



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/AI&C/DP/POLCY/2020/163

March 30, 2020

ONLINE FACILITY TO UPLOAD / DOWNLOAD INVESTOR GRIEVANCE RELATED CORRESPONDENCE IN ELECTRONIC MODE

DPs are requested to refer to CDSL communique no. CDSL/A,I&C/DP/POLCY/2017/215 dated April 28, 2017 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.

In addition to the above facility, CDSL is now pleased to inform DPs regarding online facility to upload / download Investor Grievance related correspondence through electronic mode.

This facility will be made available to Depository Participants with effect from **March 31, 2020** and subsequently the current practice of sending BO Grievances related correspondence from CDSL and filing of its response/ reply by Depository Participants through letters/ emails will be discontinued. In this regard, DPs are requested to take note of the following:

1. DPs would be able to access Investor Grievance module through electronic mode (AuditWeb) platform with their existing log-in IDs created for submission of monthly BO Grievance Report (BOGR), Internal Audit Reports (IARs) and Half-Yearly Compliance Certificate (HCC).
2. The procedure for upload/ download of Investor Grievance related correspondence through electronic mode is enclosed as **Annexure**.
3. The scanned copies of replies/ responses for BO Grievances need to be uploaded by DPs through this electronic mode in '**.PDF**' **format only**. The hard copies of said replies are not required to be sent to CDSL and the same have to be kept by DPs in their records.
4. DPs are advised to monitor the portal for online Investor Grievance related correspondence on daily basis and resolve the grievances of the BOs within the stipulated time frame.

Queries, if any, regarding this communiqué may be addressed to CDSL-Investor Grievance: (022) 2305 8658 / 8782.

sd/-

Farokh Patel
Vice President – Audit, Inspection & Compliance

ANNEXURE

PROCEDURE FOR UPLOAD/ DOWNLOAD OF INVESTOR GRIEVANCE RELATED CORRESPONDENCE THROUGH ELECTRONIC MODE.

I. Viewing/ Downloading of complaint received

Login of DP/RTA

Login: DPs/ RTAs are required to click on the following link to login into the system.

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

The following page will open.

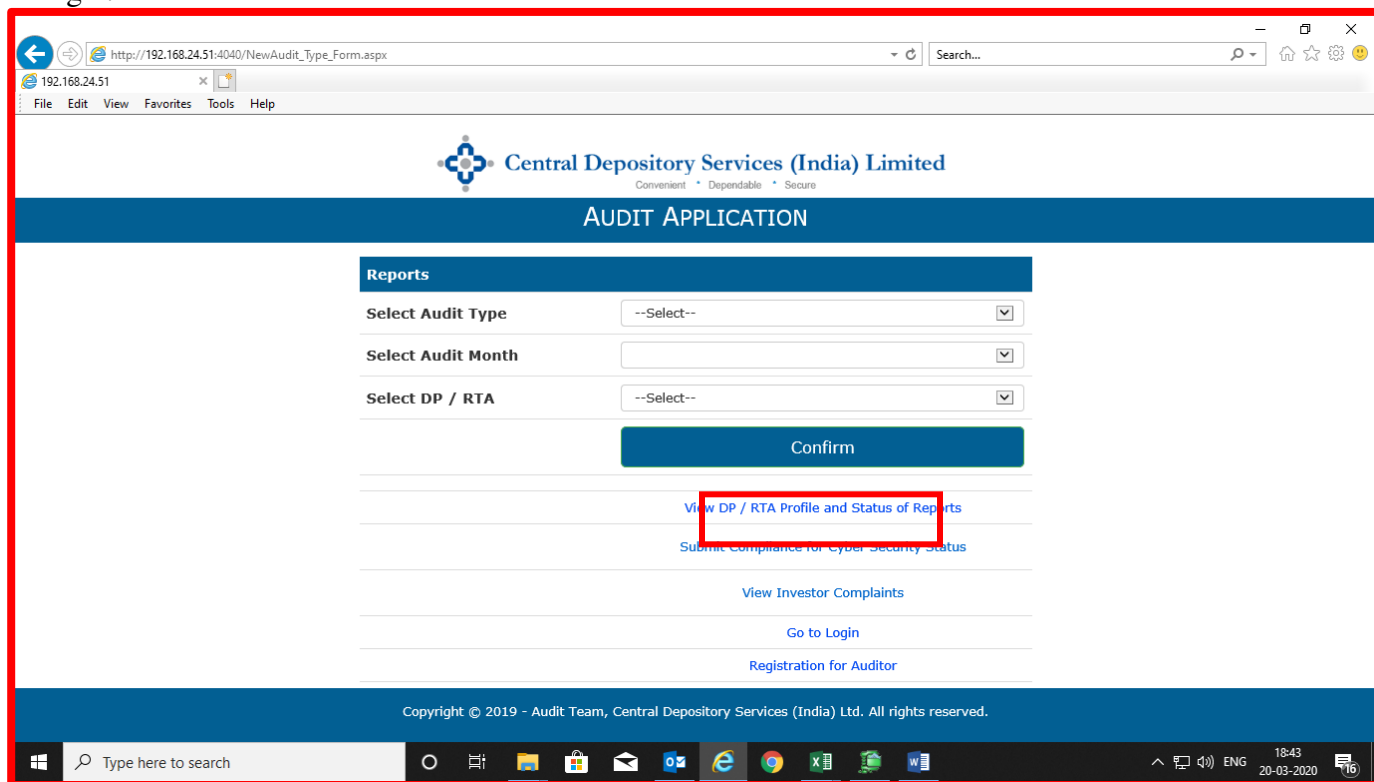


The screenshot shows the login interface for the Central Depository Services (India) Limited Audit Application. At the top, there is a logo and the text "Central Depository Services (India) Limited" with the tagline "Convenient * Dependable * Secure". Below this is a blue banner with the text "AUDIT APPLICATION". The main login area is titled "SIGN IN" and contains three input fields: "Login Type" (a dropdown menu with "--Select--"), "User ID" (a text box with "Enter Login ID"), and "Password" (a text box with "Password"). A blue "Sign In" button is positioned below the fields. At the bottom of the login area, there are links for "Forgot password" and "Change Password", and a link for "Registration for DP / RTA".

Respective DPs/ RTAs needs to login into system with their assigned Login credential.

Appropriate Login Type is to be selected. (Viz. DPs to select login type as DP and RTAs should select login type as RTA).

Once DP/RTA logs into the system, DP/RTA needs to click on **“View Investor Complaints”** as shown in Fig 1.



(Fig. 1)

DPs /RTAs can view all the complaints which are registered in the system. Refer Fig. 2.

The DP/ RTA needs to analyze the complaint and take appropriate action at their end.

INVESTOR COMPLAINTS

SELECT COMPLAINT :- ALL

Show 5 entries

Search:

Action	Attachment	Date of receipt	Complaint ID	BO ID	BO Comments	Status	DP_Remark
<input type="button" value="Update"/>		13 Mar 2020	100	1201090010096351	EXCESS CHARGES HAVE BEEN LEVIED IN DEMAT	Information Provided to BO	Enter DP Remarks
<input type="button" value="Update"/>		11 Mar 2020	98	1201060012345678	TEST	--Select--	Enter DP Remarks
<input type="button" value="Update"/>		11 Mar 2020	97	1201090012665129	DELAY IN OPENING OF DEMAT ACCOUNT	Information Provided to BO	Enter DP Remarks
<input type="button" value="Update"/>		09 Mar 2020	95	1201750000092191	TEST1	--Select--	Enter DP

(Fig. 2)

INVESTOR COMPLAINTS

SELECT COMPLAINT :- ALL

Show 5 entries

Search:

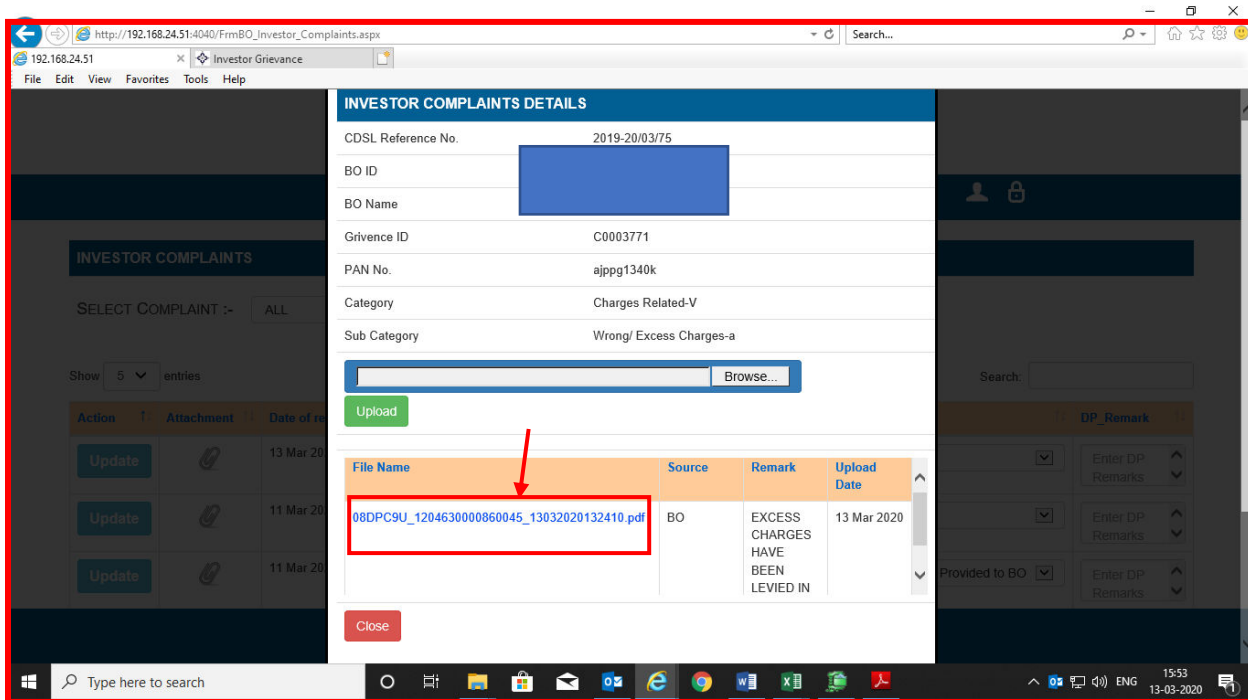
Action	Attachment	Date of receipt	Complaint ID	BO ID	BO Comments	Status	DP_Remark
<input type="button" value="Update"/>		13 Mar 2020	100	1201090010096351	EXCESS CHARGES HAVE BEEN LEVIED IN DEMAT	Information Provided to BO	Enter DP Remarks
<input type="button" value="Update"/>		11 Mar 2020	98	1201060012345678	TEST	--Select--	Enter DP Remarks
<input type="button" value="Update"/>		11 Mar 2020	97	1201090012665129	DELAY IN OPENING OF DEMAT ACCOUNT	Information Provided to BO	Enter DP Remarks
<input type="button" value="Update"/>		09 Mar 2020	95	1201750000092191	TEST1	--Select--	Enter DP

(Fig. 3)

Refer Fig. 3

Under the head **BO Comments**: The complaint text mentioned by the BO at the time of lodging of complaint is provided.

