



# Central Depository Services (India) Limited

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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/IS/DP/POLCY/2026/393

June 10, 2026

### SUBMISSION OF SYSTEM AUDIT REPORT

Depository Participants (DPs) are advised to refer Circular No. **CDSL/IS/DP/POLCY/2026/371 June 03, 2026**, for submitting the System Audit Report.

In view of the above, Depository Participants are hereby advised to submit the System Audit Report through the online audit web portal. The deadline for **System Audit** report submission is on or before **30<sup>th</sup> June 2026**.

DPs are advised to strictly follow the submission guidelines specified in **Annexure A** for submission of the System Audit Report to CDSL.

Further, DPs shall submit, along with the System Audit Report, a declaration from their IT Auditor certifying compliance with all circulars and advisories pertaining to System Audit issued from time to time.

If the submission is not completed within the prescribed timeline, it will be treated as noncompliance, and the applicable penalty will be imposed as per **CDSL communique no: CDSL/AUDIT/DP/POLCY/2025/105 February 12, 2025**.

Queries regarding this communiqué may be sent on [dpinfosec@cdslindia.com](mailto:dpinfosec@cdslindia.com).

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

sd/-

**Mrugen Munjpara  
Assistant Vice President – Information Security**



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

Annexure A

### Guidelines to submit System Audit Report

#### IT Auditor needs to be mapped before submissions

1. Select "DP" as Login Type. Enter your user id and password. Complete the Captcha and then Sign In.

AUDIT APPLICATION

**SIGN IN**

Login Type: DP

User ID: [input field]

Password: [input field]

Captcha: 88ed81

Sign In

[Forgot password](#) [Registration for DP / RTA](#)

2. Enter the OTP received on the registered mobile number and email id.

AUDIT APPLICATION

**LOGIN OTP**

Enter OTP: [input field]

OTP Time :- 00:09:45

Do not refresh the page

Verify OTP

3. Then click on "View DP / RTA Profile and Status of Reports."

AUDIT APPLICATION

Select Audit Type: --SELECT--

Select Audit Month: [dropdown]

Select DP / RTA: --Select--

Confirm

[View DP / RTA Profile and Status of Reports](#)

[View IT Auditor Profile](#)

[View Auditor Profile](#)



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

4. You can view the mapped logins for each login type on this page.

AUDIT APPLICATION

**IT Auditor Profile**

1 User ID:

2 Name of Audit Firm:

3 Address:

4 Name of the Auditor:

5 Mobile:

6 Email ID:

**MAPPED DP WITH AUDIT TYPES**

Delete	Edit	DP ID	DP Name	Audit Firm Name	User ID	Mobile No.	Audit Type
<a href="#">Delete</a>	<a href="#">Edit</a>						SYSTEM AUDIT REPORT
<a href="#">Delete</a>	<a href="#">Edit</a>						CYBER SECURITY AUDIT ATR

5. Go back. Click on “Registration for IT Auditor”

If the IT Auditor is already available in the dropdown, simply select the Auditor name, choose the DP name, and then click on “Register.

AUDIT APPLICATION

Select Audit Type --SELECT--

Select Audit Month --SELECT--

Select DP / RTA --Select--

[View DP / RTA Profile and Status of Reports](#)

[View IT Auditor Profile](#)

[View Auditor Profile](#)

[View Investor Complaints](#)

[View Pending Submission](#) | [View Pending Non-Compliance](#)

[Go to Login](#) | [Change Password](#)

[Registration for Auditor](#) | [Registration for IT Auditor](#) | [Registration for Designated Officer](#) | [User registration - Bidding DP](#)

[Register Your KYC User Click Here!!!](#)

[Sectoral Risk Assessment](#)



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

6. After Selecting “Registration for IT Auditor” below screen would be displayed.

**AUDIT APPLICATION**

**IT AUDITOR REGISTRATION**

<b>Select Audit Type</b>	--Select--	▼
<b>Auditor List</b>	--SELECT--	▼
<b>* Auditors Email ID</b>	<input type="text" value="Email ID"/>	
<b>* Name of Audit Firm</b>	<input type="text" value="Audit Firm Name"/>	
<b>Address of Audit Firm</b>	<input type="text" value="Address"/>	
<b>* Name of Contact Person</b>	<input type="text" value="Contact Person"/>	
<b>* Mobile No.</b>	<input type="text" value="Mobile no."/>	
<b>Select DP</b>		▼

Register

[Go to Login](#) | [Refresh](#)

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7. Select “System Audit Report” as the Audit Type.

