



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/A,I&C/DP/POLCY/4729

September 25, 2014

Scanning of Delivery Instruction slips (DIS) – Audit Requirements

DPs are requested to refer to CDSL communiqué no. **CDSL/A,I&C/DP/POLCY/4685** dated September 04, 2014 whereby DPs were informed about Scanning of DIS – Audit requirements. We clarify on certain points as under: -

1. We have mentioned in the above referred communiqué that 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 and If any DIS is required to be rescanned, both images (originally scanned & rescanned) should be stored. We may clarify that storing of scanned images is not mandatory, since the scanned images need to be uploaded by the DP to CDSL.
2. Further, in point no. 5 of the above referred communiqué, we have mentioned that 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.”

We may clarify that the said stamp needs to be affixed on the original DIS and not on the fax copy of DIS received from BOs.

3. For DIS entered in the CDSL system on Friday and Saturday the scanned image should be uploaded by Monday. Similarly, for DIS entered in the system, 1 day prior to trading holiday or on trading holiday, the scanned images should be uploaded on the day, after the trading holiday.
4. Following reports will be available to the DP for DIS scanned and uploaded in CDSL system.
 - i) EOD\ On line report of DIS scanned upload outstanding i.e. scanned image is not uploaded – i.e. DPU4
 - ii) Success / Failure report for DIS scanned image uploaded –i.e.DPU5

The Report formats are enclosed as DPU4 (**Annexure-A**) and DPU5 (**Annexure-B**).



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5. If Date and time receipt stamp is affixed on the back side of the DIS by the DP, the DP needs to scan back side of DIS containing receipt stamp/acknowledgement stamp. DIS serial number should be mentioned along with the stamp on the back side of the DIS before scanning the back side of DIS containing receipt stamp. If the DIS serial no. is ABCD000000012546, then file name for front side of DIS would be "ABCD000000012546-O.0001.tiff" and for back side of DIS it would be "ABCD000000012546-O.0002.tiff". Please note that in every file name the number indicating series (e.g. .0001, .0002 etc.) should be 4 digit number with left padded zeroes.
6. **The DP should scan the DIS in a .tiff format only and upload in CDSL system.**
7. **Scanning and uploading of only those DISs issued and entered in the CDSL system on or after 1.10.2014 is required to be done by the DPs.**
8. If the existing stock of old DIS is in line with the standardized format, the DP can use the same as new stock of DIS booklets on or after October 1, 2014. However, issuance details must be entered in the CDSL system.
9. Under a new menu "DIS" an option to upload scanned DIS images has been provided with Upload ID 40. DPs can mock-test the same, the facility for which will be available in CDSL system from 25.09.2014 onwards. The live upload of scanned DIS can take place from 1.10.2014.

Following are the validations applicable for uploading of scanned images of DIS:

- 1) If a file containing rescanned image of DIS is uploaded before uploading Original scanned image file the record will fail. If both images are uploaded in same file, it should be done serially i.e. ABCD000000012546-R.0001.tiff cannot be uploaded before ABCD000000012546-O.0001.tiff
- 2) If a file containing image of annexure of a DIS is uploaded before uploading scanned image of DIS the record will fail. If both images are uploaded in same file, it should be done serially i.e. ABCD000000012546-O.0002.tiff cannot be uploaded before ABCD000000012546-O.0001.tiff.



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10. DPU4 report will be generated as follows:

- i) Report generated in EOD : DIS entered in the system on a day prior as well as on the day for which scanned images are not uploaded :
e.g. Report generated on 10th October, 2014 will contain details of DIS for which transaction has been entered in the system on 9th and 10th October, 2014 but scanned image of DIS is not yet uploaded in the system.
- ii) Report generated online: Details of the DIS for which transaction has been entered in the system for given date range and scanned image is not yet uploaded in CDAS system.

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

sd/-

Satish Budhakar
Senior Vice President & Group Company Secretary

Report Documentation

Report ID : DPU4

Report Description : EOD/Online report for Scanned DIS Upload
Outstanding Report for DP's and CDS

Module : SETTLEMENT

Selection criterion : **Online DPU4** (Report Module)
1. DP ID [Mandatory]
2. Date Range(From and To Date)

EOD DPU4

For displaying DP wise DIS serial numbers where scanned images are not uploaded by DPs in CDAS within one business date after being used by DP for executing transactions. The incremental means the DIS which were used on Xth Day will be considered on X+1 EOD excluding Saturday and trading Holiday.

Report Contents : Scanned DIS Upload Outstanding in CDAS by DP's

Naming convention :

Serial No	Report	Report Name
1	Online DPU4	38DPU4 UO .<Event No>.ddmmyyyyhhmmss
2	DPU4 generated during EOD	38DPU4 UE . ddmmyyyyhhmmss

Report Format : Tilde Separated (Specify in same sequence as Unformatted layout)

Column Name	Data type	Length	Remarks
DP ID	Number	6	
DIS_STATUS	Char	1	Only Closed status DIS will appear here.
BO_ID/POA ID	VarChar	16	
DIS_ISSUE_ENTITY	Char	1	B = BO. P = POA
DIS	VarChar	16	
DIS_ISSUE_DT	Char	8	
DIS_ISSUE_TYPE	Char	1	L = Loose, N = Normal
DIS_SETUP_DT	Char	8	
DIS_SETUP_FIN_YEAR	Char	9	
DIS_BOOKLET_NO	VarChar	16	
ONMKT_OFFMKT_FLG	Number	2	1 = Off Market, 2= On Market
DIS_CLOSE_DT	Char	8	DIS Transaction Setup Date

Tilde separated Footer (One empty Line Between Detail record and footer)

Line count	Total number of lines within report	Number	12
Date	Business date(DD-MON-YYYY)	Char	11
Date and time	System date and time(09-SEP-2014 03:58:35 PM)	Char	24

Report Documentation

Report ID : DPU5

Report Description : Response Report For DIS Scanned Image Upload

Module : SETTLEMENT

Report Contents : Success Failure Report or Response Report for DIS Scanned Image Upload.

Naming convention : 38DPU5U<8 digit CDAS Upload Sequence Number (Zeros left Padded)>.<File setup date>.<File Extension>

Eg:For zip file name 4000000103102014.001.zip the Response File name will be zip file name will be -> **38DPU5U00129858 . 03102014.001**

Report Format : Tilde Separated (Specify in same sequence as unformatted layout)
The fields of the Tilde Separated SUCCESS RECORDS are displayed as follows

Column Name	Data Type	Length	Remarks
DP ID	Number	6	
BO_ID/POAID	VarChar	16	
DIS_ISSUE_ENTITY	Char	1	B= BO , P = POA
DIS	VarChar	16	
FILE_NAME	VarChar	100	DIS Scanned Image File Name
FILE_EXTENTION	Number	5	File sequence number
FILE_SETUP_DATE	Char	8	

A blank Line between Success and Failure Records

The fields of the Tilde Separated FAILURE RECORDS are displayed as follows

Column Name	Description/ Trim	Data Type	Length
FILE_NAME	DIS Scanned Image File Name	VarChar	100
ERROR MESSAGE	Error Encountered in the Line	VarChar	240

A blank line is printed after the failure records.

The SUMMARY RECORD is printed as follows.

ZIP_FILE_NAME~Business Date(DD-MON-YYYY)~Total number of image files~ Total no of successful image Files~ Total number of failure image files.

Note: If the whole Zip file is rejected before starting unzipping then in Failure Records the File name will be blank