

VeDAS Implementation	Dematerialisation
User Manual - DP	

## **7 Dematerialisation**

### **7.1 Purpose**

The process of conversion of physical shares into electronic form is called Dematerialisation. A BO who wants to dematerialise his shares needs to approach his DP with the physical share certificates. The DP sets up the Demat request and couriers the physical certificates to the respective Issuer, who on receipt of the same approves or rejects the Demat request.

### **7.2 Modes of Operation**

Demat request can be setup in online or offline. The requests setup in offline will be available only for offline modification or inquiry. Offline requests once successfully uploaded will now be available for online modification or inquiry.

### **7.3 Access Restrictions**

Demat requests can be setup by Brokers, Regular and Custodian depository participants for their respective beneficiary owner.

## 7.4 Screen Layout

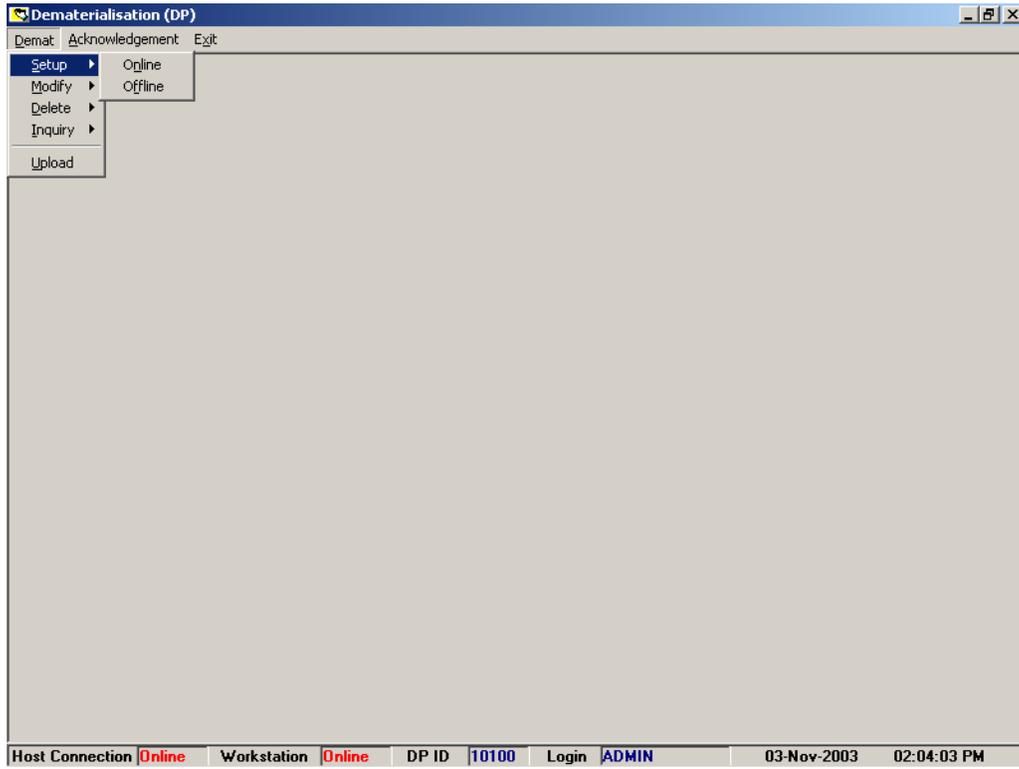


Figure 7.1. Initial Screen For Dematerialisation

## 7.4.1 Dematerialisation Setup

### Activation Options

Menu Name	Purpose	Hot Key
Demat > Setup > Online	To setup Demat Request in Online mode	Alt + D > S > N
Demat > Setup > Offline	To setup Demat Request in Offline mode	Alt + D > S > F

Figure 7.2. Screen for Online/Offline Demat 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
DRN	Demat Request Number	U, N, A on successful Demat Request Setup	Uniquely identifies a demat request and is generated on successful demat setup in online mode or on successful upload of an offline demat request
DRFNo.	Demat Request Form Number	U, M, Mo	Application number on the demat request form. It is unique for a DP.

