

Circular No.: NSDL/POLICY/2020/0090

July 03, 2020

**Subject: Facility for submission of Annual System Audit Report in electronic form through e-PASS.**

Attention of Participants is invited to Circular No. NSDL/POLICY/2020/0071 dated May 19, 2020 wherein Participants were requested to take note of the annual system audit checklist to be submitted by July 31, 2020 for the financial year ended March 31, 2020.

In this context, Participants are hereby informed that NSDL has developed a facility for online submission of Annual System Audit Report in electronic form through e-PASS platform. Accordingly, Participants shall be required to submit Annual System Audit Report for financial year ended March 31, 2020 online through e-PASS platform.

The System Auditor can fill and submit the Annual System Audit Report online through e-PASS platform using their login credentials. The procedure for submission of Annual System Audit Report through e-PASS platform is enclosed at Annexure A. This facility will be made available to Participants with effect from **July 04, 2020**.

Further, with regard to periodic audit as specified in paragraph 58 of Annexure 1 of the SEBI circular dated December 03, 2018, auditors qualified in following certifications can audit the systems of Participants to check the compliance of Cyber Security and Cyber Resilience provisions:

*CERT-IN empanelled auditor, an independent DISA (ICAI) Qualification, CISA (Certified Information System Auditor) from ISACA, CISM (Certified Information Securities Manager) from ISACA, CISSP (Certified Information Systems Security Professional) from International Information Systems Security Certification Consortium (commonly known as (ISC)<sup>2</sup>).*

For further information / assistance, Participants are requested to contact Ms. Sneha Madhani at Tel: (022) 2499 4672/ sneham@nsdl.co.in., or send an email on NSDL-BP-INSPECTION@nsdl.co.in and for technical queries, Participants are requested to contact Mr. Shiv Kumar, Tel: (022) 2499 4785 / shivkumarj@nsdl.co.in.

Participants are advised to take note of the above and ensure compliance.

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)	By 10 <sup>th</sup> of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Internal/ Concurrent Audit Report (October 2019 – March 2020)	July 31 <sup>st</sup> 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. 4. Circular No. NSDL/POLICY/2020/0083 dated June 16, 2020 5. Circular No. NSDL/POLICY/2020/0086 dated June 30, 2020
Compliance Certificate (January - June)	July 31st every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019.
Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15th of the following month	By email at <a href="mailto:Participant-Interface@nsdl.co.in">Participant-Interface@nsdl.co.in</a>	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15th of the following month	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0039 dated July 9, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.