Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2026/766 **October 30, 2026**

OPERATIONAL FRAMEWORK SYSTEMATIC WITHDRAWAL PLAN AND SYSTEMATIC TRANSFER PLAN FOR MUTUAL FUND UNITS HELD IN DEMAT FORM

Depository Participants (DPs) are advised to refer to CDSL Communiqué No. **CDSL/OPS/DP/POLCY/2026/489** dated July 21, 2026, disseminating the SEBI Circular no. **HO/47/14/13(2)2026-MRDPOD2/I/16590/2026** dated July 17, 2026, on "**Extending facility of creating standing instructions for Systematic Withdrawal Plan (SWP) / Systematic Transfer Plan (STP) for Mutual Fund units held in demat form**".

In accordance with aforesaid SEBI circular, Standard Framework in consultation with SEBI, Stock Exchanges, Clearing Corporations and Mutual Fund RTAs are enclosed herewith as **Annexure A**.

CDSL operational modalities for implementation of the aforesaid facility will be communicated separately.

DPs are advised to take note of the same.

Queries regarding this communiqué may be addressed to: CDSL – Helpdesk Emails may be sent **to:** dprtasupport@cdslindia.com and connect through our IVR Number **022-62343333.**

For and on behalf of
Central Depository Services (India) Limited

sd/-

Shelton Joseph
AVP – Operations

Annexure - A

EXTENSION OF THE FACILITY FOR CREATING STANDING INSTRUCTIONS FOR SYSTEMATIC WITHDRAWAL PLAN (SWP)/ SYSTEMATIC TRANSFER PLAN (STP) FOR MUTUAL FUND UNITS HELD IN DEMAT FORM

Classification : Internal

1. Background

SEBI vide circular reference number HO/47/14/13(2)2026-MRD-POD2/I/16590/2026 dated July 17, 2026, extended the facility of creating standing instructions for Systematic Withdrawal Plan (SWP)/ Systematic Transfer Plan (STP) for Mutual Fund units held in demat form. Following officials are present during the discussions.

Organisation	Name of Person
National Securities Depository Ltd.	Mr. Prashant Vagal Mr. Parthiv Dave
Central Depository Services	Mr. Ashish Bhatt Mr. Prashant Kokate Mr. Wenceslaus Furtado Mr. Shelton Joseph
NSE	Mr. Milton Dias
NSE Clearing Ltd.	Mr. Onkar Phadnavis Ms. Archana Upadhye
BSE	Mr. Ketan Jantre Mr. Mahesh Tare
Indian Clearing Corporation Ltd.	Mr. Mehul Parikh Mr. Aaron Andrandes
CAMS	Mr. E S Varadarajan
KFIN	Mr. Santosh Mansingh Ms. Gayathri Balasubramaniam

Version	Description of Change	Date
Draft	Initial Release	13-Oct-2026
1.0	Incorporated Review Comments	28-Oct-2026

Classification: Internal

2. Executive Summary

Systematic Withdrawal Plans (SWP) and Systematic Transfer Plans (STP) are widely used investment mechanisms for mutual fund units in SoA/folio mode in the mutual fund industry, enabling investors to redeem or transfer mutual fund units at predefined intervals.

Demat account holders currently do not have the facility to register the long-term standing instructions for SWP/STP in respect of Mutual Fund units held in demat mode. They are required to manually place each redemption request along with the Delivery Instruction Slip (DIS) for each debit instruction through the Depository Participant for redemption/withdrawal and transfer of Mutual Fund units held in demat mode.

Accordingly, SEBI vide its circular No. HO/47/14/13(2)2026-MRD-POD2/I/16590/2026 dated July 17, 2026, has extended the facility of creating standing instructions for Systematic Withdrawal Plan (SWP)/ Systematic Transfer Plan (STP) for Mutual Fund units held in demat form.

The investors holding mutual fund investments in demat mode can avail the facility of SWP/STP by creating initial mandate for periodic redemption/transfer of specified number of Mutual Fund units or amount from one scheme of Mutual Fund to another scheme of the same Mutual Fund, by way of redemption from one scheme and subscription to the other scheme of the same Mutual Fund.

This document describes the standard operating guidelines with respect to availing the facility of SWP/STP in respect of Mutual Fund units held in demat mode.

Classification: Internal

3. SWP/STP Process via Stock Exchange Platform for MF units held in Demat form

The demat account holder desirous of availing the facility of SWP/STP needs to provide an initial mandate as per the process prescribed below:

- The demat account holder can submit one-time mandate through its Depository Participant by submitting a mandate in physical or electronic mode.
- The demat account holder shall also have the facility to submit the initial mandate form on the Exchange platform through its Distributors or Members registered on Stock Exchange Platforms (viz., NSE's MFSS and BSE's StarMF).
- The Depository Participant on receipt of the one-time mandate shall capture the same in Depository system in the manner as provided by the Depositories.
- In case of a joint demat account, the OTP and mandate-related communications shall be sent only to the PAN-linked mobile number and email ID of the first holder as available in demat account. The first holder shall be treated as the primary account holder for the purpose of mandate registration, authentication, and all related communications.

Maintaining Master Data

As per extant process, the Stock Exchanges (viz., NSE and BSE) will continue to maintain the list of eligible ISINs for SWP / STP facility based on the information received from QRTAs. Depositories will rely on the validations of Stock Exchanges for acceptance of one-time mandate registration from the defined channels.

