

Circular No.: NSDL/POLICY/2020/0089

July 03, 2020

**Subject: Yes Bank Limited Reconstruction Scheme, 2020.**

Attention of Participants is invited to NSDL Circular No. NSDL/POLICY/2020/0034 dated March 18, 2020 regarding Yes Bank Limited Reconstruction Scheme, 2020.

NSDL had vide aforesaid Circular dated March 18, 2020 informed Participants that the old ISIN of YES Bank viz., 'INE528G01027' will be suspended w.e.f March 19, 2020 based on the intimation received from Yes Bank Limited. As Old ISIN of YES Bank was suspended, few Clearing Members (CMs)/Trading Members (TMs) were not able to transfer securities held in CM Pool Account/ CUSA/ Client Collateral Account/Client Margin Trading Securities Account in respect of old ISIN of YES Bank to respective Beneficial Owner account within the stipulated time.

In this regard, NSE & BSE have vide their enclosed Circulars dated June 2, 2020 provided facility to CMs/TMs to report the details of Yes Bank shares belonging to their constituents / clients, which are under ISIN suspension status. Further, based on the details of Yes Bank shares (old ISIN) held by CMs/TMs belonging to their constituents / clients provided by Stock Exchanges alongwith the details of intended transfers, such a list as obtained from the stock exchange will be made available on i-Assist under the link "Yes Bank – Old ISIN – TM/CM transfer file". In order to facilitate the transfer of securities held in old ISIN of YES Bank from CM Pool account/ CUSA/ Client Collateral Account/Client Margin Trading Securities Account to respective Beneficial Owner account, based on the intimation received from Yes Bank Limited, NSDL will temporarily re-activate the old ISIN on July 8<sup>th</sup>, 2020 (i.e., for one day only) to enable CMs/TMs to facilitate the above said transfers.

In this regard, Participants are requested to note the following:

1. The old ISIN of YES Bank viz., 'INE528G01027' will be suspended again on EOD of July 8<sup>th</sup>, 2020.
2. Participants should ensure that account transfer and inter depository transfer instructions in respect of Yes Bank old ISIN are in "**captured**" status or batches in respect of account transfer and inter depository transfer instructions are **uploaded** in e-DPM by 3 P.M. on July 8<sup>th</sup>, 2020. Participant should **verify/release** the captured instructions or instruction batches only after **receipt of confirmation from NSDL**.
3. Advise CMs/TMs to ensure that securities held in old ISIN of YES Bank are transferred to respective Beneficial Owner account as the case may be, before EOD of July 8<sup>th</sup>, 2020.
4. Participants shall take utmost care and ensure that securities are transferred from the accounts of the CMs/TMs only to the demat account of clients, as per the list made available by the stock exchanges to the Depositories, and provided to the Participants.
5. Participants shall before executing the transfers, validate the source demat account details, target demat account details and quantities provided in the file which is made available by NSDL to Participants on i-Assist.



6. Participants should ensure that no other transactions should be executed by the Participant during the window when the old ISIN of YES Bank is in 'active' status.

Participants are requested to take note of the above and inform their CMs/clients accordingly.

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)   | By 10 <sup>th</sup> of the following month. | Through e-PASS   | Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015   |
| Internal/ Concurrent Audit Report (October 2019 – March 2020)   | July 31 <sup>st</sup> 2020                  | Through e-PASS   | 1. Circular No. NSDL/POLICY/2020/0045 dated April 7, 2020<br>2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020<br>3. Circular No. NSDL/ POLICY/2020/0062 dated May 7, 2020.<br>4. Circular No. NSDL/POLICY/2020/0083 dated June 16, 2020<br>5. Circular No. NSDL/POLICY/2020/0086 dated June 30, 2020 |
| Compliance Certificate (January - June)   | July 31st every year                        | Through e-PASS   | Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019.   |
| Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly) | By 15th of the following month              | By email at <a href="mailto:Participant-Interface@nsdl.co.in">Participant-Interface@nsdl.co.in</a> | Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019   |
| Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)  | By 15th of the following month              | Through e-PASS   | 1. Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019.<br>2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.  |