

Circular No.: NSDL/POLICY/DDP/2021/0001

January 5, 2021

**Subject: SEBI Circular regarding Framework for issue of Depository Receipts – Clarifications.**

Attention of Participants who are registered with SEBI as Custodian of securities (Custodians) is invited to SEBI circular no. SEBI/HO/MRD2/DCAP/CIR/P/2020/243 dated December 18, 2020 (copy enclosed) regarding clarifications on Framework for issue of Depository Receipts.

Custodians are requested to take note of the same.

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 <sup>th</sup> of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Networth Certificate and Audited Financial Statements for the FY 2019-20	January 31st, 2021	By hard copy to Inspection Department	1. Circular No. NSDL/PI/98/414 dated September 1, 1998 2. Circular No. NSDL/POLICY/2020/0131 dated September 30, 2020 3. Circular No. NSDL/POLICY/2020/0144 dated October 30, 2020
Compliance Certificate (July - December)	January 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2020/0152 dated November 19, 2020.
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15 <sup>th</sup> 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.
Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15 <sup>th</sup> of the following month.	By email at Participant-Interface@nsdl.co.in	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019