Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2020/412   **September 24, 2020**

MARGIN OBLIGATIONS TO BE GIVEN BY WAY OF MARGIN PLEDGE / MARGIN RE-PLEDGE IN THE DEPOSITORY SYSTEM

DPs are advised to refer CDSL Communique no. **CDSL/OPS/DP/POLCY/2020/234** dated May 22, 2020 regarding operational modalities and various file formats for implementation of the SEBI Circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/28 dated February 25, 2020 regarding Margin Obligations to be given by way of Margin Pledge **(MP)** / Margin Re-pledge **(MRP)** in favour of Trading Members **(TM)** / Clearing Members **(CM)** and Clearing Corporations **(CC)** respectively and communique no. **CDSL/OPS/DP/POLCY/2020/309** dated July 16, 2020 regarding additional points for implementation of the guidelines specified in the aforesaid SEBI circular and communique no. **CDSL/OPS/DP/POLCY/2020/338** dated August 07, 2020 regarding the changes in the sequence of Status codes appearing in DP57 report.

CDSL is in receipt of feedback from some DPs for introduction of additional status codes in DP57 report pertaining to OTP Authentication for updating their back-office suitably by which they will be able to identify the exact status of margin pledge / margin funding pledge transaction from back-office. CDSL is pleased to introduce additional Status Codes in DP57 report which will help DPs to update their back-office with exact Status Code of Margin Pledge / Margin Funding Pledge. DPs are advised to refer the enclosed Annexure to take a note of said changes and initiate necessary changes in their back office, if any.

Queries regarding this communiqué may be addressed to:

CDSL – Helpdesk on (022) 2305-8642, 2305-8663, 2305-8624, 2305-8640 or 2305-8639. Emails may be sent to: helpdesk@cdslindia.com.

sd/-

Prashant Kokate
Asst. Vice President – Operations

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
1	RECORD IDENTIFIER	CHAR	1	D
2	TRANSACTION TYPE	NUMBER	3	8 (PLEDGE)
3	BO ID	CHAR	16	PLEDGOR BO ID / PLEDGEE BO ID (FOR CR./DB. PLEDGEE TXNS)
4	ISIN	CHAR	12	ISIN
5	TRANSACTION ID	NUMBER	9	PLEDGE SEQUENCE NUMBER (PSN)
6	QUANTITY	NUMBER	16,3	PLEDGE QUANTITY
7	TRANSACTION STATUS	NUMBER	6	801 - Setup initiated by Pledgor maker 802 - Setup Approve by Pledgor Checker (Cr. PSB) 818 - Setup Approved by Pledgor Checker (Db. LB) 804 - Setup Cancel By Pledgor (Db. PSB) 819 - Setup Cancel By Pledgor(Cr. LB) 805 - Setup Accept by Pledgee Maker 806 - Setup Reject by Pledgee Maker 807 - Setup Reject by Pledgee Checker (Db. PSB) 820 - Setup Reject by Pledgee Checker (Cr. LB) 809 - Setup Accept by Pledgee Checker (Cr. PB) 810 - Setup Accept by Pledgee Checker (DB PSB) 821 - Setup Accept by Pledgee Checker (Cr PEB---Pledgee) 811 - Reversal By Pledgee 812 - Cancelled due to Auto CA (Db. PSB for SC, AM, RM) 813 - Transferred due to Auto CA (Db. PB) 814 - Closed due to Auto CA (Db. PB) 822 - Transferred/Closed due to Auto CA (Db. PEB) 815 - Pledge Cancel In EOD 816 - Pledge Reject In EOD 803 - Modify by Pledgee Maker808 - Modify Accept by Pledgee Checker 817 - Modify Reject by Pledgee Checker 823 - Pledge rejection in EOD due to insufficient balance 824 -Pending Setup By Pledgor Maker 825 -Pending Setup By Pledgor Checker

