



Central Depository Services (India) Limited

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COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/OPS/RTA/POLCY/2017/68

November 16, 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/2017/66 dated October 31, 2017 regarding operational guidelines and file formats for transfer of shares to the demat account of the Investor Education and Protection Fund (IEPF) Authority.

On the basis of feedback received from RTAs, following changes have been made in the file formats.

Change in RT38 report **ONLY** for CA type 68:

1. Currently RT38 report (Corporate Action successful and failed updates) is generated after the CA processing at CDSL end is completed and contains BO wise debit / credit details as 01 line containing BO details, 02 line for debit quantity details and another 02 line for credit quantity details refer **Annexure G**. For e.g.

01~1304140000393328~1~21~3~SANJAY KUMAR .~test

02~INE123SA1019~D~187.000~0.000~0.000~

02~INE123SA1019~C~187.000~0.000~0.000~.

For CA type 68 (i.e. CDSL to CDSL IEPF account credit), the CA file will be generated by CDSL system on the basis of the data file which has been uploaded by the RTA and a CA sequence number will be generated under CA master type 4 & CA type 68. On successful processing of the CA file from CDSL end, RT38 report will be generated in the **new format** to display IEPF account credit details alongwith CDSL demat account debit. The RT38 report is changed to reflect 01 line for Debit BO details followed by 02 line for Debit quantity details of CDSL BO followed by 01 line for IEPF account details followed by 02 line for credit quantity details of IEPF account. For e.g.

01~1304140000393328~1~21~3~SANJAY KUMAR .~test

02~INE123SA1019~D~187.000~0.000~0.000~

01~1204720013676780~1~21~3~IEPF .~test

02~INE123SA1019~C~187.000~0.000~0.000~

Please note that the change in the report format is only for this specific CA type 68 (i.e. transfer from CDSL demat account to CDSL IEPF account). For all other CA executed, the existing RT38 format will continue.



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2. In Annexure B Input Type for field description "Permanent Address Line 4" has been changed from Mandatory (M) to Optional (O).
3. In Annexure B Input Type for field description "Permanent Address Pin Code" has been changed from Mandatory (M) to Optional (O).
4. In Annexure A, B and C input type for field description "Board Approval Date" has been changed from Mandatory (M) to Optional (O).
5. In Annexure A CDSL to IEPF transfer Response file, Filler field before Record Status is converted to Freeze Remarks. This field will contain value in case a record fails due to freeze during File processing.
6. In Annexure D, "FRACTIONAL AMOUNT" field size has been changed to (15,2)
7. In Annexure D, new fields have been incorporated to capture the distinctive number from and to ranges.

Issuers/RTA are advised to execute debit/credit corporate action using appropriate **revised** file format as per attached Annexure A, Annexure B, Annexure C and Annexure D.

Further, Issuers/RTAs shall submit the following documents along with **revised** corporate action form (**Annexure E**) for executing CA in CDSL system:

1. Certified copy of the authorisation by the Board to the company secretary or any other person to undertake all activities pertaining to transfer of shares to IEPF account.
2. Certified copy of the notice by Board or appointed committee for effecting transfer of shares to the IEPF account.
3. Corporate action charges @ Rs. 10/- per debit/credit subject to a minimum of Rs. 1000/- per file plus GST (18%).

Mode of Payment:

NEFT to our Bank of India Account No. 008620100003181 (IFSC Code: BKID0000086, MICR Code: 400013051) or through demand draft / cheque in favor of Central Depository Services (I) Ltd. payable at Mumbai.

After making the payment electronically, you are requested to intimate regarding the same to iepf@cdslindia.com.

4. RTA letter (annexure F).

The documents may be submitted by uploading the same through the Document Manager portal.

New CA type (72) introduced for Transfer of shares held in Suspense account:

The shares held in the Suspense Account of the Issuer and which are due for transfer to the IEPF account can be debited through Corporate Action. For this purpose the RTA will have to set up a



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Corporate Action under CA type 72 and upload a debit corporate action file as per the existing CA file format. The details of the underlying BOs in respect of whom the shares had been transferred to the Suspense Account will have to be provided by the Issuer /RTA as per the file format provided in Annexure C.(i.e Physical to IEPF transfer data file). CDSL will generate a corporate action file based on the data files received from Issuer/RTA and credit the shares to the IEPF demat account.