Under the head **Attachment**: On clicking on the Attachment icon, following window will open (Refer Fig. 4)



(Fig. 4)

In this window, the DP/ RTA can view the attachment (if any) attached by the BO at the time of lodging of complaint. DP/ RTA can download the attachment by clicking on it. Save option is available in case if the DP/ RTA wants to save the attachment.

Following details of the complaints will be given:

- Date of Receipt – The date will be the receipt of complaint at CDSL end
- Complaint ID – Unique Complaint no.
- BOID
- PAN of the complainant
- Category & Sub-category of complaint

II. Filing Action Taken Report

Once DP/ RTA has analyzed the complaint, appropriate Action Taken Report (ATR) needs to be filed .

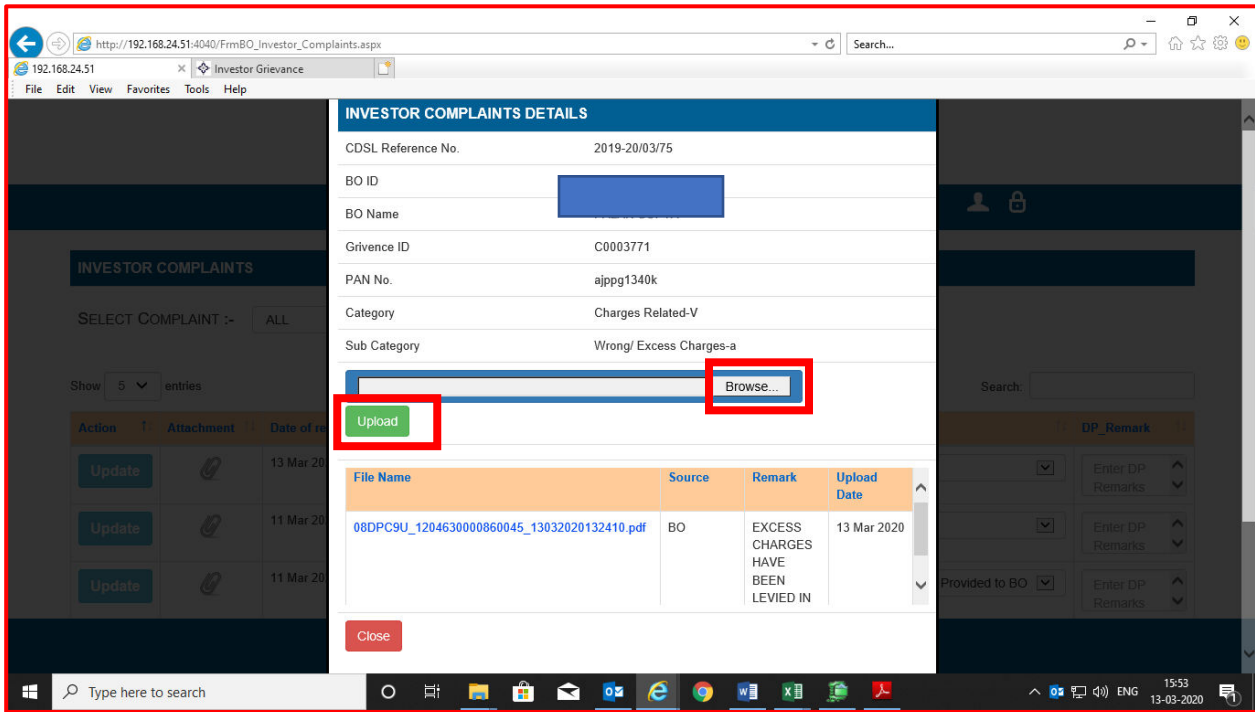
For filing ATR, following 3 options are provided to the DP/ RTA under the head ‘**Status**’. (Refer Fig. 5)

- Clarification Sought from BO
- Information Provided to BO
- No response from BO

