



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/OPS/RTA/POLCY/2017/66

October 31, 2017

OPERATIONAL GUIDELINES AND FILE FORMATS FOR TRANSFER OF SHARES TO THE DEMAT ACCOUNT OF INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY

Issuers/RTAs are advised to refer to communiqué no CDSL/OPS/RTA/POLCY/2017/63 dated October 17, 2017 regarding notification and circular issued by Ministry of Corporate Affairs for transfer of shares to IEPF account.

We are happy to inform you that the IEPF Authority has opened a demat account with CDSL with Depository Participant SBI CAP Securities Ltd. The details are given below:

Account Number	Account Name
12047200 13676780	Investor Education and Protection Fund Authority Ministry of Corporate Affairs

As Issuers/ RTAs are aware, in terms of Section 124(6) of Companies Act, 2013 and the Rules notified there under, the shares in respect of which dividend has not been paid or claimed for a period of seven consecutive years or more, are required to be transferred by the Company to the IEPF Authority. As per the General Circular No. 12/2017 dated 16th October, 2017, pursuant to the second proviso to Rule 6 of Investor Education and Protection fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 as amended time to time, wherein the seven year period provided under sub section (5) of section 124 is completed for unpaid/unclaimed dividends during September 7, 2016 to October 31, 2017, the due date for transfer of such shares by companies is October 31st, 2017. In terms of Rule 6 (1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 the transfer of such shares to IEPF account is to be completed within a period of 30 days of such shares becoming due to be transferred to the IEPF Authority.

Transfer of shares to IEPF demat account

1. If the shares of the Company are required to be transferred to the IEPF Authority in terms of Section 124 (6) of the Companies Act, 2013 and the notified Rules of Investor Education and Protection Fund Authority (Accounting , Audit, Transfer and Refund) Rules, 2016 such shares can be transferred , whether held in dematerialized form (under NSDL or CDSL) or physical form, to the above mentioned demat account of IEPF



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

Authority by way of Corporate Action after following the procedure as mentioned under the Rules.

2. The information related to the shareholders whose shares are being transferred to IEPF's demat account with SBICAP (CDSL DP) shall have to be provided by the company as per the prescribed format (attached).
 - a) **File format A** shall be used where shares are being transferred from investors holding demat account in CDSL Depository System. This format will enable Issuers/RTAs to perform debit/credit corporate action to debit the investors demat account with CDSL and credit the demat account of the IEPF Authority in CDSL. No separate corporate action file would need to be uploaded. **(Refer Annexure A)**
 - b) **File format B** shall be used where shares are being transferred from investors holding demat account in NSDL. This format will enable Issuers/RTA to perform credit corporate action to credit the demat account of IEPF Authority in CDSL in respect of those shares which are successfully debited by executing debit corporate action in NSDL. No separate corporate action file would need to be uploaded. **(Refer Annexure B)**
 - c) **File format C** shall be used where shares being transferred were held in physical form. This format will enable Issuers/RTA to credit such shares into the demat account of IEPF authority in CDSL. No separate corporate action file would need to be uploaded. **(Refer Annexure C)**
3. Two new CA types 68 ("**Trf of Shares to IEPF**") and 70 ("**Trf of Shs to IEPF Phy**") have been created in CDSL system. System will generate 1 debit file and 3 credit CA files using the above data files.
4. In case shares are being debited in CDSL and credit to NSDL IEPF account the current file format for Corporate Action will be applicable. A new CA type 69 ("**Trf of Shs - NSDL IEPF**") has been created for this purpose to enable RTA to upload the file for Debit Corporate Action using Corporate Actions Module.
5. Under rules (6)(3)(b) of the rules, where there is a specific order of Court or Tribunal or statutory Authority restraining any transfer of such shares and payment of dividend the company shall not transfer such shares to the Fund. Accordingly, if the source BO / BO-ISIN is frozen under freeze reason codes given below, the debit corporate action for



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

transfer to IEPF account in respect of that BOLD shall be processed. For other freeze reason codes the record shall fail.

Code	Description
1	Beneficial owner
6	PAN verification pending
7	Sole/First Holder Deceased
8	Second Holder Deceased
9	Third Holder Deceased
13	In Person Verification or KYC Pending
14	Assignment
16	Initiated By BO
17	Requested By BO
19	FATCA NonCompliance(under ITRule 114H(8))
95	RCESS Freeze
97	Minor Attained Majority
98	PAN not recorded.

