



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLCY/4605

July 28, 2014

SUBMISSION OF COMPLIANCE CERTIFICATE BY DEPOSITORY PARTICIPANTS

DPs are advised to refer to SEBI Circular no. **CIR/MRD/DMS/05/2014** dated February 07, 2014 on Guidelines for Inspection of Depository Participants (DPs) by Depositories which was circulated to DPs vide Communiqué no. **CDSL/OPS/DP/POLCY/4243** dated February 11, 2014. SEBI has directed the depositories to cover certain areas of DP operations while conducting the inspection. Under the head 'Miscellaneous areas', one of the points stipulated by SEBI, relates to Half Yearly Compliance certificate to be submitted by the DPs

2. It may be noted that the DPs are required to comply with the following:-

- (i) The Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 & its amendments from time to time, Guidelines / Directives / Instructions/circulars issued by SEBI, the Government of India and other Regulatory Bodies from time to time;
- (ii) The Bye Laws & Operating Instructions and various communiqués issued by CDSL, from time to time.
- (iii) The provisions of Prevention of Money Laundering Act, 2002 and the rules and guidelines issued, there under.

All the DPs are therefore required to submit the '**Compliance Certificate**' digitally - signed on half yearly basis to CDSL electronically (via e-mail) registered with CDSL.

The User Manual for DPs to generate the Compliance Certificate is attached (**see Annexure A**). Please note that only those Compliance Certificates which are generated through the system provided by CDSL as mentioned in **Annexure A** and received through the email id registered with CDSL and digitally signed will be taken on record. Please ensure that correct email ID is registered with CDSL before availing the facility of submission of Compliance Certificate through e-mail. The certificate should be e-mailed to CDSL on email id reports@cdslindia.com.

For the half year period from January to June, the Compliance Certificate may be submitted on or before July 31st and for the half year period from July to December to be submitted on or before January 31st of every year.



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However, **the first submission of Half Yearly Compliance Certificate** for the half year period from **1st January 2014 to 30th June 2014** may be submitted on or before August 31, 2014. **With effect from August 01, 2014 the arrangements for submission of Compliance Certificate by DPs in electronic form would be in place.**

Queries regarding this communiqué may be addressed to **CDSL–Audit** on telephone no. (022) 2272-3333, 2272-5152, 2272-5010, 2272-8647, 2272-8631 or 2272-8564.

sd/-

Satish Budhakar
Sr. Vice President & Group Company Secretary

- ✓ In order to submit the **Half Yearly Compliance Report** electronically, the DP needs to access CDSL's website: <http://audit.cdslindia.com/>
- ✓ To generate the Half Yearly Compliance Report, the DP should click on '[Generate Half Yearly Compliance Certificate](#)' – as shown in **Fig. 1** below.

