



Central Depository Services (India) Limited

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COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/OPS/RTA/SYSTM/1136

December 15, 2015

SYSTEM DRIVEN DISCLOSURES IN SECURITIES MARKET

Issuers/RTAs are advised to refer to Communiqué no. **CDSL/OPS/RTA/POLCY/1131** dated December 04, 2015, wherein we had informed regarding SEBI circular no. **CIR/CFD/DCR/17/2015** dated December 01, 2015 pertaining to **Introduction of System-Driven Disclosures in Securities Market**.

The operational modalities of the same are as mentioned below:

1. Issuers / RTAs (RTAs) will be required to provide information about the promoters and promoter group along with their PANs to the depositories on the basis of authenticated information provided by the companies to RTAs. If promoter or promoter group is PAN exempt entity, the demat account number (BO ID) will have to be provided.
2. This information is to be provided by the RTAs at Issuer Code level in the manner prescribed by CDSL (Refer Annexure A)
3. When RTAs upload Issuer Code and PANs or BO IDs (PAN exempt entities) of promoters and promoter group for the first time, then the set up flag should be used as 'S'. Please note that set up flag 'S' can be used for an issuer code only once during upload of details of promoters and promoter group. In this case stock exchange confirmation is not required..
4. Based on the information provided by RTAs, CDSL will identify demat accounts on the basis of first holder PAN and equity ISINs on the basis of Issuer Code. CDSL will tag securities held under identified equity ISINs with identified demat accounts as 'promoter holding' or 'promoter group holding', as the case may be, on an ongoing basis.
5. In case of any subsequent changes in the promoter or promoter group of the company, the RTA shall provide the information of such change to CDSL on the basis of authenticated information provided by the companies to RTAs. The change will be submitted by RTAs in upload file as follows
 - a. Flag 'A' for addition of new promoter or promoter group
 - b. Flag 'M' for modification of existing details.



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- c. Flag 'D' for deletion of existing details.
6. For any such change, CDSL will obtain confirmation from all Stock Exchanges where ISIN is listed, before updating data in the CDSL system. Upon receipt of confirmation from stock exchanges, the data will be updated and the same will be intimated to RTA. Only after approval from all the Stock Exchanges, RTAs will be allowed for further changes at given PAN and Issuer code level. The status of stock exchange confirmation (pending / acceptance / rejection) will be reported to RTAs in the EOD report (Annexure B).
7. In respect of the holdings identified as belonging to promoters or promoter group for an ISIN, CDSL will generate the promoter's holding/transaction report for that ISIN on daily basis at the end of each working day i.e. All days excluding Sundays and CDSL system holidays.
8. RTAs may use this report to generate the reports in accordance with SEBI circular and provide the same to respective Stock Exchanges.
9. Currently exchange of data between RTA – CDSL will be through file upload mode. CDSL will make available online mode shortly.

FILE FORMATS

10. The file formats for exchange of data between CDSL and RTA is attached as **Annexure – A**. The Issuers/RTAs will be required to provide information as per the said file formats and procedure through file upload to CDSL **with effect from Saturday, December 26, 2015**.
11. The file format of response report giving details of promoters as submitted by RTA and demat accounts mapped (having holding under equity ISIN of Issuer Code) is attached as **Annexure - B**. This report will be generated during EOD. This report will also give details of closure of existing mapped demat account, if any.
12. The holding / transaction report with respect to promoters / promoter group identified on the basis of information provided by RTAs will be generated during EOD. The file format for the same is given in **Annexure-C**. **This report will be available to RTAs with effect from Friday, January 01, 2016**



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Issuers/RTAs are advised to note that SEBI circular provides that this system would run in parallel with the existing system i.e. the promoters/promoter group shall continue to comply with the disclosure obligations as applicable to them

The RTAs should check the disclosures made by the promoter entities as per the current regulatory requirements and match the same with the disclosure generated by the systems so that any discrepancies may be found and necessary action taken for rectification of the same. The Promoters or members of the Promoter Group must also take up the issue of discrepancy with the respective Stock Exchanges which may then be communicated to the respective RTA.

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.

sd/-

Nayana Ovalekar
Sr. Vice President – Operations

Annexure A

Files to be received from RTA To Depositories as regards promoters details

File Naming Convention - PROMOTER_ACCT_DTLS_<<RTA_ID>>_<<DATE
TIMESTAMP-DDMMYYYYHH24MISS>>.TXT

All Fields are "#" delimited

Continuous "###" would mean no value for a field

Upload File Structure	
Record Type	Record Identifier
Header Record	'01'
Detail Record	'02'

File Format for Header Record.