- The companies will fill the attached CA form for transfer of shares to IEPF and submit the same to CDSL. The data files pertaining to detail records of investors will be uploaded through upload module by RTA. (Refer Annexure A, B, C, D for file format & upload id details.)
- Non-monetary CAs:** As the credit to IEPF account for any non monetary CA like bonus, merger, capital reduction, split etc., through auto corporate action will take place on the total number of shares held in the account which actually needs to be assigned to investor level whose shares were transferred to IEPF, CDSL System will exclude the IEPF account for credit at CDSL during CA processing. The issuer/RTA shall be required to provide a data file as per the format attached (**Annexure D**) through Upload Module in respect of all the holders whose shares have been transferred to the IEPF authority and who are entitled to the shares on account of the corporate action. Based on the data provided, the total number of shares under the entitlements shall be credited by way of file corporate action to the account of the IEPF authority and the respective BO-wise entitlements will be updated in the system. No separate corporate action file would need to be uploaded. A new CA type 71 ("Trf of Shs to IEPF ACA") has been created by CDSL system for the above purpose.
- Monetary CAs:** In case of monetary CA the company / RTA to necessarily set up the corporate action for the record date (even if the record date is on a Friday / month end



Central Depository Services (India) Limited

Convenient + Dependable + Secure

COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

- wherein by default the BENPOS is generated) and update the dividend amount per share. This data will be used to update BO wise entitlement in depository system.
9. Along with the data files, the Company shall be required to submit the following documents
- Corporate Action form as per the format enclosed (**Annexure E**)
 - Certified copy of the Board Resolution authorising the transfer of share to the IEPF
 - RTA letter (**Annexure F**)
 - Corporate Action charges @ Rs. 10/- per debit/credit, subject to a minimum of Rs. 1000/- plus 18% GST.
10. The charges for IEPF account maintenance will be informed separately after finalization of MOU with IEPF authority.
11. As you are aware that CDSL provides beneficiary positions (i.e. RT02 report) as on every Friday and every month end. Accordingly, with respect to IEPF Transfer, the beneficiary positions (benpos) as of Tuesday, October 31, 2017 will be provided to RTAs and available for download on Wednesday, November 01, 2017.
12. The detailed process for refund of securities to the claimant shall be shared shortly.
13. The date of release of this functionality will be informed separately.

The updated files formats are as per annexures listed below

File Name	Corresponding response File Name	Annexure Number
CDSL to IEPF transfer Data File	17RTI1	Annexure A
NSDL to IEPF transfer Data File	17RTI2	Annexure B
Physical to IEPF transfer Data File	17RTI3	Annexure C
AUTO CA to IEPF BIFURCATION transfer Data File	17RTI4	Annexure D
Corporate Action Form		Annexure E
RTA Letter		Annexure F

Issuers/RTAs are required to make necessary changes in their back office.

CDSL – Operations on telephone numbers (022) 2305-8507, 2305-8638, 2305-8685 or 2305-8630. Emails may be sent to: viniferk@cdslindia.com/priyankaa@cdslindia.com/gulzart@cdslindia.com / ashishb@cdslindia.com



Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

COMMUNIQUÉ TO REGISTRAR & TRANSFER AGENTS

Queries regarding this communiqué may be addressed to **CDSL – Helpdesk**: on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com.

sd/-

Nayana Ovalekar
Chief Operating Officer

FILE FORMAT: CDSL to IEPF transfer Data File

File Name : 45<<RTA ID>>_CDSL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 45107_CDSL_IEPF_DTLS_26102017154100

Input Type : **Mandatory / Optional**

Header Record: This record will contain:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	NUMBER	M	2	VALUE = 01
RTA ID	NUMBER	M	6	RTA ID
RTA INTERNAL REFERENCE NUMBER	CHAR	O	16	
ISIN	CHAR	M	12	
CA TYPE	NUMBER	M	4	68 – Trf of Shares to IEPF
BOARD APPROVAL DATE	DATE	M	8	DDMMYYYY
EXECUTION DATE	DATE	M	8	DDMMYYYY
TOTAL DEBIT QUANTITY	NUMBER	M	(16,3)	
TOTAL DEBIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
FILLER			(16,3)	
TOTAL CREDIT QUANTITY	NUMBER	M	(16,3)	
TOTAL CREDIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
TOTAL NUMBER OF (02) DETAIL RECORDS	NUMBER	M	5	
FILLER	NUMBER	O	5	
CIN /BCIN NUMBER	CHAR	M	21	CIN
EMAIL ID OF COMPANY	CHAR	M	50	Email ID Of Company/Company Secretary
FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES	CHAR	M	9	YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009)
TOTAL NOMINAL AMOUNT OF SHARES	NUMBER	M	(16,3)	Total Nominal Value Of Shares

Ex: 01~000107~Int ref
123~INE016A01012~68~20102017~26102017~1000~0~10~1000~0~100~~L61212MH1995PLC123456
~abc@abc.com~2008-2009~10000

Details Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	M	2	Value = 02
RECORD LINE NUMBER	NUMBER	M	5	
CREDIT BO ID	CHAR	M	16	IEPF Demat Account Number
DEBIT BO ID	CHAR	M	16	
DEBIT QUANTITY	NUMBER	M	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	O	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY"
FILLER			(16,3)	
CREDIT QUANTITY	NUMBER	M	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	O	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date
FILLER			100	

NOTES:

- Tilde (~) should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.

