

VeDAS Implementation	Pledging & UnPledging
User Manual - DP	

10 Pledging & UnPledging

10.1 Purpose

The process by which a BO (Pledgor) can use his securities as collateral to borrow funds from another BO (Pledgee) is known as Pledging. The Pledgor DP will setup the request for pledge and the Pledgee DP will accept/reject the request.

The process by which the pledgor can get back his pledged securities from the pledgee is known as UnPledging. The Pledgor DP will setup the request for UnPledge and the Pledgee DP will accept/reject the request.

The Pledgee can request CDBL to confiscate the Pledgor's collaterals if the Pledgor is unable to settle his dues. The Pledgee will setup the request for confiscation that will be accepted/rejected by CDBL.

10.2 Modes of Operation

Pledge request can be Setup/Inquired/Modified/Cancelled/Accepted/Rejected in online mode only.

10.3 Access Restrictions

Brokers, Regular and Custodian depository participants can act on pledge requests for their respective beneficiary owners.

10.4 Screen Layout

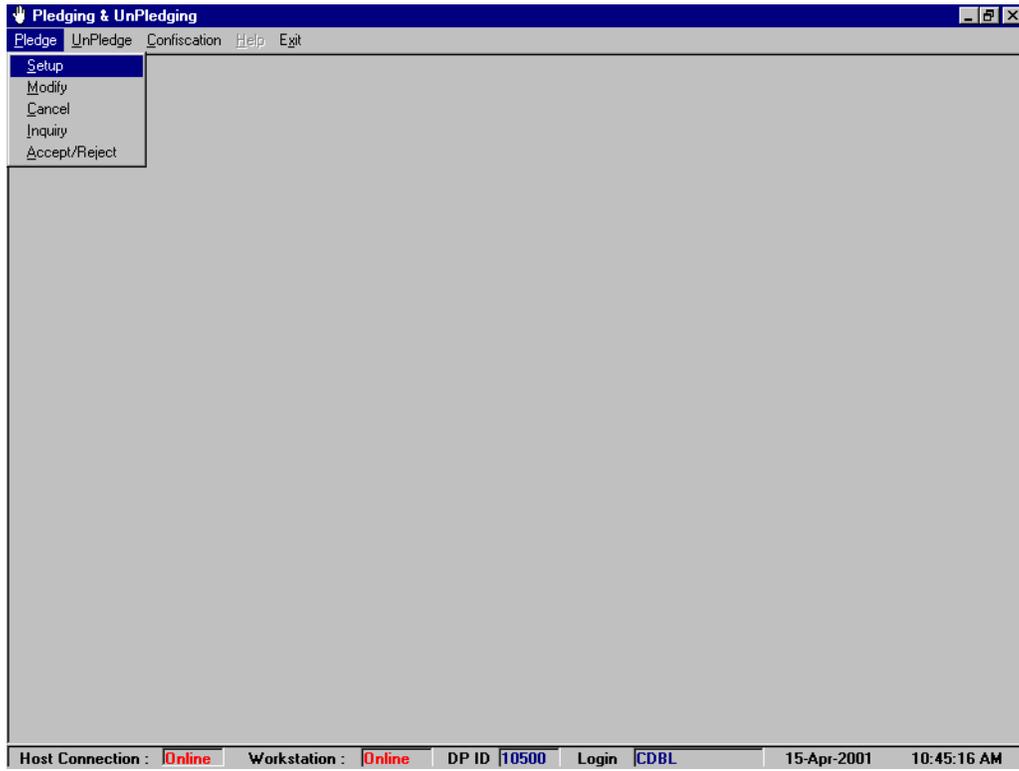


Figure 10.1 Initial Screen For Pledge

10.4.1 Pledge Setup

Activation Options

Menu Name	Purpose	Hot Key
Pledge > Setup	To setup Pledge Request	Alt + P > S

Figure 10.2 Screen for Pledge Request Setup

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
Pledge Sequence Number.	Pledge Sequence Number.	A, U	Pledge Sequence Number is generated on successful Pledge setup.
ISIN	ISIN	M, Mo	Should be Active and a fully paid up ISIN
Pledgor BOID	Beneficiary Owner ID of Pledgor	M, Mo	BO ID should be Active. BO name will be displayed
Pledgee BOID	Beneficiary Owner ID of Pledgee	M, Mo	BO ID should be Active. BO name will be displayed.
Pledge Quantity	Quantity requested to be pledged.	M, Mo	Pledge Quantity should be greater than zero.
Pledge Value	Total value of the Pledge request	M, Mo	Pledge Value should be greater than zero.