Description	Data Type	Size	Status	Remarks
Record Type	Integer	2	M	01 – Header
Batch Number	Integer	7	M	
SHR BP ID/RTA ID	Character	8	M	
BP Role	Integer	2	M	'04' always
Total No of Detail Records	Integer	7	M	
File Date	Date	8	O	DDMMYYYY

File Format for Detailed Record: -

Column Name (Description)	Data type	Length (Size)	Status	Remarks
Record Type	Integer	2	M	02 – Detail Record
Line Number	Integer	7	M	
Issuer Code	Character	4	M	
Stock Exchange	Character	30	M	Stock Exchange Code where shares are listed (It will be "," delimited) – mapping need to be defined as discussed with CDSL Code:- 1 NSE 2 BSE 3 Metropolitan Stock Exchange Ex: - 1, 2, 3 and so on

Name of the promoter / Persons in Promoter	Character	250	M	
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Group				
Promoter Group/ Promoter	Character	1	M	Promoter Group– ‘G’ or Promoter - ‘P’
PAN of promoter	Character	10	M/O	PAN of Promoter Optional in case of PAN exempt cases.
BO ID (DPID + Client ID)	Character	16	O/M	BO ID (DPID + Client ID) Mandatory if PAN is not available
ADD / Delete / Modify Flag (refer comments below)	Character	1	M	S- Setup A- ADD Record D- Delete Record M- Modification Record
ADD / Delete / Modify Effective Date	Date	8	M	DDMMYYYY

Any records coming with value “A”, “D” or “M” will require confirmation from Stock Exchanges (wherever listed) to take effect. It will be maintained in a different status like “Pending for Confirmation from Stock Exchanges” till Stock Exchanges confirm the Addition, Modification or Deletion.

Annexure B

**File Naming Convention - PROMOTER_ACCT_DTLS_<<RTA_ID>>_<<DATE
TIMESTAMP-DDMMYYYYHH24MISS>>_RES.TXT**

File Format for Response File of Promoters details.

Out / VR out Response File Structure		
Record Type	Record Identifier	Remarks
Header	'01'	One (First) record per file
Detail	'02'	Second record onwards, multiple per file.

File Format for Header Record.

Header Record.

Description	Data Type	Size	Status	Remarks
Record Type	Integer	2	M	01 – Header
Batch Number	Integer	7	M	
SHR BP ID/RTA_ID	Character	8	M	
BP Role	Integer	2	M	'04' always
Request Date	Date	8	M	DDMMYYYY
Total number of Detail Records	Integer	7	M	
Batch Acceptance Status	Character	1	M	A - Accepted R- Rejected P – Partially Accepted E- EOD Report
Response File Generation Date	Character	8	M	DDMMYYYY

File Format for Detail Record

Detail Record

Description	Data Type	Size	Status	Remarks
Record Type	Integer	2	M	Detail Record (02)
Line Number	Integer	7	M	
Record Status	Character	1	M	A-Accepted R-Rejected N-New Demat Account Opened (Applicable in case Batch Acceptance Status ='E') C- Existing Demat Account Closed (Applicable in case Batch Acceptance Status ='E') P-Pending for exchange approval.
Rejection Reason code	Character	9	O	Refer the RTA Static code data document
Promoter Group/ Promoter	Character	1	M	
Issuer Code	Character	4	M	
Stock Exchange code	Character	30	M	Code:- 1 NSE 2 BSE 3 Metropolitan Stock Exchange (It will be "," delimited)
PAN of promoter/Promoter Group	Character	10	M/O	PAN of Promoter/Promoter Group Optional in case of PAN exempt cases.
BO ID (DPID + Client ID)	Character	16	M	BO ID (DPID + Client ID)
ADD / Delete Flag	Character	1	M	S- Set Up A- ADD Record D- Delete Record M-Modification Record In EOD Report, Add/Delete Flag will be sent as 'S'(Setup)

ADD / Delete / Modify Effective Date	Date	8	M	DDMMYYYY
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Note:

1. The RTA/Issuer will upload/provide a common file with Promoter/Promoter group details on both the depositories.
2. Only Equity Type of ISINs will be considered during processing of Promoter Details File received from RTA.
3. If ISIN or Account with Promoter/Promoter group PAN is not present in the records of the Depository, the same will stored in the respective Depository records.
4. In the EOD Report sent to RTAs, where Batch acceptance status is 'N'
Add delete flag will be 'S'
 - i) Any new demat account opened for a given PAN record status – 'N'
 - ii) Any demat account closed for a given PAN record status – 'C'
 - iii) Pending Approval record approved by exchanges – 'A'
 - iv) Pending approval record rejected by exchanges – 'R'

FILE FORMAT FOR INFORMATION TO BE PROVIDED BY DEPOSITORIES TO RTA's

File naming convention (It will be a new report for RTA).

All Fields are "#|" delimited

Continuous "##|" would mean absence of a field

**File Naming Convention - PROMOTER_TRAN_DTLS_<<RTA_ID>>_<<DATE
TIMESTAMP-DDMMYYYYHH24MISS>>.TXT**

The information will be given on the basis of 1st holder's PAN.