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				826 -Overdue Setup By Pledgor Checker
				827 – Pledge Reversal By pledgor Checker
				828 - Margin Pledge Setup Initiated by Pledgor Maker
				829 - Margin Pledge Setup Approve by Pledgor Checker (Cr. PSB)
				830 - Margin Pledge Setup Accept by Pledgee Maker
				831 - Margin Pledge Setup Accept by Pledgee Checker (Cr. PB)
				832 - Margin Pledge Setup Accept by Pledgee Checker (DB PSB)
				833 - Margin Pledge Setup Accept by Pledgee Checker (Cr PEB---Pledgee)
				834 - Margin Re-pledge Setup Initiated by Pledgor Maker
				835 - Margin Re-pledge Setup Approve by Pledgor Checker
				836 - Margin Re-pledge Setup Accept by Pledgee Maker
				837 - Margin Re-pledge Setup Accept by Pledgee Checker (Cr. RPB --- Pledgor)
				838 - Margin Re-pledge Setup Accept by Pledgee Checker (Cr PEB---Pledgee)
				839 - Pledge Setup Approved by Pledgor Checker (Pending OTP Authentication)
				840 - Pledge Cancelled in EOD due to Pending OTP Authentication
8	TRANSACTION SETUP DATE	DATE	14	PLEDGE SETUP DATE
9	BUSINESS DATE	DATE	14	BUSINESS DATE
10	FREE / LOCKIN FLAG	CHAR	1	• F – FREE • L – LOCK IN
11	COUNTER BO ID	CHAR	16	PLEDGEE BO ID / PLEDGOR BO ID
12	Original PSN	CHAR	8	NA
13	UCC	CHAR	13	UCC in case of Margin Pledge/Margin Re-Pledge
14	Segment ID	CHAR	13	Segment ID in case of Margin Pledge/Margin Re-Pledge CM – Cash segment FO – Equity Derivatives Segment

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				CD- Currency Derivative Segment DT – Debt Segment CO – Commodity Derivatives Segment SB – SLB Segment AL – ALL Segments
15	PARENT PSN	CHAR	8	PARENT PSN (FOR NEW PSN CREATED DUE TO AUTO CA)
16	PLEDGE EXECUTION DATE	DATE	14	PLEDGE EXECUTION DATE
17	FIELD 4	NUMBER	6	NA
18	DOCUMENT NUMBER	CHAR	20	PLEDGE REQUEST FORM (PRF) NUMBER
19	AGREEMENT NUMBER	CHAR	20	AGREEMENT NUMBER
20	PLEDGEE DP INTERNAL REFERENCE NUMBER	CHAR	30	PLEDGEE DP INTERNAL REFERENCE NUMBER
21	CA SEQUENCE NUMBER	NUMBER	8	CA SEQUENCE NUMBER
22	LOCK IN CODE	NUMBER	2	• 1 – DIRECTORS / RELATIVE QUOTA • 2 – EMPLOYEE QUOTA • 3 – PREFERENTIAL QUOTA • 4 – PROMOTERS QUOTA • 5 – UNDERWRITERS QUOTA • 6 – PRIVATE PLACEMENT • 7 – OTHERS • 8 – ELSS2005
23	LOCK IN EXPIRY DATE	DATE	14	LOCK IN EXPIRY DATE
24	PLEDGE EXPIRY DATE	DATE	14	PLEDGE EXPIRY DATE
25	MAKER CHECKER FLAG	CHAR	1	M – INITIATED C – VERIFIED
26	FIELD 5	CHAR	1	NA
27	CA TYPE	NUMBER	2	CA TYPE
28	FIELD 6	DATE	14	NA
29	PLEDGE VALUE	NUMBER	16,3	PLEDGE VALUE
30	PLEDGE BALANCE	NUMBER	16,3	PLEDGE BALANCE DEBIT DUE TO AUTO CA

