

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



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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/-

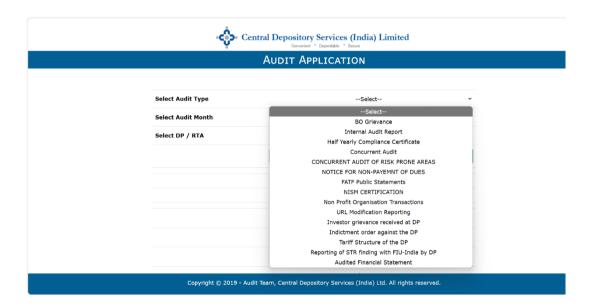
Ajit Prabhu Senior Manager - Audit, Inspection & Compliance



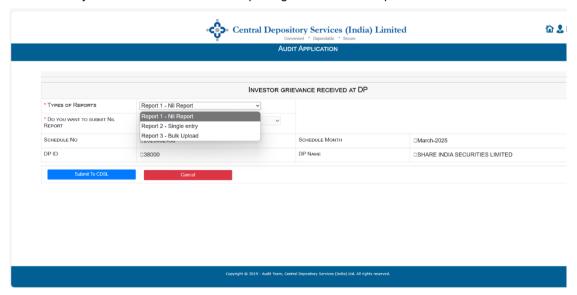
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Annexure I - Manual for Submissions

- 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.



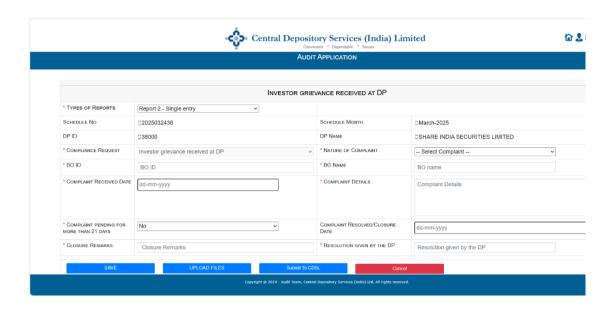
(ii) 'NIL' report can be submitted by selecting the option 'Report 1 – Nil Report' followed by 'Submit to CDSL' for completing the submission process.





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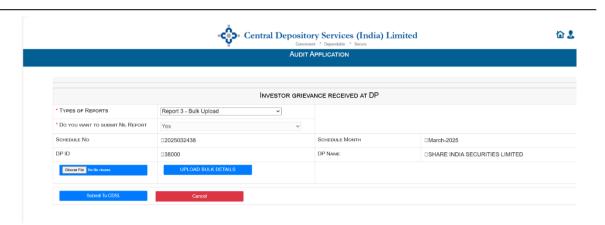
(iii) For submitting information should select as 'Single entry' and enter the complaint details.



- (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".



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- (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

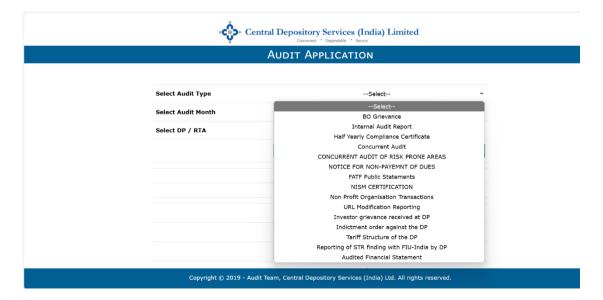


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File format for bulk upload

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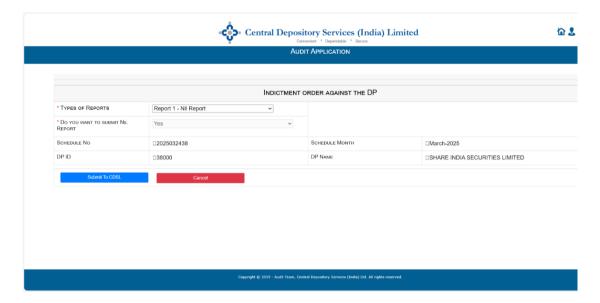
- 2. Procedure for submission of Indictment order against the DP to CDSL
 - i) DP needs to login to https://auditweb.cdslindia.com and select audit type:
 'Indictment order against the DP' and select appropriate Audit Month.





