9 Freeze & Suspension

9.1 Purpose

Freeze is performed on ISIN balances held within a BO account at a particular date. Freeze represents encumbrance on a balance or part of a balance within a BO ISIN. DP may request to freeze balances for a particular BO ID-ISIN account. This request is transferred to the Issuer for confirmation through VeDAS.

Freeze request can be of two types:
- Temporary Freeze Request
- Permanent Freeze Request

It is possible to set up multiple Full Freezes on the same BO-ISIN. The release of Frozen balance to Free balance occurs when the last Freeze Request is released.

Suspension is the process of deactivating some or all aspects of the account's operation and applies to the whole account as well as all balances contained therein.
DP is able to suspend a particular BO ID or BO ID-ISIN account for Debits/Credits or Both.

9.2 Modes of Operation

Freeze Setup/ Inquiry/ Modification/ Deletion/ Release and viewing Acknowledgements can be performed in an online mode. Temporary Freeze have an expiry date and they are released at the start of the day of expiry date + 1.
Suspension Setup/ Inquiry/ Modification/ Deletion and viewing Acknowledgements can be performed in an online mode.

9.3 Access Restrictions

Authorised users of DP can handle Freeze and Suspension for BOs belonging to it.

9.4 Screen Layout
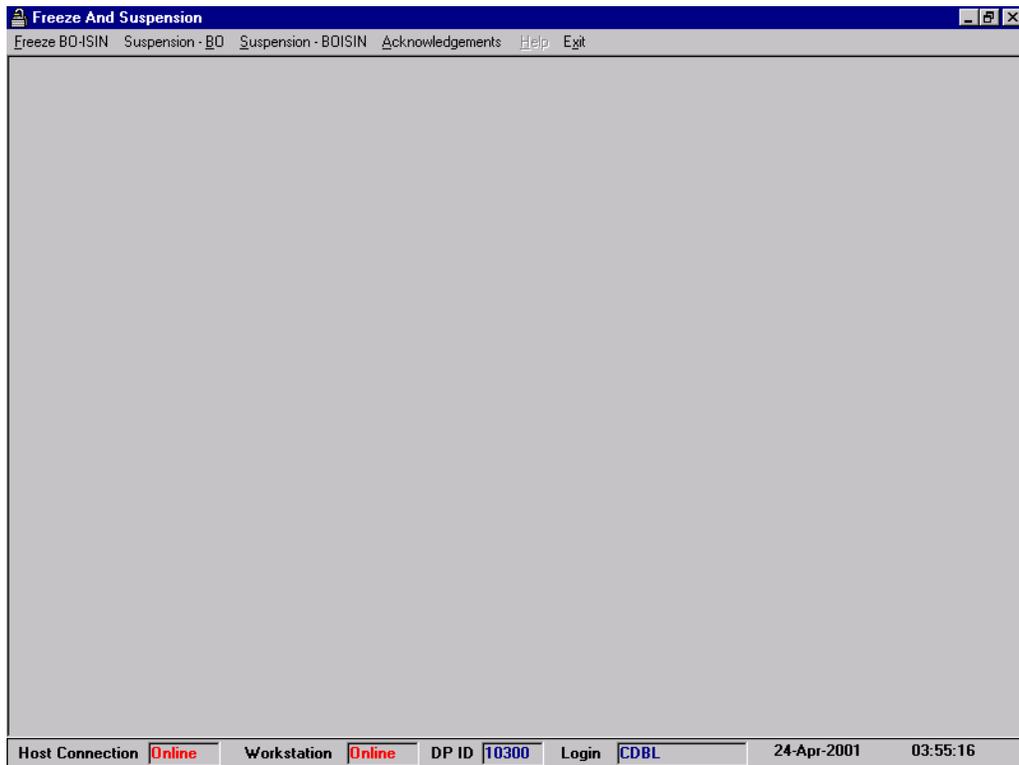
Figure 9.1. Initial Screen For Freeze and Suspension

Activation Options

| Menu Name	Purpose	Hot Key
Freeze BO-ISIN	To invoke Freeze for BO-ISIN A/c	Alt + F
Suspension – BO	To invoke BO Suspension	Alt + B
Suspension – BO ISIN	To invoke BO-ISIN A/c Suspension	Alt + S
Acknowledgements	To view list of Acknowledgements	Alt + A
Help	To invoke help file for Freeze and Suspension	Alt + H
Exit	To exit from Freeze and Suspension	Alt + x
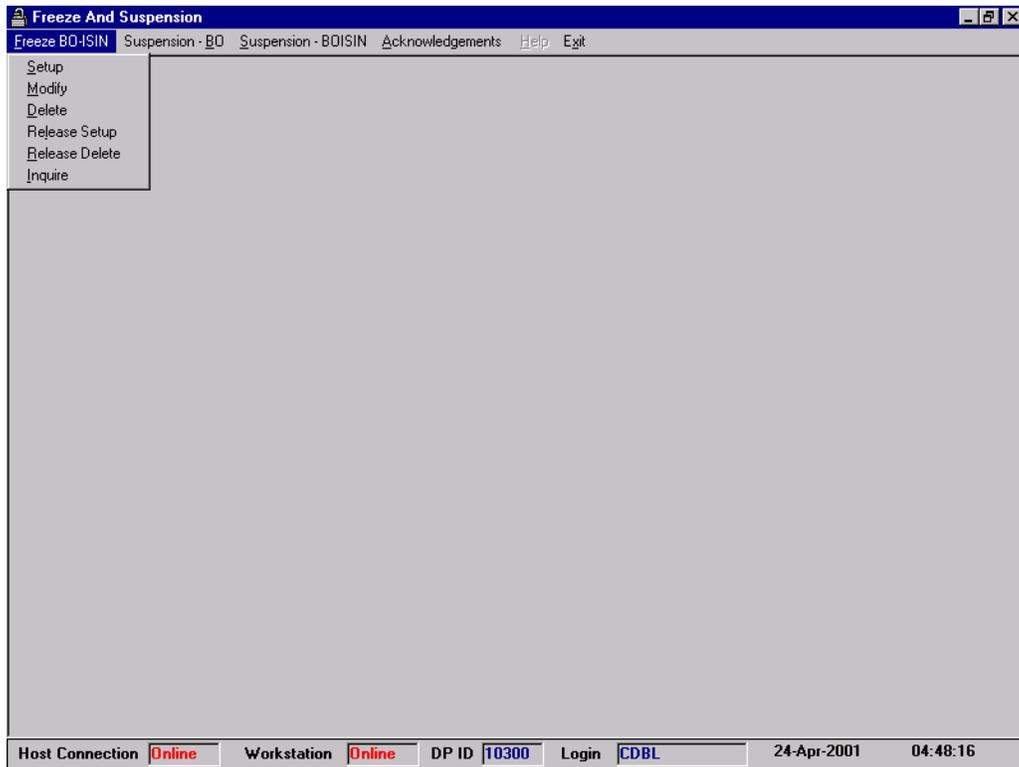
Figure 9.2. Menu Screen For Freeze BO-ISIN

Activation Options

Menu Name	Purpose	Hot Key
Setup	To Setup Freeze BO-ISIN Request	Alt + S
Modify	To Modify Freeze BO-ISIN Request	Alt + M
Delete	To Delete Freeze BO-ISIN Request	Alt + D
Release Setup	To Setup Freeze Release Request	Alt + L
Release Delete	To Delete Freeze Release Request	Alt + R
Inquire	To Inquire Freeze Request	Alt + I

9.4.1 Freeze Setup

The BO ISIN A/c to be Frozen should exist and should not be closed. In case of Setup of a Partial Freeze, BO-ISIN should not be already Fully Frozen.

Figure 9.3. Freeze BO-ISIN Request Setup Screen

Field List

```
Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-
Non Modifiable, R-Retrieved, C-Calculated
```

Field Name	Description	Field Type	Remarks
Freeze Seq. No.	Unique Number that identifies a BO ISIN Freeze Request	A, U,N	Generated on successful Setup of Freeze Request.
BO ID	Beneficial Owner ID to be Frozen.	M, Mo	BO should exist in the system. BO should not be closed or requested for closure.
ISIN	Identification Code of the security.	M, Mo	ISIN should be Active

Field Name	Description	Field Type	Remarks
Type	Type of Freeze.	M, Mo	It can be Temporary or Permanent
Expiry Date	Business Date on which Freeze request expires.	M, Mo	It is mandatory in case of Temporary Freeze. It should be greater than or equal to the Business Date. Frozen balance is released on SOD of Expiry Date + 1.
Quantity Type	Portion of Holdings that are to be Frozen.	M, Mo	It can be Partial or Full
Quantity	It is the quantity of holding that is to be Frozen.	M, Mo	It is mandatory in case of Partial Freeze and should be less than the Free Balance In case of Full Freeze the entire Free Balance will be frozen
Reason Code	Reason Code for Freezing BO balances.	M, Mo	It is user defined field
Description	Description of reason for which BO balances are frozen.	M, Mo	Description is mandatory when reason code is 99.
DP Internal Ref. No.	Internal Reference No assigned by DP.	Mo	
Setup Date	Business Date of Freeze Request Setup.	M, N	
Remarks	Remarks of Freeze Setup.	Mo	

Buttons Available

Name	Purpose	Hot Key
Balances	To view all the Balances of BO-ISIN A/c that is to be Frozen.	Alt + B
Commit	To Commit the Freeze BO-ISIN Setup operation.	Alt + o
Cancel	To Cancel the Setup screen and return to the Initial Screen For Freeze and Suspension	Alt + C

Figure 9.4. BO-ISIN Freeze Setup Response Screen.

9.4.2 Freeze Request Inquiry

Figure 9.5. Freeze Sequence No. Inquiry Selection Criteria Screen

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Freeze Seq. No.	Freeze Seq. No.	If selected, Freeze Sequence Number should be specified
Group Criteria	• BO ID • ISIN • Freeze Status • Setup Date From – To • Expiry Date From – To	BO ID must exist in the System. ISIN should exist in the System. Freeze Status – Freeze Request Setup, Freeze Request Rejected, Frozen, Release Request Setup, Released through EOD And Closed By Issuer. If Setup/Expiry Date From is specified, then respective To date is mandatory and vice versa. Setup/Expiry Date To must be greater than Setup/Expiry Date From. At least one criterion must be specified.