Action	Attachment	Date of receipt	Complaint ID	BO ID	BO Comments	Status	DP_Remark
Update		13 Mar 2020	100	1201090010096351	EXCESS CHARGES HAVE BEEN LEVIED IN DEMAT	<input type="text" value="-Select-"/>	<input type="text" value="Enter DP Remarks"/>
Update		11 Mar 2020	98	1201060012345678	TEST	<input type="text" value="-Select-"/>	<input type="text" value="Enter DP Remarks"/>
Update		11 Mar 2020	97	1201090012665129	DELAY IN OPENING OF DEMAT ACCOUNT	<input type="text" value="Information Provided to BO"/>	<input type="text" value="Enter DP Remarks"/>
Update		09 Mar 2020	95	1201750000092191	TEST1	<input type="text" value="-Select-"/>	<input type="text" value="Enter DP Remarks"/>
Update		06 Mar 2020	81	1236556444564456	DP CHARGING HIGH	<input type="text" value="Information Provided to BO"/>	<input type="text" value="Enter DP Remarks"/>

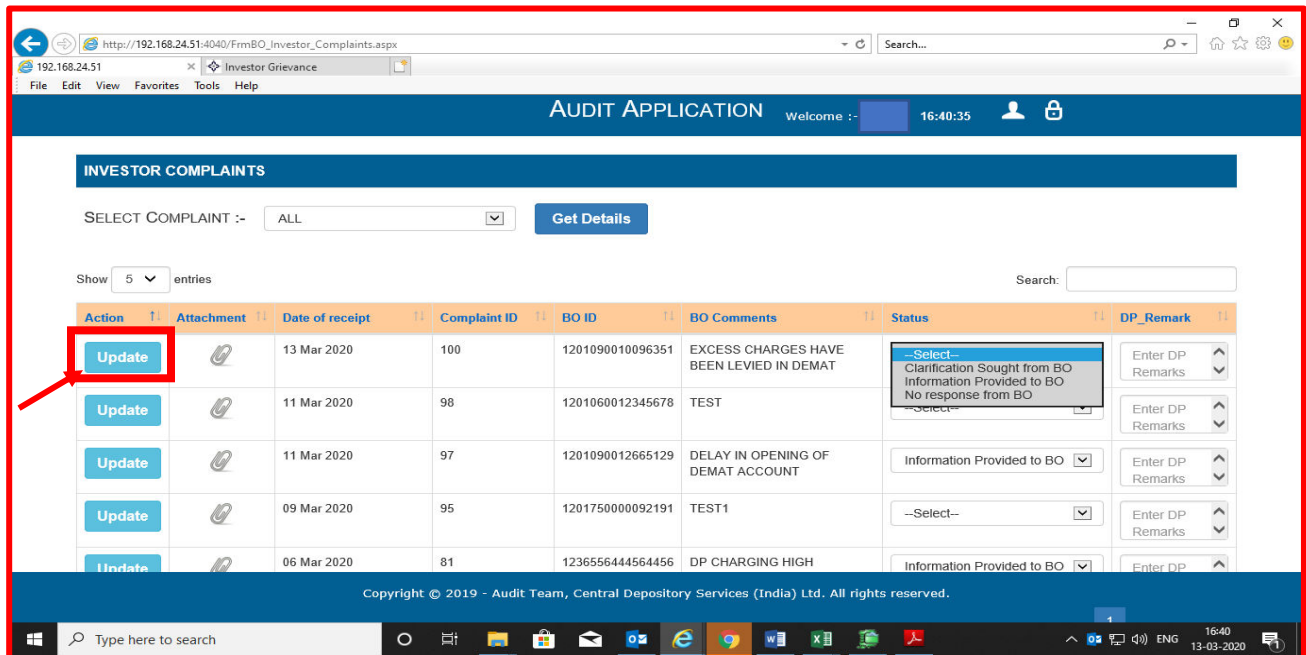
(Fig. 5)

DP/ RTA will select appropriate option from the head ‘**Status**’ and provide their comments under the head ‘**DP Remarks**’ field. Attachment can be attached by DP/ RTA by clicking on Attachment icon (Refer Fig. 3).