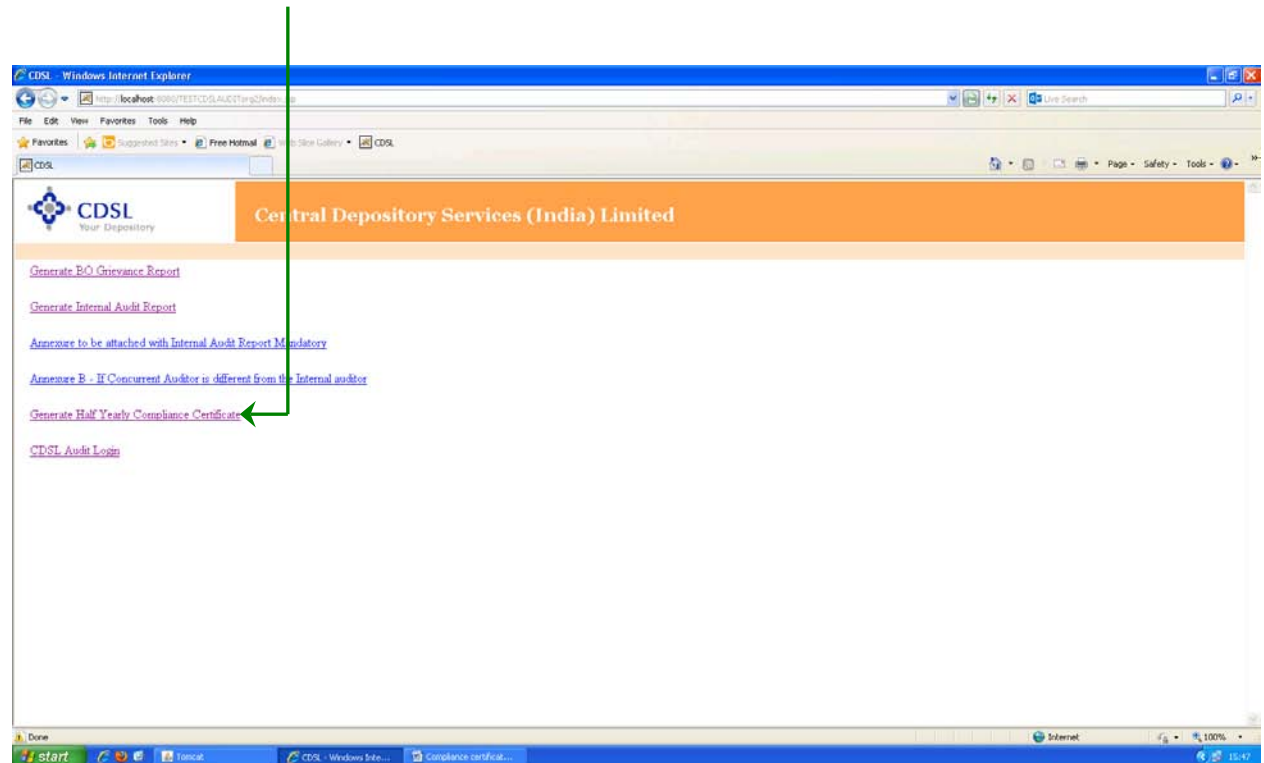


Fig. 1

- ✓ Click on **Audit Type** and select Half Yearly Compliance, as shown in **Fig 2** below.

