Circular No.: NSDL/POLICY/2019/0068 October 18, 2019

Subject: SEBI Master Circular on Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) /Obligations of Securities Market Intermediaries under the PMLA, 2002 and Rules framed there under.

Attention of Participants is invited to SEBI Master Circular no. SEBI/ HO/ MIRSD/ DOP/ CIR/ P/ 2019/113 dated October 15, 2019 regarding guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) /Obligations of Securities Market Intermediaries under the PMLA, 2002 and Rules framed there under.

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

For and on behalf of
National Securities Depository Limited

Chirag Shah
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 (Yearly)	October 31st for financial year 2018-19.	By hard copy to Participant Interface Department.	1. Circular No. NSDL/PI/98/414 dated September 1, 1998. 2. Circular No. NSDL/POLICY/2019/0065 dated October 1, 2019
Risk Assessment Template (April - September)	October 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (April - September)	November 15th every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0063 dated September 25, 2019

Digitally signed by
Name : Chirag Shah
Date : 10/18/2019 5:46:01 PM
Reason : Authentication