



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/IS/DP/POLCY/2026/647

September 18, 2026

SUBMISSION OF COMPLIANCE ON THE CLOSURE OF OBSERVATIONS IDENTIFIED DURING SYSTEM AUDIT

Depository Participants (DPs) are advised to refer to Communique **CDSL/IS/DP/POLCY/2026/371 June 03, 2026** and **CDSL/IS/DP/POLCY/2026/393 June 10, 2026**, on 'Submission of System Audit Report'.

In line with above, any observation raised by the auditor during the audit shall be remediated on an immediate basis and should be certified by the auditor. The compliance of closure of findings identified shall be submitted to CDSL **within 3 months** from the due date of submission of report.

DPs are advised to submit compliance of closure of observations raised during the audit for the audit period **April 2025- March 2026** on or before **September 30, 2026**. The User Manual for submission of the same is enclosed as **Annexure A**. DPs are requested to take note of the above and ensure compliance.

If the submission is not completed within the prescribed timeline, it will be treated as noncompliance, and the applicable penalty will be imposed as per **CDSL communique no: CDSL/AUDIT/DP/POLCY/2025/105 February 12, 2025**.

Queries regarding this communiqué may be sent to dpinfosec@cdslindia.com, or you may contact us on our landline numbers: 022-62343576 / 022-62343461.

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

sd/-

Mrugen Vijay Munjpara
Assistant Vice President – Information Security



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Annexure A

Guidelines to submit System Audit ATR (Action Taken Report)

IT Auditor needs to be mapped before submissions

1. Select "DP" as Login Type. Enter your user id and password. Complete the Captcha and then Sign In.

The screenshot shows the 'AUDIT APPLICATION' header in a blue bar. Below it is the 'SIGN IN' section. It includes a 'Login Type' dropdown menu set to 'DP', a 'User ID' text field, a 'Password' text field, and a captcha image showing '88ed81'. There is a 'Sign In' button and two links at the bottom: 'Forgot password' and 'Registration for DP / RTA'.

2. Enter the OTP received on the registered mobile number and email id.

The screenshot shows the 'AUDIT APPLICATION' header in a blue bar. Below it is the 'LOGIN OTP' section. It includes an 'Enter OTP' text field, a timer showing 'OTP Time :- 00:09:45', a 'Do not refresh the page' warning, and a 'Verify OTP' button.



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3. Then click on “View DP / RTA Profile and Status of Reports.

AUDIT APPLICATION

Select Audit Type--SELECT--

Select Audit Month

Select DP / RTA--Select--

Confirm

[View DP / RTA Profile and Status of Reports](#)

[View IT Auditor Profile](#)

[View Auditor Profile](#)

[View Investor Complaints](#)

4. You can view the mapped logs for each login type on this page.

AUDIT APPLICATION

IT Auditor Profile

User ID:

Name of Audit Firm:

Address:

Name of the Auditor:

Mobile:

Email ID:

Update Profile

Back

MAPPED DP WITH AUDIT TYPES

Delete	Edit	DP ID	DP Name	Audit Firm Name	User ID	Mobile No.	Audit Type
Delete	Edit						SYSTEM AUDIT REPORT
Delete	Edit						CYBER SECURITY AUDIT ATR



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5. Go back. Click on “Registration for IT Auditor”

If the IT Auditor is already available in the dropdown, simply select the Auditor name, choose the DP name, and then click on “Register.

