



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/SYSTEM/2022/5

January 04, 2022

FACILITY FOR - SUBMISSION OF REPORTS/ REPORTING ALERTS / DOWNLOADING ALERTS W.R.T. SURVEILLANCE OBLIGATION OF DEPOSITORY PARTICIPANT

DPs are advised to refer to Communiqué no. CDSL/OPS/DP/SYSTEM/2021/309 dated July 15, 2021, regarding Surveillance obligation of Depository Participant (DP), wherein DPs were advised to put in place a surveillance framework to generate different types of alerts & casting obligations **on DPs and quarterly reporting of status of the alerts generated by DPs**

CDSL is now pleased to inform that necessary development have been made in REL ID application for login to new surveillance application for submission of the following:

- Quarterly reporting of status of the alerts generated by DPs
- Reporting instances with adverse observation for alerts generated by DPs
- Downloading alerts generated by CDSL and reporting status of alerts by DPs

DP can give rights to the existing users in CDAS or needs to create separate user (preferably Compliance Officer or senior official) to access the surveillance application. The User creation and User activation process are the same as user creation for Web CDAS application. **User Manual of the same is attached as “Annexure-A”.** Further, detailed operational procedure to access the aforesaid surveillance application is attached as Annexure-B. Changes in the system will be released on January 7, 2022 (EOD).

Corrigendum to communicate on Surveillance Obligation for DPs:

DPs are requested to read point F of earlier Communiqué no. CDSL/OPS/DP/SYSTEM/2021/309 dated July 15, 2021, as ‘Status of Alerts generated by the **Depository Participant**’ instead of ‘Status of Alerts generated by the **Depository**’.

DPs are advised to note the same, ensure compliance and make necessary changes, in their back-office system if required.

Queries regarding this communiqué may be addressed to **CDSL – Helpdesk:** on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com.

sd/-

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Annexure - A

User creation for surveillance Application:

ADMIN or user having Admin rights can create a user for surveillance application. The User creation and User activation process are the same as user creation for Web CDAS application.

The screenshot shows the 'Database Administration' interface. The 'Users' menu is open, and the 'Setup' option is highlighted. The interface includes a header with the company logo and name, and a navigation bar with options like 'Home', 'Session Info', 'Change Password', 'Version Details', 'Payment Portal Link', and 'Logout'. The main content area shows a list of user management options: 'User Information' (Setup, Modify), 'Reset Password', 'User Classes' (Inquire), 'Security' (Delete), 'Login Inquiry', 'Login History Inquiry', 'Unlock User', and 'Audit Inquiry'.

The screenshot shows the 'User Information' form in the 'Database Administration' interface. The form is for a new user with the following details:

- DP ID: 22000
- DP Name: SPS SHARE BROKERS PRIVATE LIMITED
- User ID: SUR11
- User Class: 64 Surveillance
- Options: Active, Inactive, Permanently Inactive

The form also includes fields for First Name, Middle Name, Last Name, Mobile Number, Email ID, and Remarks. A 'Week Day Pattern' table is visible at the bottom of the form:

Week Day Pattern	Holiday	Session Start Time	Session End Time
Sunday	No	00:00	23:59
Monday	No	00:00	23:59
Tuesday	No	00:00	23:59
Wednesday	No	00:00	23:59
Thursday	No	00:00	23:59
Friday	No	00:00	23:59
Saturday	No	00:00	23:59

The form has 'Commit' and 'Cancel' buttons at the bottom right.

After entering the desired user id, the user must select the user class as Surveillance from the "User Class" dropdown. The user must enter all other information as shown in the slide.

Once user-id information is created by an ADMIN user, the newly created user id must be activated by admin users through Modify menu provided in the Database Administration-User



