Central Depository Services (India) Limited

Convenient ⌖ Dependable ⌖ Secure

COMMUNIQUÉ TO REGISTRAR & TRANSFER AGENTS

CDSL/ A,I&C /RTA/POLCY/2025/292 **November 28,2025**

SUBMISSION OF RTA HALF YEARLY COMPLIANCE CERTIFICATE IN ELECTRONIC FORM

Registrar and Transfer Agents (RTAs) (including issuers having in-house connectivity) are advised to refer communique no. CDSL/A,I&C/RTA/POLCY/2021/81 dated July 01, 2021, regarding submission of Half Yearly Compliance Certificate by RTAs in the prescribed format by January 31 and July 31 of every year.

The Compliance Certificate format has been updated as indicated in Annexure A.

RTAs' are advised to submit digitally signed Compliance Certificate online on half yearly basis on https://auditweb.cdslindia.com.Confirm compliance by ticking the checkboxes. If non-compliant, select 'Applicable' option in point 3 and list the corrective steps taken to ensure future compliance. If fully compliant, with all applicable acts, regulations etc., select the 'Not Applicable' option.

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

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 6234-3143, 6234-3082, 6234-3084, 6234 3073, 6234 3074 and 6234-3076.

For and on behalf of
Central Depository Services (India) Limited

sd/-

Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance

Annexure A

Audit Type = RTA HALF YEARLY COMPLIANCE CERTIFICATE
Audit Month =
RTA Name (ID) =

Sub: Compliance Certificate for the period from ______ 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.

2. ☐ ____ (Name of the Compliance Officer) hereby confirm that (RTA Name) does not have any direct or indirect association with another person who-

(i) provides advice or any recommendation, directly or indirectly, in respect of or related to a security or securities, unless the person is registered with or otherwise permitted by the SEBI to provide such advice or recommendation; or

(ii) makes any claim, of returns or performance expressly or impliedly, in respect of or related to a security or securities, unless the person has been permitted by the SEBI to make such a claim.

3. Activities in which the RTA has not been in Compliance, if any, are as under:

☐ Applicable ☐ Not Applicable

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

Name and Designation of Compliance Officer :
Signature of Compliance Officer :