



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/5521

October 27, 2015

FIU IND – ADVISORY NOTIFICATION

DPs are advised to note that FIU IND vide its emails dated September 21, 2015 and October 19, 2015 has circulated **Advisory Notifications for Registration of Reporting Entity in multiple categories and Reporting of Registered/Mandate accounts to all the reporting entities**. The same is enclosed as **Annexure-A** and **Annexure-B** for easy reference.

DPs are advised to take note of the same and ensure compliance.

Queries regarding this communiqué may be addressed to:

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.

Farokh Patel
Asst. Vice President – Operations

Advisory Notification for Registration of RE in multiple categories.

Currently entities operating in multiple sectors such as Banking, Insurance, SEBI registered intermediaries (segments in the sector being Depository Participants, Share Brokers, Derivative members etc.) and others have to register separately for the purpose of furnishing reports related to different sectors/segment in the sector since different FIUREID are allocated for different sectors/segments of the sector.

In order to facilitate the users to file the report for different categories under one FIUREID , it has now been decided that Reporting Entity can choose any of the following options for uploading of reports related to various categories:-

OPTION 1:

An Entity can register itself in different categories depending upon the sector/segment of the sector it is operating in and file the reports of each of the categories under the allocated FIUREID. In this option a **different** FIUREID will be allocated to the Reporting Entity depending upon the sector/segment of the sector. The Principal Officer (PO) has to be registered with unique IDs (email) under respective RE Category under which the FIUREID is allotted.

OPTION 2:

An Entity can register themselves in one category and file reports related to different sectors/segments in the sector under the allocated FIUREID of registered category. In this option, user has to mention the respective RE Category in Batch File while filing the report. The RE category is different for different segments. An illustrative example for this option is discussed below:

A Reporting Entity ABC Reporting Entity (FIUREID: XXXXX00001) is a private sector bank and is also a SEBI registered intermediary with registration as a broker and depository participant. If ABC Reporting entity chooses to exercise option 2, then-

- i. With the FIUREID XXXXX00001, it can file the STR for the banking operations with RE category in the batch file as BAPVT;
- ii. With the FIUREID XXXXX00001, it can file the STR for the brokerage operations with RE category in the batch file as INBRO; and
- iii. the FIUREID XXXXX00001, it can file the STR for the depository participant operations with RE category in the batch file as INDPP.

The illustrations for the above options are given below:

1	Line Number*	1
2	ReportType*	CTR
3	DataStructureVersion*	2
4	ReportingEntityName*	ABC Reporting Entity
5	ReportingEntityCategory*	BAPVT
6	RERegistrationNumber	1122334455
7	FIUREID*	XXXXXX00001
8	POName*	PO Name
9	PODesignation*	PO Designation
10	Address*	PO Address
11	City	Mumbai
12	StateCode*	MH
13	PinCode	220001
14	CountryCode*	IN
15	Telephone	0224567809
16	Mobile	98765486876
17	Fax	0224567808
18	POEmail*	poemail@email.com
19	BatchNumber*	110
20	BatchDate*	2012-06-15
21	MonthOfReport*	NA
22	YearOfReport*	NA
23	OperationalMode*	P
24	BatchType*	N
25	OriginalBatchId*	0

FAQ ARFBAT ARFRPT ARFBRC ARFACC ARFTRN ARFINP ARFLPE

1	Line Number*	1
2	ReportType*	CTR
3	DataStructureVersion*	2
4	ReportingEntityName*	ABC Reporting Entity
5	ReportingEntityCategory*	INDPP
6	RERegistrationNumber	1122334455
7	FIUREID*	XXXXXX00001
8	POName*	PO Name
9	PODesignation*	PO Designation
10	Address*	PO Address
11	City	Mumbai
12	StateCode*	MH
13	PinCode	220001
14	CountryCode*	IN
15	Telephone	0224567809
16	Mobile	98765486876
17	Fax	0224567808
18	POEmail*	poemail@email.com
19	BatchNumber*	110
20	BatchDate*	2012-06-15
21	MonthOfReport*	NA
22	YearOfReport*	NA
23	OperationalMode*	P
24	BatchType*	N
25	OriginalBatchId*	0

