

Annexure C

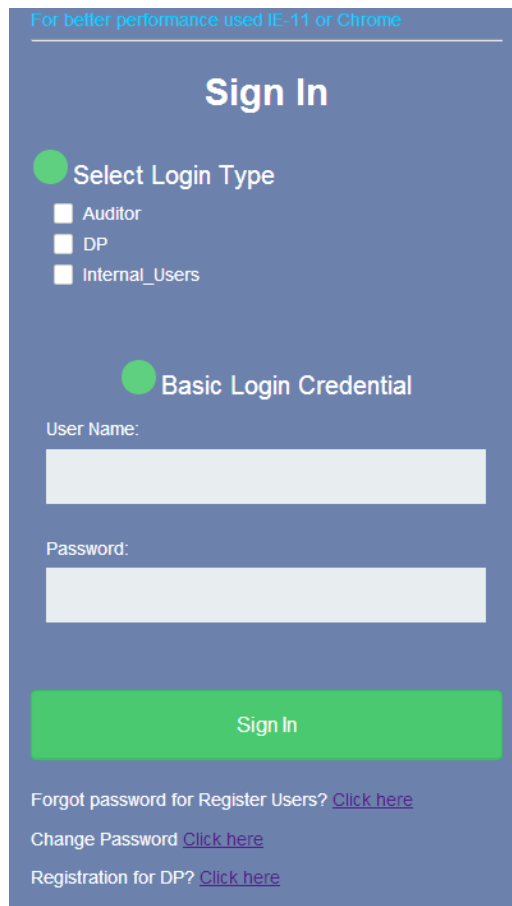
Procedure for submission of BO Grievance Report (BOGR)

Login/ Registration of DP

- DPs are required to click on the following link.

<https://auditweb.cdslindia.com/login.aspx>

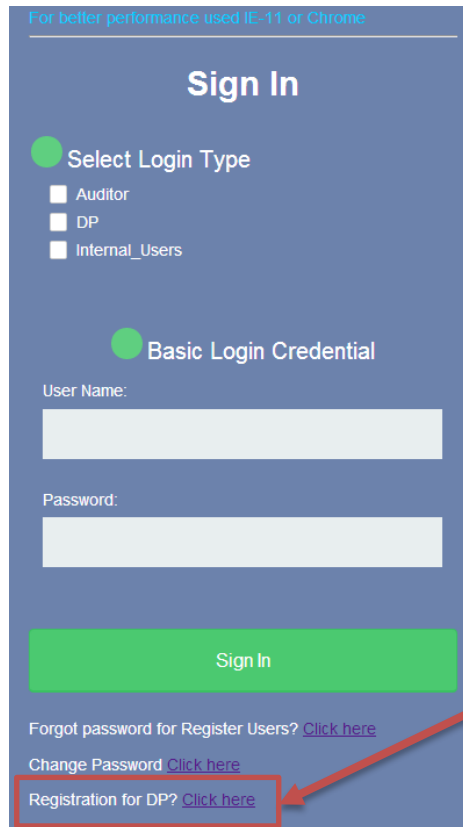
The following page will open.



The screenshot shows a web page titled "Sign In" with a blue background. At the top, a message reads "For better performance used IE-11 or Chrome". Below this, there is a section "Select Login Type" with three radio button options: "Auditor", "DP", and "Internal_Users". The "DP" option is selected. Below this is a section "Basic Login Credential" with two input fields: "User Name:" and "Password:". A large green "Sign In" button is positioned below the input fields. At the bottom, there are three links: "Forgot password for Register Users? [Click here](#)", "Change Password [Click here](#)", and "Registration for DP? [Click here](#)".

(Fig. 1)

- **Registration for DP:** If the DP has already created log in credentials for any of audit type submission, new log in is not required to be created .e.g. if log in is created for submission of BOG report, there is no necessity to create log in again for IAR or HCC submission.
- For new log in to be created the following process should be followed.