FILE FORMAT: CDSL to IEPF transfer Response File

File Name : 17RTI1_<<RTA ID>>_CDSL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 17RTI1_107_CDSL_IEPF_DTLS_26102017154100

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 01
ERROR CODE	CHAR	8	
ERROR DESCRIPTION	CHAR	100	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 02
RECORD LINE NUMBER	NUMBER	5	
CREDIT BO ID	CHAR	16	
DEBIT BO ID	CHAR	16	
DEBIT QUANTITY	NUMBER	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	8	
FILLER		(16,3)	
CREDIT QUANTITY	NUMBER	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	8	
FILLER		100	
RECORD STATUS	CHAR	1	A - Accepted for Processing or R-Rejected
CA SEQUENCE NUMBER	NUMBER	8	File CA Sequence Number
COUNTER	NUMBER	3	Counter
ERROR CODE	CHAR	8	Applicable only in case of rejected records
ERROR DESCRIPTION	CHAR	100	Applicable only in case of rejected records

NOTES:

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.
- If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

FILE FORMAT: NSDL to IEPF transfer Data File

File Name : 46<<RTA ID>>_NSDL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 46107_NSDL_IEPF_DTLS_26102017154100

Input Type : **Mandatory / Optional**

Header Record: This record will contain:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	NUMBER	M	2	VALUE = 01
RTA ID	NUMBER	M	6	RTA ID
RTA INTERNAL REFERENCE NUMBER	CHAR	O	16	
ISIN	CHAR	M	12	
CA TYPE	NUMBER	M	4	68 – Trf of Shares to IEPF
BOARD APPROVAL DATE	DATE	M	8	DDMMYYYY
EXECUTION DATE	DATE	M	8	DDMMYYYY
TOTAL DEBIT QUANTITY	NUMBER	M	(16,3)	
TOTAL DEBIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
FILLER			(16,3)	
TOTAL CREDIT QUANTITY	NUMBER	M	(16,3)	
TOTAL CREDIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
TOTAL NUMBER OF (02) DETAIL RECORDS	NUMBER	M	5	
FILLER	NUMBER	O	5	
CIN /BCIN NUMBER	CHAR	M	21	CIN
EMAIL ID OF COMPANY	CHAR	M	50	Email ID Of Company/Company Secretary
FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES	CHAR	M	9	YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009)
TOTAL NOMINAL AMOUNT OF SHARES	NUMBER	M	(16,3)	Total Nominal Value Of Shares

Ex: 01~000107~Int ref
123~INE016A01012~68~20102017~26102017~1000~0~10~1000~0~100~~L61212MH1995PLC123456
~abc@abc.com~2008-2009~10000

Details Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	M	2	Value = 02
RECORD LINE NUMBER	NUMBER	M	5	
CREDIT BO ID	CHAR	M	16	IEPF Demat Account Number
DEBIT DP ID	CHAR	M	8	8 Digit NSDL DP ID
DEBIT CLIENT ID	CHAR	M	8	8 Digit NSDL Client ID
DEBIT QUANTITY	NUMBER	M	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	O	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY"
FILLER 1			(16,3)	
CREDIT QUANTITY	NUMBER	M	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	O	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date
FIRST HOLDER'S NAME	CHAR	M	250	
PAN OF SOLE/FIRST HOLDER	CHAR	O	30	
SECOND HOLDER'S NAME	CHAR	O	45	
PAN OF SECOND HOLDER	CHAR	O	30	
THIRD HOLDER'S NAME	CHAR	O	45	
PAN OF THIRD HOLDER	CHAR	O	30	
GUARDIAN'S NAME	CHAR	O	45	
FILLER 2			10	
NOMINEE'S NAME	CHAR	O	45	
FILLER 3			10	
FATHER/HUSBAND'S NAME	CHAR	O	45	
FILLER 4			1	
BIRTH DATE	CHAR	O	8	DDMMYYYY
ACCOUNT TYPE DESCRIPTION	CHAR	M	100	
ACCOUNT SUB TYPE DESCRIPTION	CHAR	M	100	
OCCUPATION	CHAR	O	100	
FILLER 5			25	

