

Annexure 2
Compliance Schedule

Sr. No.	Periodic compliance requirement	Frequency of submission	Deadline for submission	Manner of sending	Reference
1	Investor Grievance Report	Monthly	By 10 th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
2	Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined)	Quarterly	By 15 th of the following month.	By email at Participant-Interface@nsdl.co.in	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019
3	(A) Compliance Certificate July – December	Half Yearly	January 31st	Digitally signed compliance certificate by email at nsdl-bp-inspection@nsdl.co.in . Alternatively, by hard copy to Inspection Department	Circular No. NSDL/POLICY/2010/0017 dated February 22, 2010 and Circular No. NSDL/POLICY/2018/0028 dated May 21, 2018
	(B) January – June		July 31 st		
4	(A) Risk Assessment Template April – September	Half Yearly	October 31st	Through e-PASS	Circular No. NSDL/POLICY/2015/0046 dated April 30, 2015
	(B) October – March		April 30 th		
5	(A) Internal/ Concurrent Audit Report April – September	Half Yearly	November 15 th	Through e-PASS	Circular No. NSDL/POLICY/2019/0017 dated March 27, 2019
	(B) October – March		May 15 th		
6	Tariff Sheet	Yearly	April 30th	By email at dpfees@nsdl.co.in	Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007
7	Networth Certificate and Audited Financial Statements.	Yearly	September 30th	By hard copy to Participant Interface Department.	Circular No. NSDL/PI/98/414 dated September 1, 1998