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| VeDAS Implementation | BO Account Maintenance System |
| User Manual - DP | |

6 Beneficiary Owner Account Maintenance System

6.1 Purpose

The Investor hereby referred to as the Beneficiary Owner (BO), desirous of availing the services of the depository has to open an account, through designated Depository Participants of CDBL. A BO category and a BO type distinguish each BO account from others. BO category indicates that the account is either a Regular, Principal, Omnibus or Clearing account. BO type indicates whether the BO account is for an Individual or a Joint holder or a Company.

6.2 Modes of Operation

Account Opening Operation can be performed in online or offline mode. The BO details set up in offline will be available only for offline modification or inquiry. Offline details once successfully uploaded will then be available for online modification or inquiry.

6.3 Access Restrictions

Clearing Members, Regular and Custodian depository participants can register Regular, Omnibus or Clearing BO Accounts. An Exchange depository participant can open only Clearing BO Accounts.

6.4 Screen Layout

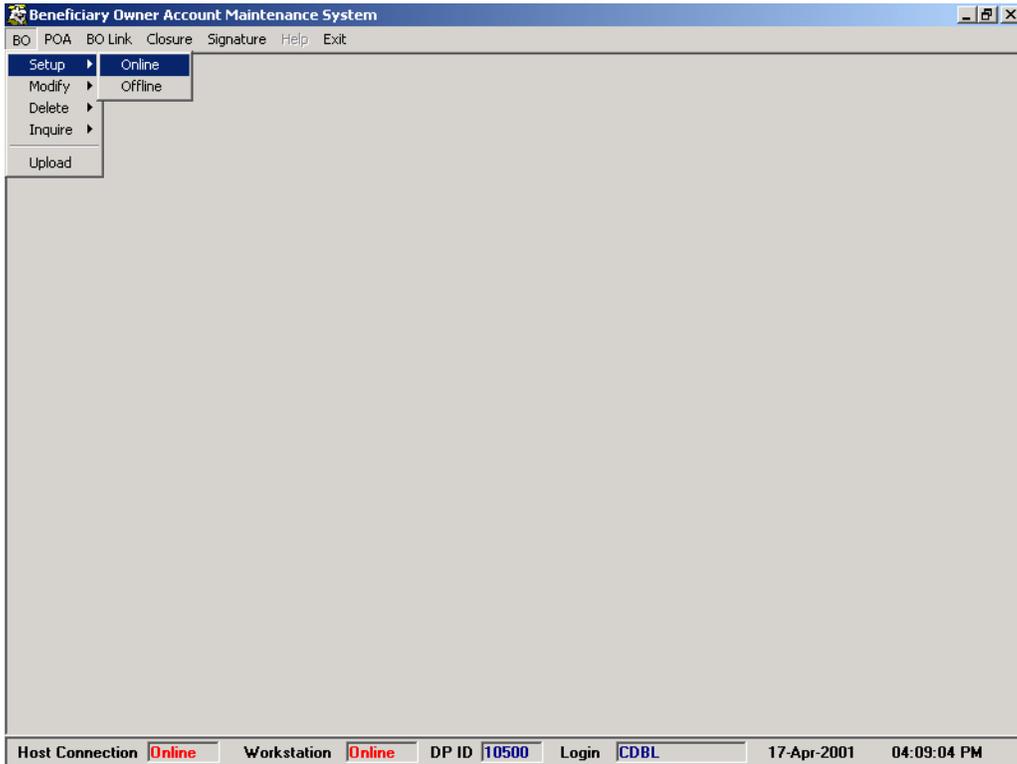


Figure 6.1. Initial Screen For BO Account Maintenance System

6.4.1 BO Setup

Activation Options

| Menu Name | Purpose | Hot Key |
|----------------------------|--------------------------------------|-----------------------|
| BO > Setup > Online | To set up BO details in Online mode | Alt + B > S > N |
| BO > Setup > Offline | To set up BO details in Offline mode | Alt + B > S > F |

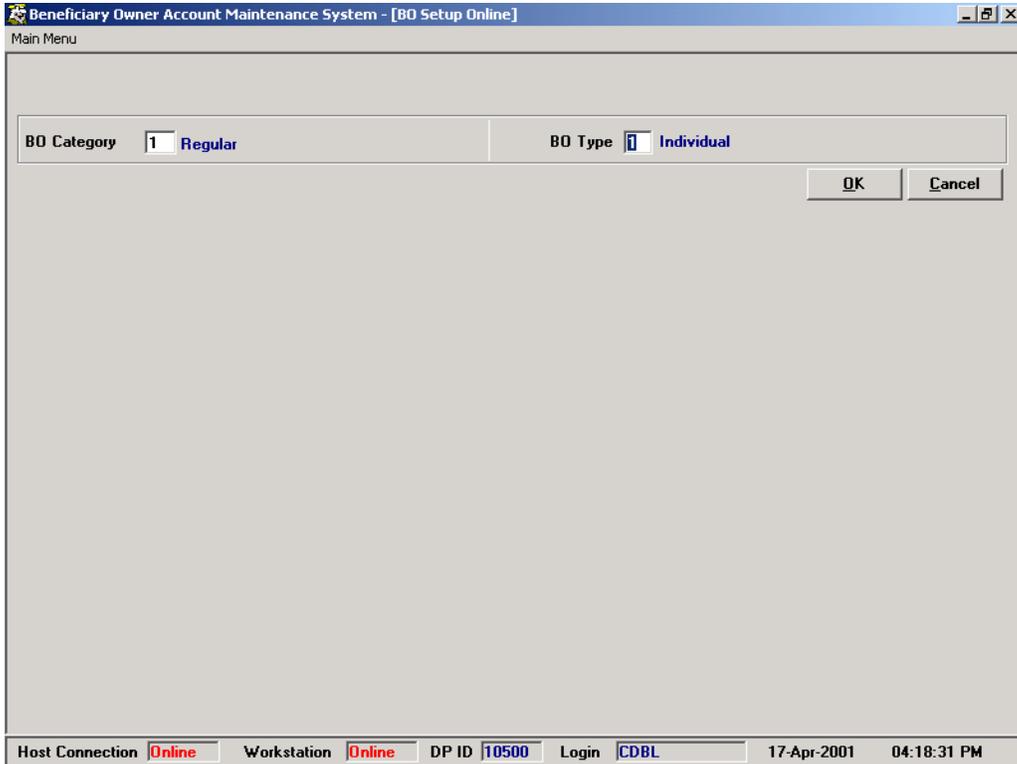


Figure 6.2. Screen for BO Setup

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 |
|-------------|--|------------|---|
| BO Category | Category under which the BO Account is created | M, N | BO Category can be of the following types <i>Clearing account</i> : This account is opened and maintained for the purpose of temporarily holding therein eligible securities of BOs used exclusively to process settlements on On-Market trades <i>Regular account</i> : This account will hold securities for the normal investors <i>Omnibus account</i> : This account is opened and maintained by a DP for the purpose of holding therein securities which are held for BOs with their written authority without opening a separate account in their own names |
| BO Type | Type under which the BO Account is created | M, N | BO Type can be of the following types Individual Company Joint holders |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To continue with the Setup operation | Alt + O |
| Cancel | To cancel Setup operation and return to the previous screen | Alt + C |

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO Category Regular

BO Type Individual

First Name

Middle Name Title

Last Name (Search Name) Suffix

Short Name

Host Connection Online Workstation Online DP ID Login 17-Apr-2001 05:04:13 PM

Figure 6.3. Screen for BO Setup after selecting BO category as Regular and type as individual

Figure 6.4. Screen for BO Setup after selecting BO category as Regular and type as Company

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 |
|----------------|--|------------|---|
| First Name | First Name of primary holder of account | M, Mo | |
| Middle Name | Middle Name of primary holder of account | Mo | |
| Last Name | Last name of primary holder of account. | M, Mo | Used as the search name if BO type is Individual or Joint Holders |
| Company Name | Name of the Company | M, Mo | Used as the search name if BO type is Company |
| Contact Person | Company Contact Person name | M, Mo | |
| Short Name | Short Name which will be displayed on the screen against the BO ID | M, Mo | |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To check if this BO already has an account with another DP using the Duplicate Search Logic | Alt + O |
| Cancel | To cancel Setup operation and return to the previous screen | Alt + C |

Duplicate Search Logic:

In case of an individual or joint holder, the BO is same, if the first name, middle name and last name entered are matching or if the first name and last name match and the middle name in the existing records is null.

In case of a company, the BO is same, if the Company name is same.

The screenshot displays the 'Beneficiary Owner Account Maintenance System - [BO Setup Online]' window. The 'Main Menu' is visible at the top. The 'Address' tab is selected, showing the following fields and values:

- BO ID: [Empty]
- BO Category: 1 Regular
- BO Type: 1 Individual
- First Name: Mohammed1
- Middle Name: Shaq
- Last Name (Search Name): Chowsun1
- Short Name: Chowsun
- Title: Mr.
- Suffix: Jr.
- Address: House #f1, Bldg. f1, Bonani, Dhaka, Dhaka, Bangladesh
- Postal Code: 1401
- Telephone: Phone 1: 234566, Phone 2: 234567, Fax: 234568
- E-mail: mc@bol.com

At the bottom, there are 'Commit' and 'Cancel' buttons. The status bar indicates: Host Connection Online, Workstation Online, DP ID 10400, Login ADMIN, 06-Aug-2002 03:52:40 PM.

Figure 6.5. Screen for BO Setup with the default Address tab selected

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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 |
|-----------------------|--|------------|--|
| BO ID | Beneficiary Owner Identification Number | U, N, A | Uniquely identifies a BO account and is generated on successful BO setup or on successful upload of an offline BO setup request. |
| Title | User defined Title to be assigned to the BO e.g. Mr., Dr. etc | Mo | |
| Suffix | User defined Title to be assigned to the BO e.g. Sir, Jr., Sr. etc | Mo | |
| Address Details | Address & Contact details of the First holder/Company | | |
| Address | Address of the First holder/Company | M*, Mo | *Only Address first line is mandatory |
| City | City to which the First holder/Company belongs | M, Mo | |
| State/Division | State/Division to which the First holder/Company belongs | M, Mo | |
| Country | Country to which the First holder/Company belongs | M, Mo | |
| Postal Code | Zip code of the First holder/Company 's address | M, Mo | |
| Telephone Number 1, 2 | Contact Numbers of the First holder/Company | Mo | |
| Fax Number | Fax Number of the First holder/Company | Mo | |
| Email | Email address of the First holder/Company | Mo | |

Figure 6.6. Screen for BO Setup with the Personal tab selected

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 |
|---------------------|--|------------|--|
| Personal Details | | | These are captured only for Individual & Joint Holders |
| Sex Code | Can be either Male or Female. | M, Mo | |
| Occupation | Occupation of the First Holder. | Mo | |
| Father/Husband Name | Name of the Father/Husband of the First Holder | Mo | |
| Mother's Name | Name of the Mother of the First Holder | Mo | |

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category: Regular BO Type: Individual

First Name:

Middle Name: Title:

Last Name (Search Name): Suffix:

Short Name:

Passport Details

Number:

Issue Place:

Issue Date:

Expiry Date:

Address Personal **Passport** Bank / Tax Others

User Defined Fields

Host Connection: Workstation: DP ID: Login: 17-Apr-2001 10:55:58 AM

Figure 6.7. Screen for BO Setup with the Passport tab selected

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 |
|------------------|--|------------|--|
| Passport Details | | | These are captured only for Individual & Joint Holders |
| Number | Passport Number of the First Holder | Mo | |
| Issue Place | Passport issue place of the First Holder | M*, Mo | *Mandatory if Passport Number is mentioned |
| Issue Date | Passport issue date of the First Holder | M*, Mo | |
| Expiry date | Passport expiry date of the First Holder | M*, Mo | |

