



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLCY/2025/275

April 25, 2025

### ONLINE FACILITY FOR MANDATORY SUBMISSIONS TO CDSL BY DEPOSITORY PARTICIPANTS

DPs are advised to refer Communiqué CDSL/AUDIT/DP/POLICY/2023/658 dated November 10, 2023 regarding online facility for mandatory submissions to CDSL by depository participants.

DPs are advised to note that henceforth, the following online submissions shall be made as per the revised process provided in Annexure I (Manual for submissions).

Sr. No.	Mandatory Submission to CDSL by DPs	Timeline for submission	Frequency
1.	Investor Grievance received at DP (Record of all the BO grievances received at DP, Main / Branch)	By 10 <sup>th</sup> of the succeeding month (i.e. by 10 <sup>th</sup> May for the Month of April)	Monthly
2	Indictment order against the DP (Information w.r.t. the indictment or any other orders passed against the DP by any competent authority, if any)	By 10 <sup>th</sup> of the succeeding month (i.e. by 10 <sup>th</sup> May for the Month of April)	Monthly
3	Tariff Structure of the DP (Information w.r.t increase in charges / fees providing 30 days notice to the BOs, if any)	By 10 <sup>th</sup> of the succeeding month (i.e. by 10 <sup>th</sup> May for the Month of April)	Monthly
4	Reporting of STR finding with FIU-India by DP (Information w.r.t. the STRs filed by the DP with FIU IND, if any)	By 10 <sup>th</sup> of the succeeding month (i.e. by 10 <sup>th</sup> May for the Month of April)	Monthly



# Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

---

A manual for all above-mentioned submissions is enclosed as Annexure I.

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, 6234-3076.

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

**sd/-**

**Ajit Prabhu  
Senior Manager - Audit, Inspection & Compliance**



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

### Annexure I - Manual for Submissions

#### 1. Procedure for submission of Investor Grievance Received at DP to CDSL

- (i) DP needs to login to <https://auditweb.cdslindia.com> and select audit type: '**Investor Grievance Received at DP**' and select appropriate Audit Month.

- (ii) '**NIL**' report can be submitted by selecting the option '**Report 1 – Nil Report**' followed by '**Submit to CDSL**' for completing the submission process.



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

- (iii) For submitting information should select as 'Single entry' and enter the complaint details.

The screenshot shows the 'AUDIT APPLICATION' form for 'INVESTOR GRIEVANCE RECEIVED AT DP'. The form is divided into two main sections: 'INVESTOR GRIEVANCE RECEIVED AT DP' and 'COMPLAINT DETAILS'. The 'INVESTOR GRIEVANCE RECEIVED AT DP' section includes fields for 'TYPES OF REPORTS' (Report 2 - Single entry), 'SCHEDULE NO' (2025032438), 'SCHEDULE MONTH' (March-2025), 'DP ID' (38000), 'DP NAME' (SHARE INDIA SECURITIES LIMITED), 'COMPLIANCE REQUEST' (Investor grievance received at DP), 'NATURE OF COMPLAINT' (Select Complaint), 'BO ID' (BO ID), 'BO NAME' (BO name), 'COMPLAINT RECEIVED DATE' (dd-mm-yyyy), 'COMPLAINT PENDING FOR MORE THAN 21 DAYS' (No), 'COMPLAINT RESOLVED/CLOSURE DATE' (dd-mm-yyyy), 'CLOSURE REMARKS' (Closure Remarks), and 'RESOLUTION GIVEN BY THE DP' (Resolution given by the DP). The 'COMPLAINT DETAILS' section includes a 'COMPLAINT DETAILS' text area. At the bottom, there are buttons for 'SAVE', 'UPLOAD FILES', 'Submit To CDSL', and 'Cancel'. The footer of the form states 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'


- (iv) After updating the details, DP is required to click on 'save' button. The message will be displayed "Details save successfully".
- (v) In case of uploading supporting documents, click on 'upload files'.
- (vi) Once DP has saved all complaint details, they should click on "Submit to CDSL". The message will be displayed "Report submit successfully". Please note that once the "Submit to CDSL" button is clicked, DP will no longer be able to submit any information or details for that Schedule Month.
- (vii) If any complaints remain pending after submission of report, the same will be carried forward for submission of closure / Remarks in the next scheduled month. In case DP wish to update closure remarks for these pending cases, DPs are required to click on the 'Modify' button and update closure date and remarks / resolution. DPs are advised to take note of the same.
- (viii) In case DP wish to submit the Bulk information's, they can select the option Bulk Upload from "Type of Reports".





# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

 Central Depository Services (India) Limited  
Convenient + Dependable + Secure

AUDIT APPLICATION

INVESTOR GRIEVANCE RECEIVED AT DP

* TYPES OF REPORTS	<div>Report 3 - Bulk Upload</div>		
* DO YOU WANT TO SUBMIT NIL REPORT	<div>Yes</div>		
SCHEDULE NO	<div>2025032438</div>	SCHEDULE MONTH	<div>March-2025</div>
DP ID	<div>38000</div>	DP NAME	<div>SHARE INDIA SECURITIES LIMITED</div>
<div>Choose File No file chosen</div>		<div>UPLOAD BULK DETAILS</div>	
<div>Submit To CDSL</div>		<div>Cancel</div>	

(ix) DP wishes to submit Bulk Information, it must be in Excel (.xls) file format, with the header remaining unchanged. The date should be in YYYY-MM-DD. The nature of complaint should follow the exact format as shown below.

