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COMMUNIQUÉ TO REGISTRAR & TRANSFER AGENTS

CDSL/A,I&C/RTA/POLCY/2018/22 **March 20, 2018**

ONLINE FACILITY FOR SUBMISSION OF RTA INTERNAL AUDIT REPORT AND INVESTOR GRIEVANCE REPORT IN ELECTRONIC FORM.

CDSL is pleased to inform RTAs regarding facility for online submission of RTA Internal Audit Report (IAR) and Investor Grievance Report (IGR) in electronic form. Accordingly, RTAs are required to submit IAR & IGR through the online system, from the forthcoming cycle.

The RTA/Auditor can fill and submit the above reports online using their login credentials. The manual for using the same is provided as follows:

Type of Report	Digitally Signed by	Annexure
RTA Internal Audit Report	RTA & Auditor	Annexure A
		Annexure B
Investor Grievance Report	RTA	Annexure C

Submission of online reports will be mandatory from the following schedules.

Type of Report	Applicable Period	Due date
RTA Internal Audit Report for the half-year ended	March 2018	15^{th} May 2018
Investor Grievance Report for the quarter ended	March 2018	10^{th} April 2018

The above reports will be accepted only through online submission. Physical/ scanned copies of the reports will not be accepted and the same will be treated as non-submission of the report.

Queries, if any, regarding this communiqué may be addressed to **CDSL-Audit:** (022) 2305 8518 / 8515 and 8679.

Farokh Jal Patel
Digitally signed by Farokh Jal Patel
Date: 2018.03.20 18:18:23 +05'30'

Vice President – Audit, Inspection & Compliance

Annexure A

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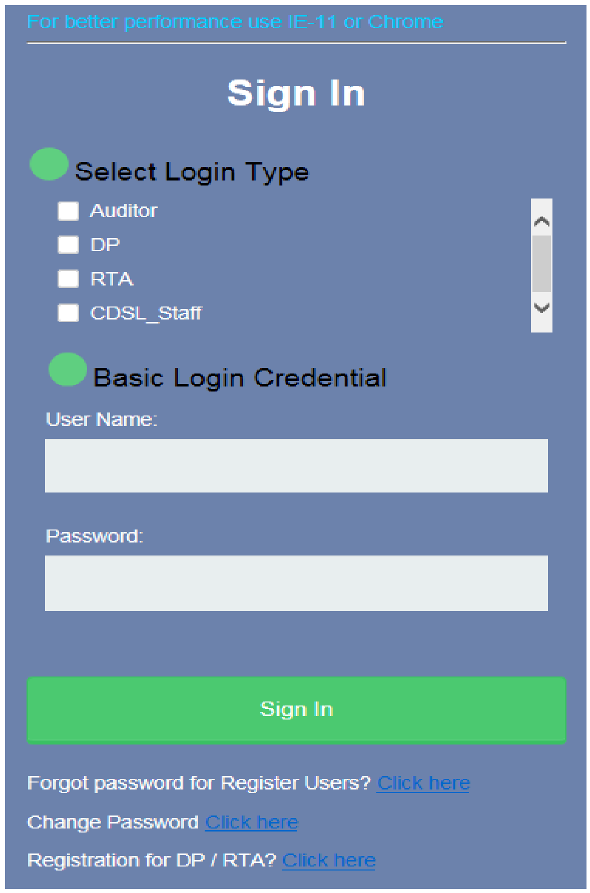
I. Login/ Registration of RTA

- **Login:** RTAs are required to click on the following link to login into the system.

  https://auditweb.cdslindia.com/login.aspx

  The following page will open.



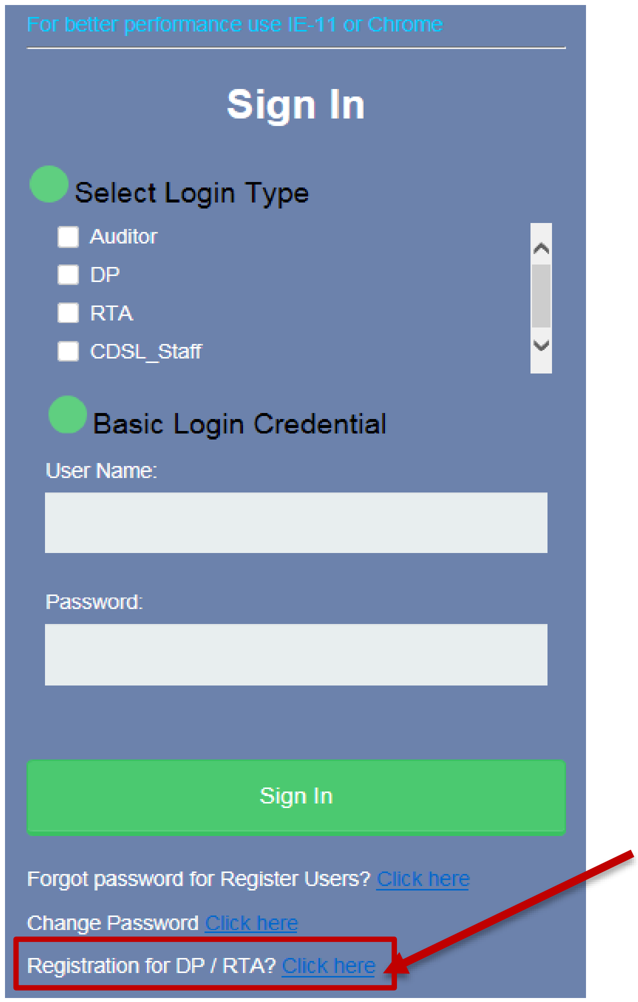
(Fig. 1)

There are 4 type of Users:
Auditor, DP, RTA and CDSL Staff.

Appropriate Login Type is to be selected. (Viz. RTAs to select login type as RTA and Internal Auditor should select login type as Auditor).
Login Type – CDSL Staff is only for CDSL use.

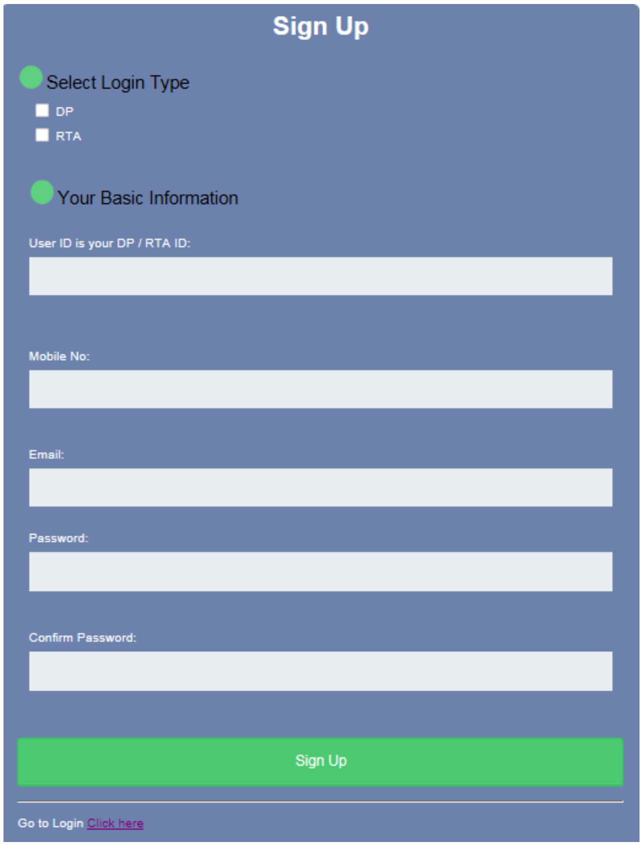
- **Registration for RTA:** If the RTA has already created login credentials for Quarterly Investor Grievance Report (IG Report), new login is not required to be created for RTA IAR submission.

- For creating new login, following process should be followed.



(Fig. 2)

- RTA needs to register by clicking on "Registration for DP/ RTA". The following page (Fig. 3) will open.



(Fig. 3)

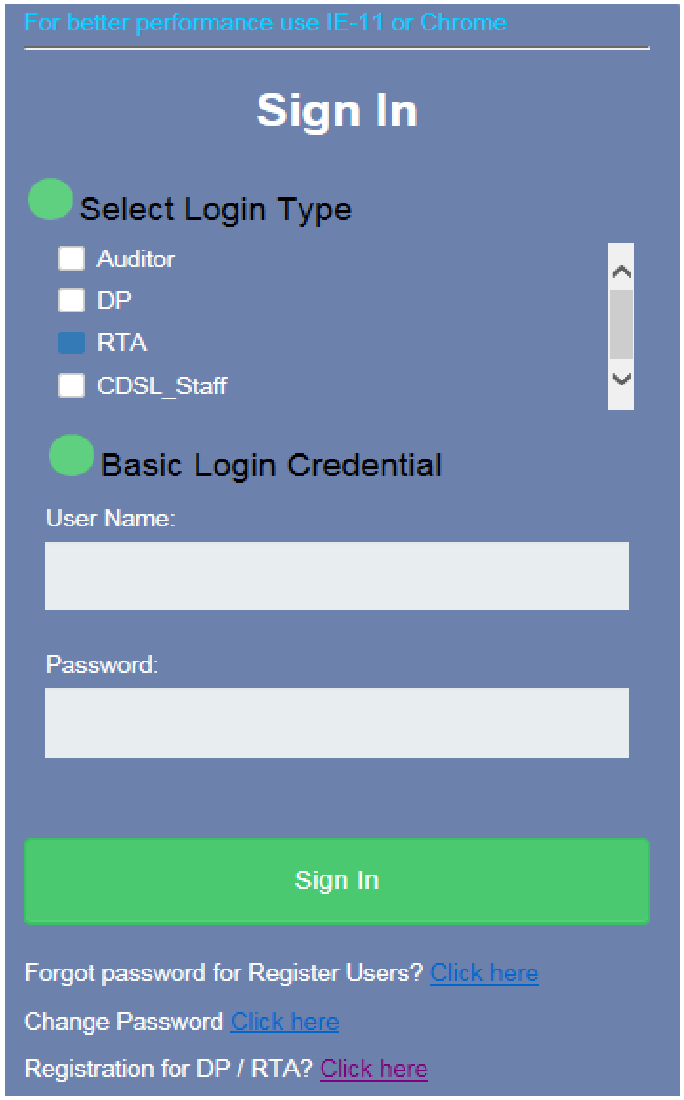
- 'Select Login Type' will be **RTA**

In 'Your Basic Info'

- User id will be the RTA ID i.e. 3 digit number (e.g. 101). Mobile no, Email, and Password needs to be entered by the RTA and click on Sign Up.

- Once you sign up, the page will be re-directed to the main login and the RTA will receive the confirmation details of its password on the email ID entered by the RTA for sign up.

- The RTA needs to then **Sign In** using login credentials.



(Fig. 4)

In Fig. 4, The RTA will:

Select Login Type: **RTA**

User Name: **RTAID**

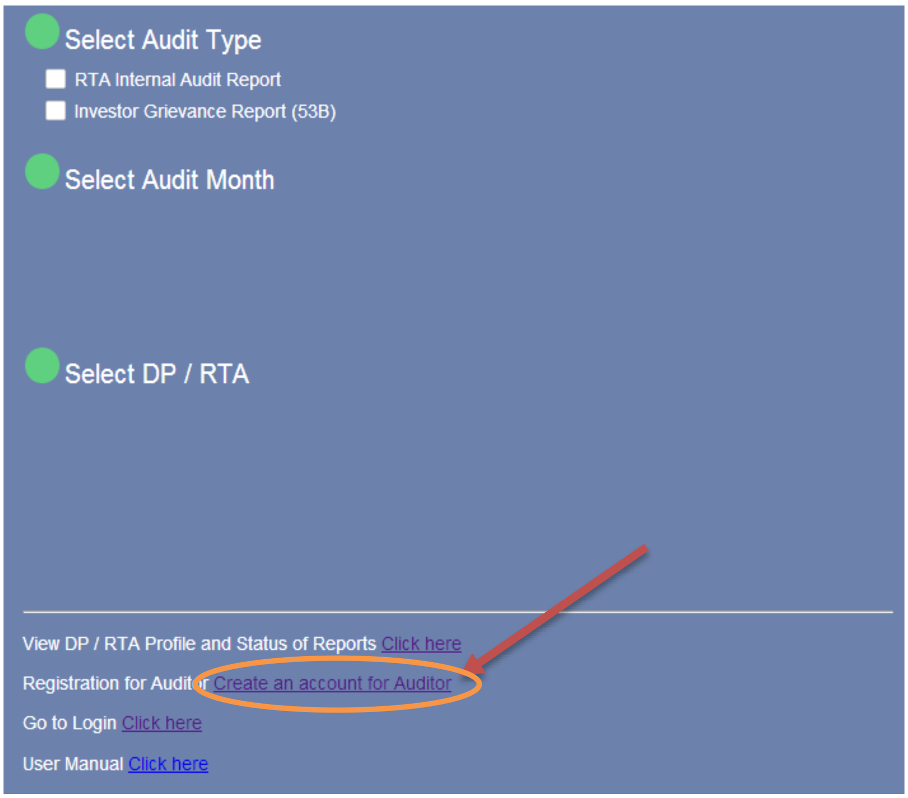
Password: *<<as provided by RTA and mentioned in the email for login details>>*

Then click on **SIGN IN.**

II. <u>Creating login / Registration for Auditor by RTA</u>

<u>First time, auditor's login will be created by the RTA only. Once an auditor's login is created by any RTA, other RTAs can select their respective auditor from the drop down list, if available.</u>

- Once RTA logs into the system, below screen (Fig. 5) will appear.



(Fig. 5)

- RTA needs to click on the link provided for **Registration for Auditor for the first time only**

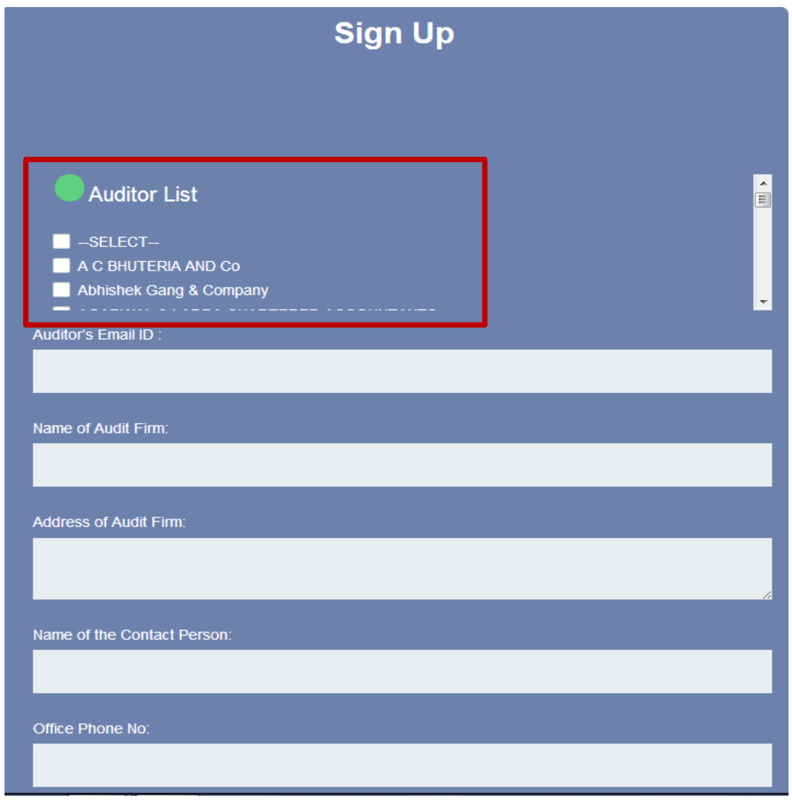
- Following screen will appear (Fig. 6)

(Fig. 6)

- If the auditor is already registered, the name of the audit firm will appear under **Your Basic Info as given in the below screen (Fig. 7 & 8).**

- The RTA may select its internal auditor from Auditor list (scroll down list - see selected area in following screen) and the details of the auditor will be automatically updated.

- Under **Select your DP/ RTA,** RTA needs to select respective RTAID from the provided list and click on **SIGN UP** (Fig. 8).



(Fig. 7)

(Fig. 8)

For creating new Auditor registration:

- If auditor is not appearing in the list, **RTA needs to add/register the auditor.**

For Auditor registration enter:

Auditor's Email ID: **Auditor's Email-id.**

Name of the Audit Firm: **<<*Complete Name of Audit Firm*>>**

Address of Audit Firm: **<<*Complete Address of Audit Firm*>>**

All the other fields needs to be filled in by the RTA and then under

Select your DP/ RTA: **<<*Respective RTAID to be selected*>>**

SIGN UP (Fig. 8)

Note: The Name of the Audit Firm field should contain the complete name of the Audit Firm as it is registered with the ICAI/ ICSI/ICWA.

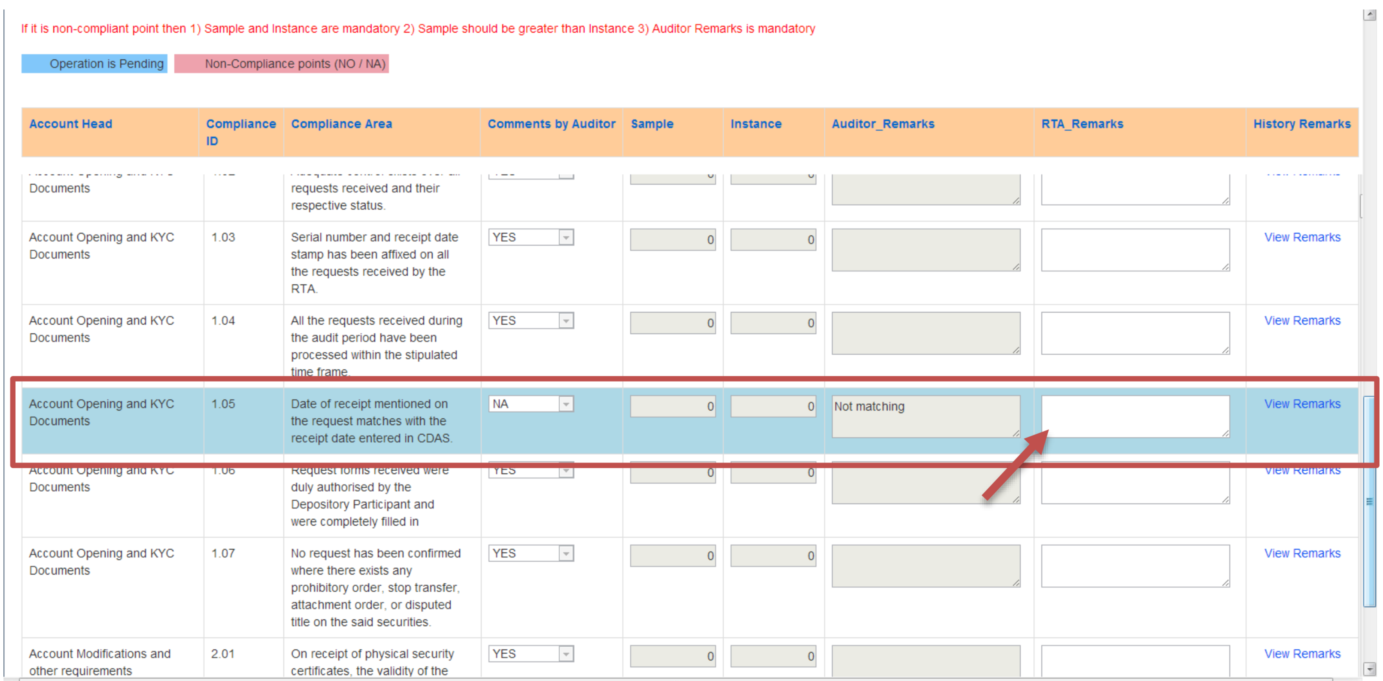
- Once the RTA selects/ registers an Auditor, the auditor will receive an email on the Email ID entered by the RTA, confirming to the auditor that, "Please note that RTA - xxxxx has added your audit firm as their Internal auditor. You are requested to prepare the RTA internal audit report of the RTA and share the same with the RTA. The manual for preparation of the audit report is available at the following web site : https://auditweb.cdslindia.com/Login.aspx (after the user logs in)

III. Sending of IAR by RTA to Auditor for review

- Once the IAR is completed and the auditor clicks on "Submit to RTA", the report will be forwarded to the RTA. The Auditor will inform the RTA that they have sent IAR for their review.

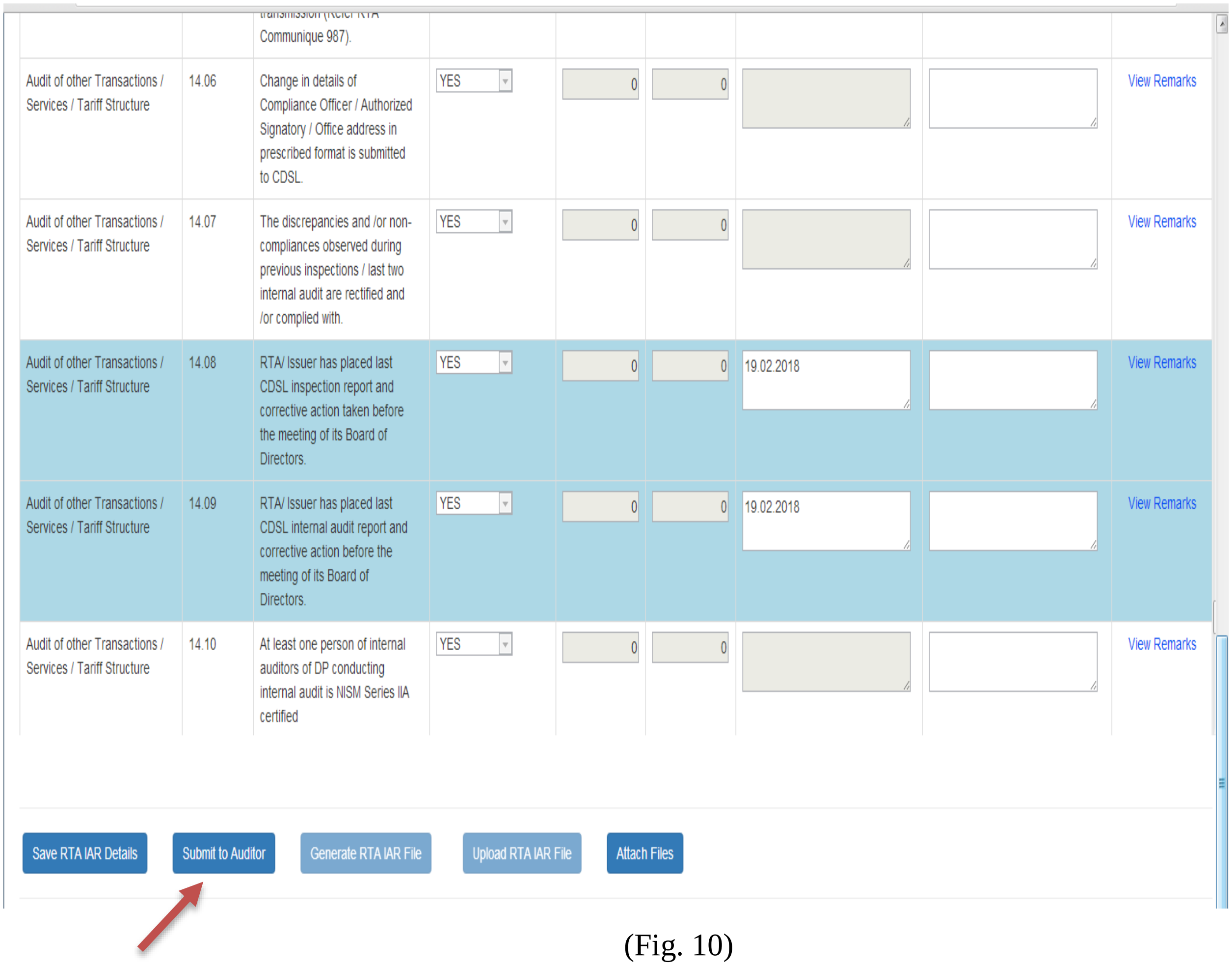
- The RTA using its login credentials needs to login into the system (refer page 5 of this manual) and review the IAR submitted by the auditor. The RTA mandatorily needs to provide its comments under "**RTA Remarks**" for field marked as **NO** and **NA** by the auditor (comments by Auditor), for Compliance ID - Annexure, General, 14.8 and 14.9 as shown in Fig. 9. In absence of the same, system will not allow IAR to be submitted.

- Field will be highlighted in blue colour, wherever action by RTA is required.



(Fig. 9)

- Once the RTA has finalized the report, the RTA needs to mention their **Management Comments for all the non-compliances pointed out. (Not submitting management comments will result in imposition of penalty.)**



		transmission (Refer RTA Communique 987).						
Audit of other Transactions / Services / Tariff Structure	14.06	Change in details of Compliance Officer / Authorized Signatory / Office address in prescribed format is submitted to CDSL.	YES	0	0			View Remarks
Audit of other Transactions / Services / Tariff Structure	14.07	The discrepancies and /or non-compliances observed during previous inspections / last two internal audit are rectified and /or complied with.	YES	0	0			View Remarks
Audit of other Transactions / Services / Tariff Structure	14.08	RTA/ Issuer has placed last CDSL inspection report and corrective action taken before the meeting of its Board of Directors.	YES	0	0	19.02.2018		View Remarks
Audit of other Transactions / Services / Tariff Structure	14.09	RTA/ Issuer has placed last CDSL internal audit report and corrective action before the meeting of its Board of Directors.	YES	0	0	19.02.2018		View Remarks
Audit of other Transactions / Services / Tariff Structure	14.10	At least one person of internal auditors of DP conducting internal audit is NISM Series IIA certified	YES	0	0			View Remarks

Save RTA IAR Details | Submit to Auditor | Generate RTA IAR File | Upload RTA IAR File | Attach Files

(Fig. 10)

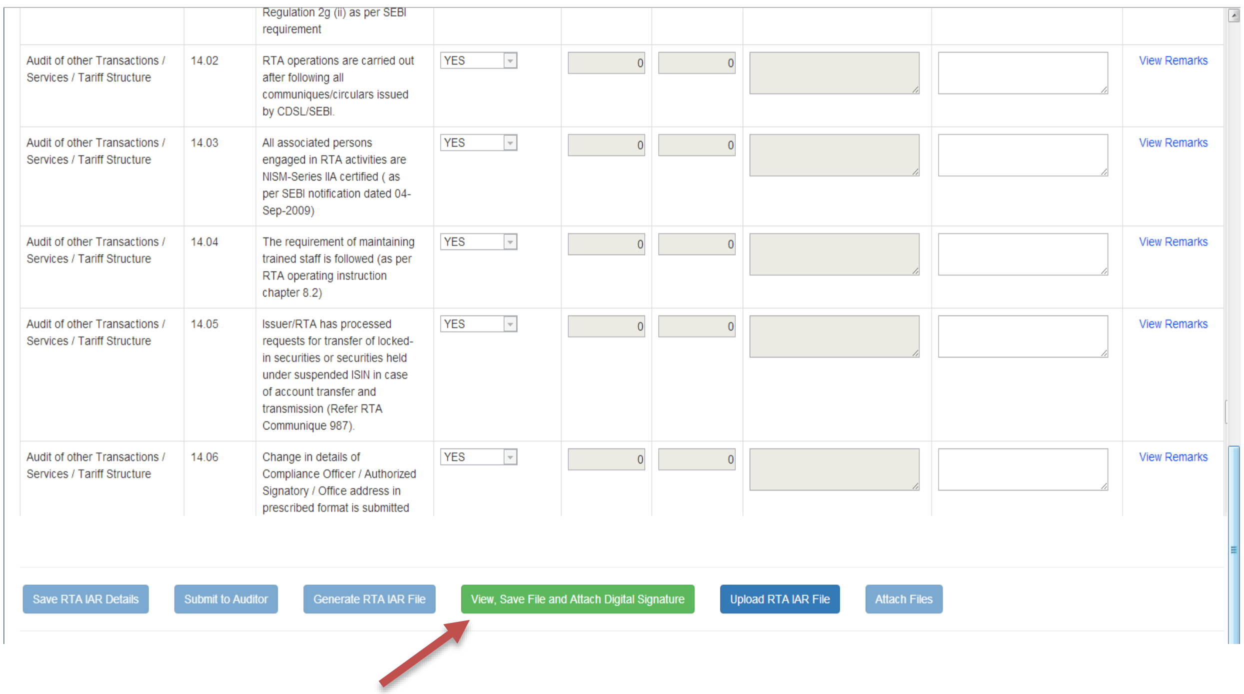
- The RTA may then click on "**Submit to Auditor"** (Fig. 10) for review. The RTA will inform their Auditor to view the report.

- Auditor and RTA have only 3 rounds/attempts to send details to RTA and vice versa.

IV. <u>Attaching of RTA Digital Signature and Submission to CDSL</u>

- The Auditor will inform the RTA that they have uploaded the digitally signed Final Internal Audit Report PDF.

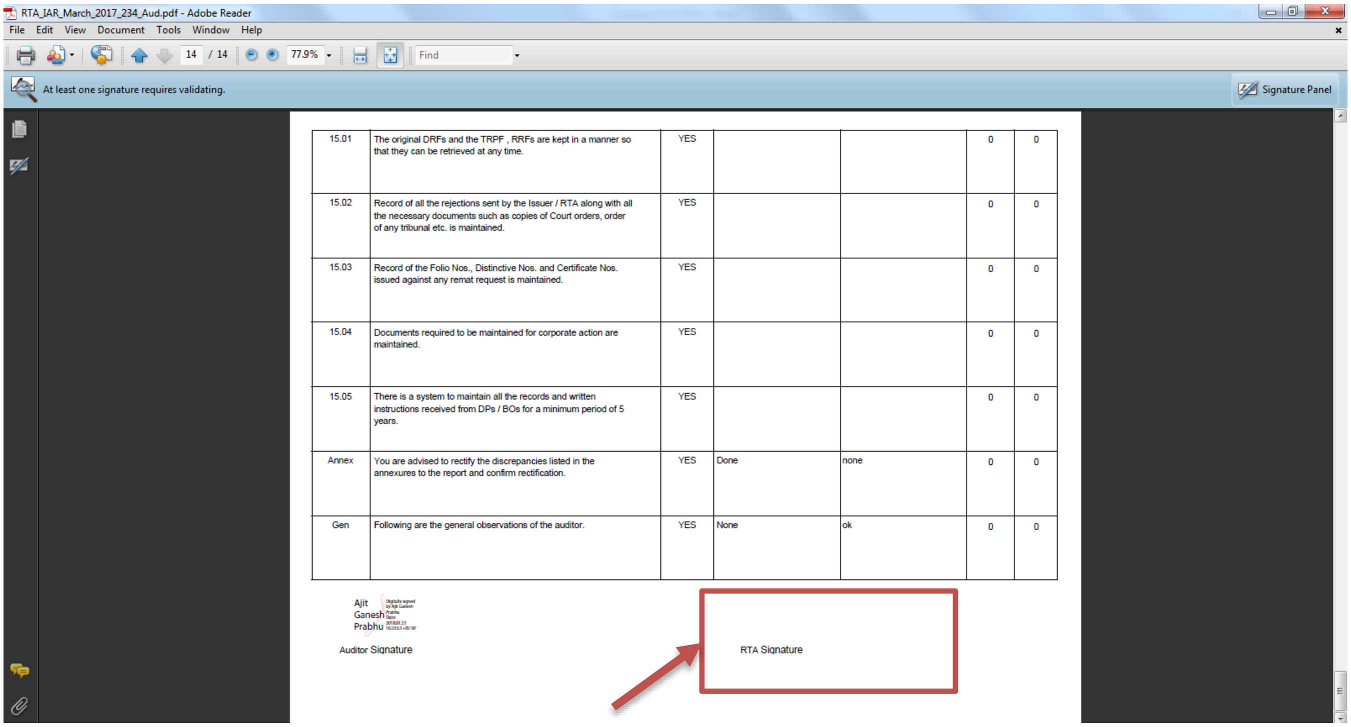
- RTA needs to login into the system using its login credentials and click on "**View, Save File and Attach Digital Signature"** (Fig. 11) to download the file. RTA will be able to view digitally signed PDF uploaded by the Auditor.



(Fig. 11)

- After the IAR has been downloaded by the RTA

- RTA needs to attach its digital signature in the report in the space provided for RTA Signature (Fig. 12).

