



Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLICY/2025/48

January 20, 2025

ONLINE FACILITY FOR MANDATORY SUBMISSIONS TO CDSL BY DEPOSITORY PARTICIPANTS

DPs are advised to refer our Communiqué CDSL/AUDIT/DP/POLICY/2023/658 dated November 10, 2023 regarding online facility for mandatory submissions to CDSL by depository participants.

DPs are advised to note that an online facility is made available for the following additional mandatory submissions to CDSL by the Depository Participants (DPs) with effect from January 2025.

Sr. No.	Mandatory Submission to CDSL by DPs	Timeline for submission	Frequency
1.	Modification in URL reported to CDSL within 3 days of such changes	By 10 th of the succeeding month (i.e. by 10 th February for the Month of January)	Monthly
2	Non profit organization transactions report by 15th of next month to FIU-Ind	By 20 th of the succeeding month (i.e. by 20 th February for the Month of January)	Monthly
3	Details of all the associated persons other than those engaged in basic elementary/clerical activities are NISM Series VI - DOCE certified.	By 31 st of the succeeding month (i.e. by 31 st January for the Period ending December and July 31 for the period ending June)	Half Yearly
4	Details of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination ("SICCE") obtained by Compliance Officer of the DP as per SEBI notification dated 11th March 2013.	By 31 st of the succeeding month (i.e. by 31 st January for the Period ending December and July 31 for the period ending June)	Half Yearly



Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

DPs are advised to note that any change in their URL must be reported to CDSL immediately via email at 'cdslinspection@cdslindia.com' and subsequently submit the monthly report through '<https://auditweb.cdslindia.com>' by 10th of the following month.

A manual for all above-mentioned submissions is enclosed as Annexure I.

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 6234-3143, 6234-3082, 6234-3084, 6234-3073, 6234-3076.

**For and on behalf of
Central Depository Services (India) Limited**

sd/-

**Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance**



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

Annexure I - Manual for Submissions

1. Information on the Non-Profit Organization Transaction Reports (NTRs) filed with FIU-IND:

- (i) Submission through: <https://auditweb.cdslindia.com> – After logging in, select the Audit Type as 'Non-Profit Organization Transactions' and choose the appropriate 'Audit Month'.

The screenshot shows the 'AUDIT APPLICATION' page. It features three input fields: 'Select Audit Type', 'Select Audit Month', and 'Select DP / RTA'. The 'Select Audit Type' dropdown is open, displaying a list of options: BO Grievance, Internal Audit Report, Half Yearly Compliance Certificate, Concurrent Audit, FATF Public Statements, NISM CERTIFICATION, Non Profit Organisation Transactions (highlighted), and URL Modification Reporting. Below the dropdown, there are links for 'Mandatory Reporting by DP' and 'View Investor Complaints'. The footer contains the copyright notice: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'

- (ii) If no 'NTR' is submitted by the DP to FIU-IND for the selected month, the DP can submit a 'Nil' report by selecting 'Yes' under the tab 'DO YOU WANT TO SUBMIT NIL REPORT' followed by 'Submit to CDSL' to complete the submission process.

The screenshot shows the 'NPOT INFORMATION' form. It contains the following fields: 'Do YOU WANT TO SUBMIT NIL REPORT' (dropdown menu with 'Yes' selected), 'SCHEDULE No' (input field with '2024121845'), 'SCHEDULE MONTH' (input field with 'December-2024'), 'DP ID' (input field with a blacked-out value), and 'DP NAME' (input field with a blacked-out value). At the bottom, there are two buttons: 'Submit To CDSL' (blue) and 'Cancel' (red). The footer contains the copyright notice: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

(iii) If the DP has reported 'NTRs' to FIU-IND for the selected month, select '**No**' under the tab '**DO YOU WANT TO SUBMIT NIL REPORT**' and provide the following information:

- The '**DATE**' on which NTRs were submitted to FIU-IND,
- The '**NUMBER OF TRANSACTION**' reported to FIU-IND, and
- '**REMARKS**' if any.