Also find below the clarification regarding operational guidelines and file formats for transfer of shares to IEPF account:

1. **As per file format C, DN ranges validation for 03 records in physical-CDSL upload ID 47 will be processed as per the existing functionality for listed/unlisted ISINs i.e. for unlisted ISIN – DN range will not be mandatory.**
2. **If there is any failure in the Detail Record 02 or DNR record 03 in the file format C (physical-CDSL IEPF transfer data file) the entire file will be rejected.**
3. **CA Setup option will not be allowed for new CA type 68, 70 and 71.**
4. **New CA type 72 (Suspense Account Debit) has been created in the CDSL system.**
5. **Single Data file can contain maximum of 99,999 records.**

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

Queries regarding this communiqué may be addressed to:

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

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	O	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~~~1000~~~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	

Ex: 02~1~1204720013676780~1304140006941771~1000~~~~~1000~~~~~

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	
FREEZE REMARKS	CHAR	100	Freeze Remarks only in case of failure due to freeze.
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	O	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~~~1000~~~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	O	36	
PERMANENT ADDRESS PIN CODE	CHAR	O	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	

Ex: 02~1~1204720013676780~IN312345~21941771~1000~~~~~1000~~~~~Sandeep
 Chavan~ABCDE1234F~~~~~INDIVIDUAL~RESIDENT
 INDIVIDUAL~SERVICE~~~~~MUMBAI~~~~~400001~~~~~

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	

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	O	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~INE016A01012~70~20102017~26102017~1000~~~1000~~1~1~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
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