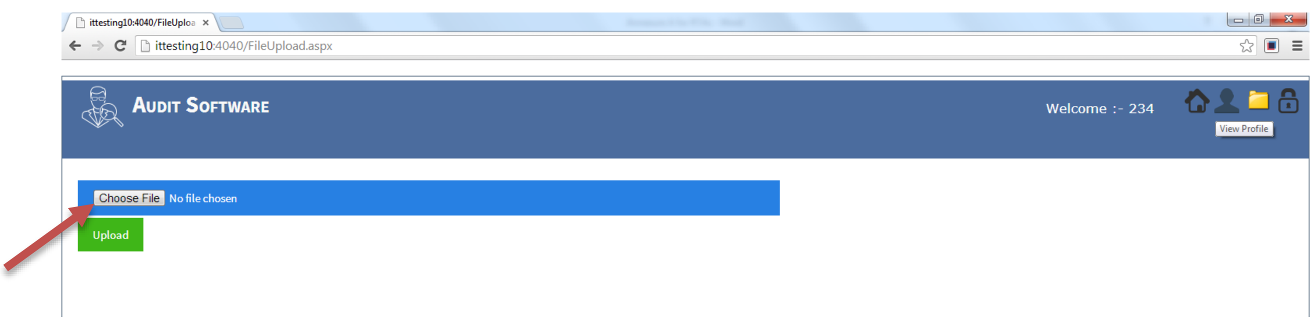


15.01	The original DRFs and the TRPF , RRFs are kept in a manner so that they can be retrieved at any time.	YES			0	0
15.02	Record of all the rejections sent by the Issuer / RTA along with all the necessary documents such as copies of Court orders, order of any tribunal etc. is maintained.	YES			0	0
15.03	Record of the Folio Nos., Distinctive Nos. and Certificate Nos. issued against any remat request is maintained.	YES			0	0
15.04	Documents required to be maintained for corporate action are maintained.	YES			0	0
15.05	There is a system to maintain all the records and written instructions received from DPs / BOs for a minimum period of 5 years.	YES			0	0
Annex	You are advised to rectify the discrepancies listed in the annexures to the report and confirm rectification.	YES	Done	none	0	0
Gen	Following are the general observations of the auditor.	YES	None	ok	0	0

(Fig. 12)

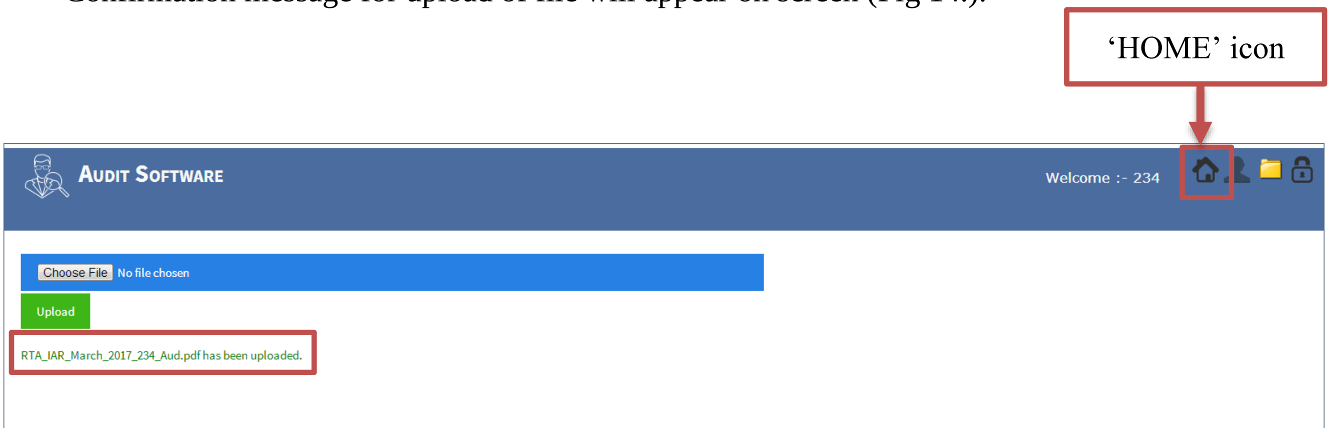
- The RTA needs to digitally sign the PDF and save the same. Click on **'Upload RTA IAR File'** (Fig. 11). A new window will open (Fig. 13). Click on Choose File and select the 'Digitally signed PDF' from the saved path. Then click on Upload.

  Please note the filename of the downloaded PDF should not be changed (there should not be any file extensions to it viz. .pdf).



(Fig. 13)

- Confirmation message for upload of file will appear on screen (Fig 14.).



(Fig. 14)

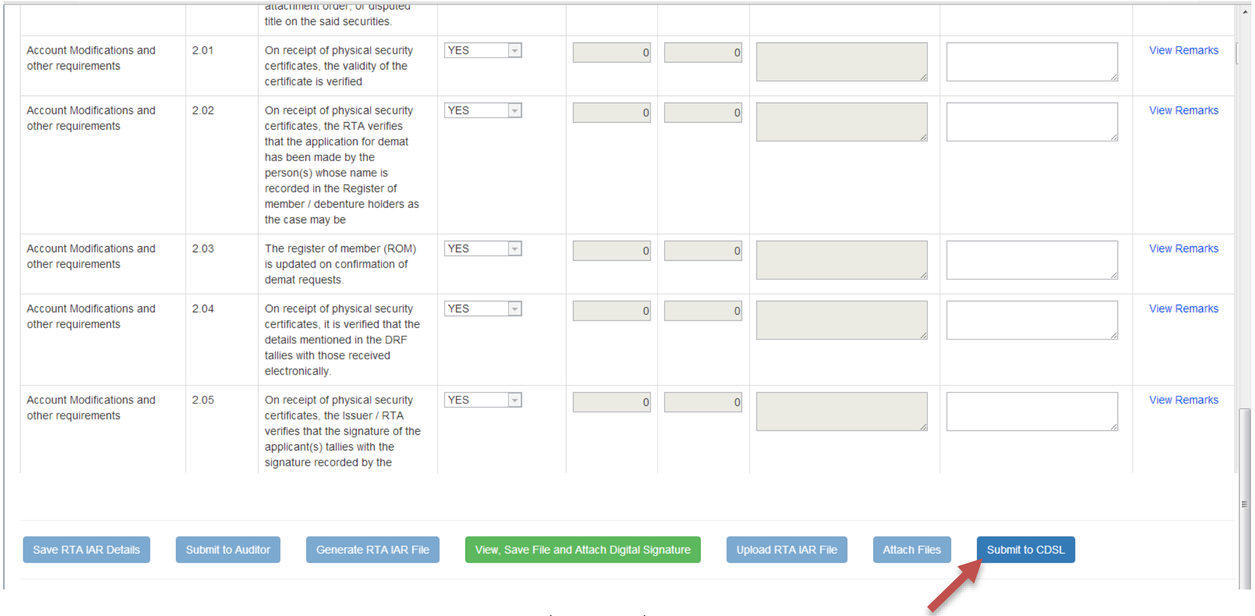
- **Please note that once the file is uploaded it does not amount to submission of IAR to CDSL.**

<u>For submission of IAR to CDSL</u>

- RTA needs to click on 'HOME' icon (Fig 14) on the top right side of the web-page. The page will go to the main screen.

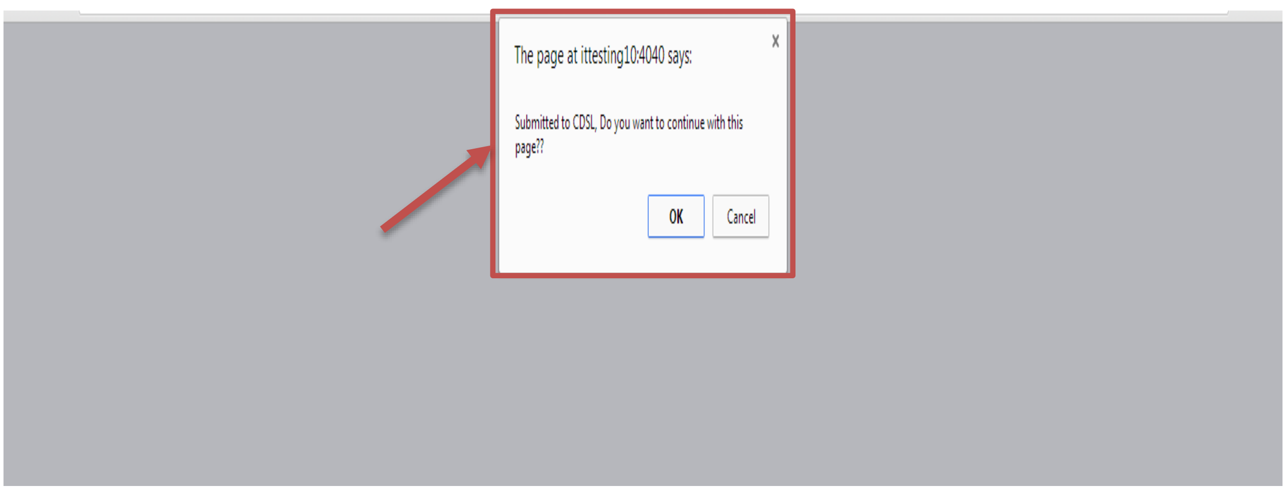
- RTA needs to click on "Submit to CDSL" to submit their final RTA IAR to CDSL (Fig. 15).

- RTA can check the status of report submitted to CDSL by following the procedure given for 'Status of Report' on Page 18.



(Fig. 15)

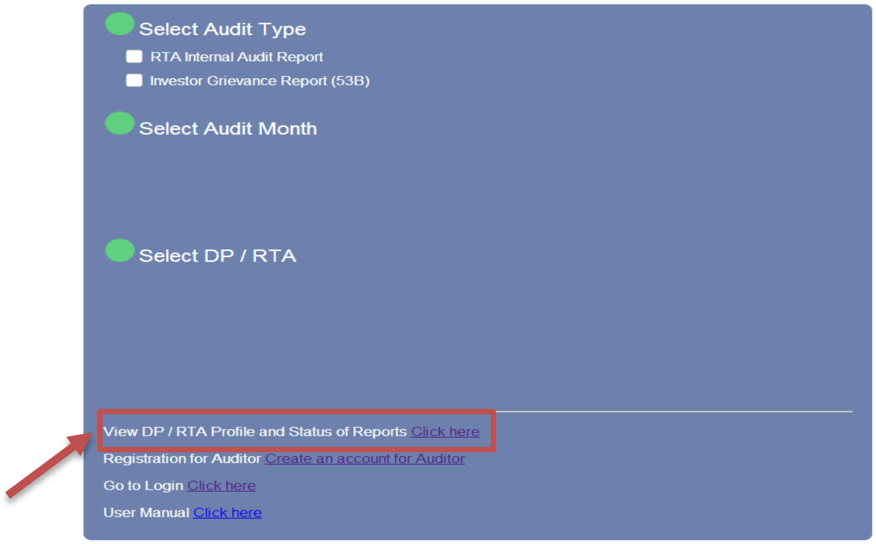
- RTA will get confirmation message that, **"Internal Audit Report is submitted to CDSL"**



(Fig. 16)

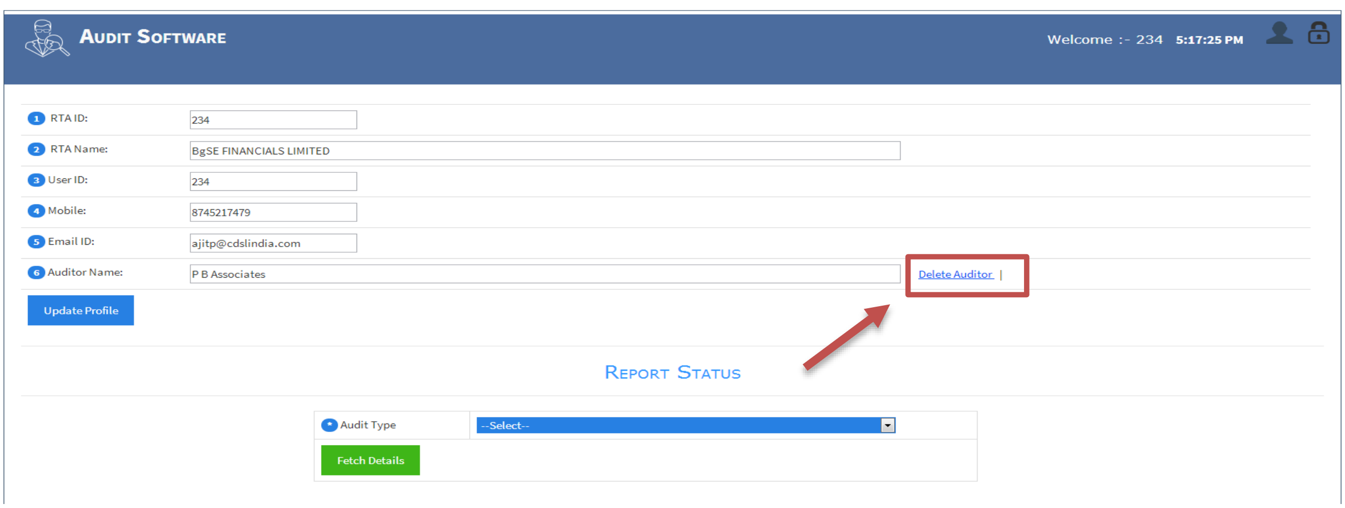
V. Deletion of Auditor

- RTA can delete an auditor from its Login. It may be due to change in its Internal Auditor or has wrongly selected an auditor while creating account for auditor.
- RTA needs to login into the system. Following page will appear (Fig. 17).



(Fig. 17)

- Click on View DP/ RTA Profile and Status of Reports. Fig. 18 will appear.



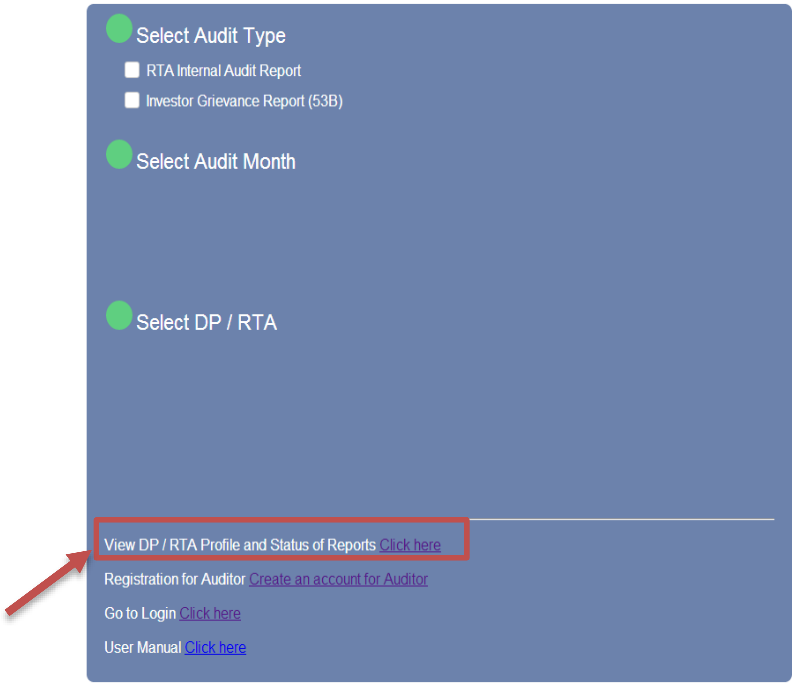
(Fig. 18)

- Name of the mapped auditor will appear. Select Delete Auditor (Fig. 18). The Auditor will be deleted. The RTA needs to then follow the procedure as mentioned in 'Creating account for Auditor' for adding new auditor or select the auditor from the drop down list.

VI. Status of Reports

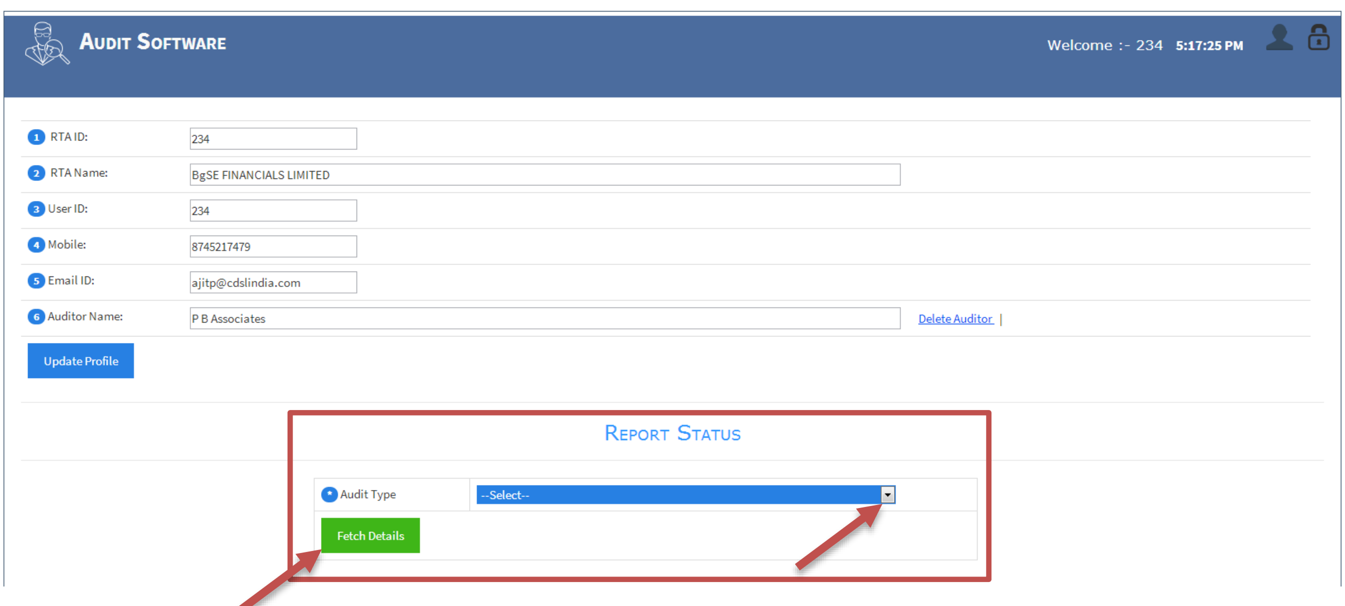
- RTA can check the status of all types of reports, viz. Investor Grievance Report (53B), RTA Internal Audit report and RTA Inspection.

- RTA needs to login into the system. Following page will appear (Fig. 19).



(Fig. 19)

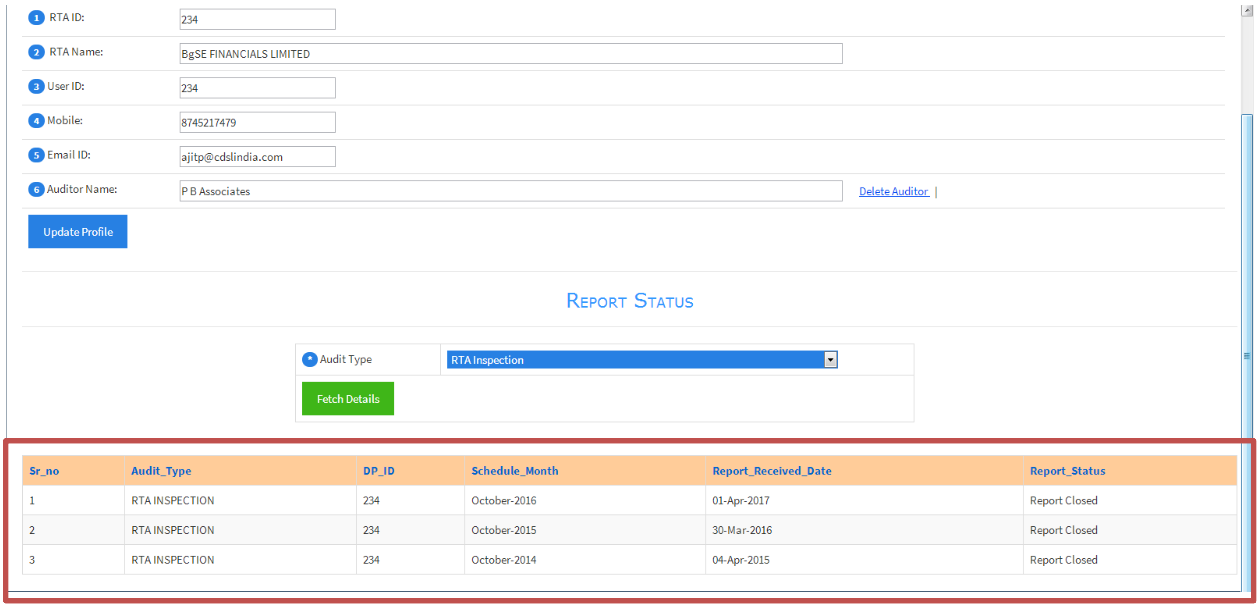
- Click on View DP/ RTA Profile and Status of Reports. Fig. 20 will appear.



(Fig. 20)

- Click on the drop down button, select any 1 report and ‘**Fetch Details’**.

- The details of the status of the report will be displayed. (Fig. 21)



Sr_no	Audit_Type	DP_ID	Schedule_Month	Report_Received_Date	Report_Status
1	RTA INSPECTION	234	October-2016	01-Apr-2017	Report Closed
2	RTA INSPECTION	234	October-2015	30-Mar-2016	Report Closed
3	RTA INSPECTION	234	October-2014	04-Apr-2015	Report Closed

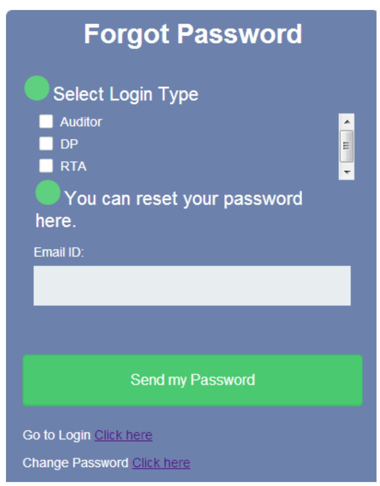
(Fig. 21)

VII. Forgot Password

- Only registered users can use this link.

(Fig. 22)

- Following screen will appear (Fig. 23).

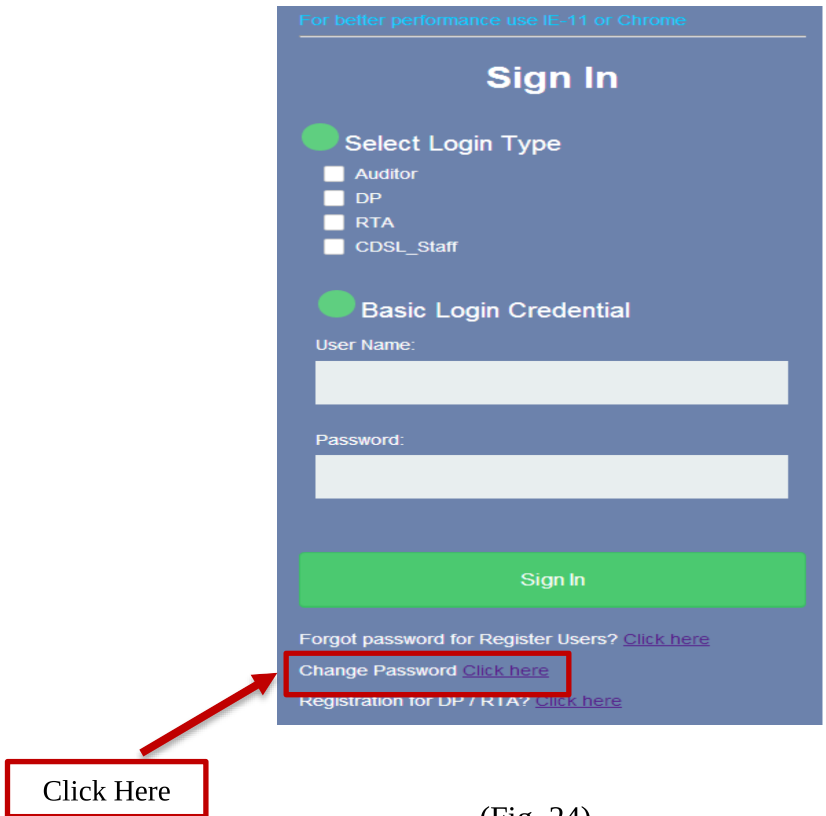


(Fig. 23)

- Select your Login Type (viz. RTA/ Auditor)
- Enter your email ID and click on "Send my Password". The new password will be emailed to the respective email ID. Please note password will be emailed to the registered email id only after validation.
- RTA/ Auditor can change the system generated password by following the procedure for Change Password.

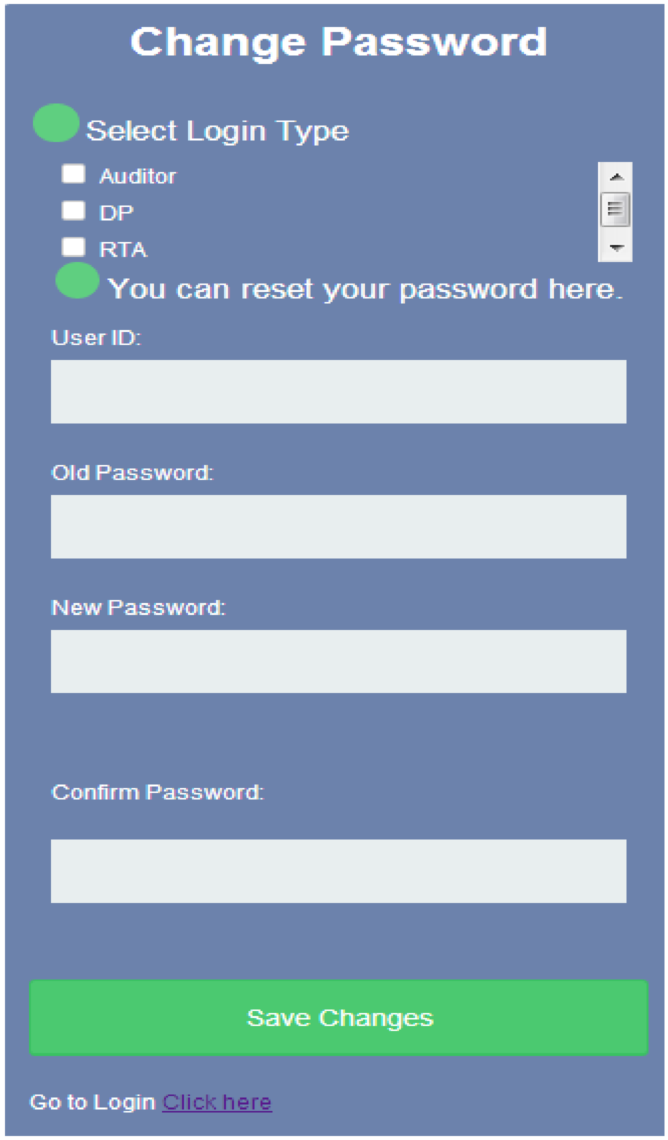
VIII. Change of Password

- RTA and Auditor have facility to change their password. 60 days password expiry policy is followed



(Fig. 24)

- Following page will open (Fig. 25)



(Fig. 25)

- RTA/ Auditor need to select their Login Type, Mention User ID, Old Password, New Password, Confirm Password and click on SAVE CHANGES.

- The password will be changed and the RTA/ Auditor can login with New Password.

IX. <u>Attaching Digital Signature to PDF</u>

- **Digital Signature** can be attached in any version of Acrobat Adobe available. However, the widely used and the latest version of Acrobat is ‘Adobe DC’.
  To attach digital signature in Adobe DC version, the user needs to follow the following steps.

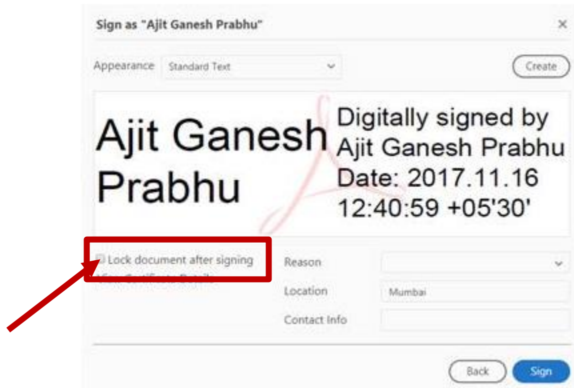
  (i) Open the PDF in which digital signature is to be attached.
  (ii) Go to **Tools** - - - > **Certificates**
  (iii) Select the option **‘Digitally Sign’** at the top of the page and click.
  (iv) A moving bar/ cursor for drawing the bar will appear. The user needs to place the same at the dedicated place for signature.
  (v) The user needs to select appropriate signature following which, it will prompt the user to save the file and provide the **PIN**.
  (vi) Digital Signature will be attached in the file.

- **If RTA is unable to attach digital signature in the PDF.**

  As per the procedure, the Auditor of the RTA is required to first sign the final Internal Audit Report, Upload the digitally signed PDF and submit to RTA. The RTA needs to download the file at their end and attach their digital signature in the same and then upload the file.

  However, it is observed that, when the auditors are digitally signing the PDF, they select the option of ‘**Lock the document after signing** and hence, the RTA is not allowed to digitally sign the file.

It is therefore advised **not** to lock the PDF file while attaching digital signature (Fig. 26)



(Fig. 26)

Annexure B

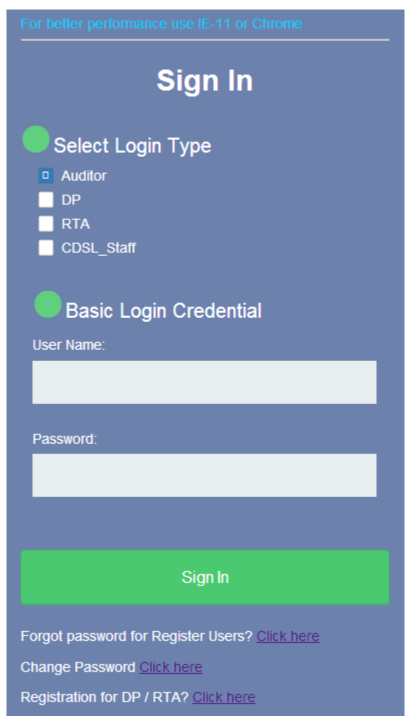
INDEX

I. Updating and Submission of RTA Internal Audit Report (IAR) by Auditor

- Once the RTA selects/ registers an Auditor, the auditor will receive an email on the Email ID entered by the RTA, confirming to the auditor that, "Please note that RTA – xxxxx has added your audit firm as their internal auditor. You are requested to prepare the RTA internal audit report of the RTA and share the same with the RTA. The manual for preparation of the audit report is available at the following web site: https://auditweb.cdslindia.com/Login.aspx.

- The auditor needs to click on the link. Following Fig. 1 will appear. Click on the option 'Forgot password for Registered Users'. Procedure for 'Forgot Password', refer Fig 17 &18 on page 12. System generated Password will go to the Auditor's email ID. The Auditor is advised to change the password.

- Using the login ID and new password the auditor needs to login into system. Refer Fig. 1



(Fig. 1)

In Fig. 1, Select Login Type: **Auditor**

User Name: ***<<Auditor's email ID registered by the DP>>***

Password: ***<<enter password*** >>

Click on **SIGN IN**

Below screen will appear. Auditor will have access only to IAR (Internal Audit report).

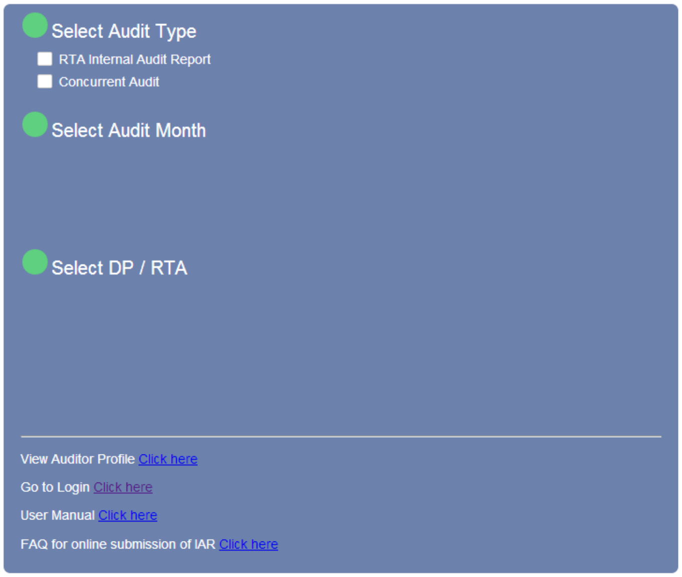
In Fig. 2, Auditor has to select

Audit Type: **RTA Internal Audit Report**

Audit month: **Relevant half year period e.g. March 2018**

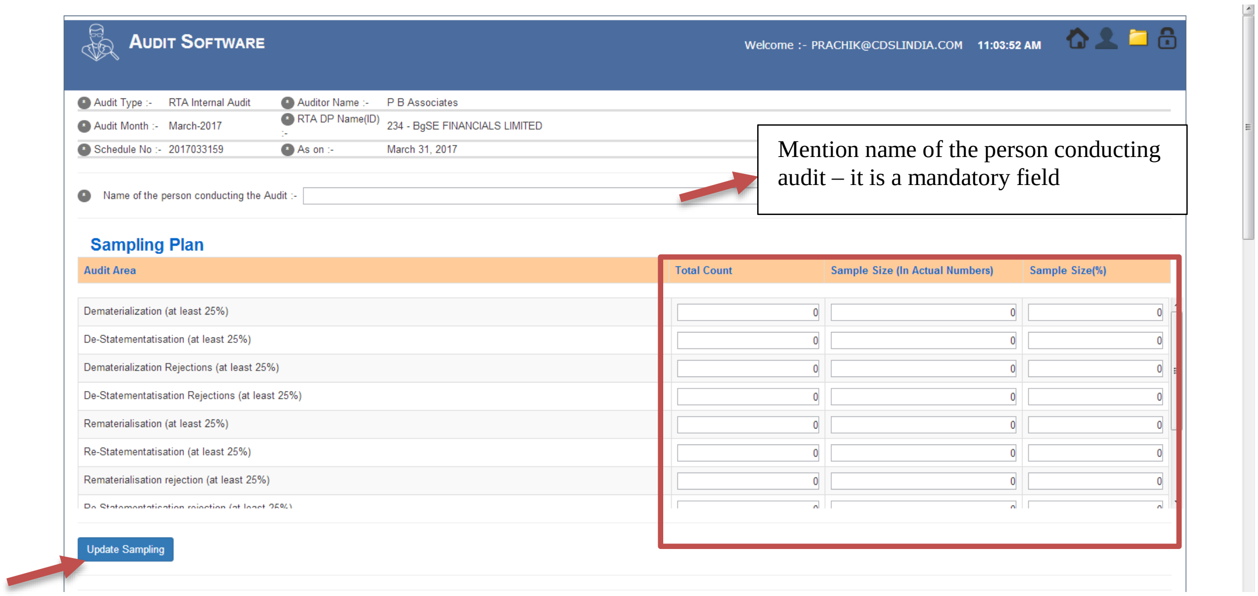
Select DP/ RTA: **Respective RTA** (The Auditor can view list of all the registered DPs/ RTAs for whom it is acting as internal auditor and has to select the relevant DP/ RTA for which they are going to submit the report)

Click on **CONFIRM**



(Fig. 2)

- Once Auditor clicks on Confirm button the Internal Audit Report screen is opened (Fig. 3).

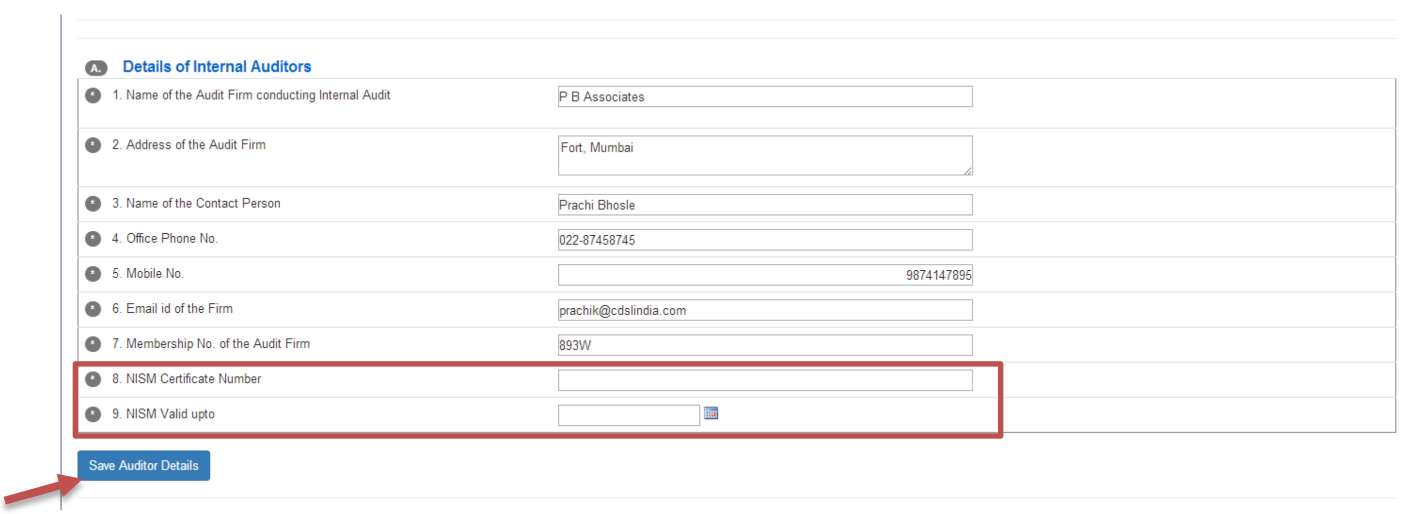


(Fig. 3)

- Name of the person conducting the Audit is to be mentioned (Fig. 3)
- The Auditor needs to enter the Sampling Plan and to save click on "**Update Sampling**"
- The details of the internal auditor will be auto populated as per the details provided by the RTA (Fig. 4).

  The auditor will have to mention the details of its **NISM Certificate no.** and the **validity of NISM certificate** (refer point 8 & 9 in fig. 4).

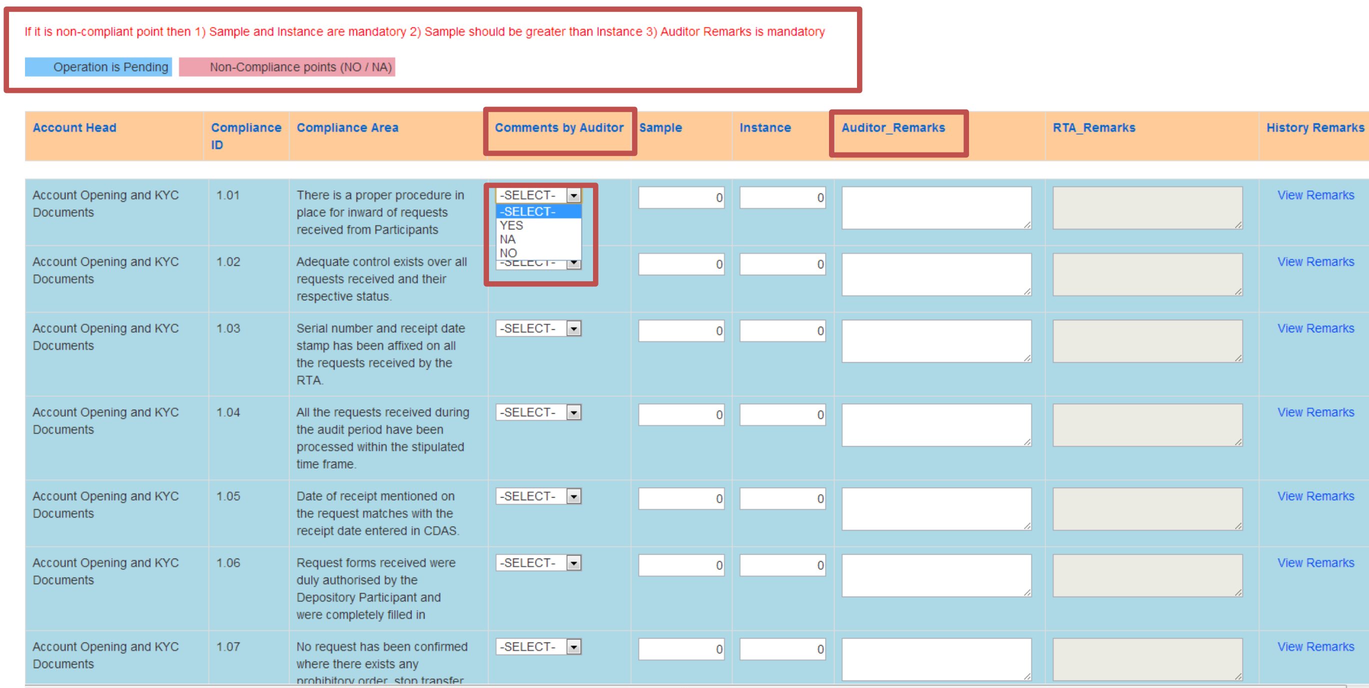
  Then click on "**Save Auditor Details".**



(Fig. 4)

- The auditor needs to fill in the checklist points. Validations for the column "**Comments by Auditor**" are as follows:

Comments by Auditor	Sample	Instance	Auditor Remarks
YES	Not allowed	Not allowed	Not allowed
NA	Optional	Optional	Mandatory
NO	Mandatory	Mandatory	Mandatory


If it is non-compliant point then 1) Sample and Instance are mandatory 2) Sample should be greater than Instance 3) Auditor Remarks is mandatory

Operation is Pending | Non-Compliance points (NO / NA)

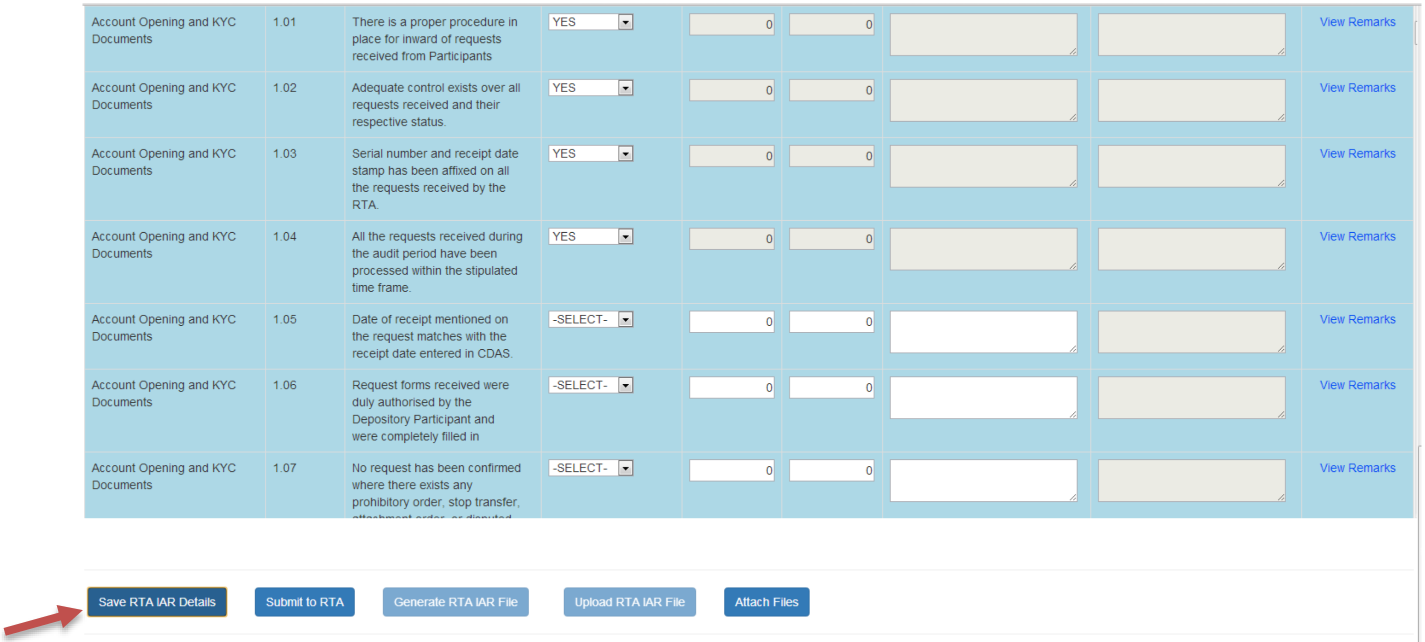
Account Head	Compliance ID	Compliance Area	Comments by Auditor	Sample	Instance	Auditor_Remarks	RTA_Remarks	History Remarks
Account Opening and KYC Documents	1.01	There is a proper procedure in place for inward of requests received from Participants	-SELECT- (-SELECT- / YES / NA / NO)	0	0			View Remarks
Account Opening and KYC Documents	1.02	Adequate control exists over all requests received and their respective status.	-SELECT-	0	0			View Remarks
Account Opening and KYC Documents	1.03	Serial number and receipt date stamp has been affixed on all the requests received by the RTA.	-SELECT-	0	0			View Remarks
Account Opening and KYC Documents	1.04	All the requests received during the audit period have been processed within the stipulated time frame.	-SELECT-	0	0			View Remarks
Account Opening and KYC Documents	1.05	Date of receipt mentioned on the request matches with the receipt date entered in CDAS.	-SELECT-	0	0			View Remarks
Account Opening and KYC Documents	1.06	Request forms received were duly authorised by the Depository Participant and were completely filled in	-SELECT-	0	0			View Remarks
Account Opening and KYC Documents	1.07	No request has been confirmed where there exists any prohibitory order, stop transfer	-SELECT-	0	0			View Remarks

(Fig. 5)

Please note: In the checklist,

Rows in Blue colour: Operation is pending by the auditor and

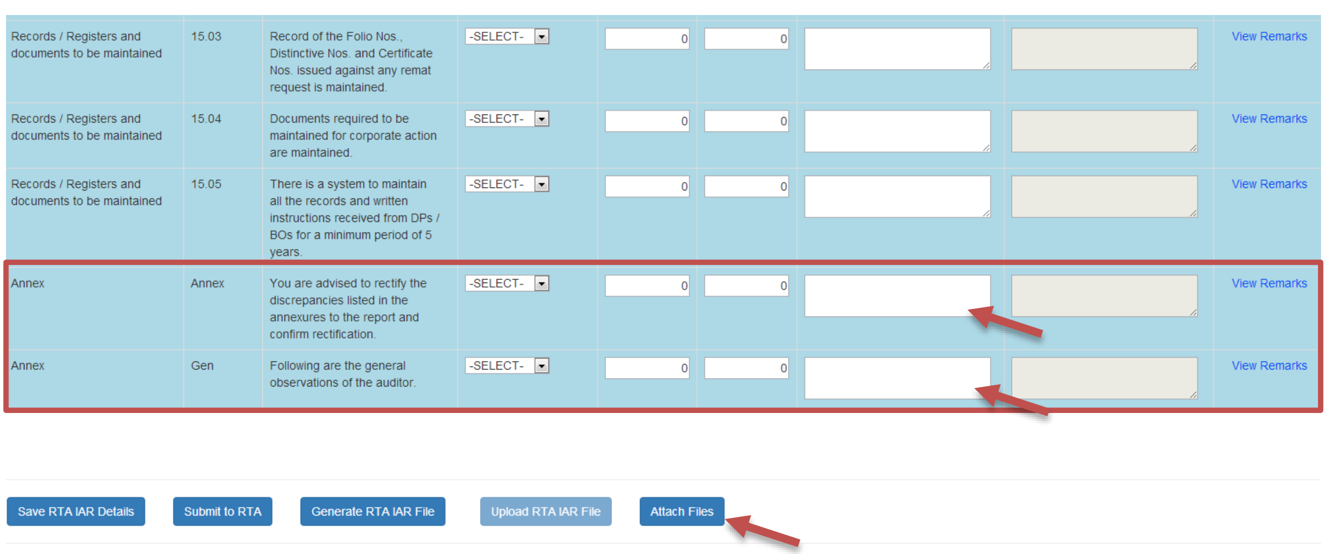
Rows in Red colour: The comment by auditor is either 'NO' or 'NA'



(Fig. 6)

- While filling up the checklist, the auditor needs to keep on saving the entries by clicking on "**Save RTA IAR Details**" (Fig. 6)

- The auditor needs to mention Remarks for point nos (Compliance ID -). 14.8, 14.9, Annexure "Annex" and General "Gen" (Fig. 7)

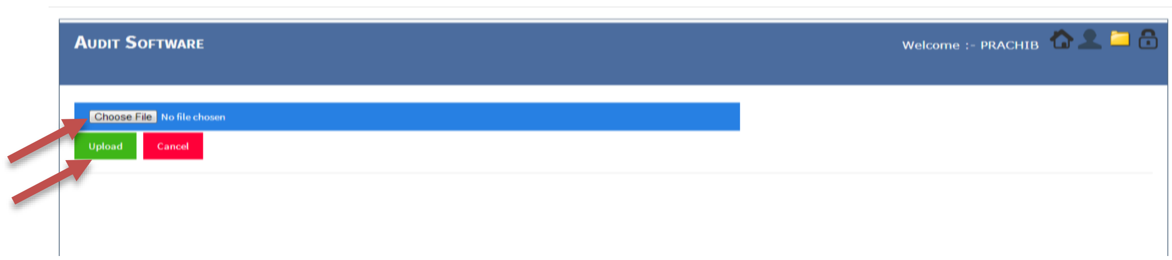


(Fig. 7)

- Auditor is required to fill in all the fields else the report will not be accepted by the system.

