

Circular No.: NSDL/POLICY/2024/0126

September 13, 2024

**Subject: Submission of Action Taken Report (ATR).**

Attention of Participants is invited to Circular No. NSDL/POLICY/2024/0050 dated April 18, 2024, wherein the due date for the submission of Action Taken report (ATR) has been mentioned as August 31<sup>st</sup>, 2024. Subsequently, the timelines have been revised and the deadline for the same has been extended till September 30<sup>th</sup>, 2024.

In view of the aforesaid, please find below revised timelines and ensure adherence.

<b>Audit Period</b>	<b>Due date for submission of audit report (preliminary) to NSDL</b>	<b>Action Taken Report (ATR) Submission (if applicable)</b>
April 01, 2023 to March 31, 2024	June 30, 2024	September 30, 2024

The action taken report (ATR) for 'non-compliant' points should be submitted in the format enclosed as **Annexure A** and should be sent to [dpaudit@nsdl.com](mailto:dpaudit@nsdl.com).

For any queries, Participants are requested to contact at Tel: (022) 69448668 or send an email on [dpaudit@nsdl.com](mailto:dpaudit@nsdl.com).

**For and on behalf of  
National Securities Depository Limited**

**Rakesh Mehta  
Vice President**

Enclosure: One

<b>FORTHCOMING COMPLIANCE</b>			
<b>Particulars</b>	<b>Deadline</b>	<b>Manner of sending</b>	<b>Reference</b>
Investor Grievance Report (Monthly)	By 10 <sup>th</sup> of the following month	Through e-PASS	Para 22 of 'Grievance Redressal' chapter and Para 28 of 'Internal Controls/Reporting to NSDL/SEBI' chapter of NSDL Master Circular for Participants
Networth Certificate and Audited Financial Statements (yearly)	October 31 <sup>st</sup>	Through e-PASS	Para 20.7 of NSDL Master Circular for Participants on Internal Controls/Reporting to NSDL / SEBI chapter.

**National Securities Depository Limited**

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Corporate Identity Number: U74120MH2012PLC230380

**Annexure A**
**SYSTEM AUDIT REPORT - Action Taken Report (ATR)**

<b>DP ID</b>						
<b>DP Name</b>						
<b>Contact Details</b>						
<b>Audit Period</b>						
<b>Audit TOR Clause</b>	<b>Checkpoints Description</b>	<b>Description of Finding/ Observation</b>	<b>Root Cause</b>	<b>Details of corrective actions</b>	<b>Date of closure</b>	<b>Auditor Comments for closure confirmation</b>

