



# Central Depository Services (India) Limited

Convenient ⊕ Dependable ⊕ Secure

## COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/SETTL/2022/462

August 12, 2022

### PROVIDING UCC DETAILS MANDATORILY FOR PAY-IN TRANSACTIONS

DPs are advised to refer CDSL communique numbers given below which refers to guidelines mentioned while executing e-DIS transactions and SEBI Circular having reference number SEBI/HO/MIRSD/DOP/P/CIR/2021/595 dated July 16, 2021, disseminating the guidelines on the block mechanism in demat account of clients undertaking sale transactions. Block Mechanism guidelines have been made effective from July 31, 2021 and are currently optional to clients undertaking sale transactions.

- **CDSL/OPS/DP/SETTL/2021/54 dated February 8, 2021**
- **CDSL/OPS/DP/SETTL/2021/156 dated April 6, 2021**
- **CDSL/OPS/DP/SETTL/2021/185 dated April 22, 2021**
- **CDSL/OPS/DP/POLCY/2021/314 dated July 19, 2021**
- **CDSL/OPS/DP/SETTL/2021/335 dated July 31, 2021**

In the recent meetings of all the Market Infrastructure Intermediaries (MII) with SEBI it has been discussed and directed by SEBI that effective from **September 17, 2022**, systems for validation of pay-in transactions with delivery obligations received from Clearing Corporation (CC) before affecting debit have to be put in place by the Depositories. To enable the same, providing UCC details for all types of pay-in transactions would be mandatory to clients undertaking sale transactions.

DPs are requested to take note of below-mentioned points and disseminate the content of this communique to their Trading Member (TM) / Clearing Member (CM) / Trading Clients undertaking sale transactions.

1. Providing UCC details would be mandatory for following type of transactions:
  - a. Early Pay-in (EP) transactions from client account (Transaction Type – 10 in common upload) or EP transaction entry.
  - b. EP transactions from member account. Member will be required to split EP txns client wise (i.e., UCC wise) and provide UCC details for each client in EP transaction upload (Transaction Type – 10 in common upload) or EP transaction entry.
  - c. Normal Pay-in (NP) transactions from client account (Transaction Type – 3 in common upload) or NP transaction entry.
  - d. NP transactions from member account (applicable in case of ICCL CMs). Member will be required to split EP txns client wise (i.e., UCC wise) and provide UCC details for each client in NP transaction upload (Transaction Type – 3 in common upload) or NP transaction entry.
  - e. On-Market transactions from client account to the CM / TM Pay-in account i.e., client account to Principal Account for ICCL CM and client account to Trading Member / Clearing Member Account for non-ICCL CM (Transaction Type – 5 in common upload) or transaction entry.
  - f. Inter-Depository On-Market / Early pay-in transactions from client account to NSDL Pool Account (Transaction Type – 4 in common upload) or transaction entry.



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2. DPs are requested to refer CDSL communique number CDSL/OPS/DP/SETTL/2021/335 dated July 31, 2021, for the guidelines to be followed for executing aforesaid type of pay-in transactions.
3. UCC details mentioned in the transaction would be validated with UCC details linked to the demat account of the client and transaction would be taken for processing only if UCC details matches.
4. Transactions of the types mentioned above entered / uploaded without UCC details or invalid details would be rejected and would not be considered for further processing.
5. As per the operational modalities of processing of Block Mechanism, transactions of the types mentioned above entered with valid UCC details would be considered for pay-in subject to transaction details matches with the delivery obligation details received from CC.
6. As provision is already made to give UCC details in transaction upload there is no file format change to DPs except for UCC details which will be mandatory for all type of sale transactions mentioned under point (1a to f) (refer Annexure A for file format).

DPs are hereby directed to disseminate the aforesaid information / requirements / guidelines to their TM / CM / Trading clients to help them to understand and comply with the guidelines in accordance with the SEBI guidelines and ensure that the suitable back-office related changes where applicable are implemented before the release of the aforesaid functionality.

Queries regarding this communiqué may be addressed to:

- ❑ **CDSL – Settlement Desk** on (022) 2305-8611, 2305-8508, 2305-8635, 2305-8612, 2305-8501 or 2305-8601. Emails may be sent to: [operations@cdslindia.com](mailto:operations@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](mailto:helpdesk@cdslindia.com).

sd/-

**Prashant Kokate**

**Asst. Vice President – Operations**

List of the transactions for which common file format has already been released is as follows:

Sr. No.	Transaction Type Code	Transaction Type Description
1	01	Demat [i.e. Dematerialization]
2	03	<b>Normal Pay-in</b>
3	04	<b>Inter Depository</b>
4	05	<b>Off / On Market</b>
5	07	<b>Pledge</b>
6	07	Un-pledge
7	07	Confiscation
8	07	Auto Un-pledge
9	10	<b>Early Pay-in</b>
10	12	BO Level Freeze
11	12	BO-ISIN Level Freeze
12	12	Unfreeze
13	21	Destat [i.e. Destatementization]
14	26	Remat [i.e. Rematerialization]
15	28	Restat [i.e. Restatementization] / Redemption
16	30	One to One Transmission
17	31	Account Transfer
18	32	One to Many Transmission
19	39	DIS Issuance / Cancellation
20	40	Demat Account Earmarking / Reverse Earmarking

**Features**

- Multiple Upload Types can be entered in the same file.
- The fields can be in any order.
- The first tag should be <Tp> indicating the upload type.
- Quantity can be Maximum 12 digits before decimals and 3 digits after decimals. Decimal Point is required in the file for decimal quantities.
- Quantity field should indicate the exact quantity. For e.g. If Quantity is 100 then it should be written as <Qty>100</Qty>.
- In case of decimals, the decimal point should also be included. For e.g. If Quantity is 100.123 then it should be written as <Qty>100.123</Qty>.
- Format of Date field is DDMMYYYY.
- If a field is blank i.e. optional it can be entered as blank as <Ref></Ref> or the tag may not be present. Such a field will be ignored as an empty tag.

