

Circular No.: NSDL/POLICY/2023/0049 April 05, 2023

Subject: Facility for submission of Charge Structure in electronic form through e-PASS.

Attention of Participants is invited to circular no. NSDL/PI/2006/0064 dated December 26, 2006 and circular no. NSDL/POLICY/2007/0003 dated January 08, 2007 regarding filing the charge structure every year, latest by 30th April in a specified format and also inform about the changes in their charge structure as and when they are affected. In accordance to the aforementioned circulars, currently the charge structure is being submitted by Participants to NSDL through email.

In this context, Participants are hereby informed that NSDL has developed a facility for submission of charge structure on yearly basis through online portal i.e., e-PASS (<a href="https://www.epass.nsdl.com/epass/">https://www.epass.nsdl.com/epass/</a>). Accordingly, Participants are requested to take note to submit charge structure on yearly basis through e-PASS platform with effect from April 05, 2023. The current practice of submission of yearly charge structure by Participants through email (on email id: <a href="majetes@nsdl.co.in">dpfees@nsdl.co.in</a>) will be discontinued. The procedure for submitting the charge structure on yearly basis through e-PASS and its salient features are enclosed as Annexure A. For submitting the charge structure, the maker / checker user of Participants will be able to access e-PASS through their existing log-in IDs created for submission of other periodic compliances.

Further, for updation of subsequent changes (addition/deletion/modification) in aforesaid charge structure by Participants during the year, participants will continue to use the existing process of updation through email (<a href="mailto:dpfees@nsdl.co.in">dpfees@nsdl.co.in</a>).

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

For further information / clarifications, Participants are requested to contact following NSDL officials:

Name of the official	Telephone Number	Email address
Mr. Shivkumar Jane (for technical queries)	(022) 2499 4200 – (5572)	shivkumarj@nsdl.co.in
Ms. Snehal Chaudhary (for other queries)	(022) 4216 5730	Snehalc@nsdl.co.in

For and on behalf of National Securities Depository Limited

Arockiaraj Manager

Enclosed: One





FORTHCOMING COMPLIANCE					
Particulars	Deadline	Manner of sending	Reference		
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e- PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015		
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15th of the following month	Through e- PASS	Circular No. NSDL/POLICY/2021/0102 dated October 04, 2021		
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15th of the following month.	Through e- PASS	1. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020. 2. Circular No. NSDL/POLICY/2021/0047 dated May 10, 2021		
Reporting of status of the alerts generated by Participants- (Quarterly)	Within 15 days from end of the quarter	Through e- PASS	1. Circular No. NSDL/POLICY/2021/0072 dated July 15, 2021 2. Circular No.: NSDL/POLICY/2022/001 dated January 03, 2022		
Risk based Supervision of Participants (Half yearly)	April 30	Through e- PASS	<ol> <li>Circular No. NSDL/POLICY/2015/0046 dated April 30, 2015</li> <li>Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018</li> </ol>		
Internal/Concurrent Audit Report (Half yearly)	May 15	Through e- PASS	Circular No.: NSDL/POLICY/2023/0048 dated April 01, 2023		
Tariff Sheet (Yearly)	April 30	Through e- PASS	Circular No.: NSDL/POLICY/2023/0049 dated April 05, 2023		





#### **Annexure A**

#### Procedure for submission of Charge Structure through e-PASS Portal

#### 1. Submission of Charge Structure through Maker login:

After login to e-PASS, click on 'Tariff sheet' → 'Submit Tariff Sheet' as exhibited below:



Upon clicking 'Submit Tariff Sheet', all DP IDs of Participant (in case of multiple DPM set-ups) will be auto displayed on screen and will get selected by default. In case, Participant have DP ID wise different charge structure, then user will be able to select/deselect the specific DP ID(s) and submit the charge structure. Participant are requested to ensure that charge structure shall be submitted for their all DP IDs.