- The auditor can attach Annexures by clicking on **“Attach Files”** (Fig. 7)

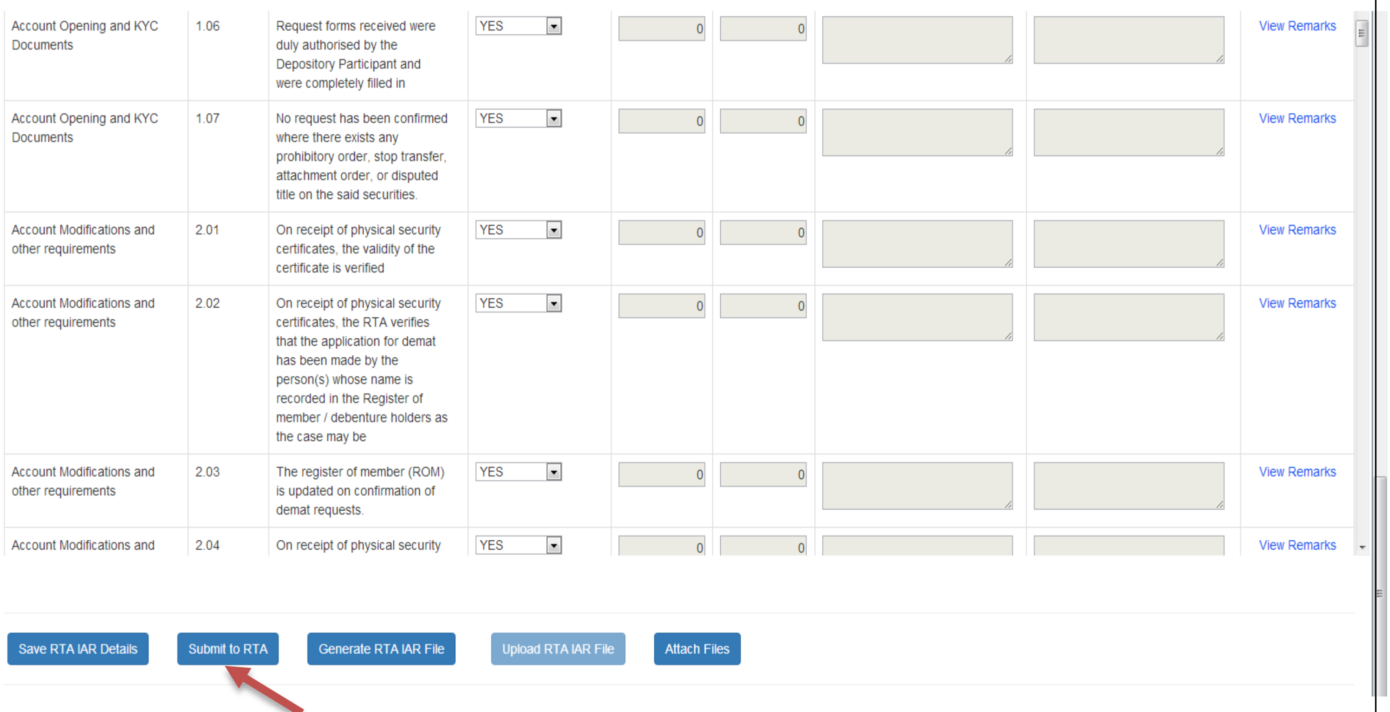
- Following new screen will appear on clicking “Attach Files” (Fig. 8)
  For Annexures to be submitted along with audit report, Click on ‘Choose Files’ and through Browse ‘UPLOAD’ the annexures.



(Fig. 8)

II. Sending of IAR by Auditor to RTA for review

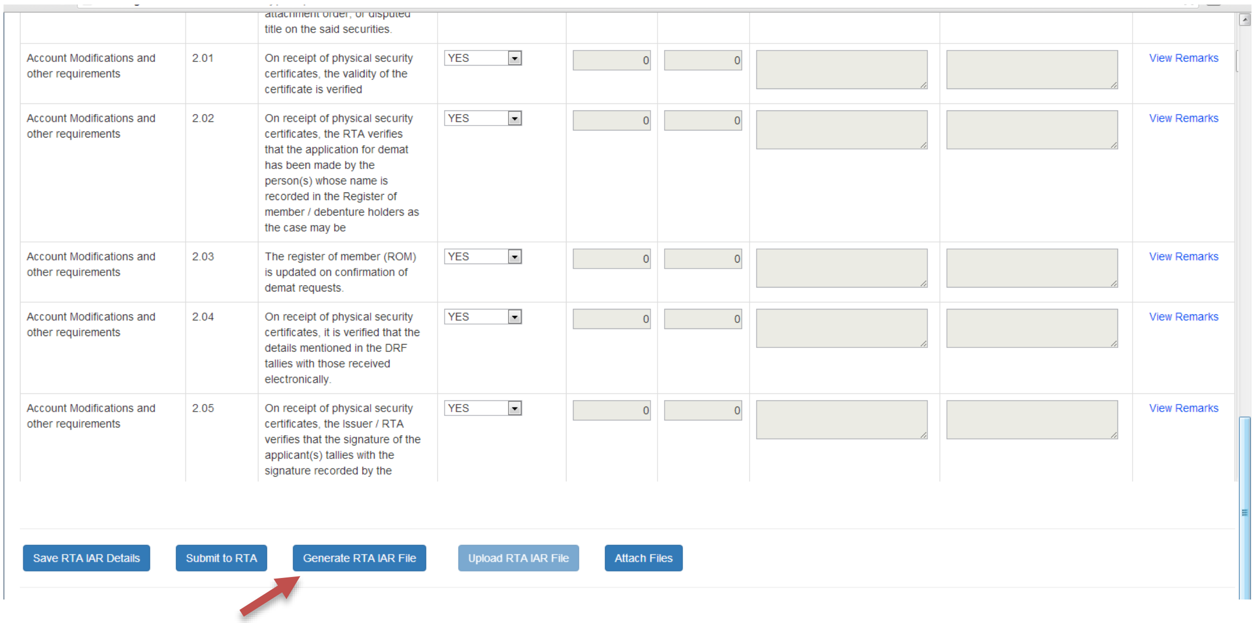
- Once the auditor has completed filling in the checklist, the Auditor needs to Save RTA IAR Details and click on **“Submit to RTA”.** The Auditor will inform the RTA that they have sent Internal Audit Report for their review.



(Fig. 9)

- Auditor and RTA have only 3 rounds/ attempts to exchange details i.e. observations of auditors and comments of the RTA.

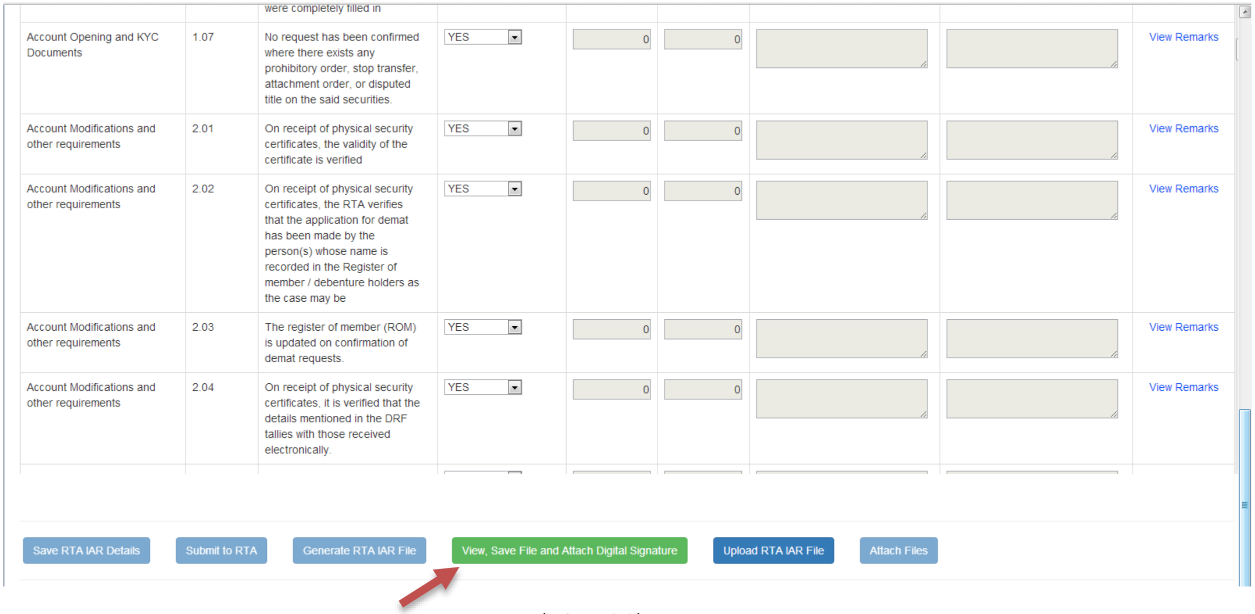
III. <u>Finalizing of IAR by Auditor and attaching Digital Signature</u>



(Fig. 10)

- Once the RTA has provided final Management Comments and informed the auditors, the Auditor will click on **"Generate RTA IAR File"** (Fig. 10)**. Message will appear as 'File Generated Successfully'**

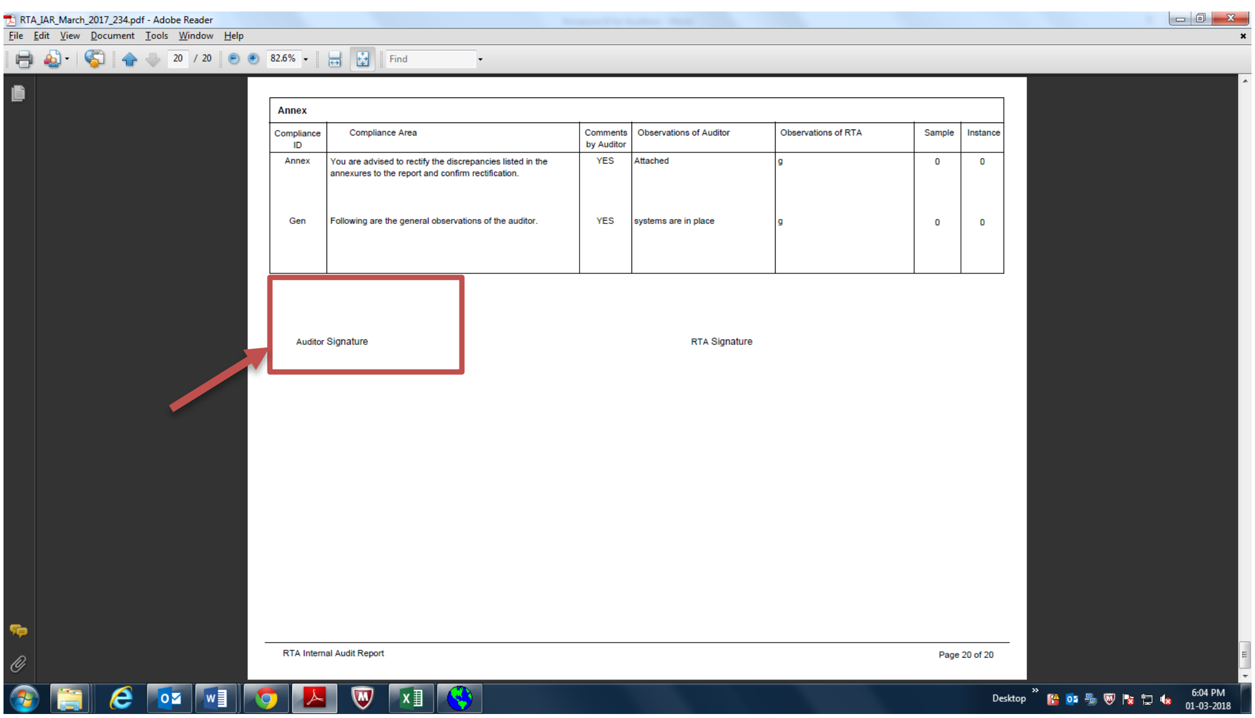
- Please note: The auditor should click on Generate File only after the report is complete in all respects. Once Generate File is clicked, the report is treated as submitted and no further modifications will be allowed.



(Fig. 11)

- Click on "**View, Save File and Attach Digital Signature".** A PDF of the report will be generated. (Fig. 11)

- The Auditor will attach its digital signature on the last page of the report (PDF document) where the space is provided for Auditor Signature (Fig. 12).

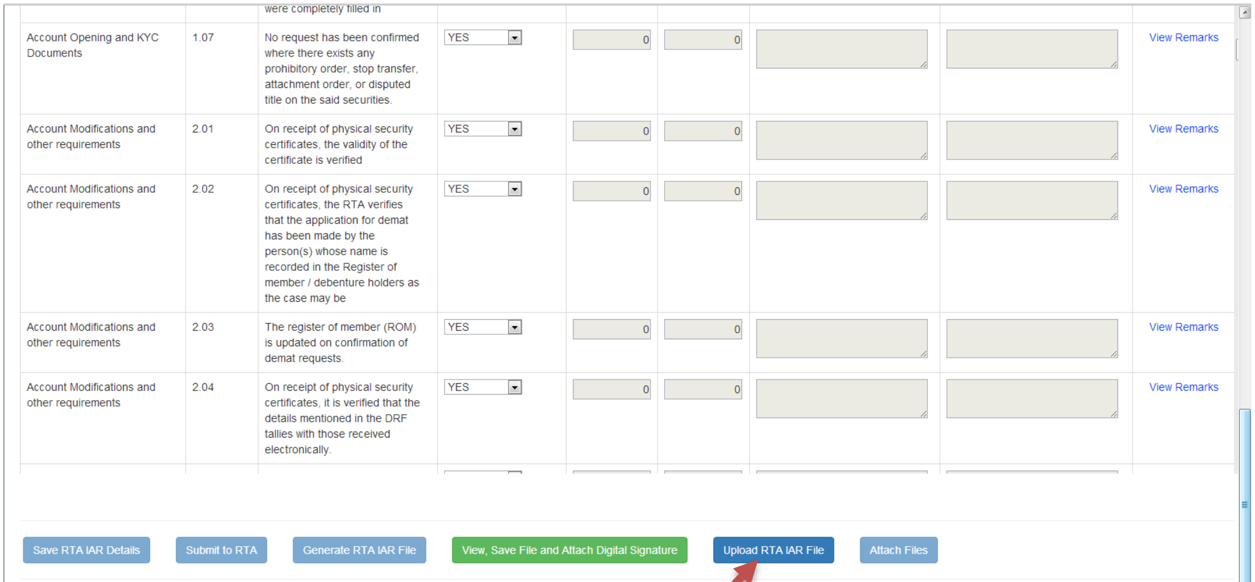


(Fig. 12)

- Once the digital signature is attached by the auditors, they should save the file on local drive/ desktop.

  Please note the filename of the downloaded PDF should not be changed (there should not be any file extensions to it viz. .pdf).

- Click on **'Upload RTA IAR File'** (Fig. 13).



(Fig. 13)

(Fig. 14)

A new window will open as in Fig. 14. Click on '**Choose File**' and select the "Digitally signed PDF" from the saved path. Then click on Upload.

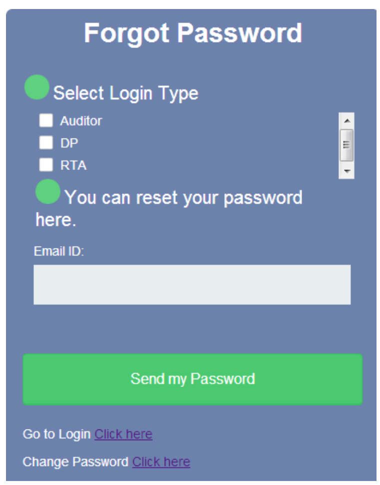
- Confirmation message "RTA IAR relevant month .pdf has been uploaded" will appear.
- Once the Auditor has uploaded the Internal Audit Report PDF for a RTA, the same can be viewed at the RTA's end.
- Auditor will inform the RTA that they have uploaded the Final Internal Audit Report in PDF.

IV. Forgot Password

- Only registered users can use this link.

(Fig. 15)

- Following screen will appear (Fig. 16).

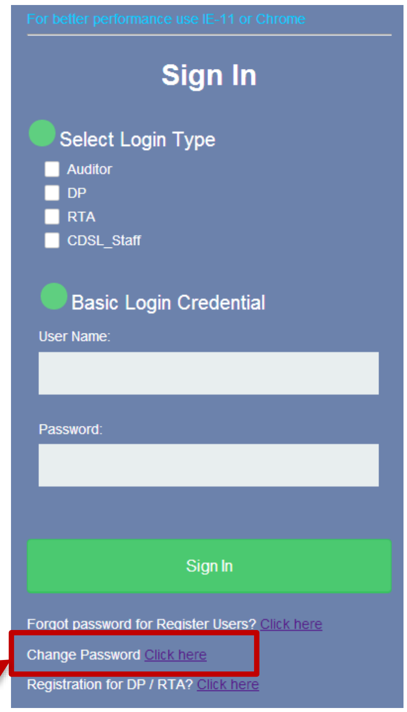


(Fig. 16)

- Select your Login Type (viz. RTA/ Auditor)
- Enter your email ID and click on “Send my Password”. The new password will be emailed to the respective email ID. Please note password will be emailed to the registered email id only after validation.
- RTA/ Auditor can change the system generated password by following the procedure for Change Password.