Field Name	Description	Field Type	Remarks
ISIN	ISIN for which the Demat request is to be setup	M, N	ISIN status should be Active.
BO ID	Beneficiary Owner Identification	M, N	BO should be active.
Quantity Type	Indicates whether the demat request is for free or for certificates under lock in	M, Mo Default option is Free	In case Quantity Type is selected as <i>Lock in</i> , then the entire demat quantity will be setup under Lock in for the specified Lock in reason, till the Lock in expiry date.
Setup Date	The business date on which the Demat Request is Setup	R	For offline demat requests, it is the date on which the request was successfully uploaded.
Total Qty	Quantity of scrips in the Demat request	M, Mo	The grand total of the certificate quantities should match with this quantity.
Courier No	Courier Number of the despatched physical certificates	Mo	
Courier Name	Name of the Courier Agent	M*, Mo	*Mandatory if Courier Number is specified.
Courier Date	Date of despatch	M*, Mo	*Mandatory if Courier Number is specified.
Certificate Details	Displays the list of certificates and their corresponding details setup for the Demat request using the <i>Add</i> button		
No. of Certificates	The total number of certificates existing in the request	C	
Total Cert. Qty.	The grand total of all the certificate quantities	C	

### Buttons Available

Name	Purpose	Hot Key
Add	To add new Certificate records	Alt + A
Modify	To modify the selected Certificate record	Alt + M
Delete	To delete the selected Certificate record	Alt + D
View	To view the selected Certificate record details	Alt + V
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C
ISIN Details	Displays details of the ISIN selected for demat	Alt + I

Dematerialisation (DP) - [Demat Request Setup (Offline)]

Main Menu

DRF No. TESTINGDEMAT75

BO ID 1 2 0101 00 0000447 2 AKRAM MODH

ISIN

Quantity Ty Reg. Folio No. Entered Qty. 0

Total Qty Cert. No. Cert. Qty. 0

Courier Di Distinctive Numbers

Range From	Range To	Total

Total Qty. 100

Courier No. ov-2003

Courier Nar

Certificate

Reg. F.

Add Modify Delete

Lock in Details

Reason Code Expiry Date - -

Description

No. of Cert

View

OK Cancel Cancel

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Figure 7.3. Screen for Certificate Details Setup without Lock in (i.e. Quantity type is Free).

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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
Reg. Folio No.	Registered Folio Number as available on the physical certificate	M, Mo	
Cert. No.	Certificate Number as available on the physical certificate	U, M, Mo	Unique for an ISIN.
Entered Qty	Grand total of the Certificate quantities entered so far	C	Entered quantity should be equal to the Total quantity for successful setup.
Cert. Qty.	Total quantity entered so far for the certificate i.e. sum of the quantities for all the distinctive ranges setup so far	C	
Total Qty	Quantity of scrips in the Demat request	R	
Distinctive Numbers Range From -To	The start and end range of the DNR present in the certificate	U, M, Mo	The Distinctive Number Range is unique for an ISIN. DNRs which start with the alphabet 'R' indicate that the certificate under consideration has been previously <i>Rematerialized</i> .
Reason Code	Lock in reason code selected from the list of values available	M*, Mo	* Mandatory if the Quantity type is selected as Lock in for the Demat Request.
Description	Lock in reason or user defined description	M*, Mo	* Mandatory if the Quantity type is selected as Lock in for the Demat Request. Lock in reason and description can be different for each of the certificates setup for the request.
Expiry Date	Lock in expiry date	M*, Mo	* Mandatory if the Quantity type is selected as Lock in for the Demat Request. Should be a valid date greater than the current business date.

