



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/SURV/DP/POLCY/2023/88

February 10, 2023

SURVEILLANCE OBLIGATION OF DEPOSITORY PARTICIPANT

DPs are advised to refer

- Communique no 309 dated July 15, 2021
- Communique no 5 dated January 04, 2022

CDSL has released a functionality whereby the surveillance related alerts related to Account Opening, Off-Market transfers, and Pledge/Unpledge/ Invocation generated by CDSL are made available to the respective DPs via Surveillance Portal and the DPs have to submit their response to the alerts via the said portal itself. Further, the DPs are required to submit count of the alerts generated by depository participants on a quarterly basis, within 15 days from end of the quarter along with details of any major surveillance action taken (other than alerts reported to Depository), if any, during the quarter.

In this regard, DPs are advised to note following points once again.

- 1. Ensure that Quarterly reporting of Surveillance Alerts generated by DP will be reported on Surveillance Portal within 15 days from end of the quarter.** DPs to ensure that alerts generated in demat accounts opened in Live connected branch will also be considered while reporting the count to CDSL.
- 2. It was also informed to the DPs that “With respect to the transactional alerts provided by Depository, DP shall ensure that all alerts are reviewed, and status thereof (Verified & Closed / Verified & Reported to Depository) including action taken is updated within 30 days”. Accordingly, DPs should ensure that all alerts provided by CDSL will be checked on regular basis by login to CDSL Surveillance Portal. Print screen of the inquiry menu is given below. DPs shall ensure that the Alerts are checked and compliance is submitted within 30 days.**



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Dashboard Upload Alert Inquiry Download Alert Reporting by DP

Alert Detail Inquiry

Alert Type: Please Select

Status: Please Select

From Date: Select From Date To Date: Select To Date

Search Clear

Select Summary Enquiry and then select each Alert type with status pending and provide date range

Alert Summary Inquiry

Alert Type: Please Select

Status: Please Select

From Date: Select From Date To Date: Select To Date

Search Clear

3. DPs are also required to generate alerts based on the Alert theme indicators with the parameters set by the DP and post raising such alerts to BO, if DP finds any suspicious activities being carried out by BO, then such alerts must be reported to CDSL via 'Adverse Observation Reporting' tab under menu 'Alert Reporting by DP' of Surveillance portal. (Print Screen given below)



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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"/> <input type="button" value="Browse..."/>		

4. DPs are required to exercise their independent judgment and take appropriate action to detect any abnormal or suspicious transactions. In addition to alerts suggested in Communique no 309 dated July 15, 2021, DPs are expected to generate additional alerts to detect and prevent any type of market manipulation activity carried out by their clients.

DPs are advised to take note of the same and ensure compliance.

Queries regarding this communiqué may be addressed to: **CDSL – Helpdesk** Emails may be sent to: helpdesk@cdslindia.com and telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041, 2300-2033 or 08069144800.

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Umesh Kambli
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