AUDIT APPLICATION

Select Audit Type	--SELECT--	▼
Select Audit Month		▼
Select DP / RTA	--Select--	▼

Confirm

[View DP / RTA Profile and Status of Reports](#)

[View IT Auditor Profile](#)

[View Auditor Profile](#)

[View Investor Complaints](#)

[View Pending Submission](#) [View Pending Non-Compliance](#)

[Go to Login](#) | [Change Password](#)

[Registration for Auditor](#) | [Registration for IT Auditor](#) | [Registration for Designated Officer](#) | [User registration - Bidding DP](#)

[Register Your KYC User Click Here!!!](#)

[Sectoral Risk Assessment](#)

6. After Selecting “Registration for IT Auditor” below screen would be displayed.

AUDIT APPLICATION

IT AUDITOR REGISTRATION

Select Audit Type	--Select--	▼
Auditor List	--SELECT--	▼
* Auditors Email ID	Email ID	
* Name of Audit Firm	Audit Firm Name	
Address of Audit Firm	Address	
* Name of Contact Person	Contact Person	
* Mobile No.	Mobile no.	
Select DP		▼

Register

[Go to Login](#) | [Refresh](#)

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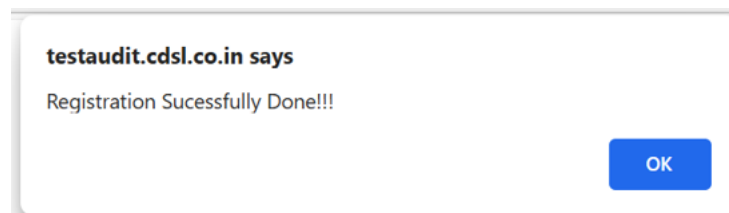
7. Select "System Audit ATR" as the Audit Type.

Enter All details like Auditors Email ID, Name of Audit Firm, Name of the contact person, Mobile Number. Select DP. And then click on Register.

IT/VAPT AUDITOR REGISTRATION

Select Audit Type	
Auditor List	--SELECT--
* Auditors Email ID	Email ID
* Name of Audit Firm	Audit Firm Name
Address of Audit Firm	Address
* Name of Contact Person	Contact Person
* Mobile No.	Mobile no.
Select DP	--Select--
Register	

8. Once Registration is done, a pop-up box will appear intimating the same.



9. Then click on Forgot Password.

AUDIT APPLICATION

SIGN IN

Login Type	IT_Auditor
User ID	
Password	
085a24 Refresh	
Sign In	
Forgot password	Registration for DP / RTA



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10. After Clicking on Forgot Password it will redirect to below screen shot.

AUDIT APPLICATION

FORGOT PASSWORD

Login Type

--Select--

User ID

User ID

Email ID

Email ID

☐ I'm not a robot

reCAPTCHA
Privacy - Terms

Submit

Cancel

11. Select IT Auditor as the Login Type.

Enter User ID and Email ID. Please note that the User ID must be email ID.

Complete captcha verifications and then Submit.

AUDIT APPLICATION

FORGOT PASSWORD

Login Type

IT_Auditor

User ID

Email ID

☒ I'm not a robot

reCAPTCHA
Privacy - Terms

Submit

Cancel

12. Enter the OTP received on the registered number or email id

AUDIT APPLICATION

FORGOT PASSWORD

Enter OTP

Enter OTP

OTP Time :-
00:09:12

Do not refresh the page

Verify OTP



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13. Enter New password and confirm the new password. Click on Save Changes.

AUDIT APPLICATION

FORGOT PASSWORD

[You can reset your password here](#)

 New Password

 Confirm Password

Save Changes

* Password Instructions : At least one digit [0-9], one lowercase character [a-z], one uppercase character [A-Z], one special character [*.!@#\$\$%^&(){}[];:<>,] and at least 8 characters in length

14. After resetting password, Login as an IT Auditor.

AUDIT APPLICATION

SIGN IN

 Login Type

IT_Auditor

 User ID

 Password

a55ad5



Sign In

[Forgot password](#) [Registration for DP / RTA](#)

15. You will receive the OTP on the registered mobile number and email id.

testaudit.cdsl.co.in says

OTP sent successfully on your registered email id / Mobile..!!!

OK



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16. Enter the OTP to Login

AUDIT APPLICATION

LOGIN OTP

 Enter OTP	Enter OTP
OTP Time :- 00:09:42	Do not refresh the page
	Verify OTP



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IT AUDITOR LOGIN

1. Log in Into Audit application by using the below link:-

<https://auditweb.cdslindia.com/Login.aspx>

Now Sign in using 'Login Type-IT Auditor

Now enter User ID & Password and click on "Sign In" button.

