



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLCY/2024/622

October 18, 2024

AMENDMENTS TO DP OPERATING INSTRUCTIONS ANNEXURE 11.1

Depository Participants (DPs) are advised to take note of the amendments mentioned below, which have been incorporated in CDSL's DP Operating Instructions Annexure 11.1 – Penalty Structure for DPs:

Operating Instructions - Annexure 11.1		
PENALTY STRUCTURE FOR DPs		
Sr. No.	Nature of non-compliance	Penal Action (in ₹)
26	BO Grievances (except disputes/ court cases) not redressed within 21 30 days.	₹500/- per grievance plus additional ₹200/- for any further delay per month. Delay beyond six months will be reported to the Member Committee.
31	Anti-Money Laundering (AML) policy not framed as required under PMLA. and not intimated to FIU-IND.	₹5,000/- per occasion

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 6234-3080, 6234-3082, 6234-3084, 6234-3076.

For and on behalf of
Central Depository Services (India) Limited

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Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance