

Circular No.: NSDL/POLICY/2020/0133

October 14, 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 the following persons and entities from being associated with any intermediary registered with SEBI for the specific periods.

Sr. no.	Name	PAN	SEBI Order No.	Date	Period
1	Surekaben K Shah	BORPS0804Q	WTM/SM/IVD/ID7/8 825/2020-21	31-Aug-20	3 Years
2	Vishal Kumar Shah	AYBPS0534J			
3	Bavik Satish Badani	ALRPB9295L			
4	Bipin Bhikhabhai Patel	AIDPP3653M			
5	Narendra R Shah	AAPPS6559P			1 Year
6	Nand Lal Koiree	AREPK5807E	WTM/SM/ERO/ERO /9172/2020-21	25-Sep-20	4 Years
7	Ashok Saw	BLXPS0512A			
8	Mukesh Singh	BNVPS8079L			
9	Ganesh Thakur	AFOPT8328K			
10	Barun Kumar Rawani	AFPPR5448M			
11	Bisun Rawani	ANDPR8996C	WTM/SM/IVD/ID3/9 174/2020-21	25-Sep-20	3 Years
12	Subhash Sharma	AXCPS8189D			
13	Amit Sharma	AVRPS2826C			
14	Harish Ketan	AAHPK3325R			6 months

Copies of the aforementioned SEBI orders are 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: Three


National Securities Depository Limited

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 Corporate Identity Number: U74120MH2012PLC230380

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
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) - (Quarterly)	By 15th 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 15th 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
Networth Certificate and Audited Financial Statements for the FY 2019-20	October 31 st , 2020	By hard copy to Inspection Department	Circular No. NSDL/PI/98/414 dated September 1, 1998 Circular No. NSDL/POLICY/2020/0131 dated September 30, 2020
Risk Assessment Template (April - September)	October 31st, every year	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (April - September)	November 15th every year	Through e-PASS	Circular No. NSDL/POLICY/2020/0045 dated April 7, 2020