Expiry Date	Date of expiry of pledge	M, Mo	Expiry date should be greater than the business date.
Pledgor DP's Int.	Reference Number entered by Pledgor DP.	Mo	This is an optional field

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Field Name	Description	Field Type	Remarks
Ref. No.			
Remarks	Remarks entered by Pledgor DP.	Mo	This is an optional field

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C

On successful Pledge Request setup, the Pledge Sequence Number (PSN) so generated will be displayed to the user.

10.4.2 Pledge Inquiry

Activation Options

Menu Name	Purpose	Hot Key
Pledge > Inquiry	To inquire details for Pledge Requests	Alt + P > I

Pledging & UnPledging - [Pledge Request Inquiry - Selection Criteria]
 Main Menu
Selection Criteria
 Pledge Sequence Number
 Group Criteria
 Pledgor Pledgee
 ISIN: XFER2222225 xfer active
 Pledge Setup Date From: -- To: --
 Expiry Date From: -- To: --
 Pledgor BO ID: [] [...]
 Pledgee BO ID: [] [...]
 Pledge Status: All
 [OK] [Cancel]

Host Connection : Online Workstation : Online DP ID 10500 Login CDBL 15-Apr-2001 11:37:43 AM

Figure 10.3 Screen for Pledge Request Inquiry

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, PSN needs to be specified
Group Criteria	<ul style="list-style-type: none"> • ISIN • Setup Date From To • Expiry date From To • Pledgor BO ID • Pledgee BO ID • Pledge Status All Setup Rejected Accepted 	<p>If Setup date From is specified, then To date is mandatory and vice versa.</p> <p>If Expiry date From is specified, then To date is mandatory and vice versa.</p> <p>If Pledge Status is specified, then records with the specified status will be displayed.</p> <p>If none of the fields are specified, then all records are retrieved</p>
Pledgor/Pledgee	Indicates that inquiry can be done with the DP acting as a Pledgor or as a Pledgee	

Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation 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 on a specific request can be made by selecting the same.

