

Circular No.: NSDL/POLICY/2025/0017

February 12, 2025

Subject: Facility for submission of NISM Certification details of Compliance Officers by Participants through NSDL e-PASS Portal.

Attention of Participants is invited to Circular no. NSDL/POLICY/2013/0040 dated March 13, 2013 wherein the associated persons functioning as compliance officers engaged or employed by a registered Participant are required to have certification from National Institute of Securities Markets (NISM) by passing the ***NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination ("SICCE")***.

Participants are hereby informed that NSDL has developed a facility for submitting aforesaid details through online portal i.e., NSDL e-PASS (<https://www.epass.nsd.com/epass/>).

Participants are advised to submit the information of **NISM-Series-III-A (SICCE)** certification details of existing compliance officers and alternate compliance officers by **February 25, 2025** through NSDL e-PASS portal. Subsequently, the NISM details in respect of compliance officers and alternate compliance officers shall be updated whenever there is a change in compliance officer and alternate compliance officer or whenever the NISM certification expires.

The procedure for submitting the **NISM-Series-III-A (SICCE)** certification details on e-PASS and salient features are enclosed as **Annexure A**. The existing maker / checker user of Participants are able to access aforesaid feature on e-PASS through their existing log-in IDs.

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

**For and on behalf of
National Securities Depository Limited**

**Arockiaraj
Manager**

Enclosed: one



FORTHCOMING COMPLIANCE

Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month	Through e-PASS	Para 22 of 'Grievance Redressal' chapter and Para 28 of 'Internal Controls/Reporting to NSDL/SEBI' chapter of NSDL Master Circular for Participants
Compliance report w.r.t Same Mobile number and/ or email address captured for multiple accounts. (monthly)	Before 25 th of following month	Through Email.	Circular No.: NSDL/POLICY/2024/0115 dated August 21, 2024



Annexure A

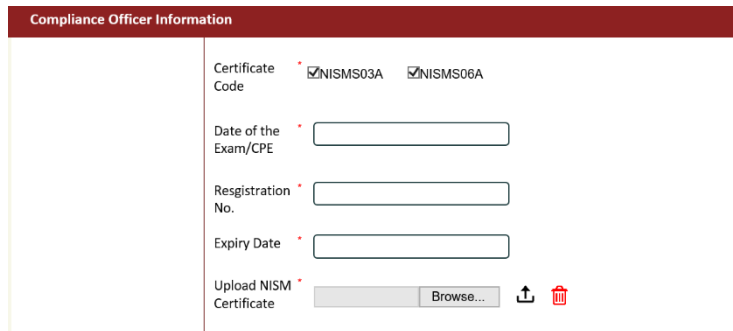
Procedure for submitting NISM-Series-III-A (SICCE) certification details for Compliance Officer

1. Submission through DP Maker login:

After login to e-PASS, for updating NISM details click on 'e-info' → 'Compliance Officer'



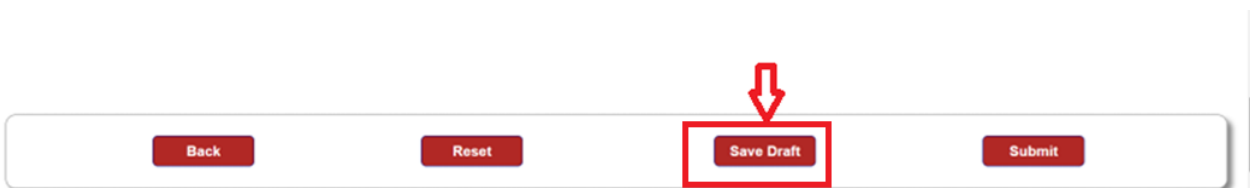
On clicking on "Compliance Officer", DP Maker can edit the pre-populated details of compliance officer as available in NSDL records by clicking on "Edit". DP Maker is required to fill-up NISM details i.e. Certificate Code, Date of the NISM exam / CPE, Registration Number, Expiry date and copy of NISM certificate as exhibited below:



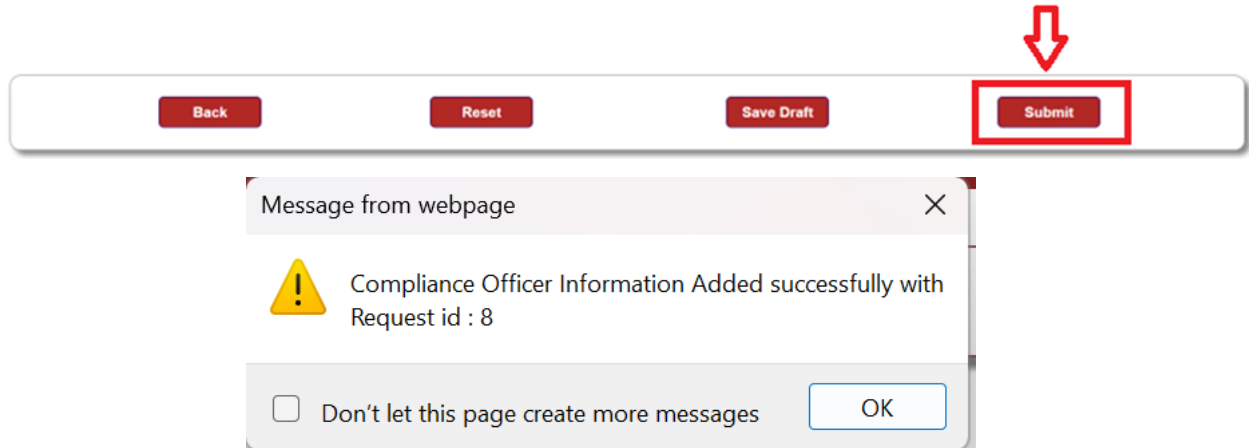
The screenshot shows the 'Compliance Officer Information' form. It contains the following fields and options:

- Certificate Code: NISMS03A NISMS06A
- Date of the Exam/CPE:
- Registration No.:
- Expiry Date:
- Upload NISM Certificate: Browse...

After updating the required details pertaining to compliance officer, DP Maker need to click on "Save Draft" button to capture the necessary details. The same is exhibited as below:



DP Maker need to click on “Submit” button so that the request is submitted to “DP Checker” for review and approval, as exhibited below:

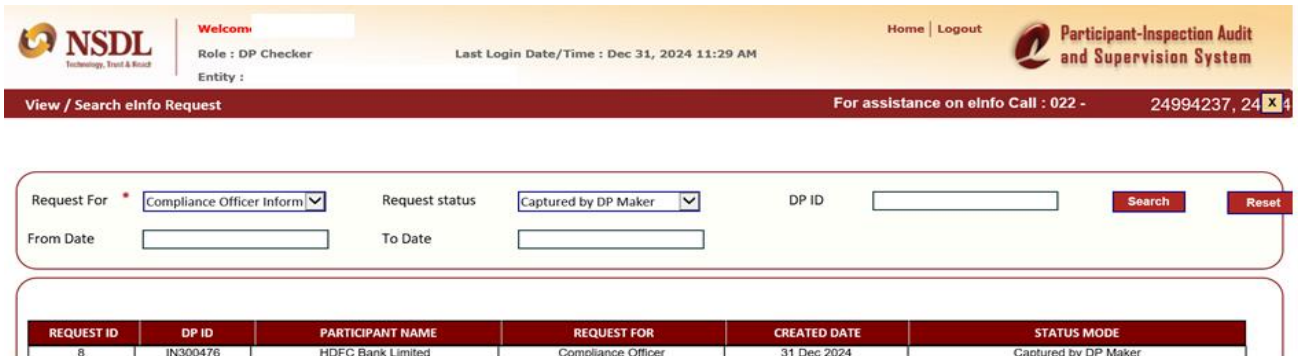


2. Process of Approval / Rejection of details by DP Checker on e-info:

Once the details are captured by Maker user, same needs to be verified by the user having Checker rights (i.e. Compliance Officer/ Alternative Compliance Officer) for submission to NSDL. DP Checker user can view the requests captured by DP Maker, after login to e-PASS, click on “e-info” → “Verify/Search Pending Requests”.