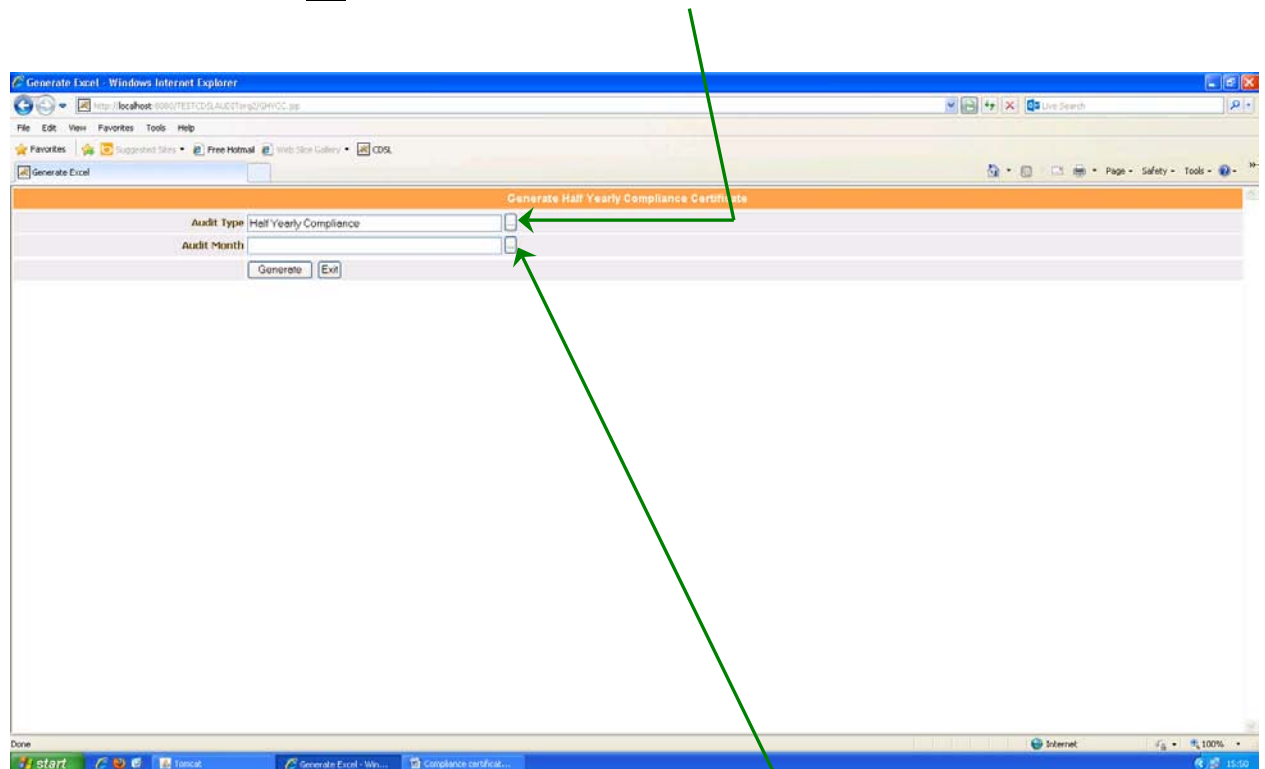


Fig. 2

- ✓ After selecting **Audit Type** as Half Yearly Compliance, click on **Audit Month** and select the month and year for which you want to generate the Half Yearly Compliance Report, as shown in **Fig. 2** above.

- ✓ After both the **Audit Type** & **Audit Month** have been entered, the following screen will be displayed, as shown in **Fig. 3**

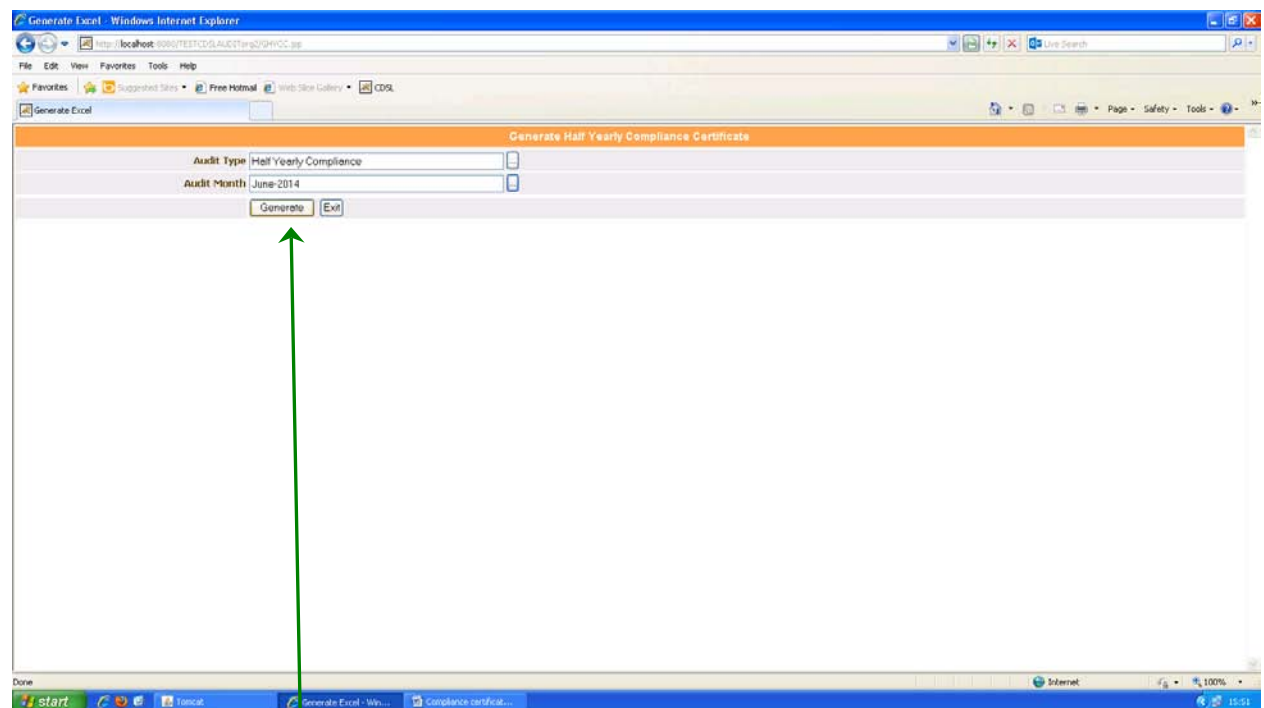


Fig. 3

- ✓ Click on the **Generate** tab, as shown above.

