



# Central Depository Services (India) Limited

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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

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CDSL/A,I&C/DPI POLCY/2535

July 01, 2011

### SUBMISSION OF REPORTS / DOCUMENTS TO CDSL

DPs are required to submit various reports / documents to CDSL within specified time limits. The ready recknor for the same is given under the chapter "Controls/Reporting to CDSL" in the Compliance Manual which is available on CDSL website. The non-submission or delay in submission of these documents/reports may attract penalty. For easy reference, the details of submission requirements are attached in Annexure A & B.

**DPs should ensure that the reports/documents are submitted to CDSL on or before the due date.**

Queries, if any, regarding this communiqué may be addressed to:

**CDSL – Audit** on (022) 2272-3333, 2272-5010, 2272-8647, 2272-8631, 2272-8564, 2272-5096, or 2272-5864. Emails may be sent to: [audit@cdslindia.com](mailto:audit@cdslindia.com)

**sd/-**

**Nayana Ovalekar**  
**Vice President – Audit, Inspection & Compliance**



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### ***Reports / Documents to be submitted to CDSL***

#### **Annexure – A**

| <b>Report / Document</b>                                                       | <b>Frequency</b> | <b>Due Date</b>                                  | <b>To Be Submitted By</b>                                                  |
|--------------------------------------------------------------------------------|------------------|--------------------------------------------------|----------------------------------------------------------------------------|
| Annual Financial Statement                                                     | Annually         | 30 <sup>th</sup> September                       | Main DP                                                                    |
| Net Worth Certificate<br>(Refer Communiqué no. 1411)                           | Annually         | 30 <sup>th</sup> September                       | Main DP                                                                    |
| Internal Audit Report<br>(Refer Communiqué no. 2365)                           | Half yearly      | 15 <sup>th</sup> May & 15 <sup>th</sup> November | Main & Branch DP -<br>Electronic Submission<br>(Refer Communiqué no. 1775) |
| Report of Concurrent audit of risk prone areas<br>(Refer Communiqué no. 2357 ) | Half yearly      | Along with internal audit report                 | Main & Branch DP                                                           |
| BO Grievance Report-<br>(Refer Communiqué no. 1529)                            | Monthly          | 10 <sup>th</sup> of Next Month                   | Main DP –<br>Electronic Submission<br>(Refer Communiqué no. 1720)          |



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### Annexure - B

| Compliance / Document                                                         | Frequency                                                                                                           | To be submitted By |
|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|--------------------|
| Compliance report for Internal Audit/ Inspection                              | Within 30 days                                                                                                      | Main & Branch DP   |
| No. of STRs filed with FIU IND New Delhi                                      | Monthly                                                                                                             | Main DP            |
| Change in Compliance Officer Details                                          | Immediately                                                                                                         | Main & Branch DP   |
| Change in Office Address                                                      | Immediately                                                                                                         | Main & Branch DP   |
| Proposed change in Constitution / Status of DP<br>(Refer Communiqué no. 2515) | Immediately                                                                                                         | Main DP            |
| Proposed change in control of DP<br>(Refer Communiqué no. 2515)               | Immediately                                                                                                         | Main DP            |
| Suspicious Transaction Report (STR )                                          | To be submitted within 7 days of discovering the suspicious transaction directly to FIU IND - New Delhi by Main DP. |                    |