



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2020/447

October 14, 2020

MANDATORY OTP AUTHENTICATION FOR OFF- MARKET TRANSFERS

DPs are advised to refer CDSL Communique no. CDSL/OPS/DP/POLCY/2020/371 dated August 28, 2020 regarding implementation of SEBI Circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/158 dated August 27, 2020 w.r.t. obtaining client's consent through One Time Password (OTP) for all off-market transfers (i.e. Transfer of securities within CDSL as well as inter-depository transfer) of securities, from Source client's Demat Account. .

DPs are required to take note of the following system enhancements which would be effective from **October 31, 2020**:

- ❖ OTP authentication would be mandatory for off-market (i.e. within CDSL as well as inter-depository) transfers.
- ❖ OTP authentication functionality will be implemented in similar manner, just as Margin Pledge OTP authentication functionality.
- ❖ DP57 report will have additional status for off-market transfers (within CDSL as well as inter-depository). The changes have been highlighted in the file formats given in **Annexure-A** (Off-market transfer within CDSL) and **Annexure-B** (Inter-depository off-market transfers).
- ❖ DPs are advised to take note of the aforesaid changes in functionality and implement suitable changes in their back-office.

The date of release of the said functionality is scheduled on **October 30, 2020**. All future dated off-market transactions (within CDSL as well as inter-depository) with execution date beyond **October 30, 2020** and entered before the said release date **will NOT BE CONSIDERED FOR EXECUTION** since OTP validation will not be available before the release. In view of the same, DPs are required to take utmost care to avoid executing future dated off-market transfers till October 30, 2020 having execution date beyond October 30, 2020.

DPs are further advised to note that the DP57 report, which will be generated on EOD of 30th October 2020 shall be generated in a new format. .



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DPs are once again advised to take note of this communique and ensure timely compliance, DPs are also advised to inform their clients accordingly.

Queries regarding this communique 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

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
1.	RECORD IDENTIFIER	CHAR	1	D
2.	TRANSACTION TYPE	NUMBER	3	<ul style="list-style-type: none"> • 2 – TRANSACTION WITHIN SAME CDSL DP • 3 – TRANSACTION WITHIN DIFFERENT CDSL DPS
3.	BO ID	CHAR	16	BO ID
4.	ISIN	CHAR	12	ISIN
5.	TRANSACTION ID	NUMBER	8	TRANSACTION ID
6.	QUANTITY	NUMBER	16,3	TRANSACTION QUANTITY
7.	TRANSACTION STATUS	NUMBER	6	<ul style="list-style-type: none"> • 301 – SETUP CHECKER • 302 – SETUP (SYSTEM GENERATED BUY TRANSACTION) • 303 – OVERDUE • 304 – DELETED BY DP / TRUST TRANSACTION DELETED AS BO SENT NEGATIVE RESPONSE / RESPONSE NOT RECEIVED FROM BO • 305 – CLOSED AND SETTLED • 306 – PENDING (FUTURE DATED TRANSACTION) • 307 – FAILED (CANCELLED IN EOD) • 308 – TRADE CANCELLED BY BUYER • 309 – TRADE CANCELLED BY SELLER • 310 – CLEARING HOUSE MUTUAL FUND FAILED BUY TXN • 311 – PENDING FOR AUTHENTICATION • 312 - NOT AUTHENTICATED CLOSED IN EOD • 313 - MATCHING FOUND WITH BOC FOR MF TRANSACTION • 317 – PENDING FOR RESPONSE FROM BO REGISTERED FOR TRUST • 318 – SETUP MAKER • 319 – DELETE /REJECT SETUP MAKER RECORDS • 320 – MODIFY SETUP MAKER RECORDS • 321 – SETUP CHECKER REJECT • 322 – SETUP CHECKER REVERSAL • 323 – MODIFY CHECKER APPROVED RECORDS • 324 – MODIFY CHECKER REVERSAL DONE RECORDS • 325 – DELETE / REJECT CHECKER REVERSAL DONE RECORDS