Figure 6.8. Screen for BO Setup with the Bank/Tax tab selected

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 |
|---------------------|---|------------|--|
| Bank/Tax Details | Bank/Tax details of the First Holder/Company | | These details are used for distribution of Corporate Actions Cash Benefits |
| Bank Name | Name of the bank where the First Holder/Company's account exists | M, Mo | |
| Branch Name | Name of the branch where the First Holder/Company's account exists | M, Mo | |
| Bank Account Number | First Holder/Company Bank Account Number | M, Mo | |
| Electronic Dividend | Waiver to indicate whether the BO requires Electronic transfer of Cash Benefits | M, Mo | Default option is Yes |
| Tax Exemption | Waiver to indicate whether Tax will be levied on the BO's Cash benefits | M, Mo | Default option is No |
| Tax ID | Tax identification Number of the First Holder/Company | Mo | |

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category: Regular BO Type: Joint Holder

First Name:

Middle Name: Title:

Last Name (Search Name): Suffix:

Short Name:

Residency Flag: Resident DP Internal Ref. No.:

Nationality: Bangladesh Trading ID:

Date Of Birth: Exchange ID:

Maturity Date For Minor BO:

Registration Number:

BO Account Status:

Statement Cycle Code: Daily BO Suspension Flag:

Setup Date:

Address Personal Passport Bank / Tax Others

User Defined Fields Other A/c Holders Commit Cancel

Host Connection: Workstation: DP ID: Login: 06-Aug-2002 04:10:52 PM

Figure 6.9. Screen for BO Setup with the Others tab selected

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 |
|----------------------------|--|------------|--|
| Other Details | | | |
| Residency Flag | Indicates whether the BO is a Resident or not | M, Mo | |
| Nationality | Code indicating the Nationality of the BO, selected from a list of values available | M, Mo | |
| Date of Birth | Date of birth of the First Holder | M, Mo | Mandatory for Individual & Joint Holders. Should be a valid date less than or equal to the current business date |
| Date of Registration | Company Registration date | M, Mo | Mandatory for Company Account. Should be a valid date less than or equal to the current business date |
| Maturity Date For Minor BO | Date of Maturity if the BO is a minor i.e. the date of birth specified is less than 18 years on the date of BO | M, Mo | Mandatory for Individual & Joint Holders if BO is a minor. Should be a valid date, not less than the current business date |

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| Field Name | Description | Field Type | Remarks |
|-------------------------|--|------------|--|
| | setup. | | |
| Registration Number | Company Registration Number | M, Mo | Mandatory for Company Account except for those under the Omnibus Category |
| Statement Cycle Code | Code indicating the frequency of generation of the BO's Statement of Account with CDBL, selected from a list of values available | M, Mo | |
| DP Internal Ref. Number | Number used for DP back office reference | Mo, U | Unique for a DP |
| Trading ID | Broker Code registered with the Exchange specified by Exchange ID | U, M, Mo | Mandatory if BO category is Clearing. It is unique for an Exchange |
| Exchange ID | Code indicating the Exchange on which the Broker is registered with the above mentioned Broker Code | M, Mo | Mandatory if BO category is Clearing. |
| BO Account Status | Indicates the current status of the BO Account. | R | Account Status can have the following possible values Active – After successful BO setup Requested For Closure- After a Closure Request has been setup by the DP Closed – After the account is closed |
| BO Suspension Flag | Indicates the current suspension status of the BO Account. | R | Suspension Flag can have the following possible values Not Suspended, Suspended for Debit, Suspended for Credit, Suspended for Both (i.e. both debit and credit) |
| Setup Date | The business date on which the BO account is setup | R | For offline account requests, it is the date on which the request was successfully uploaded |

Buttons Available

| Name | Purpose | Hot Key |
|---------------------|---|---------|
| Commit | To commit the transaction details | Alt + O |
| Cancel | To cancel the setup operation and return to the previous screen | Alt + C |
| User Defined Fields | To setup additional BO related details | Alt + U |
| Other A/c Holders | To setup other account holder details in case of Joint Holder/Company Account Setup | Alt + H |

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category: Regular BO Type: Joint Holder

First Name: Title:

Middle Name: Suffix:

Last Name (Search Name):

Short Name:

User Defined Fields

BO Sponsor Flag:

BO Financial Institution:

Field 1:

Field 2:

Field 3:

OK Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: ADMIN 26-Sep-2002 12:09:18 PM

Figure 6.10. Screen for BO Setup after clicking the After Clicking User Defined Fields button

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category: Regular BO Type: Joint Holder

First Name: Title:

Middle Name: Suffix:

Last Name (Search Name):

Short Name:

Second Account Holder

First Name: Title:

Middle Name: Suffix:

Last Name:

Short Name:

Third Account Holder

First Name:

Middle Name: Title:

Last Name: Suffix:

Short Name:

OK Cancel

Host Connection: Online Workstation: Online DP ID: 10500 Login: CDBL 18-Apr-2001 03:26:31 PM

Figure 6.11. Screen for BO Setup after clicking the Other A/c Holders button

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Ok | To add the Other Account Holder details | Alt + O |
| Cancel | To cancel Other Account Holder details setup operation and return to the previous screen | Alt + C |

On successful BO setup in online mode, the BO ID so generated will be displayed to the user. The BO ID is a 16-digit code wherein

Digit 1 – Depository ID, in case of CDBL it will always be 1

Digit 2 – Depository Participant Type

Digit 3 To Digit 8 – Depository Participant ID

Digit 9 To Digit 15 – Unique and auto generated sequence number

Digit 16 – Check Digit

The last 8 digits form the BO Code.

In case the BO has an account with another DP, then the list of all the possible matching records depending on the duplicate search logic are displayed to the user. The DP, as per the instruction of the BO can then either choose an existing account number from the available list or opt for a new account number to be generated.

But in case of Clearing account the BO (Broker) is not allowed to create another account with different DPs.

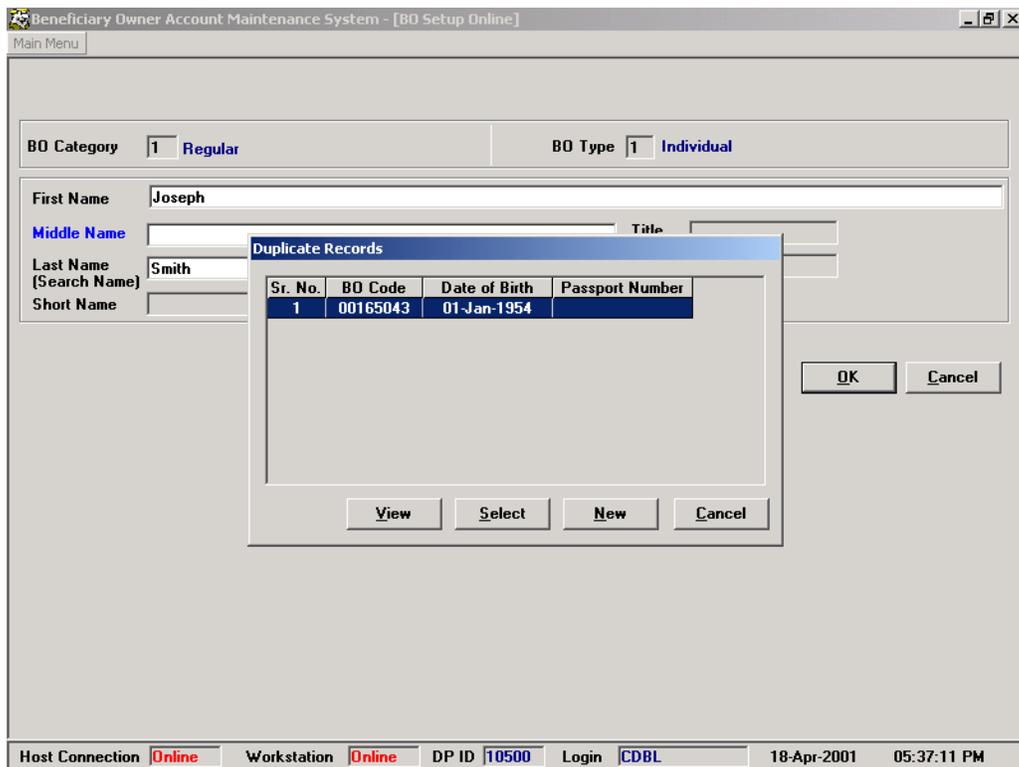


Figure 6.12. Screen displaying duplicate records of the BO account being set up

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| View | To view the selected BO account details | Alt + V |
| Select | To select the highlighted BO account record so as to create | Alt + S |

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|--------|---|---------|
| | a BO link on it | |
| New | To create a new account for the BO | Alt + N |
| Cancel | To cancel the Setup operation and return to the previous screen | Alt + C |

In case the user opts to create a new BO link, then only *DP Internal Ref. No.* and *Statement Cycle Code* fields are available for modification and on successful BO set up the BO ID is generated from the original BO code but with the current DP ID and DP Type as shown in the illustration below:

BO XYZ approaches Broker DP1 (010100) to open an account for the first time
 At the time of BO Setup by DP1 the system determines that no accounts exist for BO XYZ using the Duplication Search Logic, so a new BO ID will be generated for him like (1-2-010100-0000001-9)
 Now if BO XYZ opens an account with Regular DP2 (010300) then the system will determine that an account exists for the BO. If the BO opts to create a new link then his BO ID will be (1-3-010300-0000001-9)
 If the BO opts to create a new BO account then a new BO ID will be generated for him e.g. 1-3-010300-0000429-0

Figure 6.13. Screen to create a new BO link, shown on selecting the Select button on the Duplicate BO record screen

Figure 6.14. Screen displaying the selected BO account details which have been set up through another DP, shown on selecting the View button on the Duplicate BO record screen

On successful offline BO Setup, a unique BO Reference Number will be generated and on successful upload of the same a new BO ID will be generated for the BO account.

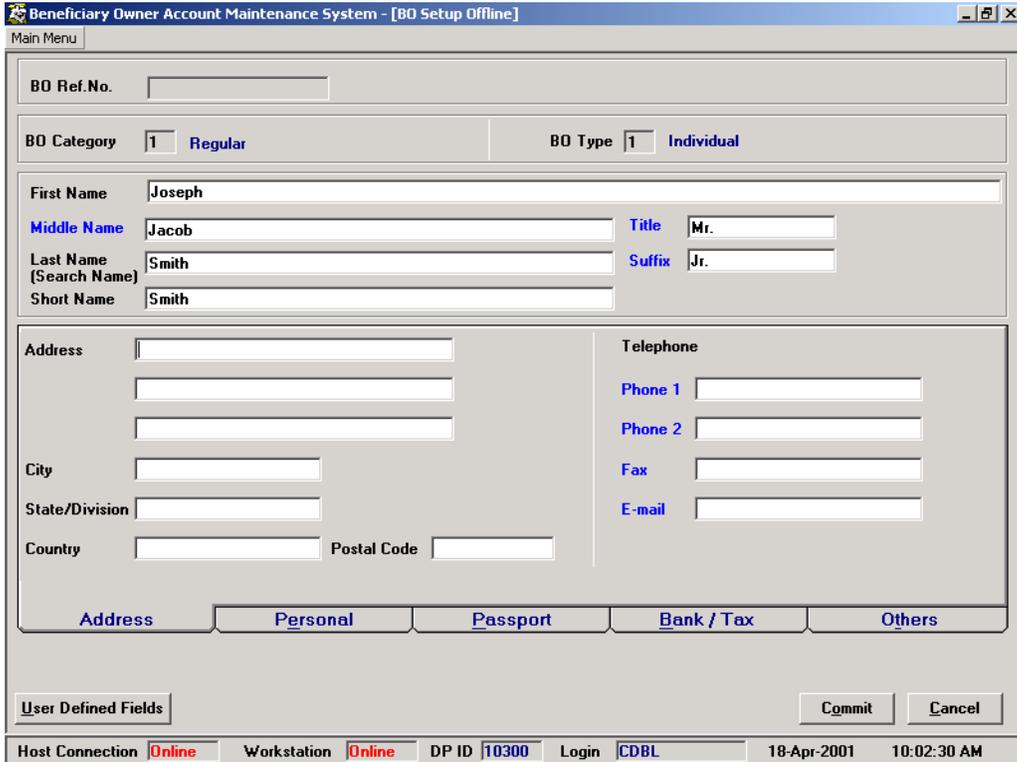


Figure 6.15. Screen for Offline BO Setup

6.4.2 BO Inquiry

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------|---|-----------------------|
| BO > Inquiry > Online | To inquire BO details which were set up in Online mode or have been successfully uploaded | Alt + B > I > N |
| BO > Inquiry > Offline | To inquire BO details which were set up in Offline mode and have not yet been successfully uploaded | Alt + B > I > F |

