

Circular No.: NSDL/POLICY/2020/0098

July 27, 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 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 specified periods.

Sr. No.	Name	Address	Order detail	Date	Period
1	URO Autotech Ltd	-	WTM/GM/EFD /2020-21 1/08	18-May-20	4 Years
2	Sanjoy Chowhan	-	WTM/GM/EFD /2020-21 1/08	18-May-20	4 Years
3	Raju Landge	Hanuman Nagar, Parsik Retibandar, Mumbra, Thane 400 612	WTM/GM/EFD-I/DRA-II/16/2020-21	08-Jul-20	5 Years
4	Sujitkumar Amarnath Gupta	202 Welfare Society, Nehru Nagar, Marol Pipe Line, Andheri- East, Mumbai-400059	WTM/GM/EFD-I/DRA-II/16/2020-21	08-Jul-20	7 Years

Copy of the aforementioned SEBI orders 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: Two



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 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019.
System Audit Report (Annual)	July 31, 2020	Through e-PASS	1. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 2. Circular No. NSDL/POLICY/2020/0071 dated May 19, 2020