



# Central Depository Services (India) Limited

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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

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CDSL/AUDIT/DP/POLCY/2026/427

June 25, 2026

### ONLINE SUBMISSION OF COMPLIANCE CERTIFICATE BY DP

DPs are advised to refer communique no. CDSL/AUDIT/DP/POLICY/2025/345 dated May 22, 2025, regarding submission of Half Yearly Compliance Certificate by depository participants in the prescribed format by January 31 and July 31 of every year.

DPs are requested to note that the online facility for submission of the Half Yearly Compliance Certificate has been enhanced with mandatory 'YES' and 'NO' options against each compliance confirmation. DPs are required to select the appropriate option based on their compliance status. Where 'No' is selected the DP shall provide the reason for the non-compliance under Point.no.8 and specify the corrective steps taken to ensure compliance.

Detailed submission process is provided in **Annexure I**. All other requirements and procedures for submission shall continue to be as prescribed in the communiqué dated May 22, 2025.

Queries regarding this communiqué may be addressed to CDSL Audit, Inspection & Compliance Department on telephone nos. (022) 6234-3143, 6234 3077, 6234-3489, 6234-3074.

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

sd/-

**Ajit Prabhu  
Senior Manager - Audit, Inspection & Compliance**



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### Annexure I

**Step 1:** Once DP selects 'Half Yearly Compliance Certificate', the following details will be displayed,

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### AUDIT APPLICATION

#### HALF YEARLY COMPLIANCE CERTIFICATE REPORT

Audit Type :-	HALF YEARLY COMPLIANCE CERTIFICATE	DP Name(ID) :-	[REDACTED]
Audit Month :-	June-2025	As on :-	202506
Schedule No :-	2025063088	DP ID :-	[REDACTED]

**Sub : COMPLIANCE CERTIFICATE FOR THE PERIOD FROM ( 01 JAN 2025) To (30 JUN 2025)**

1) I, **TEST** AS A COMPLIANCE OFFICER,  
HEREBY CERTIFY THAT THE DEPOSITORY OPERATIONS OF [REDACTED] ARE IN COMPLIANCE WITH ALL APPLICABLE LAWS AND ESPECIALLY WITH RESPECT FOLLOWING :

- Yes  No (A) THE DEPOSITORIES ACT, 1996;
- Yes  No (B) THE SEBI (DEPOSITORIES AND PARTICIPANTS) REGULATIONS, 2018;
- Yes  No (C) THE BYE LAWS AND BUSINESS RULES/OPERATING INSTRUCTIONS OF RESPECTIVE DEPOSITORIES.
- Yes  No (D) DIRECTIVES / CIRCULARS / COMMUNIQUÉ / CLASSIFICATIONS / GUIDELINES ISSUED BY SEBI, THE GOVERNMENT OF INDIA, REGULATORY BODIES AND RESPECTIVE DEPOSITORIES, FROM TIME.
- Yes  No (E) PREVENTION OF MONEY LAUNDERING ACT, 2002 AND THE RULES AND GUIDELINES NOTIFIED THEREUNDER BY SEBI OR STATUTORY / REGULATORY AUTHORITIES.

2) FIT AND PROPER STATUS:  
 Yes  No I, **TEST** (NAME OF THE COMPLIANCE OFFICER) HEREBY CERTIFY THAT THE [REDACTED] ITS DIRECTORS AND THE KEY MANAGEMENT PERSONS ARE

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**Step 2:** The DP is required to select either 'Yes' or 'No' for each point. If the DP does not select an option for any point, a pop-up message will be displayed as shown below:

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### AUDIT APPLICATION

#### HALF YEARLY COMPLIANCE CERTIFICATE REPORT

Audit Type :-	HALF YEARLY COMPLIANCE CERTIFICATE	DP Name(ID) :-	[REDACTED]
Audit Month :-	December-2022	As on :-	202212
Schedule No :-	2022120600	DP ID :-	[REDACTED]

**Sub : COMPLIANCE CERTIFICATE FOR THE PERIOD FROM ( 01 JUL 2022) To (31 D**

1) I, [REDACTED] AS A COMPLIANCE OFFICER,  
HEREBY CERTIFY THAT THE DEPOSITORY OPERATIONS OF [REDACTED] COMPLIANCE WITH ALL APPLICABLE LAWS AND ESPECIALLY WITH RESPECT TO THE FOLLOWING :

- Yes  No (A) THE DEPOSITORIES ACT, 1996;
- Yes  No (B) THE SEBI (DEPOSITORIES AND PARTICIPANTS) REGULATIONS, 2018;
- Yes  No (C) THE BYE LAWS AND BUSINESS RULES/OPERATING INSTRUCTIONS OF RESPECTIVE DEPOSITORIES.
- Yes  No (D) DIRECTIVES / CIRCULARS / COMMUNIQUÉ / CLASSIFICATIONS / GUIDELINES ISSUED BY SEBI, THE GOVERNMENT OF INDIA, REGULATORY BODIES AND RESPECTIVE DEPOSITORIES, FROM TIME TO TIME.
- Yes  No (E) PREVENTION OF MONEY LAUNDERING ACT, 2002 AND THE RULES AND GUIDELINES NOTIFIED THEREUNDER BY SEBI OR STATUTORY / REGULATORY AUTHORITIES.

2) FIT AND PROPER STATUS:  
 Yes  No [REDACTED] (NAME OF THE COMPLIANCE OFFICER) HEREBY CERTIFY THAT THE [REDACTED] DIRECTORS AND THE KEY MANAGEMENT

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PLEASE SELECT ALL COMPLIANCE YES OR NO.

OK



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**Step 3:** If 'No' is selected for any point, the DP is required to enter the remarks under point no. 8. If the remarks are not entered, a pop-up message will be displayed as shown below:

The screenshot shows the 'AUDIT APPLICATION' form for a 'HALF YEARLY COMPLIANCE CERTIFICATE REPORT'. The form includes fields for Audit Type, Audit Month, Schedule No, DP Name, As on, and DP ID. A pop-up message with a red 'X' icon and the text 'KINDLY FILL THE DETAILS FOR APPLICABLE (NO CASE).' is displayed over the form. The form content includes a sub-header 'SUB : COMPLIANCE CERTIFICATE FOR THE PERIOD FROM ( 01 Jul 2022) To (31 Dec 2022)' and a list of compliance points with radio buttons for 'Yes' and 'No'.

**Step 4:** In case of non-compliance, DP should enter remarks in point no. 8 and click 'ADD' to save the record.

The screenshot shows the same 'AUDIT APPLICATION' form. A pop-up message with a green checkmark icon and the text 'RECORD ADDED SUCCESSFULLY!!!' is displayed over the form. The form content is identical to the previous screenshot, showing the compliance points and the 'ADD' button.

**Step 5:** The details entered by the DP will be displayed as shown below. If the DP wishes to delete any record, the same may be deleted before generating the file.



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Activities in which the Participant has not been in compliance

Steps taken to ensure compliance in future

Action

ADD

Delete	Sr. no.	Activities in which the DP has not been in compliance	Steps taken to ensure compliance in future
Delete	1	Test	Test

Generate HCC File   Upload HCC File   Attach Files

**Step 6:** The DP shall generate the HCC file, affix the digital signature of the Compliance Officer, and submit the HCC.