DP can inquire details for only those accounts that have been created by him

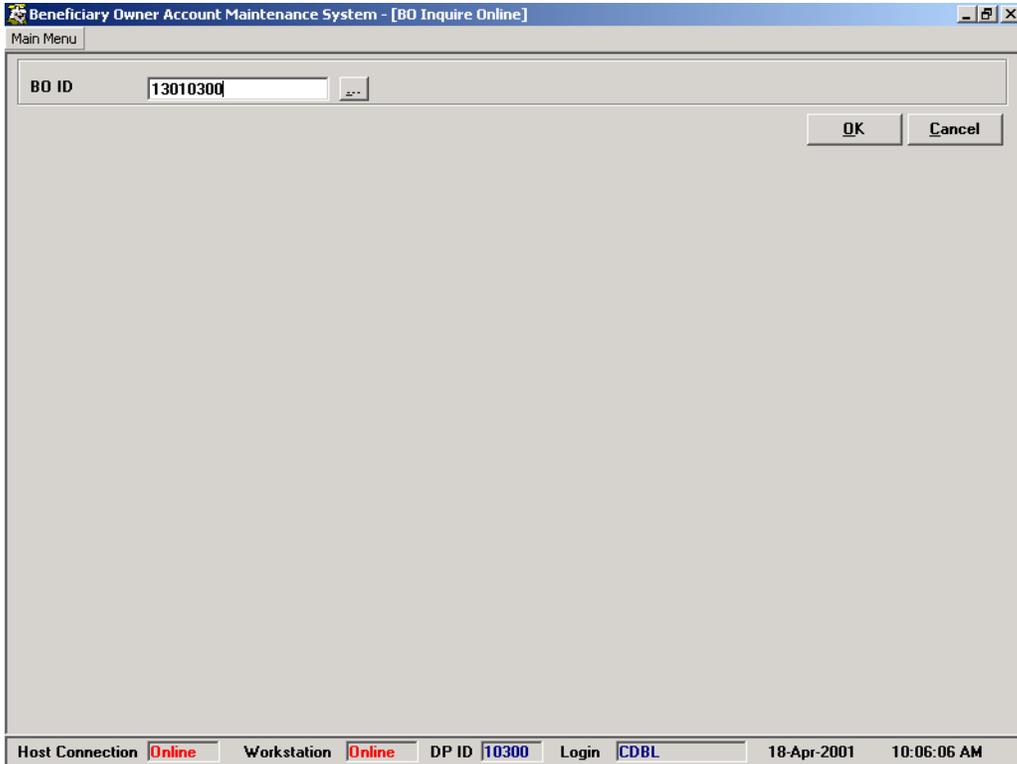


Figure 6.16. Screen for Online BO Inquiry

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|--------------------------------|
| --- | To display the last ten BO Ids used or inquired on, through any VeDAS Application, in the current Master Sign On session | Alt + . (Dot or Full Stop key) |
| Ok | To continue with the Inquiry operation with the mentioned BO ID | Alt + O |
| Cancel | To cancel the Inquiry operation and return to the previous screen | Alt + C |

The BO inquiry selection criteria screen can be available by either double clicking on the BO ID text field or by pressing F2 Key while keeping the focus on the BO ID text field

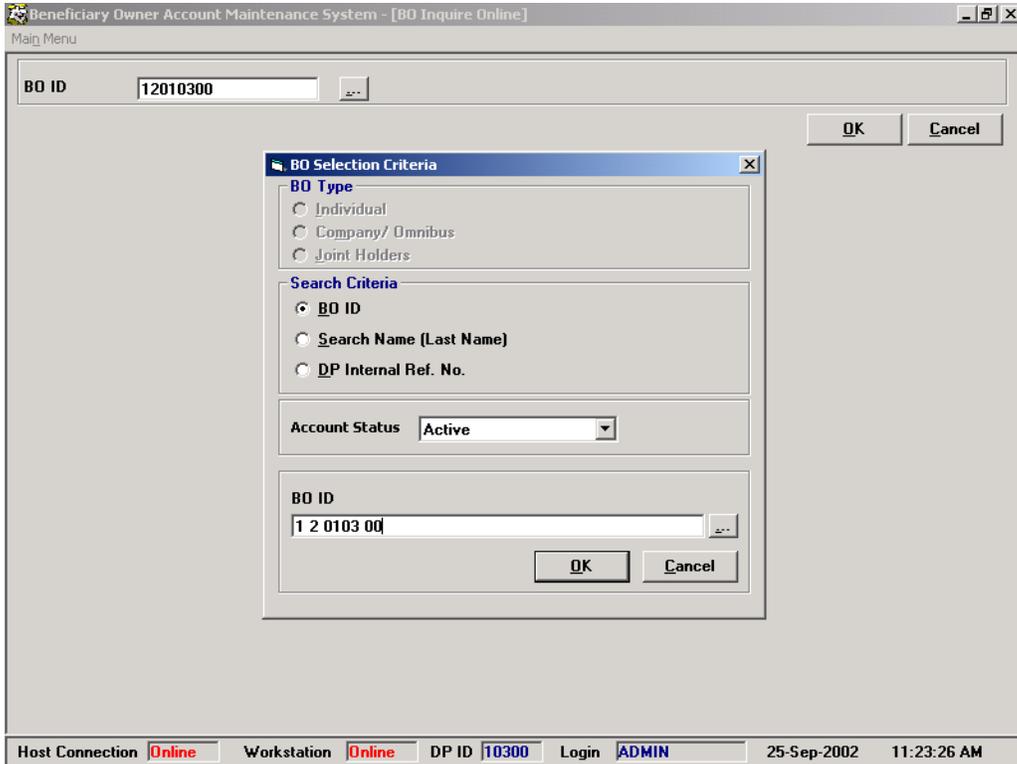


Figure 6.17. Screen for Online BO Selection Criteria Inquiry with BO ID as the Search Criteria option

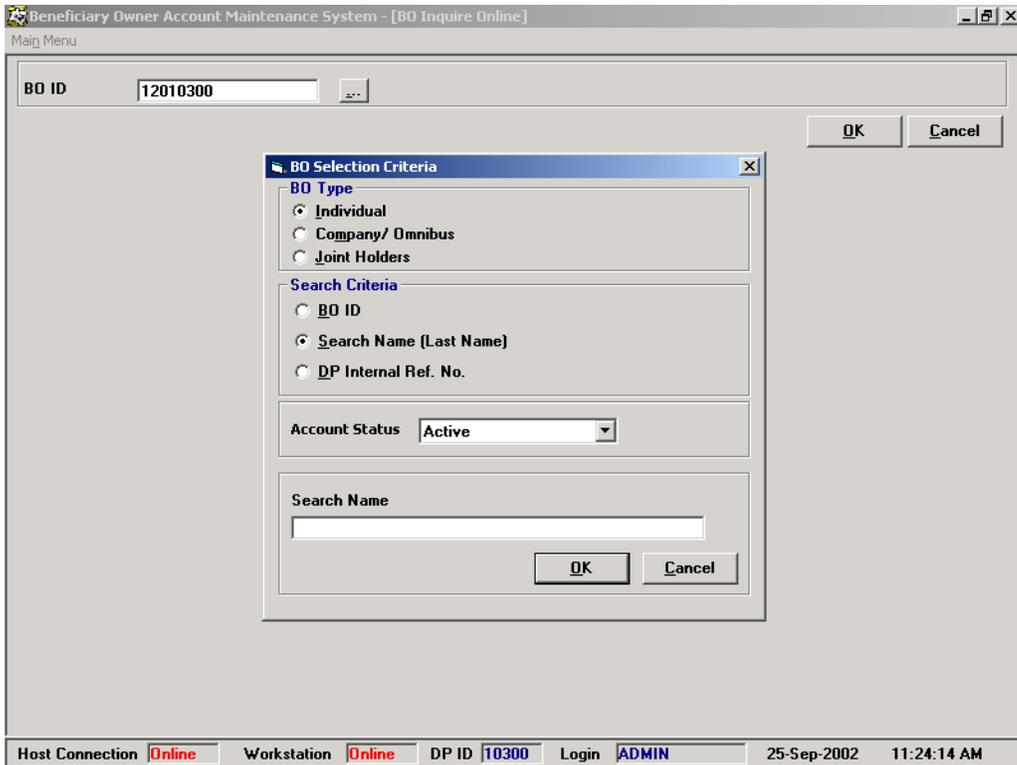


Figure 6.18. Screen for Online BO Selection Criteria Inquiry with Search Name as the Search Criteria option

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Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|--------------------------|--|--|
| BO ID | BO ID | If selected, the BO ID for which the inquiry is to be carried on needs to be specified. This selection criteria is available only for <i>Online</i> BO inquiry |
| BO Ref No | BO Reference Number | If selected, the BO Ref. No. on which the inquiry is to be carried on needs to be specified. This selection criteria is available only for <i>Offline</i> BO inquiry |
| DP Internal Ref. No. | DP Internal Ref. No. | If selected, the DP Internal Reference number for the record to be inquired needs to be specified |
| Search Name/Company Name | Search Name | If selected, the Search Name of the BO for which the inquiry is to be carried on needs to be specified. Inquiry can be carried on using the '*' wild character i.e. 'S*' will list all BOs with search name starting with the alphabet 'S'. However, use of the wild character search should be discouraged so as reduce network traffic |
| BO Type | Individual Company Joint holders | If Search Name is selected as the search criteria, then this option is available. It determines the BO types under which the specified name is to be searched |
| Account Status | Account Status | The status of the account to be searched. |

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 |

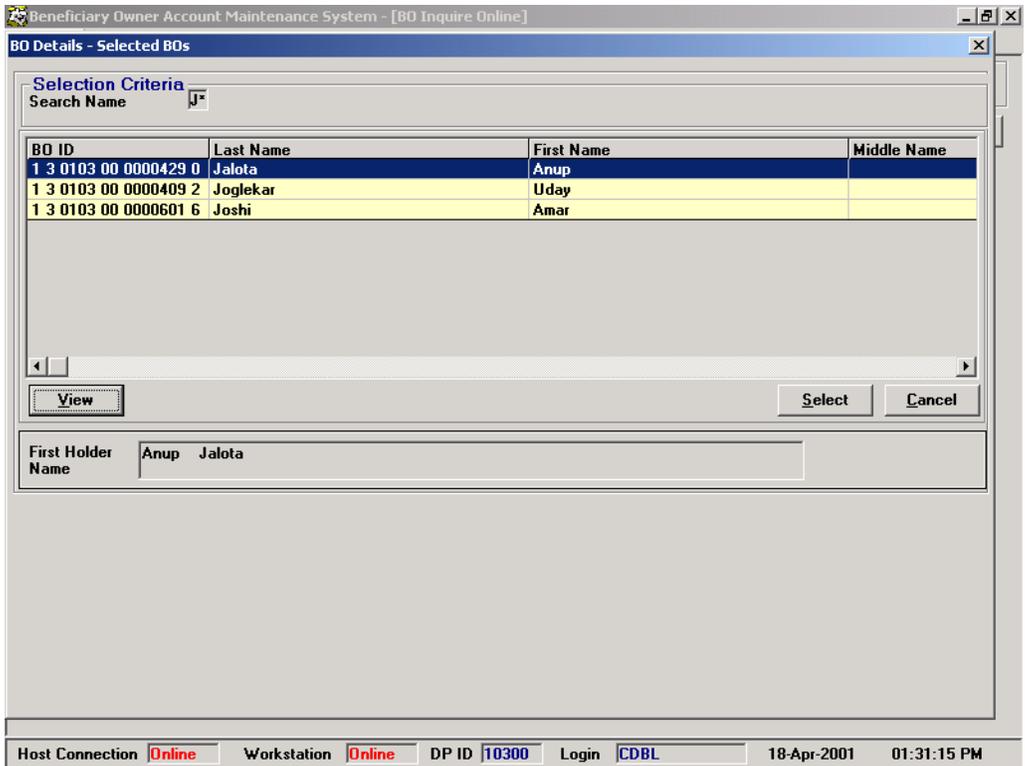


Figure 6.19. Screen for BO Group Details Inquiry

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Select | To select the BO ID of the highlighted record to the BO ID text field from where the inquiry was executed | Alt + S |
| Cancel | To cancel the Inquiry operation and return to the previous screen | Alt + C |
| View | To view the selected BO account details | Alt + V |

Figure 6.20. Screen for Online BO Inquiry

Buttons Available

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

6.4.3 BO Modify

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------------------------|--|-----------------------|
| BO > Modify > Online | To modify the BO details which were set up in Online mode or have been successfully uploaded | Alt + B > M > N |
| BO > Modify > Offline | To modify the BO details which were set up in Offline mode and have not yet been successfully uploaded | Alt + B > M > F |

DP can modify details for only those accounts that have been created by him.