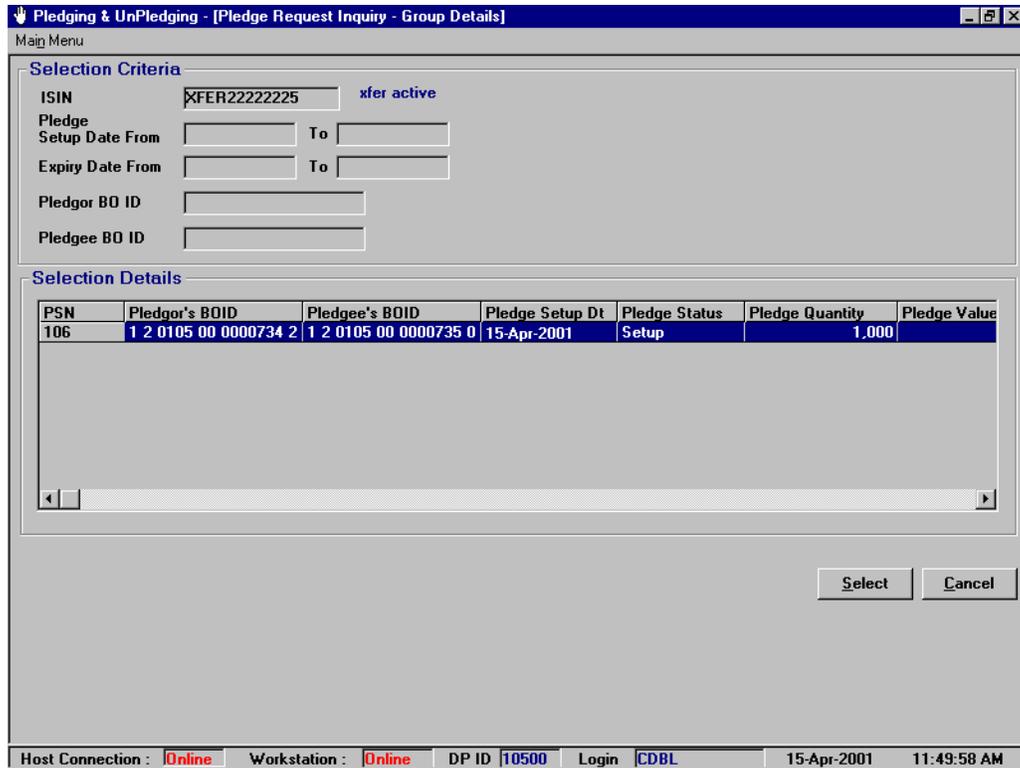


Figure 10.4 Screen for Pledge Request Group Inquiry

Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation and return to the previous screen.	Alt + C

Figure 10.5 Screen for Pledge Request Inquiry

Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

10.4.3 Pledge Modify

Activation Options

Menu Name	Purpose	Hot Key
Pledge > Modify	To modify details for Pledge Requests	Alt + P > M

Modify Selection Criteria

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, PSN needs to be specified
Group Criteria	<ul style="list-style-type: none"> ISIN Setup Date From To Expiry date From To Pledgor BO ID Pledgee BO ID 	<p>If Setup date From is specified, then To date is mandatory and vice versa.</p> <p>If Expiry date From is specified, then To date is mandatory and vice versa.</p> <p>If none of the fields are specified, then all records are retrieved</p>

Pledge Requests that have not been processed by Pledgee DP (i.e. Requests with Status as *Setup*) are only available for modification.

Pledging & UnPledging - [Pledge Request Modify]

Main Menu

Pledge Seq. No. Pledge Status Pledge Setup Date

ISIN [xfer active](#)

Pledgor BO ID [Transfer12](#)

Pledgee BO ID [Transfer123](#)

Pledge Quantity Pledge Value

Expiry Date

[Pledgor DP's Int. Ref. No.](#)

[Remarks](#)

Host Connection : **Online** Workstation : **Online** DP ID **10500** Login **CDBL** 15-Apr-2001 01:57:25 PM

Figure 10.6 Screen for Pledge Request Modify

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Modify operation and return to the previous screen	Alt + C
Commit	To Modify the Pledge Request	Alt + O

10.4.4 Pledge Cancel

Activation Options

Menu Name	Purpose	Hot Key
Pledge > Cancel	To cancel the Pledge Request	Alt + P > C

Cancel Selection Criteria

Refer to Selection Criteria for Modify Transaction.

Pledge Requests that have not been processed by the Pledgee DP (i.e. Requests with Status as *Setup*) are only available for cancellation.

Figure 10.7 Screen for Pledge Request Cancel

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Cancel operation and return to the previous screen	Alt + C
Commit	To cancel the Pledge Request	Alt + O

10.4.5 Pledge Accept/Reject

Activation Options

Menu Name	Purpose	Hot Key
Pledge >Accept/Reject	To accept/reject Pledge Requests	Alt + P > A

Accept/Reject Selection Criteria

Refer to Selection Criteria for Modify Transaction.

Pledge Requests with Status as *Setup* are only available for Accept/Reject by the Pledgee DP.

Figure 10.8 Screen for Pledge Request Accept/Reject

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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
Internal Ref. No.	Reference Number entered by Pledgee DP	Mo	This is an optional field
Remarks	Remarks entered by Pledgee DP	Mo	This is an optional field
Accept/Reject	Indicates whether the Pledge request is accepted or rejected	Default option is "Accept"	

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Cancel operation and return to the previous screen	Alt + C
Commit	To Accept/Reject the Pledge Request	Alt + O