Guidelines for maintaining master data in respect of SWP and STP processes are as follows :

a. SWP:

i. The **list of eligible ISINs** of open-ended schemes on which SWP is allowed along with the start date and end date (as and when this facility is withdrawn by the AMC) will be provided to the Stock Exchanges by RTAs on regular basis.

ii. The acceptance of new SWP instructions will be stopped from the end of day (EOD) of the end date mentioned. In general, the facility of SWP may be permitted as long as the ISIN of open-ended schemes is active.

iii. SWP facility shall not be available for closed ended / fixed maturity plans (FMP) and open-ended equity-linked savings scheme (ELSS) / children / retired schemes or any such schemes during lock-in period. The schemes can be allowed during the period wherein the lock-in period is completed.

Classification: Internal

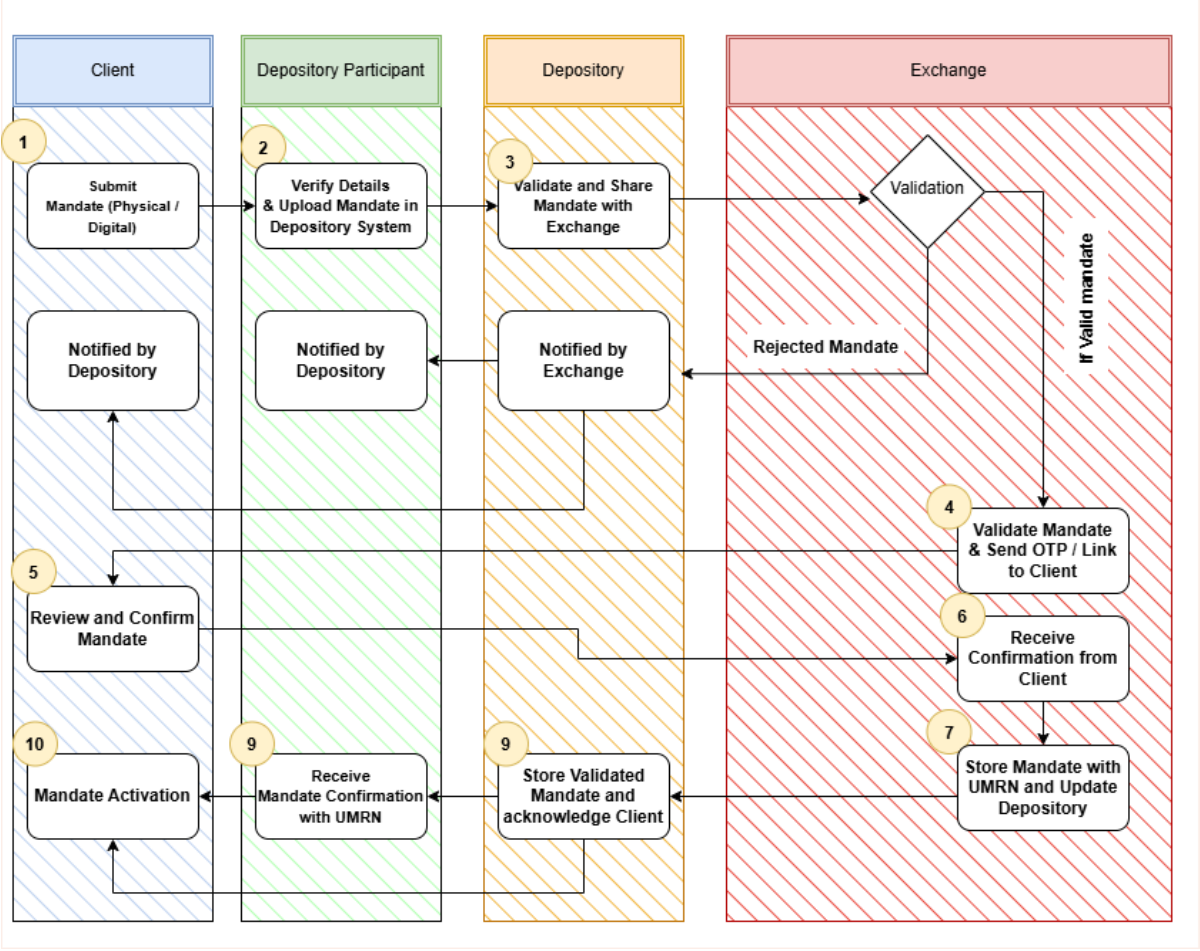
b. STP:

i. The **list of eligible ISIN combinations** of open-ended schemes on which STP is allowed along with the start date and end date (as and when this facility is withdrawn, or the ISIN combination changed) will be provided to the Stock Exchanges by RTAs on regular basis.

ii. The end date field may be required only if the eligibility of ISIN may change over a period and that eligibility status of STP against ISIN needs to be mentioned.

iii. The acceptance of new STP will be stopped from the EOD of the end date mentioned. In general, the facility of STP may be permitted only if the ISIN of open-ended schemes is active. STP-out facility shall not be available for closed ended/FMP and open ended ELSS and open ended ELSS/ children/retired schemes or any such schemes during lock-in period. Further, STP-in shall not be applicable for liquid / overnight schemes. The schemes can be allowed once the lock-in period is completed.