Enter All details like Auditors Email ID, Name of Audit Firm, Name of the contact person, Mobile Number. Select DP. And then click on Register.

**IT AUDITOR REGISTRATION**

<b>Select Audit Type</b>	SYSTEM AUDIT REPORT	▼
<b>Auditor List</b>	--SELECT--	▼
<b>Auditors Email ID</b>	<input type="text" value="Email ID"/>	
<b>Name of Audit Firm</b>	<input type="text" value="Audit Firm Name"/>	
<b>Address of Audit Firm</b>	<input type="text" value="Address"/>	
<b>Name of Contact Person</b>	<input type="text" value="Contact Person"/>	
<b>Mobile No.</b>	<input type="text" value="Mobile no."/>	
<b>Select DP</b>	--Select--	▼

Register

[Go to Login](#) | [Refresh](#)

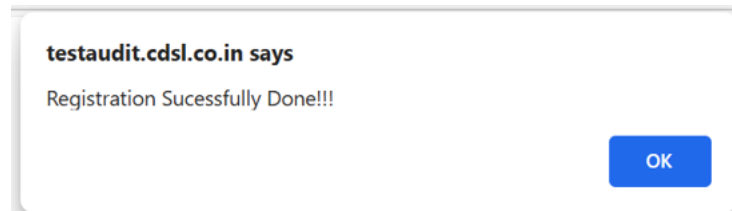


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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

8. Once Registration is done, a pop-up box will appear intimating the same.



9. Then click on Forgot Password.

**AUDIT APPLICATION**

**SIGN IN**

Login Type: IT\_Auditor

User ID: [input field]

Password: [input field]

085a24 [refresh icon]

[input field]

**Sign In**

[Forgot password](#) [Registration for DP / RTA](#)

10. After Clicking on Forgot Password it will redirect to below screen shot.

**AUDIT APPLICATION**

**FORGOT PASSWORD**

Login Type: --Select--

User ID: [input field]

Email ID: [input field]

I'm not a robot [reCAPTCHA icon]

**Submit** **Cancel**



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## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

11. Select IT Auditor as the Login Type.

Enter User ID and Email ID. Please note that the User ID must be email ID.

Complete captcha verifications and then Submit.

**AUDIT APPLICATION**

---

**FORGOT PASSWORD**

Login Type

User ID

Email ID

I'm not a robot

12. Enter the OTP received on the registered number or email id

**AUDIT APPLICATION**

---

**FORGOT PASSWORD**

Enter OTP

OTP Time :- 00:09:12 Do not refresh the page

13. Enter New password and confirm the new password. Click on Save Changes.

**AUDIT APPLICATION**

---

**FORGOT PASSWORD**

You can reset your password here

New Password

Confirm Password

\* Password Instructions : At least one digit [0-9], one lowercase character [a-z], one uppercase character [A-Z], one special character [\*.!@#\$\$%^&(){}[]];;<>,] and at least 8 characters in length



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

14. After resetting password, Login as an IT Auditor.

**AUDIT APPLICATION**

**SIGN IN**

 <b>Login Type</b>	<input type="text" value="IT_Auditor"/>
 <b>User ID</b>	<input type="text"/>
 <b>Password</b>	<input type="password"/>
	<span style="background-color: #f0f0f0; padding: 2px;">a55ad5</span> 
	<input type="text"/>
<div style="background-color: #0056b3; color: white; padding: 5px; display: inline-block; border-radius: 3px;">Sign In</div>	
<a href="#">Forgot password</a> <a href="#">Registration for DP / RTA</a>	

15. You will receive the OTP on the registered mobile number and email id.

**testaudit.cdsl.co.in says**


OTP sent successfully on your registered email id / Mobile..!!!

OK

16. Enter the OTP to Login

**AUDIT APPLICATION**

**LOGIN OTP**

 <b>Enter OTP</b>	<input type="text" value="Enter OTP"/>
OTP Time :- 00:09:42	Do not refresh the page
<div style="background-color: #0056b3; color: white; padding: 5px 15px; border-radius: 3px; cursor: pointer;">Verify OTP</div>	



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

### IT AUDITOR SCREEN

1. Log in Into Audit application by using the below link:

<https://auditweb.cdslindia.com/Login.aspx>

Now Sign in using 'Login Type-IT Auditor'.

