



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/A,I&C/RTA/POLCY/2021/81

July 01, 2021

### ONLINE FACILITY FOR SUBMISSION OF RTA HALF YEARLY COMPLIANCE CERTIFICATE IN ELECTRONIC FORM

Attention of Registrar and Transfer Agents (RTAs) (including in-house RTAs) is invited to communicate no. CDSL/AUDIT/RTA/POLCY/2020/154 dated December 31, 2020 informing submission of compliance certificates by RTAs.

The RTAs can now fill and submit Half Yearly Compliance Certificate (HCC) digitally - signed on half yearly basis to CDSL electronically. The provision for online submission of the Compliance Certificate is made available to the RTAs in their existing login on <https://auditweb.cdslindia.com/>. The format provided in Annexure A. The same is also made available in the aforesaid weblink.

The Compliance Certificate format has been modified as enclosed as Annexure A\_1 (in track change mode) and Annexure A\_2 (without highlighting the changes). The same is also made available in the aforesaid weblink.

RTAs are advised to submit HCC for the half year period from 1<sup>st</sup> January 2021 to 30<sup>th</sup> June 2021 on or before 31<sup>st</sup> July 2021. Thereafter the RTAs are required to submit the HCC on ongoing basis as per the following schedule:

| Applicable Period                      | Due date                 |
|----------------------------------------|--------------------------|
| Half year period from January to June  | July 31 <sup>st</sup>    |
| Half year period from July to December | January 31 <sup>st</sup> |

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

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



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

Annexure A\_1

(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.~~

2. 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



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

Annexure A\_2

(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 \_\_\_\_\_

3. 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.

a) 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