Mandate Registration (through Depository Participant)



Classification: Internal

A. Investor can submit mandate registration form (either in Physical mode or digitally) to the Depository Participant (DP).

B. DP will capture required registration details in the Depository system.

C. Once mandate details are submitted to the Depository by DP, the client will receive the confirmation link on registered mobile number and/or email address from the Depository to validate and confirm the mandate registration details captured by DP. Such mandate request will be marked as "**Pending for Client Confirmation**".

D. On confirmation, the client shall receive the OTP on registered mobile number and/or email address from the Depository to authenticate and authorise the mandate information. If the client fails to confirm the details before EOD of next business day, the Depository system will auto-cancel the captured mandate details and notify the client with remarks as "**Auto cancelled by Depository**.".

E. Once client authorises the mandate registration by entering correct OTP, the mandate will be shared with respective Stock Exchange platform for further validation and marked as **"Sent to Exchange"**.

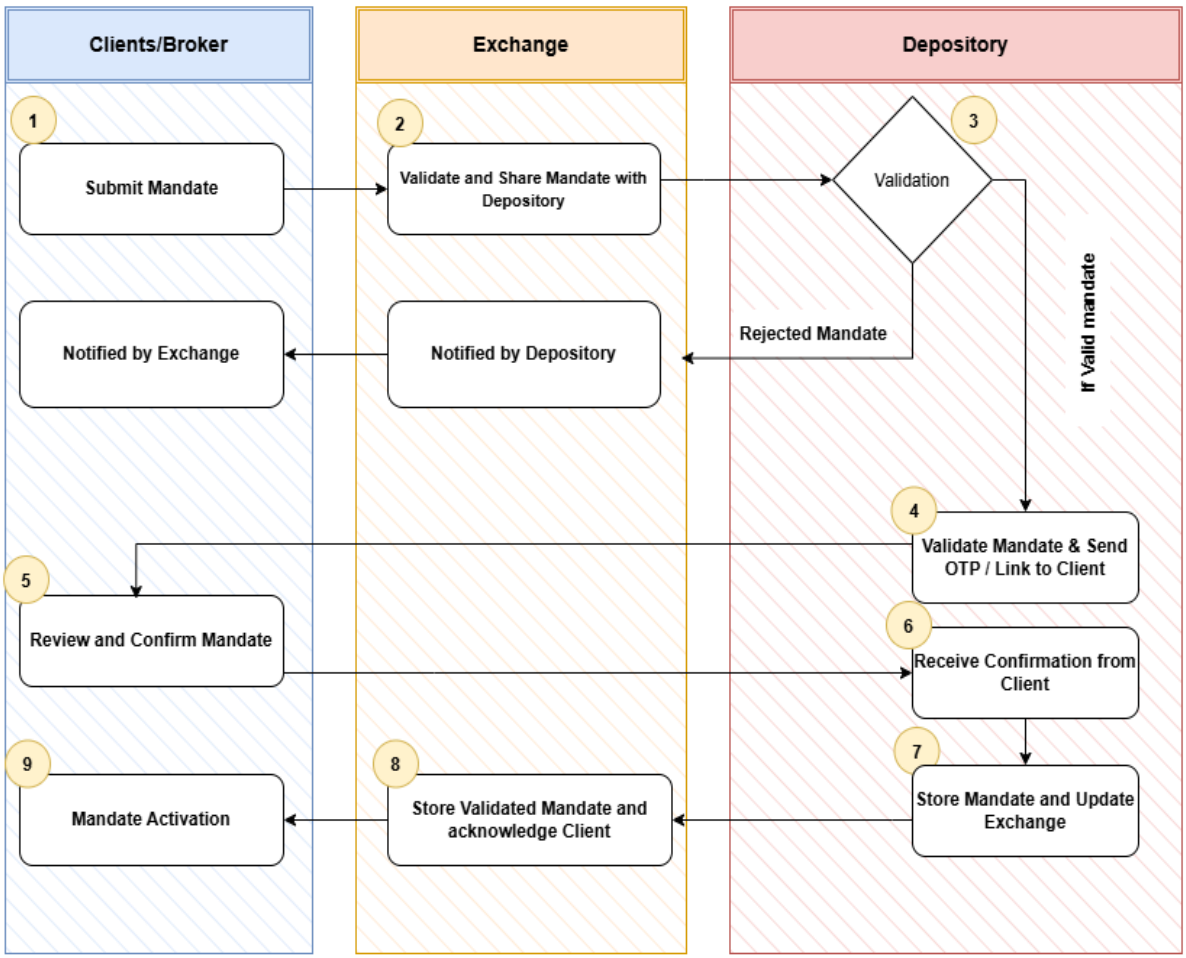
F. The Stock Exchange shall further validate the details viz., UCC details, Broker / sub-broker / ARN specific details and ISIN / MF Scheme details. Refer Annexure A for list of fields and response details.
   - For Validated mandate, client will receive separate confirmation link from respective exchange platform for consent and confirmation.
   - Once client provides the consent for the mandate details, the Exchange platform will mark the entry as "Valid", generate the UMRN and share the UMRN along with validated mandate details with respective Depository.
   - In case the mandate gets rejected at exchange platform, investor will get the notification through SMS/Email for the rejection, and the mandate will be marked as "**Rejected by Exchange".**
   - The exchange platform will also notify the client for "Valid" mandate details and once consent is provided to the exchange platform.

