

Circular No.: NSDL/POLICY/2019/0065

October 1, 2019

Subject: Extension of time for submission of networth certificate and/or audited financial statements.

As all Participants are aware, as per Bye law 6.3.6 (i), Participants who are required to maintain a minimum networth as per the stipulated requirement are required to submit a networth certificate in the prescribed format. Further, as per Bye Law 10.2.1, all Participants are required to submit every year, a copy of its audited financial statements within six months from the end of the Participant's financial year. Accordingly, the same was required to be submitted by September 30, 2019 for financial year 2018-19.

Participants are requested to note that the last date for submission of networth certificate/audited financial statements for the financial year 2018-19 is extended to October 31. Accordingly, all Participants are requested to ensure that they submit the audited financial statements and networth certificate in the prescribed formats, on or **before October 31, 2019**.

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
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
Cyber Security & Cyber Resilience framework of Depository Participants - (Quarterly)	By 15th of the following month.	By email at dpinfosec@nsdl.co.in	Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019.
Networth Certificate and Audited Financial Statements (Yearly)	October 31st for financial year 2018-19.	By hard copy to Participant Interface Department.	1. Circular No. NSDL/PI/98/414 dated September 1, 1998. 2. Circular No. NSDL/POLICY/2019/0065 dated October 1, 2019
Risk Assessment Template (April - September)	October 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (April - September)	November 15th every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0063 dated September 25, 2019