Figure 6.21. Screen for Online BO Modify

6.4.4 BO Delete

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------------------------|--|-----------------------|
| BO > Delete > Offline | To delete BO details which were set up in Offline mode and have not yet been successfully uploaded | Alt + B > D > F |

Figure 6.22. Screen for Offline BO Delete

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Cancel | To cancel the Delete operation and return to the previous screen | Alt + C |
| Delete | To successfully delete the BO details | Alt + D |

6.4.5 BO Upload

Activation Options

| Menu Name | Purpose | Hot Key |
|-------------|--|----------------|
| BO > Upload | To upload the BO details which were set up in Offline mode | Alt + B > U |

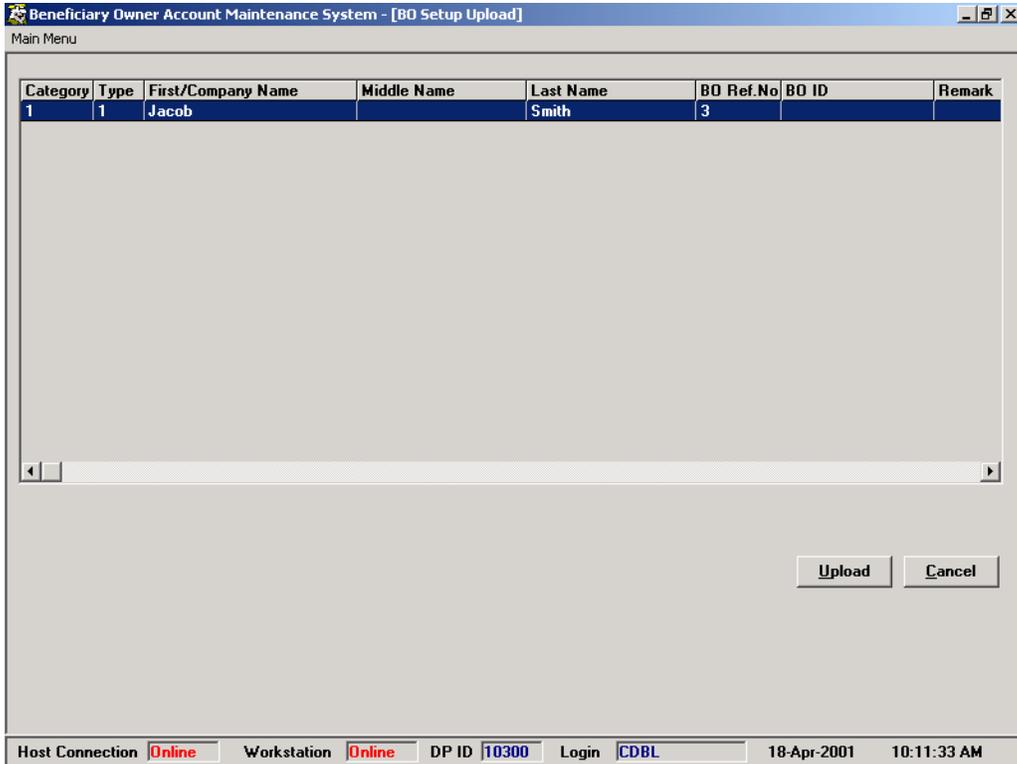


Figure 6.23. Screen for Offline BO details Upload

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 |
|------------|---|------------|---------|
| Remark | Indicates the status of the BO account record i.e. whether it was successfully uploaded or whether an error occurred during the upload operation. In case of an error, the corresponding error message is displayed | R | |

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Upload | To start the upload operation | Alt + U |
| Cancel | To cancel the upload operation and return to the previous screen | Alt + C |

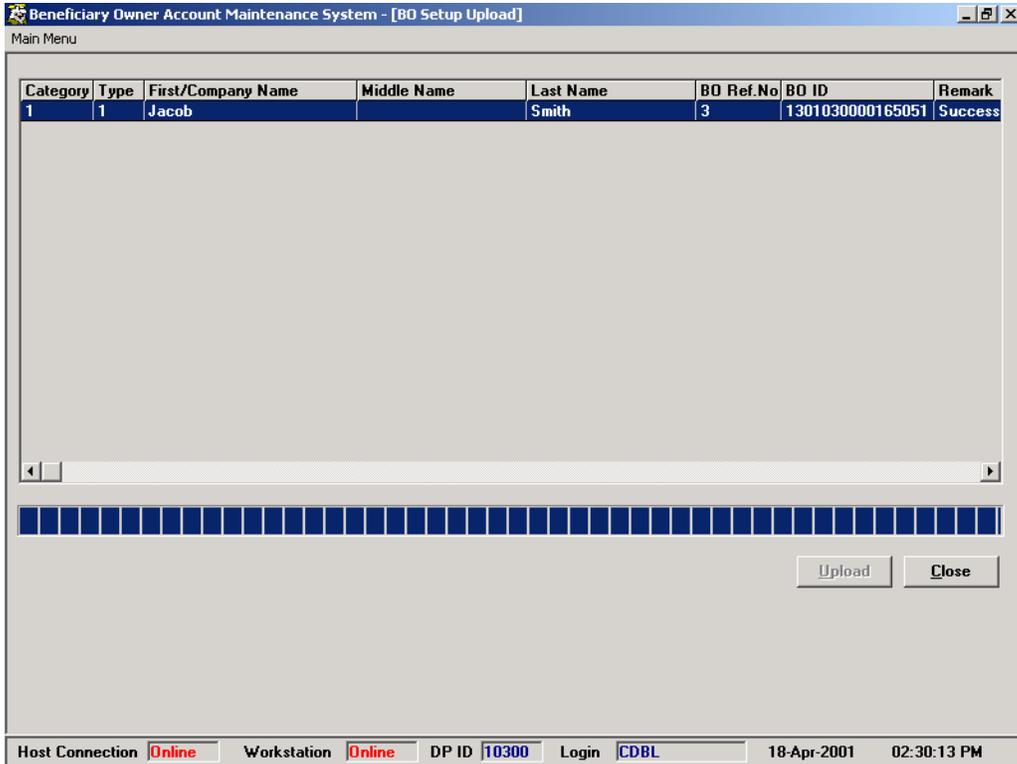


Figure 6.24. Screen for Offline BO details Upload after committing the transaction

6.4.6 POA/Additional Holders Setup

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------------------------|---|-----------------------|
| POA > Setup > Online | To set up Power of Attorney/Heir/Nominee/Guardian details in Online mode | Alt + P > S > N |
| POA > Setup > Offline | To set up Power of Attorney/Heir/Nominee/Guardian details in Offline mode | Alt + P > S > F |

DP can setup additional holders only for his BOs.

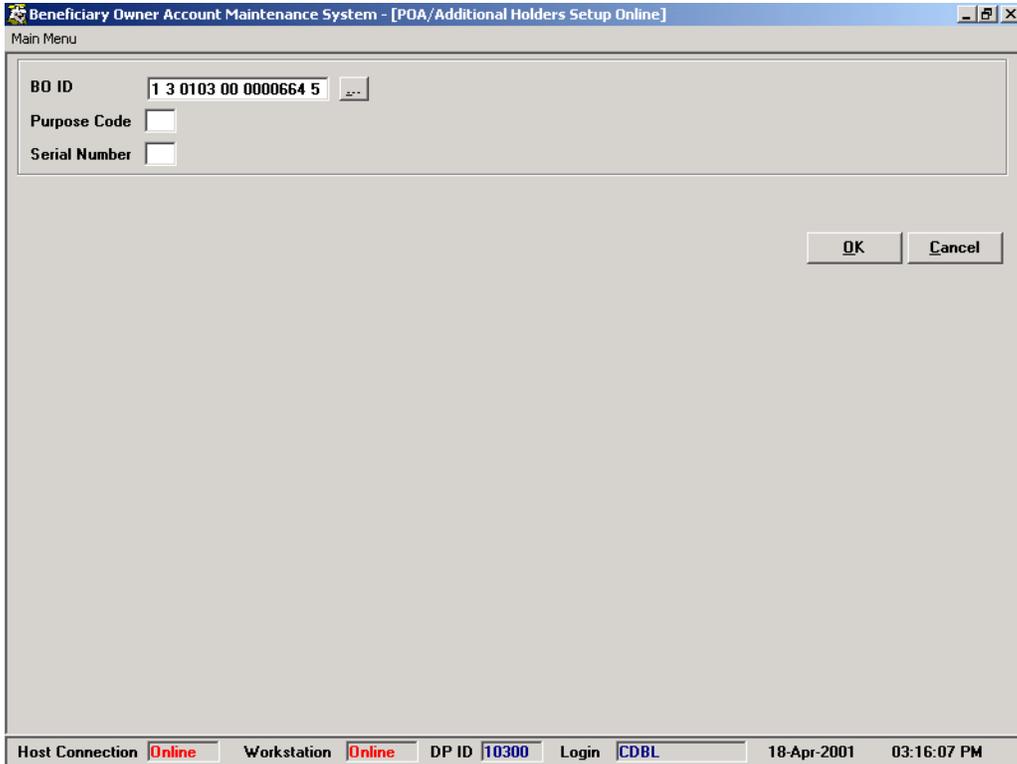


Figure 6.25. Screen for POA details Setup

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 |
|---------------|--|------------|---|
| BO ID | BO ID for whom the additional holder details need to be set up | M, N | |
| Purpose Code | Code indicating the type of additional holder being set up, selected from a list of values available | M, N | Purpose code can have the following possible values 4 - Power of Attorney 5 - Heir 6 - Nominee 7 - Guardian |
| Serial Number | The order defined by the BO for holders belonging to the same purpose code | M, N | Any valid number between 1-99 |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To continue with the Setup operation | Alt + O |
| Cancel | To cancel Setup operation and return to the previous screen | Alt + C |