Buttons Available

Name	Purpose	Hot Key
Ok	To invoke the detailed Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

Figure 9.6. Freeze Sequence No. Inquiry Response Screen

Field List

```
Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-
Non Modifiable, R-Retrieved, C-Calculated
```

Field Name	Description	Field Type	Remarks
Status	It indicates the status of the Freeze Request	R, N	It can be Freeze Request Setup, Freeze Request Rejected, Frozen, Release Request Setup, Closed By Issuer, Released Through EOD.

Buttons Available

Name	Purpose	Hot Key
Balances	To invoke the screen showing all balances for BO-ISIN	Alt + B
Close	To close the Inquiry screen and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID all the records for BO ID as well as corresponding BO CODE will be displayed. DP can inquire on records of BO's belonging to it.

Figure 9.7. BO ISIN Freeze Group Inquiry Selection Criteria Screen.

Buttons Available

Name	Purpose	Hot Key
OK	To invoke the brief Inquiry for Requests with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension	Alt + C

Figure 9.8. BO-ISIN Freeze Group Inquiry Response Screen

Buttons Available

Name	Purpose	Hot Key
Select	To view the details of the Request selected from the grid	Alt + S
Cancel	To close the Group Inquiry Response screen and return to the Freeze Inquiry Selection Criteria screen	Alt + C

9.4.3 Freeze Request Modify

Freeze Request can be modified before Issuer confirms or rejects it.

Modify Selection Criteria

Selection Option	Fields	Selection Type
Freeze Seq. No.	Freeze Seq. No.	If selected Freeze Sequence No Number should be specified
Group Criteria	• BO ID	BO ID must exist in the System

	• ISIN • Freeze Status • Setup Date From – To • Expiry Date From – To	ISIN should exist in the System If Setup/Expiry Date From is specified, then respective To date is mandatory and vice versa. Setup/Expiry Date To must be greater than Setup/Expiry Date From. At least one criterion must be specified.

Figure 9.9. BO-ISIN Freeze Request Modify Screen

Buttons Available

Name	Purpose	Hot Key
Balances	To view all the balances for the entered BO-ISIN	Alt + B
Commit	To commit the Modify operation	Alt + o
Cancel	To cancel the Modify operation and return to the Selection Criteria for Freeze Inquiry Screen	Alt + C

9.4.4 Freeze Request Delete

Freeze Request can be deleted before Issuer confirms it.

Delete Selection Criteria

Refer to Modify Selection Criteria

Figure 9.10. Freeze Request Delete Screen

Buttons Available

Name	Purpose	Hot Key
Delete	To successfully Delete the Freeze Request	Alt + D
Cancel	To cancel the Delete operation and return to the Selection Criteria for Freeze Inquiry Screen	Alt + C

9.4.5 Freeze Release Setup

Freeze Release Request can be Setup after Issuer accepts the Freeze Setup Request. BO and ISIN should exist and should be operable. Freeze Release Request cannot be Setup once Freeze has expired

Release Selection Criteria

Refer to Modify Selection Criteria

Figure 9.11. Freeze Release Setup Screen

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction	Alt + o
Cancel	To cancel the Freeze Release operation and return to the Selection Criteria for Freeze Inquiry Screen	Alt + C

9.4.6 Freeze Release Delete

Freeze Release Request can be deleted before the Issuer confirms the Freeze Release Request.

Release Delete Selection Criteria

Refer to Modify Selection Criteria

Figure 9.12. Freeze Release Request Delete Screen

Buttons Available

| Name	Purpose	Hot Key
Delete	To Delete the Release Request	Alt + D
Cancel	To Cancel the Freeze Release Delete operation and return to Selection Criteria for Freeze Inquiry Screen	Alt + C

9.4.7 BO Suspension Setup
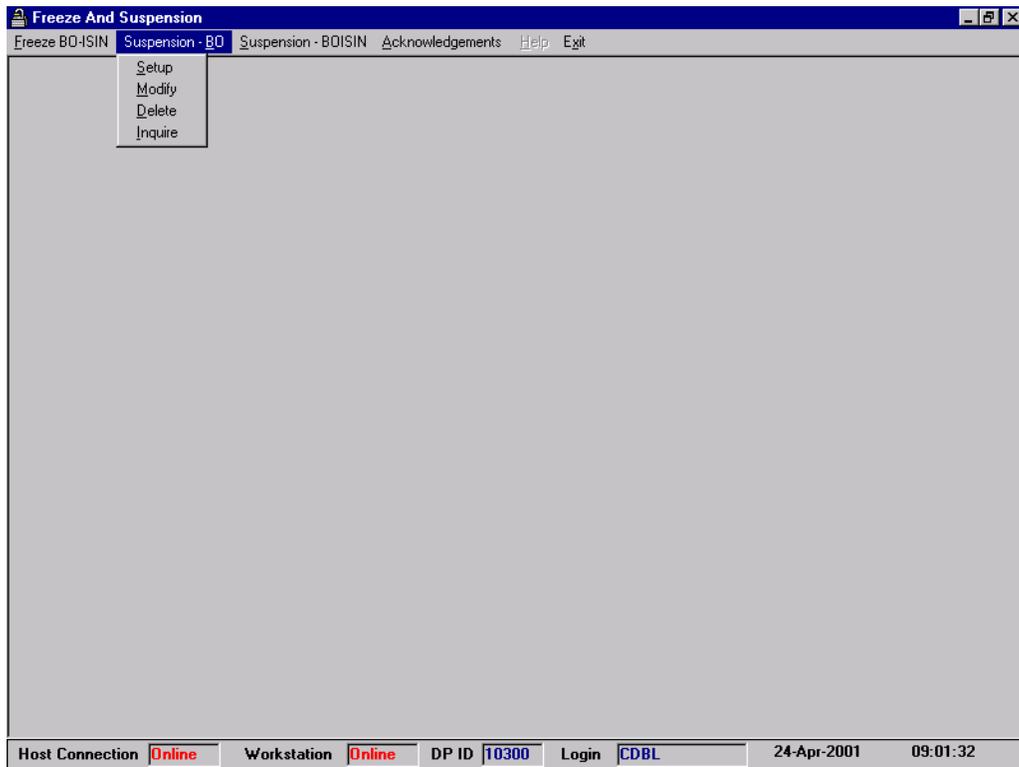
Figure 9.13. Menu Screen for BO Suspension

Activation Options

Menu Name	Purpose	Hot Key
Setup	To Setup BO Suspension request	Alt + S
Modify	To Modify BO Suspension Request	Alt + M
Delete	To Delete BO Suspension Request	Alt + D
Inquire	To Inquire BO Suspension Request	Alt + I

Figure 9.14. BO Suspension Request Setup Screen

Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
Suspension Seq No	Unique Number that identifies a BO Suspension Request	U, A, N	
BO ID	Beneficial Owner on which Suspension is to be applied	M, N	BO should exist in the system. BO should be Active.
Type	Type of Transaction on which Suspension is to be affected	M, Mo	Suspension Type can be Debit or Credit or Both Debit and Credit
Reason Code	Reason Code for Suspending a BO	M, Mo	It is user-defined field.
Description	Description of reason for which BO is being Suspended	M, Mo	When reason code is 99, the Description is mandatory

Field Name	Description	Field Type	Remarks
DP Internal Ref. No.	Internal Reference Number assigned by DP	Mo	
Setup Date	Business Date on which the BO Suspension Request is Setup	R, N	
Remarks	Remarks	Mo	

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the BO Suspension Setup operation	Alt + o
Cancel	To cancel the Setup operation and return to the Initial Screen for Freeze & Suspension	Alt + C

Figure 9.15. BO Suspension Setup Response Screen

9.4.8 BO Suspension Inquiry

Figure 9.16. BO Suspension Inquiry Selection Criteria Screen

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Suspension Seq. No.	Suspension Seq. No.	If selected, Suspension Sequence Number must be specified
Group Criteria	• BO ID • Setup Date From – To	BO ID must exist in the System If Setup Date From is specified, then respective To date is mandatory and vice versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion must be specified.

Buttons Available

Name	Purpose	Hot Key
Ok	To invoke the detailed Inquiry with the selected criteria	Alt + O
Cancel	To Cancel the Inquiry operation and return to the Selection Criteria for BO Suspension Inquiry Screen	Alt + C

Figure 9.17. BO Suspension Sequence No. Inquiry Response Screen

Buttons Available

Name	Purpose	Hot Key
Close	To close the Inquiry screen and return to the BO Suspension Inquiry Selection Criteria Screen.	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID, records for that BO ID will be displayed.
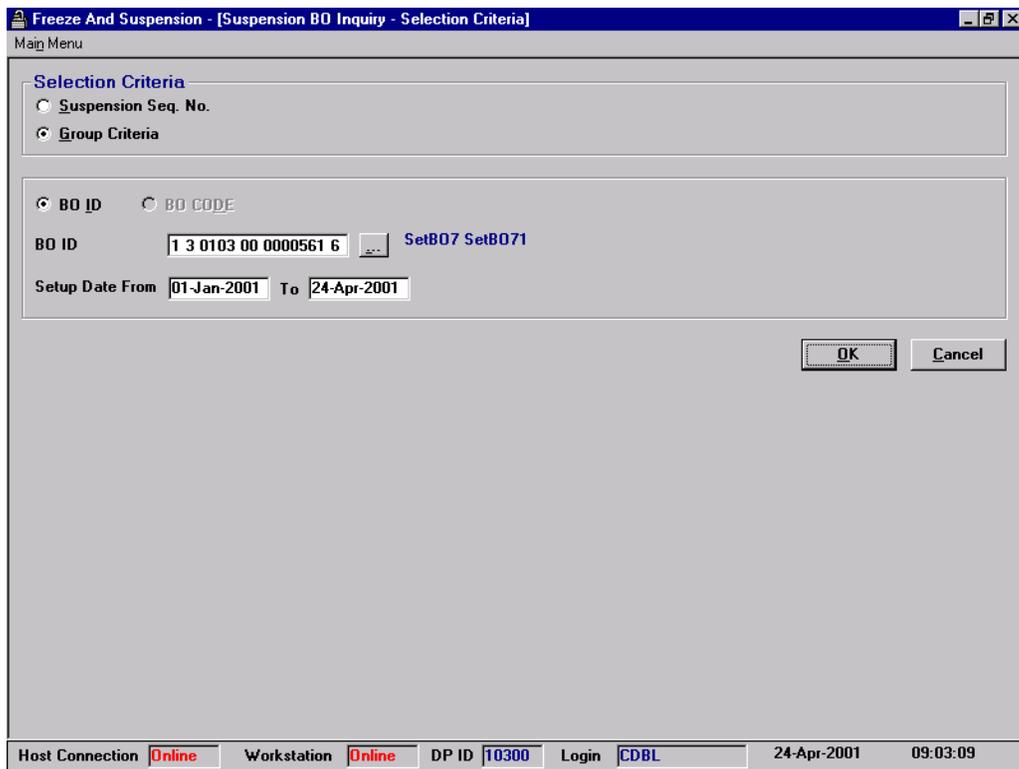
Figure 9.18. BO Suspension Group Inquiry Selection Criteria Screen.

