

Circular No.: NSDL/POLICY/2020/0071

May 19, 2020

Subject: Annual System Audit Report.

Attention of Participants is invited to Circular No. NSDL/POLICY/2018/0069 dated December 05, 2018 regarding Cyber Security & Cyber Resilience framework for Depository Participants. With regards to Paragraph 58 of Annexure 1 of the SEBI circular dated December 03, 2018, participants are directed to arrange to have their systems audited on an annual basis by a CERT-IN empanelled auditor or an independent CISA/CISM qualified auditor to check compliance with the above areas and shall submit the report to Depositories along with the comments of the Board / Partners / Proprietor of Participant within three months of the end of the financial year.

Further, as Participants are aware that SEBI vide its circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/62 dated April 24, 2020, has extended the deadline for submission of the annual system audit report to July 31, 2020 for the financial year ended March 31, 2020 (communicated to all the Participants vide Circular no. NSDL/POLICY/2020/0052 dated April 24, 2020).

In this context, Participants are requested to take note of the annual system audit checklist attached at **Annexure A**. Procedure for submission of the audit report will be notified separately.

Participants are requested to take note of the above and guide their system auditors accordingly.

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

Enclosed: One

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	May 18 th , 2020 for the months of March 2020 and April 2020.	Through e-PASS	1. Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	May 31 st , 2020 for quarter ended March 2020.	By email at Participant-Interface@nsdl.co.in	1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020
Tariff Sheet (Yearly)	May 31 st , 2020	By email at dpfees@nsdl.co.in	1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007. 3. Circular No. NSDL/ POLICY/2020/0058 dated May 4, 2020
Risk based supervision of Participants (October 2019- March 2020)	May 31 st , 2020	Through e-PASS	1. Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018 2. Circular No.: NSDL/ POLICY/2020/0060 dated May 4, 2020
Internal/ Concurrent Audit Report (October 2019 – March 2020)	June 30 th 2020	Through e-PASS	1. Circular No. NSDL/POLICY/2020/0045 dated April 7, 2020 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No.: NSDL/ POLICY/2020/0062 dated May 7, 2020.