- i) Account Opening Related
- ii) Demat/Remat Related
- iii) Transaction Statement Related
- iv) Improper Service Related
- v) Charges Related
- vi) Delivery Instruction Related (DIS)
- vii) Account Closure
- viii) Manipulation / Unauthorized Action
- ix) Company / RTA Related
- x) Others



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

### File format for bulk upload

BO_ID	BO_NAME	NATURE_OF_CO-MPLAINT	COMPLAINT_RECEIVED_DATE	COMPLAINT_DETAILS	COMPLAINT_CLASIFICATION	RESOLUTION_GIVEN_BY_THE_DP	CLOSURE_REMARKS	COMPLAINT_PENDING_FOR_MORE_THAN_21_DAYS	WHETHER_THE_BO_GRIEVANCE_PENDING_FOR_MORE_THAN_21_DAYS_FOR_THE_REASON_OTHER_THAN_DEMAT_ARE_REPORTED_TO_CDSL_THROUGH_MONTHLY_BO_GRIEVANCE_REPORT
-------	---------	----------------------	-------------------------	-------------------	-------------------------	----------------------------	-----------------	---	---

## 2. Procedure for submission of Indictment order against the DP to CDSL

- (i) DP needs to login to <https://auditweb.cdslindia.com> and select audit type: 'Indictment order against the DP' and select appropriate Audit Month.



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

- (ii) In case there is no Indictment order against the DP in the selected month, DP can select the option **'Report 1 – Nil Report'** for submitting **'NIL'** report followed by **'Submit To CDSL'** to complete submission process.

Central Depository Services (India) Limited  
Convenient + Dependable + Secure

AUDIT APPLICATION

INDICTMENT ORDER AGAINST THE DP

* TYPES OF REPORTS	Report 1 - Nil Report		
* Do you want to submit Nil Report	Yes		
SCHEDULE No	2025032438	SCHEDULE MONTH	March-2025
DP ID	38000	DP NAME	SHARE INDIA SECURITIES LIMITED

Submit To CDSL Cancel

Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.

- (iii) In case any Indictment order against the DP is received, the information shall be submitted by selecting option **'Report 2 – Single entry'** and by providing the following: **'Nature of Order'**, **'Authority who Passes the Order'**, **'Date of Passing Order against the DP'** and **'Date of Receipt of Order by DP'**. DP can select **'Save'** and proceed further for next entry. Once all the information is provided, DP should click on **'Submit to CDSL'** to complete the submission process.

### 3. Procedure for submission of Tariff Structure of the DP to CDSL

- (i) DP needs to login to <https://auditweb.cdslindia.com> and select audit type: **'Tariff Structure of the DP'** and select appropriate Audit Month.



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

- (ii) 'NIL' report can be submitted by selecting the option '**Report 1 – Nil Report**' followed by '**Submit to CDSL**' for completing the submission process.

- (iii) For submitting information should select as 'Single entry' and enter the 'Date of Issue of 30 days notice to the BO' and 'Tariff Effective Date'. DP is required to click on 'save' button and click on '**Submit to CDSL**' to complete the submission process.



# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

#### 4. Procedure for submission of Reporting of STR finding with FIU-India by DP to CDSL

- (i) DP needs to login to <https://auditweb.cdslindia.com> and select audit type: '**Reporting of STR finding with FIU-India by DP**' and select appropriate Audit Month.


- (ii) '**NIL**' report can be submitted by selecting the option '**Report 1 – Nil Report**' followed by '**Submit to CDSL**' for completing the submission process.





# Central Depository Services (India) Limited

Convenient + Dependable + Secure

## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

 Central Depository Services (India) Limited  
Convenient + Dependable + Secure


AUDIT APPLICATION



REPORTING OF STR FINDING WITH FIU-INDIA BY DP

* TYPES OF REPORTS	Report 1 - Nil Report		
* Do you want to submit Nil Report	Yes		
SCHEDULE No	2025032438	SCHEDULE MONTH	March-2025
DP ID	38000	DP NAME	SHARE INDIA SECURITIES LIMITED
Submit To CDSL		Cancel	

Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.

- (iii) For submitting information should select as 'Single entry' and enter the 'Date of Detecting the suspicious transaction', 'Date of Reporting to FIU-India' and 'No. of STR'. DP can select '**Save**' and proceed further for next entry. Once all the information is provided, DP should click on '**Submit to CDSL**' to complete the submission process.

 Central Depository Services (India) Limited  
Convenient + Dependable + Secure

AUDIT APPLICATION

REPORTING OF STR FINDING WITH FIU-INDIA BY DP

* TYPES OF REPORTS	Report 2 - Single entry		
SCHEDULE No	2025032438	SCHEDULE MONTH	March-2025
DP ID	38000	DP NAME	SHARE INDIA SECURITIES LIMITED
* DATE OF DETECTING THE SUSPICIOUS TRANSACTION	mm-dd-yyyy	* DATE OF REPORTING TO FIU-INDIA	mm-dd-yyyy
* No. Of STR	No. Of STR		
SAVE	UPLOAD FILES	Submit To CDSL	Cancel

Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.