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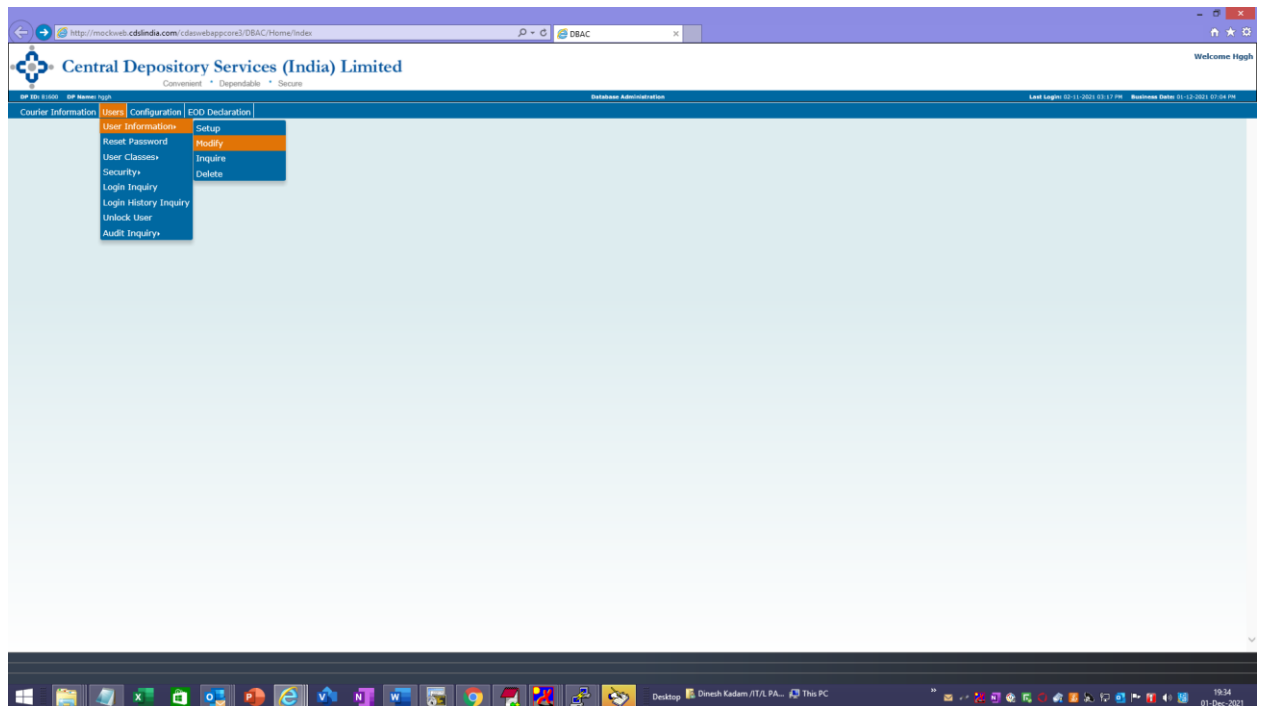


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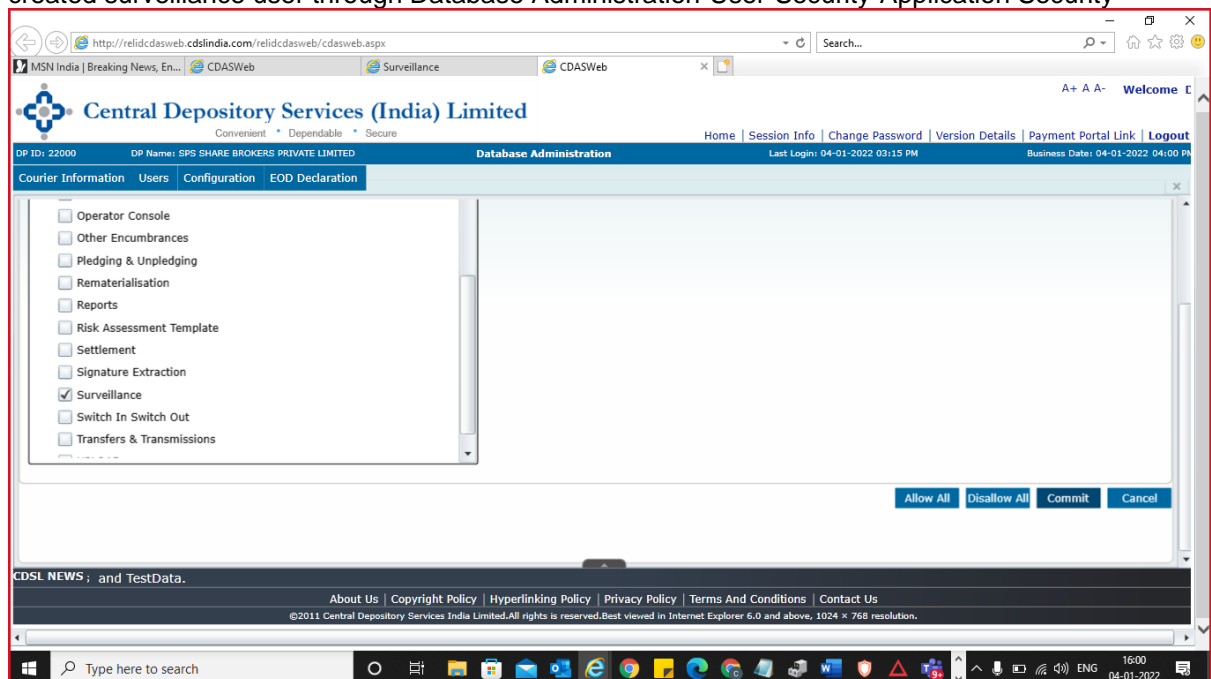
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Information-Modify menu.