Buttons Available

Name	Purpose	Hot Key
OK	To invoke the brief Inquiry for Request/s with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension	Alt + C
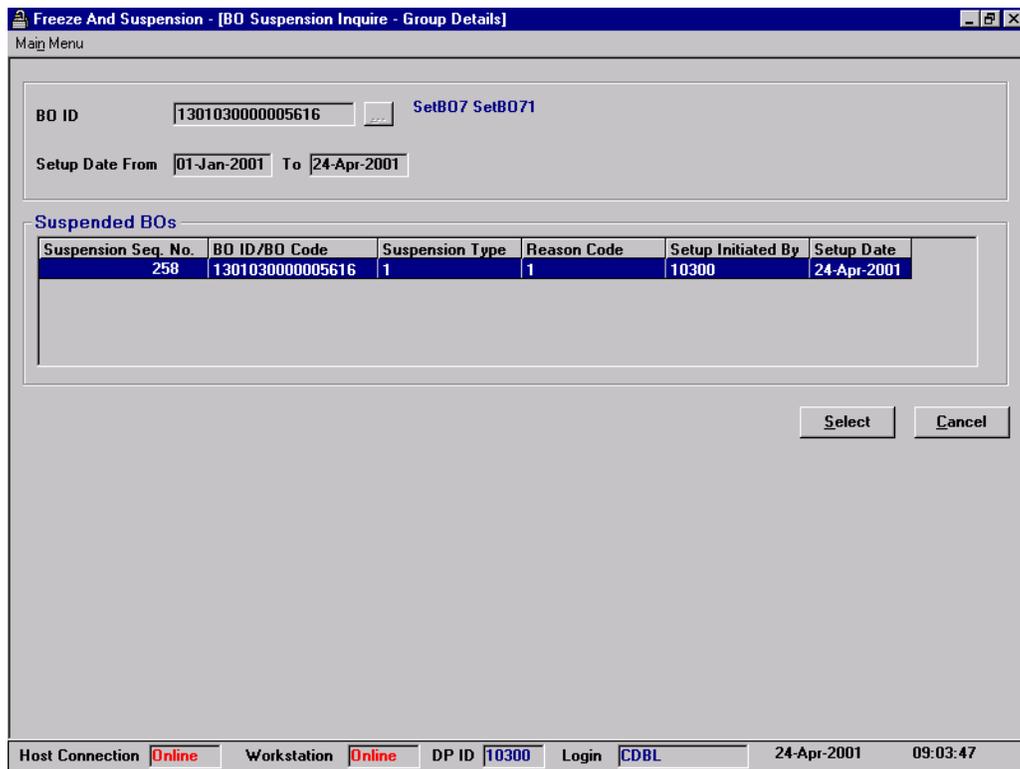
Figure 9.19. BO Suspension Group Inquiry Response Screen

Buttons Available

| Name	Purpose	Hot Key
Select	To view details of BO Suspension Request selected from the grid	Alt + S
Cancel	To close the Group Inquiry Response screen and return to the BO Suspension Group Inquiry Selection Criteria Screen.	Alt + C

9.4.9 BO Suspension Modify

DP can modify Suspension request that is initiated by it.

Modify Selection Criteria

Selection Option	Fields	Selection Type
Suspension Seq. No.	Suspension Seq. No.	If selected, Suspension Sequence Number should be specified
Group Criteria	• BO ID	BO ID must exist in the System

Selection Option	Fields	Selection Type
	• Setup Date From – To	If Setup Date From is specified, then respective To date is mandatory and vice versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion must be specified.

Figure 9.20. BO Suspension Request Modify Screen

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the Modify operation	Alt + o
Cancel	To cancel the Modify operation and return to the BO Suspension Inquiry Selection Criteria Screen	Alt + C

9.4.10 BO Suspension Delete

DP can delete request that is initiated by it.

Delete Selection Criteria

Refer to Modify Selection Criteria

Figure 9.21. BO Suspension Request Delete Screen

Buttons Available

Name	Purpose	Hot Key
Delete	To Delete the Suspension Request	Alt + D
Cancel	To cancel the Delete operation and return to the BO Suspension Inquiry Selection Criteria Screen	Alt + C