### Buttons Available

Name	Purpose	Hot Key
Ok	To add the Certificate details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C
Add	To add new Distinctive Number ranges	Alt + A
Modify	To modify the selected Distinctive Number range	Alt + M
Delete	To delete the selected Distinctive Number range	Alt + D

A maximum of 25 certificate details with 4 distinctive ranges each, can be setup for a single demat request. A Demat request can be setup for either lock in or free quantity. If quantity type is selected as Lock in then the Lock in details need to be specified.

Figure 7.4. Screen for Demat Request Setup with quantity under Lock in.

On successful Demat Request Setup, the Demat Request Number (DRN) generated will be displayed to the user.

## 7.4.2 Dematerialisation Inquiry

### Activation Options

Menu Name	Purpose	Hot Key
Demat > Inquiry > Online	To inquire details for Demat Requests which were setup in Online mode or have been successfully uploaded	Alt + D > I > N
Demat > Inquiry > Offline	To inquire details for Demat Requests which were setin Offline mode and have not yet been successfully uploaded	Alt + D > I > F

Dematerialisation (DP) - [Demat Request Inquiry (Online)]

Main Menu

**Selection Criteria**

DRN  
 DRE Number  
 Group Criteria

ISIN

BO ID

Setup Date  
From  To

**Demat Status**

DRF's Confirmed  
 Pending for Confirmation  
 All

OK Cancel

Host Connection **Online** Workstation **Online** DP ID **10100** Login **ADMIN** 03-Nov-2003 02:24:57 PM

Figure 7.5. Screen for Online Demat Request Inquiry showing the selection criteria available.

Dematerialisation (DP) - [Demat Request Inquiry (Offline)]

Main Menu

**Selection Criteria**

DRE Number

Group Criteria

ISIN

BO ID

Setup Date

From  To

OK Cancel

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Figure 7.6. Screen for Offline Demat Request Inquiry showing the selection criteria available.

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### Inquiry Selection Criteria

Selection Option	Fields	Selection Type
DRN	DRN	If selected, DRN needs to be specified.
DRF Number	DRF	If selected, DRF needs to be specified.
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>BO ID</li> <li>Setup Date From – To</li> </ul>	<p>If Setup Date From is specified, then To Date is mandatory and vice versa.</p> <p>If none of the fields are specified, then all records corresponding to the selected status are retrieved.</p>
Demat Status	<ul style="list-style-type: none"> <li>DRF's confirmed</li> <li>Pending For Confirmation</li> <li>All</li> </ul>	<p>Select <i>DRF's confirmed</i> option to retrieve all those demat requests that have been confirmed by the Issuer.</p> <p>Select <i>Pending For Confirmation</i> option to retrieve all those demat requests that have not yet been confirmed by the Issuer i.e. Requests with status as <i>Setup</i> or <i>Downloaded</i> or <i>Processed For Download</i>.</p> <p>If All option is selected, 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. Detailed inquiry on a specific request can be made by selecting the same.

