Central Depository Services (India) Limited



Convenient # Dependable # Secure COMMUNIOUÉ 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	By 10 th of the succeeding month		
	(Record of all the BO grievances received at DP,	(i.e. by 10 th December for the		
	Main / Branch)	Month of November)		
2	Indictment order against the DP	By 10th of the succeeding month		
	(Information w.r.t. the indictment or any other	(i.e. by 10 th December for the		
	orders passed against the DP by any competent	Month of November)		
	authority, if any)			
3	Tariff Structure of the DP	By 10 th of the succeeding month		
	(Information w.r.t increase in charges / fees	(i.e. by 10 th December for the		
	providing 30 days notice to the BOs, if any)	Month of November)		
4	Reporting of STR finding with FIU-India by DP	By 7th of the succeeding month		
	(Information w.r.t. the STRs filed by the DP with	(i.e. by 7 th December for the		
	FIU IND, if any)	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

CDSL: your depository Page 1 of 1

KEYWORD: Audit

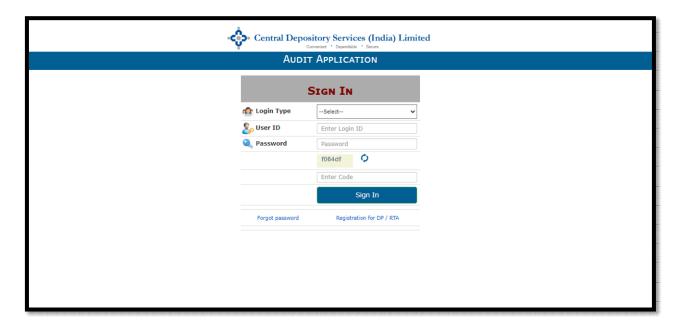
Annexure I

ВС	_I BO_NAME	NATURE_OF_C	COMPLAINT_R	COMPLAINT_D	COMPLAINT_C	RESOLUTION_GIVE	CLOSURE_R	COMPLAINT_PEN	WHETHER_THE_BO_GRIEVANCE_PE
D		OMPLAINT	ECEIVED_DATE	ETAILS	LOSURE_DATE	N_BY_THE_DP	EMARKS	DING_FOR_MOR	NDING_FOR_MORE_THAN_30_DAY
								E_THAN_30_DAY	S_FOR_THE_REASON_OTHER_THAN
			YYYY-MM-DD		YYYY-MM-DD				