**Upload ID** : **18**

**File Name** : <Upload ID><Six Digit DP ID>.<Business Date>.<3, 4, and 5 digit running serial number>

**Sample File Name:**

For DP : 18021200.18042015.123

For CM /BO : 181304140000001234.18042015.123

**Header Record**

**Input Type** : **Mandatory [M] / Optional [O]**

**Header record will contain:**

Field Description	Field Type	Field Length	Input Type
DP ID	Number	6	M
Operator ID	Char	6	M
Total No. of Records	Number	6	M
File Extension	Number	3 / 4 / 5	M
Business Date	Date	8	M

**Sample Record Format:**

021200DPADM 00000112318042015

**Detail Record: Demat Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 1]	<Tp>	</Tp>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
DRF Number	Char	16	M	<Drf>	</Drf>
Number of Certificates	Number	5	M	<Pg>	</Pg>
Dispatch Document ID	Char	20	O	<Dspchid>	</Dspchid>
Dispatch Name	Char	30	O	<Dspchnm >	</Dspchnm >
Dispatch Date	Date	8	O	<Dspchdt >	</Dspchdt >
Lock-in Status	Char	1	M • N – Free • Y – Lock-in	<Lcksts>	</Lcksts>
Lock-in Code	Number	2	O [Mandatory, if Lock-in Status = 'Y']	<Lckcd>	</Lckcd>
Lock-in Remark	Char	50	O [Mandatory, if Lock-in Status = 'Y']	<Lckrem>	</Lckrem>
Lock-in Expiry Date	Date	8	O [Mandatory, if Lock-in Status = 'Y']	<Lckexpdt >	</Lckexpdt >
Request Received Date From BO	Date	14	M DDMMYYYY Y Or DDMMYYYY YHH24MIS S	<Rcvdt>	</Rcvdt>
No of Ranges	Number	4	M	<Ranges>	</Ranges>
Document Type	Number	2	O	<DocTyp>	</DocTyp>

**Possible values for Document Type are:**

Document Type	Document Type Description
01	Copy of Passport
02	Copy of legally recognized marriage certificate
03	Copy of gazette notification regarding change in name
04	Copy of Aadhar Card
05	ROM Changes static data – Transmission
06	ROM Changes static data – Transposition
07	ROM Changes static data - Transfer case
08	Minor Name Mismatch

Following Fields are optional, If ISIN is listed on nation-wide stock exchange then following fields are mandatory.

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Record Number	Number	2	M	<Rngs>	</Rngs>
Folio No	Char	16	O [Mandatory for Listed Companies]	<Folio>	</Folio>
Certificate Number From	Char	10	O [Mandatory for Listed Companies]	<CertFrm>	</CertFrm >
Certificate Number To	Char	10	O [Mandatory for Listed Companies]	<CertTo>	</CertTo>
Distinctive Number From	Number	18	O [Mandatory for Listed Companies]	<DNFrm>	</DNFrm>
Distinctive Number To	Number	18	O [Mandatory for Listed Companies]	<DNTto>	</DNTto>

**Detail Record: Normal Pay-in [i.e. BO Obligation] Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 3]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Depository ID	Number	2	M	<Dpstry>	</Dpstry>
CH ID	Number	2	M	<Clr>	</Clr>
Exchange ID	Number	2	M	<Xchg>	</Xchg>
Settlement ID	Char	13	M	<Stlm>	</Stlm>
DP ID	Number	6	M	<Ptcpt>	</Ptcpt>
CM ID	Char	8	M	<Mmb>	</Mmb>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
Buy / Sell Flag	Char	1	M • B – Buy • S – Sell	<Flg>	</Flg>
Internal Reference Number	Char	16	O	<Ref>	</Ref>
Authentication Reference Number [Applicable, if transaction is through Easiest]	Number	8	O	<Arf>	</Arf>
Transaction electronic flag	Char	1	O D – Pre Trade eDIS E – Post trade eDIS F – Offmarket eDIS <b>G – DDPI DIS</b> Y – Electronic DIS N – Physical DIS	<Txnelfg>	</Txnelfg>
Master POA ID	Char	16	O	<Poa>	</Poa>
DIS	Char	16	O	<Dis>	</Dis>
Maker Operator ID	Char	12	O	<Mkropid>	</Mkropid>
Checker Operator ID	Char	12	O	<Ckropid>	</Ckropid>

Verifier Operator ID	Char	12	O	<Vfropid>	</Vfropid>
Entity Identifier	Char	2	<b>M</b> “CP” for custodian transaction. “TM” for other than custodian transaction	<Entldntfr>	</Entldntfr>
UCC	Char	11	<b>M</b> Mandatory for Entity identifier as “TM”	<Ucc>	</Ucc>
Segment ID	Char	2	<b>M</b>	<Seg>	</Seg>
UCC CMID	Char	16	<b>M</b>	<Ucmid>	</Ucmid>
UCC TM Code / CP Code	Char	12	<b>M</b> If entity identifier as “CP”, CP Code will be provided, and if Entity identifier as “TM”, UCC TM Code to be provided.	<Tm>	</Tm>
UCC EXID	Number	2	<b>M</b>	<Uexid>	</Uexid>



