

Circular No.: NSDL/POLICY/2023/0147

October 13, 2023

Subject: Addition of New Client Sub-Type for demat account opening.

All Participants are hereby informed that the following new client sub-type will be introduced in Client Maintenance Module of the DPM system to facilitate Participants to open demat accounts for below mentioned client.

Client Type (Existing)	Client Type code (Existing)	New Client Sub-type description	New Client sub-type code
Alternative Investment Fund (AIF)	15	Corporate Debt Market Development Fund	04

Participants are requested to make necessary changes in their back-office system as per the aforementioned static data code in respect of Client Maintenance Module of DPM System. The date of operationalising of the same will be intimated separately.

**For and on behalf of
National Securities Depository Limited**

**Arockiaraj
Manager**

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month	Through e-PASS	Para 20 of NSDL Master Circular for Participants on 'Grievance Redressal' chapter.
Networth Certificate and Audited Financial Statements (yearly)	October 31 st	Through e-PASS	Para 27 of NSDL Master Circular for Participants on Internal Controls/Reporting to NSDL / SEBI chapter and Circular Nos. 1.NSDL/POLICY/2023/0069 dated June 16, 2023, 2.NSDL/POLICY/2023/0122 dated September 11, 2023, 3.NSDL/POLICY/2023/0131 dated September 25, 2023.
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15 th of the following month.	Through e-PASS	Para 10 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter and NSDL/POLICY/2023/0142 dated October 05, 2023.
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15 th of the following month	Through e-PASS	Para 2.59 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter.
Internal/ Concurrent Audit Report (April - September)	November 15 th	Through e-PASS	Para 20.4 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter and Circular No. NSDL/POLICY/2023/0141 dated October 04, 2023.
Risk Assessment Template (April - September)	October 30 th	Through e-PASS	Para 7 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter.


National Securities Depository Limited

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Reporting of status of the surveillance alerts generated by Participants (Quarterly)

Within 15 days from end of the quarter

Through e-PASS

Para 11.7 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter.