(Fig. 6)

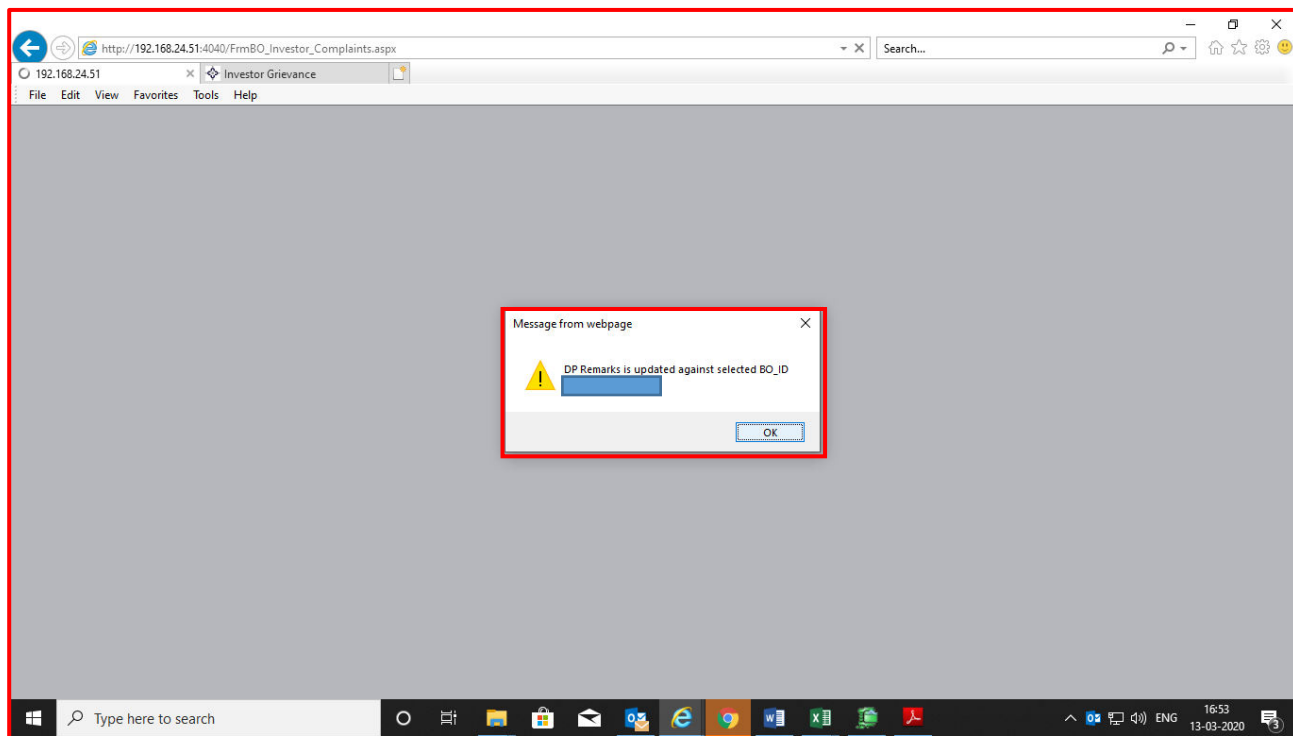
Then, click on **'Browse'**, attach the file (PDF, Work, Excel, JPEG) and click on **'Upload'**. Click on **Close**.



