



Central Depository Services (India) Limited

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COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/AUDIT/RTA/POLCY/2020/78

July 06, 2020

SUBMISSION OF COMPLIANCE CERTIFICATE BY RTAs

The Registrar and Transfer Agents (RTAs) (including in-house RTAs) are required to ensure that the depository operations are in compliance with all applicable laws and especially with respect to the following:

- a) The Depositories Act, 1996;
- b) The SEBI (Depositories and Participants) Regulations, 2018 including reconciliation of dematerialised securities with all the securities issued by the issuer, on a daily basis
- c) SEBI (Registrars to an Issuer and Share Transfer Agents) Regulations, 1993.
- d) The Bye Laws and Operating Instructions of CDSL.
- e) Directives / Circulars / Communiqué / Clarifications / Guidelines issued by SEBI, Government of India, Regulatory Bodies and CDSL, from time to time
- f) Prevention of Money Laundering Act, 2002 and the Rules and Guidelines notified thereunder by SEBI or Statutory / Regulatory Authorities

All the RTAs are, therefore, advised to submit the 'Compliance Certificate' digitally - signed on half yearly basis to CDSL electronically in the format provided in Annexure A.

The provision for online submission of the Compliance Certificate will be made available to the RTAs in their existing login on <https://auditweb.cdslindia.com/>.

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

Submission of Compliance Certificate shall be effective for half year ended December 2020.

All RTAs are requested to take note of the same.

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 2305-8678, 2305-8679, 2305-8515, and 2305-8513.

sd/-

Latha Nair
Assistant Vice President – Audit, Inspection & Compliance



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Annexure A

(To be provided on Registrar and Transfer Agent's (RTA) letterhead)

Date: _____

To

Central Depository Services (India) Limited
Marathon Futurex, A Wing, 25th Floor,
Mafatlal Mill Compound,
N M Joshi Marg, Lower Parel,
Mumbai - 400013

Dear Sir/Madam,

Sub: Compliance Certificate for the period _____ to _____

1. I _____ (Name of the Compliance Officer) hereby certify that the depository operations of _____ (RTA Name and RTA ID) are in compliance with all applicable laws and especially with respect to the following:
- a) The Depositories Act, 1996;
 - b) The SEBI (Depositories and Participants) Regulations, 2018 including reconciliation of dematerialised securities with all the securities issued by the issuer, on a daily basis
 - c) SEBI (Registrars to an Issue And Share Transfer Agents) Regulations, 1993.
 - d) The Bye Laws and Operating Instructions of CDSL.
 - e) Directives / Circulars / Communiqué / Clarifications / Guidelines issued by SEBI, the Government of India, Regulatory Bodies and CDSL, from time to time.
 - f) Prevention of Money Laundering Act, 2002 and the Rules and Guidelines notified thereunder by SEBI or Statutory / Regulatory Authorities.

- g) Activities in which the RTA has not been in Compliance, if any, are as under:

Sr. No.	Activities in which the RTA has not been in compliance	Steps taken to ensure compliance in future
1		
2		

Name and Designation of Compliance Officer :

Signature of Compliance Officer :