

Circular No.: NSDL/POLICY/2020/0068

May 15, 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 Order 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	Bipin Pushpasen Divecha	AABPD5165A	WTM/GM/EFD 1 – DRA 2/06/2020-21	05-May-20	5 Years
2	Sham Sadhuram Gandhi	AAAPG8353J			
3	Dilip Shah	AJAPS4111R			
4	Jiger Dilip Shah	BBOPS1405H			
5	Sharad Ramchandra Ghadi	AIQPG6396R			
6	Mohammad Rafi	BMEPM7501B			3 Years
7	Roma Shamshad Khan	AHMPP8481F			
8	Mohd Salim Khan	AVRPK7818C			
9	Amir Hamza Hakim Khan	ASXPK2912L			
10	Abdul Hakim Khan	AHAPK0293Q			
11	Abdul Zameer Hakim Khan	ASXPK2911K			
12	Talat Wahadatali Mohamad	AAHPM1979K			
13	Rehana Khan	BVFPK4495L			

Copy of the aforementioned SEBI order is 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: One

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	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 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.