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				<ul style="list-style-type: none"> • 326 – AUTO CANCELLED FROM CDS. • 327 – AUTO REVERSE DEBIT / CREDIT FOR PAYIN TRANSACTIONS FROM CDS. • 328 - PENDING FOR OTP AUTHENTICATION • 329 - ACCEPTED OTP AUTHENTICATED TRANSACTION • 330 - REJECTED OTP AUTHENTICATED TRANSACTION • 331 – FUTURE DATED OTP AUTHENTICATED TRANSACTION • 332 – PENDING OTP AUTHENTICATION TRANSACTION CANCELLED IN EOD
8.	TRANSACTION SETUP DATE	DATE	14	TRANSACTION SETUP DATE
9.	BUSINESS DATE	DATE	14	BUSINESS DATE
10.	BUY / SELL FLAG	CHAR	1	<ul style="list-style-type: none"> • S – SELL • B – BUY
11.	COUNTER BO ID	CHAR	16	COUNTER BO ID
12.	CONSIDERATION AMOUNT FLAG	CHAR	8	EXCEPT FOR TXN STATUS 307, 312, 313, 326, 327
13.	SETTLEMENT ID	CHAR	13	SETTLEMENT ID
14.	COUNTER SETTLEMENT ID	CHAR	13	COUNTER SETTLEMENT ID
15.	TRADE ID	CHAR	8	TRADE ID
16.	EXECUTION DATE	DATE	14	EXECUTION DATE
17.	FIELD 2	NUMBER	6	NA
18.	LOCK-IN ID	CHAR	20	LOCK-IN ID
19.	DELIVERY INSTRUCTION SLIP	CHAR	20	DELIVERY INSTRUCTION SLIP FOR TRANSACTION STATUS 301
20.	EASI AUTHENTICATION REFERENCE NUMBER	CHAR	30	AUTHENTICATION REFERENCE NUMBER FOR TRANSACTION STATUS IN (311,312) NA - FOR OTHERS
21.	FIELD 4	NUMBER	8	NA

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
22.	LOCK-IN CODE	NUMBER	2	<ul style="list-style-type: none"> • 1 – DIRECTOR / RELATIVE QUOTA • 2 – EMPLOYEE QUOTA • 3 – PREFERENTIAL QUOTA • 4 – PROMOTER'S QUOTA • 5 – UNDERWRITER QUOTA • 6 – PRIVATE PLACEMENT • 7 – OTHER • 8 – ELSS2005 [APPLICABLE ONLY IN CASE OF CREDIT OF UNITS OF ELSS-MF ISIN IN AN INVESTOR ACCOUNT FROM CM'S POOL ACCOUNT]
23.	LOCK-IN EXPIRY DATE	DATE	14	LOCK-IN EXPIRY DATE
24.	DATE OF ISSUE / TRANSFER	DATE	14	DATE OF ISSUE OF CHEQUE / DATE OF TRANSFER
25.	TRANSFER TYPE	CHAR	1	1 – OFF MARKET 2 – ON MARKET
26.	ORDER STATUS FLAG	CHAR	1	<ul style="list-style-type: none"> • H – SETUP BY MAKER • A – ALLEGED • M – MATCHED
27.	REASON FOR TRADE	NUMBER	2	<ul style="list-style-type: none"> • 1 – GIFT • 2 – FOR OFF MARKET SALE / PURCHASE • 3 – FOR MARKET SALE / PURCHASE • 5 – TRANSFER BETWEEN 2 A/c OF SAME HOLDER(s) • 6 – OTHERS • 7 – TRANSFER BETWEEN FAMILY MEMBERS • 10 – IMPLEMENTATION OF GOVT/REGULATORY DIRECTION/ORDERS • 11 – ERRONEOUS TRANSFER PERTAINING TO CLIENT SECURITIES • 12 – MEETING LEGITIMATE DUES OF STOCK BROKER • 13 – FOR OPEN OFFER / BUY-BACK • 14 – FOR MARGIN PURPOSE • 0 – IF REASON FOR TRADE IS NOT ENTERED
28.	ISIN CLOSE PRICE DATE	DATE	14	EXCEPT FOR TXN STATUS 307, 312, 313, 318, 319, 320, 324, 325, 326, 327
29.	ISIN CLOSE PRICE	NUMBER	16,3	EXCEPT FOR TXN STATUS 307, 312, 313, 318, 319, 320, 324, 325, 326, 327

