Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/SYSTM/2023/628   **October 27, 2023**

FACILITY FOR BULK UPLOAD FOR RESPONDING TO SURVEILLANCE ALERTS W.R.T. SURVEILLANCE OBLIGATION OF DEPOSITORY PARTICIPANT

DPs are advised to refer to

- Communiqué no. CDSL/OPS/DP/SYSTM/2021/309 dated July 15, 2021
- Communiqué no. CDSL/OPS/DP/SYSTM/2022/5 dated January 04, 2022
- Communiqué no. CDSL/SURV/DP/POLCY/2023/88 dated February 10, 2023

regarding Surveillance obligation of Depository Participant (DP), wherein DPs were advised to put in place a surveillance framework which includes review and disposal of the transactional alerts provided by CDSL within 30 days.

CDSL is now pleased to inform you that –enhancement in Surveillance portal have been made with respect to bulk upload facility to address the surveillance alerts assigned to DP by CDSL. DPs will be able to submit their remarks and due diligence confirmation which may facilitate prompt addressal of Surveillance alerts.

The detail procedure for enabling necessary rights and bulk upload in CDAS-Surveillance portal is enclosed below for your reference:

Step 1 – Admin user have to give upload rights to other users by following the procedure as mentioned below.

➢ Admin user has to Login into **CDAS** system > Select - **Database Administration Module** > Select – **Users** > Select – **Security** > Select - **Event Security** > Select - **User class** (search for the user right has to be given) > Select – **OK** > Select - Application ID–**SURV** > Option to be selected – **Upload** (Setup & Inquiry) > Select - **Commit**

Respective user have to Re-login into Surveillance portal and check the upload option will be Available.

Step 2 – After login to Surveillance Portal, click on upload option and select setup menu from the drop-down list.

Step 3 – Select the applicable alert type from the drop-down list.

Step – 4 Select the upload file option and upload the file.

i.   DP may either download alert file from download menu where in details of alert will be available or through enquiry for alert with status "Pending" can be extracted to prepare upload file.

ii.   File will be uploaded with following format.

Record ID~REMARKS~

(Note :- 1. DP should ensure header is removed while uploading the file)

2. DP have to add mandatory "tilde" (~) at the end of remark.

3. DP should ensure that remark should be entered in single line for a record.

iii. File will be uploaded with the following naming convention.

SURV_<DPID_DDMMYYYY>_<SERIAL NO>.TXT

iv.   Please note that the file with the same name cannot be uploaded multiple times.

v.   DP should ensure that maximum file size should not be greater than 10 MB.

vi.   DP should ensure that maximum number of records in one file should be less than 50000 records.

vii. DP should ensure that character in remark field shall not exceed 2000 Characters.

viii.   DP should ensure that Special character is not used in remark field.

Once file is uploaded, below popup message will be reflected on the screen.
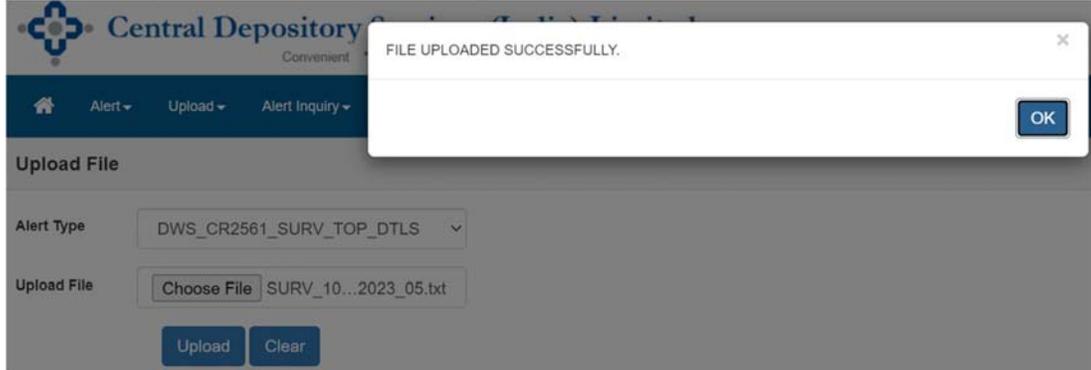
Step – 5 Once the file is uploaded DPs can check the status of upload from inquiry option.

a) Select the alert type for which file is uploaded.

b) From date and to date will be date of file uploaded.

c) In case of failure, DP can check the reason of failure in the response file and reupload the records after necessary correction.
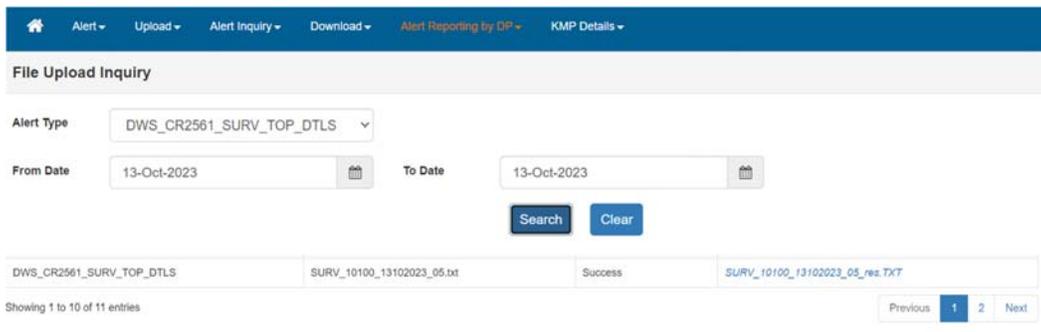
Further DPs are advised to do sample enquiry on the alerts for which DP have uploaded their comments, to ensure that DP comments are properly updated.

Queries regarding this communiqué may be addressed to **CDSL – Helpdesk:** on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com.

Sd/-

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