Download File Structure	
Record Type	Record Identifier
Header Record	'01'
Detail Record (Beneficiary Details)	'02'
Detail Record - Holding details	'03'
Detail Record – Transaction details	'04'

Header record (01) Details of Promoter / Promoter Group

Column Name / Field Description	Data type / File Type	Length (maximum Field Size)	Status	Remarks
Identifier / Record type	CHAR	2	M	01 indicates header record
SHR BP ID/RTA ID	Char	8	M	
File Preparation Date	Date	8	M	System date DDMMYYYY
File Preparation Time	Time	6	M	System time HH24MISS
Total Number of Detail Records	Integer	7	M	
Statement date	Date	8	M	DDMMYYYY

Detail Record (02) Details of Promoter / Promoter Group

Column Name / Field Desc	Data type / Field Type	Length / Maximum field Size	Status	Remarks
Record Type	CHAR	2	M	02 indicates Details of Promoter / Promoter Group
Line Number	Integer	7	M	Start with 1
Issuer code	Char	4	M	
DP ID	Char	8	M	
Beneficiary Owner A/c No.	Integer	8	M	DP ID is separately covered
First Holder's Name	CHAR	250	M	
Second Holder's Name	CHAR	150	O	
Third Holder's Name	CHAR	150	O	
Beneficiary Owner Account Category	NUMBER	2	M	
Beneficiary Customer Type	NUMBER	2	M	
Beneficiary Sub-type	Number	4	O	
Beneficiary Product Number	Number	2	O	This field is applicable only for CDSL. For NSDL, value will always be 0 (zero).
PAN of Sole/First holder	CHAR	10	O	
PAN of second holder	CHAR	10	O	
PAN of third holder	CHAR	10	O	
Beneficiary Account Status	Number	2	M	For CDSL 10 – Active – not frozen 11-Active frozen for debit 12- Active frozen for credit 13-Active frozen for debit and credit 20-To be closed not frozen 21-To be closed frozen for debit 22-To be closed frozen for

				credit 23-To be closed frozen for both debit and credit 30- closed
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Detail Record (03) Details of Holdings

Field Desc	Field Type	Maximum field Size	Status	Remarks
Record Type	Char	2	M	03 indicates Details SOH of Promoter/Promoter Group
Line Number	Integer	7	M	Running Serial Number
DP ID	Char	8	M	
Beneficiary Account Number	Integer	8	M	
ISIN	Character	12	M	
ISIN (SEC) TYPE	Integer	2	M	
Issuer code	Char	4	M	
Total Holding Positions – current balance	Decimal	19	M	default 0 16+3 format without decimal point – Sum of Positions (Free balance + Lock-in + Block+ Pledged+ Pledged with Lock-in+ Pledged Unconfirmed+ Un confirmed Pledged with Lock-in+ Remat + Lock-in + Earmark Balance) – Remat Lockin balance
Beneficiary Free Positions- free balance	Decimal	19	M	default 0 16+3 format without decimal point
Beneficiary Lock-in Positions- Lock in balance	Decimal	19	M	Default 0 16+3 format without decimal point
Beneficiary Block Positions- safe keep balance	Decimal	19	M	Positions in Quantity level freeze +ISIN level freeze quantity default 0 16+3 format without decimal point
ISIN level Freeze flag – BO ISIN freeze flag	Integer	1	M	Values: 1- Not Frozen 2- Frozen for Debit 2- Frozen for Credit 3- Frozen for Both
Beneficiary	Decimal	19	M	Default 0

Pledged Positions- Pledge balance				16+3 format without decimal point
Beneficiary Pledged with Lock-in Positions	Decimal	19	M	default 0 16+3 format without decimal point For CDSL, value will always be 0 (zero).
Beneficiary Pledged Unconfirmed Positions- Pledge setup balance	Decimal	19	M	Default 0 16+3 format without decimal point
Beneficiary Un confirmed Pledged with Lock-in Positions	Decimal	19	M	Default 0 16+3 format without decimal point For CDSL, value will always be 0 (zero).
Beneficiary Remat Positions- Remat pending confirmation	Decimal	19	M	Default 0 16+3 format without decimal point
Beneficiary Remat Lock-in Positions_ Remat against lock in	Decimal	19	M	Default 0 16+3 format without decimal point
Earmark Balance- earmark	Decimal	19	M	This field is applicable only for CDSL. For NSDL, value will always be 0 (zero).

Detail Record (04) Details of Transaction

Field Desc	Field Type	Maximum field Size	Status	Remarks
Record Type	Char	2	M	'04' indicates Details SOT of Promoter / Promoter Group
Line Number	Integer	7	M	Running Serial Number
DP ID	Char	8	M	
Beneficiary Account Number	Integer	8	M	This Field would contain client ID of CC's own CM if Account Category is 04
ISIN	Character	12	M	
Credit /Debit in demat account	Character	1	M	C- Credit D- Debit
Date of credit/debit of shares in depository account	Date	8	M	(DATE FORMAT DDMMYYYY)
Quantity	Decimal	18	M	15+3 format without decimal point
Transaction type/ Booking Type	Integer	5	M	
Booking Narration	Char	100	M	

Note:

1. The holding and transaction details of Promoter / persons in Promoter Group in a particular ISIN will be shared with the RTA/Issuer at the EOD of Business day.
2. The promoter/promoter group accounts will be identified on the basis of PAN of first holder.
3. All Quantity fields will be without decimal point.
