Circular No.: NSDL/POLICY/2017/0060 Date: October 13, 2017

Subject: Frequently Asked Questions in respect of reliance on the records of client due diligence (KYC) carried out by a third party.

Attention of Participants is invited to Frequently Asked Questions (FAQs) released by SEBI on October 12, 2017 in respect of reliance on the records of client due diligence (KYC) carried out by a third party. Copy of the same is enclosed for reference.

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

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
Risk based supervision of Participants	October 23, 2017	Through e-PASS	Circular No. NSDL/POLICY/2017/0020 dated March 31, 2017
Internal/ Concurrent Audit Report (April - September)	November 15th every year	Through e-PASS	

Digitally signed by
Name : SAHU RAVINDRA KUMAR
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