For better performance used IE-11 or Chrome

Sign In

Select Login Type

- ☐ Auditor
- ☐ DP
- ☐ Internal_Users

Basic Login Credential

User Name:

Password:

Sign In

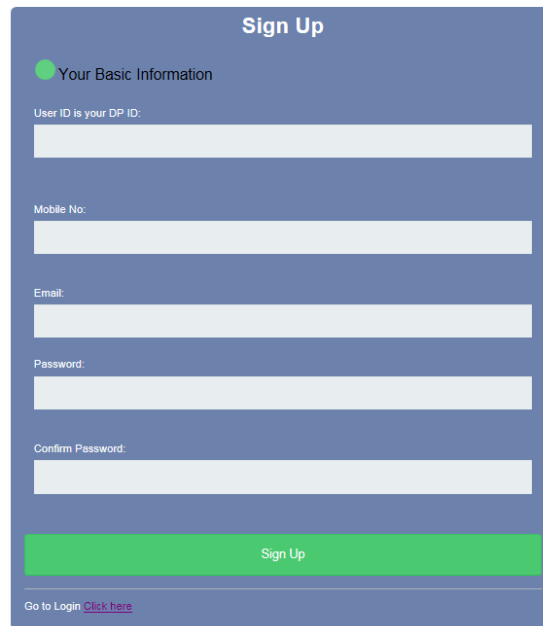
Forgot password for Register Users? [Click here](#)

Change Password [Click here](#)

Registration for DP? [Click here](#)

(Fig. 2)

Click on “Registration for DP”. The following page (Fig. 3) will open.

A sign-up form with a blue background. At the top, it says "Sign Up" in white. Below that, a green circle icon is followed by the text "Your Basic Information". The form contains five input fields: "User ID is your DP ID:", "Mobile No.", "Email:", "Password:", and "Confirm Password:". Each field is a light gray rectangle. At the bottom, there is a green button with the text "Sign Up" in white. Below the button, there is a link that says "Go to Login [Click here](#)".

Sign Up

● Your Basic Information

User ID is your DP ID:

Mobile No:

Email:

Password:

Confirm Password:

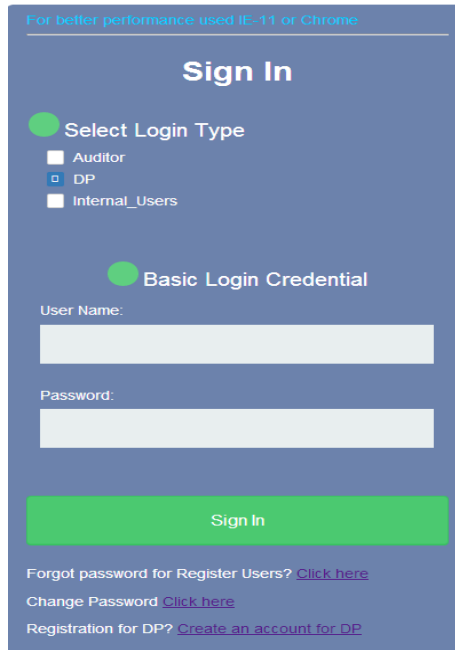
Sign Up

Go to Login [Click here](#)

(Fig. 3)

- User id will be DP ID i.e. 5 digit number (eg. 10100)
- Mobile no; Email, and Password needs to be entered by the DP and click on Sign Up.
- Once you sign up, the page will again go to the main log in and the DP will receive the confirmation details of its password on the email ID entered by the DP for sign up.
- The DP needs to then **Sign In** using Log in credentials.

- **Generation and Submission of BOGR**



For better performance used IE-11 or Chrome

Sign In

Select Login Type

☐ Auditor

☒ DP

☐ Internal_Users

Basic Login Credential

User Name:

Password:

Sign In

Forgot password for Register Users? [Click here](#)

Change Password [Click here](#)

Registration for DP? [Create an account for DP](#)

(Fig. 4)

In Fig. 4, The DP will:

Select Login Type: **DP**

User Name: **DPID**

Password: <<as provided by DP and mentioned in the email for login details>>

Then click on **SIGN IN**.

The screenshot shows a web form with a blue background. It contains three sections, each with a green circular icon and a title. The first section, 'Select Audit Type', has three radio button options: 'BO Grievance', 'Internal Audit Report', and 'Half Yearly Compliance Certificate'. The second section, 'Select Audit Month', has one radio button option: 'November-2016'. The third section, 'Select DP', has one radio button option: '52000 - KARUNA FINANCIAL SERVICES PRIVATE LIMITED'. Below these sections is a large green button labeled 'Confirm'. At the bottom of the form, there are three links: 'View DP Profile [Click here](#)', 'Registration for Auditor [Create an account for Auditor](#)', and 'Go to Login [Click here](#)'.

