



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLCY/2021/445

October 04, 2021

SUBMISSION OF INCIDENT/ QUARTERLY REPORTING OF CYBER-ATTACKS, THREATS AND REPORTING OF ARTIFICIAL INTELLIGENCE (AI) AND MACHINE LEARNING (ML) APPLICATION AND SYSTEMS USED BY DPS

Attention is drawn to CDSL communique CDSL/AUDIT/DP/POLCY/2021/302 dated July 9, 2021 regarding the captioned matter. Accordingly, DPs are required to submit (i) Incident/ Quarterly reporting of Cyber-attacks, Threats and (ii) Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems by market intermediaries for the **quarter ended 30th September 2021 by 15th October 2021**.

Please note that, the Login “DP_IT_Official” has been renamed as “**DESIGNATED OFFICER**”. The User names created by DPs under “DP_IT_Official” login can be continued to be used under “**DESIGNATED OFFICER**” login.

With regard to submission of Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems by market intermediaries, updated manual for online submission is enclosed as Annexure A.

Queries, if any, regarding this communiqué may be addressed to CDSL-Audit: (022) 2305 8679 / 8678/ 8515 or 8513.

sd/-

Latha Nair
Assistant Vice President – Audit, Inspection & Compliance

Annexure A

1. DPs needs to Sign In from “Designated Officer” login

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AUDIT APPLICATION

SIGN IN

Login Type: --Select--
Auditor
DP
RTA
CDSL_Staff
Designated Officer
CISA_Auditor

User ID: [Empty]

Password: 73bc8d

Enter Code: [Empty]

[Forgot password](#) [Change Password](#)

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2. Select Login Type as: **CYBER ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING REPORT**

Select the 'Audit Month' and 'DP' and click on CONFIRM

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AUDIT APPLICATION

Reports

Select Audit Type: CYBER ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING REPORT

Select Audit Month: December-2020

Select DP / RTA: 53200 - VCK SHARE & STOCK BROKING SERVICES LIMITED

[Confirm](#)

[View Cyber Report](#)

[Go to Login](#)

FAQ

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- Following screen will open. Main DP can mention the branch DPIDs if they are submitting consolidated report for branch DPIDs as well.

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Welcome :- 53200_PRACHIK

AUDIT APPLICATION

CYBER ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING REPORT

Audit Type	CYBER ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING REPORT	DP Name(ID)	53200 - VCK SHARE & STOCK BROKING SERVICES LIMITED
Audit Month	202012	Period	Oct-2020 to Dec-2020
Schedule No	2020120439	DP ID	53200

Last date of Submission 31-Mar-2021 . If the report is submitted after this date, then it will be treated as Late Submission.

Cyber AI & ML Report covers the following Branch DPIDs :-

Basic Required Details

1	Entity SEBI registration number	INDPCDSL
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- DP is required to fill in the details in points nos. 1 to 4.

If DP has not implemented Any set of applications/ software/ programs/ executable/ systems (computer systems) – cumulatively called application and systems using AI&ML, DP can select the option **NO** and click on **SAVE** and **SUBMIT TO CDSL**. The report will be submitted to CDSL.

Cyber AI & ML Report covers the following Branch DPIDs :-

Basic Required Details

1	Entity SEBI registration number	
2	Registered entity category	
3	Entity name	
4	Entity PAN no.	

Have you implemented Any set of applications/software/programs/executable/systems(computer systems)- cumulatively called application and systems using AI&ML?

Yes No

AI & ML REPORT DETAILS

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5. However, if DP has implemented Any set of applications/ software/ programs/ executable/ systems (computer systems) – cumulatively called application and systems using AI & ML, DP needs to select option **YES**.
6. If YES is selected, the DP needs to fill in AI & ML Report Details (i.e. from point no. 5 onwards).

Have you implemented Any set of applications/software/programs/executable/systems(computer systems)– cumulatively called application and systems using AI&ML?