If '**NTRs**' were submitted to FIU-IND on multiple dates, the DP can select 'Save' and proceed to the next entry.

NPOT INFORMATION			
* Do you want to submit Nil Report	No		
* SCHEDULE No	2024121845	* SCHEDULE MONTH	December-2024
* DP ID	[REDACTED]	* DP NAME	[REDACTED]
* DATE	DD-MM-YYYY Required	* NUMBER OF TRANSACTION	
* REMARKS			
<p>Save Submit To CDSL Cancel</p> <p><small>Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.</small></p>			

Once all information is provided, click on '**Save**' and '**Submit to CDSL**' to complete the submission process.

(iv) Please note that once the '**Submit To CDSL**' button is clicked, the DP will no longer be able to submit any information or details for that scheduled month.



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

2. Intimation to CDSL Regarding Any Modification in the DP's URL:

- (i) Submission through: <https://auditweb.cdslindia.com> – After logging in, select audit type: 'URL Modification Reporting' and select appropriate Audit Month.

- (ii) If there is no URL modification in the selected month, select 'Yes' under the tab 'DO YOU WANT TO SUBMIT NIL REPORT' and then click 'Submit To CDSL' to complete the submission process.



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

(iii) In case there has been change in URL in the selected month, select '**No**' under the tab '**DO YOU WANT TO SUBMIT NIL REPORT**' and provide the following information:

- '**EMAIL TO CDSL DATE**' – Date on which email sent to CDSL informing the changes in URL
- '**URL MODIFICATION DATE**'
- '**EXISTING URL**' and '**NEW URL**'
- '**REMARKS**', if any.

The screenshot shows a web form titled 'URL MODIFICATION REPORTING' within an 'AUDIT APPLICATION' window. The form contains the following fields and controls:

- ARE YOU SUBMIT NIL REPORT:** A dropdown menu with 'No' selected.
- SCHEDULE No:** A text input field containing '2024121574'.
- SCHEDULE MONTH:** A dropdown menu with 'December-2024' selected.
- DP ID:** A text input field with a blacked-out value.
- DP NAME:** A text input field with a blacked-out value.
- EMAIL TO CDSL DATE:** A date input field with a placeholder 'dd-mm-yyyy' and a 'Required' label.
- URL MODIFICATION DATE:** A date input field with a placeholder 'dd-mm-yyyy' and a 'Required' label.
- EXISTING URL:** A text input field.
- New URL:** A text input field.
- REMARKS:** A large text area for additional information.

At the bottom of the form, there are three buttons: 'Save' (blue), 'Submit To CDSL' (blue), and 'Cancel' (red). A copyright notice is visible at the very bottom: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'

Once all information is provided, click on '**Save**' and '**Submit To CDSL**' to complete the submission process.

(iv) Please note that once the '**Submit To CDSL**' button is clicked, the DP will no longer be able to submit any information or details for that scheduled month.



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

3. NISM Certification details of Compliance Officer and Associated Persons of DPs to CDSL:

- (i) Submission through: <https://auditweb.cdslindia.com> – After logging in, select audit type: 'NISM CERTIFICATION' and select appropriate Audit Month.

The screenshot shows the 'AUDIT APPLICATION' form on the Central Depository Services (India) Limited website. The form has three main sections: 'Select Audit Type', 'Select Audit Month', and 'Select DP / RTA'. A dropdown menu is open for 'Select Audit Type', showing options: BO Grievance, Internal Audit Report, Half Yearly Compliance Certificate, Concurrent Audit, FATF Public Statements, NISM CERTIFICATION (highlighted), Non Profit Organisation Transactions, and URL Modification Reporting. Below the dropdown, there are links for 'Mandatory Reporting by DP' and 'View Investor Complaints'. The footer contains the copyright notice: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'

- (ii) If there is no information to report for the schedule month, select 'Report 1- Nil Report' under the tab 'TYPES OF REPORTS' and then click 'Submit to CDSL':

