Circular No.: NSDL/POLICY/2016/0079 Date: September 30, 2016

Subject: Risk based supervision of Participants.

As Participants are aware, SEBI had formulated a Risk Assessment Template for risk assessment of Participants in which information needs to be provided to SEBI on half-yearly basis. Accordingly, information related the Participants is required to be provided by Participant in Risk Assessment template on half-yearly basis to depositories. In this regard, Participants are requested to take note of the following:

1. The information for the half-year ended September 30, 2016 must be provided in Risk Assessment Template (RAT) **on or before October 20, 2016**.

2. RAT is required to be submitted to NSDL through the online platform e-PASS using login credentials. In case there is any change in Compliance Officer's name, email ID and mobile number, Participants are requested to inform the same as per procedure communicated vide Circular no. NSDL/PI/2005/2550 dated December 29, 2005 (copy enclosed).

3. A .pdf template containing information to be provided by Participant to NSDL now made available in menu "Risk Assessment File Upload" under "Transaction" option, instead of separately providing .pdf template through email as done previously.

4. The information being provided by the Participant would have to be digitally signed by Compliance Officer and Internal Auditor of the Participant. In case of change in digital signature certificate of compliance officer or auditors, inform the same to NSDL as per the format given in Circular No. NSDL/POLICY/2015/0007 dated January 13, 2015 (copy enclosed).

5. The information which is provided by NSDL on behalf of the Participant will be made available on the e-PASS separately and an intimation about the same will be sent by email.

6. Submission of information for risk assessment after due date will be treated as non submission of information. Accordingly, Participants are requested to ensure that the information is submitted on or before October 20, 2016.

7. The Participants will be responsible for accuracy of all the information which will be provided in Risk Assessment Template. Therefore, Participants should ensure that correct information is provided and verify the information being provided by NSDL on behalf of the Participant.

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

For and on behalf of
National Securities Depository Limited

Prashant Prachand
Assistant Vice President

Enclosed: Three

FORTHCOMING COMPLIANCE			
Particulars	**Deadline**	**Manner of sending**	**Reference**
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e-PASS	1. Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015.
Networth Certificate and Audited Financial Statements.	September 30th every year.	By hard copy to Participant Interface Department.	Circular No. NSDL/PI/98/414 dated September 1, 1998.

Digitally signed by
Name : Prashant Prachand
Date : 9/30/2016 9:39:44 PM
Reason : Authentication