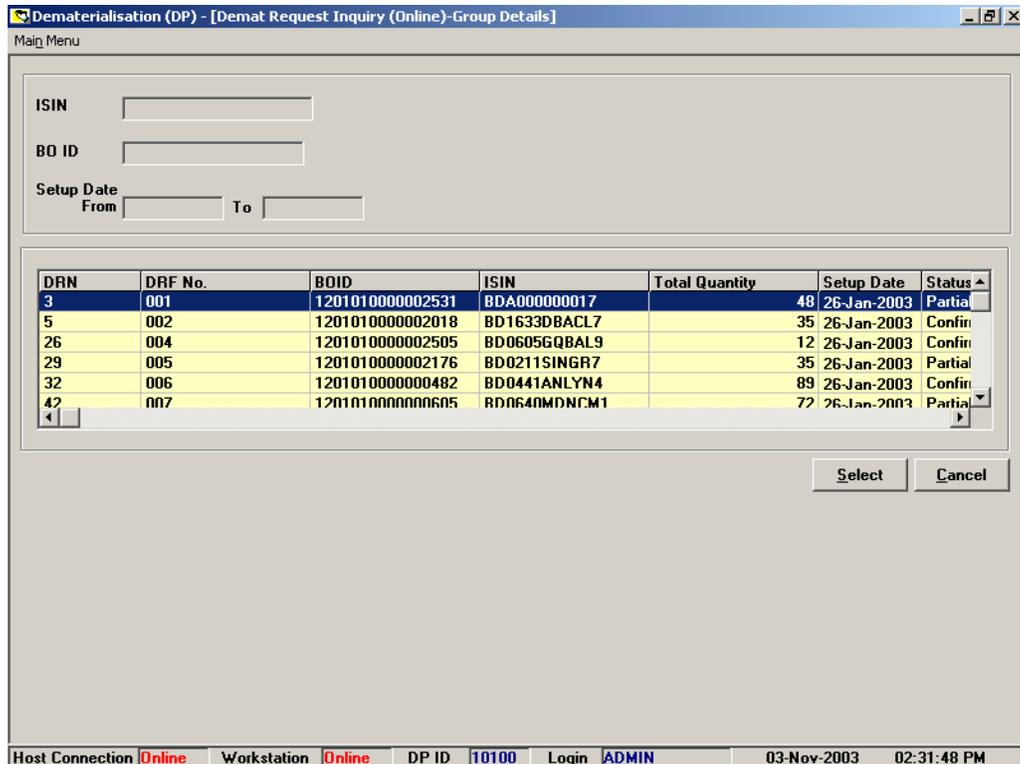


Figure 7.7. Screen for Online Demat Request Group Inquiry.

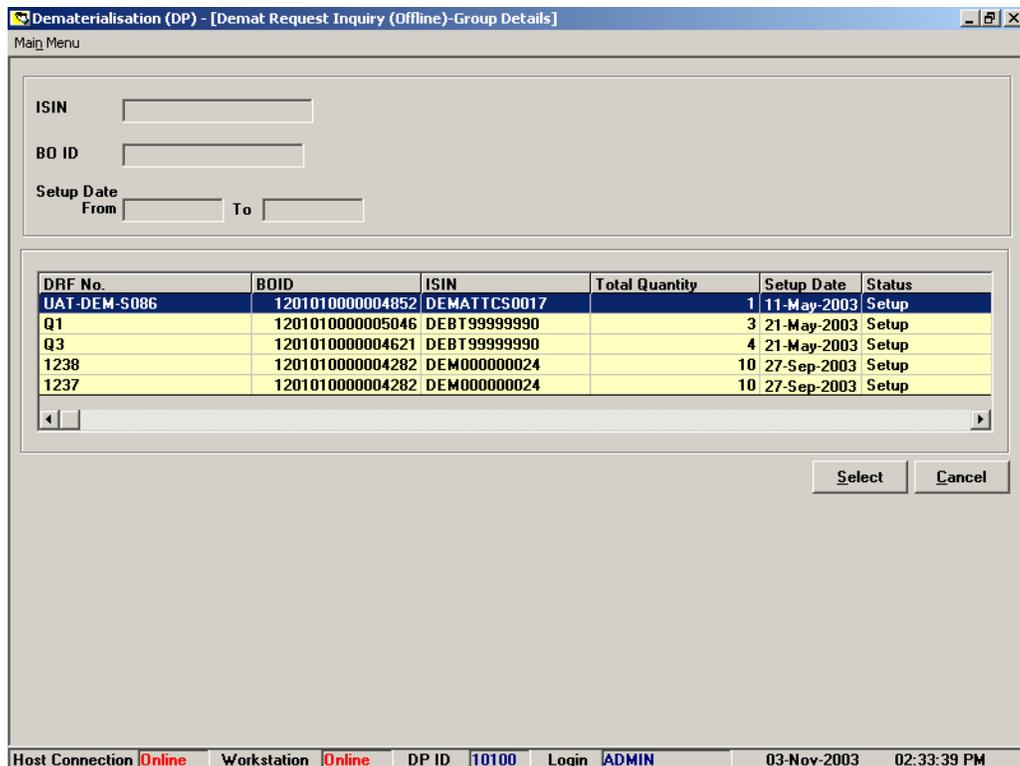


Figure 7.8. Screen for Offline Demat Request Group Inquiry.