Now enter User ID & Password and click on "Sign In" button.

AUDIT APPLICATION

**SIGN IN**

Login Type: IT\_Auditor

User ID: [input field]

Password: [input field]

e95853 [refresh]

e95853

Sign In

[Forgot password](#) [Registration for DP / RTA](#)

2. **Enter the OTP:** You will receive the OTP on both your DP's registered mobile number and email Id.

AUDIT APPLICATION

**LOGIN OTP**

Enter OTP: [input field]

OTP Time :- 00:09:56

Do not refresh the page

Verify OTP



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

- Then select audit type “System Audit Report” from the Drop down.  
Select the DP ID and DP Name in the ‘**Select DP / RTA**’ tab and click on ‘**Confirm**’.

AUDIT APPLICATION	
Select Audit Type	SYSTEM AUDIT REPORT
Select Audit Month	Mar
Select DP / RTA	12*
<b>Confirm</b>	

- The below screen will be presented once the user is logged in. Enter all the details mentioned below.

**Fields marked with an asterisk (\*) are mandatory.**

AUDIT APPLICATION	
Pending with IT Auditor for Initial Review.	
SYSTEM AUDIT REPORT	
* Date	5/29/2026 12:57:49 PM
* DP ID	
* DP Name	1
* Period	2025-26
System Audit Report covers the following Branch DPIDs :-	
* Auditor Certification	CISA
* Auditor Firm:	
* Auditor Name:	
* No of consecutive audits performed by the auditor:	2
* Date of Audit Report:	15-05-2026
Last date of Submission 30-Jun-2026. If the report is submitted after this date, then it will be treated as non compliance.	

- Please ensure that all necessary details specified in the Terms of Reference (TOR) for the System Audit Report, as outlined in Circular No: **CDSL/IS/DP/POLCY/2026/371 June 03, 2026**, are duly entered.

### Checkpoints Description:

- Software Change Management – The system auditor should check whether proper procedures have been followed, and proper documentation has been maintained for the following:
- Password Security
- Session Management (Mobile Application / Client Server Application / Web Application)
- Database Security



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## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

5. Network Integrity
6. Access Controls
7. Backup and Recovery
8. BCP/DR (Only applicable for Depository Participants having BCP / DR site)
9. Segregation of Data and Processing facilities
10. Back-office data
11. User Management
12. IT Infrastructure Management (including use of various Cloud computing models such as Infrastructure as a service (IaaS), Platform as a service (PaaS), Software as a service (SaaS), Network as a service (NaaS))
13. Software Testing Procedures - The system auditor should check whether the depository participants has complied with the guidelines and instructions of SEBI / Depository with regard to testing of software and new patches, including the following:
14. Additional Points
15. AI-ML
16. Asset Management
17. Phishing & Malware Protection
18. Remote Access Controls
19. SEBI and Depository Compliances
20. Technical Glitch

### 6. The 'IT Auditor' is given access to fill only the below mentioned fields:

- Compliance Status.
- Description of Findings/Reason why the TOR clause is not applicable to DP.
- Severity Level.

[1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:](#)

Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Clause is not applicable to the DP	Target Closure Date (dd/mm/yyyy)	Severity Finding
1 (a)	Processing / approval methodology of new feature request, change or patches	NOT COMPLIED			dd-mm-yyyy	MEDIUM
1(b)	"Change Management process, related approvals, version control history, etc. Change requests: Whether the changes are tested in UAT environment before being approved for deployment into production. Whether the categorization of the change is done properly."	COMPLIED			dd-mm-yyyy	-SELECT-
1 (c)	Fault reporting / tracking mechanism and process for resolution	COMPLIED			dd-mm-yyyy	-SELECT-



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

7. Fill in all the details in the checkpoint's description.

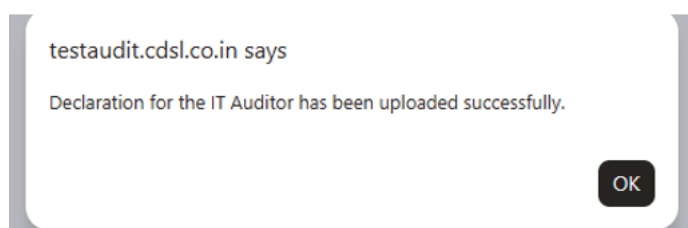
Last date of Submission 30-Jun-2026. If the report is submitted after this date, then it will be treated as non compliance.

