

Circular No.: NSDL/ POLICY/2020/0063

May 7, 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 Orders passed by SEBI restraining and prohibiting the following entities from accessing the securities market from buying, selling or otherwise dealing in securities, directly or indirectly, in any manner whatsoever, for the period specified below.

| Sr. no. | Name | Address if any | SEBI Order No. | Date | Period |
|---------|--------------------------------------|----------------|------------------------------------|-----------|---------|
| 1 | Arohan Trustee Co. Pvt Ltd | - | WTM/AB/EFD1/EFD1-DRA3/7492/2020-21 | 13-Apr-20 | 4 Years |
| 2 | Clifford Capital Partners A.G.S.A | - | WTM/AB/IVD/ID-4/7171/2019-20 | 6-Mar-20 | 5 Years |

Participants are requested to take note of the same.

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

Enclosed: Two

| FORTHCOMING COMPLIANCE | | | |
|--|--|--|--|
| Particulars | Deadline | Manner of sending | Reference |
| Investor Grievance Report (Monthly) | May 18 th , 2020 for the months of March 2020 and April 2020. | Through e-PASS | 1. Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 |
| Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly) | May 31 st , 2020 for quarter ended March 2020. | By email at Participant-Interface@nsdl.co.in | 1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 |
| Tariff Sheet (Yearly) | May 31 st , 2020 | 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. 3. Circular No. NSDL/ POLICY/2020/0058 dated May 4, 2020 |
| Risk based supervision of Participants (October 2019- March 2020) | May 31 st , 2020 | Through e-PASS | 1. Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018 2. Circular No.: NSDL/ POLICY/2020/0060 dated May 4, 2020 |
| Internal/ Concurrent Audit Report (October 2019 – March 2020) | June 30 th 2020 | Through e-PASS | 1. Circular No. NSDL/POLICY/2020/0045 dated April 7, 2020 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No.: NSDL/ POLICY/2020/0062 dated May 7, 2020. |


National Securities Depository Limited

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