Yes No

AI & ML REPORT DETAILS

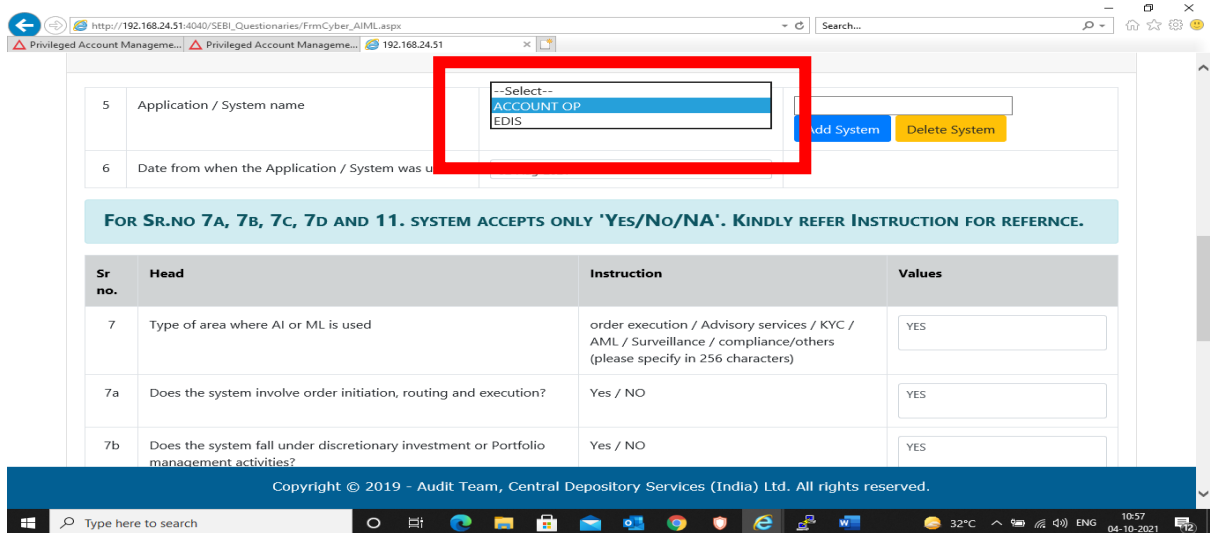
5	Application / System name	--Select--	<input type="text"/>	<input type="button" value="Add System"/> <input type="button" value="Delete System"/>
6	Date from when the Application / System was used	<input type="text"/>	<input type="text"/>	

FOR SR.NO 7A, 7B, 7C, 7D AND 11. SYSTEM ACCEPTS ONLY 'YES/NO/NA'. KINDLY REFER INSTRUCTION FOR REFERENCE.

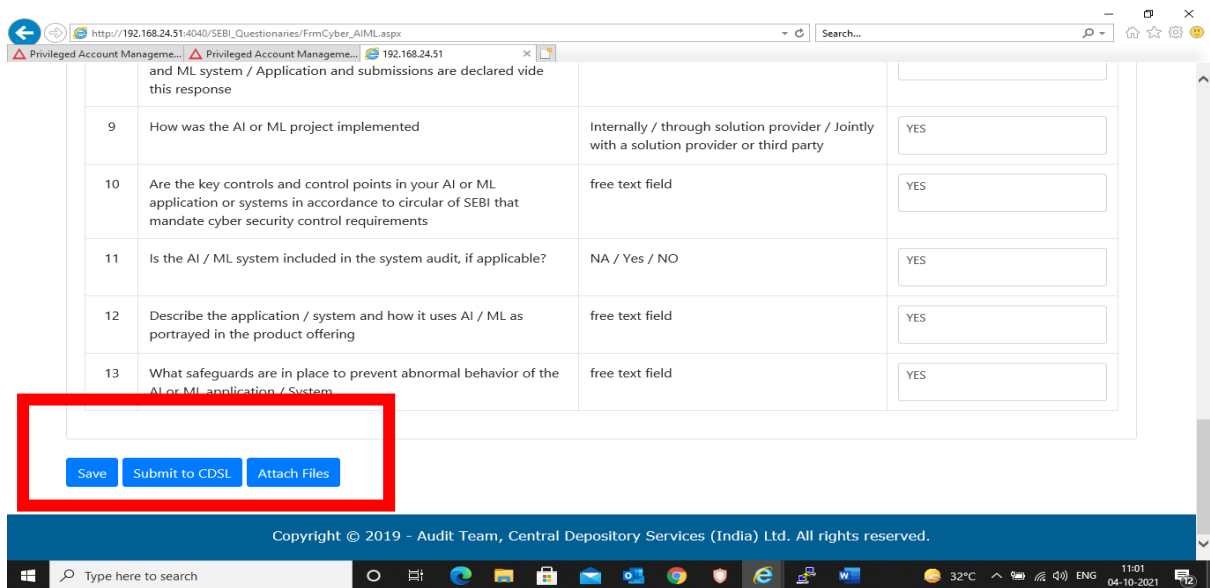
Sr no.	Head	Instruction	Values
7	Type of area where AI or ML is used	order execution / Advisory services / KYC /	<input type="text"/>

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7. The DP needs to mention the name of Application/ System for which it is submitting the report. The Application/ System name can be added by Tying the name of the application in the field shown in above figure and then click on “Add System”. DP can add multiple Applications/ System names.
8. Once the system names are added, the same will be shown in the field “Application / System name”. DP needs to provide separate details for each Application/ System from points nos. 6 to 13 by selecting the Application/ System name from the drop-down list.



9. Once details are filled in for all the Applications/ Systems, click on **Save** and **Submit to CDSL**



10. DPs can now view the submitted reports to CDSL by logging in with Designated Officer Login. Following screen will appear. Click on "View Cyber Report"

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AUDIT APPLICATION

Reports

Select Audit Type: --Select--

Select Audit Month: []

Select DP / RTA: --Select--

Confirm

[View Cyber Report](#)

[Go to Login](#)

FAQ

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11. In following screen select the report and in the next screen select the required period and year.

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AUDIT APPLICATION

Welcome :- 53200_PRACHIK

CYBER REPORT VIEW

Cyber AI & ML Report
Cyber Incident Report
Cyber Annual Report

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