

Annexure D

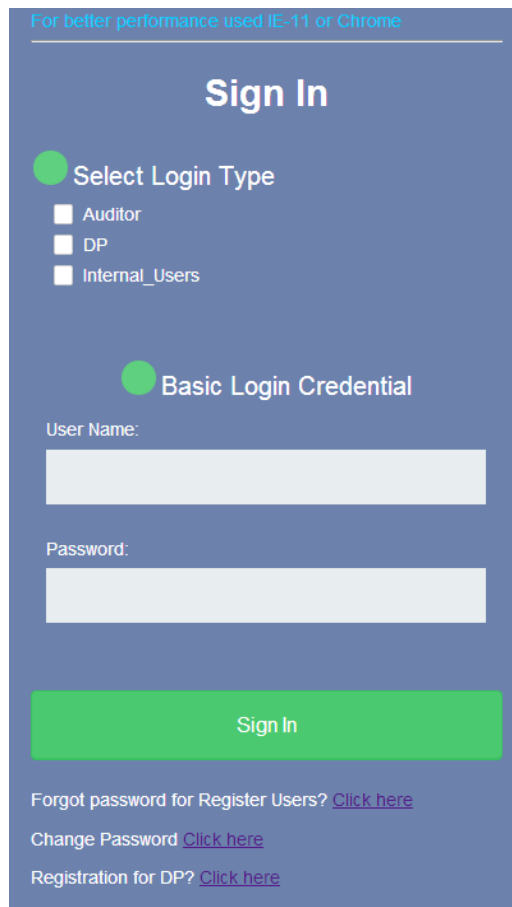
Procedure for submission of Half – Yearly Compliance certificate (HCC)

Login/ Registration of DP

- DPs are required to click on the following link.

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

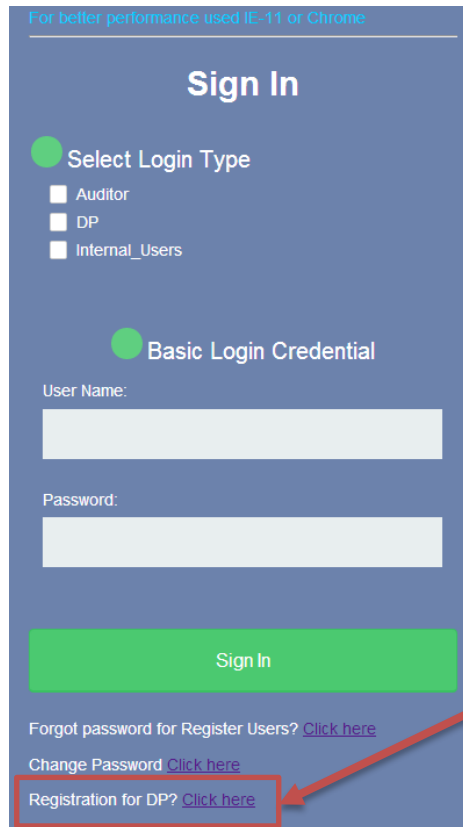
The following page will open.



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 the title, 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 green "Sign In" button is positioned below the password field. 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

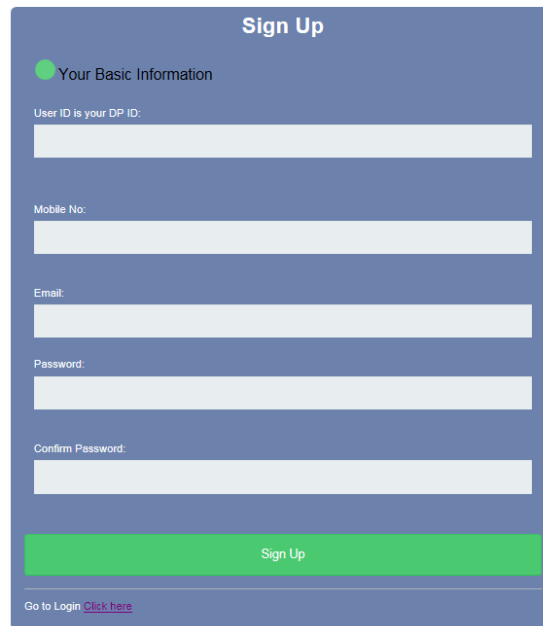
Forgot password for Register Users? [Click here](#)