**Detail Record: Inter-Depository Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [value = 4]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Execution Date	Date	8	M	<Dt>	</Dt>
CDSL BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
Buy / Sell Flag	Char	1	M • B – Buy • S – Sell	<Flg>	</Flg>
Cash Transfer	Char	1	M • Y – Yes • X – Not Required	<Trf>	</Trf>
NSDL Client ID	Char	8	O	<Clnt>	</Clnt>
NSDL CMBP ID / DPID	Char	8	M	<Brkr>	</Brkr>
NSDL Settlement ID	Char	13	O	<Sttlm>	</Sttlm>
Internal Reference Number	Char	16	O	<Ref>	</Ref>
CDSL Settlement ID	Char	13	O	<CntrSttlm>	</CntrSttlm>
Trade Reason	Number	2	O	<Rsn>	</Rsn>
Authentication Reference Number [Applicable, if transaction is through Easiest]	Number	8	O	<Arf>	</Arf>
Transaction electronic flag	Char	1	O D – Pre Trade eDIS E – Post trade eDIS F – Offmarket eDIS <b>G – DDPI DIS</b> Y – Electronic DIS N – Physical DIS	<Txneflg>	</Txneflg>
Master POA ID	Char	16	O	<Poa>	</Poa>
DIS	Char	16	O	<Dis>	</Dis>

Maker Operator ID	Char	12	O	<Mkropid>	</Mkropid>
Checker Operator ID	Char	12	O	<Ckropid>	</Ckropid>
Verifier Operator ID	Char	12	O	<Vfropid>	</Vfropid>
Consideration Amount [Mandatory for BO to BO transaction]	Number	16,3	O	<Conamt>	</Conamt>
Remark [Mandatory for reason code 6]	Char	100	O	<Remk>	</Remk>
Payment Mode *	Number	1	O	<Paymod>	</Paymod>
Bank Account No	Char	35	O	<Bnkno>	</ Bnkno>
Bank Name	Char	100	O	<Bnkname>	</ Bnkname>
Branch Name	Char	100	O	<Brchnam e>	</Brchnam e>
Transferee Name	Char	150	O Mandatory if Payment mode is 1	<Xfername>	</Xfername >
Date of Issue	Date	8	O Cheque Issue date or date of electronic transfer	<Xferdt>	</Xferdt>
Cheque./Reference No	Char	22	O	<Chqrefno>	</Chqrefno>
Early Payin Identifier	Char	1	Y = Early payin through Interdepository N = Non Early Payin transaction (to be used subsequently under intimation)	<EPidntfr>	</EPidntfr>
Entity Identifier	Char	2	<b>M</b> “CP” for custodian transaction. “TM” for other than custodian transaction. <b>Optional for Buy transactions</b>	<Entldntfr>	</Entldntfr>
UCC	Char	11	<b>M</b> <b>Optional for Buy transactions</b>	<Ucc>	</Ucc>

Segment ID	Char	2	<b>M</b> <b>Optional for Buy transactions</b>	<Seg>	</Seg>
UCC CMID	Char	16	<b>M</b> <b>Optional for Buy transactions</b>	<Ucmid>	</Ucmid>
UCC TM Code/CP Code	Char	12	<b>M</b> If entity identifier as "CP", CP Code will be provided, and if Entity identifier as "TM", UCC TM Code to be provided. <b>Optional for Buy transactions</b>	<Tm>	</Tm>
UCC EXID	Number	2	<b>M</b> <b>Optional for Buy transactions</b>	<Uexid>	</Uexid>

Note \*

1. Cheque Payment
2. Electronic Payment
3. Cash Payment (Mandatory if Consideration Amt captured)

**Detail Record: Transaction [Off / On – Market] Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 5]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Execution Date	Date	8	M	<Dt>	</Dt>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
Counter BO ID	Char	16	M	<CtrPty>	</CtrPty>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
Buy / Sell Flag	Char	1	M • B – Buy • S – Sell	<Flg>	</Flg>
Cash Transfer	Char	1	M • Y – Yes • X – Not Required	<Trf>	</Trf>
Trade Reason	Number	2	O	<Rsn>	</Rsn>
Internal Reference Number	Char	16	O	<Ref>	</Ref>
Settlement ID	Char	13	O	<Sttlm>	</Sttlm>
Counter Settlement ID	Char	13	O	<CntrSttlm>	</CntrSttlm>
Authentication Reference Number [Applicable, if transaction is through Easiest]	Number	8	O	<Arf>	</Arf>
Transaction electronic flag	Char	1	O D – Pre Trade eDIS E – Post trade eDIS F – Offmarket eDIS <b>G – DDPI DIS</b> Y – Electronic DIS N – Physical DIS	<Txnelflg>	</Txnelflg>
Master POA ID	Char	16	O	<Poa>	</Poa>
DIS	Char	16	O	<Dis>	</Dis>
Maker Operator ID	Char	12	O	<Mkropid>	</Mkropid>
Checker Operator ID	Char	12	O	<Ckropid>	</Ckropid>
Verifier Operator ID	Char	12	O	<Vfropid>	</Vfropid>

