National Securities Depository Ltd.

Participant Interface
Circular

Circular No.: NSDL/POLICY/2013/0040 Date: March 13, 2013

Sub: SEBI Notification – NISM-SICCE

Attention of Participants is invited to SEBI's Notification dated March 11, 2013 regarding notification *(copy enclosed)* requiring certification from the National Institute of Securities Markets *(hereinafter referred to as "NISM")* for Compliance Officers of Participants by passing the NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination *(referred to as "SICCE")* in stipulated period.

Participants are advised to ensure compliance with the same.

For and on behalf of
National Securities Depository Limited

Samar Banwat
Senior 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 [*who trade/ invest/ deal with it during January 1, 2013 - February 28, 2013*] 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 Participants on March 28,	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

Signature Not Verified
Digitally signed by BANWAT SAMAR
Date: 2013.03.13 16:13:13 +05:30
Reason: Authentication
Location: NSDL, Mumbai