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
30.	TRANSACTION VALUATION	NUMBER	16,3	EXCEPT FOR TXN STATUS 307, 312, 313, 318, 319, 320, 324, 325, 326, 327
31.	CONSIDERATION AMOUNT FOR DIS	NUMBER	16,3	EXCEPT FOR TXN STATUS 307, 312, 313, 326, 327
32.	<i>Filler 2</i>		16,3	<i>For Future Use</i>
33.	FINANCIAL FLAG	NUMBER	2	<ul style="list-style-type: none"> • 0 – NON-FIN TRANSACTION • 1 – DEBIT / CREDIT
34.	EFTS CODE	NUMBER	2	<ul style="list-style-type: none"> • 0 – OTHERS • 31 – DEBIT / CREDIT
35.	TRANSACTION CODE	NUMBER	4	<ul style="list-style-type: none"> • 2212 – LOCK-IN BALANCE CREDIT • 2246 – CREDIT • 2277 – DEBIT • 4475 – SETUP CHECKER ACCEPT • 4477 – MODIFY CHECKER APPROVED RECORDS • 4478 – DELETE / REJECT FOR CHECKER APPROVED RECORDS • 4480 – CANCEL TRADE • 4482 – SETUP MAKER • 4483 – SETUP CHECKER REJECT/ Rejected OTP Authenticated Transaction • 4484 – SETUP CHECKER REVERSAL • 4485 – DELETE / REJECT SETUP MAKER RECORDS • 4486 – DELETE / REJECT CHECKER REVERSAL DONE RECORDS • 4487 – MODIFY SETUP MAKER RECORDS • 4488 – MODIFY CHECKER REVERSAL DONE RECORDS
36.	MODIFICATION FLAG	NUMBER	2	<ul style="list-style-type: none"> • 0 – NOT MODIFIED • 1 – MODIFIED
37.	INTERNAL REFERENCE NUMBER	CHAR	16	INTERNAL REFERENCE NUMBER
38.	TRUST REMARKS	CHAR	100	PAY IN THROUGH SMS' – FOR TXN STATUS – 317 AND 304 (ON MARKET OR OFF MARKET MAKER TRANSACTION DELETED DUE

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
				TO EITHER RESPONSE (N) FROM BO OR NON RECEIPT OF RESPONSE FROM BO BEFORE CUT OFF TIME.) ELSE NA.
39.	REMARKS	CHAR	100	REMARKS
40.	OPERATOR ID	CHAR	6	OPERATOR ID
41.	TRANSACTION SOURCE	NUMBER	2	<ul style="list-style-type: none"> • 1 – ONLINE • 2 – CDAS UPLOAD • 3 – EASI ONLINE • 4 – EASI UPLOAD • 6 – WEBX • 7 – CDS SETUP FOR TRANSACTION STATUS 327
42.	LAST MODIFICATION DATE	DATE	14	LAST MODIFICATION DATE
43.	EASI REFERENCE NUMBER	CHAR	16	EASI REFERENCE NUMBER
44.	ERROR CODE	CHAR	9	ERROR CODE (IF ANY WILL BE POPULATED)
45.	TRANSACTION ELECTRONIC FLAG	CHAR	1	FOR TRANSACTION STATUS 301 Y - ELECTRONIC N - NON ELECTRONIC
46.	CHECKER DATE	CHAR	16	CHECKER DONE DATE WITH TIME
47.	FILLER 3		100	FOR FUTURE USE
48.	OTP Verify Date	DATE	14	For txn status – 329, 330 and 331 (in case of future dated txn) DATE – Applicable in case off market OTP authenticated transactions (Date & Time)
49.	Filler 4		19	FOR FUTURE USE
50	PAYMENT MODE	NUMBER	1	1 – CHEQUE 2 – ELECTRONIC PAYMENT 3 – CASH
51	BANK ACCOUNT NO	CHAR	35	
52	BANK NAME	CHAR	100	