- ✓ A message: "Excel Generated Successfully . . . Please Click on Download and Save the File." will be displayed, as shown in **Fig. 4**
- ✓ Click on **OK**.

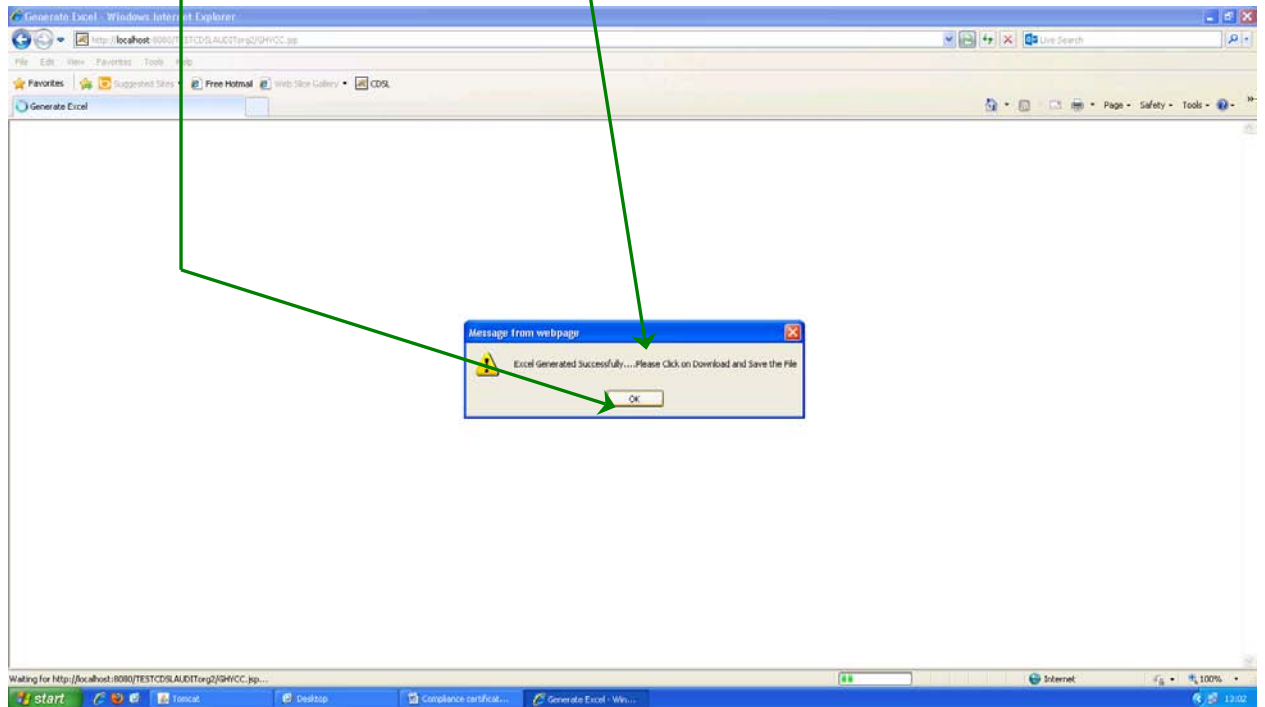


Fig. 4

- ✓ After clicking on **OK**, click on the **Download** tab to generate the excel file.
- ✓ The excel file will be generated as shown in **Fig. 5** below.
- ✓ Select your **DP Name (ID)**, as indicated below.

