



# Central Depository Services (India) Limited

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## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/A,I&C/DP/POLCY/4685

September 04, 2014

### SCANNING OF DELIVERY INSTRUCTION SLIPS (DIS) – AUDIT REQUIREMENTS

DPs are requested to refer to SEBI circular no. **CIR/MRD/DP/01/2014** dated January 07, 2014 and CDSL communiqué no. **CDSL/OPS/DP/POLCY/4488** dated June 09, 2014 whereby DPs were informed about Standardization of DIS, Issuance and processing of Transactions and the requirement of scanning of images of DIS. DPs are advised to follow the below mentioned procedure and maintain audit trail of scanning the DIS.

1. The DIS should be scanned and stored in a file by the end of next working day after it is entered in the depository system by the Main DP/Live connected Branch DP. The DP should save the scanned image as.tiff file. The scanned image of DIS should be legible. Recommended Dots per Inch required for scanning is 100 DPI.
2. If any DIS is required to be rescanned, both images (originally scanned & rescanned) should be stored.
3. The DP should scan and store each DIS **separately** with the file name as -  
<DIS serial no.>-O.0001 for all entered DIS. **e.g.** If DIS number is ABCD000000012546 ( same example is repeated in the entire communiqué) then file name for original DIS scanned would be "ABCD000000012546-O.0001.tiff". (O = Original DIS). In case of rescanning of the same DIS, the file name would be-  
"ABCD000000012546-R.0001.tiff"(R =Rescanned DIS).  
For DIS number, alpha part is optional. If DIS number does not have alpha part, the numeric sequence should be prefixed to make it as 12 digits. e.g. DIS sequence number is 123 the scanned file name will be 000000000123-O.001.tiff
4. In case of DIS with annexures, each page of annexure should also be separately scanned along with the DIS. The file name for scanned DIS would be -  
"ABCD000000012546-O.0001.tiff". (O= Original DIS) and for scanned annexures it would be "ABCD000000012546-O.0002.tiff".(i.e.Annexure1) If there are more pages of annexures, DP should give successive numbers e.g.  
"ABCD000000012546-O.0003.tiff" (i.e. Annexure 2) and so on.  
In case of rescanning of same DIS along with annexures, the file name would be "ABCD000000012546-R.0001.tiff"(R=Rescanned DIS). For rescanning of annexures to that DIS, the file name would be-  
"ABCD000000012546-R.0002.tiff"



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The annexures / computer print-outs should be scanned without compromising the legibility.

5. In case of instructions executed on the basis of fax copy of DIS received from BOs, the fax copy should bear either on the front or back of the DIS a stamp stating that "This is a hardcopy of DIS with serial no. ----- of the fax transmission to you, transmitted on \_\_\_\_\_ day of \_\_\_\_\_ month of \_\_\_\_\_ year."

If the above stamp is affixed on back side of the DIS, then DP should scan both the sides of DIS and store the image with file name -

"ABCD000000012546-F.0001.tiff" (F=Fax instruction) and for the scanned image with stamp affixed on the back side of DIS, the file name would be -

"ABCD000000012546-F.0002.tiff"

After receipt of Original DIS of Fax instruction, it should be scanned and image should be stored with file name "ABCD000000012546-FO.0001.tiff" (F= Fax instruction, O = Original DIS). The Original DIS should be scanned by the end of the next working day of the date of receipt of DIS. If original DIS is lost in transit, the DP should take confirmation from the BO for having issued that DIS.

6. In case of DIS used by a BO in a dormant account, if the details of verification are written on the back-side of the DIS, the DP should scan both the sides of DIS. If DIS of a dormant account is entered in CDAS by the service centre and verification with BO is done by the Main DP, the Main DP should scan the copy of DIS with verification done by it. The file name of such DIS would be "ABCD000000012546-O.0001.tiff" (O= Original DIS scanned). For scanned copy of back side of the DIS bearing verification, the file name would be - "ABCD000000012546-O.0002.tiff"
7. **All scanned DIS with the file name as stated above should be uploaded to CDAS system by the end of next working day of set up of transaction.**
8. **Under a new menu "DIS" an option to upload scanned DIS images will be provided with Upload ID 40.**
9. DP can place the DIS scanned image files which are to be uploaded to CDAS system in a directory and zip the directory with name 40<DPID><ddmmyyyy>.<seq no>.zip. e.g. For zip file for date 3<sup>rd</sup> October 2014 and DP ID 000001 zip file name will be , 4000000103102014.001.zip. For the second file upload it will be 4000000103102014.002.zip. **Size of the zipped file should not exceed 3 MB.** A success / failure report for the uploads will be generated which will give list of files accepted/rejected by the system.



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A new report giving the details of those DIS which are used for transaction but scanned image of DIS is not yet uploaded will be provided. The details of the report will be communicated shortly.

10. A DP must continue to have all minimum risk containment features in back office as specified by CDSL and route all transactions through back office before uploading in CDAS. Further, if the DPs have stock of old DIS booklets which meet with the requirement as specified in CDSL communiqué no. CDSL/OPS/DP/POLCY/4488 dated June 09, 2014, DPs can use the same even after 1<sup>st</sup> October, 2014 by entering DIS issuance details in CDAS.
11. CDSL may conduct the inspection of DPs either offsite or onsite. Offsite inspection would be conducted on the basis of scanned image of DIS. However, during onsite inspection, if required/demanded by inspecting official, the original DIS should be made available for verification.
12. Please note that the original DIS should be easily retrievable and made available for verification at any point of time as may be required by CDSL or any other Statutory /Regulatory body.
13. The concurrent auditors shall verify that the DP does scanning of all DISs within a stipulated time and comment to that effect in the concurrent audit report.

Queries, if any, regarding this communiqué may be addressed to **CDSL-Audit**: (022) 2272 5010 / 5152 / 8647 / 8631 or 8564.

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**Satish Budhakar**  
**Senior Vice President & Group Company Secretary**