## 9.4.11 BO ISIN Suspension Setup
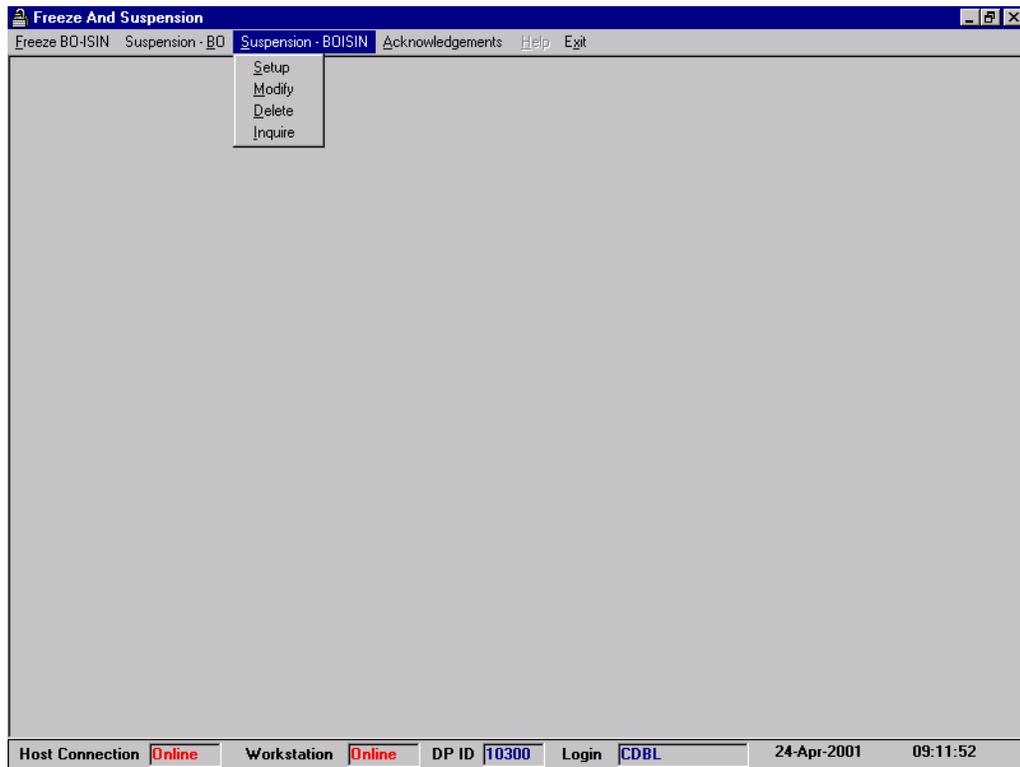
Figure 9.22. Menu Screen for BO ISIN Suspension

Activation Options

Menu Name	Purpose	Hot Key
Setup	To Setup BO-ISIN Suspension Request	Alt + S
Modify	To Modify BO-ISIN Suspension Request	Alt + M
Delete	To Delete BO-ISIN Suspension Request	Alt + D
Inquire	To Inquire BO-ISIN Suspension Request	Alt + I

Figure 9.23. BO-ISIN Suspension Request Setup Screen

Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
Suspension Seq. No.	Unique Number that identifies a BO ISIN Suspension Request	U, A, N	
BO ID	Beneficial Owner on which Suspension is to be applied	M	BO should exist in the system. BO Status should be active.
ISIN	Security Code on which BO ISIN Suspension is to be applied	M	BO ISIN should exist. BO ISIN Status should be Active.
Type	Type of Transaction on which Suspension is to be affected	M, Mo	It can be Debit, Credit or Both Debit and Credit
Reason Code	Reason Code for Suspending a BO	M, Mo	It is user defined

Field Name	Description	Field Type	Remarks
Description	Description of reason for which BO is being Suspended	M, Mo	When reason code is 99, the Description is mandatory
DP Internal Ref. No.	Internal Reference Number assigned by DP	Mo	
Setup Date	Business Date on which the BO-ISIN Suspension Request is Setup	R, N	
Remarks	Remarks	Mo	

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the BO-ISIN Suspension Setup Request	Alt + o
Cancel	To cancel the Setup screen and return to the Initial Screen For Freeze and Suspension	Alt + C

Figure 9.24. BO-ISIN Suspension Setup Response Screen

9.4.12 BO-ISIN Suspension Inquiry

Figure 9.25.BO-ISIN Suspension Sequence No. Inquiry Selection Criteria Screen

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Suspension Seq. No.	Suspension Seq. No.	If selected, Suspension Sequence Number should be specified
Group Criteria	• BO ID • ISIN • Setup Date From – To	BO ID should exist in the System ISIN should exist in the system If Setup Date From is specified, then respective To date is mandatory and vice versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion must be specified.

Buttons Available

Name	Purpose	Hot Key
OK	To view the details pertaining to the Request with the selected criteria	Alt + O
Cancel	To Cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension	Alt + C

Figure 9.26. BO-ISIN Suspension Sequence No. Inquiry Response Screen

Buttons Available

Name	Purpose	Hot Key
Close	To Close the Inquiry Response screen and return to the BO-ISIN Suspension Sequence No. Inquiry Selection Criteria Screen.	Alt + C