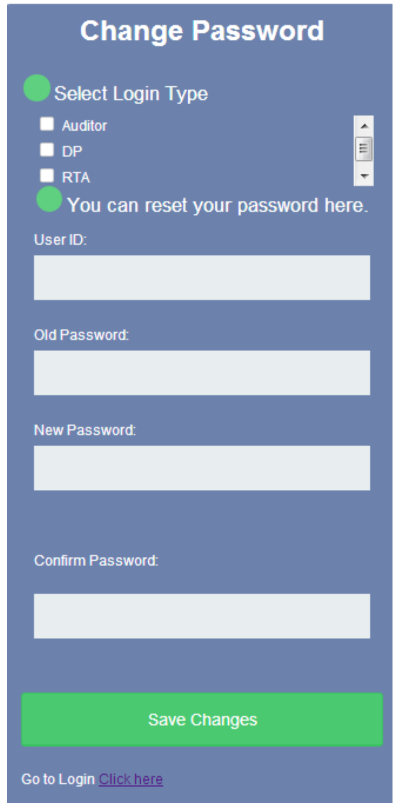
V. Change of Password

- DP and Auditor have facility to change their password. 60 days password expiry policy is followed



(Fig. 17)

- Following page will open (Fig. 18)



(Fig. 18)

- RTA/ Auditor need to select their Login Type, Mention User ID, Old Password, New Password, Confirm Password and click on SAVE CHANGES.

- The password will be changed and the RTA/ Auditor can login with New Password.

VI. Attaching Digital Signature to PDF

- **Digital Signature** can be attached in any version of Acrobat Adobe available. However, the widely used and the latest version of Acrobat is ‘Adobe DC’.
  To attach digital signature in Adobe DC version, the user needs to follow the following steps.

  (i) Open the PDF in which digital signature is to be attached.
  (ii) Go to **Tools** - - - > **Certificates**
  (iii) Select the option **‘Digitally Sign’** at the top of the page and click.
  (iv) A moving bar/ cursor for drawing the bar will appear. The user needs to place the same at the dedicated place for signature.
  (v) The user needs to select appropriate signature following which, it will prompt the user to save the file and provide the **PIN**.
  (vi) Digital Signature will be attached in the file.

- **If RTA is unable to attach digital signature in the PDF.**

  As per the procedure, the Auditor of the RTA is required to first sign the final Internal Audit Report, Upload the digitally signed PDF and submit to RTA. The RTA needs to download the file at their end and attach their digital signature in the same and then upload the file.

  However, it is observed that, when the auditors are digitally signing the PDF, they select the option of ‘**Lock the document after signing** and hence, the RTA is not allowed to digitally sign the file.

It is therefore advised **not** to lock the PDF file while attaching digital signature (Fig. 19)

(Fig. 19)

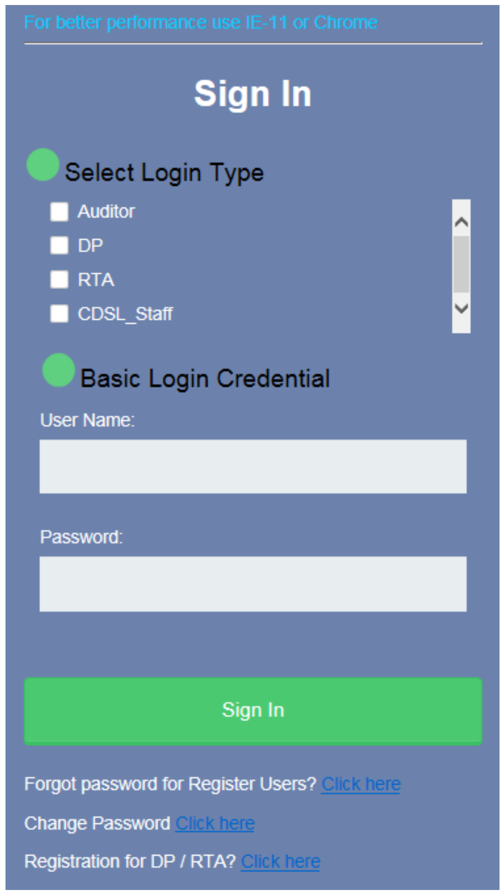
Annexure C

Procedure for submission of Investor Grievance Report (53B)

- **Login:** RTAs are required to click on the following link to login into the system.

  https://auditweb.cdslindia.com/login.aspx

  The following page will open.



(Fig. 1)

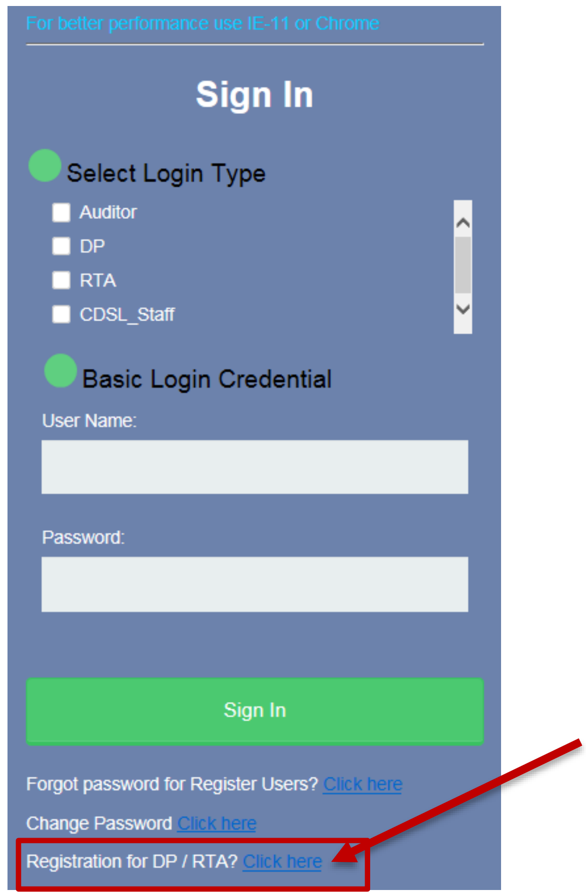
There are 4 type of Users:

Auditor, DP, RTA and CDSL Staff.

Appropriate Login Type is to be selected. (Viz. RTAs to select login type as RTA)

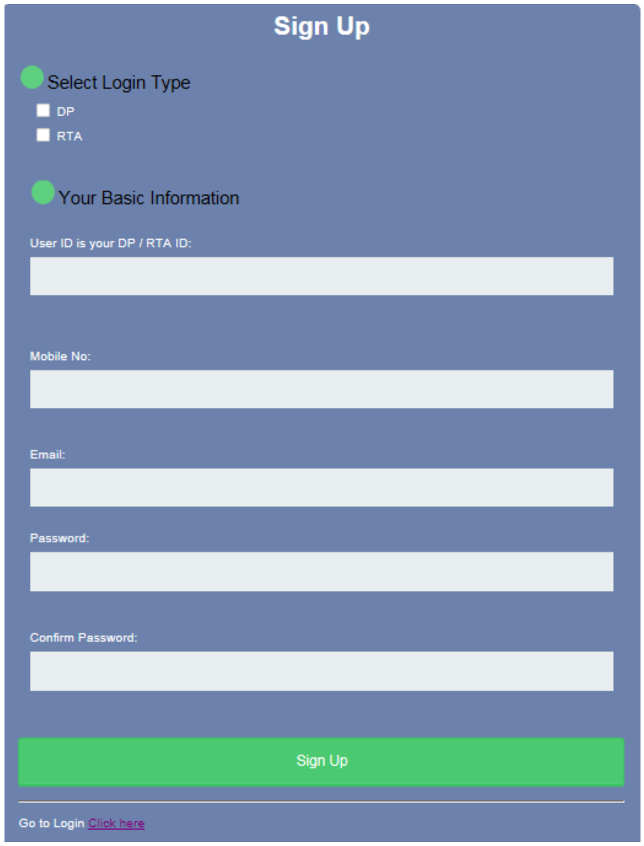
- **Registration for RTA:** If the RTA has already created log in credentials for RTA Internal Audit Report, new log in is not required to be created for IG Report submission.

- For new log in to be created the following process should be followed.



(Fig. 2)

- RTA needs to register by clicking on "Registration for DP/ RTA". The following page (Fig. 3) will open.



(Fig. 3)

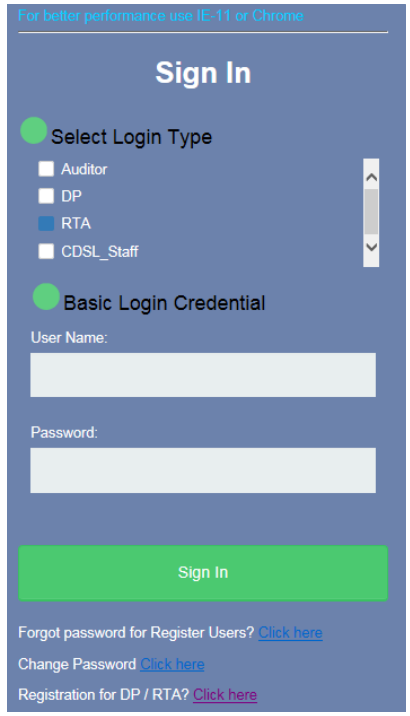
1. Select Login Type will be **RTA**

   In 'Your Basic Info'

2. User id will be the RTA ID i.e. 3 digit number (e.g. 101). Mobile no, Email, and Password needs to be entered by the RTA and click on Sign Up.

- Once you sign up, the page will again go to the main login and the RTA will receive the confirmation details of its password on the email ID entered by the RTA for sign up.

- The RTA needs to then **Sign In** using Log in credentials.



(Fig. 4)

In Fig. 4, The RTA will:

Select Login Type: **RTA**

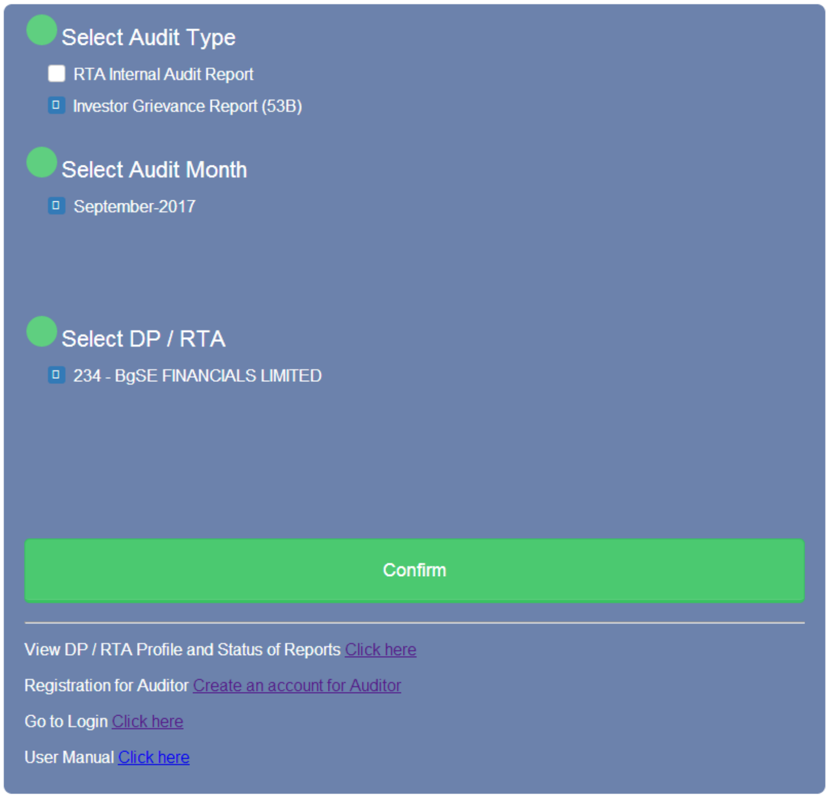
User Name: **RTAID**

Password: *<<as provided by RTA and mentioned in the email for login details>>*

Then click on **SIGN IN.**

Generation and Submission of IG Report

- Once RTA logs in, Fig. 5 will appear



(Fig. 5)

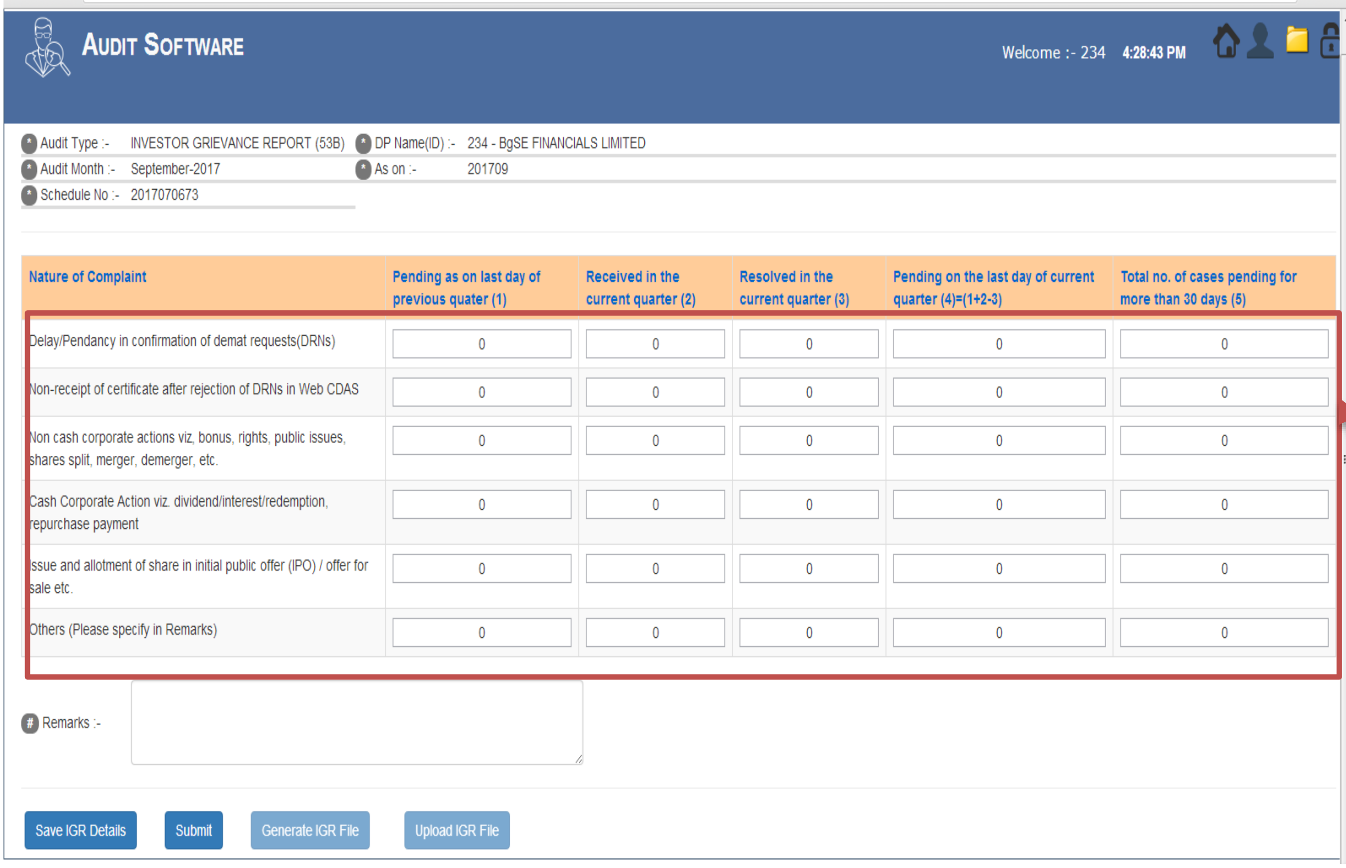
Select Audit Type: **Investor Grievance Report (53B)**

Select Audit Month: Respective quarter month end for which IG Report is to be submitted

Select DP/ RTA: Your RTAID

Click on Confirm

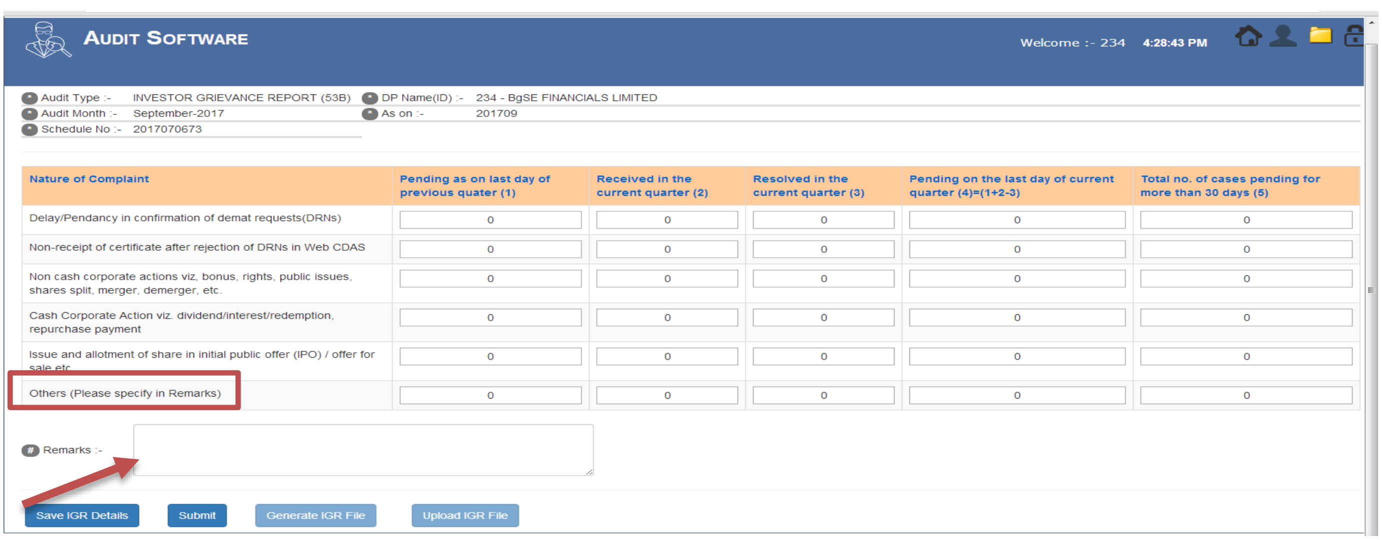
Following page will open (Fig. 6)



(Fig. 6)

- Mention the count of complaints for the respective categories in the above window.