Select Audit Type

☐ BO Grievance

☐ Internal Audit Report

☐ Half Yearly Compliance Certificate

Select Audit Month

☐ November-2016

Select DP

☐ 52000 - KARUNA FINANCIAL SERVICES PRIVATE LIMITED

Confirm

View DP Profile [Click here](#)

Registration for Auditor [Create an account for Auditor](#)

Go to Login [Click here](#)

(Fig. 5)

Select Audit Type: **BO Grievance**

Select Audit Month: Respective month for which you will be submitting the BOGR

Select DP: Your DPID

Click on Confirm

Following page will open (Fig. 6)



Audit Type :- BO GRIEVANCE

Audit Month :- NOVEMBER-2016

DP Name(ID) :- 52000 - KARUNA FINANCIAL SERVICES PRIVATE LIMITED

Schedule No :- 2016110326

As on :- 201611

Sr. No.	Nature Of Complaint.	Pending At The BEGINING Of The Month(No. Of Cases)(A).	No. Of Cases RECEIVED During The Month(B).	No. Of Cases RESOLVED During The Month(C).	No. Of Cases PENDING At The End Of the Month(D).	No. Of Cases PENDING For More Than 30 Days(E).	Reason For PENDENCY As Shown in Column(E)(F).
I	Account Opening Related	0	0	0	0	0	
I a	Denial in opening an account	0	0	0	0	0	
I b	Account opened in another name than as requested	0	0	0	0	0	
I c	Non receipt of Account Opening Kit	0	0	0	0	0	
I d	Delay in activation/ opening of account	0	0	0	0	0	