DP Checker can Select the type of request from the drop-down list and select request status as “Captured by DP Maker” and click on the tab “Search” as exhibited below:



After applying “**Search**” filter, all request raised by DP Maker will appear on the screen, DP Checker can view the request details and changes captured by the DP Maker by clicking on the respective record. Fields modified by DP Maker will be highlighted in “Yellow” color for easy identification. DP Checker does not have any rights to modify any details as submitted by DP Maker. DP Checker can only ‘Approve’ or ‘Reject’ the request as submitted by DP Maker. In case of any correction required to be done by DP Checker, he can ‘Reject’ the request by providing the reason for such rejection. On rejecting the request, the request will be sent back to DP Maker for making necessary changes and re-submitting the same.

Compliance Officer Information	
Certificate Code	<input checked="" type="checkbox"/> NISMS03A <input checked="" type="checkbox"/> NISMS06A
Date of the Exam/CPE	<input type="text" value="01/12/2024"/>
Registration No.	<input type="text" value="REG12345"/>
Expiry Date	<input type="text" value="31/12/2026"/>
Upload NISM Certificate	<input type="text" value="TESTDOCUMENT.pdf"/>

After selecting the details captured by DP maker, DP checker can view the details as exhibited below. On selecting “Approve” and then clicking on tab “Submit”, the request will be submitted to NSDL for review and approval.

<input type="radio"/> Approve	<input type="radio"/> Reject
<input type="button" value="Back"/>	<input type="button" value="Submit"/>

In case of rejection, DP can reject the request selecting **Reject** option and DP checker will have to add remark for rejecting the request as **exhibited below**. DP Maker/ Checker user will be able to view the rejected requests in “**View/Search Pending Request**”.

Rejection Reason : <input type="text"/>	<input type="radio"/> Approve <input checked="" type="radio"/> Reject
<input type="button" value="Back"/>	<input type="button" value="Submit"/>

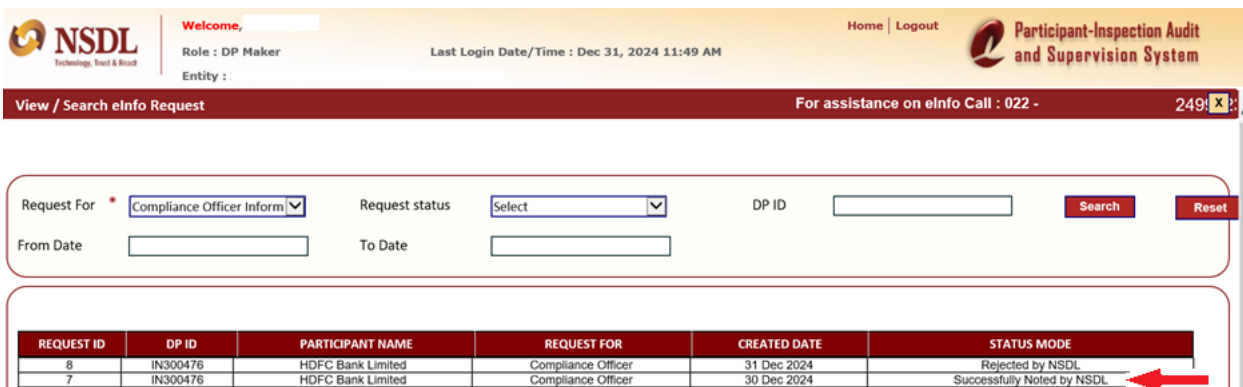


3. Tracking of status of Application and Approval / Rejection by NSDL:

On successfully submitting the details by DP Checker, the request will be submitted to NSDL for review and approval and the status of request will be reflected as **“Verified by DP Checker/Under process at NSDL”**.