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
CORRESPONDENCE ADDRESS LINE 1	CHAR	O	36	
CORRESPONDENCE ADDRESS LINE 2	CHAR	O	36	
CORRESPONDENCE ADDRESS LINE 3	CHAR	O	36	
CORRESPONDENCE ADDRESS LINE 4	CHAR	O	36	
CORRESPONDENCE ADDRESS PIN CODE	CHAR	O	10	
PERMANENT ADDRESS LINE 1	CHAR	M	36	
PERMANENT ADDRESS LINE 2	CHAR	O	36	
PERMANENT ADDRESS LINE 3	CHAR	O	36	
PERMANENT ADDRESS LINE 4	CHAR	M	36	
PERMANENT ADDRESS PIN CODE	CHAR	M	10	
TELEPHONE 1	CHAR	O	24	
FILLER 6			20	
FAX	CHAR	O	24	
E-MAIL ID	CHAR	O	50	
UID OF FIRST HOLDER	CHAR	O	12	
UID OF SECOND HOLDER	CHAR	O	12	
UID OF THIRD HOLDER	CHAR	O	12	
FILLER 7			12	
FILLER 8			12	
FILLER 9			100	

NOTES:

- Tilde (~) should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.

FILE FORMAT: NSDL to IEPF transfer Response File

File Name : 17RTI2_<<RTA ID>>_NSDL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 17RTI2_107_NSDL_IEPF_DTLS_26102017154100

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 01
ERROR CODE	CHAR	8	
ERROR DESCRIPTION	CHAR	100	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 02
RECORD LINE NUMBER	NUMBER	5	
CREDIT BO ID	CHAR	16	
DEBIT DP ID	CHAR	8	
DEBIT CLIENT ID	CHAR	8	
DEBIT QUANTITY	NUMBER	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	8	
FILLER 1		(16,3)	
CREDIT QUANTITY	NUMBER	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	8	
FIRST HOLDER'S NAME	CHAR	250	
PAN OF SOLE/FIRST HOLDER	CHAR	30	
SECOND HOLDER'S NAME	CHAR	45	
PAN OF SECOND HOLDER	CHAR	30	
THIRD HOLDER'S NAME	CHAR	45	
PAN OF THIRD HOLDER	CHAR	30	
GUARDIAN'S NAME	CHAR	45	
FILLER 2		10	
NOMINEE'S NAME	CHAR	45	
FILLER 3		10	
FATHER/HUSBAND'S NAME	CHAR	45	
FILLER 4		1	
BIRTH DATE	CHAR	8	
ACCOUNT TYPE DESCRIPTION	CHAR	100	
ACCOUNT SUB TYPE DESCRIPTION	CHAR	100	
OCCUPATION	CHAR	100	
FILLER 5		25	
CORRESPONDENCE ADDRESS LINE 1	CHAR	36	
CORRESPONDENCE ADDRESS LINE 2	CHAR	36	
CORRESPONDENCE ADDRESS LINE 3	CHAR	36	
CORRESPONDENCE ADDRESS LINE 4	CHAR	36	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
CORRESPONDENCE ADDRESS PIN CODE	CHAR	10	
PERMANENT ADDRESS LINE 1	CHAR	36	
PERMANENT ADDRESS LINE 2	CHAR	36	
PERMANENT ADDRESS LINE 3	CHAR	36	
PERMANENT ADDRESS LINE 4	CHAR	36	
PERMANENT ADDRESS PIN CODE	CHAR	10	
TELEPHONE 1	CHAR	24	
FILLER 6		20	
FAX	CHAR	24	
E-MAIL ID	CHAR	50	
UID OF FIRST HOLDER	CHAR	12	
UID OF SECOND HOLDER	CHAR	12	
UID OF THIRD HOLDER	CHAR	12	
FILLER 7	CHAR	12	
FILLER 8	CHAR	12	
FILLER 9		100	
RECORD STATUS	CHAR	1	A - Accepted for Processing or R-Rejected
CA SEQUENCE NUMBER	NUMBER	8	File CA Sequence Number
COUNTER	NUMBER	3	Counter
ERROR CODE	CHAR	8	Applicable only in case of rejected records
ERROR DESCRIPTION	CHAR	100	Applicable only in case of rejected records

NOTES:

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.
- If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

FILE FORMAT: Physical to IEPF transfer Data File

File Name : 47<<RTA ID>>_PHY_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 47107_PHY_IEPF_DTLS_26102017154100