Save

Submit

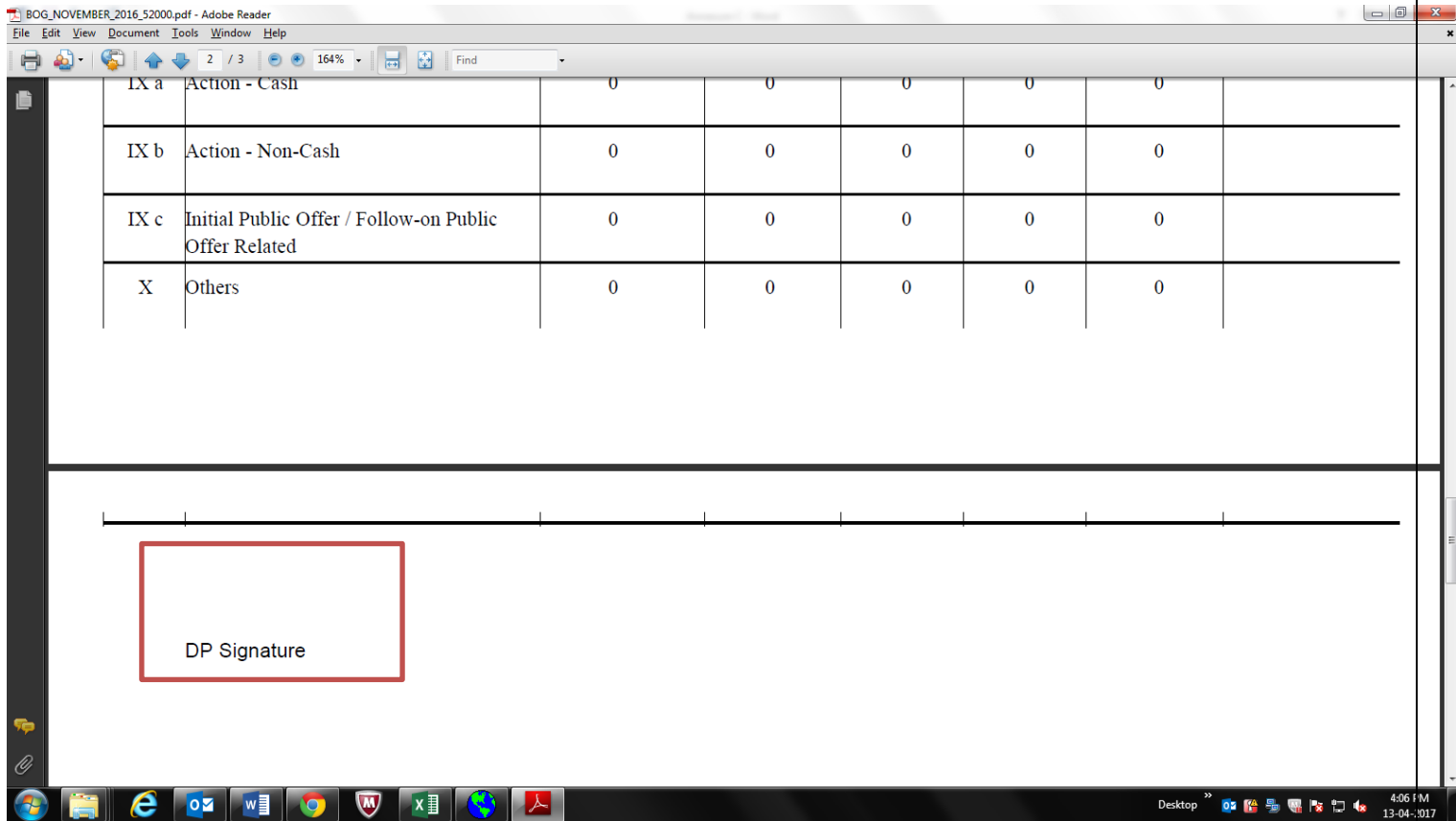
Generate BOGR File

View, Save File and Attach Digital Signature

Upload BOGR File

(Fig. 6)

- Mention the count of complaints for the respective sub-categories in the above window. The DP needs to scroll to view all the sub-categories of complaints. Please note: The total of the count of complaints received in sub-categories will appear automatically in the respective Main Category. e.g. The Total Count of complaints received under sub-categories 1a, 1b, 1c, 1d and 1e will appear in 1 (Account Opening Related).
- The DP can save their details by clicking on 'SAVE'.
- After the DP has completed filling up all the fields, the DP will click on 'Submit' and then click on 'Generate BOGR File'
- Then click on 'View, Save File and Attach Digital Signature'
- A PDF will get generated. DP needs to open the PDF. The Compliance Officer of the DP needs to attach its Digital Signature in the space provided for DP Signature. (Refer below figure 7)



(Fig. 7)

- Save the PDF
- Click on 'Upload BOGR File' (Fig. 8)

AUDIT SOFTWARE Welcome :- 52000

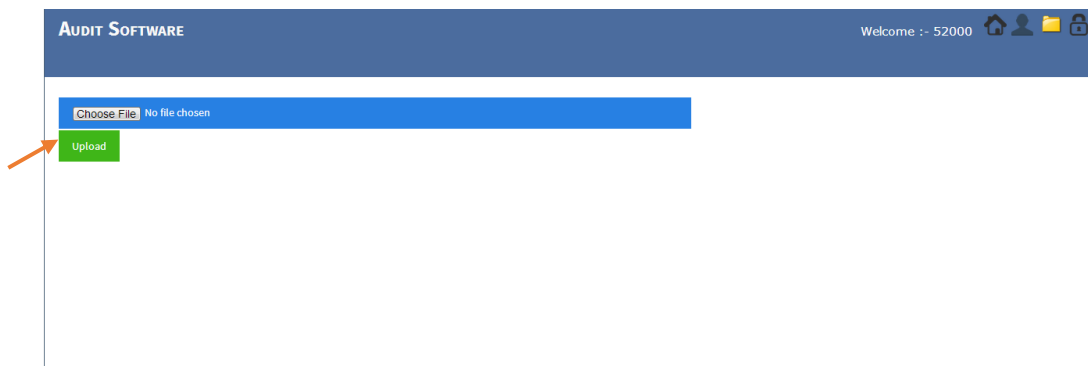
Audit Type :- BO GRIEVANCE
 Audit Month :- NOVEMBER-2016
 Schedule No :- 2016110326
 DP Name(ID) :- 52000 - KARUNA FINANCIAL SERVICES PRIVATE LIMITED
 As on :- 201611