10.4.6 UnPledge Setup

Activation Options

Menu Name	Purpose	Hot Key
UnPledge > Setup	To setup UnPledge Request	Alt + U > S

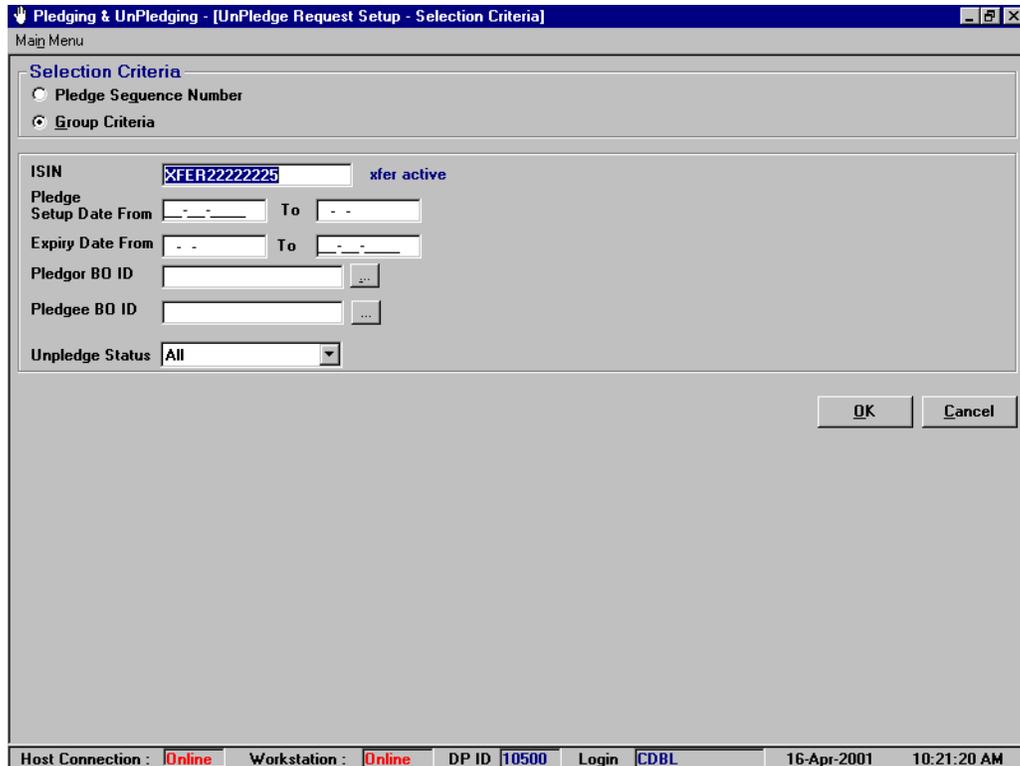


Figure 10.9 Screen for Inquiry for UnPledge Request Setup

UnPledge Setup Selection Criteria

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, PSN needs to be specified
Group Criteria	<ul style="list-style-type: none"> • ISIN • Setup Date From To • Expiry date From To • Pledgor BO ID • Pledgee BO ID • UnPledge Status All Setup Cancelled Rejected Partial UnPledge 	<p>If Setup date From is specified, then To date is mandatory and vice versa. If Expiry date From is specified, then To date is mandatory and vice versa. If UnPledge Status is selected, then records with the specified status will be displayed. If none of the fields are specified, then all records are retrieved</p>

Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation 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. Selecting the same can make detailed inquiry on a specific request.

Figure 10.10 Screen for Group Inquiry for UnPledge Request Setup

Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

Pledge Requests, which have been accepted by Pledgee DP are only available for UnPledge.

Figure 10.11 Screen for UnPledge Request Setup

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
Quantity	Quantity requested to be UnPledged.	M, Mo	Quantity should be greater than zero
UnPledge Setup date	The business date on which the UnPledge request is setup	N	
UnPledges done	Total Number of UnPledges done	C	This field gives the count of UnPledge requests with status as "Accepted"
UnPledged Quantity	Total UnPledged quantity	C	This field gives the total qty of those UnPledge requests which have status as "Accepted"
UnPledge Setup Qty	Total UnPledge set up quantity	C	This field gives the total qty of those UnPledge requests which have status as "Setup"
Pledgor DP's Int. Ref. No.	Reference Number entered by Pledgor DP	Mo	This is an optional field
Pledgor Remark	Remarks entered by Pledgor DP	Mo	This is an optional field

Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C

10.4.7 UnPledge Inquiry

Activation Options

Menu Name	Purpose	Hot Key
UnPledge > Inquiry	To inquire details for UnPledge Requests	Alt + U > I

Figure 10.12 Screen for UnPledge Request Inquiry

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, PSN needs to be specified.
Group Criteria	<ul style="list-style-type: none"> • ISIN • Setup Date From To • Expiry date From To • Pledgor BO ID • Pledgee BO ID • UnPledge Status All Setup Cancelled Partial UnPledge Rejected Accepted 	<p>If Setup date From is specified, then To date is mandatory and vice versa.</p> <p>If Expiry date From is specified, then To date is mandatory and vice versa.</p> <p>If UnPledge Status is selected, then records with the specified status will be displayed.</p> <p>If none of the fields are specified, then all records are retrieved</p>
Pledgor/Pledgee	Indicates that inquiry can be done with the DP acting as a Pledgor or as a Pledgee	

Buttons Available

Name	Purpose	Hot Key
OK	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation 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 on a specific request can be made by selecting the same.

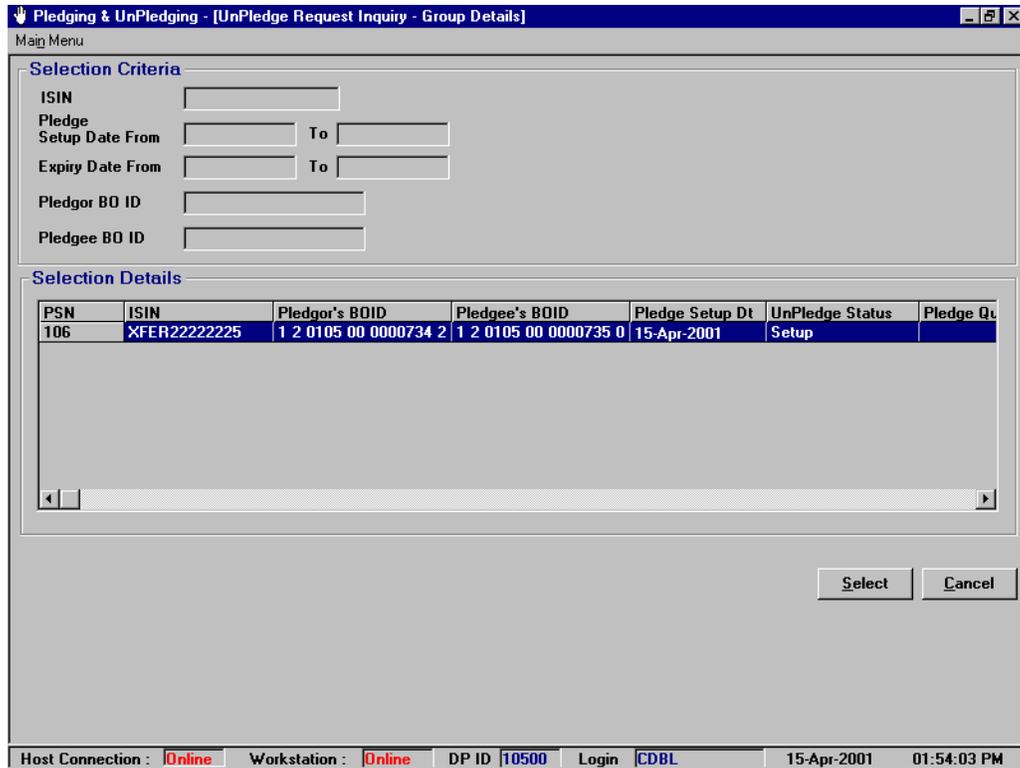


Figure 10.13 Screen for UnPledge Request Group Inquiry

Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

Figure 10.14 Screen for UnPledge Request Inquiry

Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

10.4.8 UnPledge Cancel

Activation Options

Menu Name	Purpose	Hot Key
UnPledge > Cancel	To cancel the UnPledge Request	Alt + U > C

Cancel Selection Criteria

Refer to Selection Criteria for UnPledge Setup Transaction.