Input Type : **Mandatory / Optional**

Header Record: This record will contain:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	NUMBER	M	2	VALUE = 01
RTA ID	NUMBER	M	6	RTA ID
RTA INTERNAL REFERENCE NUMBER	CHAR	O	16	
ISIN	CHAR	M	12	
CA TYPE	NUMBER	M	4	70 – Trf of Shs to IEPF Phy
BOARD APPROVAL DATE	DATE	M	8	DDMMYYYY
EXECUTION DATE	DATE	M	8	DDMMYYYY
TOTAL DEBIT QUANTITY	NUMBER	M	(16,3)	
TOTAL DEBIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
FILLER			NA	NA
TOTAL CREDIT QUANTITY	NUMBER	M	(16,3)	
TOTAL CREDIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
TOTAL NUMBER OF (02) DETAIL RECORDS	NUMBER	M	5	
TOTAL NUMBER OF (03) DETAIL RECORDS OF DNR	NUMBER	O	5	
CIN /BCIN NUMBER	CHAR	M	21	CIN
EMAIL ID OF COMPANY	CHAR	M	50	Email ID Of Company/Company Secretary
FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES	CHAR	M	9	YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009)
TOTAL NOMINAL AMOUNT OF SHARES	NUMBER	M	(16,3)	Total Nominal Value Of Shares

Ex: 01~000107~Int ref
123~INE016A01012~68~20102017~26102017~1000~0~~1000~0~100~150~L61212MH1995PLC12345
6~abc@abc.com~2008-2009~10000

Details Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	M	2	Value = 02
RECORD LINE NUMBER	NUMBER	M	5	
CREDIT BO ID	CHAR	M	16	IEPF Demat Account Number
FOLIO NUMBER	CHAR	M	16	Folio number for physical certificates.
DEBIT QUANTITY	NUMBER	M	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
DEBIT LOCK-IN REASON CODE	NUMBER	O	2	1 - Directors/Relative Quota 2 - Employee Quota 3 - Preferential Quota 4 - Promoters Quota 5 - Underwriters Quota 6 - Private Placement 7 - Others
DEBIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY"
CREDIT QUANTITY	NUMBER	M	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	O	(16,3)	Lock-in Qty to be credited to IEPF Authority Account
CREDIT LOCK-IN REASON CODE	NUMBER	O	2	1 - Directors/Relative Quota 2 - Employee Quota 3 - Preferential Quota 4 - Promoters Quota 5 - Underwriters Quota 6 - Private Placement 7 - Others
CREDIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date
FIRST HOLDER'S NAME	CHAR	M	164	
PAN OF SOLE/FIRST HOLDER	CHAR	O	10	
SECOND HOLDER'S NAME	CHAR	O	164	
PAN OF SECOND HOLDER	CHAR	O	10	

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
THIRD HOLDER'S NAME	CHAR	O	164	
PAN OF THIRD HOLDER	CHAR	O	10	
FOURTH HOLDER'S NAME	CHAR	O	164	
PAN OF FOURTH HOLDER	CHAR	O	10	
GUARDIAN'S NAME	CHAR	O	164	
PAN OF GUARDIAN	CHAR	O	10	
NOMINEE'S NAME	CHAR	O	164	
PAN OF NOMINEE	CHAR	O	10	
FATHER/HUSBAND'S NAME	CHAR	O	50	
SEX OF SOLE/FIRST HOLDER	CHAR	O	1	M- Male/ F-Female
BIRTH DATE	CHAR	O	8	DDMMYYYY
OCCUPATION	CHAR	O	4	B – BUSINESS F – FARMER GS – GOVERNMENT SERVICES H – HOUSEWIFE O – OTHERS P – PROFESSIONAL PS – PUBLIC SECTOR PV – PRIVATE SECTOR R – RETIRED S – SERVICE ST – STUDENT
NATIONALITY	CHAR	O	25	
INVESTOR CATEGORY	CHAR	M	25	
CORRESPONDENCE ADDRESS LINE 1	CHAR	M	50	
CORRESPONDENCE ADDRESS LINE 2	CHAR	O	50	
CORRESPONDENCE ADDRESS LINE 3	CHAR	O	50	
CORRESPONDENCE ADDRESS CITY	CHAR	O	25	
CORRESPONDENCE ADDRESS STATE	CHAR	O	25	
CORRESPONDENCE ADDRESS COUNTRY	CHAR	O	25	
CORRESPONDENCE ADDRESS PIN CODE	CHAR	O	10	
PERMANENT ADDRESS LINE 1	CHAR	O	50	
PERMANENT ADDRESS LINE 2	CHAR	O	50	
PERMANENT ADDRESS LINE 3	CHAR	O	50	
PERMANENT ADDRESS CITY	CHAR	O	25	
PERMANENT ADDRESS STATE	CHAR	O	25	

