBI from time to time			
Management's Comment* - Mandatory if auditor's observation is negative.				

Chapter 14 – Miscellaneous

Annexure A

Format – Application for Change of R&T Agent (To be printed on the Issuer's letterhead)

Date:

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Sub: Change of R&T Agent.

Dear Sir,

We have executed an agreement with _____, as our R&T Agent and NSDL. Our securities are available for demat. We wish to inform that we would like to change our R&T Agent from _____ to _____ for the ISIN(s) as given below:

Number of active* ISIN(s) to be shifted to new R&T Agent - ____.

Details of ISIN(s) –

- 1)
- 2)
- 3)
- 4)
- 5)

(In case number of ISINs to be shifted exceeds 5, please provide details on a separate sheet.)

The details of the new R&T Agent are as follows:

The security certificates for the purpose of dematerialisation should be forwarded to the following address:

Name of the concerned person

Designation

Name of the organization

Complete address of the R&T Agent (with Pin code)

Telephone, Fax and E-mail.

Our Compliance officer is Mr. / Ms. _____ (Designation)

We further state that till such time the database and electronic connectivity is shifted to the new R&T Agent, the existing R&T Agent shall continue to provide share registry services.

You are requested to do the needful.

Yours faithfully,

Signature

Name of the signatory

Designation

(Managing Director/Company Secretary/Compliance officer)

* All inactive ISINs shall be shifted to new R&T Agent by NSDL along with the desired active ISINs.

Annexure B

**Format - No Objection Certificate for change of R&T Agent
(To be printed on the existing R&T Agent's letterhead)**

Date:

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Sub: Change of R&T Agent.

Dear Sir,

We have executed an agreement with NSDL to act as an R&T Agent for ____ (name of the Issuer). We wish to inform you that we give our consent to shift the database and electronic connectivity to ____ (name of the new R&T Agent) and shall extend full cooperation for the same.

We further state that till such time the database and electronic connectivity is shifted to the new R&T Agent by NSDL, we shall continue to provide share registry services to the Issuer.

Yours faithfully,

Signature

Name of the Authorised Signatory

Designation

Annexure C

Format – Confirmation letter for Common Registry (To be printed on new R&T Agent's letterhead)

Date:

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Dear Sir,

We hereby confirm that we have been appointed as R&T Agent by _____
_____ **(name of the Issuer)** for providing electronic connectivity & handling
physical share transfer work of the company.

**We also confirm that the security certificates for the purpose of dematerialisation should
be forwarded to the following address: -**

Name of the concerned person

Designation

Name of the organization

Complete address of the organisation (with pincode)

Telephone, Fax and E-mail

Yours faithfully,

Signature

Name of the Authorised Signatory

Designation

Annexure D

(On the letter head of the company)

Date:

National Securities Depository Ltd.
3rd – 7th Floor, Naman Chambers,
Plot C32, G - Block,
Bandra Kurla Complex, Bandra (E),
Mumbai – 400 051

Dear Sir,

The company/acquirer is making an offer for Buyback/ Open offer/ Delisting as per details given below:

Part - A	
Company Name	
Offer type (eg. Buyback/ Open Offer/ Delisting)	
Offer Quantity	
Floor Price/Offer price	
Offer start date	
Offer close date	
Company's Contact Person for query/grievance redressal	
Company email id	
Contact Person's Phone number/Mobile number	

The company/acquirer is executing aforesaid offer through off-market transfers and has opened the demat escrow account. We request you to enable the off-market transfers facilitating security holders to transfer to the demat escrow account as per following details:

Part - B								
DP ID	I	N						
Client ID								
ISIN								
Face Value								
Off-Market reason code to be enabled (eg. Buyback/ Open Offer/ Delisting)								
Off-market start date								

Off-Market end date	
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I, <Name of the Company Secretary/Managing Director/Acquirer>, declare that the company has obtained all the necessary approvals for the aforesaid offer.

Yours sincerely,

For (Name of the company)

(Company Secretary/Managing Director/Acquirer)

List of Document

1. Letter of offer/offer document making the offer to the holders of the security