Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/5327 **July 20, 2015**

RELEASE OF ADDITIONAL OPTIONS IN DIS MODULE

SEBI vide its circular no. **CIR/MRD/DP/01/2014** dated **January 07, 2014** stated that the DPs shall make available the following details of the Delivery Instructions Slip (DIS) to the depository system electronically:

a. The DIS serial number
b. BOID
c. Date of issuance
d. Any other relevant detail as decided by the depository

It has been observed that the details of returned undelivered status of DIS booklets issued to beneficiary owners are available only at the end of the DP. Considering the significance of the DIS booklets, SEBI has directed that the details of returned undelivered status of DIS booklets should be made available in the depository system under the category of 'any relevant details' mentioned above.

Accordingly, CDSL is releasing the facility whereby DPs will be able to capture the details of the undelivered DIS booklet issued to BOs in CDAS through existing Lost/Misplaced Menu in DIS module.

DPs should note that the system will allow marking the DIS numbers as undelivered only if the issuance details of the said DIS numbers are available in the system. Further provision, will also be made available to unmark the entry of undelivered DIS in CDAS within a period of 30 days from the date of marking the DIS undelivered. This facility to unmark will be made available only through online entry with maker-checker and verifier.

Currently the Lost/Misplaced Serial Numbers Setup is allowed for following cancellation types in online transaction as well through upload : -

1) Cancellation Due to Lost DIS.
2) Cancellation Due to Misplaced DIS.
3) Cancellation Due To Other Reasons.

Additional cancellation type "Cancellation Due To Undelivered DIS" will be added in the drop down list for online transaction and in file format for common upload with value of DIS Cancellation Flag as 5.

The revised file formats with additional value for DIS Cancellation Flag are as given below:

Annexure – A - File formats of common upload for DIS Issuance and Cancellation.
Annexure - B - File format of response file DPM6 report

DPs should capture details of undelivered DIS serial numbers in CDAS on receipt of such information. DPs are advised to note that all the DIS serial numbers for which issuance details have been uploaded in the CDSL system and reported as undelivered prior to the release of the said facility are required to be marked as undelivered in the CDSL system latest by **Friday, August 14, 2015.**

DPs are advised to note that the additional provision in the DIS module is scheduled for release on **Friday**, **July 24, 2015**. DPs are advised to incorporate the necessary changes in their back office software.

Queries regarding this communiqué may be addressed to:

CDSL – Operations on (022) 2272-5061 or 2272-5111. Emails may be sent to: operations@cdslindia.com, sandeepc@cdslindia.com or akshayk@cdslindia.com.

CDSL – Helpdesk on (022) 2272-8642, 2272-8427, 2272-8624, 2272-8693, 2272-8639, 2272-1261, or 2272-2075. Emails may be sent to: helpdesk@cdslindia.com.

Nayana
Mandar
Ovalekar

Digitally signed by Nayana Mandar Ovalekar
DN: c=IN, o=Central Depository Services India Limited, postalCode=400001, st=Maharashtra, serialNumber=96cedf504232ae5ff7ccb1f5909a3c0d90f0808b855796d8e9875cba284ced4d, cn=Nayana Mandar Ovalekar
Date: 2015.07.20 19:40:58 +05'30'

Nayana Ovalekar
Sr. Vice President – Operations

File format for Common Upload File

File Name: <Upload Id><DP ID>.<BUISSNESS DATE>.<3,4,5 digit running serial number>
For example 18010100.16032011.11111

Control record:

(Input Type: Mandatory**/ O**ptional)

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)

For e.g.
020900ABCD 0001001111116032011

Detail Record:
(Input Type : Mandatory**/ O**ptional)