On selecting the Group Criteria Option, a list of records that fulfil the given criteria are displayed. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID, records for that BO ID as well as corresponding BO Code will be displayed.
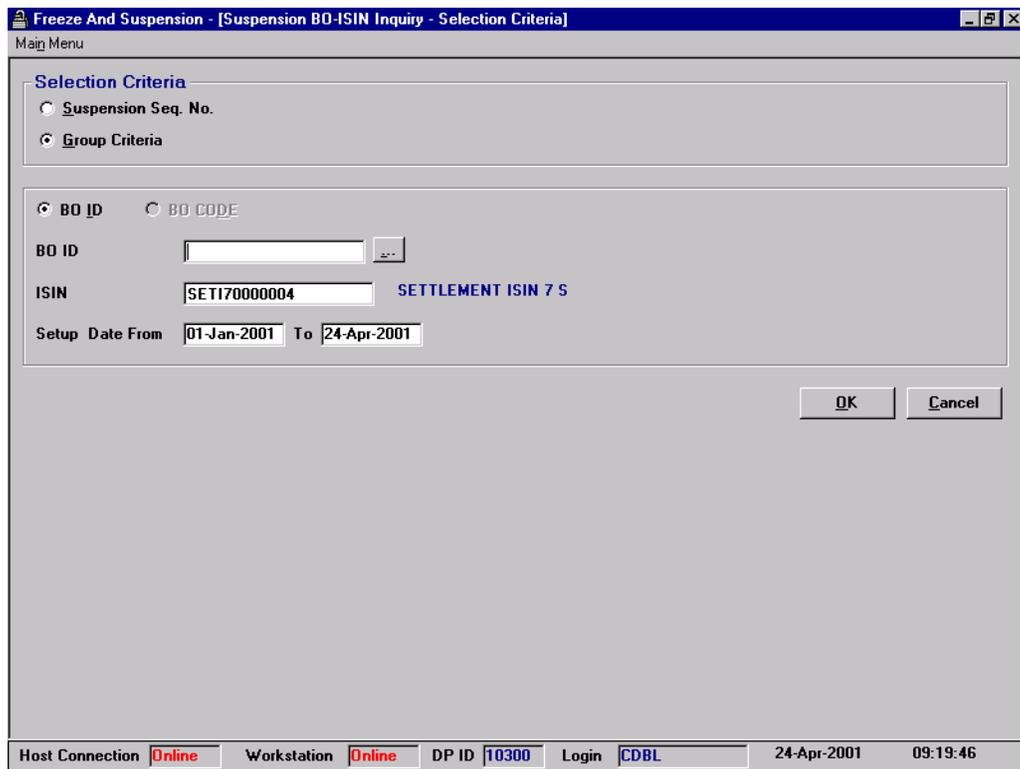
Figure 9.27.BO-ISIN Suspension Group Inquiry Selection Criteria Screen.

Buttons Available

Name	Purpose	Hot Key
OK	To view the brief Inquiry for Request/s having the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension	Alt + C
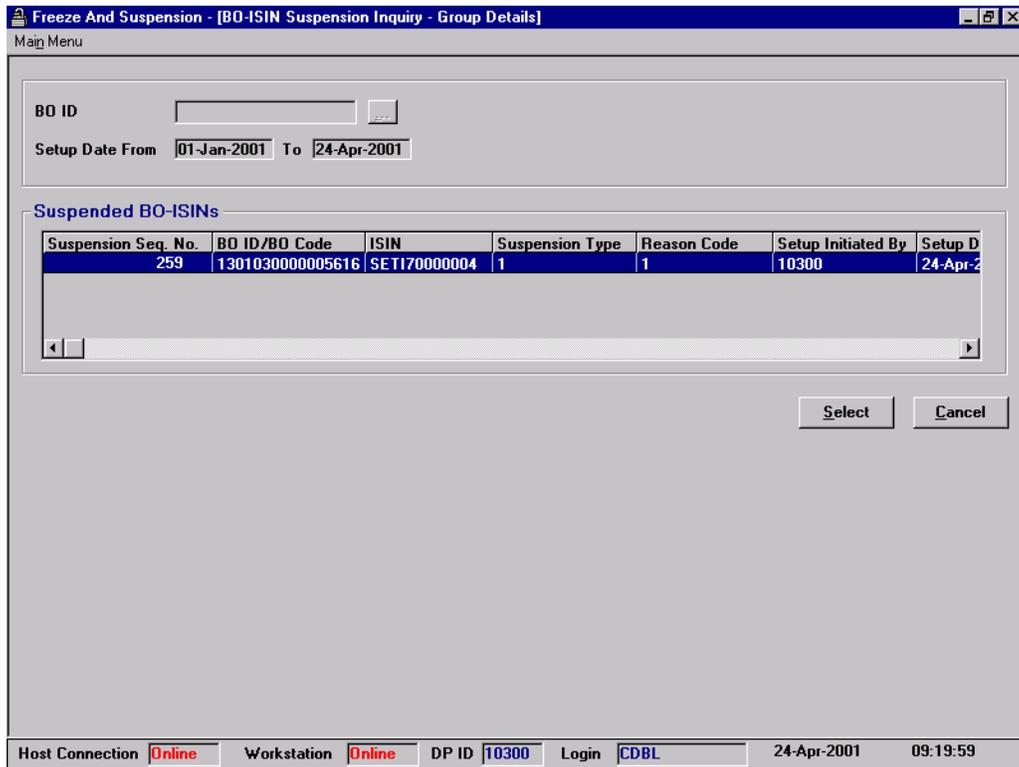
Figure 9.28. BO-ISIN Suspension Group Inquiry Response Screen

Buttons Available

Name	Purpose	Hot Key
Select	To view details of Request selected from the grid	Alt + S
Cancel	To close the Group Inquiry Response screen and return to the BO-ISIN Suspension Group Inquiry Selection Criteria Screen.	Alt + C

9.4.13 BO-ISIN Suspension Modify

Modify Selection Criteria

Selection Option	Fields	Selection Type
Suspension Seq. No.	Suspension Seq. No.	If selected, Suspension Sequence Number should be specified
Group Criteria	• BO ID • ISIN • Setup Date	BO ID should exist in the System ISIN should exist in the System If Setup Date From is specified, then respective To date is mandatory and vice

Selection Option	Fields	Selection Type
	From – To	versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion should be specified.