On 'Submit Tariff Sheet' screen, user will have to first select the period for submission and then specify the scheme name (which is an optional field) and thereafter click on 'Proceed' button as exhibited below:



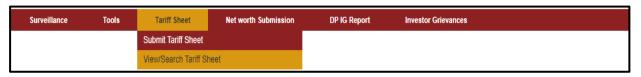
After clicking on 'Proceed' button, option to fill the transaction wise charge structure will appear on screen wherein user will have to either fill the charge detail (alfa numeric value) for specific transaction or enable 'Nil' option provided against each field. Thereafter, user will have click on 'Submit to Checker' tab as exhibited below:

Submit Tariff Sheet				
	Statutory charges at the time of account opening	□NIL		
	Advance/Deposit *	□NIL		
		Reset	Save Draft	Submit To Checker





Upon clicking the 'Submit to Checker' tab, the report will go to captured status and a unique 'File Reference No.' will get generated for captured report. Once the file has been captured by Maker user, same will be required to verify released by user having Checker rights (i.e. Compliance Officer/ Alternative Compliance Officer) for onwards submission to NSDL. Submitted report can be viewed by Maker user from 'View / Search Tariff Sheet' link as exhibited below:



Total Re	Total Record(s): 13						
File Ref. No.	Period	DP ID	DP Name	Scheme Name	Status	Submission Date	
<u>57</u>	01/04/2022- 01/03/2023	IN		MF 2	Submitted to checker	25/03/2023 22:11	

#### 2. <u>Verify release captured reports through Checker login:</u>

To verify and release the report captured by Maker user, Checker user will have to click on 'Tariff Sheet' → 'View/Search Tariff Sheet' link as exhibited below:



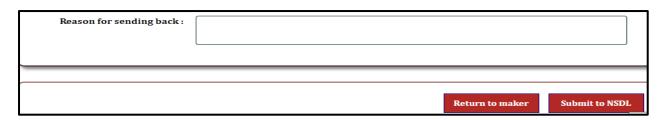
On clicking 'View/ Search Tariff Sheet', by default the report which is under captured status will get displayed on screen. To verify release the captured report, Checker user will have to click on link provided on 'File Reference No' of report to be verify released. Upon clicking the respective 'File Reference No.', transaction wise charge structure/ Nil flag enabled by Maker user will appear on screen as exhibited below:

Statutory charges at the time of account opening	□NIL	XXX
Advance/Deposit*	✓ NIL	
Account maintenance*	□NIL	YYY
Demat*	$\square$ NIL	ZZZ

After reviewing the report captured by Maker user, Checker user will have an option to either submit the report to NSDL by clicking on 'Submit to NSDL' tab or return the report to Maker user (in case any changes required in captured report) by clicking on 'Return to Maker' tab as exhibited below:



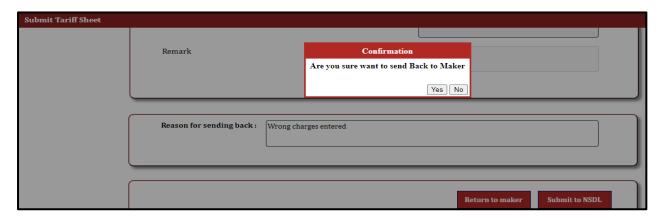




Once the report is submitted to NSDL, all records of charge structure submitted by Participant will get uploaded on NSDL e-PASS and the status of report will get changed from captured to 'Submitted to NSDL' as exhibited below:



It may be noted that report captured by Maker user cannot be edited by Checker user. In case any changes are required to be done in report captured by Maker user, then same will need to be returned by Checker user to Maker user. For sending back the report to Maker user, reason for sending back the report is required to be provided mandatorily in the text box 'Reason for sending back' as exhibited below:



In respect of report(s) returned by Checker, a fresh report (after making necessary changes) will be captured by Maker user by following the steps/ process as mentioned in point number 1 above by searching the requisite report from 'View / Search Tariff Sheet' link.





#### 3. Creation/ Deletion of User ID's:

For creation/ deletion of Maker User IDs on e-PASS for submission of charge structure, Participants have to send an email on <a href="mailto:nsdl-bp-inspection@nsdl.co.in">nsdl-bp-inspection@nsdl.co.in</a> in following format:

SEBI Reg. No.	DP Name	First Name of User	Last Name of User	Mobile no.	Email ID

In case there is any change in details of Checker User i.e. Compliance Officer's/ Alternative Compliance Officer's name, email ID and mobile number, Participants are requested to inform the same as per procedure communicated vide circular number NSDL/PI/2005/2550 dated December 29, 2005.