UnPledge Requests, which have not been processed by the Pledgee DP (i.e. Requests with Status as *Setup*), are only available for cancellation.

Figure 10.15 Screen for UnPledge Request Cancel

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Cancel operation and return to the previous screen	Alt + C
Commit	To cancel the UnPledge Request	Alt + O

10.4.9 UnPledge Accept/Reject

Activation Options

Menu Name	Purpose	Hot Key
UnPledge >Accept/Reject	To accept/reject UnPledge Requests	Alt + U > A

Accept/Reject Selection Criteria

Refer to Selection Criteria for UnPledge Setup Transaction.

UnPledge Requests with Status as *Setup* are only available for Accept/Reject.

Figure 10.16 Screen for UnPledge Request Accept/Reject

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
Pledgee DP's Int. Ref. No.	Reference Number entered by Pledgee DP	Mo	This is an optional field
Pledgee Remark	Remarks entered by Pledgee DP	Mo	This is an optional field
Accept/Reject	Indicates whether the UnPledge request has been accepted or rejected	Default option is "Accept"	

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Cancel operation and return to the previous screen	Alt + C
Commit	To Accept/Reject the UnPledge Request	Alt + O

10.4.10 Confiscation Setup

Activation Options

Menu Name	Purpose	Hot Key
Confiscation > Setup	To setup Confiscation Request	Alt + C > S

Figure 10.17 Inquiry Screen for Confiscation Request Setup

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, Pledge Sequence No needs to be specified
Group Criteria	<ul style="list-style-type: none"> • ISIN • Setup Date From To • Expiry date From To • Pledgor BO ID • Pledgee BO ID • Confiscate Status All Setup Rejected Cancelled Partial Confiscate 	<p>If Setup date From is specified, then To date is mandatory and vice versa.</p> <p>If Expiry date From is specified, then To date is mandatory and vice versa.</p> <p>If Confiscate Status is selected, then records with the specified status will be displayed.</p> <p>If none of the fields are specified, then all records are retrieved</p>

Buttons Available

Name	Purpose	Hot Key
OK	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation 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. Selecting the same can make detailed inquiry on a specific request.