Figure 6.26. Screen for POA Setup with Address tab selected

Figure 6.27. Screen for POA Setup with Others tab selected

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 |
|--------------------------|--|------------|--|
| Institution | Indicates whether the POA is an institution or an individual | M, Mo | Mandatory for POA setup. Default option is No |
| Institution Name | The name of institution being set up as the POA | M, Mo | Mandatory for POA setup in case the POA is marked as an institution |
| Relationship | Indicates the relation the Nominee has with the BO | M, Mo | Mandatory for Nominee set up |
| Nominee Share Percentage | The share percentage allotted to this particular nominee | M, Mo | Mandatory for Nominee setup. The sum total of the percentage allotted to all nominees should be less than or equal to 100% |
| Effective From-To | Indicates the period for which the POA being setup shall function for function for the BO | M, Mo | Mandatory for POA setup |
| Remarks | Any additional information to be setup by the DP | Mo | |
| Setup date | The business date on which the additional holder | R | For offline requests, it is the date on which the request |

| Field Name | Description | Field Type | Remarks |
|------------|----------------|------------|---------------------------|
| | is being setup | | was successfully uploaded |

Figure 6.28. Screen for Nominee Setup with Others tab selected

Buttons Available

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

6.4.7 POA/Additional Holders Inquiry

Activation Options

| Menu Name | Purpose | Hot Key |
|-------------------------------|--|-----------------------|
| POA > Inquiry > Online | To inquire POA details which were set up in Online mode or have been successfully uploaded | Alt + P > I > N |
| POA > Inquiry > Offline | To inquire POA details which were set up in Offline mode and have not yet been successfully uploaded | Alt + P > I > F |

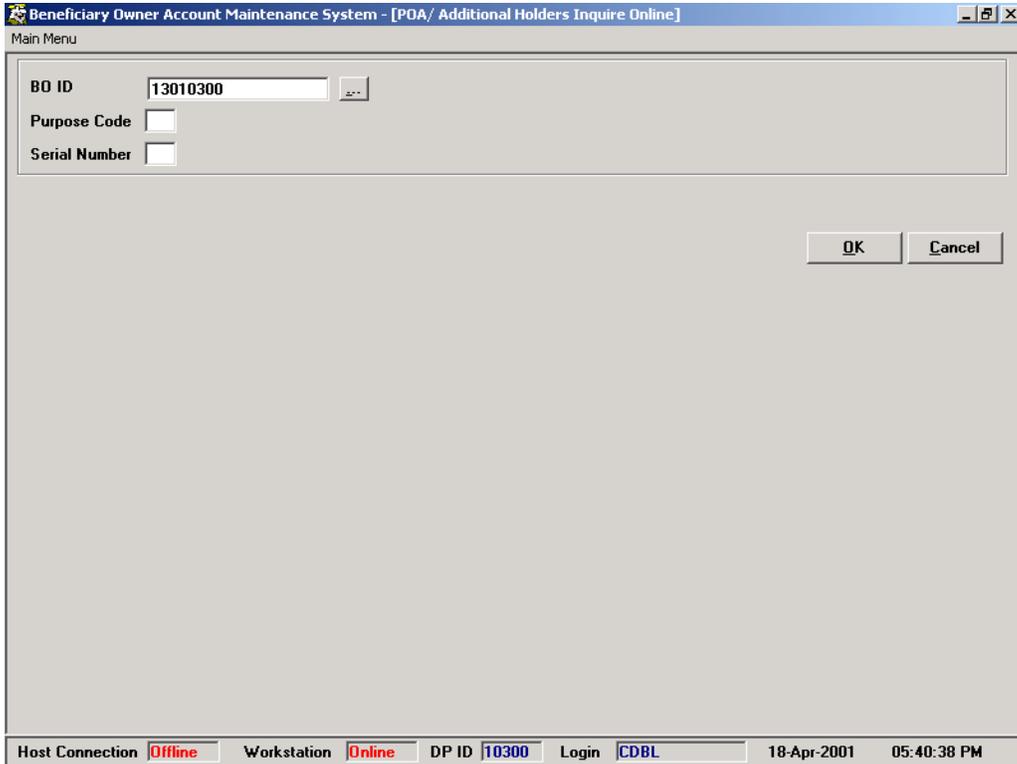


Figure 6.29. Screen for POA/Additional Holders Inquiry Selection Criteria

Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|------------------|---------------|---|
| BO ID | BO ID | The BO ID whose additional holder details are to be inquired, needs to be specified |
| Purpose Code | Purpose Code | The type of holder for whom the inquiry is being carried out i.e. POA/Heir/Nominee/Guardian |
| Serial Number | Serial Number | The serial number with which the holder was setup |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To continue with the Inquiry operation | Alt + O |
| Cancel | To cancel the Inquiry operation and return to the previous screen | Alt + C |

Figure 6.30. Screen for POA Details Inquiry

6.4.8 POA/Additional Holders Modify

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------|---|-----------------------|
| POA > Modify > Online | To modify the POA details which were set up in Online mode or have been successfully uploaded | Alt + P > M > N |
| POA > Modify > Offline | To modify the POA details which were set up in Offline mode and have not yet been successfully uploaded | Alt + P > M > F |

Figure 6.31. Screen for POA Details Modify

6.4.9 POA/Additional Holders Delete

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------|---|-----------------------|
| POA > Delete > Offline | To delete the POA/Additional Holder details which were set up in Online mode or have been successfully uploaded | Alt + P > D > F |
| POA > Delete > Offline | To delete the POA/Additional Holder details which were set up in Offline mode and have not yet been successfully uploaded | Alt + P > D > F |

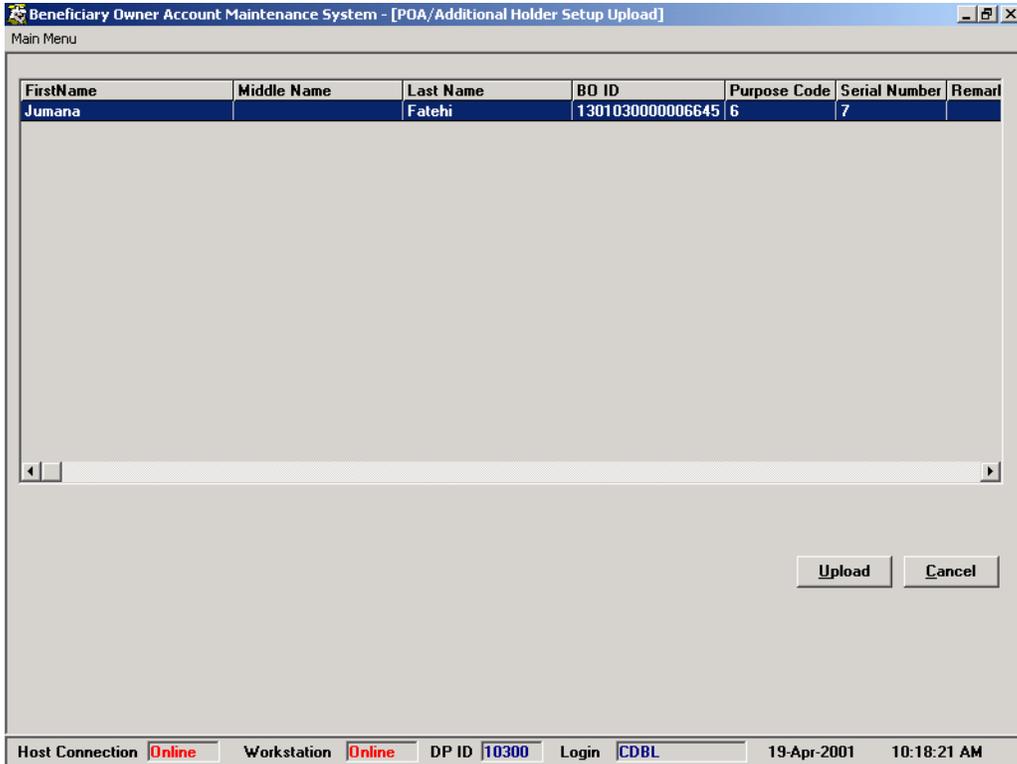


Figure 6.33. Screen for Offline BO details Upload

6.4.11 Offline BO Link Setup

Activation Options

| Menu Name | Purpose | Hot Key |
|---------------------------------|-----------------------------------|-----------------------|
| BO Link > Setup > Offline | To set up BO Link in Offline mode | Alt + L > S > F |

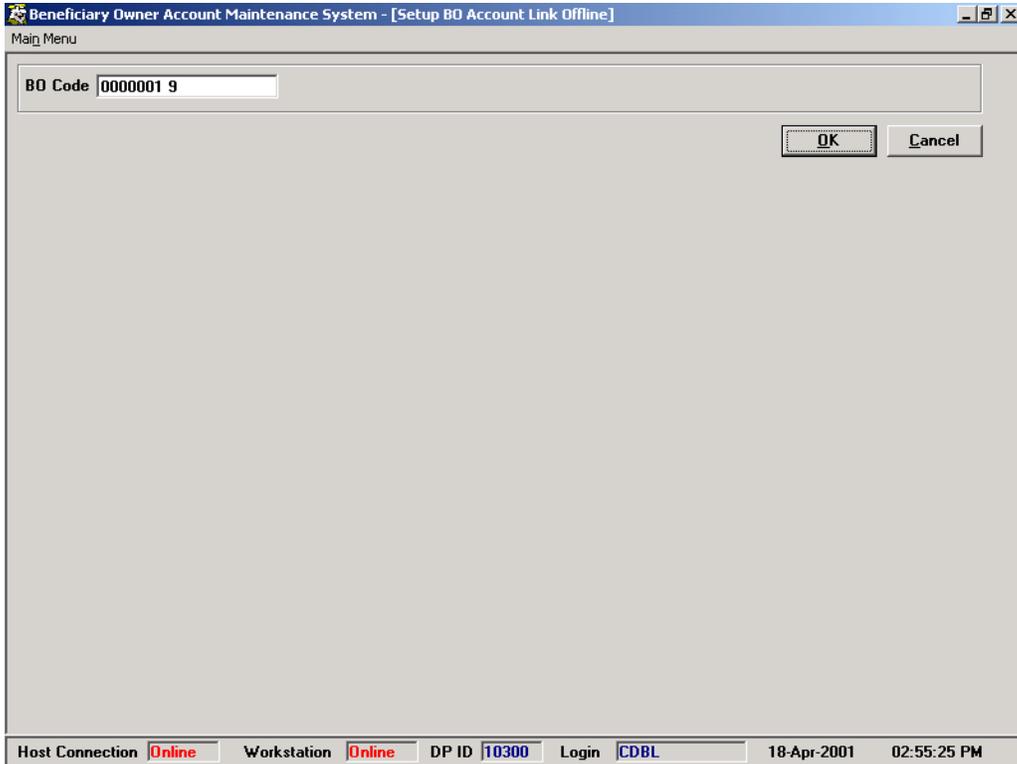


Figure 6.34. Screen for Offline BO Link Setup

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 |
|------------|---|------------|---------|
| BO Code | The BO Code for which the link is to be created | M, N | |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To continue with the BO Link Setup operation | Alt + O |
| Cancel | To cancel Setup operation and return to the previous screen | Alt + C |