3.1 Approval of Request by NSDL:

NSDL will review the request submitted by participant and if all the details captured correctly, NSDL will approve the request and the status of request will change to **“Successfully Noted by NSDL”**. No further action will be required by the Participant on the said request.



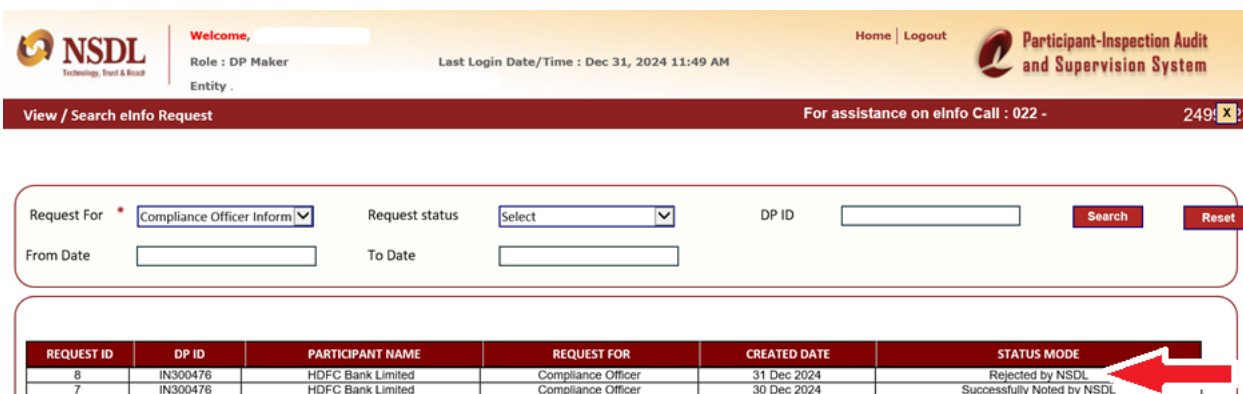
The screenshot shows the NSDL interface with the following details:

- Header: NSDL Technology, Trust & Reach. Welcome, [User]. Role: DP Maker. Last Login Date/Time: Dec 31, 2024 11:49 AM. Home | Logout. Participant-Inspection Audit and Supervision System.
- Navigation: View / Search eInfo Request. For assistance on eInfo Call : 022 - 249XXXX.
- Search Filters: Request For: Compliance Officer Inform; Request status: Select; DP ID: [Empty]; From Date: [Empty]; To Date: [Empty]. Search and Reset buttons are present.
- Table Data:

REQUEST ID	DP ID	PARTICIPANT NAME	REQUEST FOR	CREATED DATE	STATUS MODE
8	IN300476	HDFC Bank Limited	Compliance Officer	31 Dec 2024	Rejected by NSDL
7	IN300476	HDFC Bank Limited	Compliance Officer	30 Dec 2024	Successfully Noted by NSDL

3.2 Rejection of request by NSDL:

NSDL will review the request submitted by Participant and in case of any discrepancy will reject the request with necessary remarks. On rejection of request by NSDL, the status of request will change to **“Rejected by NSDL”**. In such cases, DP will have to initiate the fresh request for updating the details to NSDL by following the steps/ process as mentioned in point no. 1 above and checker will have to approve/submit report by following the steps/ process mentioned at point no. 2 above.



The screenshot shows the NSDL interface with the following details:

- Header: NSDL Technology, Trust & Reach. Welcome, [User]. Role: DP Maker. Last Login Date/Time: Dec 31, 2024 11:49 AM. Home | Logout. Participant-Inspection Audit and Supervision System.
- Navigation: View / Search eInfo Request. For assistance on eInfo Call : 022 - 249XXXX.
- Search Filters: Request For: Compliance Officer Inform; Request status: Select; DP ID: [Empty]; From Date: [Empty]; To Date: [Empty]. Search and Reset buttons are present.
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