Circular No.: NSDL/TRAINING/2018/0002 Date: April 23, 2018

Subject: Training Programs for Auditors appointed by Participants for depository operations.

All Participants are aware that NSDL conducts training programs annually for auditors appointed by the Participants. These training programs facilitate internal and concurrent auditors and also staff of Participants to understand various compliance issues arising out of guidelines issued by SEBI / NSDL from time to time.

NSDL will be conducting one day non residential training program at five locations (schedule given below) for the benefit of the internal and concurrent auditors and staff of Participants. Training programs will mainly focus on the following aspects of depository operations:

- Compliance with the requirements of The Depositories Act, 1996, SEBI (Depositories & Participants) Regulations, 1996, Prevention of Money Laundering Act, 2002, NSDL Bye Laws and Business Rules and various circulars issued by SEBI / NSDL from time to time.
- Compliance with respect to management of NSDL DPM.
- Methodology used by NSDL for conducting inspection of its Participants and
- Frequently made observations during the NSDL inspections and during review of Internal / Concurrent audit reports.

Training program would be useful for:

- Internal and concurrent auditors appointed by Participants who are interested in enhancing their knowledge about various compliance requirements associated with depository operations.
- Existing officials of the Participants who are interested in enhancing their knowledge about various compliance requirements associated with depository operations.
- New entrants in the depository operations / system department of the Participant.

Details of training program:

1) Schedule:

Sr. No.	Location	Date of Training Program	Last date for sending Nomination
1	Mumbai – I	May 19, 2018	May 15, 2018
2	New Delhi	May 19, 2018	May 15, 2018
3	Kolkata	May 19, 2018	May 15, 2018

Sr. No.	Location	Date of Training Program	Last date for sending Nomination
4	Mumbai - II	June 2, 2018	May 30, 2018
5	Ahmedabad	June 2, 2018	May 30, 2018
6	Chennai	June 9, 2018	June 6, 2018

2) Prior nomination is mandatory. Participant must mandatorily nominate at least one person (no upper limit) from the team of internal / concurrent auditors for training program. Participants may nominate any number of their own staff for the training programs.

Interested auditors, not nominated by any Participant may forward their own nominations directly to NSDL along with the applicable fee.

3) As there are limited seats for the training programs to be held at Mumbai, training dates will be allotted to nominees based on 'First Come First Served' basis.

4) Participants may send their nominations by sending an email at **participant-interface@nsdl.co.in** in the format given below :

Sr. no.	Date of training program	Location of training program	DP ID	Name of the Participant / Audit firm	Name of the person attending	e-mail ID of the person attending	Mobile number (*only 10 digit number to be provided*) of the person attending

5) Registration Fee of ₹ 1,534 / - only (₹ 1,300 plus 18% GST) per person shall be charged as nomination fee for the program. Amount shall be included in the next month's bill (June 2018 and July 2018) and shall be payable irrespective of actual number of persons attending the program.

6) Digitally signed 'Participation Certificate' will be issued to those participants who appear for written test which will be conducted at the end of each program.

7) Training related material will be provided at the training venue.

8) Details of the venue and timings will be communicated later to the Participants through email / SMS / notification on NSDL web site.

For more information / clarification, Participants are requested to contact the following officials:

Name of the official	Telephone Number
Mr. Sandeep Jadhav	(022) 2499 4535
Ms. Binaifer Billimoria	(022) 2499 4511
Mr. Gopi Yadava	(022) 2499 5061

For and on behalf of
National Securities Depository Limited

Ravindra Sahu
Senior Manager

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
Charge Structure	April 30th every year.	By email at dpfees@nsdl.co.in	1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007.
Internal/ Concurrent Audit Report (October - March)	May 15th every year	Through e-PASS	Circular No. NSDL/POLICY/2018/0016 dated March 16, 2018

Digitally signed by
Name : Ravindra Kumar Sahu
Date : 4/23/2018 8:28:27 PM
Reason : Authentication