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
PERMANENT ADDRESS COUNTRY	CHAR	O	25	
PERMANENT ADDRESS PIN CODE	CHAR	O	10	
TELEPHONE 1	CHAR	O	17	
TELEPHONE 2	CHAR	O	17	
BO FAX	CHAR	O	17	
E-MAIL ID	CHAR	O	50	
UID OF FIRST HOLDER	CHAR	O	12	
UID OF SECOND HOLDER	CHAR	O	12	
UID OF THIRD HOLDER	CHAR	O	12	
UID OF FOURTH HOLDER	CHAR	O	12	
UID OF GUARDIAN	CHAR	O	12	
UID OF NOMINEE	CHAR	O	12	
FILLER			100	

DNR Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHARACTER	M	2	"03"
RECORD LINE NUMBER	INTEGER	M	5	
ISIN	CHARACTER	M	12	
DEBIT/CREDIT INDICATOR	CHARACTER	M	1	D-Debit C-Credit
DISTINCTIVE NUMBERS FROM	INTEGER	M	18	
DISTINCTIVE NUMBERS TO	INTEGER	M	18	
QUANTITY	INTEGER	M	18	To DNR - From DNR + 1

NOTES:

- Tilde (~) should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.
- Multiple lines for DNR records line "03" is allowed.
- DNR records will be mandatory only in case of listed companies.

FILE FORMAT: Physical to IEPF transfer Response File

File Name : 17RTI3_<<RTA ID>>_PHY_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 17RTI3_107_PHY_IEPF_DTLS_26102017154100

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 01
ERROR CODE	CHAR	8	
ERROR DESCRIPTION	CHAR	100	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 02
RECORD LINE NUMBER	NUMBER	5	
CREDIT BO ID	CHAR	16	
FOLIO NUMBER	CHAR	16	
DEBIT QUANTITY	NUMBER	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	(16,3)	
DEBIT LOCK-IN REASON CODE	NUMBER	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	8	
CREDIT QUANTITY	NUMBER	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	(16,3)	
CREDIT LOCK-IN REASON CODE	NUMBER	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	8	
FIRST HOLDER'S NAME	CHAR	164	
PAN OF SOLE/FIRST HOLDER	CHAR	10	
SECOND HOLDER'S NAME	CHAR	164	
PAN OF SECOND HOLDER	CHAR	10	
THIRD HOLDER'S NAME	CHAR	164	
PAN OF THIRD HOLDER	CHAR	10	
FOURTH HOLDER'S NAME	CHAR	164	
PAN OF FOURTH HOLDER	CHAR	10	
GUARDIAN'S NAME	CHAR	164	
PAN OF GUARDIAN	CHAR	10	
NOMINEE'S NAME	CHAR	164	
PAN OF NOMINEE	CHAR	10	
FATHER/HUSBAND'S NAME	CHAR	50	
SEX OF SOLE/FIRST HOLDER	CHAR	1	
BIRTH DATE	CHAR	8	
OCCUPATION	CHAR	4	
NATIONALITY	CHAR	25	
INVESTOR CATEGORY	CHAR	25	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
CORRESPONDENCE ADDRESS LINE 1	CHAR	50	
CORRESPONDENCE ADDRESS LINE 2	CHAR	50	
CORRESPONDENCE ADDRESS LINE 3	CHAR	50	
CORRESPONDENCE ADDRESS CITY	CHAR	25	
CORRESPONDENCE ADDRESS STATE	CHAR	25	
CORRESPONDENCE ADDRESS COUNTRY	CHAR	25	
CORRESPONDENCE ADDRESS PIN CODE	CHAR	10	
PERMANENT ADDRESS LINE 1	CHAR	50	
PERMANENT ADDRESS LINE 2	CHAR	50	
PERMANENT ADDRESS LINE 3	CHAR	50	
PERMANENT ADDRESS CITY	CHAR	25	
PERMANENT ADDRESS STATE	CHAR	25	
PERMANENT ADDRESS COUNTRY	CHAR	25	
PERMANENT ADDRESS PIN CODE	CHAR	10	
TELEPHONE 1	CHAR	17	
TELEPHONE 2	CHAR	17	
BO FAX	CHAR	17	
E-MAIL ID	CHAR	50	
UID OF FIRST HOLDER	CHAR	12	
UID OF SECOND HOLDER	CHAR	12	
UID OF THIRD HOLDER	CHAR	12	
UID OF FOURTH HOLDER	CHAR	12	
UID OF GUARDIAN	CHAR	12	
UID OF NOMINEE	CHAR	12	
FILLER		100	
RECORD STATUS	CHAR	1	A - Accepted for Processing or R-Rejected
CA SEQUENCE NUMBER	NUMBER	8	File CA Sequence Number
COUNTER	NUMBER	3	Counter
ERROR CODE	CHAR	8	Applicable only in case of rejected records
ERROR DESCRIPTION	CHAR	100	Applicable only in case of rejected records