Ex: 02~1~1204720013676780~1031234521941771~10~~~~~10~~~~~Sandeep
Chavan~ABCDE1234F~~~~~S~~Individual~Mumbai~~~~~400001~~~~~
~~~~~  
03~1~ INE016A01012~C~1~1000~1000

**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         |            |

|                                 |        |     |                                              |
|---------------------------------|--------|-----|----------------------------------------------|
| 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<br>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<br>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<br>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"<br>Should Be Same As<br>Debit Lock-In Expiry<br>Date |
| FRACTIONAL CREDIT TYPE     | CHAR       | M          | 1          | Q – QUANTITY<br>M – MONEY<br>N – NOT APPLICABLE                        |
| FRACTIONAL AMOUNT          | NUMBER     | O          | (15,2)     | Fractional Amount<br>Paid Per Bo / Folio                               |
| 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<br>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.
- 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.
- Multiple lines for DNR records line "03" is allowed.

**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     | 5          |                                              |
| FILE TYPE                  | CHAR       | 1          | S – SETUP<br>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     | (15,2)     |                                              |
| FILLER                     |            | 100        |                                              |
| RECORD STATUS              | CHAR       | 1          | A - Accepted for Processing<br>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          | VALUE = 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<br>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) 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. The entire 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**  
**25<sup>th</sup> Floor, A-Wing, Mafatlal Mills Compound,**  
**N M Joshi Marg, Lower Parel,**  
**Mumbai – 400 013.**

Dear Sir,

We wish to execute the following corporate action with respect to transfer of shares to the Account of the Investor Education and Protection Fund (IEPF) Authority as per the IEPF (Accounting, Audit, Transfer and Refund) Amendment Rules, 2017

- ☐ Debit securities in CDSL BO A/c and credit IEPF Account with CDSL.
- ☐ Debit securities in CDSL BO A/c and credit IEPF Account with NSDL
- ☐ Credit securities to the IEPF Account with CDSL in respect of NSDL BO A/c
- ☐ Credit securities to the IEPF Account with CDSL in respect of Physical holders
- ☐ Credit non monetary benefits to the IEPF Account with CDSL

The credits will be effected in the demat account of the IEPF Authority only to the extent of those accounts which have been successfully debited.

|                                                                         |                   |                             |
|-------------------------------------------------------------------------|-------------------|-----------------------------|
| Name of the Company                                                     |                   |                             |
| ISIN                                                                    |                   |                             |
| Security Description                                                    |                   |                             |
| Due date of transfer in terms of IEPF Rules                             |                   |                             |
| Details of shares to be transferred / transmitted to the IEPF Authority |                   |                             |
| Shares held in :                                                        | Number of records | Number of shares (Quantity) |

|          |  |  |
|----------|--|--|
| CDSL     |  |  |
| NSDL     |  |  |
| Physical |  |  |
| Total    |  |  |

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<br>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, we confirm that the procedure as specified under Rule 6, sub-rule 3, clause (d) of the IEPF (Accounting,Audit,Transfer and Refund) Amendment Rules, 2017 has been complied with.

**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  
25<sup>th</sup> 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,

## Report Documentation

**Report ID : RT38**

**Report Description : CA Success/Failure Report**

### Fields for ISIN Details

| Field Description      | Field Type | Field Length |
|------------------------|------------|--------------|
| LINE INDICATOR         | NUMBER     | 2            |
| ISIN                   | CHAR       | 12           |
| ISIN Short Description | CHAR       | 20           |

The Number of lines with Line Indicator 00 depends upon the number of Parent and Benefit ISINs

### Fields for Successful Records

| Field Description             | Field Type    | Field Length |
|-------------------------------|---------------|--------------|
| LINE INDICATOR                | NUMBER        | 2            |
| BO ID                         | CHAR          | 16           |
| BO CATEGORY                   | NUMBER        | 2            |
| BO STATUS                     | NUMBER        | 2            |
| <b>BO SUB TYPE</b>            | <b>NUMBER</b> | <b>4</b>     |
| BO NAME                       | CHAR          | 142          |
| RTA INTERNAL REFERENCE NUMBER | CHAR          | 16           |

| Field Description | Field Type | Field Length |
|-------------------|------------|--------------|
| LINE INDICATOR    | NUMBER     | 2            |
| ISIN              | CHAR       | 12           |
| DEBIT CREDIT FLAG | CHAR       | 1            |
| CURRENT QUANTITY  | NUMBER     | (16,3)       |
| FROZEN QUANTITY   | NUMBER     | (16,3)       |
| LOCKIN QUANTITY   | NUMBER     | (16,3)       |

Line 01 is main record for a BO and Line 02 is detail record for a BO giving ISIN level details.

**Fields for Failed Records**

Failed records will have the same fields as success records with the exception of failure reason in line 02 identifying the particular record in error. Line Indicator will be same as success records.

| Field Description | Field Type | Field Length |
|-------------------|------------|--------------|
| FAILURE REASON    | VARCHAR    | 240          |

**Fields for Summary Records**

| Field Description      | Field Type | Field Length |
|------------------------|------------|--------------|
| LINE INDICATOR         | NUMBER     | 2            |
| ISIN                   | CHAR       | 12           |
| NUMBER OF RECORDS      |            | 9            |
| TOTAL CURRENT QUANTITY | NUMBER     | 16,3         |
| TOTAL FROZEN QUANTITY  | NUMBER     | 16,3         |
| LOCKIN QUANTITY        | NUMBER     | 16,3         |

| Field Description      | Field Type | Field Length |
|------------------------|------------|--------------|
| LINE INDICATOR         | NUMBER     | 2            |
| NUMBER OF RECORDS      | NUMBER     | 9            |
| TOTAL CURRENT QUANTITY | NUMBER     | 16,3         |
| TOTAL FROZEN QUANTITY  | NUMBER     | 16,3         |
| LOCKIN QUANTITY        | NUMBER     | 16,3         |

| Field Description               | Field Type | Field Length |
|---------------------------------|------------|--------------|
| LINE INDICATOR                  | NUMBER     | 2            |
| CA SEQUENCE NUMBER              | NUMBER     | 8            |
| CA ALLOTMENT FILE SERIAL NUMBER | NUMBER     | 3            |
| SYSTEM DATE AND TIME            | CHAR       | 24           |

**Note: -**

- Between ISIN detail and Success records there will be one blank line
- Between the Success and Failure records there will be one blank line.
- Between Failure and Summary records there will be one blank line.
- If there are no success records, there will be two blank lines between ISIN details and Failure Records.
- If there are no failure records, there will be two blank lines between Success Records and Summary Records
- Line Indicator.
  - 01 is main record for a BO
  - 02 is detail record for a BO giving ISIN level details
  - There will be multiple combinations of 01 and 02 for success and failure records

## Summary records

## Line Indicator

03 is for successful credits

04 is for successful debits

05 is for failed credits

06 is for failed debits

07 is total

08 is for date and time of generation

- In the summary
  - All success records will be grouped together, first credits and then debits for each ISIN
  - For eg ISIN1 03&04 then ISIN2 03&04
  - All the failed records will be grouped together, first credits and then debits for each ISIN
  - For eg ISIN1 03&04 then ISIN2 03&04
  - Then the total records will be printed
- All the fields are of variable length and separated by '~'