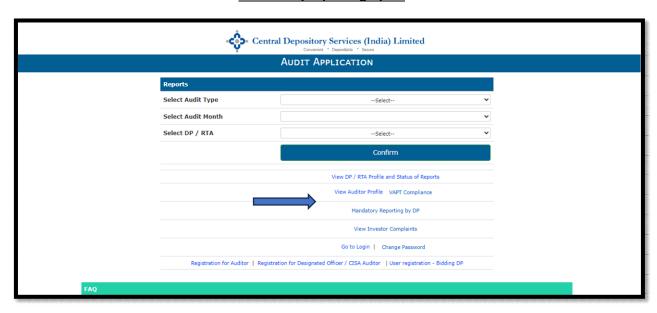
Manual for Submission

DP Audit Application login

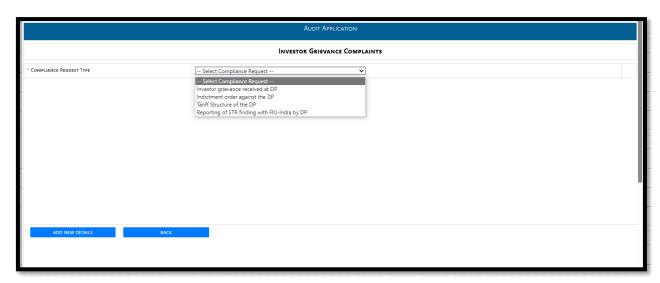
Annexure II



Mandatory reporting by DP

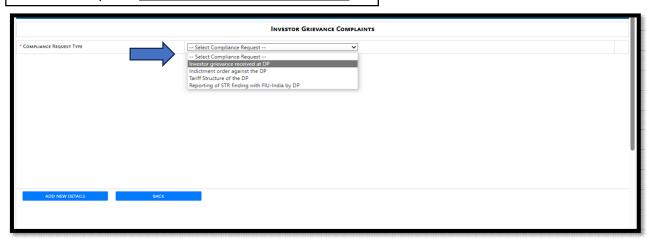


Below mention options available

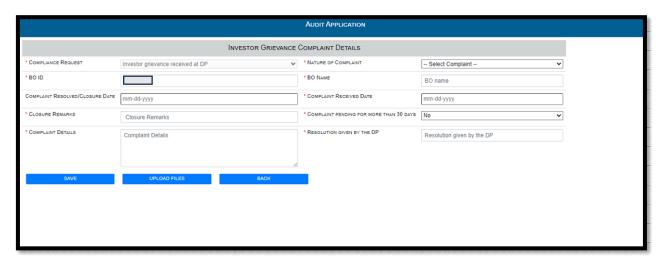


Investor Grievances received at DP.

Select the Option "Investor Grievances received at DP."



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



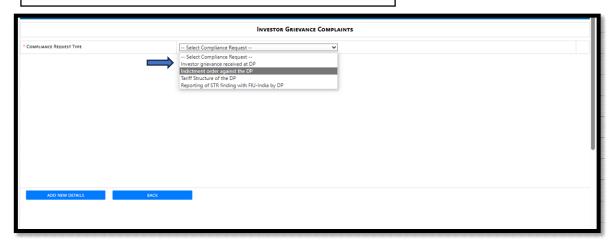
Investor Grievances received at DP.

Upload File details



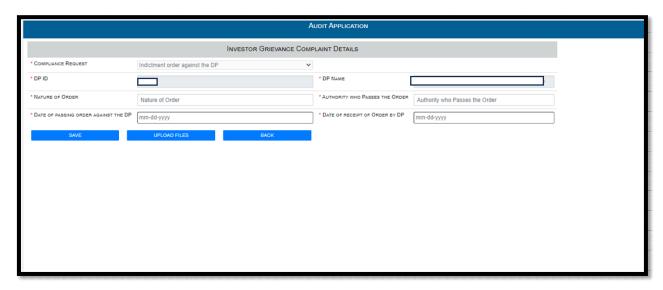
"Indictment order against the DP"

Select the Option "Indictment order against the DP."



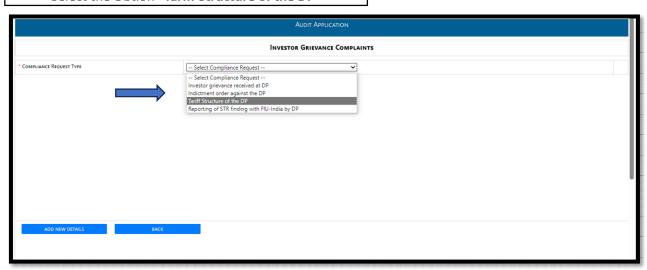
Manual for Submission

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



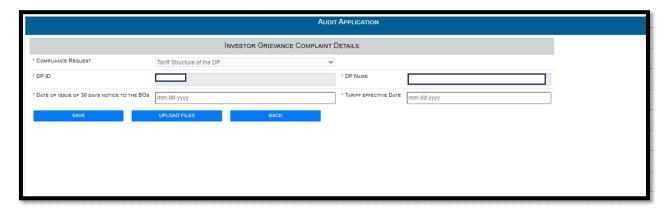
Tariff Structure of the DP

Select the Option "Tariff Structure of the DP"



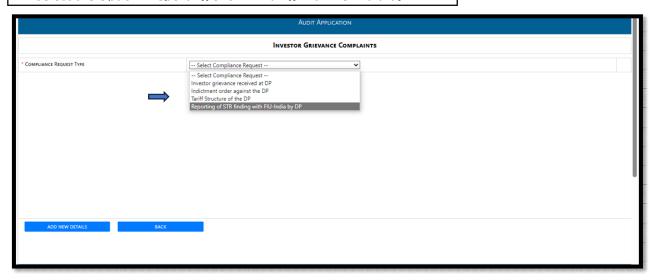
Manual for Submission Annexure II

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



"Reporting of STR finding with FIU-India by DP."

Select the Option "Reporting of STR finding with FIU-India by DP"



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

