



Central Depository Services (India) Limited

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COMMUNIQUE TO DEPOSITORY PARTICIPANTS

CDSL/NP/DP/STMT/4840

November 24, 2014

DISPATCH OF TRANSACTION AND HOLDING STATEMENTS ON BEHALF OF DEPOSITORY PARTICIPANTS

Attention of Depository Participants (DPs) is invited to communiqué Nos. CDSL/NP/DP/STMT/ 3384 dated December 21, 2012 and CDSL/NP/DP/STMT/ 3582 dated Mar 26, 2013 relating to dispatch of transaction cum holding statements by CDSL on behalf of DPs.

In this regard, DPs who had opted to Include/Exclude BOs in the instructions to CDSL for dispatch of statements, vide Annexure-C, were asked to submit an undertaking as given in Annexure-1 of this communiqué. DPs who are yet to submit the undertaking are requested to do so at the earliest.

DPs are further informed that going forward, the include/exclude file for monthly statements should be uploaded directly by the DP, using the File Upload Option under Dispatch of Transaction Statement Icon in CDAS. The upload file format is provided in Annexure-2. The status of the upload should be ascertained from the DPM6/DPM7 report. In case of errors, the corrected file should be re-uploaded till the records are successfully loaded.

The include/exclude file should be uploaded by the 3rd business day of the month to ensure timely dispatch of statements. On successful upload of include/exclude file, an intimation mail should be sent to CDSL on the below mentioned email-ids to enable further processing. The system will accept only a single successfully uploaded file in a month. The include/exclude file should contain BO ids for Main DP as well as Branch DP. However, if the DP has issued separate instructions for the Branch DP, the Include/exclude file should be uploaded separately by the branch DP.

DPs who have signed agreements for dispatch of statements should have their instructions for annual statements verified with CDSL. CDSL will dispatch annual statements only for those DPs whose instructions for annual statements have been verified for correctness.

Queries relating to this communiqué may be addressed to:

CDSL – New Projects Team – Sunanda Markande on (022) 2272-5109, Latha Nair on (022) 2272-5062. Emails may be sent to: sunandam@cdslindia.com; lathan@cdslindia.com

Sunil Alvares
Sr. Vice President – New Projects

CDSL : your depository

KEYWORD : Transaction & Holding statements

(on Letter head of DP)

Dear Sir/Madam,

Sub: Dispatch of Transaction Cum Holding Statements to BOs Excluded/Not included

We _____(DP Name), _____ (DP Id) have entered into an agreement with Central Depository Services (India) Ltd (CDSL) for dispatch of transaction cum holding statements on our behalf and have issued instructions to CDSL to include/exclude BO accounts for monthly/annual statements.

With effect from the date of agreement with CDSL, for cases where _____(DP Name) has instructed CDSL to exclude/ not include BOs who had to be dispatched statements as per statutory requirements, we confirm that statements have been dispatched/mailed/hand delivered to such BOs and will be dispatched on ongoing basis directly to such BOs by us and the responsibility of these accounts would be with us for any non compliance/faults/commission of errors etc.

Yours faithfully
For (DP Name)

Compliance Officer

File format for Common Upload File (Inclusion & Exclusion)

File Name: <Upload Id><DP ID>.<BUSINESS DATE>.<3,4,5 digit running serial number>

Example : 18020000.09012014.111

Control record:

(Input Type: Mandatory/ Optional)

This record will contain:

Field	Input Type	Size
DP ID	M	Number(6)
Operator ID	M	Varchar (6)
Total No. of Records	M	Number(6)
File Extension	M	Number(3)/ Number(4)/ Number(5)
Business Date	M	Date(8)

Detail Record:

(Input Type : Mandatory/ Optional)

Field	XML Tag	Input Type	Data type	Sample Value
TXN TYPE	Tp	M	N(2)	38
TXN IDNTFR	Idntfr	M	Char(1)	I – Inclusion E – Exclusion
BO ID	Bnfcry	M	Char(16)	
Statement Frequency Flag	Freq	M	Char(1)	M-Monthly Q-Quarterly S-Semi Annual A-Annual

Example: <Tp>38</Tp><Idntfr>E</Idntfr><Bnfcry>1201040100009903</Bnfcry><Freq>M</Freq>