DNR Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHARACTER	2	"03"
RECORD LINE NUMBER	INTEGER	5	
ISIN	CHARACTER	12	
DEBIT/CREDIT INDICATOR	CHARACTER	1	
DISTINCTIVE NUMBERS FROM	INTEGER	18	
DISTINCTIVE NUMBERS TO	INTEGER	18	
QUANTITY	INTEGER	18	
RECORD STATUS	CHAR	1	A - Accepted for Processing or R-Rejected
ERROR CODE	CHAR	8	Applicable only in case of rejected records
ERROR DESCRIPTION	CHAR	100	Applicable only in case of rejected records

NOTES:

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.
- If the file fails in Detail record syntax validation then only Record Identification(02/03) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

FILE FORMAT: AUTO CA to IEPF BIFURCATION transfer Data File

File Name : 48<<RTA ID>>>_ACA_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 48107_ACA_IEPF_DTLS_26102017154100

Input Type : **Mandatory / Optional**

Header Record: This record will contain:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	NUMBER	M	2	VALUE = 01
FILE TYPE	CHAR	M	1	S – SETUP U – UPDATE
RTA ID	NUMBER	M	6	RTA ID
RTA INTERNAL REFERENCE NUMBER	CHAR	O	16	
CA TYPE	NUMBER	M	4	71 – Trf of shs to IEPF ACA
EXECUTION DATE	DATE	M	8	DDMMYYYY
CA SEQUENCE NUMBER	NUMBER	M	8	Original Auto CA Sequence Number
TOTAL DEBIT QUANTITY	NUMBER	M	(16,3)	
TOTAL DEBIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
TOTAL CREDIT QUANTITY	NUMBER	M	(16,3)	
TOTAL CREDIT LOCK-IN QUANTITY	NUMBER	O	(16,3)	
TOTAL NUMBER OF (02) DETAIL RECORDS	NUMBER	M	5	
CIN /BCIN NUMBER	CHAR	M	21	CIN
EMAIL ID OF COMPANY	CHAR	M	50	Email ID Of Company/Company Secretary

Details Records: This record will contain following lines:

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	M	2	VALUE = 02
RECORD LINE NUMBER	NUMBER	M	5	
DEBIT ISIN	CHAR	M	12	
CREDIT ISIN	CHAR	M	12	
CREDIT BO ID	CHAR	M	16	IEPF DEMAT ACCOUNT NUMBER
CDSL CLIENT ID	CHAR	O	16	CDSL BO ID
NSDL DP ID	CHAR	O	8	NSDL DP ID

FIELD DESCRIPTION	FIELD TYPE	INPUT TYPE	FIELD SIZE	REMARKS
NSDL CLIENT ID	CHAR	O	8	NSDL CLIENT ID
FOLIO NO	CHAR	O	16	FOLIO NO
DEBIT QUANTITY	NUMBER	M	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	O	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY"
CREDIT QUANTITY	NUMBER	M	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	O	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	O	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	O	8	Format "DDMMYYYY" Should Be Same As Debit Lock-In Expiry Date
FRACTIONAL CREDIT TYPE	CHAR	M	1	Q – QUANTITY M – MONEY N – NOT APPLICABLE
FRACTIONAL AMOUNT	NUMBER	O	(16,2)	Fractional Amount Paid Per Bo / Folio
FILLER			100	

NOTES:

- Tilde (~) should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.
- Initial file should have file type as "S" (Setup).
- File for updating fraction amount against each BO / Folio should have file type as "U" (Update).
- Any one of the following fields **CDSL BO / NSDL DP ID + Client ID / Folio No** is mandatory.
- Folio No will accept only "/" (forward slash) and "-" (hyphen) special characters along with numbers.
- In case of multiple benefit ISINs, 02 line should be repeated for each benefit ISIN, debit qty should be given only once.

