



SPS Share Brokers Private Limited

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 CIN: U67190MH1997PTC109343

Dos and Don'ts for Depository Participants

Section	Dos ■	Don'ts +
Timely Submission of Reports	<input checked="" type="checkbox"/> Submit all required reports within stipulated timelines. <input checked="" type="checkbox"/> Ensure reports are accurate, complete, and transparent. <input checked="" type="checkbox"/> Refer Compliance Calendar for Schedules as Annexure.	<input type="checkbox"/> Do not delay submission of mandatory reports beyond prescribed timelines.
Regulatory Operational Compliance	<input checked="" type="checkbox"/> Strictly adhere to CDSL Bye Laws, Operating Instructions and CDSL Communiqués. <input checked="" type="checkbox"/> Refer to Chapter 11 and Annexure 11.1 of DP Operating Instruction for the detailed penalty structure.	<input type="checkbox"/> Do not deviate from operational or procedural instructions. <input type="checkbox"/> Do not overlook or disregard regulatory instructions, CDSL Byelaws/SEBI/PMLA guidelines.
	<input checked="" type="checkbox"/> Promptly resolve non-compliance observations and investor grievances.	<input type="checkbox"/> Do not delay submission of compliance of observations and investor grievances beyond Prescribed timelines.
	<input checked="" type="checkbox"/> Implement and publish the ODR framework and escalation matrix on the DP's website. <input checked="" type="checkbox"/> Ensure registration on FINnet 2.0 and ODR as Entity 'DP'	<input type="checkbox"/> Do not modify PAN or other sensitive data without appropriate documentation <input type="checkbox"/> Do not disregard reminders or alerts related to compliance deadlines.
	Ensure timely report submissions and adherence to operational requirements to avoid penalties.	<input type="checkbox"/> Do not ignore or circumvent operational requirements or compliance procedures. <input type="checkbox"/> Do not rely on unapproved extensions or assume penalties will be waived for delays.
Surveillance Obligations	<input checked="" type="checkbox"/> Ensure that depository guidelines in respect of Surveillance obligation of DP are followed and complied within the timeline Prescribed by the depository	<input type="checkbox"/> Do not delay submission of compliance in respect of Alerts generated by Depository as well as other reporting to depository.
<p>Consequences of Non-Compliance</p> <ul style="list-style-type: none"> ❖ Monetary penalties as determined in the Operating Instruction-penalty chapter. ❖ Matters may be escalated to the Member Committee or Internal Committee. ❖ Termination of DP <i>inter-alia</i> on following grounds: <ul style="list-style-type: none"> ● Failure to redress grievances of Beneficial Owner to the satisfaction of CDSL ● Failure to Pay Fees or Security Deposits ● Suspension or Cancellation of Registration granted by SEBI ● Expulsion from Stock Exchange ● Violation of Laws, Act, Regulations, Bye Laws, or agreement with CDSL or has failure to comply with Operating Instructions of CDSL. ● Financial difficulty or unable to meet obligations to CDSL or Beneficial Owners 		

Note: *This document is intended solely for guidance and does not constitute the only compliance submission required of Depository Participants (DPs). The list of Dos and Don'ts provided here in is not exhaustive. DPs are responsible for thoroughly reviewing and complying with all applicable provisions under the Depositories Act, relevant regulations, bye-laws, operating instructions, communiqués, and any other statutory or regulatory requirements. This document does not super see or replace any statutory obligations.*