<a href="#">1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:</a>
<a href="#">2. PASSWORD SECURITY</a>
<a href="#">3. SESSION MANAGEMENT (MOBILE APPLICATION / CLIENT SERVER APPLICATION / WEB APPLICATION)</a>
<a href="#">4. DATABASE SECURITY</a>
<a href="#">5. NETWORK INTEGRITY</a>
<a href="#">6. ACCESS CONTROLS</a>
<a href="#">7. BACKUP AND RECOVERY</a>
<a href="#">8. BCP/DR (ONLY APPLICABLE FOR DEPOSITORY PARTICIPANTS HAVING BCP / DR SITE)</a>
<a href="#">9. SEGREGATION OF DATA AND PROCESSING FACILITIES</a>
<a href="#">10. BACK-OFFICE DATA</a>
<a href="#">11. USER MANAGEMENT</a>
<a href="#">12. IT INFRASTRUCTURE MANAGEMENT (INCLUDING USE OF VARIOUS CLOUD COMPUTING MODELS SUCH AS INFRASTRUCTURE AS A SERVICE (IaaS), PLATFORM AS A SERVICE (PaaS), SOFTWARE AS A SERVICE (SaaS), NETWORK AS A SERVICE (NaaS))</a>
<a href="#">13. SOFTWARE TESTING PROCEDURES – THE SYSTEM AUDITOR SHOULD CHECK WHETHER THE DEPOSITORY PARTICIPANTS HAS COMPLIED WITH THE GUIDELINES AND INSTRUCTIONS OF SEBI / DEPOSITORY WITH REGARD TO TESTING OF SOFTWARE AND NEW PATCHES, INCLUDING THE FOLLOWING:</a>
<a href="#">14. ADDITIONAL POINTS</a>

8. Now click on “Choose file”. Upload the Declaration from the IT Auditor, click on ‘Save’ & ‘Submit to DP’ button. **Declaration from the IT Auditor is mandatory.**

<a href="#">18. SEBI AND DEPOSITORY COMPLIANCES</a>
<a href="#">19. ISO CERTIFICATIONS</a>
<a href="#">20. CONCENTRATION RISK ON OUTSOURCED AGENCIES:</a>
<a href="#">21. PHISHING &amp; MALWARE PROTECTION FOR DEPOSITORY APPLICATIONS/ DP SYSTEMS</a>
<a href="#">22. INFORMATION RISK MANAGEMENT</a>
<a href="#">COMPLIANCE DECLARATION</a>
Attach File: Declaration from the IT Auditor certifying compliance.
<input type="button" value="Choose File"/> No file chosen <input type="button" value="Upload"/>
<input type="button" value="Save"/> <input type="button" value="Submit to DP"/> <input type="button" value="Cancel"/>

9. After Declaration for IT auditor is uploaded





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## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

testaudit.cdsl.co.in says

Details have been successfully submitted to DP for review

OK

### DESIGNATED OFFICER LOGIN

1. Log in Into Audit application by using the below link:-

<https://auditweb.cdslindia.com/Login.aspx>

Now Sign in using 'Login Type-Designated officer'.

Now enter User ID & Password and click on "Sign In" button.

#### AUDIT APPLICATION

**SIGN IN**

Login Type	Designated Officer
User ID	21500_apurva
Password	*****
	76d604
	76d604
<input type="button" value="Sign In"/>	
<a href="#">Forgot password</a>	<a href="#">Registration for DP / RTA</a>

2. **Enter the OTP:** You will receive the OTP on both your DP's registered mobile number and email Id.

#### AUDIT APPLICATION

**LOGIN OTP**

Enter OTP	<input type="text" value="Enter OTP"/>
OTP Time :- 00:09:56	Do not refresh the page
<input type="button" value="Verify OTP"/>	



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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

- Then select audit type “System Audit Report” from the Drop down.  
Select the DP ID and DP Name in the ‘**Select DP / RTA**’ tab and click on ‘**Confirm**’.