FILE FORMAT: AUTO CA TO IEPF BIFURCATION RESPONSE FILE

File Name : 17RTI4_<<RTA ID>>_ACA_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g. 17RTI4_107_ACA_IEPF_DTLS_26102017154100

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	Value = 01
ERROR CODE	CHAR	8	
ERROR DESCRIPTION	CHAR	100	

FIELD DESCRIPTION	FIELD TYPE	FIELD SIZE	REMARKS
RECORD IDENTIFICATION	CHAR	2	VALUE = 02
RECORD LINE NUMBER	NUMBER	7	
FILE TYPE	CHAR	1	S – SETUP U – UPDATE
DEBIT ISIN	CHAR	12	
CREDIT ISIN	CHAR	12	
CREDIT BO ID	CHAR	16	
CDSL CLIENT ID	CHAR	16	
NSDL DP ID	CHAR	8	
NSDL CLIENT ID	CHAR	8	
FOLIO NO	CHAR	16	
DEBIT QUANTITY	NUMBER	(16,3)	
DEBIT LOCKIN QUANTITY	NUMBER	(16,3)	
DEBIT LOCK-IN CODE	NUMBER	2	
DEBIT LOCK-IN EXPIRY DATE	DATE	8	
CREDIT QUANTITY	NUMBER	(16,3)	
CREDIT LOCKIN QUANTITY	NUMBER	(16,3)	
CREDIT LOCK-IN CODE	NUMBER	2	
CREDIT LOCK-IN EXPIRY DATE	DATE	8	
FRACTIONAL CREDIT TYPE	CHAR	1	
FRACTIONAL AMOUNT	NUMBER	(16,2)	
FILLER		100	
RECORD STATUS	CHAR	1	A - Accepted for Processing or R-Rejected
CA SEQUENCE NUMBER	NUMBER	8	File CA Sequence Number
COUNTER	NUMBER	3	Counter
ERROR CODE	CHAR	8	Applicable only in case of rejected records
ERROR DESCRIPTION	CHAR	100	Applicable only in case of rejected records

NOTES:

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.
- If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

For Providing Details of Corporate Action to transfer shares to IEPF Authority**Note:**

1. This Form is to be forwarded on the letterhead of the Company duly signed by the Company Secretary /Managing Director/Person authorized by the Board.
2. Write N.A wherever not applicable.

**To,
Operations Department
Central Depository Services (India) Limited
Marathon Futurex, Unit No. 2501
25th Floor, A-Wing, Mafatlal Mills Compound,
N M Joshi Marg, Lower Parel,
Mumbai – 400 013.**

Dear Sir,

We wish to execute debit/credit Corporate Action to Transfer the shares to the Investor Education and Protection Fund (IEPF) Authority as per the IEPF (Accounting,Audit,Transfer and Refund) Amendment Rules, 2017.

ISIN				
Security Description				
No. of Records for debit				
No. of shares for debit				
	Physical	NSDL	CDSL	Total
No. of Records for credit				
No. of Shares for credit				

The Details of the Transferor is/are as follows:

Sr. No.	Name of the Transferor	BO ID	Quantity
Total Quantity			

The Details of the IEPF Account to be credited is as follows:

Name of the Applicant	BO ID	Quantity
Investor Education and Protection Fund Authority Ministry of Corporate Affairs.		

DECLARATION

I,, state and confirm that :

- All the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter and matters incidental thereto have been complied with. I further declare that all the information given herein above is true and correct and complete.
- The Transfer of shares is being effected only in respect of the shares where the BO has not encashed any dividend warrant during the last seven years as per the IEPF (Accounting,Audit,Transfer and Refund) Amendment Rules, 2017.
- The Company has informed, at the latest available address, the shareholder concerned regarding the transfer of shares three months before the due date of transfer of shares and has also published a notice in the leading newspaper in English and Regional language informing the concerned that the names of such shareholders and their folio no. or DP ID-Client ID are available on their website duly mentioning the website address.
- In respect of physical shares, the duplicate certificates issued have been duly transferred in favour of the IEPF Authority.

Name :

Designation :

Signature :

(Company Stamp)

RTA Letter

To be provided on the letterhead of the RTA.

Date:

To
Central Depository Services (India) Ltd.,
Marathon Futurex, Unit No. 2501
25th Floor, A-Wing, Mafatlal Mills Compound,
N M Joshi Marg, Lower Parel,
Mumbai – 400 013.

Dear Sir,

We have uploaded the data files (CDSL/NSDL/Physical) / debit corporate action file for transfer of shares to the IEPF Account.

The details of the file is as under:

File Name	ISIN	Issuer Name	No. of Records	Quantity	Debit/ Credit	Execution Date

You are requested to process the Corporate Action as per details provided above.

Thanking you,

Yours faithfully,