[Transactions within DP and Transactions across DPs]

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
53	BRANCH NAME	CHAR	100	
54	CHEQUE / REFERENCE NUMBER	CHAR	25	

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
1.	RECORD IDENTIFIER	CHAR	1	D
2.	TRANSACTION TYPE	NUMBER	3	5 – TRANSACTION OUTSIDE CDSL – INTER DEPOSITORY
3.	BO ID	CHAR	16	BO ID
4.	ISIN	CHAR	12	ISIN
5.	TRANSACTION ID	NUMBER	8	TRANSACTION ID
6.	QUANTITY	NUMBER	16,3	QUANTITY
7.	TRANSACTION STATUS	NUMBER	6	<ul style="list-style-type: none"> • 511 – CLOSE AND PROCESSED • 512 – CLOSE AND UNPROCESSED • 520 – TO BE VERIFIED • 521 – CONFIRMED BY OTHER DEPOSITORY • 523 – REJECTED BY OTHER DEPOSITORY • 525 – PENDING • 528 – EARMARK SUCCESSFUL • 529 – EARMARK FAILED / OVERDUE • 533 – RECONCILED • 534 - RTA TRANSFER FAILED • 536 – ACK GENERATED • 537 – REVERSE EARMARK • 540 - PENDING FOR AUTHENTICATION • 541 - NOT AUTHENTICATED CLOSED IN EOD • 542 - PENDING FOR OTP AUTHENTICATION • 543 - REJECTED OTP AUTHENTICATED TRANSACTION • 544 - ACCEPTED OTP AUTHENTICATED TRANSACTION • 545 – NON AUTHENTICATED OTP TRANSACTION CANCELLED • 546 - FUTURE DATED OTP AUTHENTICATED TRANSACTION
8.	TRANSACTION SETUP DATE	DATE	14	TRANSACTION SETUP DATE
9.	BUSINESS DATE	DATE	14	BUSINESS DATE
10.	BUY / SELL FLAG	CHAR	1	<ul style="list-style-type: none"> • B – BUY • S – SELL

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
11.	COUNTER BO ID	CHAR	16	NSDL [CMBP / DPID (8) + CLIENT ID (8)]
12.	CONSIDERATION AMOUNT FLAG	CHAR	8	FOR TXN STATUS 525
13.	SETTLEMENT ID	CHAR	13	CDSL SETTLEMENT ID
14.	COUNTER SETTLEMENT ID	CHAR	13	NSDL SETTLEMENT ID
15.	TRANSFER / TRANSMISSION TRANSACTION NUMBER	CHAR	8	TRANSACTION ID FOR TRANSFER THROUGH TRANSFER / TRANSMISSION MODULE. NOT APPLICABLE FOR NORMAL INTER DEPOSITORY TRANSACTIONS
16.	EXECUTION DATE	DATE	14	EXECUTION DATE
17.	FIELD 3	NUMBER	6	NA
18.	FIELD 4	CHAR	20	NA
19.	DELIVERY INSTRUCTION SLIP	CHAR	20	DELIVERY INSTRUCTION SLIP FOR STATUS 520 and 525
20.	EASI AUTHENTICATION REFERENCE NUMBER	CHAR	30	AUTHENTICATION REFERENCE NUMBER FOR TRANSACTION STATUS IN (540,541) NA - FOR OTHERS
21.	FIELD 6	NUMBER	8	NA
22.	FIELD 7	NUMBER	2	NA
23.	FIELD 8	DATE	14	NA
24.	DATE OF ISSUE / TRANSFER	DATE	14	DATE OF ISSUE / TRANSFER
25.	FIELD 10	CHAR	1	NA
26.	FIELD 11	CHAR	1	NA
27.	FIELD 12	NUMBER	2	NA
28.	ISIN CLOSE PRICE DATE	DATE	14	FOR TXN STATUS 525
29.	ISIN CLOSE PRICE	NUMBER	16,3	FOR TXN STATUS 525