AUDIT APPLICATION

Select Audit Type	SYSTEM AUDIT REPORT	▼
Select Audit Month	Nov	▼
Select DP / RTA	2151	
<input type="button" value="Confirm"/>		

- The below screen will be displayed once the user is logged in.

AUDIT APPLICATION

Pending with Designated Officer for Initial Review.

**SYSTEM AUDIT REPORT**

* Date	6/4/2026 2:27:43 PM	* DP Name	
* DP ID	12400	* Period	2025-26

System Audit Report covers the following Branch DPIDs :-

* Auditor Certification	CISA
* Auditor Firm:	Aarti Firm
* Auditor Name:	Aarti Chitnis
* No of consecutive audits performed by the auditor:	2
* Date of Audit Report:	30-06-2026

Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.

1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:

- The ‘**Designated Officer**’ is given access to fill only the below mentioned fields:

- Management Comments
- Target Closure Date (dd/mm/yyyy)

* Auditor Firm:	Aarti Firm
* Auditor Name:	Aarti Chitnis
* No of consecutive audits performed by the auditor:	2
* Date of Audit Report:	30-06-2026

Last date of Submission 30-Jun-2026 . If the report is submitted after this date, then it will be treated as non compliance.

1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:

Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Clause is not applicable to the DP	Target Closure Date (dd/mm/yyyy)	Severity Finding
1 (a)	Processing / approval methodology of new feature request, change or patches	NOT COMPLIED	N/A	no evidence	22-07-2026	MEDIUM
1(b)	"Change Management process, related approvals, version control history, etc. Change requests: Whether the changes are tested in UAT environment before being approved for deployment into production. Whether the categorization of the change is done properly."	COMPLIED			dd-mm-yyyy	-SELECT-
1 (c)	Fault reporting / tracking mechanism and process for resolution	COMPLIED			dd-mm-yyyy	-SELECT-
1 (d)	Testing of new releases / patches / modified software / bug fixes	COMPLIED			dd-mm-yyyy	-SELECT-



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## COMMUNIQUE TO DEPOSITORY PARTICIPANTS

6. Fill in all the details in the checkpoint's description.

<a href="#">1. SOFTWARE CHANGE MANAGEMENT – THE SYSTEM AUDITOR SHOULD CHECK WHETHER PROPER PROCEDURES HAVE BEEN FOLLOWED AND PROPER DOCUMENTATION HAS BEEN MAINTAINED FOR THE FOLLOWING:</a>
<a href="#">2. PASSWORD SECURITY</a>
<a href="#">3. SESSION MANAGEMENT (MOBILE APPLICATION / CLIENT SERVER APPLICATION / WEB APPLICATION)</a>
<a href="#">4. DATABASE SECURITY</a>
<a href="#">5. NETWORK INTEGRITY</a>
<a href="#">6. ACCESS CONTROLS</a>
<a href="#">7. BACKUP AND RECOVERY</a>
<a href="#">8. BCP/DR (ONLY APPLICABLE FOR DEPOSITORY PARTICIPANTS HAVING BCP / DR SITE)</a>
<a href="#">9. SEGREGATION OF DATA AND PROCESSING FACILITIES</a>
<a href="#">10. BACK-OFFICE DATA</a>
<a href="#">11. USER MANAGEMENT</a>
<a href="#">12. IT INFRASTRUCTURE MANAGEMENT (INCLUDING USE OF VARIOUS CLOUD COMPUTING MODELS SUCH AS INFRASTRUCTURE AS A SERVICE (IaaS), PLATFORM AS A SERVICE (PaaS), SOFTWARE AS A SERVICE (SaaS), NETWORK AS A SERVICE (NAAS))</a>
<a href="#">13. SOFTWARE TESTING PROCEDURES – THE SYSTEM AUDITOR SHOULD CHECK WHETHER THE DEPOSITORY PARTICIPANTS HAS COMPLIED WITH THE GUIDELINES AND INSTRUCTIONS OF SEBI / DEPOSITORY WITH REGARD TO TESTING OF SOFTWARE AND NEW PATCHES, INCLUDING THE FOLLOWING:</a>
<a href="#">14. ADDITIONAL POINTS</a>
<a href="#">15. AI-ML</a>

