

Circular No.: NSDL/POLICY/2021/0074

Date: July 17, 2021

Subject: Capturing of Block with Early Pay-in Flag.

Attention of Participants is invited to SEBI Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2021/595 dated July 16, 2021 regarding Block Mechanism in demat account of clients undertaking sale transactions, NSDL Circular Nos.: NSDL/POLICY/2021/0058 and NSDL/POLICY/2021/0067 dated June 19, 2021 & July 02, 2021 respectively regarding Changes in file formats in respect of processing of Block mechanism in Back office and SPEED-e & SPICE.

Accordingly, in case if the client intends to avail Block with Early Pay-in facility, Participants are requested to obtain such instruction in format enclosed at **Annexure 1**.


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 10th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Internal/ Concurrent Audit Report (October 2020 – March 2021)	July 31, 2021.	Through e-PASS	1. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021 2. Circular No NSDL/POLICY/2021/0048 dated May 11, 2021
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)	July 31, 2021	By email at Participant-Interface@nsdl.co.in	1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021
Risk based Supervision of Participants (October 2020 – March 2021)	July 31, 2021	Through e-PASS	1. Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018 2. Circular No.: NSDL/ POLICY/2020/0082 dated June 16, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021
Annual System Audit Report for the period ended March 2021	July 31, 2021	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 3. Circular No. NSDL/POLICY/2020/0106 dated July 31, 2020 4. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021

Annexure 1

DP NAME and Logo	ANNEXURE TO DELIVERY INSTRUCTION FORM (FORM __) Block with Early Pay-in details	 NSDL Technology, Trust & Reach		
DP ID	I N	Client ID	DIS Serial No.	
I/We want to avail of block with Early Pay-in for this Delivery Instruction.			<input type="checkbox"/> Yes	
1. _____ 2. _____ 3. _____ Authorised Signatory(ies)				