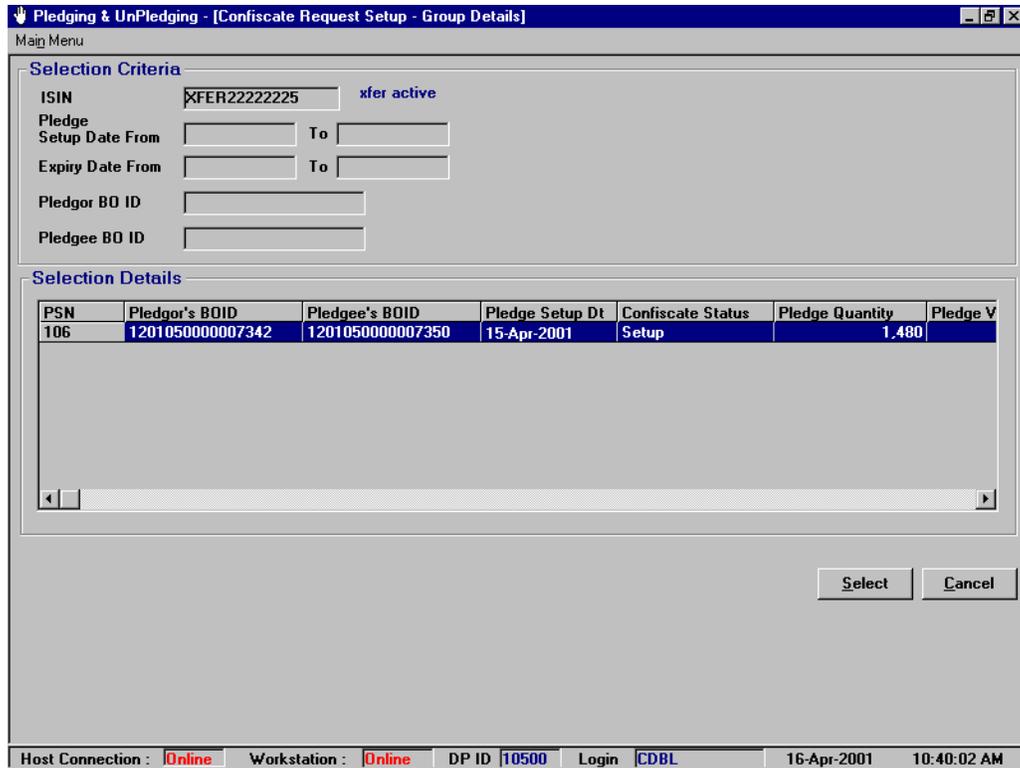


Figure 10.18 Screen for Group Inquiry for Confiscation Request Setup

Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

Pledge Requests, which have been accepted by Pledgee DP, are only available for confiscation.

Figure 10.19 Screen for Confiscate Request Setup

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
Quantity	Quantity requested to be confiscated.	M, Mo	Quantity should be greater than zero
Confiscate Setup date	The business date on which the confiscate request is setup	N	
Confiscation done	Total Number of confiscations done	C	This field gives the count of confiscate requests with status as "Accepted"
Confiscated Quantity	Total confiscated quantity	C	This field gives the total qty of those confiscate requests which have status as "Accepted"
Confiscate Setup Qty	Total confiscate setup quantity	C	This field gives the total qty of those confiscate requests which have status as "Setup"
Pledgee DP's Int.Ref.No.	Reference Number entered by Pledgee DP	Mo	This is an optional field
Pledgee Remark	Remarks entered by Pledgee DP	Mo	This is an optional field

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Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C

10.4.11 Confiscation Inquiry

Activation Options

Menu Name	Purpose	Hot Key
Confiscation > Inquiry	To inquire details for Confiscate Requests	Alt + C > I

Pledging & UnPledging - [Confiscate Request Inquiry - Selection Criteria]

Main Menu

Selection Criteria

Pledge Sequence Number
 Group Criteria

Pledgor Pledgee

ISIN: xfer active

Pledge Setup Date From: To:

Expiry Date From: To:

Pledgor BO ID: ...

Pledgee BO ID: ...

Confiscate Status:

OK Cancel

Host Connection : Online Workstation : Online DP ID 10500 Login CDBL 16-Apr-2001 01:55:02 PM

Figure 10.20 Screen for Confiscate Request Inquiry

Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Pledge Sequence Number	Pledge Sequence Number	If selected, PSN needs to be specified
Group Criteria	<ul style="list-style-type: none"> • ISIN • Setup Date From To • Expiry date From To • Pledgor BO ID • Pledgee BO ID • Confiscate Status All Setup Cancelled Rejected Accepted Partial Confiscate 	<p>If Setup date From is specified, then To date is mandatory and vice versa.</p> <p>If Expiry date From is specified, then To date is mandatory and vice versa.</p> <p>If none of the fields are specified, then all records are retrieved</p>
Pledgor/Pledgee	Indicates that inquiry can be done with the DP acting as a Pledgor or as a Pledgee	

Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation 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. Selecting the same can make detailed inquiry on a specific request.

