



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/5156

April 22, 2015

PARAMETERS AND REPORTING OF ALERTS FOR POTENTIAL SUSPICIOUS TRANSACTION REPORTS

DPs are advised to refer to our communiqué nos. **CDSL/OPS/DP/762** dated October 06, 2006, and **CDSL/OPS/DP/782** dated November 03, 2006 about sending alerts at fortnightly intervals regarding transactions that are potentially suspicious and communiqué no. **CDSL/OPS/DP/1345** dated November 06, 2008, intimating the parameters for generating alerts to enable DPs to identify and report Suspicious Transactions.

The alerts are as follows:

File Name	Parameters	Report Format in Annexure
BLNG<DPID>_fiu1_<ddmmyy>.txt	Details of debit and credit transactions due to off-market or inter-depository transfers or Corporate Actions or IPO having value of Rs. "y" and above, in an account in an ISIN, in a single transaction or series of transactions executed during the fortnight	A
BLNG<DPID>_fiu2_<ddmmyy>.txt	Details of debit and credit transactions due to demat, remat and pledge involving "x" shares or more in an account, in an ISIN, in a single transaction or series of transactions executed during the fortnight.	A
BLNG<DPID>_fiu3_<ddmmyy>.txt	Details of debit and credit transactions involving "x" shares or more or having value of Rs."y" and above, whichever is smaller in an account, in an ISIN, which exceed "n" times the average size of the transaction calculated for the previous	A



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File Name	Parameters	Report Format in Annexure
	months' transactions	
BLNG<DPID>_fiu4< ddmm yy >.txt	Details of off-market transactions (within CDSL and Inter-depository) where there are more than "x" transactions in an account for the past fortnight.	A
BLNG<DPID>_fiu5< ddmm yy >.txt	Any debit transaction in a dormant account for more than "x" shares or more or Rs."y", whichever is smaller, will be reported as an alert. An account having no "Debit Transaction" in the last "n" months will be considered as a "Dormant" account for this purpose.	A
BLNG<DPID>_fiu1_bo_<ddmm yy>.txt		B
BLNG<DPID>_fiu2_bo_<ddmm yy>.txt		B
BLNG<DPID>_fiu3_bo_<ddmm yy>.txt		B
BLNG<DPID>_fiu4_bo_< ddmm yy >.txt		B
BLNG<DPID>_fiu5_bo_< ddmm yy >.txt		B

Note: Quantitative parameters are not disclosed, as the same are subject to review and change from time to time.

These alerts are available at fortnightly intervals to DPs through Reports Module under the Module ID 70 and Report ID '**BLNG**'. For DPs having no transactions that fall under the "alert" category, a **NIL Report** will be generated in the .txt file format and no corresponding **bo** file will be generated. DPs should note that they should not restrict themselves to scrutinizing the transactions appearing in the alerts given by CDSL and should evolve their own mechanism to monitor all transactions, so



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as to comply with the provisions of the PMLA rules and guidelines issued by FIU-IND/ SEBI from time to time.

If DPs identify any transaction as suspicious in nature, they should submit the report directly to the Director, FIU-IND, New Delhi, through FINnet gateway (<http://fiuindia.gov.in>) within 7 working days of establishment of suspicion. DPs are also required to maintain a Register where they should note the action taken on such report. Format of register is given as **Annexure- C**. DPs with NIL Reports are also required to maintain the above Register.

These reports will be generated as of the 15th and last day of each month. The above ten reports will be available under a single file: **BLNG<DPID>_fiu_<ddmmyy>.tar**. DPs may download the data and extract the file using WinZip.

DPs are also advised to refer to communiqué no. **CDSL/OPS/DP/1222** dated August 05, 2008 informing about Suspicious Transactions report (STR) filed with FIU – IND and reporting the number of STRs to CDSL as mentioned below:

- I) DPs are to inform CDSL of the number of STRs filed by them directly with FIU-IND during a given month, in the format as prescribed herewith [see **Annexure-D**]. This data would be forwarded by CDSL to SEBI.
- II) The above report has to be sent to CDSL latest by the **7th of the following month**.
- III) DPs are to submit the report, in the prescribed format (soft copy), to pmla@cdslindia.com.
- IV) DPs need not submit a "NIL" report to CDSL.

Queries regarding the communiqué may be addressed to:

CDSL Mr. Farokh Patel on telephone (022) 2272-8650 or Mr. Rajan Vaidya on telephone (022) 2272 – 8564 or email: pmla@cdslindia.com

Farokh Patel
Asst. Vice President- Operations

FILE NAME
BLNG<DPID>_fiu1_<ddmmyy>.txt
BLNG<DPID>_fiu2_<ddmmyy>.txt
BLNG<DPID>_fiu3_<ddmmyy>.txt
BLNG<DPID>_fiu4_<ddmmyy>.txt
BLNG<DPID>_fiu5_<ddmmyy>.txt

Field Description	Field Type	Field Width
BO-ID	Char	16
PAN	Char	25
ISIN	Char	12
ISIN Description	Char	100
Transaction Date	Date	10
Debit / Credit	Char	2
Transaction Quantity	Numeric	16,3
Transaction Description	Char	60
REF-NO.	Char	16
Market Rate of ISIN	Numeric	16,3
Transaction Value	Numeric	16,2

* All the fields are of variable length and separated by "~"

* If any data is not present, consecutive tildes will appear.

List of BOIDs in the potentially Suspicious Transactions Report

Annexure - B

FILE NAME
BLNG<DPID>_fiu1_bo_<ddmmyy>.txt
BLNG<DPID>_fiu2_bo_<ddmmyy>.txt
BLNG<DPID>_fiu3_bo_<ddmmyy>.txt
BLNG<DPID>_fiu4_bo_<ddmmyy>.txt
BLNG<DPID>_fiu5_bo_<ddmmyy>.txt

Field Description	Field Type	Field Width
BO-ID	Char	16
Sole/First Holder's Name (First Name, Middle Name, Search Name)	Char	142
Correspondence Address (Line 1, Line 2 and Line 3)	Char	90
Correspondence Address - City	Char	25
Correspondence Address - State	Char	25
Correspondence Address - PIN	Char	10
Permanent Address (Line 1, Line 2, Line 3)	Char	90
Permanent Address - City	Char	25
Permanent Address - State	Char	25
Permanent Address - PIN	Char	10
PAN of Sole/First Holder	Char	25
Tel - 1	Char	17
Tel - 2	Char	17
Fax	Char	17
E-mail ID	Char	50

* All the fields are of variable length and separated by "~"

* If any data is not present, consecutive tildes will appear.

Annexure - C

[illegible]

REPORT TO BE SUBMITTED TO CDSL [BY THE 7TH OF THE FOLLOWING MONTH] REGARDING STRs FILED DIRECTLY WITH FIU-IND BY THE DP				
Sr. No.	DPID	DP Name	Report for the Month & Year	No. of STRs filed

To be sent by email to: pmla@cdslindia.com

CDSL's Communique no. CDSL/OPS/DP/POLCY/5156 dated April 22, 2015