

Circular No.: NSDL/ POLICY/2020/0046

April 8, 2020

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

Attention of Participants is invited to the following Orders passed by SEBI restraining the following persons from being associated with any intermediary registered with SEBI for the specified periods.

Sr. no.	Name	PAN	SEBI Order No.	Date	Period
1	Sujit Acharjee	ASZPA9649Q	WTM/MPB/EFD-1-DRA-IV/93 /2020	21-Jan-20	4 Years
2	Sumanta Modak	AMHPM3794L			
3	Gautam Thapar	ABNPT6298B	WTM/GM/CFD/78/2019-20	11-Mar-20	Till further orders
4	V. R. Venkatesh	AAKPV9947M			
5	Madhav Acharya	ABOPA4250D			
6	B. Hariharan	ADXPB2158A			
7	Divyesh Ashwin Sukhadia	ANUPS7272F	WTM/MB/IVD/ID6/7231/2019-20	16-Mar-20	5 years
8	Dharmesh Ashwin Sukhadia	ABFPS0273F			
9	Anuj Vipin Sukhadia	AYSPS2795Q			

Copies of the aforementioned SEBI orders are enclosed. Participants are requested to take note of the same and ensure compliance.

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

Enclosed: Three

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	By 15 th of the	By email at dpinfosec@nsdl.co.in	Circular No. NSDL/POLICY/2019/0076 dated November


National Securities Depository Limited

4th Floor, 'A' Wing, Trade World, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai – 400 013, India
 Tel.: 91-22-2499 4200 | Fax: 91-22-2497 6351 | Email: info@nsdl.co.in | Web: www.nsdl.co.in
 Corporate Identity Number: U74120MH2012PLC230380

(Quarterly)	following month.		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