



Central Depository Services (India) Limited

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COMMUNIQUÉ TO REGISTRAR & TRANSFER AGENTS

CDSL/AUDIT/RTA/POLCY/2021/59

May 03, 2021

SEBI CIRCULAR – ADDENDUM TO SEBI CIRCULAR ON “RELAXATION IN ADHERENCE TO REGULATORY REQUIREMENTS”

RTAs are advised to refer SEBI Circular no. SEBI/HO/MIRSD/RTAMB/P/CIR/2021/558 dated April 29, 2021 regarding addendum to SEBI Circular on “Relaxation in adherence to prescribed timelines issued by SEBI due to Covid 19” dated April 13, 2020. [refer Annexure].

RTAs are advised to take note of the same and ensure compliance.

Queries regarding this communiqué may be addressed to CDSL – Helpdesk: on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com

sd/-

Latha Nair

Assistant Vice President – Audit, Inspection & Compliance



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Securities and Exchange Board of India

CIRCULAR

SEBI/HO/MIRSD/RTAMB/P/CIR/2021/558

April 29, 2021

To,

All Listed Companies (through Stock Exchanges)

All Recognized Stock Exchanges

All Registrars to an Issue & Share Transfer Agents (RTA)

All Depositories

Dear Sir / Madam,

Sub: Addendum to SEBI Circular on “Relaxation in adherence to prescribed timelines issued by SEBI due to Covid 19” dated April 13, 2020

1. SEBI had issued Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2020/59 dated April 13, 2020 wherein “Relaxations in adherence to prescribed timelines” for carrying out various shareholder requests and for other regulatory filings were granted to RTAs in view of the Covid-19 pandemic.
2. The Annexure to the aforementioned Circular listed out 12 specific items wherein such relaxation in prescribed timelines were granted. It has been now decided to add, 'Processing of the demat requests', to this list and accordingly the list of 13 items that are eligible for relief stand revised as follows;

Sr. No.	Particulars
1	Processing of Remat Requests



2	Processing of Transmission Requests
3	Processing of request for Issue of Duplicate Share Certificates
4	Processing of Requests for Name Deletion / Name Change / Transposition / Pending Share Transfers (Re-lodgement cases in the case of share transfers)
5	Processing of Requests for Consolidation / Split / Replacement of Share Certificates / Amalgamation of Folios
6	Handling Investor Correspondence / Grievances / SCORES complaint
7	Submission of Half Yearly Report to SEBI pursuant to Circular No. CIR/MIRSD/7/2012 dated July 5, 2012
8	Compulsory Internal Audit of RTAs by CA / CS / CMA holding Certificate of Practice and Certified Information Systems Auditor (CISA) / Diploma Information Systems Auditor (DISA) pursuant to Circular dated April 20, 2018, issued by SEBI
9	Submission of Audit Report by CISA / CISM qualified or equivalent auditor by QRTAs to SEBI along with comments of the Board pursuant to Circular dated September 8, 2017 issued by SEBI on Cyber Security and Cyber Security Resilience framework for QRTAs
10	Submission of Compliance Report by QRTAs duly reviewed by the Board of Directors of the QRTA to SEBI on Enhanced monitoring of QRTAs pursuant to Circular dated August 10, 2018 issued by SEBI
11	Regulation 74(5) of the SEBI (D & P) Regulations, 2018 w.r.t. verification and mutilation of share certificate
12	Regulation 76 of the Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018 w.r.t. audit of reconciliation of share capital
13	Processing of the demat requests



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Securities and Exchange Board of India

3. Relaxation is hereby being given to intermediaries / market participants w.r.t. compliance with the prescribed timelines which has been extended to July 31, 2021 in view of the Covid-19 situation. The aforesaid relaxation shall be applicable for items No. 1-13.
4. Additionally, regarding the half-yearly Internal Audit Report (IAR) to be submitted by RTAs within 45 days from the closure of the half year as mandated by NSDL Circular No. NSDL/CIR/II/19/2016 dated November 7, 2016 and CDSL Circular No. CDSL/AUDIT/RTA/1205 dated July 12, 2016; it has now been decided that the timeline of May 15, 2021 for submission of IAR by RTAs for half year ended March 31, 2021 has been extended to July 31, 2021 in view of the Covid-19 situation.
5. This circular is being issued in exercise of powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992, to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.
6. The Stock Exchanges and Depositories shall bring the contents of this circular along with the circular dated April 13, 2020 to the notice of all their respective constituents.

Yours faithfully,

Deepak Trivedi
Chief General Manager
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