



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLCY/2025/345

May 22, 2025

SUBMISSION OF COMPLIANCE CERTIFICATE BY DEPOSITORY PARTICIPANTS IN ELECTRONIC FORM

Depository Participants (DPs) are advised to refer Communiqué CDSL/OPS/DP/POLCY/2020/530 dated December 09, 2020, regarding submission of Half Yearly Compliance Certificate by depository participants 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 (Changes are highlighted in blue).

DPs are advised to submit digitally signed Compliance Certificate online on half yearly basis on <https://auditweb.cdslindia.com>. Confirm compliance by ticking the checkbox. If non-compliant, select 'Applicable' option in point 8 and list corrective steps taken to ensure future compliance. If fully compliant, with all applicable acts, regulations etc., select the 'Not Applicable' option.

Participants 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, 6234-3076.

For and on behalf of

Central Depository Services (India) Limited

sd/-

Ajit Prabhu
Senior Manager - Audit, Inspection & Compliance



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Annexure A

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

Sub :- Compliance Certificate for the period From _____ To _____

1. I, _____ (Name of Compliance Officer), hereby certify that the depository operations of _____ (DP Name and DP IDs) are in compliance with all applicable laws and especially with respect to the following:

<input type="checkbox"/>	(a)	The Depositories Act, 1996;
<input type="checkbox"/>	(b)	The SEBI (Depositories and Participants) Regulations, 2018
<input type="checkbox"/>	(c)	The Bye Laws and Operating Instructions of CDSL
<input type="checkbox"/>	(d)	Directives / Circulars / Communiques / Clarifications / Guidelines issued by SEBI, the Government of India, Regulatory Bodies and CDSL from time to time.
<input type="checkbox"/>	(e)	Prevention of Money Laundering Act, 2002 and the Rules and Guidelines notified thereunder by SEBI or Statutory /Regulatory Authorities.

2. Fit and Proper Status:

☐ I _____ (Name of the Compliance Officer) hereby certify that the <DP Name>, its directors and the key management persons are fit and proper as per regulation 23(2) of the SEBI (Depositories and Participants) Regulations, 2018 read with the criteria specified under regulation 20 of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2018.

3. ☐ I _____ (Name of the Compliance Officer) hereby undertake that compliance of the SEBI Circular for Advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions has been made by <DP Name and DP ID>.

4. ☐ I _____ (Name of the Compliance Officer) hereby confirm that neither (DP Name) nor any of the employees have rendered, directly or indirectly, any investment advice about any security in the publicly accessible media, whether real-time or non-real-time, unless a disclosure of his interest including long or short position in the said security has been made, while rendering such advice.

5. ☐ I _____ (Name of the Compliance Officer) hereby confirm that (DP 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



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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.

6. ☐ I _____ (Name of the Compliance Officer) hereby confirm that (DP Name) that has complied with the TRAI's Guidelines to curb spam SMSes and misuse of Headers and Content Templates to the extent applicable to (DP Name).

7. ☐ There has been no FIR filed against the company and /or its directors.

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

☐ Applicable ☐ Not Applicable

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

Name and Designation of Compliance Officer :

Signature of Compliance Officer :