

F. DAILY TRANSACTION REPORT

To monitor trends of investment, mutual funds are required to submit details of transactions in secondary market on daily basis in both soft and hard copies. Information must be submitted for the total repurchases/ sales of equity/ debt and not for each individual scrip. Information on total purchases/ sales of sensitive index scrips need not be sent.

Format and Specification of the Daily Transaction Report⁴⁹⁸

Operational notes on Reporting of transactions by registered Mutual Funds

DAILY REPORTS

1. The format of DTR, explanation of codes, field widths etc are enclosed in Format "2.F1" below.
2. The data as per DTR would be submitted in "TEXT" format with fields separated by "|" (i.e. a pipe).
3. All transaction will have a unique transaction identification number which would be given by the AMCs/custodians at their end.
4. In case of any change in transaction already reported to SEBI, such change can be reported as amendment transaction with the following characteristics
 - a. Transaction type is to be reported as "A"
 - b. Transaction ID shall be the same as that of earlier reported transaction.
 - c. Correct details

In other words the system will cancel the earlier reported transaction and will only consider the amended transaction for processing.

REPORTING TYPE - R_TYPE

N - New Transaction

A - Amendment in earlier transaction.

D - Deletion of earlier reported transaction.

General Aspects:

⁴⁹⁸ SEBI Cir No - MFD/CIR/07/384/99 dated December 17, 1999 and MFD/CIR/08/23026/99 dated December 23, 1999

1. The date format to be used all the reports submitted to SEBI would be DD-MON-YYYY.
2. All Transaction values are In Crores.
3. The file names to be used for submitting the report in soft copies are
DTR: D<ddmm><3 char of Custodian code No>.txt

For e.g. Custodian code No: 001 for the date Dec 02

The file name would be D0212001.TXT

DTR (List and field description of codes in DTR)

SR. NO.	CODE	EXPLANATION	FIELD TYPE	FIELD WIDTH
1	CUST_CODE	CUSTODIAN CODE	CHARACTER	3
2	TRN_ID	UNIQUE IDENTIFICATION NUMBER	CHARACTER	12
3	TRN_DATE	TRANSACTION DATE DD-MON-YYYY	CHARACTER	11
4	REPORT_DT	DATE OF REPORT (DD-MON-YYYY	CHARACTER	11
5	R_TYPE	REPORTING TYPE	CHARACTER	1
6	TOT_PUR_EQ	TOTAL PURCHASE (EQUITY)	NUMBER	(12,2)
7	TOT_SAL_EQ	TOTAL SALES (EQUITY)	NUMBER	(12,2)
8	TOT_PUR_DEBT	TOTAL PURCHASE (DEBT)	NUMBER	(12,2)
9	TOT_SAL_DEBT	TOTAL SALES (DEBT)	NUMBER	(12,2)

(1) NUMBER (12,2) -- Number with 10 integer and 2 decimal digits.

(2) All transaction values to be reported in crores.

Format of the text file:

File Name : D0212001

Cust_ Code	MF Reg. No.	Trn _ID	Trn. _dt	Report _Dt	R_Type	Tot_Pur_Eq	Tot_Sal _Eq
C (3)	C (12)	C(12)	02-DEC- 1999	02-DEC-1999	C(1)	N(12,2)	N(12,2)

Tot_Pur_Debt	Tot_Sal_Debt	Tot_Pur_Eq_ BSE	Tot_Sale_ Eq_BSE
N(12,2)	N(12,2)	N(12,2)	N(12,2)

A B C D E F

001|MF/001/93/1||ID01|02-DEC-1999|02-DEC-1999|N|2.25|5.23|20.55|66.12|39.1|2.3|

Amendment:

For e.g.

Original Record is

001|MF/001/93/1||ID01|02-DEC-1999|02-DEC-1999|N|2.25|5.23|20.55|66.12|39.1|2.3|

Suppose Tot_Pur_Eq has to be changed from 2.25 to 25.5 then the amended record would be

001|MF/001/93/1||ID01|02-DEC-1999|04-DEC-1999|A|25.5|5.23|20.55|66.12|39.1|2.3|

and reported on 4th December, 1999.

A: TOT_PUR_EQ

B: TOT_SAL_EQ

C: TOT_PUR_DEBT

D: TOT_SAL_DEBT

E: TOT_PUR_EQ_BSE (Sensitive Index out of A)

F: TOT_SAL_EQ_BSE (Sensitive Index out of B)