



Central Depository Services (India) Limited

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COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/AUDIT/RTA/POLCY/2026/188

June 29, 2026

ONLINE SUBMISSION OF COMPLIANCE CERTIFICATE BY RTA

Registrar and Transfer Agents (RTAs) (including issuers having in-house connectivity) are advised to refer communique no. CDSL/A,I&C/RTA/POLCY/2025/292 dated November 28, 2025, regarding submission of Half Yearly Compliance Certificate by Registrar & Transfer Agents in the prescribed format by January 31 and July 31 of every year.

RTAs are requested to note that the online facility for submission of the Half Yearly Compliance Certificate has been enhanced with mandatory 'YES' and 'NO' options against each compliance confirmation. RTAs are required to select the appropriate option based on their compliance status. Where 'No' is selected the RTA shall provide the reason for the non-compliance under Point.no.3 and specify the corrective steps taken to ensure compliance.

Detailed submission process is provided in **Annexure I**. All other requirements and procedures for submission shall continue to be as prescribed in the communique dated November 28, 2025.

Queries regarding this communique may be addressed to CDSL Audit, Inspection & Compliance Department on telephone nos. (022) 6234-3143, 6234 3077, 6234-3489, 6234-3074.

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

sd/-
Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance



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Annexure I

Step 1: Once RTA selects 'Half Yearly Compliance Certificate', the following details will be displayed,

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AUDIT APPLICATION

Audit Type >	RTA HALF YEARLY COMPLIANCE CERTIFICATE	RTA Name(ID) >	[REDACTED]
Audit Month >	December-2026	As on >	202612
Schedule No >	2025126105	RTA ID >	[REDACTED]

SUB : COMPLIANCE CERTIFICATE FOR THE PERIOD FROM (01 Jul 2025) To (31 Dec 2026)

1) I, _____ (NAME OF THE COMPLIANCE OFFICER)
HEREBY CERTIFY THAT THE DEPOSITORY OPERATIONS OF _____ ARE IN COMPLIANCE WITH ALL APPLICABLE LAWS AND ESPECIALLY WITH RESPECT TO THE FOLLOWING :

☐ Yes ☐ No (a) The Depositories Act, 1996;

☐ Yes ☐ No (b) The SEBI (DEPOSITORIES AND PARTICIPANTS) REGULATIONS, 2018 INCLUDING RECONCILIATION OF DEMATERIALIZED SECURITIES WITH ALL THE SECURITIES ISSUED BY THE ISSUER, ON A DAILY BASIS

☐ Yes ☐ No (c) SEBI (REGISTRARS TO AN ISSUE AND SHARE TRANSFER AGENTS) REGULATIONS, 1993.

☐ Yes ☐ No (d) THE BYE LAWS AND OPERATING INSTRUCTIONS OF CDSL.

☐ Yes ☐ No (e) DIRECTIVES / CIRCULARS / COMMUNIQUÉ / CLARIFICATIONS / GUIDELINES ISSUED BY SEBI, THE GOVERNMENT OF INDIA, REGULATORY BODIES AND CDSL, FROM TIME TO TIME.

2) ☐ Yes ☐ No I, _____ (NAME OF THE COMPLIANCE OFFICER) HEREBY CERTIFY THAT _____ DOES NOT HAVE ANY DIRECT OR INDIRECT ASSOCIATION

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Step 2: The RTA is required to select either 'Yes' or 'No' for each point. If the RTA does not select an option for any point, a pop-up message will be displayed as shown below:

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☐ Yes ☐ No (b) The SEBI (DEPOSITORIES AND PARTICIPANTS) REGULATIONS, 2018 INCLUDING RECONCILIATION OF DEMATERIALIZED SECURITIES WITH ALL THE SECURITIES ISSUED BY THE ISSUER, ON A DAILY BASIS

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2) ☐ Yes ☐ No I, _____ (NAME OF THE COMPLIANCE OFFICER) HEREBY CERTIFY THAT _____ DOES NOT HAVE ANY DIRECT OR INDIRECT ASSOCIATION

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PLEASE SELECT ALL COMPLIANCE YES OR NO.

OK

Step 3: If 'No' is selected for any point, the RTA is required to enter the remarks under point no. 3. If the remarks are not entered, a pop-up message will be displayed as shown below:



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☐ Yes ☒ No (b) The SEBI (Depositories and Participants) Regulations, 2018 INCLUDING RECONCILIATION OF DEMATERIALIZED SECURITIES WITH ALL THE SECURITIES ISSUED BY THE ISSUER, ON A DAILY BASIS

☐ Yes ☒ No (c) SEBI (Registrars to an Issue And Share Transfer Agents) Regulations, 1993.

☒ Yes ☐ No (d) The Bye Laws AND OPERATING INSTRUCTIONS OF CDSL.

☒ Yes ☐ No (e) DIRECTIVES / CIRCULARS / COMMUNIQUE / CLARIFICATIONS / GUIDELINES ISSUED BY SEBI, THE GOVERNMENT OF INDIA, REGULATORY BODIES AND CDSL, FROM TIME TO TIME.

2) ☐ Yes ☒ No I, _____ (NAME OF THE COMPLIANCE OFFICER) HEREBY CONFIRM THAT [REDACTED] DOES NOT HAVE ANY DIRECT OR INDIRECT ASSOCIATION WITH [REDACTED]

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KINDLY FILL THE DETAILS FOR APPLICABLE (NO CASE).

OK

Step 4: In case of non-compliance, RTA should enter remarks in point no. 3 and click 'ADD" to save the record.

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2) ☐ Yes ☒ No I, _____ (NAME OF THE COMPLIANCE OFFICER) HEREBY CONFIRM THAT [REDACTED] DOES NOT HAVE ANY DIRECT OR INDIRECT ASSOCIATION WITH [REDACTED]

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RECORD ADDED SUCCESSFULLY!!!

OK



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Step 5: The details entered by the RTA will be displayed as shown below. If the RTA wishes to delete any record, the same may be deleted before generating the file.

ACTIVITIES IN WHICH THE RTA HAS NOT BEEN IN COMPLIANCE, IF ANY, ARE AS UNDER:			
☒ Applicable ☐ Not Applicable			
Activities in which the RTA has not been in compliance		Steps taken to ensure compliance in future	Action
			Add
Delete	Sl. no.	Activities in which the RTA has not been in compliance	Steps taken to ensure compliance in future
Delete	1	Test	Test
Generate HCC File Upload HCC File Attach File			

Step 6: The RTA shall generate the HCC file, affix the digital signature of the Compliance Officer, and submit the HCC.