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
30.	TRANSACTION VALUATION	NUMBER	16,3	FOR TXN STATUS 525
31.	CONSIDERATION AMOUNT	NUMBER	16,3	FOR TXN STATUS 525
32.	<i>Filler 1</i>		16,3	<i>For Future Use</i>
33.	FINANCIAL FLAG	NUMBER	2	<ul style="list-style-type: none"> • 0 – NON-FIN TRANSACTION • 1 – DEBIT / CREDIT
34.	EFTS CODE	NUMBER	2	<ul style="list-style-type: none"> • 0 – OTHERS • 21 – DEBIT / CREDIT
35.	TRANSACTION CODE	NUMBER	4	<ul style="list-style-type: none"> • 2215 – EARMARK • 2246 – CREDIT • 2265 – REVERSE EARMARK • 2277 – DEBIT • 5101 – SETUP • 5103 – MODIFIED / VERIFIED • 5104 – DELETE • 0 – CLOSE AND UNPROCESSED / REJECTED BY OTHER DEPOSITORY / EARMARK FAILED/ RTA Transfer Failed
36.	MODIFICATION FLAG	NUMBER	2	1 – MODIFIED 0 – NOT MODIFIED
37.	INTERNAL REFERENCE NUMBER	CHAR	16	INTERNAL REFERENCE NUMBER
38.	FIELD 18	CHAR	100	NA
39.	REMARKS	CHAR	100	REMARKS
40.	OPERATOR ID	CHAR	6	OPERATOR ID
41.	TRANSACTION SOURCE	NUMBER	2	<ul style="list-style-type: none"> • 1 – ONLINE • 2 – CDAS UPLOAD • 3 – EASI ONLINE • 4 – EASI UPLOAD

SR. NO.	FIELD NAME	FIELD TYPE	FIELD LENGTH	FIELD DESCRIPTION / VALUE
42.	LAST MODIFICATION DATE	DATE	14	LAST MODIFICATION DATE
43.	EASI REFERENCE NUMBER	CHAR	16	EASI REFERENCE NUMBER
44.	ERROR CODE	CHAR	9	ERROR CODE
45.	TRANSACTION ELECTRONIC FLAG	CHAR	1	FOR TRANSACTION STATUS 520 and 525 Y -- ELECTRONIC N – NON ELECTRONIC
46.	FILLER 2		16	FOR FUTURE USE
47.	FILLER 3		100	FOR FUTURE USE
48.	OTP verify Date	DATE	14	For Txn status - 543,544,546 DATE – Applicable in case inter-depository off market OTP authenticated transactions (Date & Time)
49.	Filler4		19	FOR FUTURE USE
50	<i>PAYMENT MODE</i>	<i>NUMBER</i>	<i>1</i>	<i>1 – CHEQUE</i> <i>2 – ELECTRONIC</i> <i>3 – CASH</i>
51	<i>BANK ACCOUNT NO</i>	<i>CHAR</i>	<i>35</i>	
52	<i>BANK NAME</i>	<i>CHAR</i>	<i>100</i>	
53	<i>BRANCH NAME</i>	<i>CHAR</i>	<i>100</i>	
54	<i>CHEQUE / REFERENCE NUMBER</i>	<i>CHAR</i>	<i>25</i>	