- The **'Nature of Complaint'** for count specified under 'Others' is to be mentioned in the textbox provided for '**Remarks**' (Fig. 7).

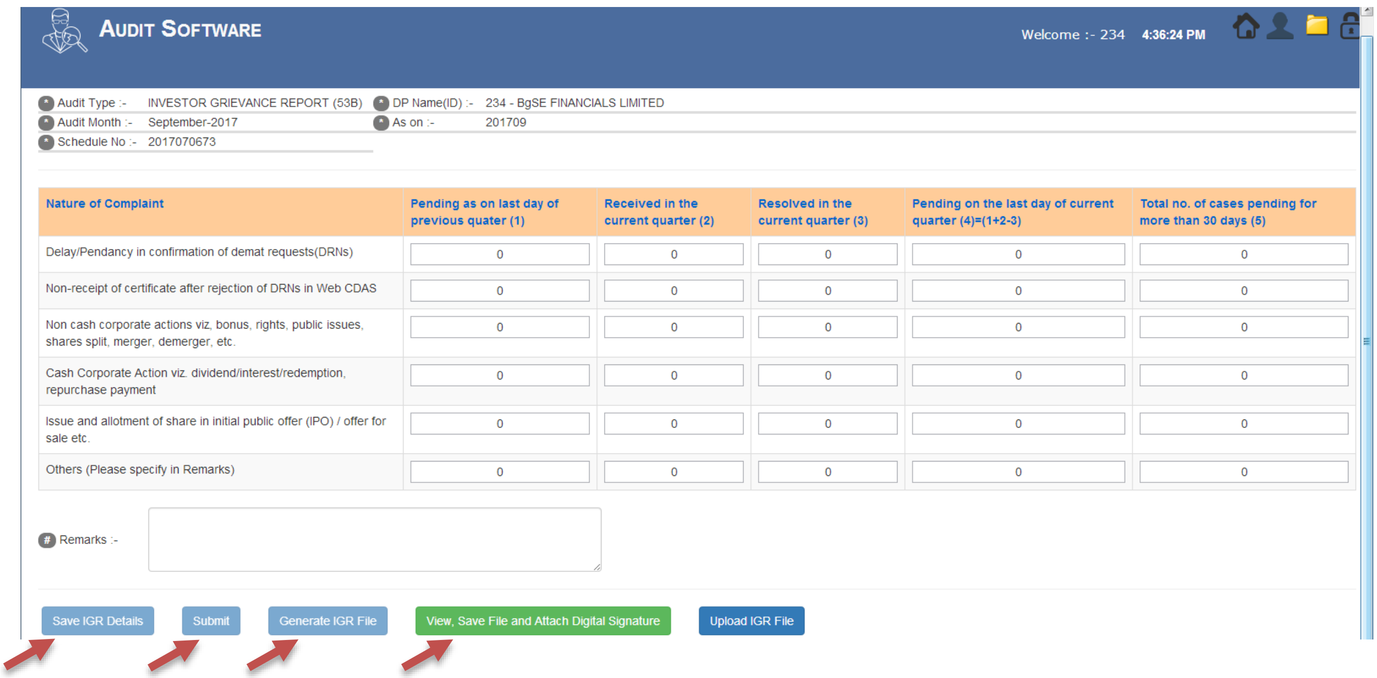


(Fig. 7)

Refer Fig. 8

- The RTA can save their details by clicking on **‘Save IGR Details’.**

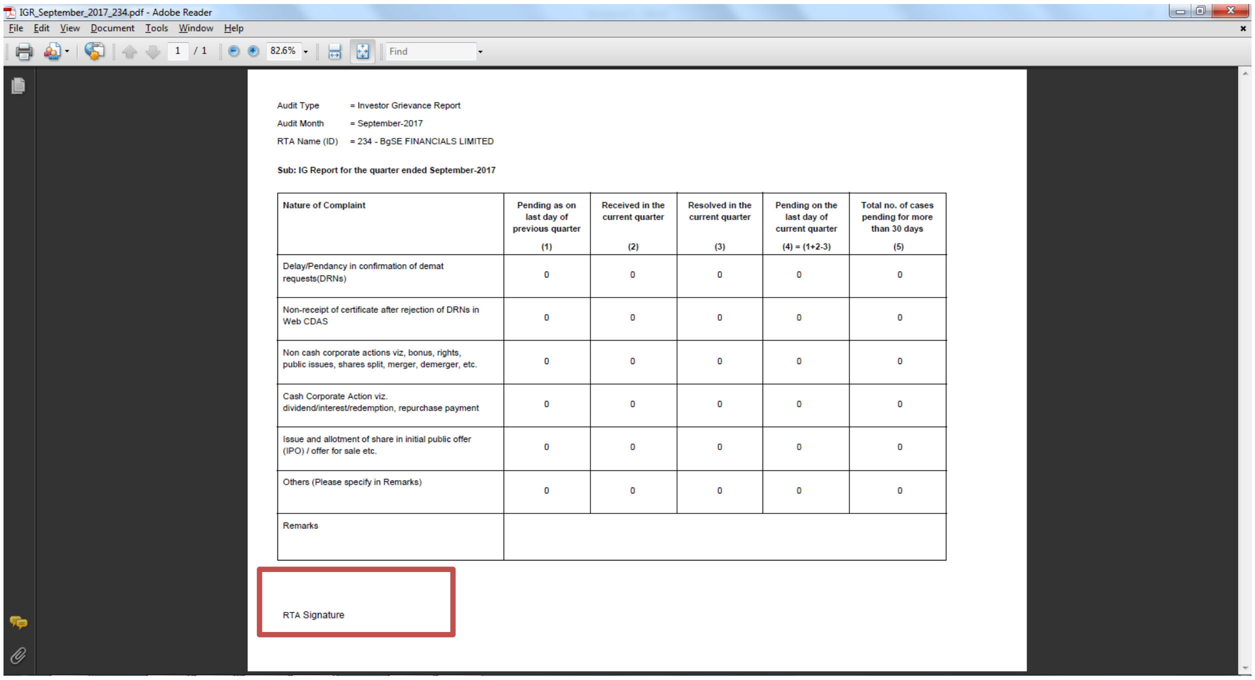
- After the RTA has completed filling up all the fields, the RTA will click on **‘Submit’** and then click on **‘Generate IGR File’**



(Fig. 8)

- Then click on ‘**View, Save File and Attach Digital Signature’**

- A PDF will get generated. RTA needs to open the PDF. The Compliance Officer of the RTA needs to attach its Digital Signature in the space provided for RTA Signature. (Refer below Fig. 9)



IGR_September_2017_234.pdf - Adobe Reader

Audit Type = Investor Grievance Report
Audit Month = September-2017
RTA Name (ID) = 234 - BgSE FINANCIALS LIMITED

Sub: IG Report for the quarter ended September-2017

Nature of Complaint	Pending as on last day of previous quarter (1)	Received in the current quarter (2)	Resolved in the current quarter (3)	Pending on the last day of current quarter (4) = (1+2-3)	Total no. of cases pending for more than 30 days (5)
Delay/Pendancy in confirmation of demat requests(DRNs)	0	0	0	0	0
Non-receipt of certificate after rejection of DRNs in Web CDAS	0	0	0	0	0
Non cash corporate actions viz, bonus, rights, public issues, shares split, merger, demerger, etc.	0	0	0	0	0
Cash Corporate Action viz. dividend/interest/redemption, repurchase payment	0	0	0	0	0
Issue and allotment of share in initial public offer (IPO) / offer for sale etc.	0	0	0	0	0
Others (Please specify in Remarks)	0	0	0	0	0
Remarks					

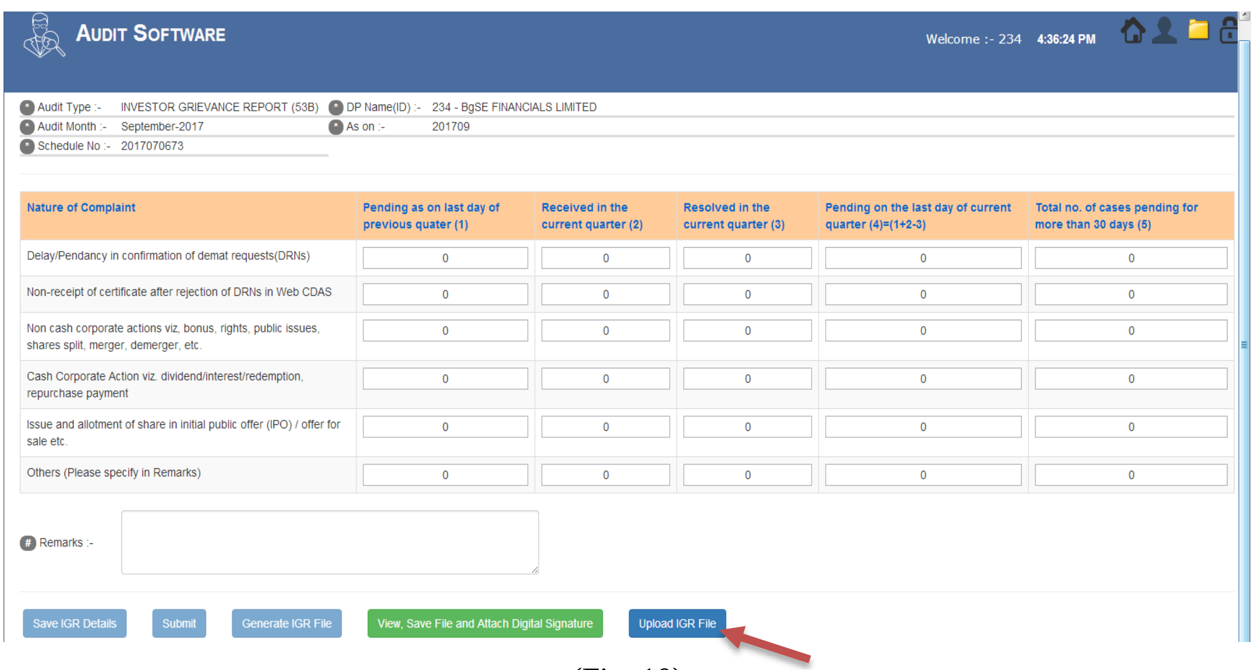
RTA Signature

(Fig. 9)

- Save the PDF

- **Please note: the filename of the generated PDF file should not be changed.**

- Click on '**Upload IGR File**' (Fig. 10)



AUDIT SOFTWARE
Welcome :- 234 4:36:24 PM

Audit Type :- INVESTOR GRIEVANCE REPORT (53B)
DP Name(ID) :- 234 - BgSE FINANCIALS LIMITED
Audit Month :- September-2017
As on :- 201709
Schedule No :- 2017070673

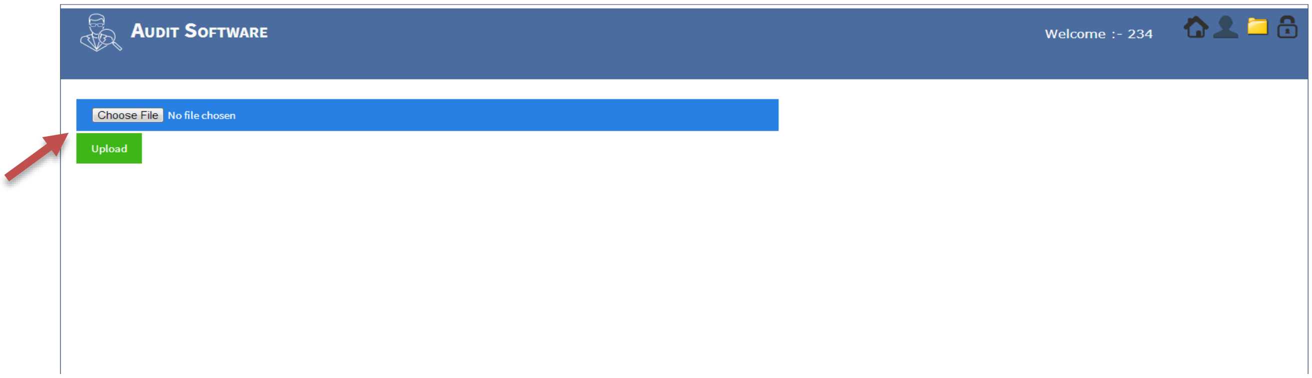
Nature of Complaint	Pending as on last day of previous quater (1)	Received in the current quarter (2)	Resolved in the current quarter (3)	Pending on the last day of current quarter (4)=(1+2-3)	Total no. of cases pending for more than 30 days (5)
Delay/Pendancy in confirmation of demat requests(DRNs)	0	0	0	0	0
Non-receipt of certificate after rejection of DRNs in Web CDAS	0	0	0	0	0
Non cash corporate actions viz, bonus, rights, public issues, shares split, merger, demerger, etc.	0	0	0	0	0
Cash Corporate Action viz. dividend/interest/redemption, repurchase payment	0	0	0	0	0
Issue and allotment of share in initial public offer (IPO) / offer for sale etc.	0	0	0	0	0
Others (Please specify in Remarks)	0	0	0	0	0

Remarks :-

Save IGR Details | Submit | Generate IGR File | View, Save File and Attach Digital Signature | Upload IGR File

(Fig. 10)

- Following window will open (Fig. 11)

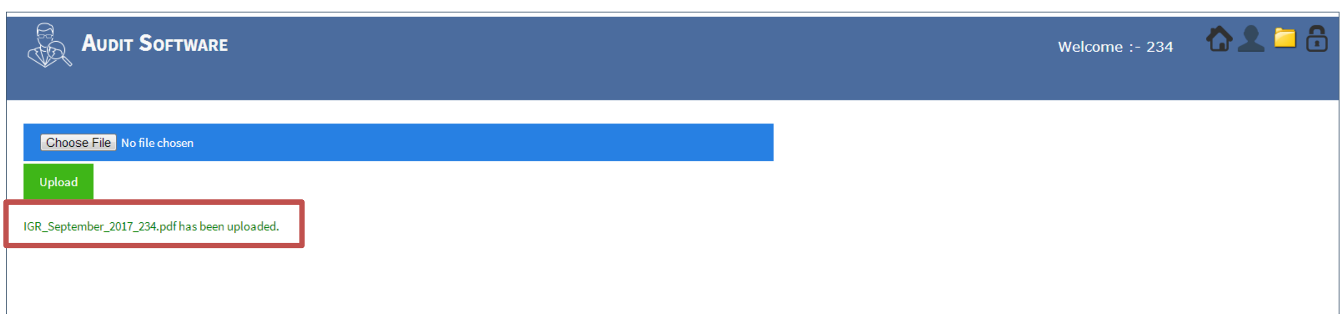


(Fig. 11)

- Click on **Choose File** and select the “Digitally signed PDF” from the saved path and click on **Upload.**

  Please note: the filename of the generated PDF file should not be changed while uploading the same (there should not be any file extensions to it viz. .pdf)

- Message will appear as IGR has been uploaded.



(Fig. 12)