### 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

Dematerialisation (DP) - [Demat Request Inquiry (Online)]

Main Menu

DRF No.  DRN  Status

BO ID  AKRAM MODH

ISIN  Demat & L & B ISIN

Quantity Type  Free  Lock-in Setup Date

Total Qty

**Courier Details**

Courier No  Courier Date

Courier Name

**Certificate Details**

Reg. Folio No.	Certificate No.	Quantity	Cert. Status
TE55	TE55	25	Rejected
TE55	TE56	25	Rejected
TE55	TE57	25	Rejected
TE55	TE58	25	Rejected

No. of Certificates  Total Cert. Qty.

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Figure 7.9. Screen for Online Demat Request Inquiry.

Dematerialisation (DP) - [Demat Request Inquiry (Online)]

Main Menu

DRF No.  DRN  Status

**Certificate Details**

BO ID

ISIN

Quantity Ty

Total Qty

Courier D

Courier No

Courier Nar

**Certificate**

Reg. F

Reg. Folio No.  Entered Qty.

Cert. No.  Cert. Qty.

**Distinctive Numbers**

Range From	Range To	Total
00000021401	00000021425	25

Total Qty.

**Quantity Matched**

Lock in Details

Reason Code  Expiry Date

Description

No. of Cert

Rejection Details

Accept  Reject

Code  Reason

Host Connection  Workstation  DP ID  Login  03-Nov-2003 03:18:30 PM

Figure 7.10. Screen for Online Demat Request Inquiry with Certificate Details.

Figure 7.11. Screen for Offline Demat Request Inquiry.

### 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	Indicates the current Status of the Demat Request	R	Different Statuses for a Demat Request are as follows: <i>Setup</i> – Demat Request was setup but has not been acted upon by the Issuer. <i>Downloaded</i> – Demat Request is being processed by the Issuer. <i>Processed For Download</i> – Demat Request is being processed by the Issuer. <i>Confirmed</i> – Demat Request has been confirmed by the Issuer. <i>Rejected</i> - Demat Request has been rejected by the Issuer. <i>Partial Confirmed</i> - Demat Request has been partially confirmed by the Issuer i.e. some of the certificates have been rejected.
Code	Rejection code	R	
Reason	Rejection Reason	R	

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### Buttons Available

Name	Purpose	Hot Key
View	To view the Certificate details for the selected record	Alt + V
Close	To return to the previous screen	Alt + C