G. The exchange platform will pass on the status (viz., "Valid" or "Rejected by Exchange") to the respective Depository and same shall be reflected in the Depository system. For mandates accepted by Exchange, the mandate in depository system would be marked as "**Active**".

H. In case of rejected mandate rejection, investors may re-initiate and submit a fresh mandate subsequently.

Classification: Internal

Mandate Registration (Exchange Platform)



A. Client can initiate mandate registration through Exchange Platform or via Broker / Distributor wherein client will submit all the required details in the mandate form (Refer Annexure A).

B. Once mandate details are filled up and validated by the Exchange platform, client will receive the bit.ly link wherein client can review the submitted details and authenticate the request via OTP confirmation.

C. Such authenticated request along with UMRN number will be shared with the respective Depository maintaining the client's demat account. Such UMRN will be marked as **"Validated and Sent by Exchange"**.

D. Depository will validate the details viz., demat account number, PAN and holding (Refer Annexure A). Post successful validation of Depository specific details, client will receive the bit.ly link from respective Depository for obtaining consent and register initial mandate with the Depository.

Classification: Internal

E. Once client authenticates the consent for mandate, depository will record the accepted / validated mandate details and share the status as "Valid" with Exchange platform.

F. Exchange will store the accepted mandate, and the status in both Exchange platform and Depository system will be shown as **"Active"**

G. If mandate gets rejected at depository due to client not providing consent or demat account is suspended or not linked to given PAN, the client will get the notification through SMS/Email for the rejection, and the mandate status will be updated as "**Rejected by Depository."**. This information is also shared with respective Exchange platform by the Depository.

H. For rejected mandate registration, client may reinitiate and submit the fresh mandate request subsequently.

Format of Unique Mandate Reference Number (UMRN)

Unique Mandate Reference Number (UMRN) will be generated in the Exchange system. The UMRN will be common and unique across depositories and exchange platforms.

The format for Unique Mandate Reference Number (UMRN) shall be:

<MemberID><ClientPAN><Depository><Exchange><SeqNo>

wherein:

SeqNo can be <Serial Number – upto 6 digits> and

<Date of Registration in YYMMDD format>

The total length can be up to 30 digits.

Field Structure

Field	Description	Length
MemberID	Trading Member / DP Member ID	4
ClientPAN	PAN of the client	10
Depository	N / C	1
Exchange	NSE / BSE	3
SeqNo	Running Serial Number	6
YYMMDD	Date of Mandate Registration	6
Total Length		30

Classification: PUBLIC / Internal

For example:

Client PAN: AABPC1234D

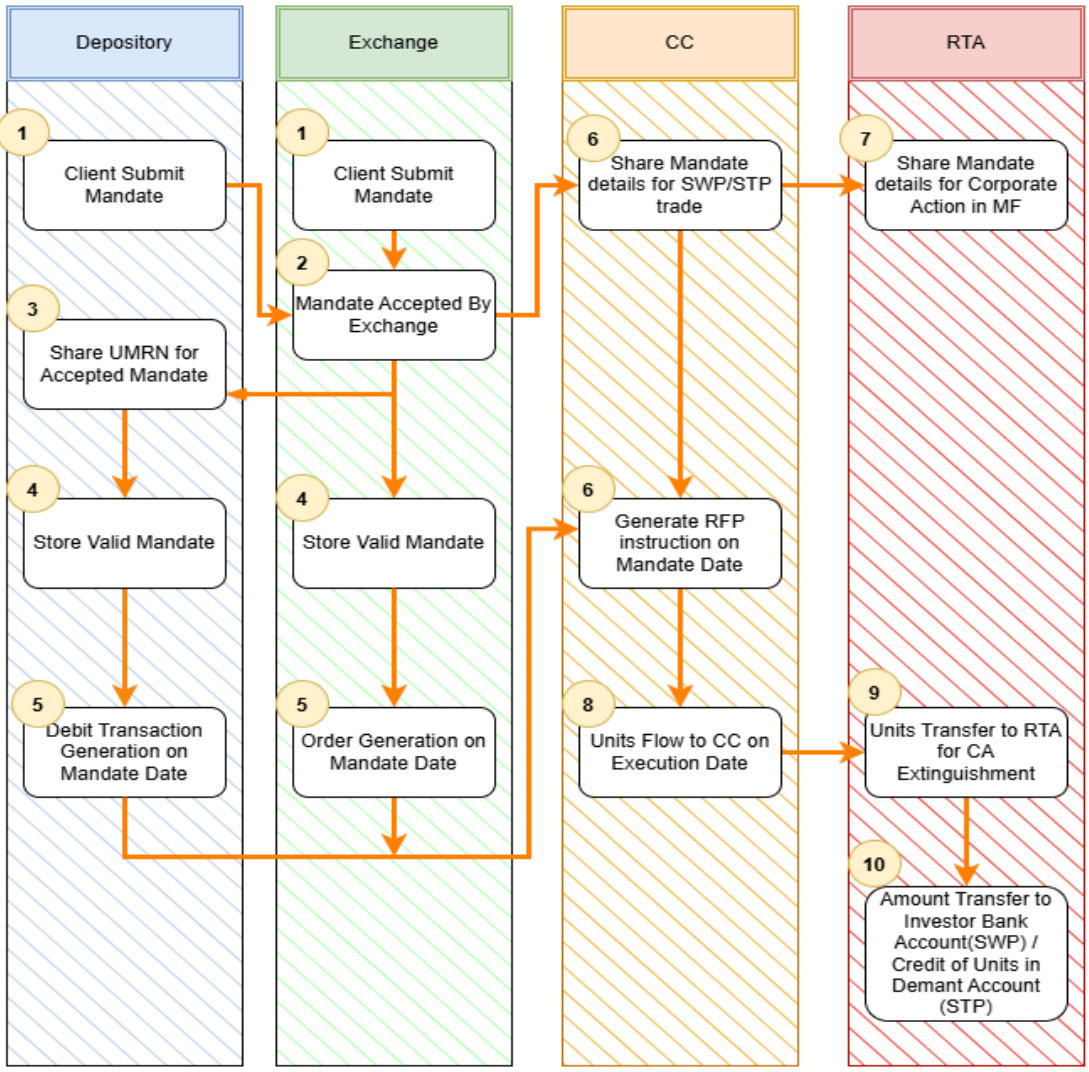
Member ID: 0123

Registration Date: 16-Jun-2026 (260616)

Sequence Number: 000001

Depository	Exchange	UMRN
NSDL	NSE	0123AABPC1234DNNSE000001260616
CDSL	NSE	0123AABPC1234DCNSE000001260616
NSDL	BSE	0123AABPC1234DNBSE000001260616
CDSL	BSE	0123AABPC1234DCBSE000001260616

High Level Process Flow



Classification: Internal

Initial Mandate Capture Process

Step 1: Client submits one-time mandate to DP / Broker.

Step 2: The initial mandate captured by DP / Broker is shared with the Exchange for validation.

Step 3: Exchange shall validate the UCC and ISIN / Scheme related details in the mandate captured by DP / Broker. For accepted mandates Exchange shall generate Unique Mandate Reference Number (UMRN) and share the same the Depository along with UMRN.

Step 4: The accepted mandates are also stored in the Stock Exchange and Depository platform for future reference.

Execution of Mandate on defined frequency

Step 5: Basis the accepted mandate information stored in Exchange platform, the Stock Exchange shall trigger the sell order (either to redeem units or to transfer units of debit ISIN) on the exchange's order platform.

Basis the order generated by exchange, Broker / Distributor will execute debit instruction through its Depository Participant in the Beneficial Owner Account pursuant to a valid and subsisting SWP/STP mandate information. Depository shall validate the instruction executed by Broker/Distributor against SWP/STP mandate stored in the Depository system along with the corresponding settlement number, market type and execution date provided in the instruction.

Step 6: The Clearing Corporation (CC), on receipt of the sell order details from respective stock exchange, will submit the receipt-in instruction to receive the units from client's demat account to CC's designated pool account during pay-in of the corresponding settlement number and market type.

Step 7: The mandate details for which sell order and receipt-in instruction is also shared with the respective QRTA by the stock exchanges as an intimation.

Step 8: On pay-in process execution, the units are credited to CC's designated pool account.

Step 9: As a part of the existing pay-out process, the CC shall transfer the units received in pay-in to the designated beneficiary account of AMC for further processing. The QRTA, basis the information received, shall process the corporate action (CA) to extinguish the units in Depository system.

Classification: Internal

Step 10: In case of SWP, redemption proceeds will be directly credited by MF-RTA to clearing house's bank account for onward remittance to the investor's bank account, in case of STP, MF-RTA settle the units to the clearing house pool account for onward transfer to units directly to the investor's demat account.

4. Settlement Process of SWP/STP Mandate on Execution Date

a. On the execution date of the mandate, the debit instruction (based on SWP/STP Mandate) shall have "UMRN" captured in the "Internal reference / remarks" field.

b. The Clearing Corporation (CC) shall upload receipt-in instruction in respective depository to receive the units from client to CC's specific settlement account under specific market type and settlement number corresponding to the mandate execution date.

c. There may be other instructions from clients / BOs that are submitted to DPs via regular channels and not related to SWP/STP mandate. Such instructions shall follow extant process of settlement without UMRN in "Remarks" field.

d. The depository system shall match both credit and debit instruction. The quantity mentioned in receipt-in instruction and that in mandate (i.e., identified by UMRN) should match. Where UMRN is not provided by CC, such records to be processed based on the corresponding DIS as per extant process. On successful matching, CC shall receive credit of the MF units in CC's specific settlement account during pay-in process.

e. Subsequently, the pay-out process between CC and AMC/MF-RTA shall remain as-is wherein either redemption proceeds will be directly credited by MF-RTA to clearing house's account for onward remittance to the investor's bank account in case of SWP or settle the units to the clearing house pool account for onward transfer to units directly to the investor's demat account in case of STP.

5. Exception Handling

5.1 Modification / Cancellation of Mandates: (Refer Annexure C)

Classification: PUBLIC / Internal

- Modification in any of the parameters will not be allowed for any Mandate. For any modification, the client will have to cancel the mandate and register a new one.

- Client may request cancellation of SWP/STP Mandates through Broker/Distributor via Exchange platform or through the Depository Participant / Depository.

- Client can cancel the SWP/STP Mandate till 3 days prior to the next instalment:
  Through Exchange Platform:
  - Member initiates the cancellation mentioning the UMRN.
  - The client authenticates the same.
  - The UMRN will be considered as cancelled after authentication from the client.

