

Circular No.: NSDL/POLICY/2023/0161

November 13, 2023

Subject: Submission of details of Investor Grievances resolved during the month through NSDL ePASS portal

Attention of Participant is invited to the NSDL Circular No. NSDL/POLICY/2023/0112 dated August 25, 2023 whereby Participants were informed about the amended SEBI (D&P Regulations) advising them to follow the revised timeline of 21 calendar days for redressing the grievances of beneficial owners from the date of receipt of the complaint and keep depository informed about the number and nature of the redressal.

In this context, Participants submits an Investor Grievance Report (IG Report) on the e-PASS for a particular month by 10th of the following month, in a specified format.

Participants are hereby informed that, in addition to above, the module of 'DP IG Report on NSDL e-PASS (<https://www.epass.nsd.com/epass/>) has been enhanced for 'Reporting of Grievances' that are **directly received from clients** and redressed during the particular month in a new tab through a file upload facility to be submitted on the ePASS by 10th of the following month.

Participants may note that aforesaid module in the NSDL e-PASS portal has been released on **November 10, 2023**. Further, for the month of October 2023, the reporting of grievances received directly by client are required to be uploaded by November 24, 2023. Participants may note that they need not submit a 'NIL' report to NSDL.

The procedure for submitting the information of reporting of grievances received directly by client on the e-PASS portal and salient features are enclosed as **Annexure A**. The existing maker / checker user of Participants will be able to access aforesaid feature on e-PASS through their existing log-in IDs.

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

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

AROCKIARAJ Date: 2023.11.13
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**Arockiaraj
Manager**



Enclosure: One

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month	Through e-PASS	Para 20 of NSDL Master Circular for Participants on 'Grievance Redressal' chapter.
Internal/ Concurrent Audit Report (April - September)	November 15 th	Through e-PASS	Para 20.4 of NSDL Master Circular for Participants on 'Internal Controls/Reporting to NSDL/SEBI' chapter and Circular No. NSDL/POLICY/2023/0141 dated October 04, 2023.
Reporting of Grievances	By 10 th of the following month	Through e-PASS	Circular No.: NSDL/POLICY/2023/0161 dated November 13, 2023



Annexure A

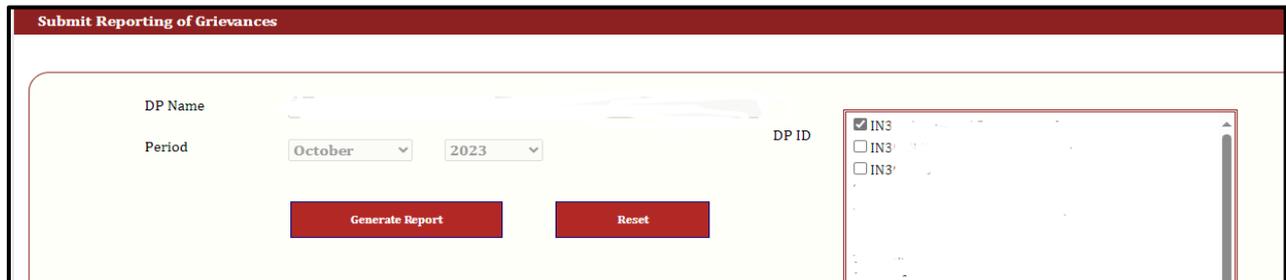
Procedure for submitting details of grievances resolved during the month

1. Submission through Maker login:

After login to e-PASS, under DP IG Report module, click on 'Reporting of Grievances' → 'Submit Reporting of Grievances' as exhibited below:



Upon clicking on 'Submit Reporting of Grievances', all DP IDs of Participant (in case of multiple DPM set-ups) will be selected by default and auto displayed on screen. In case, of submission of DP ID wise details, user will be able to select/deselect the specific DP ID(s) and submit the details. Once DP ID is selected thereafter click on 'Generate Report' button as exhibited below:



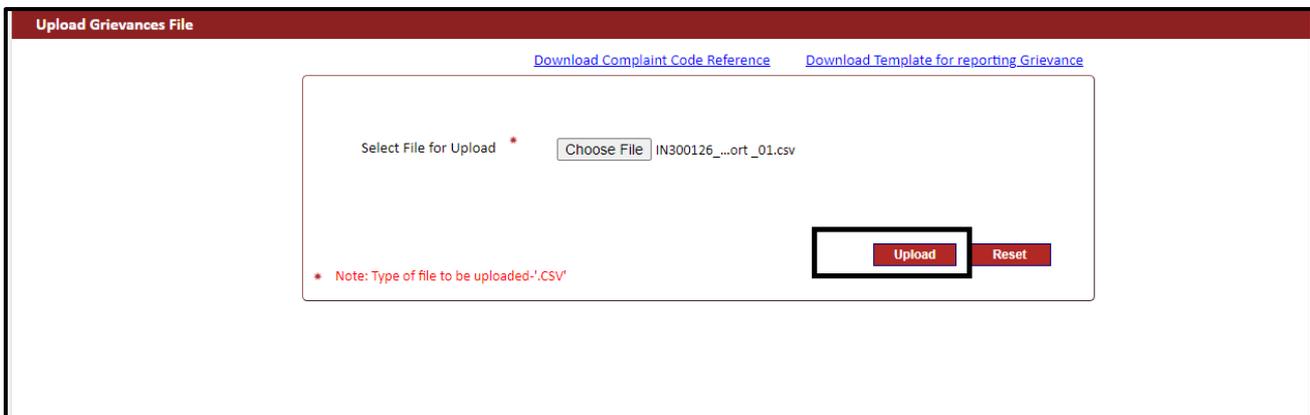
After clicking on 'Generate Report' button, on the screen two links will be displayed i.e. 'Download complaint code reference' and 'Download the template for reporting Grievance' as exhibited below:



The user will click on ‘Download Template for reporting Grievance’ and .csv file will get downloaded.

