Circular No.: NSDL/TRAINING/2017/0009 Date: October 31, 2017

Subject: NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination Continuing Professional Education (CPE) program scheduled at Mumbai in December 2017

All Participants are hereby informed that NSDL will conduct One day CPE program for Securities Intermediaries Compliance (Non-Fund) i.e. **NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination** at **Mumbai** on **December 23, 2017** for associated persons.

The details of CPE training program are enclosed at Annexure.

For and on behalf of
National Securities Depository Limited

Ravindra Sahu
Senior Manager

Enclosed: One

FORTHCOMING COMPLIANCE			
Particulars	**Deadline**	**Manner of sending**	**Reference**
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Networth Certificate and Audited Financial Statements.	October 31st for financial year 2016-17.	By hard copy to Participant Interface Department.	1. Circular No. NSDL/PI/98/414 dated September 1, 1998. 2. Circular No. NSDL/POLICY/2017/0055 dated September 25, 2017
Internal/ Concurrent Audit Report (April - September)	November 15th every year	Through e-PASS	Circular No. NSDL/POLICY/2017/0041 dated July 5, 2017

Digitally signed by
Name : Ravindra Sahu
Date : 10/31/2017 7:31:41 PM
Reason : Authentication