

Circular No.: NSDL/POLICY/2024/0050

April 18, 2024

**Subject: Submission of Annual System Audit Report.**

Attention of Participants is invited to Circular Nos. NSDL/POLICY/2022/172 dated December 12, 2022 & NSDL/POLICY/2023/0017 dated February 07, 2023 wherein the guidelines were given related to the audit scope and timelines for submission of audit report and subsequent action taken report (ATR). The guidelines are based on the SEBI circular '*Modification in Cyber Security and Cyber Resilience framework for Stock Brokers / Depository Participants dated June 07, 2022*'.

The timelines for submission of the audit report and the action taken report (ATR) if any, have been specified as below:

<b>Audit Period</b>	<b>Due date for submission of audit report (preliminary) to NSDL</b>	<b>Action Taken Report (ATR) Submission (if applicable)</b>
April 01, 2023 to March 31, 2024	June 30, 2024	August 31, 2024

The System Auditor can fill and submit the Annual System Audit Report online through e-PASS platform using their login credentials. This facility will be made available to Participants with effect from **May 02, 2024**. The action taken report (ATR) for 'non-compliant' points should be submitted at [dpaudit@nsdl.com](mailto:dpaudit@nsdl.com)

Participants are required to adhere to the above dates for submission of the reports to NSDL.

For any clarifications, kindly email at [dpaudit@nsdl.com](mailto:dpaudit@nsdl.com). For technical queries or assistance for submission in the portal, Participants are requested to contact **Tel: (022) 42165573 /** [harshadap@nsdl.com](mailto:harshadap@nsdl.com) / [snehal.patil@nsdl.com](mailto:snehal.patil@nsdl.com).

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

**Arockiaraj  
Manager**



FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report <b>(Monthly)</b>	By 10 <sup>th</sup> of the following month	Through e-PASS	1. Para 20 of NSDL Master Circular for Participants on 'Grievance Redressal' chapter. 2. Circular No.: NSDL/POLICY/2023/0161 dated November 13, 2023
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) <b>(Annually)</b>	Within three months of the end of the financial year	Through e-PASS	Circular No.: NSDL/POLICY/2024/0003 dated January 05, 2024
Risk based Supervision of Participants <b>(Half yearly)</b>	By April 30 <sup>th</sup>	Through e-PASS	Para 7 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter.
Tariff Sheet <b>(Yearly)</b>	By April 30 <sup>th</sup>	Through e-PASS	Circular No.: NSDL/POLICY/2023/0158 dated November 09, 2023
Internal/ Concurrent Audit Report <b>(Half yearly)</b>	By May 15 <sup>th</sup>	Through e-PASS	Para 20.4 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter and Circular No.: NSDL/POLICY/2024/0042 dated April 08, 2024

