

Circular No.: NSDL/POLICY/DDP/2020/0007

April 9, 2020

Subject: Securities and Exchange Board of India (Foreign Portfolio Investors) (Amendment) Regulations, 2020

Attention of Participants who are registered with SEBI as Designated Depository Participants (DDPs) / Custodian of Securities (Custodians) is invited to Gazette Notification No. SEBI/LAD-NRO/GN/2020/09 dated April 7, 2020 regarding the Securities and Exchange Board of India (Foreign Portfolio Investors) (Amendment) Regulations, 2020 (copy enclosed).

In the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019, following is being amended:

“I. In regulation 5, in clause (a), in sub-clause (iv), after the words —member countries and before the words —which are, the words and symbol —, or from any country specified by the Central Government by an order or by way of an agreement or treaty with other sovereign Governments, shall be inserted.”

Designated Depository Participants (DDPs) / Custodian of Securities are requested to take note of the same.

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

Enclosed: One

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 15 th of the following month.	By email at dpinfosec@nsdl.co.in	Circular No. NSDL/POLICY/2019/0076 dated November 13, 2019.
Tariff Sheet (Yearly)	April 30 th every year.	By email at dpfees@nsdl.co.in	1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007.
Risk based supervision of Participants (October - March)	April 30 th every year.	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (October - March)	May 15 th every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0063 dated September 25, 2019