Sr. No.	Nature Of Complaint.	Pending At The BEGINNING Of The Month(No. Of Cases)(A).	No. Of Cases RECEIVED During The Month(B).	No. Of Cases RESOLVED During The Month(C).	No. Of Cases PENDING At The End Of the Month(D).	No. Of Cases PENDING For More Than 30 Days(E).	Reason For PENDENCY As Shown in Column(E)(F).
I	Account Opening Related	0	0	0	0	0	
I a	Denial in opening an account	0	0	0	0	0	
I b	Account opened in another name than as requested	0	0	0	0	0	
I c	Non receipt of Account Opening Kit	0	0	0	0	0	
I d	Delay in activation/ opening of account	0	0	0	0	0	

Buttons: Save, Print, Generate BOGR File, View, Save File and Attach Digital Signature, Upload BOGR File

(Fig. 8)

- Following window will open (Fig. 9)

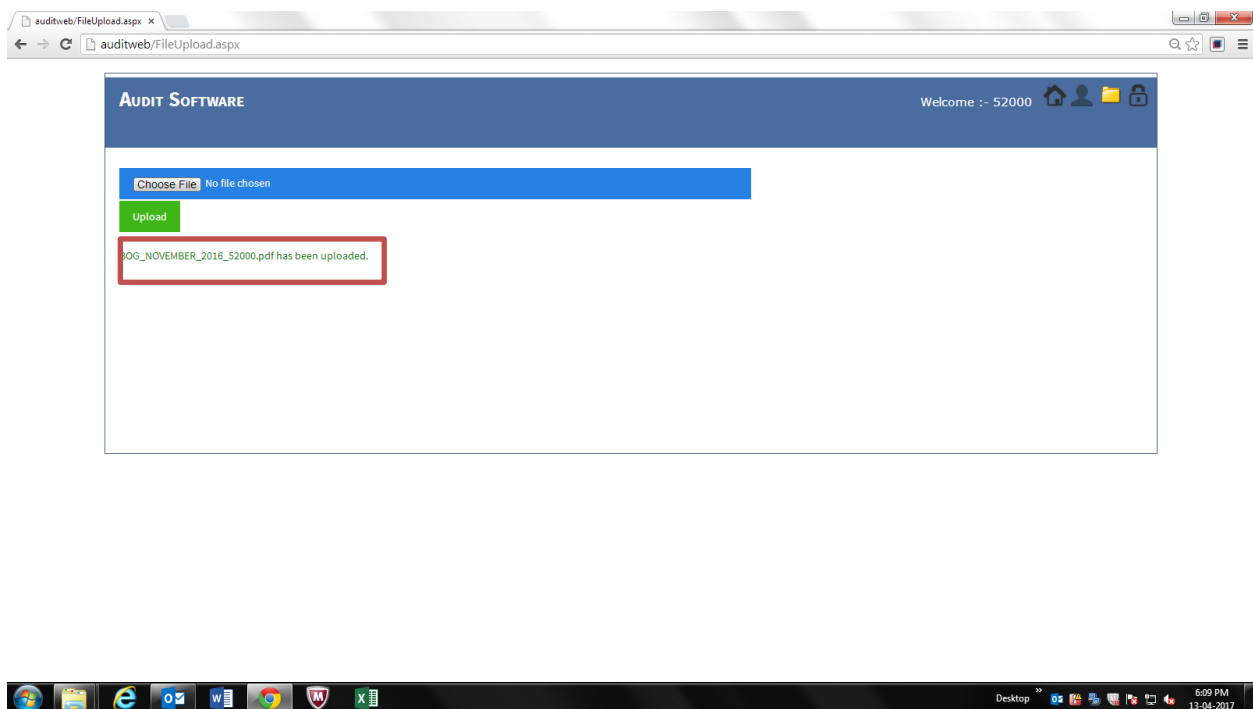


(Fig. 9)

- Click on **Choose File** and select the “Digitally signed PDF” from the saved path and click on **Upload**.

Please note: the filename of the generated PDF file should not be changed while uploading the same (there should not be any file extensions to it viz. .pdf)

- Message will appear as BOGR has been uploaded.



(Fig. 10)