XIX DIS Issuance/Cancellation Upload

Field	XML Tag	Input Type	Data Type	Sample Value
TXN TYPE	Tp	M	N(2)	39
DIS TXN TYPE FLAG	Distxn	M	N(2)	1-DIS ISSUANCE 2-DIS CANCELLATION
DEPO ID	Dpstry	M	N(2)	1-CDSL
ISSUE ENTITY	Issenty	O	Char(1)	BO ID(“B”) or Master POA(“P”) ID (Mandatory if txn type flag is 1 Also mandatory if txn type flag is 2 and issuance flag is ‘Y’)
BO ID	Bnfcry	O	Char(16)	
DIS ALPHA PART	Disalpa	O	Char(4)	
DIS SERIAL NUMBER FROM	Disfrm	M	N(12)	
DIS SERIAL NUMBER TO	Disto	M	N(12)	
NUMBER OF DIS LEAVES	Dislvs	M	N(3)	It should be equal to DIS To-DIS From +1(including Dis To and Dis From)
DIS BOOKLET NUMBER	Bkltno	O	Varchar(16)	
ISSUANCE FLAG	Isncflg	M	Char(1)	Y-Issued N-Not Issued For DIS ISSUANCE(DIS TXN TYPE FLAG=1) it should be Y only
DATE OF ISSUANCE/ CANCELLATION	Isncdt	M	Date	In DDMMYYYY format
ISSUANCE TYPE FLAG	Isnctyp	O	Char(1)	N=Normal,L=Loose This flag is Mandatory for DIS ISSUANCE
DIS CANCELLATION FLAG	Discncl	O	N(2)	1-Cancellatuion Due to Lost DIS 2- Cancellatuion Due to Misplaced DIS. 3-Cancellation Due To Other Reasons **4-** Not Applicable This flag is Mandatory for DIS Cancellation but DIS ISSUANCE it should be 4 or xml tag not required in file **5-Cancellation Due To Undelivered DIS.**
TXN INITIATION FLAG	Intby	M	N(2)	1-DP Initiated 2-BO Initiated For DIS ISSUANCE(DIS TXN TYPE FLAG=1) it should be 1 only If bo INITIATED, dis txn type flag =2 and BO ID should be mandatory and issuance flag should be Y.
REMARKS	Remk	O	Char(100)	

For Example

DIS ISSUANCE

<Tp>39</Tp><Distxn>1</Distxn><Dpstry>1</Dpstry><Issenty>B</Issenty><Bnfcry>1601010000067890</Bnfcry><Disalpa>FY14</Disalpa><Disfrm>1</Disfrm><Disto>10</Disto><Dislvs>10</Dislvs><Bkltno>DP10100FY14</Bkltno><Isncflg>Y</Isncflg><Isncdt>30042014</Isncdt><Isnctyp>N</Isnctyp><Intby>1</Intby><Remk>DIS ISSUANCE</Remk>

DIS CANCELLATION

<Tp>39</Tp><Distxn>2</Distxn><Dpstry>1</Dpstry><Issenty>B</Issenty><Bnfcry>1601010000067890</Bnfcry><Disalpa>FY14</Disalpa><Disfrm>1</Disfrm><Disto>10</Disto><Dislvs>10</Dislvs><Bkltno>DP10100FY14</Bkltno><Isncflg>Y</Isncflg><Isncdt>30042014</Isncdt><Isnctyp>N</Isnctyp><Intby>1</Intby><Discncl>2</Discncl><Remk>DISCANCELLATION</Remk>

Module ID **:** 44

Report ID **:** DPM6

Report Description : Common Upload Success/Failure Report

Report Format **:**

The fields of the SUCCESSFUL RECORDS are displayed as follows:

Sr. No	Field Description	Field Type	Field Length	Early Payin	Off Market	Obligation	Inter Depository	DIS Issuance / Cancellation
1	Record number in the file	Number	6	√	√	√	√	√
2	Upload Type(3 for Obligation,4 for Inter dep,5 for Offmarket,10 for Early payin,39 for DIS)	Number	2	√	√	√	√	√
3	Settlement ID / BO PAN NUMBER	Char	13	√	√	√	√	
4	BO ID / From BO ID/ Pledgor BO / BO ID or POA ID for DIS Issuance or Cancellation	Char	16	√	√	√	√	√
5	To BO id **/** Pledgee BO/DIS Issued to BO-“B” and DIS issued to POA =”P”	Char	16	√	√			√
6	ISIN	Char	12	√	√	√	√	
7	Qty /1 for DIS ISSUANCE and 2 for DIS CANCELLATION	Number	16,3	√	√	√	√	√
8	Internal reference number/ DIS BOOKLET NUMBER for Issuance or Cancellation	Char	16	√	√	√	√	√
9	Business date / Off market TXN Date / Pledge Setup Date / Freeze Activation Date/DIS Issuance or Cancellation Date	Char	8	√	√	√	√	√
10	Transaction id/Sender TXN Ref No / DRN / PSN/ FRN / NUMBER OF DIS LEAVES	Number	8	√	√	√	√	√
11	Buy or Sell flag/Mutual Fund Destat Type/Freeze Status/Transfer Status / DIS ISSUED FLAG “Y”=Issued and “N”=Not Issued	Char	1		√	√	√	√