  Through DP/Depository:
  - Client initiates the cancellation mentioning the UMRN.
  - The client authenticates the same by OTP sent to registered mobile number and/or email address in the demat account.
  - The UMRN will be considered as cancelled after authentication from the client.

- Post marking the UMRN as Cancelled on client's request, respective entity (viz., Exchange / Depository) needs to inform the same to other entity (viz., Depository / Exchange) for updating the mandate details. The following details will be shared between the Exchange and the Depository:
  - UMRN
  - Date of Cancellation

- Post cancellation, no future orders or instructions will be executed for the specific UMRN.

  Standard interface for integration between Exchange and Depository shall be made available, subject to technical feasibility and evaluation.

5.2 Scheme Change – SWP/STP Mandate Cancellation & Re-registration

When an investor intends to change the scheme under an existing Systematic Withdrawal Plan (SWP) or Systematic Transfer Plan (STP), the modification cannot be processed under the existing mandate. In such cases, the investor is required to:

- Cancel the existing SWP/STP mandate linked to the current scheme.
- Submit a fresh request for the new scheme.
- The new request must be routed through the Exchange or Depository platform, following the standard mandate registration process.

Classification: Internal

- Cancellation should be done only in the source where the mandate is originally registered.

The process of cancellation of Mandate is already covered in Section 5.1.

5.3 Failed Execution of Mandate

The failed execution of SWP/STP instalment basis the mandate can be due to various reasons (such as, insufficient balance, validation failure during processing of instruction, etc.) or any exception event at Exchange or Depository.

Where a request is rejected during processing on Exchange or Depository:

1. Rejection reasons along with detailed descriptions will be shared between Exchange and Depository.
2. The client will be intimated by the respective entity (i.e., Exchange, CC, Depository, MF-RTA) wherein the validation is failed.
3. No automatic reprocessing shall be undertaken by the Depository. The Depository shall not be liable for any loss, damages, costs or consequences arising from such rejection, failure or non-execution.

5.4 Handling of Holidays / Non-business Days: (Refer Annexure C)

1) Trading Holidays:

- In this case, the following details will be shared by the Exchange to the Depositories:
  - The entire calendar of Trading holidays for the year.
  - In case of sudden declaration of Trading holiday by Government authorities, the Exchange will share the details to Depository by the next working day.
- The Clearing Corporation will also share the updates on the settlement calendar (if any) to the Depository, as per extant process.

2) Clearing Holidays:

- In this case, the following details will be shared by the Exchange/ CC to the Depositories:
  - The entire calendar of Clearing holidays for the year
  - In case of sudden declaration of Trading holiday by Government authorities, the Exchange/ CC will report the order on the next working day.
  - The Depository shall update the holiday details in the system.

3) Non-Business Day:

- In this case, the following details will be shared by the Exchange to the Depositories
  - ISIN

Classification : Internal

- Non-Business Day from and to Dates
- Reason for Non – Business Day

- In this case, any mandates for given ISIN having instalments for this date will get executed on the next business day.
- The communication will be done by the Exchange on the receipt of communication from the AMC or one day prior to the date of non-business day, whichever is earlier.
- The Depositories will have to make a provision to mark the same in their records as well.

  Standard interface for integration between Exchange and Depository shall be made available, subject to technical feasibility and evaluation.

5.5 Scheme Mergers (ISIN getting merged): (Refer Annexure D)

- In this case, the following details will be shared by the Exchange to the Depositories
  - Source/Old ISIN
  - Target / New ISIN
  - New Quantity
  - Date of Merger

- On receipt of such information, the UMRNs having the source ISIN will be updated with the target ISIN and new quantity with effective from the date of merger.
- The communication to the client will be done by the Exchange on the receipt of communication from the AMC or one day prior to the date of merger, whichever is earlier.
  The Depositories will have to make a provision to mark the same in their records as well. Standard interface for integration between Exchange and Depository shall be made available, subject to technical feasibility and evaluation.

5.6 Temporary Suspension of scheme: (Refer Annexure E)

- In this case, the following details will be shared by the Exchange to the Depositories
  - ISIN
  - Scheme Suspension Date
  - Exchange notice number for necessary updation at UMRN level
- In this case, any mandates having orders from scheme suspension date will not be reported.
- The communication will be done by the Exchange on the receipt of communication from the AMC or one day prior to the date of Temporary suspension of scheme , whichever is earlier.
- Suspension on STP will be dependent on underlying transaction and scheme. For example, if the suspension is on fresh subscriptions, Switch-in cannot happen hence STPs involving switch-in into the suspended scheme is to be

Classification: BSE Internal

suspended. Alternatively, if fresh subscription is suspended in the source scheme of an STP, it can continue.

- Similar consideration will be applicable for schemes involving suspension of outflows. Accordingly, on receipt of communication from AMC, Exchange will validate STP registrations depending on the scenarios and communicate the same.
- The Depositories will have to make a provision to mark the same in their records as well.

5.7 Activation Process of Temporary suspended scheme: (Refer Annexure E)

- In this case, the following details will be shared by the Exchange to the Depositories
  - ISIN
  - Scheme Activation Date
  - Exchange notice number for necessary updation at UMRN level
- In this case, any mandates having orders from date of Activation of temporary suspended scheme should get reported.
- The communication will be done by the Exchange on the receipt of communication from the AMC or one day prior to the date of Activation of temporary suspended scheme, whichever is earlier.
- The Depositories will have to make a provision to mark the same in their records as well. Standard interface for integration between Exchange and Depository shall be made available, subject to technical feasibility and evaluation.

