

Circular No.: NSDL/POLICY/2020/0042

April 3, 2020

Subject: SEBI Order under Section 11B of the Securities and Exchange Board of India Act, 1992.

Attention of Participants is invited to SEBI Order no. WTM/MPB/EFD-1-DRA-1/116 /2020 dated April 1, 2020 (copy enclosed) wherein Shri Pramod Khera (PAN - AADPK2859G) has been restrained from accessing the securities market and is further prohibited from buying, selling or otherwise dealing in securities, directly or indirectly in any manner, from the date of the aforesaid SEBI order, for a period of five years from the date of the order and further states that Shri Pramod Khera has been restrained from holding any position as Director or Key Managerial Personnel in any listed company and **SEBI Registered Intermediary** for five years from the date of the aforesaid SEBI Order.

Accordingly, Participants are requested to take note of the above and ensure compliance.

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