The screenshot shows the 'NISM INFORMATION' form on the Central Depository Services (India) Limited website. The form has a 'TYPES OF REPORTS' dropdown menu with 'Report 1 - Nil Report' selected. Below the dropdown, there are two buttons: 'Submit To CDSL' (blue) and 'Cancel' (red). The form also includes fields for 'SCHEDULE MONTH' (set to December-2024), 'DP ID', and 'DP NAME'. The footer contains the copyright notice: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'



Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

(iii) The requisite information can be submitted by selecting '**Report 2 – Single entry**' under the tab '**TYPES OF REPORTS**' and provide the following information/document:

- '**PAN**' of the Compliance Officer or Associated Person
- '**NAME OF PERSON**' (Compliance Officer/ Associated Person)
- '**DESIGNATION**' (selection as per dropdown)
- '**DATE OF CERTIFICATE VALIDITY**'
- '**SERIES**' (selection as per dropdown)
- '**UPLOAD CERTIFICATES**' (copy of the certificate in **PDF/Word** format to be uploaded)

The screenshot shows a web form titled "NISM INFORMATION". The form is divided into several sections:

- TYPES OF REPORTS:** A dropdown menu set to "Report 2 - Single entry".
- Do YOU WANT TO SUBMIT NIL REPORT:** A dropdown menu set to "No".
- SCHEDULE No:** A text input field containing "2024121844".
- SCHEDULE MONTH:** A dropdown menu set to "December-2024".
- DP ID:** A text input field with a blacked-out value.
- DP NAME:** A text input field with a blacked-out value.
- PAN:** A text input field.
- NAME OF PERSON:** A text input field.
- DESIGNATION:** A dropdown menu set to "-Select-".
- DATE OF CERTIFICATE VALIDITY:** A text input field with a placeholder "yyyy-mm-dd" and a "Required" label.
- SERIES:** A dropdown menu set to "-Select-".
- UPLOAD CERTIFICATES:** A section with a "Choose File" button, a "No file chosen" message, and an "Upload" button. Below this, it says "Only pdf and word (.doc) files allowed".

At the bottom of the form, there are three buttons: "Save" (blue), "Submit To CDSL" (blue), and "Cancel" (red). A copyright notice is visible at the very bottom: "Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved."

Once all information is provided, click on '**Save**' and '**Submit To CDSL**' to complete the submission process.

(iv) The requisite information can be submitted by selecting '**Report 3 – Bulk Upload**' under the tab '**TYPES OF REPORTS**' and provide the information/document by selecting following tabs:

- '**UPLOAD CERTIFICATES**' (copy of the certificate in **PDF/Word** format to be uploaded)
- '**BULK UPLOAD INFORMATION**' (information to be uploaded in excel as per prescribed format)



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

Format for bulk upload:

PAN	NAME_OF_PERSON	DESIGNATION	DATE_OF_CERTIFICATE_VALIDITY	SERIES

- Date should be in DD-MM-YYYY format.
- Designation should be either Compliance Officer or Associated Persons
- Series should be NISMS03A or NISMS06

The screenshot shows the 'NISM INFORMATION' form in the CDSL Audit Application portal. The form is titled 'NISM INFORMATION' and contains the following fields and options:

- * TYPES OF REPORTS:** Report 3 - Bulk Upload (dropdown menu)
- SCHEDULE No:** 2024121844 (checkbox)
- SCHEDULE MONTH:** December-2024 (checkbox)
- DP ID:** [Redacted]
- DP NAME:** [Redacted]
- * UPLOAD CERTIFICATES:** Choose File (No file chosen), Upload button. Note: Only pdf and word (Doc) files allowed.
- * BULK UPLOAD INFORMATION'S:** Choose File (No file chosen), Bulk Upload button. Note: Only xls (Excel) files allowed.

At the bottom of the form, there are two buttons: 'Submit To CDSL' (blue) and 'Cancel' (red). The footer of the page reads: Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.

Once all information is uploaded, click on '**Submit To CDSL**' to complete the submission process.

- (v) Please note that once the '**Submit To CDSL**' button is clicked, the DP will no longer be able to submit any information or details for that scheduled month.