The user will fill in the .csv file with details of ‘Date of receipt of Grievance (DD-MM-YYYY)’ example: 07-11-2023; ‘Name of the complainant’; ‘DP ID’; ‘Client Id’; ‘Complaint Code’ (user can download complaint code reference from the link exhibited above for selecting the code) and ‘Date of resolution of the Grievance (DD-MM-YYYY)’ example: 09-11-2023. Thereafter, the user will click on ‘Upload’ as exhibited below:

Nomenclature of file: DPID_Grievances_Report_01 (Batch no. needs to be changed if upload of file is done in multiple batches during the month).



Submitted report can be viewed by Maker user from ‘View / Search Reporting of Grievances’ link as exhibited below:



View / Search Reporting of Grievances

Status
Reporting Month
Reporting Year

Total Records : 2

File Ref. No.	Reporting Month	DP ID	DP Name	File Name	File Status	Submission Date	Error File	Rejection Reason
24	October-2023	IN300126	IN300126	IN300126_Grievances_Report_02.csv	Submitted to checker	09-11-2023		
23	October-2023	IN300126	IN300126	IN300126_Grievances_Report_01.csv	Submitted to checker	09-11-2023		

Details mentioned in the .csv file shall be validated for basic checks like length of client id, date format, alpha numeric field etc. If the details mentioned in the file are incorrect than file with only correct records will partially get uploaded with status as 'Partially Accepted'. The records which are rejected will be available in the 'Rejected data" under the head 'Error file' as exhibited below. The user will have to rectify the error and upload the revised data in different file with different batch number, i.e. **DPID_Grievances_Report_02** and follow the steps mentioned above:

View / Search Reporting of Grievances

Status
Reporting Month
Reporting Year

Total Records : 3

File Ref. No.	Reporting Month	DP ID	DP Name	File Name	File Status	Submission Date	Error File	Rejection Reason
25	October-2023	IN300126	IN300126	IN300126_Grievances_Report_03.csv	Partially Accepted	09-11-2023	Rejected data	
24	October-2023	IN300126	IN300126	IN300126_Grievances_Report_02.csv	Submitted to checker	09-11-2023		
23	October-2023	IN300126	IN300126	IN300126_Grievances_Report_01.csv	Submitted to checker	09-11-2023		

2. Verify release captured reports through Checker login:

Once the required details are captured by Maker user, accepted records in file status – 'partially accepted' and 'submitted to checker' will be available for verification by the user having Checker rights (i.e. Compliance Officer/ Alternative Compliance Officer). The checker shall verify the details captured by the maker user and thereafter submit to NSDL. The report captured by Maker user can be viewed by checker user from 'View / Search Reporting of Grievances' tab for further submission to NSDL as exhibited below:





On clicking 'View / Search Reporting of Grievances', the checker user will select the status option 'submitted to checker' displayed on screen. To verify release the captured report, Checker user will have to click on link provided on 'File Ref. No.' on screen.

View / Search Reporting of Grievances
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Status

Reporting Month

Reporting Year

Total Records : 3

File Ref. No.	Reporting Month	DP ID	DP Name	File Name	File Status	Submission Date	Error File	Rejection Reason
25	October-2023	IN3001...	...	IN300176_Grievances_Report_03.csv	Partially Accepted	09-11-2023	Rejected data	
24	October-2023	IN3001...	...	IN30012*_Grievances_Report_02.csv	Submitted to checker	09-11-2023		
23	October-2023	IN3001...	...	IN300143_Grievances_Report_01.csv	Submitted to checker	09-11-2023		

On clicking the "File Ref. No." the link of .csv file uploaded by Maker user will appear on screen. Upon clicking the uploaded file link, accepted records uploaded by the maker will be made available for download in .csv file. After reviewing the details captured by Maker user, Checker user will have an option to either submit the report to NSDL by clicking on 'Approve' button or return the report to Maker user (in case any changes required in captured report) by clicking on 'Reject' button as exhibited below:

Upload Grievances File

[Download Complaint Code Reference](#) [Download Template for reporting Grievance](#)

Uploaded File * [IN300176_Grievances_Report_05.csv](#)

Rejection Reason

Once the 'Approve' button is clicked, details of Reporting of Grievances' filed by Participant will get uploaded on NSDL e-PASS and the status of report will get changed to 'Submitted to NSDL' as exhibited below:



View / Search Reporting of Grievances X

Status
Reporting Month
Reporting Year

Total Records : 3

File Ref. No.	Reporting Month	DP ID	DP Name	File Name	File Status	Submission Date	Error File	Rejection Reason
25	October-2023	IN300120	...	IN300120_Grievances_Report_03.csv	Submitted to NSDL	09-11-2023	Rejected data	
24	October-2023	IN300126	...	IN300126_Grievances_Report_02.csv	Submitted to NSDL	09-11-2023		
23	October-2023	IN300121	...	IN300121_Grievances_Report_01.csv	Submitted to NSDL	09-11-2023		

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 have to be returned to Maker user by Checker 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 'Rejection Reason'.

In respect of report(s) returned by Checker, maker user will have to make the necessary changes by following the steps/ process as mentioned in point no. 1 above and checker will have to approve/submit report by following the steps/ process mentioned at point no. 2 above.

3. Modification / Deletion of existing User ID's:

For modification/ deletion of Maker User IDs on e-PASS, Participants have to send an email on nsdl-bp-inspection@nsdl.com 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 advised to update the details through e-PASS as per the procedure mentioned in Annexure Q under Chapter 11 (Internal Controls) of NSDL Master Circular Participants.