Sr. No	Field Description	Field Type	Field Length	Early Payin	Off Market	Obligation	Inter Depository	DIS Issuance / Cancellation
12	Settlement date/ Pledge Accept Date/ Freeze Expiry Date	Date	8		√		√	
13	CM ID	Char	8	√		√		
14	Unique Trade Id/ Rejection sequence number/ Unpledge/ Confiscate counter / **DIS CANCELLATION FLAG** ***“1” - Cancellation Due to Lost DIS“2” - Cancellation Due to Misplaced DIS. “3” - Cancellation Due To Other Reasons “5” -*** **Cancellation Due To Undelivered DIS.**	Number	6		√			√
15	Settle status flag/Demat Status Flag / For DIS “N”=Normal and ”L”=Loose	Char	1		√			√
16	Reason Code for the trade and OLIDT /Freeze Reason Code/ Demat Rejection Code/ Reason Code (For One To One And Account Transfer) / For DIS “1” - DP Initiated“2” - BO Initiated	Number	2		√		√	√
17	CM BP ID and Client ID	Char	16				√	
18	Counter Settlement Id / DIS ALPHA PART	Char	13		√		√	√
19	DRF/ Maker ID	Char	16	√	√	√	√	
20	Verified Accepted Qty / MF Amount	Number	16,3					
21	Verified Rejected Qty / DIS SERIAL NUMBER FROM	Number	16,3					√
22	Confirmed / Accepted Qty / DIS SERIAL NUMBER TO	Number	16,3					√
23	Confirmed Rejected Qty	Number	16,3					

Sr. No	Field Description	Field Type	Field Length	Early Payin	Off Market	Obligation	Inter Depository	DIS Issuance / Cancellation
24	Rejected quantity/ Unpledge/Confiscate Part Quantity/ Part quantity(FOR ONE TO MANY)	Number	16,3					
25	Pledge Type / Freeze Transaction Type Code / All / Quantity Flag **/** Transaction Identifier	Char	1					
26	Pledge Sub Type/ Freeze Level (BO/BO-ISIN)/Lock--in Status **/**TXN Sub Type/ TRANSACTION ELECTRONIC FLAG	Char	1	√	√	√	√	
27	Pledge Value	Number	15,2					
28	Pledge Expiry Date	Date	8					
29	Lock in Id/Folio No / Checker ID	Char	16	√	√	√	√	
30	Agreement Number / Verifier ID	Char	20	√	√	√	√	
31	Pledge Pledgee DP Int Ref No./ Delivery Instruction Slip	Char	16	√	√	√	√	
32	Pledge / Freeze / Unfreeze Remarks / Bo Pan Inquiry Remarks / DIS Remarks for Txn type 39 / POA Master ID for Txn type 3, 4, 5 & 10	Char	100	√	√	√	√	√
33	Freeze Initiated By	Number	1					
34	Freeze Sub-Option	Number	1					
35	Freeze Qty Type/ Verified/Confirmed Flag	Char	1					
36	Freeze Frozen For	Char	1					
37	Freeze Activation Type	Number	1					
38	Pledge Execution date	Date	8					
39	ARF	Char	16	√	√	√	√	

A blank line is printed in between the success records and failure records. The fields of the FAILURE RECORDS are displayed as above and additional column for error code is added.

Sr. No	Field Description	Field Type	Field Length	Early Payin	Off Market	Obligation	Inter Depository	DIS Issuance / Cancellation
40	Error Code	Char	9	√	√	√	√	√

A blank line is printed after the failure records.

The SUMMARY RECORD is printed as follows.

Business Date(DD-MON-YYYY)~Total number of records~Total no of successful records~Total number of failure records.