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
31	PLEDGE AVAILABLE QUANTITY	NUMBER	16,3	REMAINING QUANTITY AVAILABLE FOR FURTHER UNPLEDGE AND / OR CONFISCATE
32	FIELD 7	NUMBER	16,3	NA
33	FINANCIAL FLAG	NUMBER	2	0 – SETUP INITIATED BY PLEDGOR MAKER 0 – SETUP MODIFIED BY PLEDGOR MAKER 0 – SETUP INITIATED BY PLEDGEE MAKER 0 – SETUP REJECTED BY PLEDGEE MAKER 0 – REVERSAL BY PLEDGEE 0 – CANCELLED DUE TO AUTO CA 1 - SETUP APPROVE BY PLEDGOR CHECKER (CREDIT PLEDGE SETUP BALANCE) 2 - SETUP APPROVE BY PLEDGOR CHECKER (IF LOCK IN FLAG = 'Y' DEBIT LOCK IN BALANCE IN PLEDGOR BO ACCOUNT) 1 - SETUP CANCEL BY PLEDGOR (IF LOCK IN FLAG = 'Y' , DEBIT PLEDGE SETUP BALANCE, CREDIT LOCK IN BALANCE IN PLEDGOR BO ACCOUNT) 1 - SETUP REJECT BY PLEDGEE CHECKER (DB. PSB, CR. LB) (IF LOCK IN FLAG = 'Y' , DEBIT PLEDGE SETUP BALANCE, CREDIT LOCK IN BALANCE IN PLEDGOR BO ACCOUNT) 1 - SETUP ACCEPT BY PLEDGEE CHECKER (DB. PSB, CR. PB, CR. PLEDGEE BO PEB) (DEBIT PLEDGE SETUP BALANCE, CREDIT PLEDGE IN BALANCE IN PLEDGOR BO ACCOUNT, CREDIT PLEDGE BALANCE IN PLEDGEE BO ACCOUNT) 0 - CANCELLED DUE TO AUTO CA (FOR SETUP-MAKER) 1 - CANCELLED DUE TO AUTO CA (DEBIT PLEDGE SETUP BALANCE IN PLEDGOR BO ACCOUNT) 1 - TRANSFERRED DUE TO AUTO CA (DEBIT PLEDGE BALANCE IN PLEDGOR BO ACCOUNT, DEBIT PLEDGE BALANCE IN PLEDGEE BO ACCOUNT) 1 - CLOSED DUE TO AUTO CA (DEBIT PLEDGE BALANCE IN PLEDGOR BO ACCOUNT, DEBIT PLEDGE BALANCE IN PLEDGEE BO ACCOUNT) 0 - MODIFY BY PLEDGEE MAKER 0 - MODIFY ACCEPT BY PLEDGEE CHECKER

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				• 0 - MODIFY REJECT BY PLEDGEE CHECKER • 0 – CANCELLED IN EOD • 1 – REJECTED IN EOD
34	EFTS CODE	NUMBER	2	35 - Setup Approve by Pledgor Checker (Cr. PSB) 35 - Setup Approve by Pledgor Checker, If lockin flag = 'Y' (Db. LB) 35 - Setup Cancel By Pledgor (Db. PSB, Cr. LB) 35 - Setup Reject by Pledgee Checker (Db. PSB, Cr. LB) 35 - Setup Accept by Pledgee Checker (Cr. PB) 35 - Setup Accept by Pledgee Checker, If lockin flag = 'Y' (Db. LB) 16 - Cancelled due to Auto CA (Db. PSB for SC, AM, RM) 16 - Transferred due to Auto CA (Db. PB, Db. Pledgee BO PEB) 16 - Closed due to Auto CA (Db. PB, Db. Pledgee BO PEB) 35 - Rejected in EOD NA - For Others

35	TRANSACTION CODE	NUMBER	4	3408 - SETUP INITIATED BY PLEDGOR MAKER (801 & 824)
				2220 - SETUP APPROVE BY PLEDGOR CHECKER (802)
				2262 - SETUP APPROVE BY PLEDGOR CHECKER, IF LOCK IN FLAG = 'Y'
				    (DB. LB -818)
				2270 - SETUP CANCEL BY PLEDGOR (DR. PSB -804)
				2212 - SETUP CANCEL BY PLEDGOR, IF LOCK IN FLAG = 'Y'
				    (CR. LB -819)
				3409 - SETUP ACCEPT BY PLEDGEE MAKER (805)
				2270 - SETUP ACCEPT BY PLEDGEE CHECKER (DB. PSB -810)
				2230 - SETUP ACCEPT BY PLEDGEE CHECKER (CR. PB -809)
				2225 - SETUP ACCEPT BY PLEDGEE CHECKER
				    (CR. PLEDGEE BO PEB -821)
				3409 - SETUP REJECT BY PLEDGEE MAKER (806)
				2270 - SETUP REJECT BY PLEDGEE CHECKER(807)
				2212 - SETUP REJECT BY PLEDGEE CHECKER, IF LOCK IN FLAG = 'Y'
				    (CR. LB -820)
				3409 - REVERSAL BY PLEDGEE (811)