5.7 Pause of Mandate: (Refer Annexure F)

- Exchange will allow PAUSE of Mandates till 3 days prior to the next order to be reported.
  - Member initiates the pause mentioning the UMRN.
  - The client authenticates the same.
  - The UMRN will be considered as pause only after authentication from the client.
- Pause of Mandates should be allowed at the Exchange as well as at Depository end.
- Respective entity will share the Pause request data with each other for updating the mandate details at their end.
- In this case, the following details will be shared by the Exchange to the Depositories & vice-versa.
  - UMRN
  - No of Instalment(s) to be paused.
  - Next mandate generation date
- In this case, any UMRN mandates marked for PAUSE will not be reported/executed.
- In this case, no future orders will be reported to the Depositories till no of instalments for pause.

Classification : Internal

- The Depositories will have to make a provision to mark the same in their records as well and provide response. Standard interface for integration between Exchange and Depository shall be made available, subject to technical feasibility and evaluation.

Classification: Internal

Annexure A: Mandate Registration

The client will provide following details for mandate registration of complete SWP/STP functionality:

SR No	Field / Input	Description	Validation Responsibility	Action Required	Validation Authority
1	**Transaction Type (SWP/STP)**	Indicates whether transaction is Systematic Withdrawal Plan (SWP) or Systematic Transfer Plan (STP).	N/A – User Selection	N/A	N/A
2	**BO ID (DP ID + Client ID)**	Demat account identifier from which units will be debited.	Depository validates PAN linked to the given DP ID + Client ID.	Verify BO ID is active.	Respective Depository (NSDL/CDSL) where client is having demat account
3	**Client PAN**	Investor PAN for identification.	validates PAN in the depository system	PAN is linked to the given demat account (DP ID + Client ID).	
4	**Exchange Platform (NSE MFSS / BSE StarMF)**	Platform through which mandate execution will occur.	N/A – User Selection	N/A	N/A
4.A	**Client UCC**	Unique Client Code assigned by member on exchange platform.	Exchange validates UCC existence and status.	Confirm UCC belongs to PAN and BO ID.	Exchange
4.B 1	**Trading Member ID**	Exchange member identifier.	Platform validates active member status.	Ensure valid member-participant relationship exists.	Exchange

Classification: Internal

SR No	Field / Input	Description	Validation Responsibility	Action Required	Validation Authority
4.B 2	**Clearing Member ID**	Member ID allocated by the CC for the said Trading Member to settle MF transactions	Platform validates active member status.	Ensure valid member-participant relationship exists.	Exchange
4.C	**ARN Number (Exchange Route)**	Distributor ARN associated with transaction.	ARN validation through AMFI records.	Verify ARN validity and active status.	Exchange
5	**Debit ISIN & Description**	Source scheme ISIN from which units/value will be withdrawn.	Exchange validates ISIN details against the ISIN master		Exchange or AMC/RTA (Depending on platform selection)
6	**Units OR Amount to be Debited**	Withdrawal instruction can be in units or monetary value.	N/A	Verify transaction amount/unit meets scheme eligibility.	Exchange
7	**Credit ISIN & Description (STP Only)**	Destination ISIN for transfer of investments.	Exchange validates ISIN details against the ISIN master	Confirm destination scheme is eligible for STP.	Exchange
8	**Frequency** · **Daily** · **Weekly** · **Monthly** · **Quarterly**	Defines execution cycle.	System validates scheme-supported frequencies as per ISIN Master	Select frequency as per mandate requirements.	Exchange
9	**Tenure / Validity**	Duration for which mandate remains active.	N/A	N/A	Exchange

Classification: Internal

SR No	Field / Input	Description	Validation Responsibility	Action Required	Validation Authority
10	**Effective From Date**	First execution date for mandate.	System validates future date and business day rules.	Verify start date is valid and executable.	Exchange
11	**Effective To Date**	End date derived from tenure and start date.	System calculates and validates period.	Confirm validity period before mandate submission.	Exchange
12	**STP/SWP Registration Date**	Date on which the STP/SWP mandate is registered in the system.	N/A	N/A	N/A
13	**EUIN Declaration (Optional)**	Declaration indicating whether the transaction is executed based on advice from a relationship manager, distributor representative, or advisor.	Exchange / AMC-RTA validates declaration selection when ARN is provided.	Capture Yes/No declaration as per regulatory requirements.	Exchange or AMC/RTA
14	**EUIN Number (Optional)**	Employee Unique Identification Number (EUIN) of the advising salesperson/distributor representative.	EUIN validated against AMFI records and mapped ARN.	Verify EUIN is active and associated with the specified ARN.	Exchange / AMC-RTA / AMFI
15	**Sub Broker ARN Code (Optional)**	ARN code of the registered sub-broker involved in the transaction.	ARN verification through AMFI records.	Validate ARN status and mapping with the primary ARN.	Exchange / AMC-RTA / AMFI