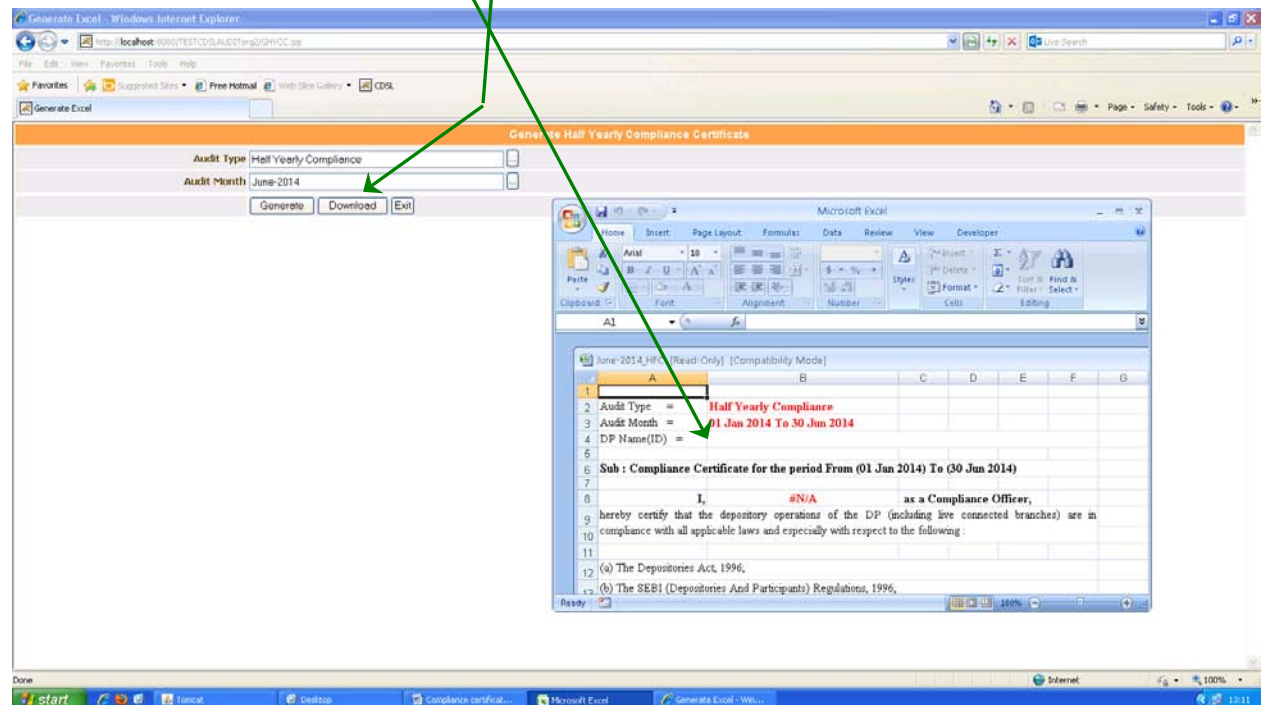


Fig. 5

- ✓ The excel file has to be saved in a desired folder on the DP's local computer.
- ✓ **Please note that the file name should not be changed while saving the same on the local computer.** (Refer Fig. 6)