2. **Enter the OTP:** You will receive the OTP on both your IT registered mobile number and email Id.



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- Then select audit type "System Audit ATR" from the Drop down.
Select Audit month, the DP ID and DP Name in the 'Select DP / RTA' tab and click on 'Confirm'.

AUDIT APPLICATION

Select Audit Type	SYSTEM AUDIT ATR	▼
Select Audit Month		▼
Select DP / RTA		▼

Confirm

- The below screen will be displayed once the user is logged in. Enter all the details mentioned below. **All the details below will be auto populated.**

SYSTEM AUDIT ATR (Action Taken Report)

* Date	10-09-2026 12:38:06	* DP Name	
* DP ID		* Period	Oct-Mar 2026

System Audit Report covers the following Branch DPIDs :-

2

* Auditor Certification	--SELECT--
* Auditor Firm:	
* Auditor Name:	
* No of consecutive audits performed by the auditor:	
* Auditor Firm Expiry Date (DD-MM-YYYY):	

Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.

[1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING;](#)

[2. PASSWORD SECURITY](#)

- Please note that only the points marked as non-compliant will be displayed.

The 'IT Auditor' is given access to fill only the below mentioned fields:

- Compliance Status.
- Description of Findings/Reason why the TOR clause is not applicable to DP.
- Severity Level.



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[1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:](#)

Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Clause is not applicable to the DP	Target Closure Date (dd/mm/yyyy)	Severity Finding
1(a)	Processing / approval methodology of new feature request, change or patches	NOT COMPLIED			dd-mm-yyyy	-Select-
1(i)	Patch Management - Does the organization have a documented process/procedure for timely deployment of patches for mitigating identified vulnerabilities? Does the organisation maintain a tracker for the deployed, failed or missing patches along with the dates of the patch being applied? Whether version and patch management controls are in place? Does the organization periodically update all assets including Servers, OS, Database, Middleware, Network Devices, Firewalls, IDS /IPS Desktops etc. with latest applicable versions and patches? Ensure that the critical system (servers, network devices, Endpoints) are replaced before they reach End-of-Life or End-of-support and no EOL/EOS systems are present in the Members environment.	NOT COMPLIED			dd-mm-yyyy	-Select-

[Save](#)

[2. PASSWORD SECURITY](#)

Once all details have been entered, kindly click on the 'SAVE' button in every segment.

Below Pop-up will reflect once saved:

DP Name: STOCK HOLDING CORPORATION OF INDIA LTD. (INSTITUTIONAL)

Period: 01-01-2016

**RECORDS OF SECTION 1 IS SAVED
SUCCESSFULLY INTO THE SYSTEM!**

[OK](#)

itted after this date, users to term are otherwise the most appropriate

[THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLO](#)

- Once all segments have been saved, proceed by clicking on the **'SAVE & Submit to DP'** button. The report status will reflect as **Report submitted to DP**.

Report Status -- Submitted to Designated Officer

[Save](#) [Submit to DP](#) [Cancel](#)