Consideration Amount [Mandatory for BO to BO transaction]	Number	16,3	O	<Conamt>	</Conamt>
Remark [Mandatory for reason code 6]	Char	100	O	<Remk>	</Remk>
Payment Mode*	Number	1	O	<Paymod>	</Paymod>
Bank Account No	Char	35	O	<Bnkno>	</Bnkno>
Bank Name	Char	100	O	<Bnkname>	</Bnkname>
Branch Name	Char	100	O	<Brnchnam e>	</Brnchnam e>
Transferee Name	Char	150	O Mandatory if Payment mode is 1	<Xfername>	</Xfername>
Date of Issue	Date	8	O Cheque Issue date or date of electronic transfer	<Xferdt>	</Xferdt>
Cheque/Reference No	Char	22	O	<Chqrefno>	</Chqrefno>
Entity Identifier	Char	2	M "CP" for custodian transaction. "TM" for other than custodian transaction Optional for Buy transactions	<Entldntfr>	</Entldntfr>
UCC	Char	11	M Optional for Buy transactions	<Ucc>	</Ucc>
Segment ID	Char	2	M Optional for Buy transactions	<Seg>	</Seg>
UCC CMID	Char	16	M Optional for Buy transactions	<Ucmid>	</Ucmid>
UCC TM Code/CP Code	Char	12	M If entity identifier as "CP", CP Code will be provided, and if Entity identifier as "TM", UCC TM Code to be provided. Optional for Buy transactions	<Tm>	</Tm>
UCC EXID	Number	2	M Optional for Buy transactions	<Uexid>	</Uexid>

**Note:**

1. Cheque Payment
2. Electronic Payment
3. Cash Payment (Mandatory if Consideration Amt captured)

**Detail Record: Pledge Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 7]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Pledge Type	Char	1	M [Value = P]	<Pldgtp>	</Pldgtp>
Pledge Sub Type	Char	1	M <ul style="list-style-type: none"> <li>• S – Setup</li> <li>• A – Accept</li> <li>• R – Reject</li> <li>• C – Cancel by Pledgor</li> <li>• E – Reversal by Pledgee</li> <li>• M – Modify</li> </ul>	<Subtp>	</Subtp>
Free / Lock-in Flag	Char	1	O <ul style="list-style-type: none"> <li>• F – Free</li> <li>• L – Lockin</li> </ul> [Applicable if Pledge Sub Type is 'S']	<Lcksts>	</Lcksts>
Lock-in ID	Number	16	O [Applicable if Pledge Sub Type is 'S' and Free / Lock-in Flag is 'L']	<Lckid>	</Lckid>
Pledge Request Form Number	Char	16	O [Applicable and Mandatory if Pledge Sub Type is 'S']	<Prf>	</Prf>
Pledgor BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
Pledgee BO ID	Char	16	M	<Ctrpty>	</Ctrpty>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M [Applicable if Pledge Sub Type is 'S' or 'A' or 'R' or 'C' or 'E']	<Qty>	</Qty>
Value	Number	15,2	O [Applicable if Pledge Sub Type is 'S']	<Val>	</Val>
Pledge Expiry Date	Date	8 [DDMMYY YY]	O [Applicable if Pledge Sub Type is 'S' or 'M']	<Xpry>	</Xpry>
Pledgee Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'A' or 'R' (direct transactions)]	<Ctrptyref>	</Ctrptyref>

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Pledgor Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Ref>	</Ref>
Agreement Number	Char	20	O [Applicable if Pledge Sub Type is 'S' or 'M' (direct transactions)]	<Agrmt>	</Agrmt>
Remarks	Char	100	O [Applicable if Pledge Sub Type is 'S' or 'A' or 'R' (direct transactions)]	<Remk>	</Remk>
Pledge Sequence Number	Number	10	[Will be null for Pledge Type 'P' and Pledge Sub Type 'S' (for newly setup Pledge) else mandatory]	<Psn>	</Psn>
Execution Date	Date	8	O Will be valid for Pledge Type 'P' and Pledge Sub Type 'S'. In DDMMYYYY format	<Excdt>	</Excdt>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYYHH24MISS	<Rcvdt>	</Rcvdt>
Pledge Identifier	Char	2	O Will be valid for Pledge Type 'P' and pledge Sub type 'S' Possible Values MP – Margin Pledge MR – Margin Repledge	<Pldglntfr >	</Pldglntfr >
Exchange ID	Number	2	M / O Mandatory only if Pledge Identifier present	<Xchg>	</Xchg>
UCC Details	Char	11	M / O Mandatory only if Pledge Identifier present	<Ucc>	</Ucc>



Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Segment ID	Char	2	M / O Mandatory only if Pledge Identifier present CM – Cash segment FO – Equity Derivatives Segment CD- Currency Derivative Segment DT – Debt Segment CO – Commodity Derivatives Segment SB – SLB Segment AL – All Segments	<Seg>	</Seg>
CC ID	Number	2	M / O Mandatory only if Pledge Identifier present	<Clr>	</Clr>
CM ID	Char	8	M / O Mandatory only if Pledge Identifier present	<Mmb>	</Mmb>
TM ID /CP ID	Char	12	M / O Mandatory only if Pledge Identifier present If TM ID is provided, Entity Identifier will be TM. If CP ID is provided, Entity Identifier will be CP	<Tm>	</Tm>
Entity Identifier	Char	2	M / O Mandatory only if Pledge Identifier present TM- TM ID CP- CP ID	<EntIdntfr>	</EntIdntfr>
Margin Pledge Sequence Number	Number	10	M / O Mandatory only if Pledge Identifier is MR – Margin Repledge	<MarPsn>	</MarPsn>
<b>Pledge Reason Code</b>	<b>Number</b>	<b>1</b>	<b>M</b>	<b>&lt;Rsn&gt;</b>	<b>&lt;/Rsn&gt;</b>
<b>Master POA ID</b>	<b>Char</b>	<b>16</b>	<b>O</b>	<b>&lt;Poa&gt;</b>	<b>&lt;/Poa&gt;</b>

