



Central Depository Services (India) Limited

Convenient # Dependable # Secure

COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/SURV/DP/POLCY/2025/126

February 20, 2025

AMENDMENTS TO DP OPERATING INSTRUCTIONS ANNEXURE 11.1

Depository Participants (DPs) are advised to take note of the amendments mentioned below, which have been incorporated in CDSL's DP Operating Instructions Annexure 11.1 – Penalty Structure for DPs by addition of new penalty heads for non-submission of response for the surveillance alerts shared by depository within stipulated time (45 days).

Operating Instructions - Annexure 11.1		
PENALTY STRUCTURE FOR DPs		
I	Operational Deviation	
Sr. No	Nature of Non-compliance	Penal Action in ₹/ Action
46	Depository Participant has not submitted response for the surveillance alerts shared by depository within stipulated time	₹500 per alert plus additional ₹1500 for any delay per fortnight. If total monetary penalty imposed under this head is equal to or higher than ₹15,000/- during last consecutive six-month, matter would be referred to Member Committee.

Further following important points are re-iterated again for compliance at DP end.

- Adhere to the guidelines issued in CDSL Communique CDSL/OPS/DP/SYSTM/2021/309 dated July 15, 2021.
- Change in the timelines for disposal of alerts by DPs from 30 days to 45 days (stipulated time) from the date of alerts sent to DPs by CDSL.
- **The aforesaid penalty (non-compliance point) will be applicable for the alerts generated by CDSL with effect from April 1, 2025.**

DPs are advised to take note of the afore-mentioned amendments to the Operating Instructions Annexure 11.1.

Queries regarding this communiqué may be addressed to CDSL – Surveillance on telephone nos. (022) 6234-3057, 6234-3056, 6234-3055, 6234-3054.

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

Sd/-

**Umesh Kambli
Asst. Vice President - Surveillance**