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				3463 - CANCELLED DUE TO AUTO CA (812 - FOR SM)
				2270 - CANCELLED DUE TO AUTO CA (DB. PSB - 812 FOR SC, AM, RM)
				2280 - TRANSFERRED DUE TO AUTO CA (DB. PB -813)
				2275 - TRANSFERRED DUE TO AUTO CA (DB. PLEDGEE BO PEB -822)
				2280 - CLOSED DUE TO AUTO CA (DB. PB -814)
				2275 - CLOSED DUE TO AUTO CA (DB. PLEDGEE BO PEB - 822)
				3443 - PLEDGE CANCEL IN EOD (815 & 823)
				2270 - PLEDGE REJECT IN EOD (DB. PSB - 816 FOR SC, AM, RM)
				2212 - PLEDGE REJECT IN EOD, IF LOCK IN FLAG = 'Y' (CR. LB -816)
				3464 - PLEDGEE MODIFY MAKER (803)
				3465 - PLEDGEE MODIFY CHECKER ACCEPT (808)
				3466 - PLEDGEE MODIFY CHECKER REJECT (817)
				3467 - PENDING SETUP BY PLEDGOR CHECKER(825)
				3467 - OVER DUE SETUP BY PLEDGOR CHECKER(826)
				3468 – PLEDGE REVERSAL BY PLEDGOR CHECKER (827)
				3469 – MODIFICATION INITIATED BY PLEDGOR MAKER (827)
				3412-- MARGIN PLEDGE SETUP INITIATED BY PLEDGOR MAKER(828)
				2220-- CREDIT PLEDGE SETUP BALANCE(829)
				3413-- MARGIN PLEDGE SETUP ACCEPT BY PLEDGEE MAKER(830)
				2230-- CREDIT PLEDGE BALANCE(831)
				2270-- DEBIT PLEDGE SETUP BALANCE(832)
				2225-- CREDIT PLEDGEE BALANCE(833)
				3414-- MARGIN RE-PLEDGE SETUP INITIATED BY PLEDGOR MAKER(834)
				3415-- MARGIN RE-PLEDGE SETUP APPROVE BY PLEDGOR CHECKER(835)
				3416-- MARGIN RE-PLEDGE SETUP ACCEPT BY PLEDGEE MAKER(836)
				2231 --CREDIT RE-PLEDGE BALANCE(PLEDGOR)(837)
				2225-- CREDIT PLEDGEE BALANCE(838)
				3424 -Pledge Setup Approved by Pledgor Checker (Pending OTP Authentication) (839)
				3425 -Pledge Cancelled in EOD due to Pending OTP Authentication (840)

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
36	MODIFICATION FLAG	NUMBER	2	• 0 – NOT MODIFIED • 1 – MODIFIED
37	PLEDGOR DP INTERNAL REFERENCE NUMBER	CHAR	16	PLEDGOR DP INTERNAL REFERENCE NUMBER
38	PLEDGOR DP REMARKS	CHAR	100	PLEDGOR DP REMARKS
39	PLEDGEE DP REMARKS	CHAR	100	PLEDGEE DP REMARKS
40	OPERATOR ID	CHAR	6	OPERATOR ID
41	TRANSACTION SOURCE	NUMBER	2	1 – ONLINE 2 – UPLOAD, 4 – EASIEST UPLOAD
42	LAST MODIFICATION DATE	DATE	14	LAST MODIFICATION DATE
43	LOCK IN ID	CHAR	16	LOCK IN ID
44	FIELD 8	CHAR	9	NA
45	EXCHANGE ID	NUMBER	2	EXCHANGE ID IN CASE OF MARGIN PLEDGE/RE-PLEDGE
46	CM ID	CHAR	16	CM ID IN CASE OF MARGIN PLEDGE/RE-PLEDGE
47	TM ID / CP ID	CHAR	100	TM ID/CP ID IN CASE OF MARGIN PLEDGE/RE-PLEDGE
48	ENTITY IDENTIFIER	CHAR	14	ENTITY IDENTIFIER IN CASE OF MARGIN PLEDGE/RE-PLEDGE CP= CP ID TM= TM ID
49	Parent Margin Pledge PSN	NUMBER	8	PARENT MARGIN PLEDGE PSN (Applicable in case of NEW MARGIN REPLEDGE PSN)
50	FILLER 6		1	FOR FUTURE USE
51	FILLER 7		35	FOR FUTURE USE
52	FILLER 8		100	FOR FUTURE USE
53	FILLER 9		100	FOR FUTURE USE
54	FILLER 10		25	FOR FUTURE USE