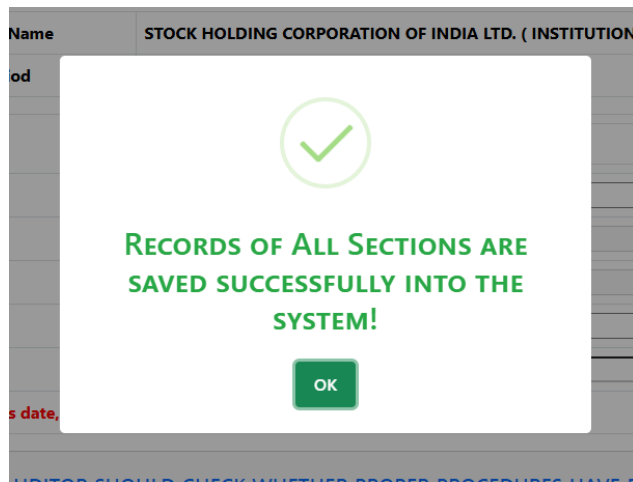


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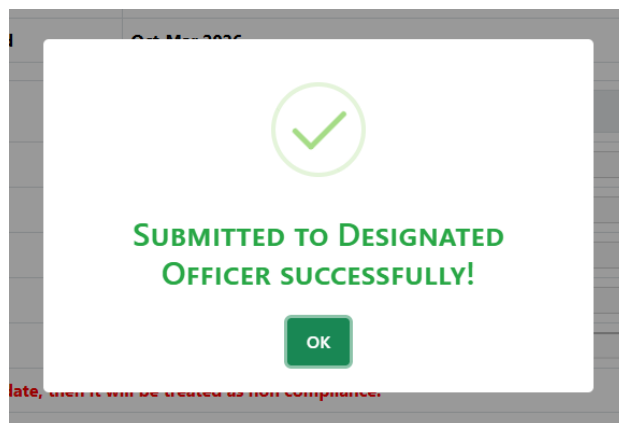
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Once you click "Save" below pop-up appears:



And once you click "Submit to DP". Below pop-up appears:



DESIGNATED OFFICER LOGIN

1. Log in Into Audit application by using the below link:-

<https://auditweb.cdslindia.com/Login.aspx>

Now Sign in using 'Login Type-Designated officer'.

Now enter User ID & Password and click on "Sign In" button.



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2. **Enter the OTP:** You will receive the OTP on both your DP's registered mobile number and email Id.

3. Then select audit type “System Audit ATR” from the Drop down.
Select the DP ID and DP Name in the ‘**Select DP / RTA**’ tab and click on ‘**Confirm**’.



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4. The below screen will be displayed once the user is logged in. **All the details below will be auto populated.**

SYSTEM AUDIT ATR (Action Taken Report)	
* Date	10-09-2026 12:58:59
* DP Name	
* DP ID	
* Period	Oct-Mar 2026
System Audit Report covers the following Branch DPIDs :-	
2	
* Auditor Certification	CISA
* Auditor Firm:	
* Auditor Name:	
* No of consecutive audits performed by the auditor:	2
* Auditor Firm Expiry Date (DD-MM-YYYY):	30-09-2026
Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.	
1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING;	
2. PASSWORD SECURITY	

5. The ‘Designated Officer’ is given access to fill only the below mentioned fields:

- Management Comments
- Target Closure Date (dd/mm/yyyy), in case of any open finding

2. PASSWORD SECURITY						
Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Clause is not applicable to the DP	Target Closure Date (dd/mm/yyyy)	Severity Level
2(a)	Organization Access Policy - Whether the organization has a well-documented policy that provides for a password policy as well as access control policy for the depository applications / Depository Participants systems	NOT COMPLIED	TESTING	Testing	30-09-2026	High
3. SESSION MANAGEMENT (MOBILE APPLICATION / CLIENT SERVER APPLICATION / WEB APPLICATION)						

6. Once all segments have been saved, proceed by clicking on the ‘**SAVE & Submit to Auditor**’ button. The status will reflect as **Report submitted to DP**.

Save Submit to DP Cancel

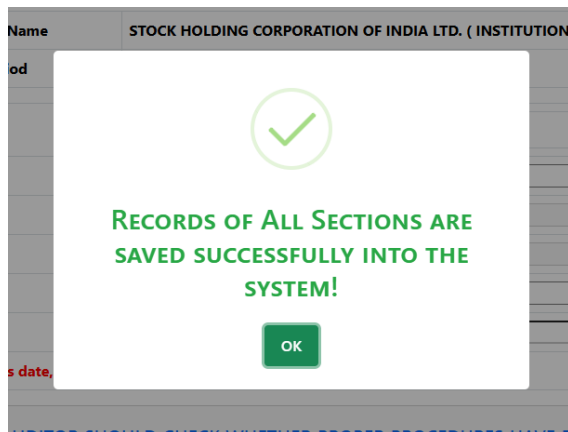
Once you click “Save” below pop-up appears:



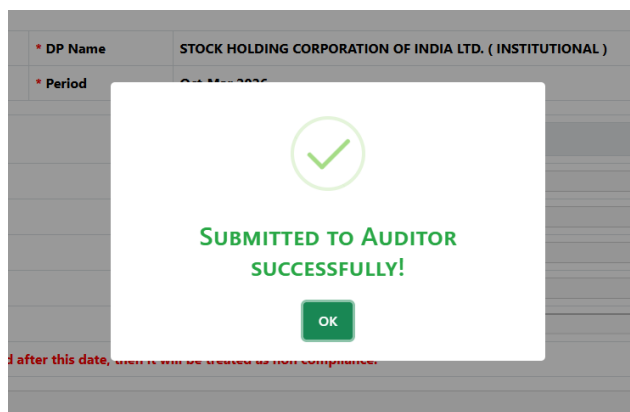
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And once you click the “Submit to Auditor”. Below pop-up appears:





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IT AUDITOR LOGIN

1. Once the details are submitted by the Designated officer to the Auditor, Auditor will login again by following previous step and select the DP/RTA.

SYSTEM AUDIT ATR (Action Taken Report)						
* Date	10-09-2026 14:38:48					
* DP Name						
* DP ID						
* Period	Oct-Mar 2026					
System Audit Report covers the following Branch DPIDs :-						
* Auditor Certification	CISA					
* Auditor Firm:						
* Auditor Name:						
* No of consecutive audits performed by the auditor:	2					
* Auditor Firm Expiry Date (DD-MM-YYYY):	30-09-2026					
Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.						
1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:						
Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Closure has not been met by the DP	Target Closure Date (dd/mm/yyyy)	Severity Finding

The screen will be auto-populated after login.

2. After checking the details filled by the DP, click on generate PDF to continue the submission.

2. PASSWORD SECURITY
3. SESSION MANAGEMENT (MOBILE APPLICATION / CLIENT SERVER APPLICATION / WEB APPLICATION)
6. ACCESS CONTROLS
Generate PDF Cancel

GENERATE SYSTEM AUDIT ATR?

Please ensure that all details are correctly saved before generating the PDF. Once the PDF is generated, the Save & Generate button will be disabled.

[Cancel](#) [Yes, Generate PDF](#)

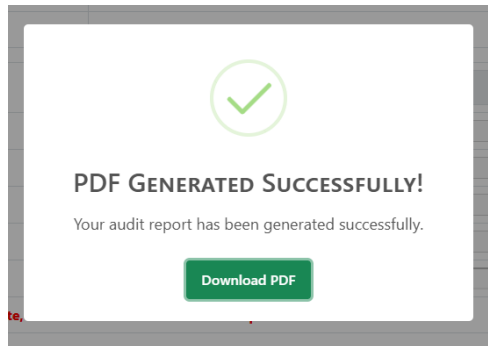


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- The PDF for the System Audit ATR has been generated. Click on "**Download PDF**" to view the generated PDF file.



- Digitally sign the generated PDF, upload the signed report by clicking the "**UPLOAD REPORT**" button, and then click "**Submit to DP**".

Attach File

Choose File

No file chosen

Upload

View Report

PDF generated, Kindly attach your digital signature and Upload above.