(Fig. 7)

Click on **'Update'**

Message will appear that ‘DP Remarks are updated for BOID.....’ (Refer Fig. 8)

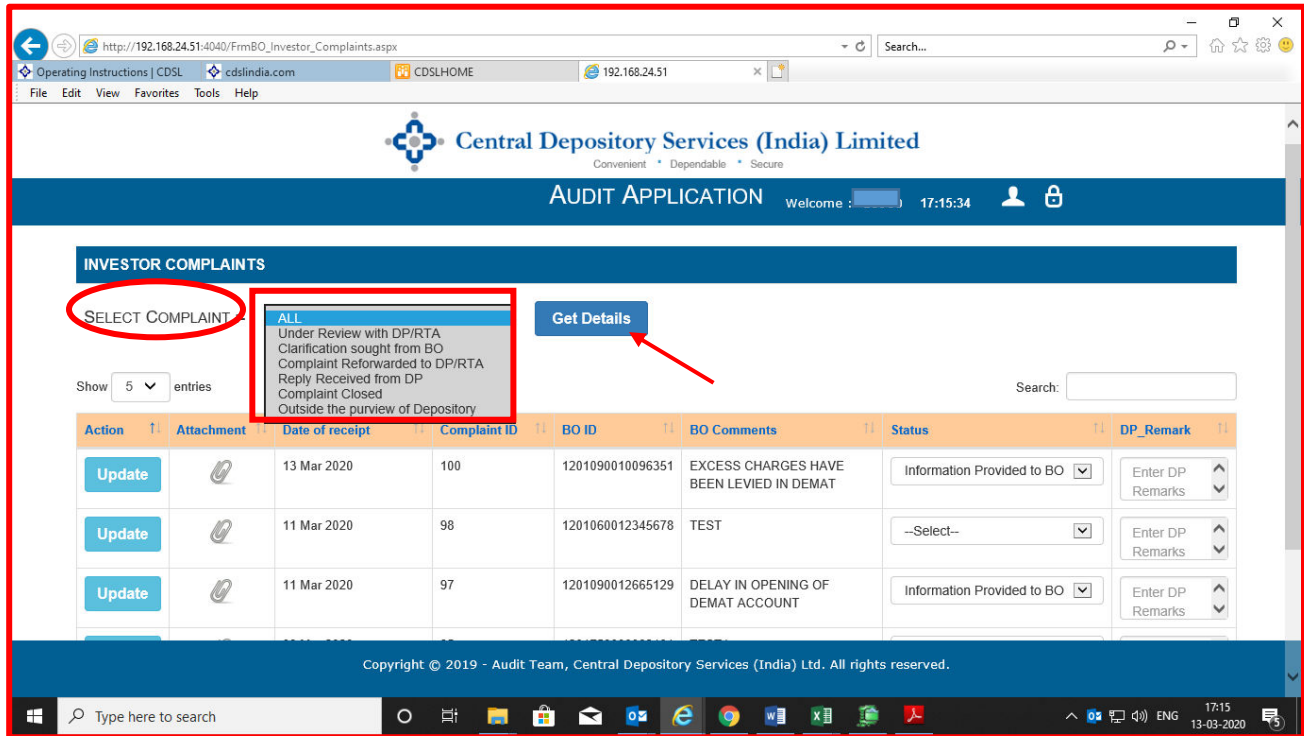


(Fig. 8)

Once the DP/ RTA has filed ATR, the same will be checked at CDSL’s end. If the reply filed by the DP/ RTA is found to be incomplete/ non-satisfactory, or further clarification is required by CDSL, CDSL shall redirect the complaint to the DP/ RTA. DP/ RTA will be required to provide necessary details as directed by CDSL and file the ATR once again as explained above.

III. Complaint Status

DP/ RTA can view the ‘Status of Complaint’ at CDSL’s end.