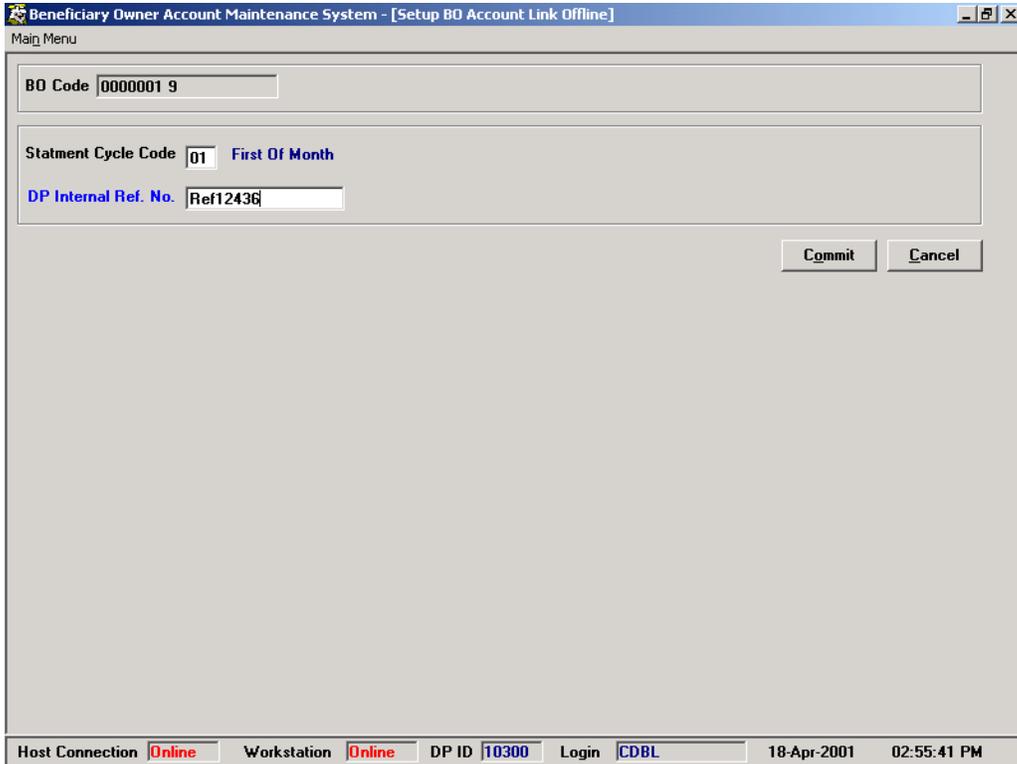


Figure 6.35. Screen for Offline BO Link Setup

6.4.12 Offline BO Link Inquiry

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------------------------------|--|-----------------------|
| BO Link > Inquire > Offline | To inquire the BO Link details which were set up in Offline mode and have not yet been successfully uploaded | Alt + L > I > F |

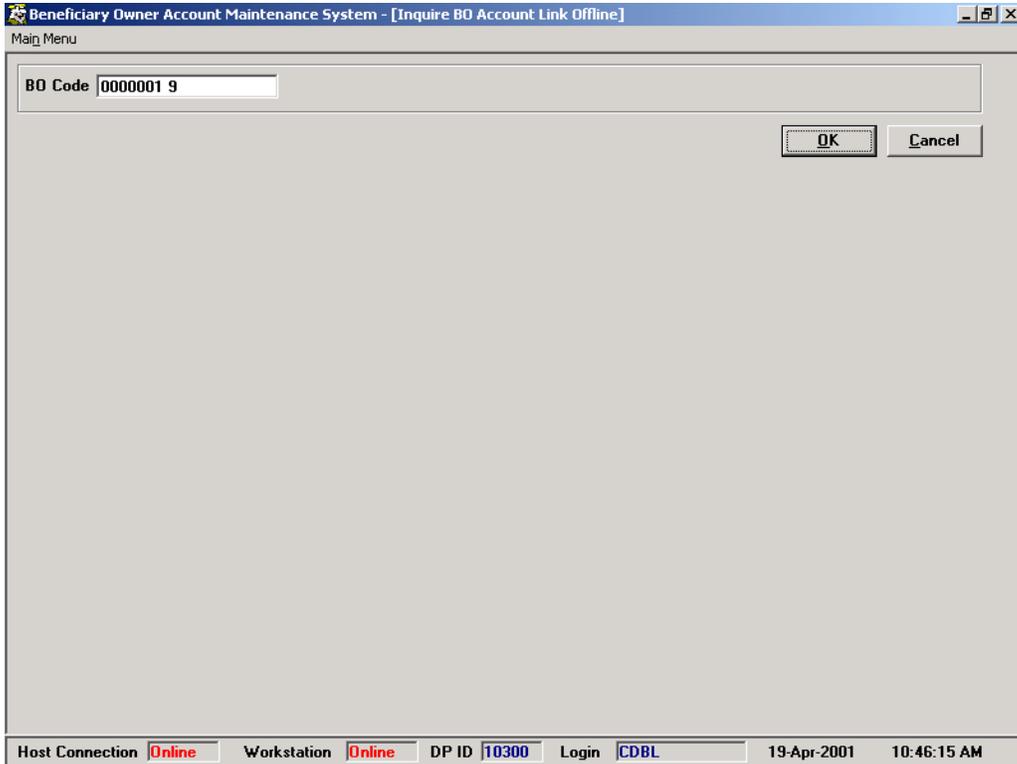


Figure 6.36. Screen for Offline BO Link Inquiry Search Criteria

Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|------------------|---------|---|
| BO Code | BO Code | If selected, the BO Code for which the Link details were set up in offline mode are to be inquired needs to be specified. |

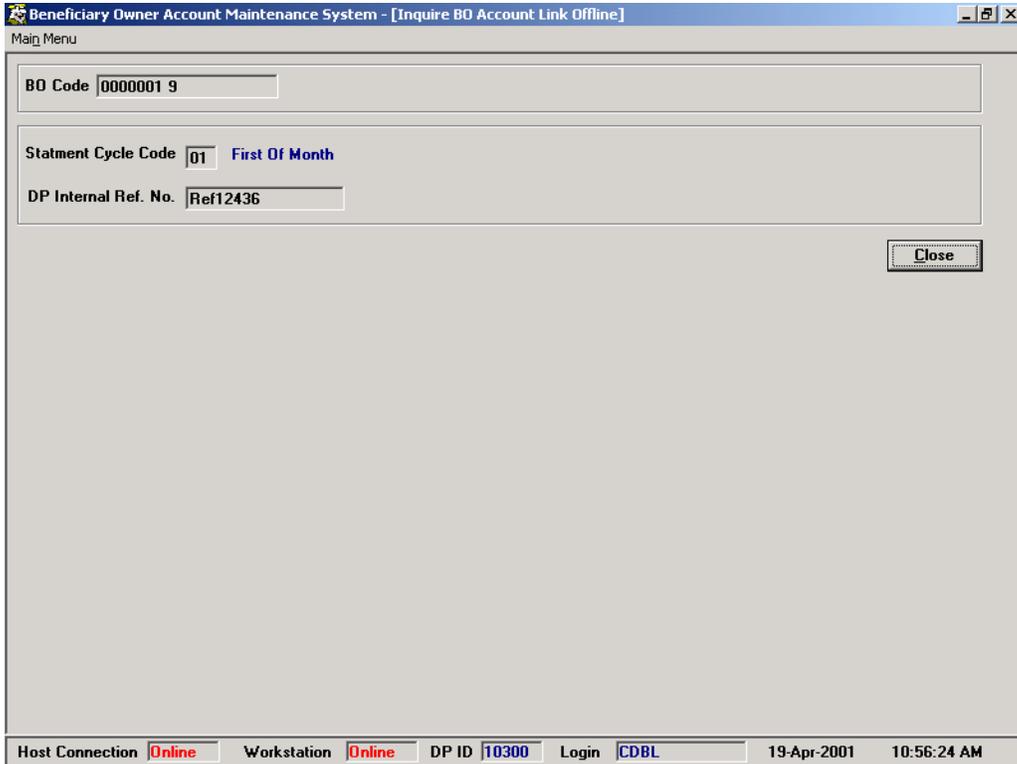


Figure 6.37. Screen for Offline BO Link Inquiry

6.4.13 Offline BO Link Modify

Activation Options

| Menu Name | Purpose | Hot Key |
|----------------------------------|--|-----------------------|
| BO Link > Modify > Offline | To modify BO Link details which were setup in Offline mode and have not yet been successfully uploaded | Alt + L > M > F |

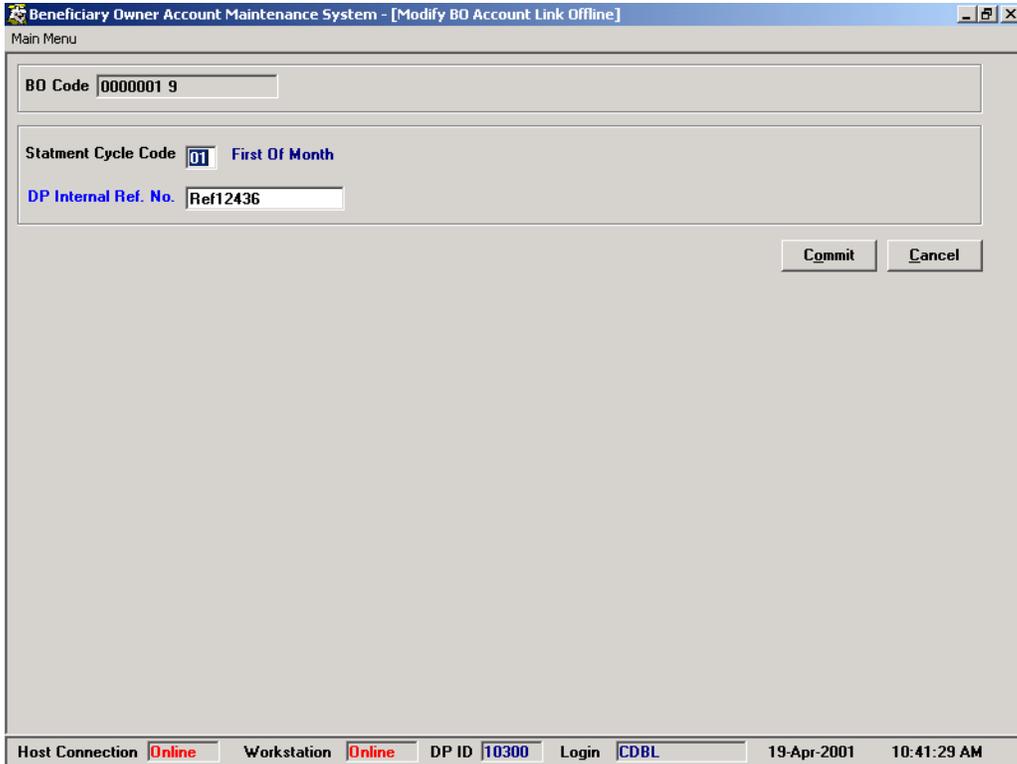


Figure 6.38. Screen for Offline BO Link Modify

6.4.14 Offline BO Link Delete

Activation Options

| Menu Name | Purpose | Hot Key |
|----------------------------------|---|-----------------------|
| BO Link > Delete > Offline | To delete the BO Link details which were set up in Offline mode and have not yet been successfully uploaded | Alt + L > D > F |

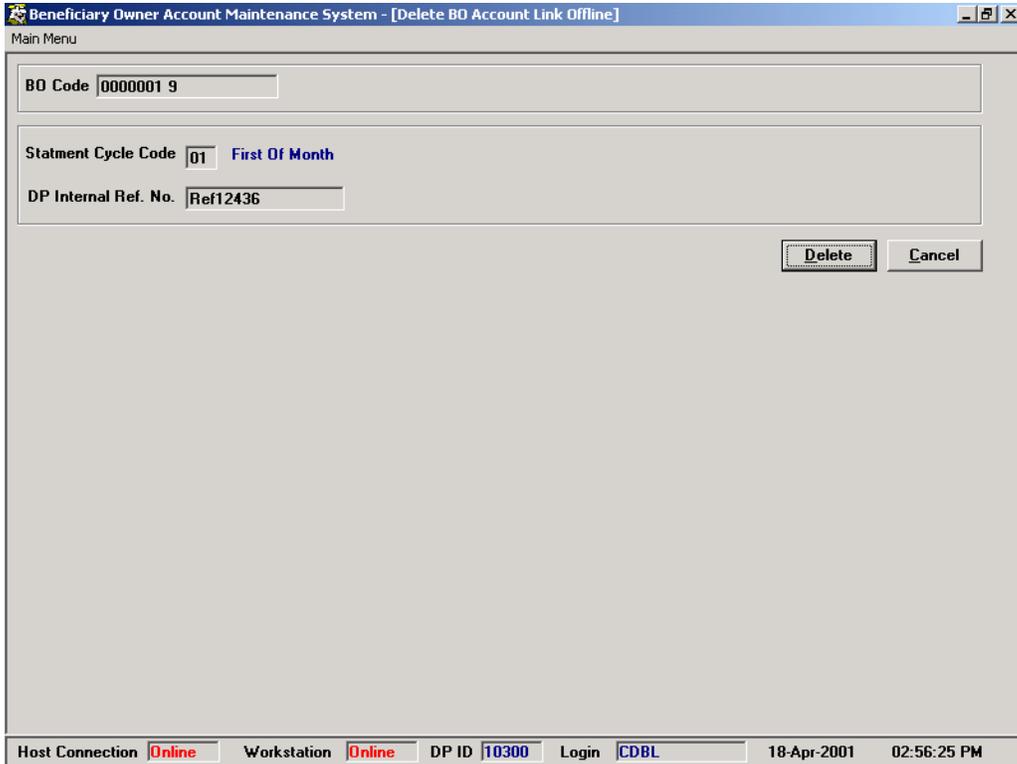


Figure 6.39. Screen for Offline BO Link Delete

6.4.15 Offline BO Link Upload

Activation Options

| Menu Name | Purpose | Hot Key |
|---------------------|---|----------------|
| BO Link > Upload | To upload the BO Link details which were set up in Offline mode | Alt + L > U |