**Detail Record: Un-pledge Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 7]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Pledge Type	Char	1	M [Value = U]	<Pldgtp>	</Pldgtp>
Pledge Sub Type	Char	1	M <ul style="list-style-type: none"> <li>• S – Setup</li> <li>• A – Accept</li> <li>• R – Reject</li> <li>• C – Cancel by Pledgor</li> <li>• E – Reversal by Pledgee</li> </ul> (In case of indirect transaction)	<Subtp>	</Subtp>
Pledge Sequence Number	Number	10	M	<Psn>	</Psn>
Pledgor BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
Pledgee BO ID	Char	16	M	<Ctrpty>	</Ctrpty>
ISIN	Char	12	M	<ISIN>	</ISIN>
Pledgee Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'A' or 'R' (direct transactions)]	<Ctrptyref>	</Ctrptyref>
Pledgor Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Ref>	</Ref>
Part Counter	Number	4	O [Applicable if Sub Type is 'A' or 'R' or 'E' or 'C'].	<Cntr>	</Cntr>
Part Quantity	Number	16,3	O [Applicable if Pledge Sub Type is 'S' or 'C' or 'A' or 'R' or 'E']	<Prtqty>	</Prtqty>
Remarks	Char	100	O [Applicable if Pledge Sub Type is 'S' or 'A' or 'R' (direct transactions)]	<Remk>	</Remk>
Execution Date	Date	8	O Will be valid for Pledge Type 'P' and Pledge Sub Type 'S'. In DDMMYYYY format	<Excdt>	</Excdt>

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYYHH24MIS S	<Rcvdt>	</Rcvdt>

**Detail Record: Confiscation Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 7]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Pledge Type	Char	1	M [Value = C]	<Pldgt>	</Pldgt>
Pledge Sub Type	Char	1	M • S – Setup • E – Reversal by Pledgee (In case of indirect transaction)	<Subtp>	</Subtp>
Pledge Sequence Number	Number	10	M	<Psn>	</Psn>
Pledgor BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
Pledgee BO ID	Char	16	M	<Ctrpty>	</Ctrpty>
ISIN	Char	12	M	<ISIN>	</ISIN>
Pledgee Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Ctrptyref>	</Ctrptyref>
Part Counter	Number	4	O [Not applicable in case of direct transaction]	<Cntr>	</Cntr>
Part Quantity	Number	16,3	O [Applicable if Pledge Sub Type is 'S' or 'E']	<Prtqty>	</Prtqty>
Remarks	Char	100	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Remk>	</Remk>
Execution Date	Date	8	O Will be valid for Pledge Type 'P' and Pledge Sub Type 'S'. In DDMMYYYY format	<Excdt>	</Excdt>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYYHH24MIS S	<Rcvdt>	</Rcvdt>

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Pledge Confiscation Amount	Number	16,3	M [Applicable if Pledge Type is 'C' and Pledge Sub Type is 'S' ]	<Invamt>	</Invamt>

**Detail Record: Auto Un-pledge Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 7]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Pledge Type	Char	1	M [Value = A]	<Pldgtp>	</Pldgtp>
Pledge Sub Type	Char	1	M • S – Setup • E – Reversal by Pledgee (for indirect transaction)	<Subtp>	</Subtp>
Pledge Sequence Number	Number	10	M	<Psn>	</Psn>
Pledgor BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
Pledgee BO ID	Char	16	M	<Ctrpty>	</Ctrpty>
ISIN	Char	12	M	<ISIN>	</ISIN>
Pledgee Internal Reference	Char	16	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Ctrptyref>	</Ctrptyref>
Part Counter	Number	4	O [Not applicable in case of direct transaction]	<Cntr>	</Cntr>
Part Quantity	Number	16,3	O [Applicable if Pledge Sub Type is 'S' or 'E']	<Prtqty>	</Prtqty>
Remarks	Char	100	O [Applicable if Pledge Sub Type is 'S' (direct transactions)]	<Remk>	</Remk>
Execution Date	Date	8	O Will be valid for Pledge Type 'P' and Pledge Sub Type 'S'. In DDMMYYYY format	<Excdt>	</Excdt>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYYHH24MIS S	<Rcvdt>	</Rcvdt>

