

National Securities Depository Ltd.



Participant Interface

Circular

Circular No.: NSDL/POLICY/2013/0035

Date: March 4, 2013

Sub: *Reminder - SEBI Notification of the NISM – Series – VI: Depository Operations Certification Examination*

Attention of Participants is invited to SEBI's Notification dated March 29, 2011 (*Ref.: Circular Nos. NSDL/POLICY/2011/0040 dated May 3, 2011 and NSDL/POLICY/2011/0096 dated November 23, 2011*) (*copies enclosed*) in terms of which 'Associated Persons' engaged or employed by a Participant in specified area of operations were advised to obtain certification from National Institute of Securities Markets (NISM) by passing the NISM Series- VI: Depository Operations Certification Examination (DOCE).

As per the aforesaid SEBI Notification, those persons who are engaged or employed by the Participant after March 29, 2011 (*i.e. from March 30, 2011 onwards*), must obtain DOCE within 1 year from the date of his employment and the persons who were engaged or employed by the Participant as on March 29, 2011, must obtain DOCE by March 28, 2013. Participants are advised to ensure compliance with the same.

For and on behalf of
National Securities Depository Limited

Nitin Ambure
Vice President

Encl: a/a

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10th of the following month.	By email at dp_igreport@nsdl.co.in. Alternatively, by hard copy to the Investor Relationship Cell.	1. Circular No. NSDL/PI/98/500 dated October 6, 1998. 2. Circular No. NSDL/PI/2004/1688 dated September 16, 2004.
Charge Structure.	April 30th every year.	By email at dpfees@nsdl.co.in	Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006 and Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007.



Time limit for Participants to upload existing Client's [<i>who trade/ invest/ deal with it during January 1, 2013 - February 28, 2013</i>] KYC data on KRA system & send KYC documents to KRA	March 15, 2013	Not Applicable	Circular No. NSDL/POLICY/2012/0043 dated April 16, 2012.
Time limit for obtaining NISM-Series-VI: Depository Operations Certification Examination (DOCE) for the persons who were engaged or employed by the Participant as on March 29, 2011.	March 28, 2013	Not Applicable	Circular No. NSDL/POLICY/2011/0040 dated May 3, 2011 and Circular No NSDL/POLICY/2011/0096 dated November 23, 2011