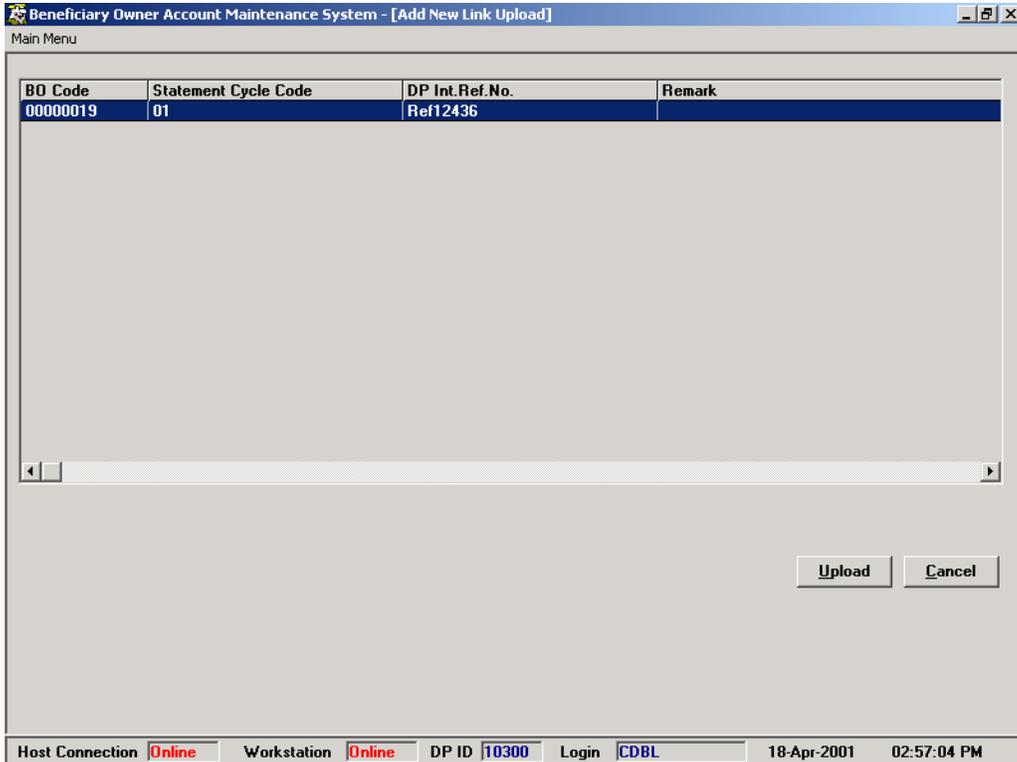


Figure 6.40. Screen for Offline BO Link Details Upload

6.4.16 BO Closure Request Setup

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------|---|----------------|
| Closure > Closure Request | To set up a request for closing a BO account, available only in online mode | Alt + C > R |

Account closure request can be set up either by the DP or by CDBL. DP may request the closure of any of its BO accounts, may be on the instruction of the BO or when the DP finds that the account is dormant for a very long time and there are no balances in it. On successful submission of an account closure request, the corresponding account is then marked with status as *Tagged For Closure* and henceforth no more balances can be added to this account. An account cannot be closed if there are any balances in it. The balances can be removed from the account by Transferring them to another account of the same BO or another BO i.e. through Transfers, Change of Ownership or Transmission or Rematerialization.

When the balances for all the ISINs of the account with status as *Tagged for Closure* are zero, then during the EOD processing at CDBL, the account will be closed i.e. the account status is marked as *Closed*. Inquiry on closed accounts will be available for a fixed period after closure as defined by CDBL.

Figure 6.41. Screen for BO Closure 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 |
|----------------------|---|------------|---------|
| Closure Reason code | Code indicating the reason for initiating the account closure, selected from a list of values available | M, N | |
| Closure Request Date | The business date on which the closure request is setup | R | |
| DP Int Ref No | DP internal reference number for the closure request for back office reference | N | |
| Remarks | Any user defined remark for this request | N | |

Buttons Available

| Name | Purpose | Hot Key |
|----------------|---|---------|
| Name & Address | To view the BO details | Alt + A |
| Balances | To view the BO balances existing for all the ISINs | Alt + B |
| Commit | To commit the transaction details | Alt + O |
| Cancel | To cancel Closure Setup operation and return to the previous screen | Alt + C |

6.4.17 Cancel BO Closure Request

Activation Options

| Menu Name | Purpose | Hot Key |
|-------------------------------------|---|----------------|
| Closure > Cancel Closure Request | To cancel the BO account closure request, which was set up earlier, available only in online mode | Alt + C > A |

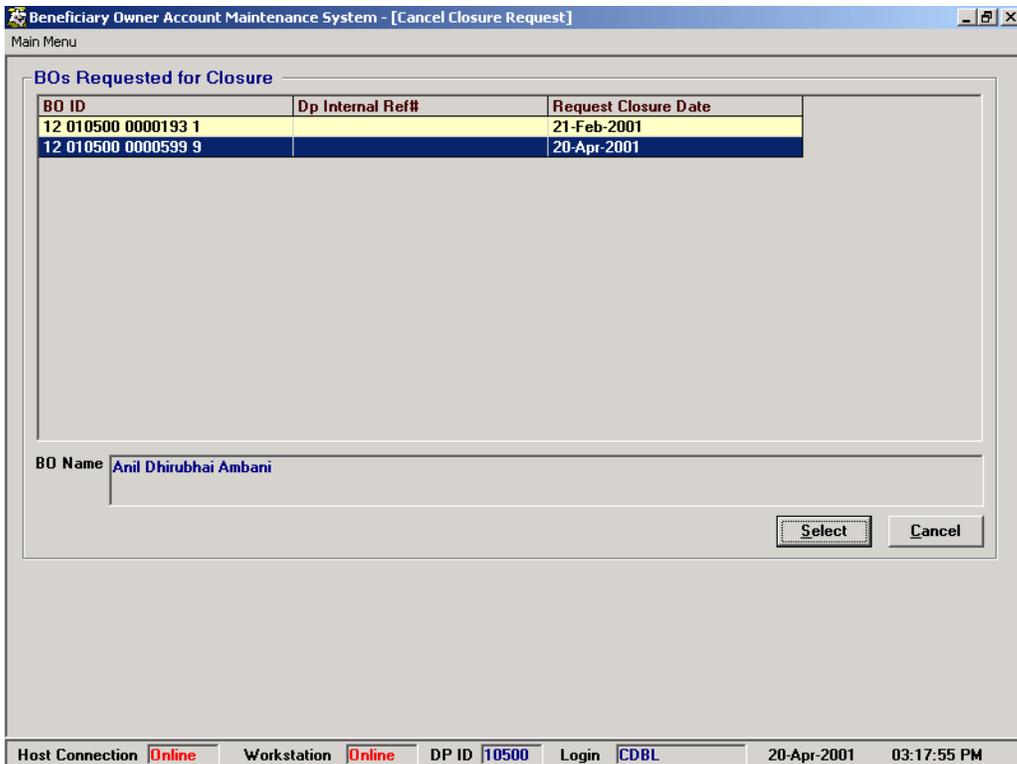


Figure 6.42. Screen for BO Closure Request Cancel showing list of Requests Setup by the DP

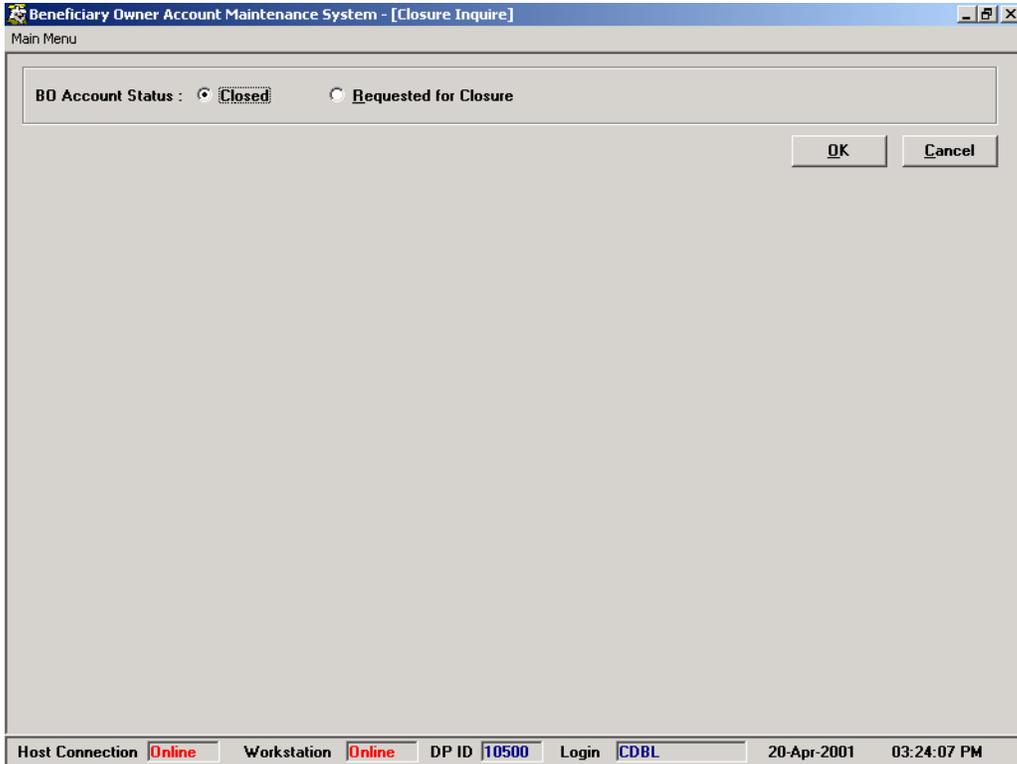


Figure 6.44. Screen for BO Closure Request Inquiry

Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|-------------------|---------------------------------|--|
| BO Account Status | Closed Requested For Closure | If the <i>Closed</i> option is selected, then a list of all BO Accounts closed due to Closure Requests set up by the DP is available If <i>Requested For Closure</i> is selected, then a list of all Closure Requests set up by the DP is available |

