



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLICY/2023/658

November 10, 2023

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 mandatory submissions to CDSL by the Depository Participants (DPs) with effect from November 2023.

Sr. No.	Mandatory Submission to CDSL by DPs	Timeline for submission
1.	Investor Grievances received at DP (Record of all the BO grievances received at DP, Main / Branch)	By 10 th of the succeeding month (i.e. by 10 th December for the Month of November)
2	Indictment order against the DP (Information w.r.t. the indictment or any other orders passed against the DP by any competent authority, if any)	By 10 th of the succeeding month (i.e. by 10 th December for the Month of November)
3	Tariff Structure of the DP (Information w.r.t increase in charges / fees providing 30 days notice to the BOs, if any)	By 10 th of the succeeding month (i.e. by 10 th December for the Month of November)
4	Reporting of STR finding with FIU-India by DP (Information w.r.t. the STRs filed by the DP with FIU IND, if any)	By 7 th of the succeeding month (i.e. by 7 th December for the Month of November)

File format (excel) for upload facility for submission in Sr.No.1 viz. Investor Grievances received at DP is enclosed as Annexure I. Manual for all above-mentioned submissions is enclosed as Annexure II.

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 2305-8519, 2305-8520, 2305-8678, 2305-8679, 2305-8515.

sd/-

Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance

Annexure I

BO_ID	BO_NAME	NATURE_OF_COMPLAINT	COMPLAINT_RECEIVED_DATE	COMPLAINT_DETAILS	COMPLAINT_CLOSURE_DATE	RESOLUTION_GIVEN_BY_THE_DP	CLOSURE_REMARKS	COMPLAINT_PENDING_FOR_MORE_THAN_30_DAYS	WHETHER_THE_BO_GRIEVANCE_PENDING_FOR_MORE_THAN_30_DAYS_FOR_THE_REASON_OTHER_THAN
			YYYY-MM-DD		YYYY-MM-DD				

DP Audit Application login

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AUDIT APPLICATION

SIGN IN

Login Type: --Select--

User ID: Enter Login ID

Password: Password

f064df

Enter Code

Sign In

[Forgot password](#) [Registration for DP / RTA](#)

Mandatory reporting by DP

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AUDIT APPLICATION

Reports

Select Audit Type: --Select--

Select Audit Month: --Select--

Select DP / RTA: --Select--

Confirm

[View DP / RTA Profile and Status of Reports](#)

[View Auditor Profile VAPT Compliance](#)

Mandatory Reporting by DP

[View Investor Complaints](#)

[Go to Login | Change Password](#)

[Registration for Auditor](#) | [Registration for Designated Officer / CISA Auditor](#) | [User registration - Bidding DP](#)

FAQ

Below mention options available

A screenshot of a web application interface titled "AUDIT APPLICATION" and "INVESTOR GRIEVANCE COMPLAINTS". The form contains a field labeled "COMPLIANCE REQUEST TYPE" with a dropdown menu. The dropdown menu is open, showing the following options: "-- Select Compliance Request --", "Investor grievance received at DP", "Indictment order against the DP", "Tariff Structure of the DP", and "Reporting of STR finding with FIU-India by DP". At the bottom of the form, there are two blue buttons: "ADD NEW DETAILS" and "BACK".

Investor Grievances received at DP.

Select the Option **"Investor Grievances received at DP."**

A screenshot of the same web application interface as above. A blue arrow points to the "Investor grievance received at DP" option in the dropdown menu, which is now highlighted. The other options in the dropdown menu are: "-- Select Compliance Request --", "Indictment order against the DP", "Tariff Structure of the DP", and "Reporting of STR finding with FIU-India by DP". The "ADD NEW DETAILS" and "BACK" buttons are still visible at the bottom.

Fill all mandatory Details * Once details are filled, Save.

INVESTOR GRIEVANCE COMPLAINT DETAILS

* COMPLIANCE REQUEST: Investor grievance received at DP

* NATURE OF COMPLAINT: -- Select Complaint --

* BO ID: []

* BO NAME: BO name

COMPLAINT RESOLVED/CLOSURE DATE: mm-dd-yyyy

* COMPLAINT RECEIVED DATE: mm-dd-yyyy

* CLOSURE REMARKS: Closure Remarks

* COMPLAINT PENDING FOR MORE THAN 30 DAYS: No

* COMPLAINT DETAILS: Complaint Details

* RESOLUTION GIVEN BY THE DP: Resolution given by the DP

SAVE | UPLOAD FILES | BACK

Investor Grievances received at DP.

Upload File details

INVESTOR GRIEVANCE COMPLAINTS

* COMPLIANCE REQUEST TYPE: Investor grievance received at DP

Choose File No file chosen

UPLOAD BULK DETAILS

“Indictment order against the DP”

Select the Option **“Indictment order against the DP.”**

INVESTOR GRIEVANCE COMPLAINTS

* COMPLIANCE REQUEST TYPE: -- Select Compliance Request --

- Select Compliance Request --
- Investor grievance received at DP
- Indictment order against the DP**
- Tariff Structure of the DP
- Reporting of STR finding with FIU-India by DP

ADD NEW DETAILS | BACK

Fill all mandatory Details * Once details are filled, Save.

AUDIT APPLICATION

INVESTOR GRIEVANCE COMPLAINT DETAILS

* COMPLIANCE REQUEST: Indictment order against the DP

* DP ID: []

* DP NAME: []

* NATURE OF ORDER: Nature of Order

* AUTHORITY WHO PASSES THE ORDER: Authority who Passes the Order

* DATE OF PASSING ORDER AGAINST THE DP: mm-dd-yyyy

* DATE OF RECEIPT OF ORDER BY DP: mm-dd-yyyy

SAVE | UPLOAD FILES | BACK

Tariff Structure of the DP

Select the Option **“Tariff Structure of the DP”**

AUDIT APPLICATION

INVESTOR GRIEVANCE COMPLAINTS

* COMPLIANCE REQUEST TYPE: -- Select Compliance Request --

- Select Compliance Request --
- Investor grievance received at DP
- Indictment order against the DP
- Tariff Structure of the DP**
- Reporting of STR finding with FIU-India by DP

ADD NEW DETAILS | BACK

Fill all mandatory Details * Once details are filled, Save.

AUDIT APPLICATION

INVESTOR GRIEVANCE COMPLAINT DETAILS

* COMPLIANCE REQUEST

* DP ID

* DP NAME

* DATE OF ISSUE OF 30 DAYS NOTICE TO THE BOs

* TARIFF EFFECTIVE DATE

SAVE UPLOAD FILES BACK

“Reporting of STR finding with FIU-India by DP.”

Select the Option **“Reporting of STR finding with FIU-India by DP”**

AUDIT APPLICATION

INVESTOR GRIEVANCE COMPLAINTS

* COMPLIANCE REQUEST TYPE

- Select Compliance Request --
- Investor grievance received at DP
- Indictment order against the DP
- Tariff Structure of the DP
- Reporting of STR finding with FIU-India by DP

ADD NEW DETAILS BACK

Fill all mandatory Details * Once details are filled, Save.

AUDIT APPLICATION

INVESTOR GRIEVANCE COMPLAINT DETAILS

* COMPLIANCE REQUEST	Reporting of STR finding with FIU-India by DP		
* DP ID	<input type="text"/>	* DP NAME	<input type="text"/>
* DATE OF DETECTING THE SUSPICIOUS TRANSACTION	mm-dd-yyyy	* DATE OF REPORTING TO FIU-INDIA	mm-dd-yyyy
* No. Of STR	No. Of STR		