Once the user has activated – Admin user must give the surveillance module access to newly created surveillance user through Database Administration-User-Security-Application Security



Also, Admin user has to assign the application events (which all option of Surveillance application) to newly created surveillance user through Database Administration-User-Security-Event Security



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Secure login through REL ID application.

With effect from 08 Jan 2022, a new icon will be displayed in the REL ID screen named Surveillance App

User-created under surveillance user class will be eligible to login into Surveillance Application.



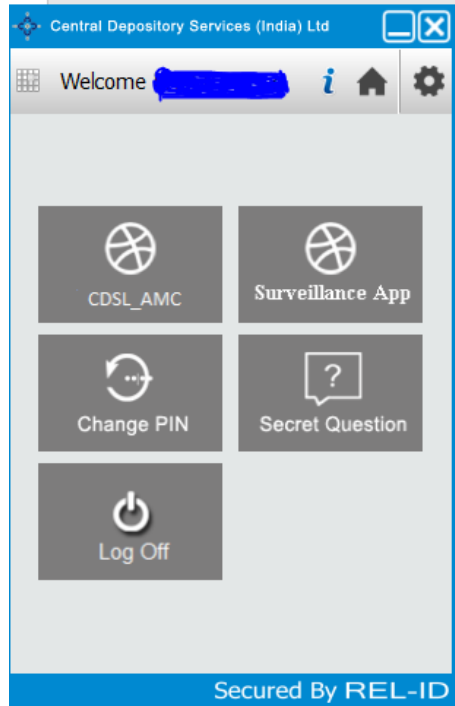
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Annexure-B

Step 1 – Login to REL ID page of your respective DP and then click on Surveillance App.



Step 2 – New weblink will open, enter your credentials



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❖ Quarterly reporting of status of the alerts generated by DPs

Step 3 – Click on tab Alert Reporting by DP and then Quarterly Reporting.



Step 4 – To report Quarterly Alert generated by DP (refer communique 309) click on Submit Quarterly Report.

Step 5 – Select the alert type and mention the count of alert.

Quarterly Report Setup

Nil Reporting

Quarter Month : Year :

Alert Type :

No of alerts pending at the beginning of quarter :

No of new alerts generated in the quarter :

No of alerts Verified & Closed in the quarter :

No of alerts reported to Depository :

No of alerts pending process at the end of quarter :

Action Taken :

Step – 6 – If depository participant had taken any major Surveillance Action, then same need to report here, if having multiple records then same can be entered in text box.

Action Taken :



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Step – 7 - DPs who do not have anything to report, need to submit 'NIL Report'

Quarterly Report Setup

Nil Reporting

Quarter Month : Year :

Alert Type :

No of alerts pending at the beginning of quarter :

No of new alerts generated in the quarter :

No of alerts Verified & Closed in the quarter :

No of alerts reported to Depository :

No of alerts pending process at the end of quarter :

Action Taken :

❖ Reporting instances with adverse observation for alerts generated by DPs

Step – 8 – Click on Adverse Observation Reporting to submit any adverse observation by DP during the quarter.

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Dashboard Upload Alert Inquiry Download **Alert Reporting by DP**

Quarterly Report Setup & Inquiry Adverse Observation Reporting Quarterly Reporting

Quarter Month :

Year :

Step - 9 – Under Adverse Observation Reporting, click on Report Adverse Alert



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Step -10 – Fill necessary details of your observation and submit.

New Alert Setup

Alert Type	<input type="text" value="Please Select"/>	DP ID	<input type="text" value="10900"/>
Transaction Date	<input type="text" value="Select Transaction Date"/>	Reporting Date	<input type="text" value="Select Reporting Date"/>
Client ID	<input type="text" value="Enter Client ID"/>		
Transaction Type	<input type="text" value="Please select"/>		
Observation Description	<input type="text"/>		
Action Taken	<input type="text"/>		
Attachment	<input type="text" value="Browse..."/>		

❖ Downloading alerts generated by CDSL, review and submit DP response

Step – 11- Go to Download and click on Report Download tab to download alerts generated at Depositories end.

Dashboard Upload Alert Inquiry Download Alert Reporting by DP

Report

Alert Type	<input type="text" value="Please select"/>	
From Date	<input type="text" value="Select From Date"/>	To Date <input type="text" value="Select To Date"/>

Step – 11- Go to Alert Enquiry and click Detail Enquiry To revert back on any alert to depository and close the alert on portal itself.



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Dashboard Upload Alert Inquiry Download Alert Reporting by DP

Alert Detail Inquiry

Alert Type

Status

From Date

Step – 12 – To upload your remarks against each alert in bulk manner, you may use upload facility.

Dashboard Upload Alert Inquiry Download Alert Reporting by DP

Upload File

Alert Type

Alert Status

Upload File