Change Password [Click here](#)

Registration for DP? [Click here](#)

(Fig. 2)

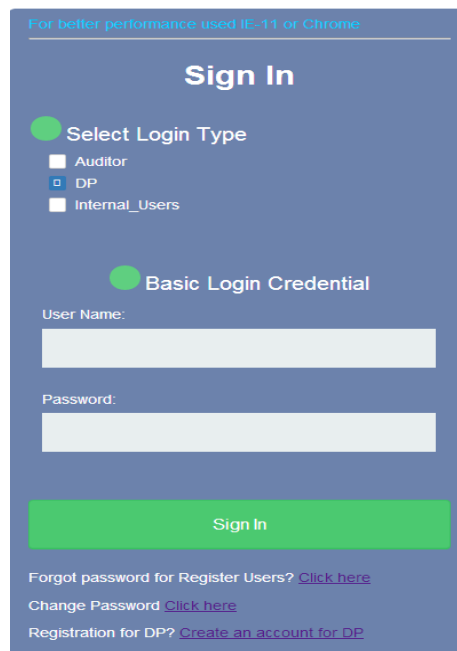
Click on “Registration for DP”. The following page (Fig. 3) will open.

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](#)".

(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 HCC**



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 following page will open (Fig. 5)

(Fig. 5)

Select Audit Type: **Half-Yearly Compliance Certificate**

Select Audit Month: Respective month for which you will be submitting the HYCC (e.g. June 2017)

Select DP: Your DPID

Click on Confirm

Following page will open (Fig. 6)

(Fig. 6)

DP needs to go through the details and read the certification.

Then click on **Generate HCC File**

You will get a message saying, **“File Generated Successfully”**.

Click on OK

Following screen will open (Fig. 7)

The screenshot displays the 'AUDIT SOFTWARE' interface. At the top, a blue header bar contains the text 'AUDIT SOFTWARE' on the left and 'Welcome :- 63500' on the right, accompanied by icons for home, user, folder, and lock. Below the header, a form contains several fields: 'Audit Type :- HALF YEARLY COMPLIANCE CERTIFICATE', 'Audit Month :- June-2016', 'Schedule No :- 2016060834', 'DP Name(ID) :- [redacted]', 'As on :- 201606', and 'DP ID :- [redacted]'. Below the form, a section titled 'Sub : Compliance Certificate for the period From (01 Jan 2016) To (30 Jun 2016)' contains a certification statement and a list of applicable laws. At the bottom, three buttons are visible: 'Generate HCC File' (blue), 'View, Save File and Attach Digital Signature' (green), and 'Upload HCC File' (blue). A red arrow points to the 'View, Save File and Attach Digital Signature' button.

AUDIT SOFTWARE Welcome :- 63500

Audit Type :- HALF YEARLY COMPLIANCE CERTIFICATE DP Name(ID) :- [redacted]
Audit Month :- June-2016 As on :- 201606
Schedule No :- 2016060834 DP ID :- [redacted]

Sub : Compliance Certificate for the period From (01 Jan 2016) To (30 Jun 2016)
I, [redacted] as a Compliance Officer,
hereby certify that the depository operations of the DP (including live connected branches) are in compliance with all applicable laws and especially with respect to the following :

(a) The Depositories Act, 1996;
(b) The SEBI (Depositories And Participants) Regulations, 1996;
(c) The Bye Laws of CDSL;
(d) Directives / Circulars / Classifications / Guidelines issued by SEBI, the Government of India, Regulatory Bodies and CDSL, from time to time.
(e) Prevention of Money Laundering Act, 2002 and the Rules and Guidelines notified thereunder by SEBI or Statutory / Regulatory Authorities.