Classification: Internal

SR No	Field / Input	Description	Validation Responsibility	Action Required	Validation Authority
16	**Sub Broker Code (Optional)**	Internal code assigned to the sub-broker by the distributor/member.	Member/Distributor validates code mapping.	Verify sub-broker code belongs to the specified Sub Broker ARN.	Exchange Member / Distributor
17	**EMAIL ID (Authentication done)**	Registered email ID of the investor used for transaction communication and authentication.	Authentication system validates email through OTP/registered records.	Verify email matches investor records and authentication is successful.	Exchange / AMC-RTA / KRA Records
18	**MOBILE NO (Authentication done)**	Registered mobile number of the investor used for OTP-based authentication and notifications.	Authentication system validates mobile number through OTP and registered records.	Verify mobile number belongs to the investor and authentication is successful.	Exchange / AMC-RTA / KRA Records

Classification: CDSL Internal

Annexure B: Mandate Details Shared Between Depository and Exchange and their Response Feeds

	Data Flow from Depository to Exchange		Data Flow from Exchange to Depository	
Sr No	**Depository Data**	**Exchange Response Feed**	**Exchange**	**Depository Response Feed**
1	Transaction Type i.e., SWP or STP		Transaction Type i.e., SWP or STP	
2	BO ID (viz., DP ID + Client ID		BO ID (viz., DP ID + Client ID	
3	Client PAN		Client PAN	
4	Client UCC		Client UCC	
5	Member ID of the Exchange Platform		Member ID of the Exchange Platform	
6	ARN No.		ARN No.	
7	ISIN to be debited		ISIN to be debited	
8	No. of units to be debited		No. of units to be debited	
	Amount		Amount	
9	ISIN to be credited		ISIN to be credited	
10	Frequency		Frequency	
11	Tenure		Tenure	
12	Effective From Date		Effective From Date	
13	Effective To Date		Effective To Date	
14	STP/SWP Registration Date		STP/SWP Registration Date	
15	EUIN Declaration		EUIN Declaration	
16	EUIN Number		EUIN Number	
17	Sub Broker ARN Code		Sub Broker ARN Code	
18	Sub Broker Code		Sub Broker Code	
19	EMAIL ID (Authentication done)		EMAIL ID (Authentication done)	
20	MOBILE NO (Authentication done)		MOBILE NO (Authentication done)	
21	UMRN Number	UMRN Number	UMRN Number	UMRN Number
22	Status	Accepted/Rejected		Accepted/Rejected

Classification: Internal

23	Reason	Reason Code/Description (if Rejected)		Reason Code/Description (if Rejected)

Annexure C: Cancellation of Mandate Details Shared Between Depository and Exchange and their Response Feeds

	Data Flow from Depository to Exchange		**Data Flow from Exchange to Depository**	
Sr No	**Depository Data**	**Exchange Response Feed**	**Exchange**	**Depository Response Feed**
1	UMRN Number	UMRN Number	UMRN Number	UMRN Number
2	Cancellation Request Date	Cancellation Request Date	Cancellation Request Date	Cancellation Request Date
4	BO ID (viz., DP ID + Client ID		BO ID (viz., DP ID + Client ID	
5	Client PAN		Client PAN	
6	Client UCC		Client UCC	
7	Member ID of the Exchange Platform		Member ID of the Exchange Platform	
8	ARN No.		ARN No.	
9	Initiated by :- Investor or Depository		Initiated by :- Investor or Exchange	
10	Remark		Remark	
11		Accepted		Accepted

Annexure D: Details Exchange Between Exchange & Depository: - Scheme Mergers (ISIN getting merged):

Sr No	**Particulars**	**Shared By Exchange**	**Depository Response Feed**
1	UMRN	Mandatory Filed	**UMRN**
2	Date of Merger	Mandatory Filed	
3	Source ISIN	Mandatory Filed	
4	Target ISIN	Mandatory Filed	
5	Quantity	Mandatory Filed	
6	Status		**Accepted /Reject**
7	Remark		**Rejection Reason**

Classification: CDSL Internal

Annexure E: Details Exchange Between Exchange & Depository: - Temporary suspension of scheme & Activation of temporary suspended scheme

Sr No	Particulars	Shared By Exchange	Depository Response Feed
1	Type :- Temporary suspension/ Activation of temporary suspended scheme	Mandatory Filed	Type:-Temporary suspension /Activation of temporary suspended scheme
2	UMRN	Mandatory Filed	**UMRN**
3	ISIN	Mandatory Field	
4	Scheme Suspension Date (In case Temporary suspension of scheme)	If Type Temporary Suspension Mandatory else optional	
5	Scheme Activation Date (In case Activation of temp Suspended scheme)	If Type Activation of temporary suspended scheme Mandatory else optional	
6	Exchange notice number for necessary updation at UMRN level		
7	Status		Accepted /Rejected
8	Remark		Rejection Reason

Annexure F: Details Exchange Between Exchange & Depository: - Pause of Mandate

Sr No	Particulars	Shared By Exchange	Depository Response Feed
1	Type :- Pause of Mandate	Mandatory Filed	Type :- Pause of Mandate
2	UMRN	Mandatory Filed	UMRN
3	No of Instalment till mandate is paused (In Case Paus of Mandate)	Mandatory Filed	
4	Next mandate generation date (In Case Paus of Mandate)	Mandatory Filed	
5	**Status**		Accepted /Rejected
6	**Remark**		Rejection Reason

Classification : Internal