

Circular No.: NSDL/POLICY/2021/0068

July 06, 2021

Subject: Mandatory updation of Income range details in Demat accounts.

Attention of Participants is invited to NSDL Circular No. NSDL/POLICY/2021/0036 dated April 07, 2021 regarding Mandatory updation of certain attributes of KYC of clients & subsequent NSDL Circular No. NSDL/POLICY/2021/0062 dated June 23, 2021 regarding Changes in File Formats with respect to DPM Version Release 7.40 for facilitating the updation of the KYC attributes of the clients.

- In this context, considering that the income range details field shall get introduced in the DPM System version 7.40 to be released on EOD of July 23, 2021, in order to ensure that the timelines with respect to updation of 6-KYC attributes which includes the income details, for existing clients is adhered to, Participants are advised to extract the records of income range details of their existing clients in the format – DP ID, Client ID, Income Range code. The Income range details have been assigned appropriate codes in the aforesaid file formats related circular as stated below and the same shall be used.

Particulars	Code	Income Range
Gross Annual Income (Individual)	01	Below 1 Lac
	02	1-5 Lacs
	03	5-10 Lacs
	04	10-25 Lacs
	05	More than 25 Lacs
Gross Annual Income (Non - Individual) - I	01	Below 20 Lac
	02	20-50 Lacs
	03	50-1 Crore
	04	More than 1 Crore
Gross Annual Income (Non - Individual) -II	11	Below 1 Lac
	12	1-5 Lacs

Particulars	Code	Income Range
	13	5-10 Lacs
	14	10-25 Lacs
	15	25 Lacs – 1 Crore
	16	More than 1 Crore

2. A facility has been made available for uploading the above data on "www.epass.nsd.com".
- a) A Menu will be provided to DPs on www.epass.nsd.com for uploading Annual income range details.
 - b) Menu Name will be DP Periodical Reports → Annual Income range
 - c) This menu will be provided under existing maker, checker and compliance officer login.
 - d) File Name for uploading the data should be DPID_Annual_Range_01.csv.
 - e) File size should be less than 30MB only, if data is more than 30MB then split the data and upload it with name DPID_Annual_Range_02.csv and so on.
 - f) The file will contain data of annual income range e.g. DPID, Client ID and Annual income range code. Sample is given below.

IN300123,12345678,01

IN300234,23456789,11

- g) No Header is required in file.

3. Account-wise income range details would then be updated in the existing client accounts in the Depository system by NSDL.

Participants are advised to take note of the above and ensure to upload the requisite data as per prescribed process by July 8, 2021.

For and on behalf of

National Securities Depository Limited

Chirag Shah

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
Internal/ Concurrent Audit Report (October 2020 – March 2021)	July 31, 2021.	Through e-PASS	1. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021 2. Circular No. NSDL/POLICY/2021/0048 dated May 11, 2021
Compliance Certificate (January - June)	July 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019.
Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	July 31, 2021	By email at Participant-Interface@nsdl.co.in	1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15th of the following month.	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.
Risk based Supervision of Participants (October 2020 – March 2021)	July 31, 2021	Through e-PASS	1. Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018 2. Circular No.: NSDL/ POLICY/2020/0082 dated June 16, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021
Annual System Audit Report for the period ended March 2021	July 31, 2021	Through e-PASS	1. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 2. Circular No. NSDL/POLICY/2020/0071 dated May 19, 2020 3. Circular No. NSDL/POLICY/2020/0106 dated July 31, 2020 4. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021