

Circular No.: NSDL/POLICY/2024/0045

April 10, 2024

Subject: Operational guidelines for upload of date(s) in respect of demat and remat requests processed by Participants.

Attention of Participants is invited to Circular no. NSDL/POLICY/2023/0171 dated December 06, 2023 regarding upload of below mentioned dates in e-DPM system with respect to demat / remat requests of clients processed by Participants mandatorily with effect from December 1, 2023:

- i) Date on which Demat/ Remat request documents were dispatched to RTA/ Issuer.
- ii) Date on which rejection letter was received from RTA/Issuer for rejected DRN/ RRN.
- iii) Date on which documents received from RTA/ Issuer for rejected DRN/ RRN were sent back to concerned client.

Participants are requested to take note of below mentioned timeline for compliance for aforesaid uploads:

Sr. No.	Particulars	Timeline for compliance
1.	Uploading date on which demat/ remat request form along with supporting documents (if any) were dispatched by Participant to Registrar and Transfer Agents (RTAs)/ Issuer.	Participant shall forward the Demat request form along with the security certificates /Remat Request Form received from client to the RTA/ Issuer within seven days of accepting the same from its Client.
2.	Uploading date on which rejection letter along with supporting document (if any) was received from RTA/Issuer for rejected Demat Request/ Remat Request	Date of actual receipt of rejection letter from RTA/Issuer should be captured. For example, rejection letter is received from the RTA/Issuer on April 1, then the Participant should enter the same date (April 1) in the system at the earliest.
3.	Uploading of date on which documents received from RTA/ Issuer for rejected DRN/ RRN were sent back to respective client(s).	Participant shall send the documents back to respective clients within seven days from the date of receipt of documents from RTAs/Issuer for the rejected DRN/RRN.

Participants are requested to take note of the above and ensure compliance.

For further information / assistance, Participants are requested to contact Ms. Nimita Shah (022) 24994227; Ms. Mansi Chheda Tel: (022) 24994560 and/or Mr. Vikas Tiwari Tel: (022) 42165723 or send an email on NSDL-BP-INSPECTION@nsdl.com.

**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	1. Para 20 of NSDL Master Circular for Participants on 'Grievance Redressal' chapter. 2. Circular No.: NSDL/POLICY/2023/0161 dated November 13, 2023
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Annually)	Within three months of the end of the financial year	Through e-PASS	Circular No.: NSDL/POLICY/2024/0003 dated January 05, 2024
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.
Reporting of status of the 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.
Risk based Supervision of Participants (Half yearly)	By April 30 th	Through e-PASS	Para 7 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter.
Tariff Sheet (Yearly)	By April 30 th	Through e-PASS	Circular No.: NSDL/POLICY/2023/0158 dated November 09, 2023
Internal/ Concurrent Audit Report (Half yearly)	By May 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/2024/0042 dated April 08, 2024