



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/SYSTEM/2023/628

October 27, 2023

FACILITY FOR BULK UPLOAD FOR RESPONDING TO SURVEILLANCE 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
- Communiqué no. CDSL/OPS/DP/SYSTEM/2022/5 dated January 04, 2022
- Communiqué no. CDSL/SURV/DP/POLCY/2023/88 dated February 10, 2023

regarding Surveillance obligation of Depository Participant (DP), wherein DPs were advised to put in place a surveillance framework which includes review and disposal of the transactional alerts provided by CDSL within 30 days.

CDSL is now pleased to inform you that –enhancement in Surveillance portal have been made with respect to bulk upload facility to address the surveillance alerts assigned to DP by CDSL. DPs will be able to submit their remarks and due diligence confirmation which may facilitate prompt addressal of Surveillance alerts.

The detail procedure for enabling necessary rights and bulk upload in CDAS-Surveillance portal is enclosed below for your reference:

Step 1 – Admin user have to give upload rights to other users by following the procedure as mentioned below.

- Admin user has to Login into **CDAS** system > Select - **Database Administration Module** > Select – **Users** > Select – **Security** > Select - **Event Security** > Select - **User class** (search for the user right has to be given) > Select – **OK** > Select - Application ID–**SURV** > Option to be selected – **Upload** (Setup & Inquiry) > Select - **Commit**

Respective user have to Re-login into Surveillance portal and check the upload option will be Available.

Step 2 – After login to Surveillance Portal, click on upload option and select setup menu from the drop-down list.



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The screenshot shows the CDSL portal navigation bar with options: Home, Alert, Upload, Alert Inquiry, Download, Alert Reporting by DP, and KMP Details. The 'Upload' menu is expanded, showing 'Upload File', 'Setup', and 'Inquiry'. Below the menu, the 'Upload File' form is visible, featuring an 'Alert Type' dropdown menu (currently showing 'Please select'), an 'Upload File' section with a 'Choose File' button and 'No file chosen' text, and 'Upload' and 'Clear' buttons at the bottom.

Step 3 – Select the applicable alert type from the drop-down list.

The screenshot shows the 'Alert Type' dropdown menu expanded, displaying a list of alert types. The list includes: 'Please select', 'GROUP_OFF_TXN_ALERT', 'OFFMKT_REVERSAL_FULL', 'TOP_DTLS', 'Off- market transfers based on reason codes-Top Ten ReasonCode Based on Count', 'Off- market transfers based on reason codes-Top Ten ReasonCode Based on Valuation', 'Off- market transfers based on reason codes-High Value Txn Report', 'High value transactions executed after Demographic changes in the account - OffMarket Txn Report', 'High value transactions executed after Demographic changes in the account', 'Off-market transfers in ISINs suspended for trading', 'OFFTXN_DEM_CHNG_ALERT', 'OFFMKT_GSM_ASM_ALERT', 'High value invocation report', 'High value pledge report', 'Offmarket lockin Summary report', 'Offmarket lockin Detail report', '7 Days reversal off-market transfer between 2 entities', 'IPO Analysis', 'CR_2196-Account being closed within a short period', and 'CR_2195-Significant off-mkt transfers in scrip circulation of unsolicited SMS'.

Step – 4 Select the upload file option and upload the file.

- DP may either download alert file from download menu where in details of alert will be available or through enquiry for alert with status “Pending” can be extracted to prepare upload file.
- File will be uploaded with following format.
Record ID~REMARKS~
(Note :- 1. DP should ensure header is removed while uploading the file)
2. DP have to add mandatory “tilde” (~) at the end of remark.
3. DP should ensure that remark should be entered in single line for a record.
- File will be uploaded with the following naming convention.
SURV_<DPID_DDMMYYYY>_<SERIAL NO>.TXT
- Please note that the file with the same name cannot be uploaded multiple times.
- DP should ensure that maximum file size should not be greater than 10 MB.
- DP should ensure that maximum number of records in one file should be less than 50000 records.
- DP should ensure that character in remark field shall not exceed 2000 Characters.



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viii. DP should ensure that Special character is not used in remark field.

Once file is uploaded, below popup message will be reflected on the screen.

The screenshot shows the 'Upload File' section of the Central Depository Services (India) Limited web application. A white popup message with a close button (X) in the top right corner displays the text 'FILE UPLOADED SUCCESSFULLY.' and an 'OK' button. Below the popup, the 'Upload File' form is visible. It includes a dropdown menu for 'Alert Type' set to 'DWS_CR2561_SURV_TOP_DTLS', a 'Choose File' button, and a text input field containing 'SURV_10...2023_05.txt'. At the bottom of the form are 'Upload' and 'Clear' buttons.

Step – 5 Once the file is uploaded DPs can check the status of upload from inquiry option.

- Select the alert type for which file is uploaded.
- From date and to date will be date of file uploaded.
- In case of failure, DP can check the reason of failure in the response file and reupload the records after necessary correction.

The screenshot shows the 'File Upload Inquiry' section of the Central Depository Services (India) Limited web application. It features a navigation bar with links: Alert, Upload, Alert Inquiry, Download, Alert Reporting by DP, and KMP Details. Below the navigation bar, the 'File Upload Inquiry' form is displayed. It includes a dropdown menu for 'Alert Type' set to 'DWS_CR2561_SURV_TOP_DTLS', 'From Date' and 'To Date' fields both set to '13-Oct-2023', and 'Search' and 'Clear' buttons. Below the form, a table displays the upload results:

Alert Type	File Name	Status	Response File
DWS_CR2561_SURV_TOP_DTLS	SURV_10100_13102023_05.txt	Success	SURV_10100_13102023_05_res.TXT

Below the table, it says 'Showing 1 to 10 of 11 entries'. At the bottom right, there are 'Previous', '1', '2', and 'Next' buttons.

Further DPs are advised to do sample enquiry on the alerts for which DP have uploaded their comments, to ensure that DP comments are properly updated.

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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