Cancel

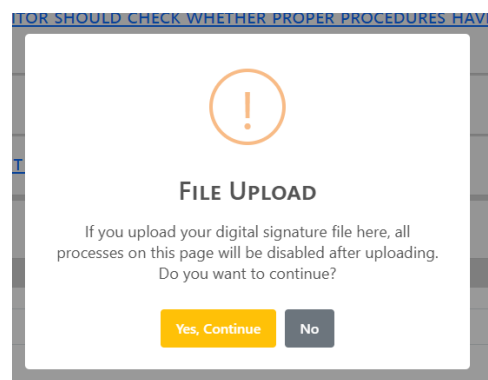
Save

Submit to DP

Cancel

Click on View Report to Download & view the report

- After uploading the file successfully, this pop-up will be displayed. The file cannot be uploaded without the IT Auditor's digital signature.



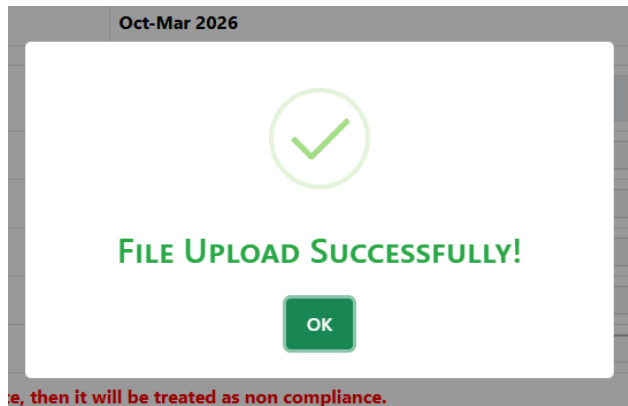


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Click on "Yes, continue" to continue submission. Read the warning before clicking on continue.



Attach File

No file chosen

Report Status -- Submitted to Designated Officer

DESIGNATED OFFICER LOGIN

1. Login via Designated officer ID of the DP, follow previous steps of DO login. Select DP/RTA and System audit ATR for March 2026. Below screen will appear after successfully login.

SYSTEM AUDIT ATR (Action Taken Report)

* Date	10-09-2026 15:12:40	* DP Name	
* DP ID		* Period	Oct-Mar 2026

System Audit Report covers the following Branch DPIDs :-

* Auditor Certification	CISA
* Auditor Firm:	
* Auditor Name:	
* No of consecutive audits performed by the auditor:	2
* Auditor Firm Expiry Date (DD-MM-YYYY):	30-09-2026

Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.

[1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:](#)

[2. PASSWORD SECURITY](#)

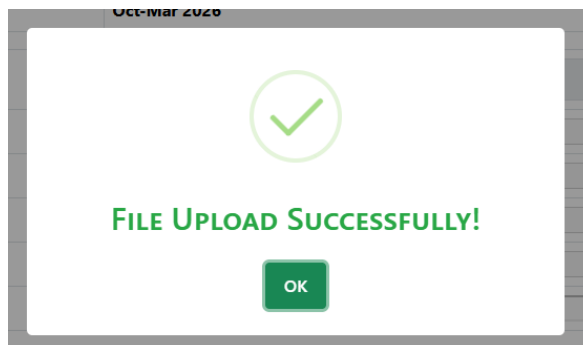
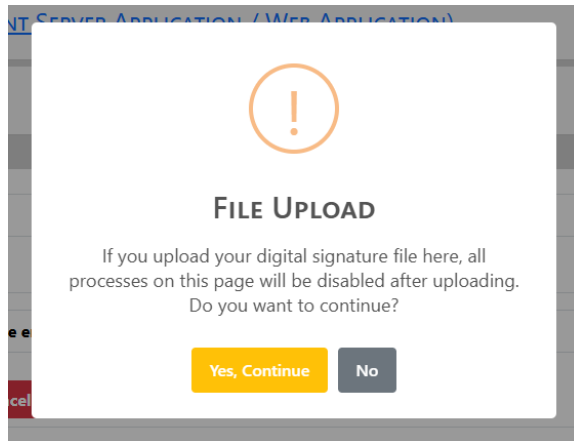


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2. Upload the final signed System audit ATR file. Below pop-up will be shown after successfully uploading the ATR.



