

Circular No.: NSDL/POLICY/2020/0092

July 08, 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/GM/EFD/13/2020–2021 dated June 26, 2020 (Copy enclosed) restraining and prohibiting the following entities from accessing the securities market and from buying, selling or dealing in securities, directly or indirectly in whatsoever manner, for a period of one year:-

Sr.no.	Name	Address if any
1	Shivkori Construction Pvt. Ltd.	95A, C.R. Avenue, 1st Floor, Kolkata, West Bengal 700073
2	Amanat Suppliers Pvt. Ltd.	33, CR Avenue, 9th Floor, Kolkata 700012
3	Lagan Dealtrade Pvt. Ltd.	P-38, Princep Street, 2nd Floor, Kolkata -700072

Participants are hereby advised 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)	By 10 th 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 st 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. 4. Circular No. NSDL/POLICY/2020/0083 dated June 16, 2020 5. Circular No. NSDL/POLICY/2020/0086 dated June 30, 2020
Compliance Certificate (January - June)	July 31 st 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 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	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.
Annual System Audit Report.	July 31, 2020	Through e-PASS	Circular No. NSDL/POLICY/2020/0071 dated May 19, 2020

