

Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/A,I&C/DP/POLCY/2017/215

April 28, 2017

ONLINE FACILITY FOR SUBMISSION OF INTERNAL AUDIT AND CONCURRENT AUDIT OF RISK PRONE AREAS REPORT, BO GRIEVANCE REPORT AND HALF YEARLY COMPLIANCE CERTIFICATE IN ELECTRONIC FORM

CDSL is pleased to inform DPs regarding facility for online submission of Internal Audit and Concurrent Audit of risk prone areas Report (IAR), BO Grievance Report (BOGR) and Half-Yearly Compliance Certificate (HCC) in electronic form. Accordingly, Participants must submit IAR, BOGR & HCC through the online system, from next cycle onwards.

The DP/Auditor can fill and submit the above reports online using their login credentials. The manual for using the same is provided as follows:

Type of Report	Digitally Signed by	Annexure
Internal Audit and Concurrent Audit Report of risk prone areas Report	DP &	Annexure A
	Auditor	Annexure B
BO Grievance Report	DP	Annexure C
Half-yearly compliance Certificate	DP	Annexure D

Submission of online reports will be mandatory from the following schedules.

Type of Report	Applicable Period	Due date
Internal Audit Report and Concurrent Audit Report of risk prone areas for the half year ended	30 th September 2017	15 th November 2017
BO Grievance Report for the month	April 2017	10 th May 2017
Half-yearly compliance Certificate for the half year ended	30 th June 2017	31 st July 2017

Though mandatory online submission for IAR will start from the half year ended 30th September 2017, DPs are requested to avail the facility of online submission for the half year ended 31st March 2017, also.

Queries, if any, regarding this communiqué may be addressed to CDSL-Audit: (022) 2272 5097 / 5152 / 8164 or 8564.

Farokh Patel
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