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(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.



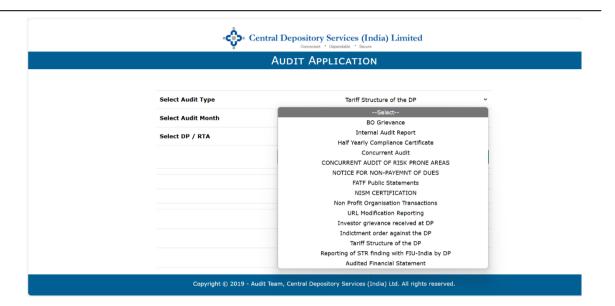
(iii) In case any Indictment order against the DP is received, the information shall be submitted by selecting option 'Report 2 – Single entry' and by providing the following: 'Nature of Order', 'Authority who Passes the Order', 'Date of Passing Order against the DP' and 'Date of Receipt of Order by 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

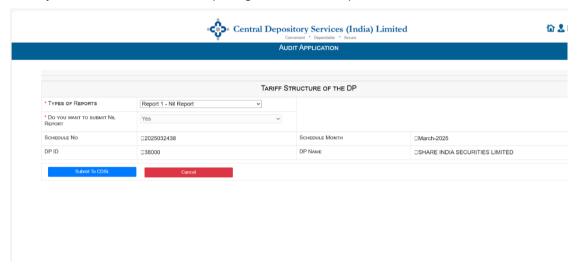
(i) DP needs to login to https://auditweb.cdslindia.com and select audit type: 'Tariff Structure of the DP' and select appropriate Audit Month.



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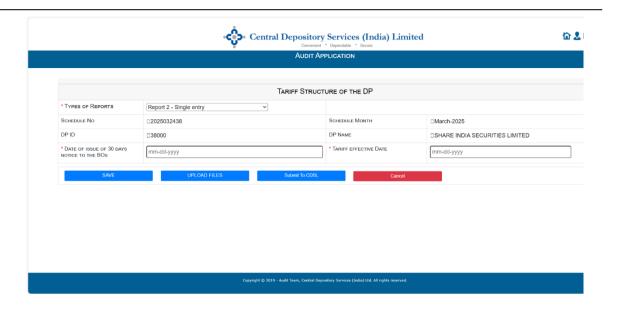
(ii) 'NIL' report can be submitted by selecting the option 'Report 1 – Nil Report' followed by 'Submit to CDSL' for completing the submission process.



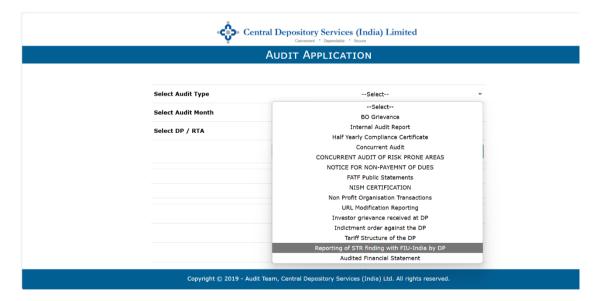
(iii) For submitting information should select as 'Single entry' and enter the 'Date of Issue of 30 days notice to the BO' and 'Tariff Effective Date'. DP is required to click on 'save' button and click on 'Submit to CDSL' to complete the submission process.



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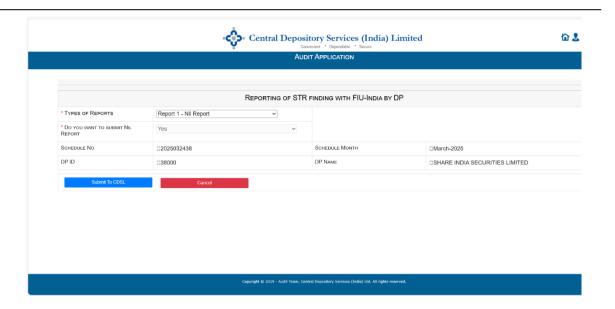
- 4. Procedure for submission of Reporting of STR finding with FIU-India by DP to CDSL
 - (i) DP needs to login to https://auditweb.cdslindia.com and select audit type: 'Reporting of STR finding with FIU-India by DP' and select appropriate Audit Month.



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



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(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.