**Detail Record: Early Pay-in Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 10]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Exchange ID	Number	2	M	<Xchg>	</Xchg>
CH ID	Number	2	M	<Clr>	</Clr>
CM ID	Char	8	M	<Mmb>	</Mmb>
Settlement ID	Char	13	M	<Sttlm>	</Sttlm>
From BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
Counter BO ID	Char	16	M	<CtrPty>	</CtrPty>
Internal Reference Number	Char	16	O	<Ref>	</Ref>
Business Date	Date	8	M	<Dt>	</Dt>
Authentication Reference Number [Applicable, if transaction is through Easiest]	Number	8	O	<Arf>	</Arf>
Transaction electronic flag	Char	1	O D – Pre Trade eDIS E – Post trade eDIS F – Offmarket eDIS <b>G – DDPI DIS</b> Y – Electronic DIS N – Physical DIS	<Txnelflg>	</Txnelflg>
Master POA ID	Char	16	O	<Poa>	</Poa>
DIS	Char	16	O	<Dis>	</Dis>
Maker Operator ID	Char	12	O	<Mkropid>	</Mkropid>
Checker Operator ID	Char	12	O	<Ckropid>	</Ckropid>
Verifier Operator ID	Char	12	O	<Vfropid>	</Vfropid>

Entity Identifier	Char	2	<b>M</b> “CP” for custodian transaction. “TM” for other than custodian transaction	<Entldntfr>	</Entldntfr>
UCC	Char	11	<b>M</b>	<Ucc>	</Ucc>
Segment ID	Char	2	<b>M</b>	<Seg>	</Seg>
UCC CMID	Char	16	<b>M</b>	<Ucmid>	</Ucmid>
UCC TM Code/CP Code	Char	12	<b>M</b> If entity identifier as “CP”, CP Code will be provided, and if Entity identifier as “TM”, UCC TM Code to be provided.	<Tm>	</Tm>
UCC EXID	Number	2	<b>M</b>	<Uexid>	</Uexid>



**Detail Record: BO Level Freeze Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 12]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Freeze Type	Char	1	M [Value = S]	<Frztp>	</Frztp>
Freeze Level	Char	1	M [Value = B]	<Lvl>	</Lvl>
Freeze Initiated By	Number	1	M • 1 – BO • 2 – CDS • 3 – DP	<Intby>	</Intby>
Freeze Sub Option	Number	1	O • 1 – Lien • 2 – Statutory Bodies [Applicable and Mandatory if Freeze Initiated By is '3' [i.e. DP]	<Subopt>	</Subopt>
Freeze BOID	Char	16	M	<Bnfcry>	</Bnfcry>
BO Frozen For	Char	1	M • 1 – Debit • 2 – Credit • 3 – Both	<Frozefer>	</Frozefer>
Freeze Activation Type	Number	1	M • 1 – Current • 2 – Future	<Actvtp>	</Actvtp>
Freeze Activation Date	Date	8	O [Applicable and Mandatory if Freeze Activation Type is '2']	<Actvdt>	</Actvdt>
Freeze Expiry Date	Date	8	O	<Expdt>	</Expdt>
Freeze Reason Code	Number	2	M [Refer Note – 1]	<Rsn>	</Rsn>
Freeze Internal Reference Number	Char	16	O	<Ref>	</Ref>
Freeze Remarks	Char	100	O	<Remk>	</Remk>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYY HH24MISS	<Rcvdt>	</Rcvdt>

## Note – 1

Sr. No.	Freeze Reason Code	Freeze Reason Code Description	Sr. No.	Freeze Reason Code	Freeze Reason Code Description
1	1	Beneficial Owner	10	10	Order from Special Recovery Officer
2	2	ITO Attachment	11	11	CBI Order
3	3	SEBI Directive	12	12	FIU-IND Requirement
4	4	Disinvestment & Private Deals	13	13	In Person Verification Pending
5	5	Court Order	14	14	Assignment – DP Closure
6	6	PAN Verification Pending	15	96	Restrained PAN
7	7	Sole / First Holder Deceased	16	97	Minor Attained Majority
8	8	Second Holder Deceased	17	98	PAN Not Recorded
9	9	Third Holder Deceased			

## Detail Record: BO-ISIN Level Freeze Upload

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 12]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Freeze Type	Char	1	M [Value = S]	<Frztp>	</Frztp>
Freeze Level	Char	1	M [Value = I]	<Lvl>	</Lvl>
Freeze Initiated By	Number	1	M • 1 – BO • 2 – CDS • 3 – DP	<Intby>	</Intby>
Freeze Sub Option	Number	1	O • 1 – Lien • 2 – Statutory Bodies [Applicable and Mandatory if Freeze Initiated By is '3' [i.e. DP]	<Subopt>	</Subopt>
Freeze BOID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Freeze Quantity Type	Char	1	M • F – Full • P – Partial	<Qtytype>	</Qtytype>
Freeze Quantity	Number	16,3	M [Applicable and Mandatory if Freeze Quantity Type is 'P']	<Qty>	</Qty>
BO ISIN Frozen For	Char	1	M • 1 – Debit • 2 – Credit • 3 – Both	<Frozefer>	</Frozefer>
Freeze Activation Type	Number	1	M • 1 – Current • 2 – Future	<Actvtp>	</Actvtp>
Freeze Activation Date	Date	8	O [Applicable and Mandatory if Freeze Activation Type is '2']	<Actvdt>	</Actvdt>
Freeze Expiry Date	Date	8	O	<Expdt>	</Expdt>
Freeze Reason Code	Number	2	M [Refer Note – 1]	<Rsn>	</Rsn>

Freeze Internal Reference Number	Char	16	O	<Ref>	</Ref>
Freeze Remarks	Char	100	O	<Remk>	</Remk>
Request Received Date From BO	Date	14	M DDMMYYYY Y Or DDMMYYYY YHH24MIS S	<Rcvdt>	</Rcvdt>