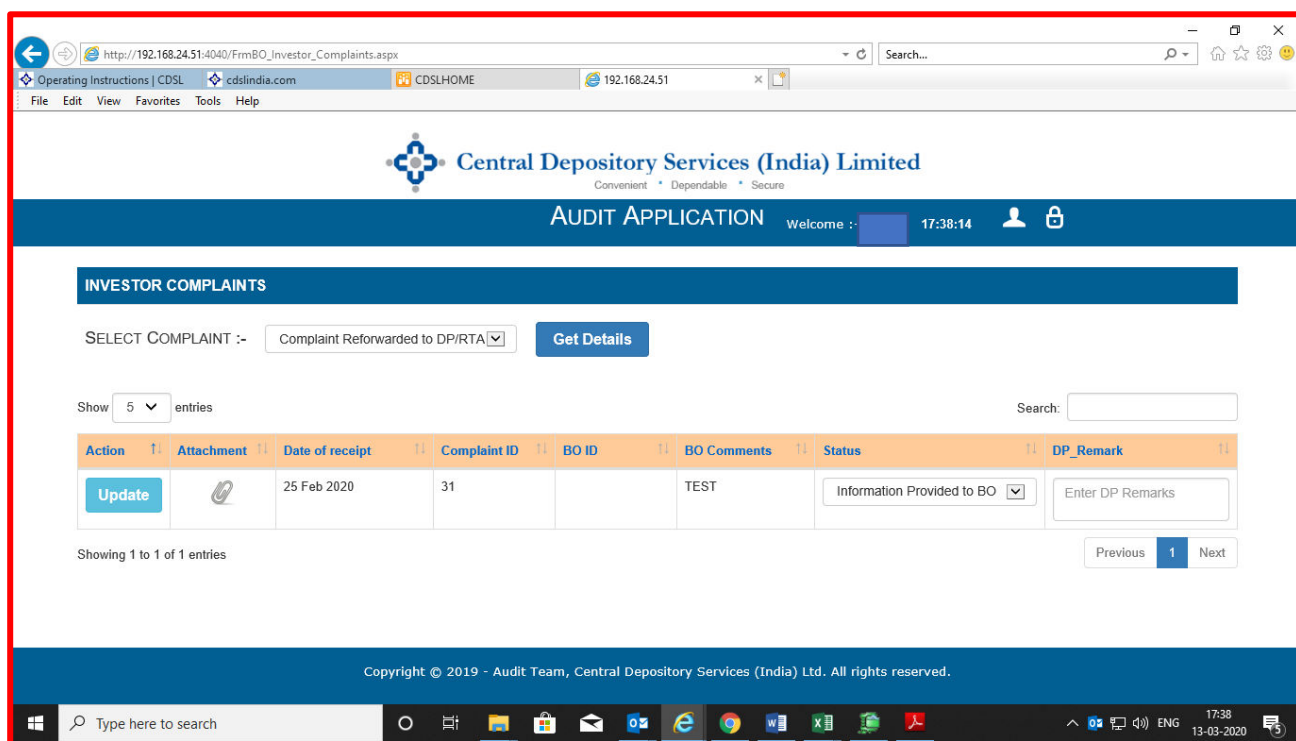
(Fig. 9)

Click on the dropdown button besides ‘Select Complaint’. The Status are as follows:

- Under Review with DP/ RTA
- Clarification sought from BO
- Complaint Referred to DP/ RTA
- Reply Received from DP
- Complaint Closed
- Outside the purview of Depository

DP can select any one option and click on ‘Get Details’. The respective complaints under that list will appear.

By default, **ALL** the complaints will be listed for the respective DP/ RTA.



(Fig. 10)

In case of Status ‘**Complaints Reforwarded to DP/RTA**’, DP/ RTA can view the details of complaints Reforwarded by CDSL (Incomplete/ non-satisfactory replies filed by DP/RTA or further clarification is required by CDSL) by selecting this option and the list of such complaints will appear.

DP/ RTAs may note that the selection made under the head ‘**Complaints Status**’ will be interpreted / acted at CDSL end as follows:

Complaint Status (Dropdown list)	Final Status
Under Review with DP/ RTA	Complaint Open
Clarification sought from BO	Complaint Open
Complaint Reforwarded to DP/ RTA	Complaint Open
Reply Received from DP	Complaint Open
Complaint Closed	Complaint Closed
Outside the purview of Depository	Complaint Closed