7. Verify the filled information. Click on SAVE Button & **Submit to Auditor.**

<a href="#">15. AI-ML</a>
<a href="#">16. ASSET MANAGEMENT</a>
<a href="#">17. REMOTE ACCESS CONTROLS</a>
<a href="#">18. SEBI AND DEPOSITORY COMPLIANCES</a>
<a href="#">19. ISO CERTIFICATIONS</a>
<a href="#">20. CONCENTRATION RISK ON OUTSOURCED AGENCIES:</a>
<a href="#">21. PHISHING &amp; MALWARE PROTECTION FOR DEPOSITORY APPLICATIONS/ DP SYSTEMS</a>
<a href="#">22. INFORMATION RISK MANAGEMENT</a>
<a href="#">COMPLIANCE DECLARATION</a>

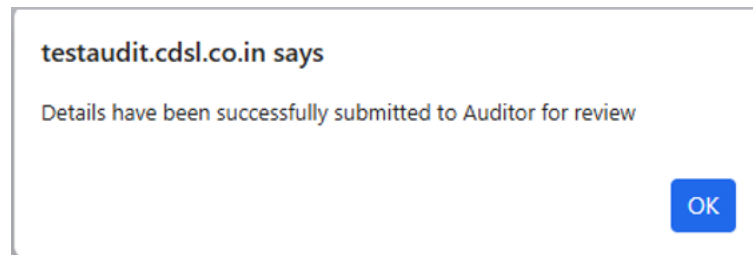
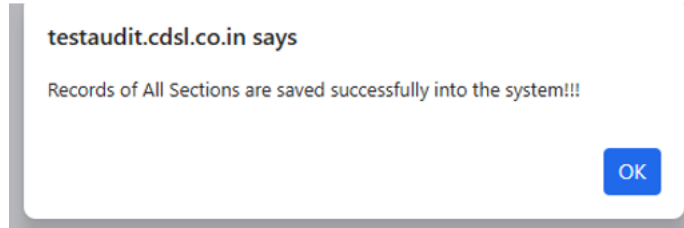


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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

8. All the section are saved into the system



### IT AUDITOR LOGIN

1. Once the IT Auditor logs in, they can review and verify the details submitted by the Designated Officer and generate the PDF.

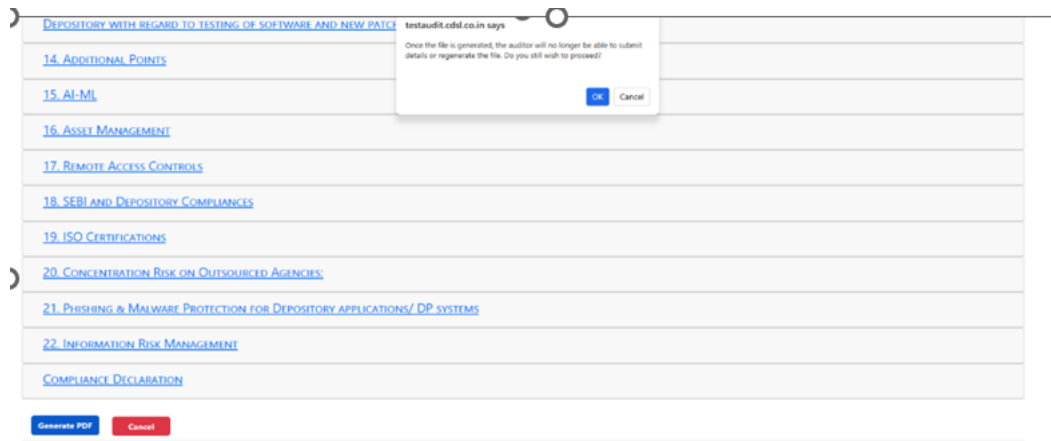




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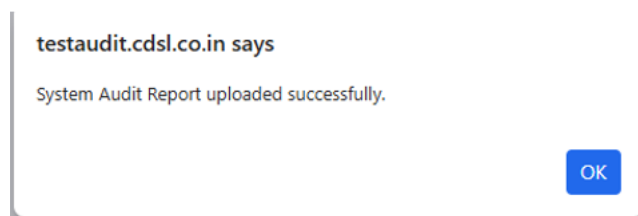
## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS



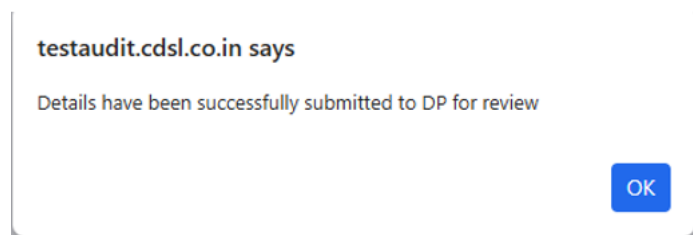
2. The PDF for the System Audit Report has been generated. Click on "**View Report**" to download the generated PDF file.



3. Digitally sign the generated PDF, upload the signed report by clicking the "**UPLOAD REPORT**" button, and then click "**Submit to DP**". To view the uploaded file, click the "**View**" button.



4. Details are submitted to DP for Review





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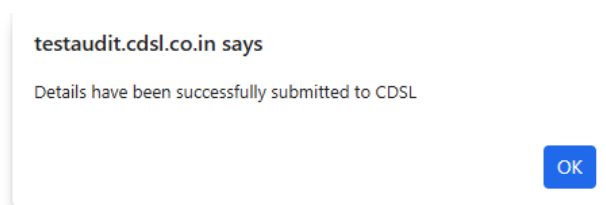
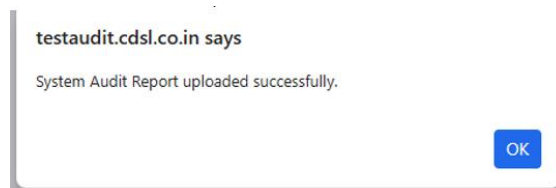
## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

### DESIGNATED OFFICER LOGIN

1. Upon logging in, the Designated Officer can view and download the auditor-signed report by selecting the "**View Report**" option.

The screenshot shows a web interface with a list of menu items on the left side, including "16. ASSET MANAGEMENT", "17. REMOTE ACCESS CONTROLS", "18. SEBI AND DEPOSITORY COMPLIANCES", "19. ISO CERTIFICATIONS", "20. CONCENTRATION RISK ON OUTSOURCED AGENCIES", "21. PHISHING & MALWARE PROTECTION FOR DEPOSITORY APPLICATIONS/ DP SYSTEMS", "22. INFORMATION RISK MANAGEMENT", and "COMPLIANCE DECLARATION". Below the menu is a section titled "Attach - System Audit Report" with a file upload area showing "Choose File IAR\_Septembe...33200\_DP.pdf" and buttons for "Upload Report" and "View Report". At the bottom, there is a declaration checkbox and buttons for "Submit to CDSL" and "Cancel".

2. Attach the DP's digital signature to the System Audit Report, upload the signed report by selecting "**UPLOAD REPORT**", and then click "**Submit to DP**".





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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

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### DPs are advised to take note of the following:

- Declaration from the IT Auditor certifying that the audit has been conducted in accordance with applicable regulatory requirements and audit guidelines, and that the reported compliance status is true and correct.
- If the compliance status for any clause in the checkpoint description is marked as "**Complied**" the fields for Description of Findings, Target Date, and Severity will be disabled.
- If the compliance status for any clause in the checkpoint description is marked as "**Not Complied**" then Management Comments, Description of Findings, Target Date, and Severity fields are mandatory.
- If the compliance status for any clause is marked as "**Not Applicable**" the Management Comments and Description of Findings fields are mandatory.
- The audit report must be on the letterhead containing the name of the auditor, audit firm, valid Digital signature. **Please ensure that only the digitally signed version of the file is uploaded.**
- The audit report must include the DP Name and DP ID.
- Audit period must be clearly mentioned.
- Compliance status must be clearly stated as Complied / Not Complied / Not Applicable.
- Severity level is mandatory and must be categorized as Critical, High, Medium, or Low.
- The report must be as per the Communique No. **CDSL/IS/DP/POLCY/2026/371 June 03, 2026**, in the PDF format only.
- Kindly ensure each subpoints of the Checkpoint Description are duly filled in and **SAVED** before submitting it to CDSL. If the details are not saved prior to submission, the data may not be recorded in the system which may result in incomplete or missing information at the time of submission.

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