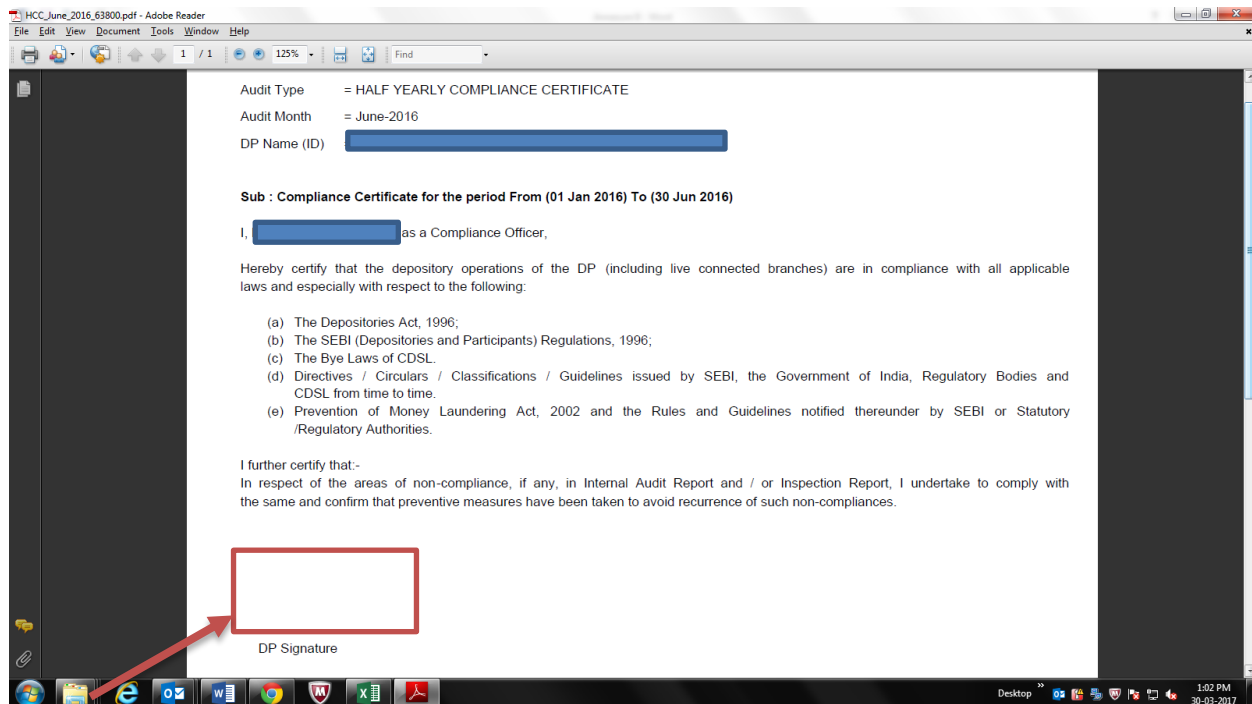
I further certify that -
In respect of the areas of non-compliance, if any, in Internal Audit Report and / or Inspection Report, I undertake to comply with the same and confirm that preventive measures have been taken to avoid recurrence of such non-compliances.

Generate HCC File View, Save File and Attach Digital Signature Upload HCC File

(Fig. 7)

Click on **View, Save File and Attach Digital Signature**

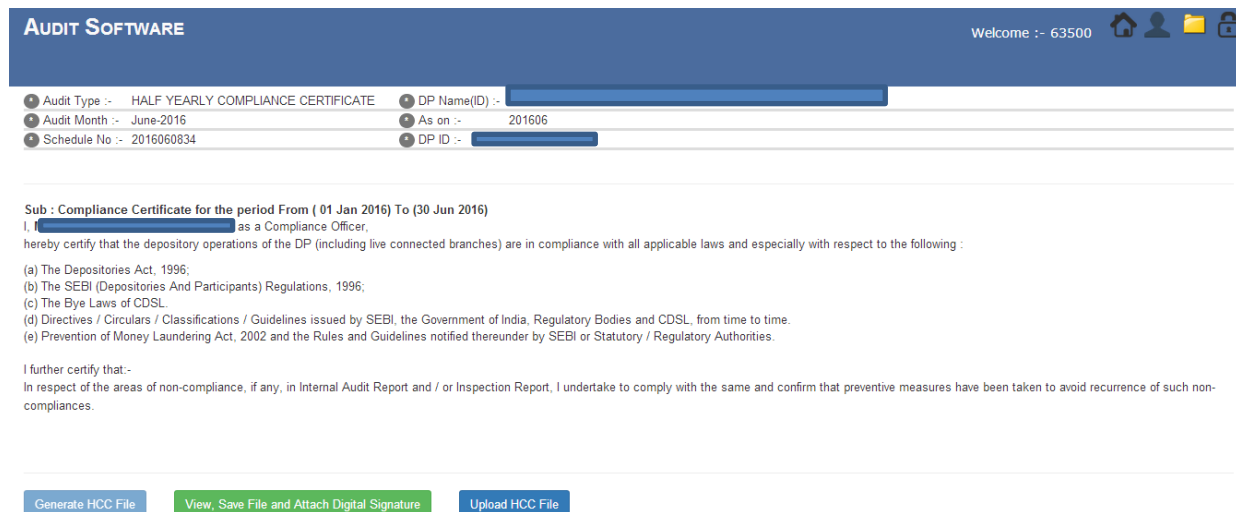
A PDF will be downloaded. DP needs to open the PDF.