**Note – 1**

Sr. No.	Freeze Reason Code	Freeze Reason Code Description	Sr. No.	Freeze Reason Code	Freeze Reason Code Description
1	1	Beneficial Owner	10	10	Order from Special Recovery Officer
2	2	ITO Attachment	11	11	CBI Order
3	3	SEBI Directive	12	12	FIU-IND Requirement
4	4	Disinvestment & Private Deals	13	13	In Person Verification Pending
5	5	Court Order	14	14	Assignment – DP Closure
6	6	PAN Verification Pending	15	96	Restrained PAN
7	7	Sole / First Holder Deceased	16	97	Minor Attained Majority
8	8	Second Holder Deceased	17	98	PAN Not Recorded
9	9	Third Holder Deceased			

## Detail Record: Unfreeze Upload

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 12]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Freeze Type	Char	1	M [Value = U]	<Frztp>	</Frztp>
Freeze ID	Number	8	M	<Frzid>	</Frzid>
Freeze Remarks	Char	100	M	<Remk>	</Remk>
Request Received Date From BO	Date	14	M DDMMYYY Y Or DDMMYYY YHH24MIS S	<Rcvdt>	</Rcvdt>

**Detail Record: Destatementization Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 21]	<Tp>	</Tp>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity Flag	Char	1	M • A – All • P – Partial	<QtyFlg>	</QtyFlg>
Quantity	Number	16,3	O [Applicable and Mandatory if, Quantity Flag is 'P']	<Qty>	</Qty>
DRF Number	Char	16	M	<Drf>	</Drf>
Folio Number	Char	16	M	<Fol>	</Fol>
Internal Reference Number	Char	16	M	<Ref>	</Ref>
Number of Pages of Statement of Account [SOA]	Number	5	M	<Pg>	</Pg>
Dispatch Document ID	Char	20	O	<Dspchid>	</Dspchid>
Dispatch Name	Char	30	O	<Dspchnm>	</Dspchnm>
Dispatch Date	Date	8	O	<Dspchdt>	</Dspchdt>
Lock-in Status	Char	1	O • F – Free • L – Lock-in	<Lcksts>	</Lcksts>
Lock-in Code	Number	2	O [Mandatory, if Lock-in Status = 'L']	<Lckcd>	</Lckcd>
Lock-in Remark	Char	50	O [Mandatory, if Lock-in Status = 'L']	<Lckrem>	</Lckrem>
Lock-in Expiry Date	Date	8	O [Mandatory, if Lock-in Status = 'L']	<Lckexpdt>	</Lckexpdt>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYY HH24MISS	<Rcvdt>	</Rcvdt>

**Detail Record: Remat Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 26]	<Tp>	</Tp>
Remat / Restat Flag	Char	1	M [Value = R]	<Flg>	</Flg>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
RRF Number	Char	16	M	<Ref>	</Ref>
Quantity	Number	16,3	M	<Qty>	</Qty>
Lot Type	Char	1	M • M – Market • L – Jumbo	<Lot>	</Lot>
Lock-in Status	Char	1	M • F – Free • L – Lock-in	<Lcksts>	</Lcksts>
Lock-in ID	Char	16	O [Applicable and Mandatory if Lock-in Status is 'L']	<Lckid>	</Lckid>
Certificate Denomination	Number	11,3	O	<Cert>	</Cert>
DP Remark	Char	40	O	<Remk>	</Remk>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYY HH24MISS	<Rcvdt>	</Rcvdt>

**Detail Record: Restatementization / Redemption Upload**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 28]	<Tp>	</Tp>
Remat/Restat Flag	Char	1	M [Value = S]	<Flg>	</Flg>
BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
MF-RRF Number	Char	16	M	<Ref>	</Ref>
Quantity Flag	Char	1	M • A – All • P – Partial • M – Amount	<QtyFlg>	</QtyFlg>
Quantity	Number	16,3	O [Applicable and Mandatory if Quantity Flag is 'P']	<Qty>	</Qty>
Lock-in Status	Char	1	M • F – Free • L – Lock-in	<Lcksts>	</Lcksts>
Lock-in ID	Char	16	O [Applicable and Mandatory if Lock-in Status is 'L']	<Lckid>	</Lckid>
DP Remark	Char	40	O	<Remk>	</Remk>
Mutual Fund Type	Char	1	M • S – Restat • R – Redemption	<Mftype>	</Mftype>
Mutual Fund Amount	Number	15,2	O [Applicable and Mandatory if Quantity Flag is 'M']	<Amt>	</Amt>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYY HH24MISS	<Rcvdt>	</Rcvdt>



**Detail Record: Transfer / Transmission**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 30,31,32]	<Tp>	</Tp>
Transaction Identifier	Char	1	M [Value = O,A,M]	<Idntfr>	</Idntfr>
Transaction Category	Char	1	M	<Ctgry>	</Ctgry>
From BO ID	Char	16	M	<Bnfcry>	</ISIN>
Internal Reference Number	Char	16	M	<Ref>	</Ref>
Reason	Number	3	O	<Rsn>	</Rsn>
ISIN	Char	12	O	<ISIN>	</ISIN>
Quantity	Number	16,3	O	<Qty>	</Qty>
Remarks	Char	100	O	<Remk>	</Remk>
Total No of Transferee BOs	Number	5	O	<CntBo>	</CntBo>
*Transfer				<Tran>	</Tran>
NSDL Client ID	Char	8	O	<Clnt>	</Clnt>
NSDL CM/BP ID	Char	16	M	<Brkr>	</Brkr>
Multiple Quantity	Number	16,3	O	<PrtQty>	</PrtQty>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYY HH24MISS	<Rcvdt>	</Rcvdt>

**Note:**

- 1) ISIN, Quantity (Transferrable Qty) is required for one to many transmissions. Hence they have been kept as optional.
- 2) Reason & Remarks are required for Transfer & One to one transmission.
- 3) \* For one to many transmissions multiple BOs & multiple qty can be given with multiple tags <Tran> under same record
- 4) For transfer & One to one transmission, one destination BO ID will be given.

