

### Compliance Schedule

Sr. No.	Periodic compliance requirement	Frequency of submission	Deadline for submission	Manner of sending	Reference
1	Investor Grievance Report	Monthly	By 10 <sup>th</sup> of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
2	Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined)	Quarterly	By 15 <sup>th</sup> of the following month.	By email at <a href="mailto:Participant-Interface@nsdl.co.in">Participant-Interface@nsdl.co.in</a>	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019
3	Cyber Security & Cyber Resilience framework of Depository Participants	Quarterly	By 15 <sup>th</sup> of the following month.	By email at <a href="mailto:dpinfosec@nsdl.co.in">dpinfosec@nsdl.co.in</a>	Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019.
4	Compliance Certificate	Half Yearly	January 31 <sup>st</sup>	Digitally signed compliance certificate by email at <a href="mailto:nsdl-bp-inspection@nsdl.co.in">nsdl-bp-inspection@nsdl.co.in</a> . 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
(A)	July – December		July 31 <sup>st</sup>		
(B)	January – June				
5	Risk Assessment Template	Half Yearly	October 31 <sup>st</sup>	Through e-PASS	Circular No. NSDL/POLICY/2015/0046 dated April 30, 2015
(A)	April – September		April 30 <sup>th</sup>		
(B)	October – March				
6	Internal/ Concurrent Audit Report	Half Yearly	November 15 <sup>th</sup>	Through e-PASS	Circular No. NSDL/POLICY/2018/0016 dated March 16, 2018
(A)	April – September		May 15 <sup>th</sup>		
(B)	October – March				
7	Tariff Sheet	Yearly	April 30 <sup>th</sup>	By email at <a href="mailto:dpfees@nsdl.co.in">dpfees@nsdl.co.in</a>	Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007
8	Networth Certificate and Audited Financial Statements.	Yearly	September 30 <sup>th</sup>	By hard copy to Participant Interface Department.	Circular No. NSDL/PI/98/414 dated September 1, 1998