(Fig. 8)

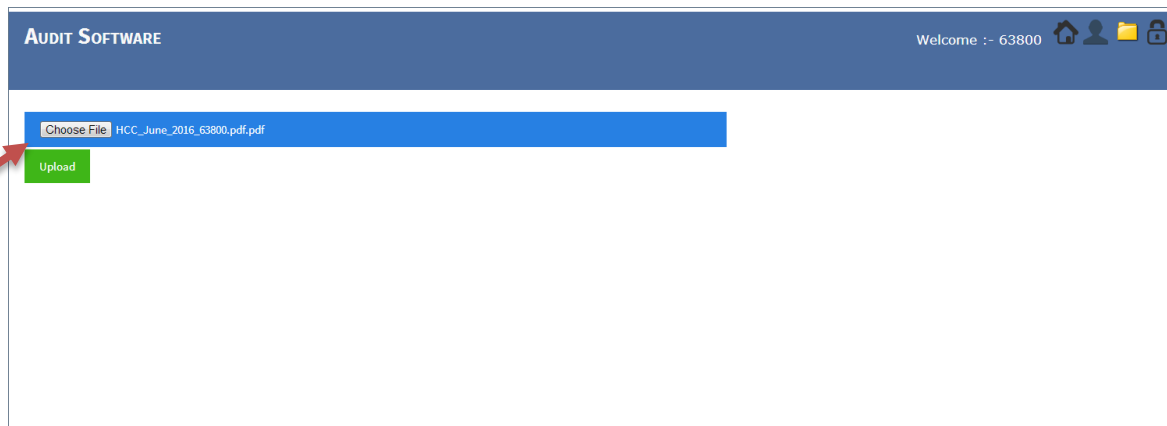
The Compliance Officer of the DP needs to attach its Digital Signature in the space provided for DP Signature.

Save the PDF.



(Fig. 9)

Click on **Upload HCC File**

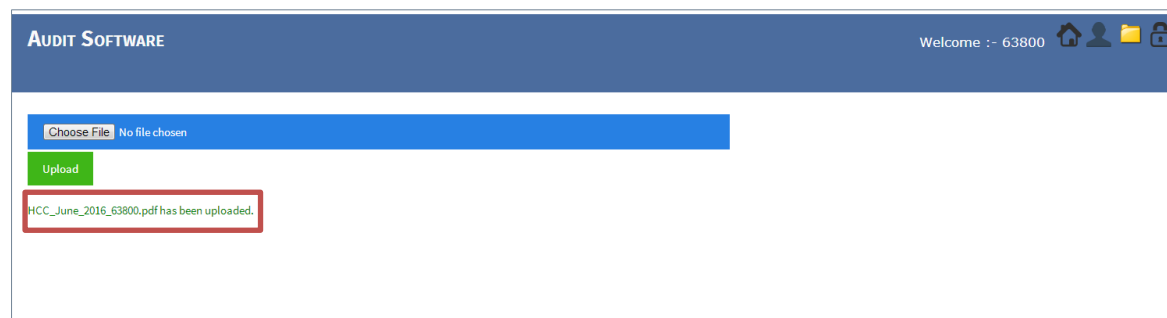


(Fig. 10)

- 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 HCC has been uploaded.



(Fig. 11)