Before submission, please click on declaration check box. Attach the DP's digital signature to the System Audit ATR, upload the signed report by selecting "**UPLOAD REPORT**", and then click "**Submit to CDSL**".

SS

Attach File	
Choose File No file chosen	View Report
☒ Declaration : I hereby declare that the information given above and in the enclosed documents is true to the best of my knowledge.	

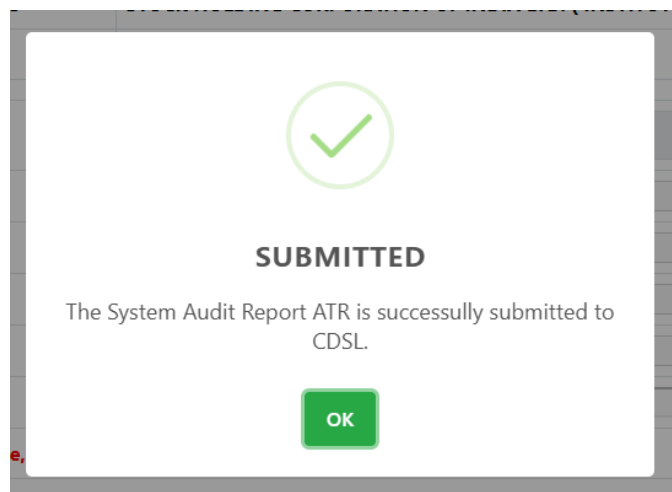
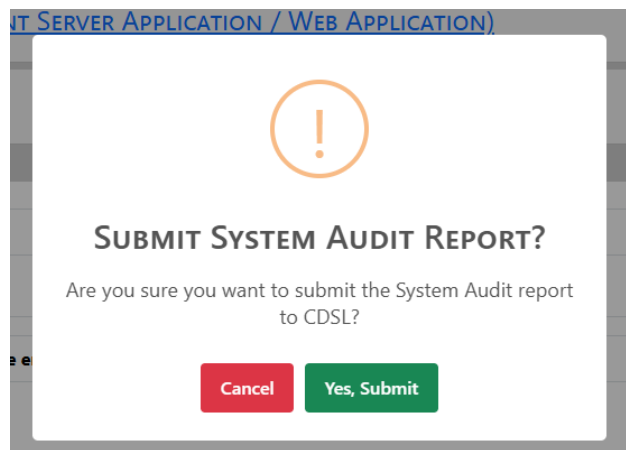


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3. After clicking on “Submit to CDSL” pop-up will be shown after successfully submitting the ATR.



☐ Declaration : I hereby declare that the information given above and in the enclosed documents is true to the best of my knowledge.

Report Status -- Submitted to CDSL

Cancel



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DPs are advised to take note of the following:

- IT Auditor registration/mapping is carried out through the DP login, and the same auditor can then proceed with the submission.
- Each submission is permitted for a single auditor only.
- If you want to change your auditor, ensure the previous auditor is deleted before adding or mapping a new one through DP login.
- If the compliance status for any clause in the checkpoint description is marked as **"Complied"** the fields for Description of Findings, Target Date, and Severity will be disabled.
- If the compliance status for any clause in the checkpoint description is marked as **"Not Complied"** then Management Comments, Description of Findings, Target Date, and Severity fields are mandatory.
- If the compliance status for any clause is marked as **"Not Applicable"** the Management Comments and Description of Findings fields are mandatory.
- The audit report must be on the letterhead containing the name of the auditor, audit firm, Audit firm expiry date and valid signature.
- The audit report must include the DP Name and DP ID.
- Audit period must be clearly mentioned.
- Compliance status must be clearly stated as Complied / Not Complied / Not Applicable.
- Kindly ensure each subpoints of the Checkpoint Description are duly filled in and **SAVED** before submitting it to CDSL. If the details are not saved prior to submission, the data may not be recorded in the system which may result in incomplete or missing information at the time of submission.

If any error is faced while submitting the report, request you to send an email on dpinfosec@cdslindia.com along with the screenshot of the error.