Figure 9.29. BO-ISIN Suspension Request Modify Screen

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the BO-ISIN Suspension Modify operation	Alt + o
Cancel	To cancel the BO-ISIN Suspension Modify operation and return to the BO-ISIN Suspension Inquiry Selection Criteria Screen.	Alt + C

9.4.14 BO-ISIN Suspension Delete

Delete Selection Criteria

Refer to Modify Selection Criteria

Figure 9.30. BO-ISIN Request Delete Screen

Buttons Available

| Name	Purpose	Hot Key
Delete	To Delete the BO-ISIN Suspension Request	Alt + D
Cancel	To cancel the Delete operation and return to the BO-ISIN Suspension Inquiry Selection Criteria Screen.	Alt + C

9.4.15 Acknowledgement
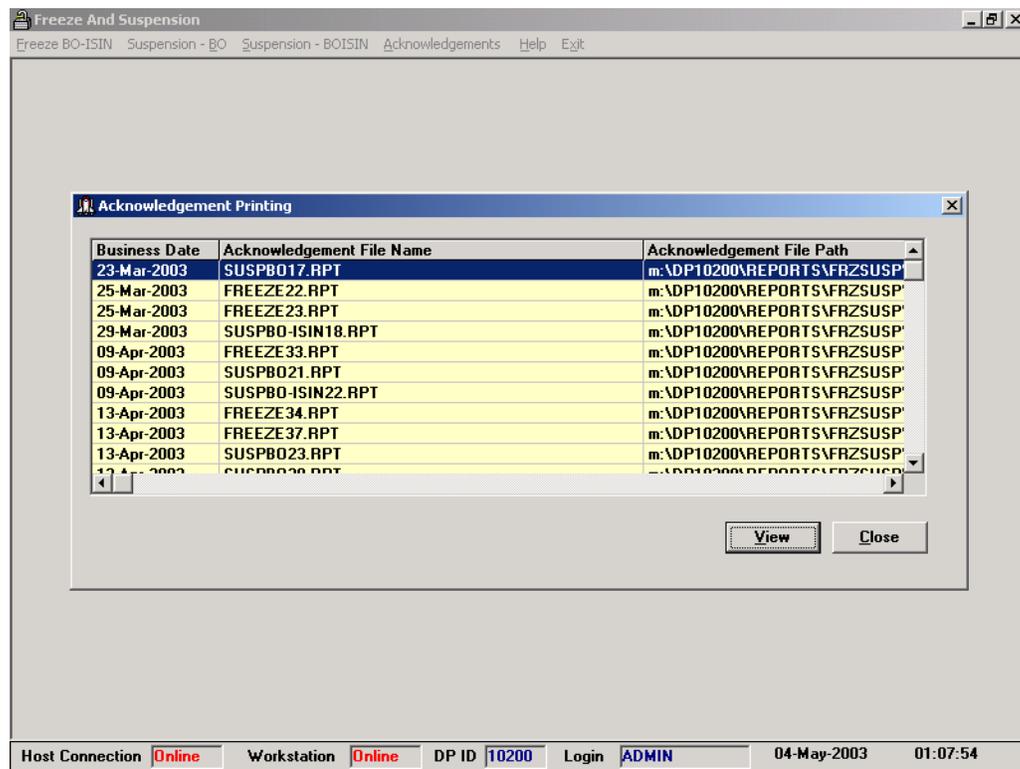
Figure 9.31. Screen For Acknowledgement

Buttons Available

Name	Purpose	Hot Key
View	To view the Acknowledgements	Alt + V
Close	To close the Acknowledgements screen and return to the Initial Screen For Freeze and Suspension	Alt + C

9.5 Acknowledgements/Reports Available

List of Acknowledgements

Acknowledgement Name	Availability
Freeze Request Setup Acknowledgement	On successful Setup of a Freeze Request

Acknowledgement Name	Availability
BO Suspension Setup Acknowledgement	On successful Setup of a BO Suspension Request
BO-ISIN Suspension Setup Acknowledgement	On successful Setup of a BO-ISIN Suspension Request

List of Reports

Report Name	Type	Availability
Freeze Setup Today (DP11)	Default	EOD of the Freeze Request Setup Date
Freeze Confirmed/ Rejected Today (DP60)	Default	EOD of the Freeze Confirmation/ Rejection Date
Clearing Accounts Frozen or Suspended Today (DP67)	Default	EOD of the Freeze Confirmation Date or Suspension Setup Date
Freeze Released Today (DP25)	Default	EOD of the Freeze Release Date
BO Suspension Setup Today (DP15)	Default	EOD of the successful BO Suspension Setup Date
BO ISIN Suspension Setup (DP17)	Default	EOD of the successful BO-ISIN Suspension Setup Date