5) Transaction type values will be for common upload :

- i. One to One Transmission --- 30
- ii. Account Transfer ---31
- iii. One to Many Transmission ---32

6) Transaction identifier values will be:

- i. One to One Transmission --- 'O'
- ii. Account Transfer --- 'A'
- iii. One to Many Transmission --- 'M'

7) Transaction Category values will be:

- i. Within CDSL --- 'D'
- ii. Across Depository --- 'N'

Note: If the transaction type is 30 in the file format, then identifier will be 'O', if 31 then 'A' and if 32 then identifier will be 'M'.

**Detail Record: Delivery Instruction Slip**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 39]	<Tp>	</Tp>
DIS Transaction Type	Number	2	M 1-DIS ISSUANCE 2-DIS CANCELLATION	<Distxn>	</ Distxn>
DEPO ID	Number	2	M 1 – CDSL	<Dpstry>	</Dpstry>
Issue entity	Char	1	O 'B' for BO, 'P' for POA holder (Mandatory if txn type flag is 1 Also mandatory if txn type flag is 2 and issuance flag is 'Y')	<Issenty >	</Issenty>
BO ID	Char	16	O BO ID or Master POA ID ( Mandatory if txn type flag is 1 also mandatory if txn type flag is 2 and issuance flag is 'Y' )	<Bnfcry>	</Bnfcry>
DIS ALPHA PART	Char	4	O	<Disalpa >	</ Disalpa >
DIS SERIAL NUMBER FROM	Number	12	M	<Disfrm>	</Disfrm>
DIS SERIAL NUMBER TO	Number	12	M	<Disto>	</Disto>
NUMBER OF DIS LEAVES	Number	3	M It should be equal to DIS To-DIS From +1(including DIS To and DIS From)	<Dislvs>	</Dislvs>
DIS BOOKLET NUMBER	Char	16	O	<Bkltno>	</Bkltno>
ISSUANCE FLAG	Char	1	M Y-Issued N-Not Issued (Only for DIS Cancellation) For DIS ISSUANCE(DIS TXN TYPE FLAG=1) it should be Y only	<Isncflg>	</Isncflg>

DATE OF ISSUANCE/ CANCELLATION	Date		M In DDMMYYYY format	<Isncdt>	</Isncdt>
ISSUANCE TYPE FLAG	Char	1	M N=Normal, L=Loose	<Isnctyp >	</Isnctyp>
DIS CANCELLATION FLAG	Number	2	O 1- Cancellation Due to Lost DIS 2- Cancellation Due to Misplaced DIS. 3- Cancellation Due To Other Reasons 4- Not Applicable. 5- Cancellation Due to Undelivered DIS. This flag is Mandatory for DIS Cancellation but DIS ISSUANCE it should be 4 or xml tag not required in file	<Discncl >	</Discncl>
TXN INITIATION FLAG	Number	2	M 1- DP Initiated 2- BO Initiated For DIS ISSUANCE (DIS TXN TYPE FLAG=1) it should be 1 only If BO INITIATED, DIS txn type flag =2 and BO ID should be mandatory and issuance flag should be Y.	<Intby>	</Intby>
Remarks	Char	100	O	<Remk>	</Remk>
Request Received Date From BO	Date	14	M DDMMYYYY Or DDMMYYYYHH24 MISS	<Rcvdt>	</Rcvdt>

**Detail Record :**      **Demat Account Earmarking / Reverse Earmarking**  
**(Only for upload through Easiest BO /CM login)**

Field Description	Field Type	Field Length	Input Type	Start XML Tag	End XML Tag
Transaction Type Code	Number	2	M [Value = 40]	<Tp>	</Tp>
Unique Serial Number	Number	8	O	<Usn>	</Usn>
Transaction Identifier	Number	2	M 1- BO Account Earmarking. 2- Trade Order Execution through On market transaction 3- Trade Order Execution through EP transaction 4- Reverse Earmarking initiated by CM	<Idntfr>	</Idntfr>
Transaction ID	Number	8	O Blank for Transaction Identifier 1	<Txnid>	</Txnid>
Exchange ID	Number	2	M	<Xchg>	</Xchg>
Trade Date	Date		M	<Trdedt>	</Trdedt>
Settlement ID	Char	13	O Mandatory for TXN IDENTIFIER 2,3 and 4	<sttlm>	</sttlm>
CM ID	Char	8	M	<Mmb>	</Mmb>
From BO ID	Char	16	M	<Bnfcry>	</Bnfcry>
ISIN	Char	12	M	<ISIN>	</ISIN>
Quantity	Number	16,3	M	<Qty>	</Qty>
Counter BO ID	Char	16	O Blank for TXN identifier 1 & 4	<Ctrpty>	</Ctrpty>
Internal Reference Number	Char	16	O	<Ref>	</Ref>