FAQ ARFBAT ARFRPT ARFBRC ARFACC ARFTRN ARFINP ARFLPE

1	Line Number*	1
2	ReportType*	CTR
3	DataStructureVersion*	2
4	ReportingEntityName*	ABC Reporting Entity
5	ReportingEntityCategory*	INBRO
6	RERegistrationNumber	1122334455
7	FIUREID*	XXXXXX00001
8	POName*	PO Name
9	PODesignation*	PO Designation
10	Address*	PO Address
11	City	Mumbai
12	StateCode*	MH
13	PinCode	220001
14	CountryCode*	IN
15	Telephone	0224567809
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21	MonthOfReport*	NA
22	YearOfReport*	NA
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24	BatchType*	N
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Hence, in Option 2, user does not need to give different FIUREIDs for filing reports related to different sectors/segments in a sector. Instead, reports can be filed by giving the primary FIUREID and changing the RE category each time it files the report related to different segments. However, it is to be noted that **separate batches need to be furnished while furnishing reports for separate segments in the sector.**

Advisory Notification for Reporting of Registered/Mandate Accounts

At present, the Reporting Entities in the intermediary category give the details of the registered/mandate account as a text field in the Grounds of Suspicion. For analysis it is essential that the registered/mandate account is also reported along with the Account details (ARFACC) or the transaction data (ARFTRN).

Reporting Entities can give the registered/mandate account details by choosing any of the following options:-

OPTION 1:

Reporting Entity can submit the mandate account details for the clients in **ARFTRN** sheet by mentioning details in **RelatedAccountNum** [account number of the registered &/or mandate account(s) through which the transaction is taking place], **RelatedInstitutionName** [Name(s) of the Bank(s) of the registered/mandate account(s) through which the transaction is taking place] and **RelatedInstitutionRefNum** [IFSC/MICR of the Bank account(s) through which the transaction is taking place].

The illustrations are given below:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
	Line Number*	ReportSerialNum*	BranchRefNum*	AccountNumber*	DateOfTransaction*	TransactionID	TransactionMode*	DebitCredit*	Amount*	Currency*	ProductType	Identifier	TransactionType	Units
5				Click here to create										
6	1	1	BRN1	10001	2012-09-01	10000101	A	C	1000000	INR				
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	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
	TransactionM ode*	DebitCredi t*	Amount*	Currency*	ProductType	Identifier	Transacti onType	Units	Rate	Dispositio nOfFunds	RelatedA ccountNu m	RelatedInstitutionNam e	RelatedIn stitutionR efNum	Remarks
5														
6	A	C	1000000	INR							1000234	XYZ Bank	123452	
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Reporting Entity can give the details of the registered/mandate account(s) for every transaction by mentioning details in the corresponding RelatedAccountNum, RelatedInstitutionName and RelatedInstitutionRefNum.

OPTION 2:

A client may have registered more than one account as is seen in the case of Mutual Funds. In such cases, the Reporting Entity should report these multiple accounts in the account file i.e. ARFACC by mentioning 'Yes' in "NoTransactionToBeReported" field.

The illustration is given below:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
	LineN umbe r*	ReportSer ialNum*	BranchRe #Num*	Account Number*	AccountType*	HolderName* Click here to	AccountH olderType	AccountS tatus*	DateOf Opening	RiskRating *	CumulativeCreditT urnover	CumulativeDebitTur nover	CumulativeCashDe positTurnover	CumulativeCashWith drawalTurnover	NoTransactionsTo beReported*	
5																
6	1	1	BRN1	10001	BS	AAAAA	A	A	2004-10	A1	510000000	210000000	310000000	310000000	N	
7	2	1	BRN1	10002	BS	BBBBB	B	A		A1	410000000	110000000	111000000	111000000	Y	
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