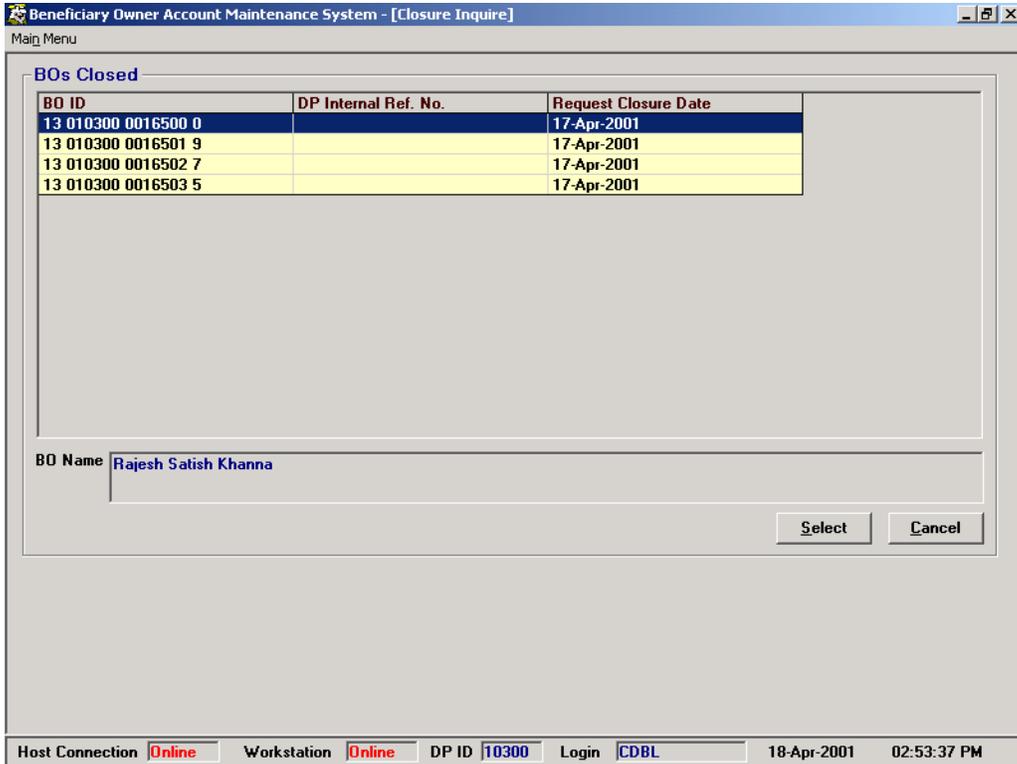


Figure 6.45. Screen for BO Closure Request Inquiry

Selecting one of the records shown in the grid can make detailed inquiry on a specific request.

Figure 6.46. Screen for Detailed BO Closure Request Inquiry

6.4.19 BO Signature Setup

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------------------------------|--|-----------------------|
| Signature > Setup > Online | To set up BO Signature details in Online mode | Alt + G > S > N |
| Signature > Setup > Offline | To set up BO Signature details in Offline mode | Alt + G > S > F |

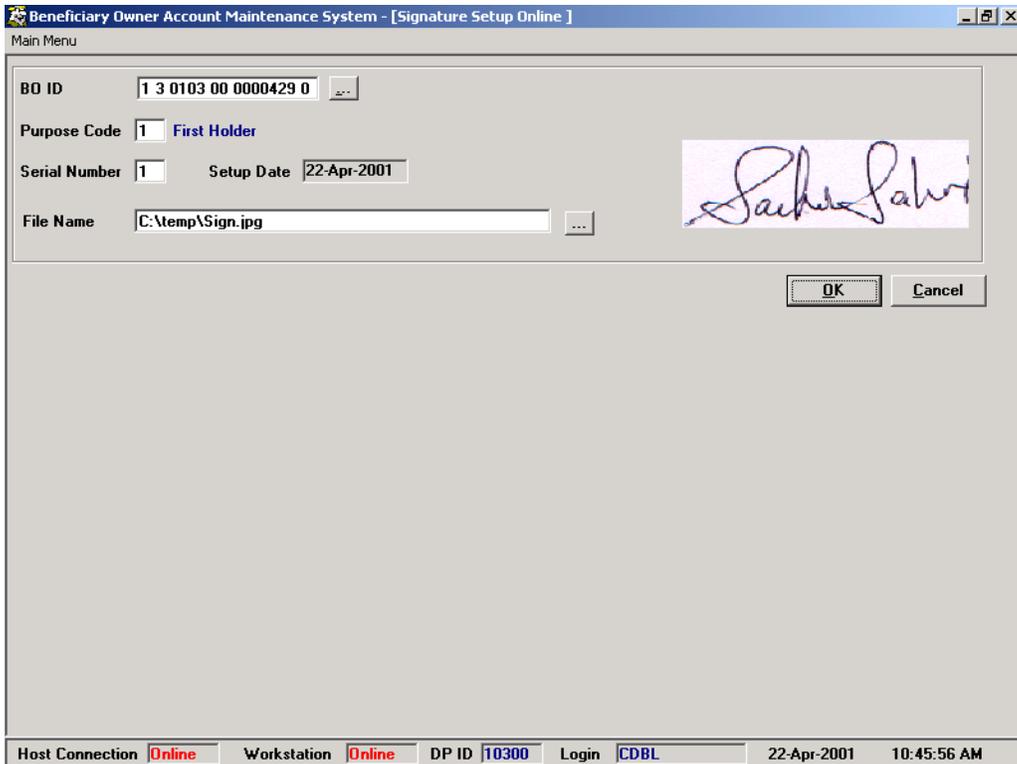


Figure 6.47. Screen for BO Signature Setup

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 |
|---------------|---|------------|--|
| BO ID | The BO ID of the account for which signature details need to be setup | M, N | |
| Purpose Code | Code indicating the type of the Account holder, for whom the signature is to be setup | M, N | The following is the list of possible values for the purpose code 1 - First Holder 2 - Second Holder 3 - Third Holder 4 - Power of Attorney 5 - Heir 6 - Nominee 7 - Guardian |
| Serial Number | The order with which the holder account was created | M, N | E.g. For the First Holder it should be 1, for the second POA setup with account serial number as 2, signature serial number will also be 2 |
| Setup Date | The business date on which the BO account is setup | R | For offline account requests, it is the date on which the request |

| | |
|----------------------|-------------------------------|
| VeDAS Implementation | BO Account Maintenance System |
| User Manual - DP | |

| Field Name | Description | Field Type | Remarks |
|------------|---|------------|---------------------------------------|
| | | | was successfully uploaded |
| File Name | The name and location of the JPEG image file which contains the scanned signature image | M, Mo | It should be a valid JPEG image file. |

Buttons Available

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

On successful signature set up, a copy of the signature file is stored in the DP's local *Sign* folder with the file name as <BO ID><Purpose Code><Serial Number>.jpg e.g. 13010300000017510101.jpg

6.4.20 BO Signature Inquiry

Activation Options

| Menu Name | Purpose | Hot Key |
|-------------------------------------|---|-----------------------|
| Signature > Inquiry > Online | To inquire the BO Signature details which were set up in Online mode or have been successfully uploaded | Alt + G > I > N |
| Signature > Inquiry > Offline | To inquire the BO Signature details which were set up in Offline mode and have not yet been successfully uploaded | Alt + G > I > F |

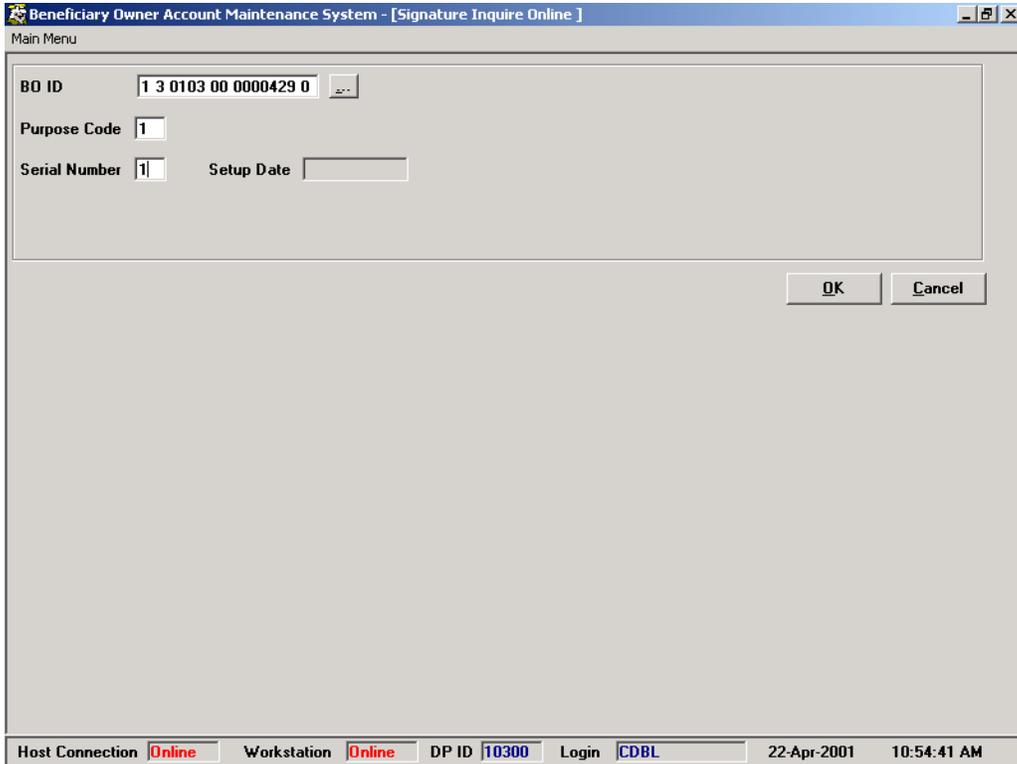


Figure 6.48. Screen for BO Signature Inquiry Selection Criteria

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Ok | To continue with the Inquiry operation with the specified criteria | Alt + O |
| Cancel | To cancel Inquiry operation and return to the previous screen | Alt + C |



Figure 6.49. Screen for BO Signature Inquiry

6.4.21 BO Signature Modify

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------------|--|-----------------------|
| Signature > Modify > Online | To modify the BO Signature details which were set up in Online mode or have been successfully uploaded | Alt + G > M > N |
| Signature > Modify > Offline | To modify the BO Signature details which were set up in Offline mode and have not yet been successfully uploaded | Alt + G > M > F |



Figure 6.50. Screen for BO Signature Modify with original signature details displayed

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Modify | To continue with the Modify operation | Alt + O |
| Cancel | To cancel Modify operation and return to the previous screen | Alt + C |



Figure 6.51. Screen for BO Signature Modify

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 |
|---------------|---|------------|---------------------------------------|
| New File Name | The name and location of the JPEG image file which contains the newly scanned signature image of the account holder | M, Mo | It should be a valid JPEG image file. |

6.4.22 BO Signature Delete

Activation Options

| Menu Name | Purpose | Hot Key |
|------------------------------------|--|-----------------------|
| Signature > Delete > Offline | To delete the BO Signature details which were set up in Online mode or have been successfully uploaded | Alt + G > D > F |
| Signature > Delete > Offline | To delete the BO Signature details which were set up in Offline mode and have not yet been successfully uploaded | Alt + G > D > F |



Figure 6.52. Screen for BO Signature Delete

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Cancel | To cancel the Delete operation and return to the previous screen | Alt + C |
| Delete | To successfully delete the BO Signature details | Alt + D |

6.5 Acknowledgements/Reports Available

List of Acknowledgements

| File Name | Availability |
|--|--|
| BO Setup Acknowledgement | On successful BO setup or on successful Upload of Offline BO details |
| POA/Additional Holders Setup Acknowledgement | On successful POA/Additional Holders setup or on successful Upload of Offline POA/Additional Holders details |

List of Reports

| File Name | Type | Availability |
|------------------------------|---------|---|
| BO Setup | Default | After EOD processing on BO Setup date |
| BO Account Links Setup | Default | After EOD processing on BO Account Links Setup date |
| POA/Additional holder Setup | Default | After EOD processing on POA/Additional holder Setup date |
| POA/Additional holder Delete | Default | After EOD processing on the deletion date of POA/Additional holder |
| BO Closed | Default | After EOD processing on the date on which the BO Account is Closed |
| BO(s) Closure Failure | Default | After EOD processing from the day the BO was requested for Closure till the day it is Closed, conveying the reason for which BO Closure operation failed. |
| BO Maintenance Log | Default | After EOD processing on all days whenever any Modify or Delete operation is carried out on the BO account |