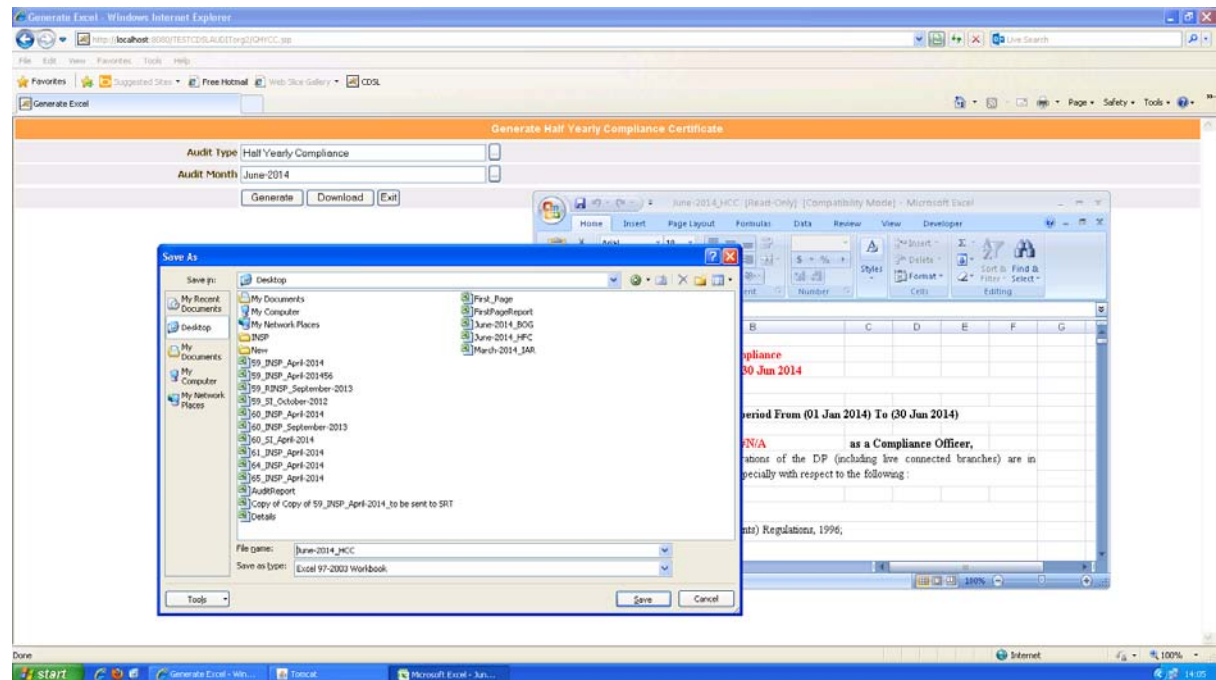


Fig. 6

- ✓ After that attach a Digital Signature and send the said Half Yearly Compliance report to CDSL at: reports@cdslindia.com from the email ID of the DP's Compliance Officer or other email ID as registered with CDSL.
- ✓ To attach a digital signature "click" **Office Button**
- ✓ Go to "PREPARE" and click "Add a Digital Signature" (Refer **Fig. 7**)

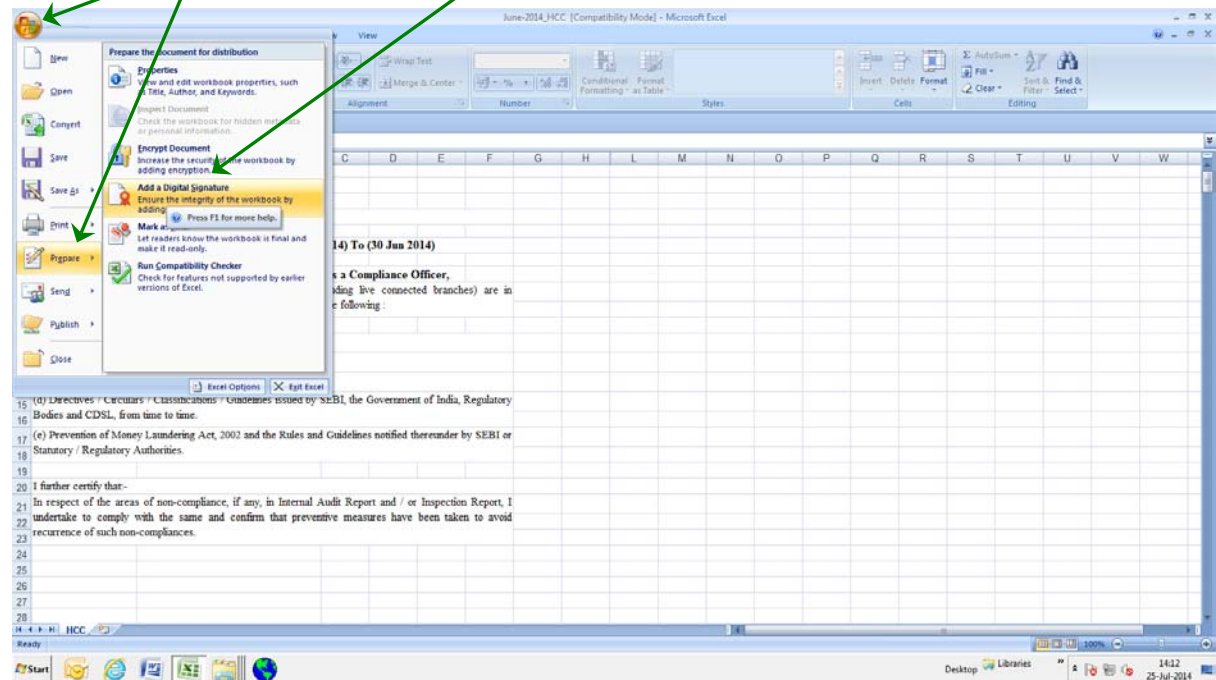


Fig. 7

- ✓ If there are any validation errors, the file will not be accepted at CDSL.
- ✓ The rejection of the same will be emailed to the sender's email ID.
- ✓ Please note that once the excel file is digitally signed the same should not be opened or tampered which would invalidate the digital signature.