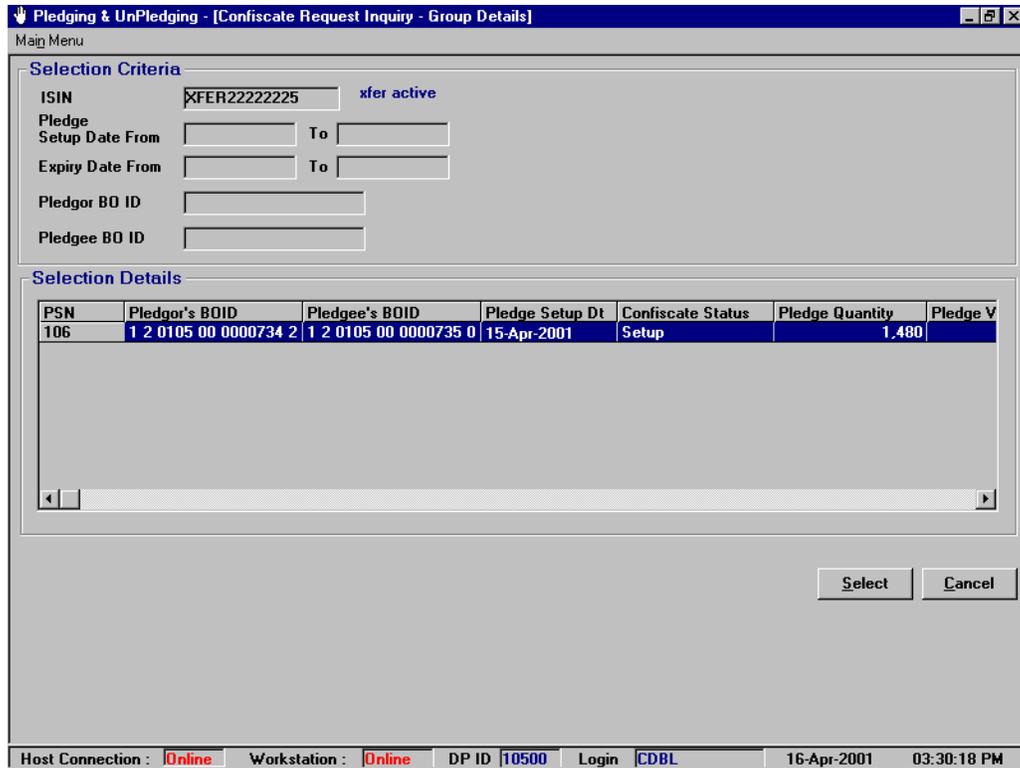


Figure 10.21 Screen for Confiscate Request Group Inquiry

Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

Figure 10.22 Screen for Confiscate Request Inquiry

Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

10.4.12 Confiscation Cancel

Activation Options

Menu Name	Purpose	Hot Key
Confiscation > Cancel	To cancel the Confiscate Request	Alt + U > C

Cancel Selection Criteria

Refer to Selection Criteria for Confiscate Setup Transaction.

Confiscate Requests, which have not been processed by the Pledgee DP (i.e. Requests with Status as *Setup*) are only available for cancellation

Figure 10.23 Screen for Confiscate Request Cancel

Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Cancel operation and return to the previous screen	Alt + C
Commit	To cancel the Confiscate Request	Alt + O

10.5 Acknowledgements/Reports Available

List of Acknowledgements

File Name	Availability
Pledge Setup Acknowledgement	On successful Pledge request setup for Pledgor DP and Pledgee DP
UnPledge Setup Acknowledgement	On successful UnPledge request setup for Pledgor DP and Pledgee DP
Confiscation Setup Acknowledgement	On successful Confiscation request setup for Pledgor DP, Pledgee DP and CDBL

List of Reports

File Name	Type	Availability
Pledge Setup/Cancelled/Accepted/Rejected Today	Default	After EOD processing on Pledge Setup/Cancelled/Accepted/Rejected Date for Pledgor DP and Pledgee DP
UnPledge Setup/Cancelled/Accepted/Rejected Today	Default	After EOD processing on UnPledge Setup/Cancelled/Accepted/Rejected Date for Pledgor DP and Pledgee DP
Confiscation Setup/Cancelled/Accepted/Rejected Today	Default	After EOD processing on Confiscation Setup/Cancelled/Accepted/Rejected Date for Pledgor DP and Pledgee DP
Warning Report for Expiry of Pledge	Default	After EOD processing, starting N days before the expiry date of the pledge request till the expiry date of the pledge request where N = Pledge Expiry Warn Days as defined by CDBL for Pledgor DP and Pledgee DP.
Warning Report for Pledge Exceeding Lower and Upper Limit of Pledge	Default	After EOD processing, if the pledge value does not fall in between the upper and lower limits as defined by CDBL, for Pledgor DP and Pledgee DP
Holding of Pledge for all ISINs for a DP	Request	After EOD processing of the day on which the request for the report is setup
Pledge Maintenance Log	Default	After EOD processing in case any Pledge/UnPledge/Confiscate requests were modified or deleted by the DP. This report is used for tracing purposes.