### 7.4.3 Dematerialisation Modify

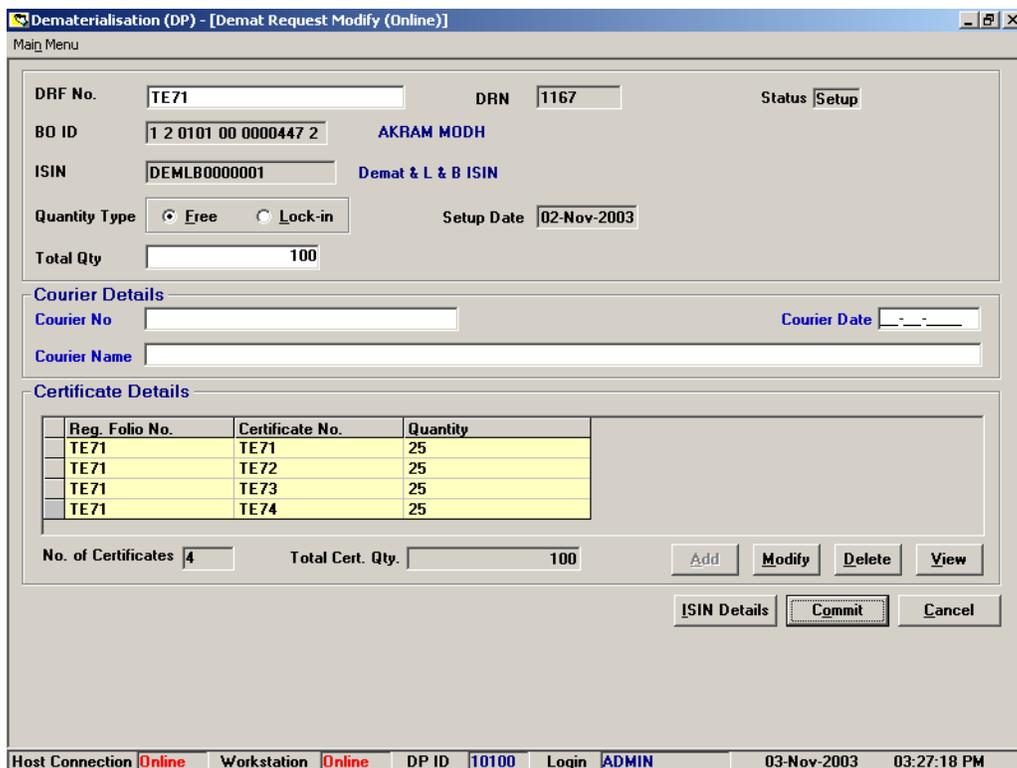
#### Activation Options

Menu Name	Purpose	Hot Key
Demat > Modify > Online	To modify details for Demat Requests which were setup in Online mode or have been successfully uploaded	Alt + D > M > N
Demat > Modify > Offline	To modify details for Demat Requests which were setup in Offline mode and have not yet been successfully uploaded	Alt + D > M > F

#### Modify Selection Criteria

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

Demat Requests, which have not been processed by the Issuer (i.e. Requests with Status as *Setup*) are only available for modification.



Dematerialisation (DP) - [Demat Request Modify (Online)]

Main Menu

DRF No.  DRN  Status

BO ID  AKRAM MODH

ISIN  Demat & L & B ISIN

Quantity Type  Free  Lock-in Setup Date

Total Qty

Courier Details

Courier No.  Courier Date

Courier Name

Certificate Details

Reg. Folio No.	Certificate No.	Quantity
TE71	TE71	25
TE71	TE72	25
TE71	TE73	25
TE71	TE74	25

No. of Certificates  Total Cert. Qty.

Add Modify Delete View

ISIN Details Commit Cancel

Host Connection Online Workstation Online DP ID 10100 Login ADMIN 03-Nov-2003 03:27:18 PM

Figure 7.12. Screen for Online Demat Request Modify.

Dematerialisation (DP) - [Demat Request Modify (Online)]

Main Menu

DRF No.  DRN  Status

BO ID  AKRAM MODH

ISIN

Quantity Type  Entered Qty.

Total Qty  Cert. Qty.

Courier Details

Courier No.

Courier Name

Certificate

Reg. F.	No. of Cert
TE71	
TE71	
TE71	
<input checked="" type="checkbox"/> TE71	

Distinctive Numbers

Range From	Range To	Total
00000021876	00000021900	25

Total Qty.

Lock in Details

Reason Code

Expiry Date

Description

Host Connection **Online** Workstation **Online** DP ID **10100** Login **ADMIN** 03-Nov-2003 03:29:24 PM

Figure 7.13. Screen for Online Demat Request Modify with Certificate Details.

## 7.4.4 Dematerialisation Delete

### Activation Options

Menu Name	Purpose	Hot Key
Demat > Delete > Online	To delete details for Demat Requests which were setup in Online mode or have been successfully uploaded	Alt + D > D > N
Demat > Delete > Offline	To delete details for Demat Requests which were setup in Offline mode and have not been successfully uploaded	Alt + D > D > F

### Delete Selection Criteria

Refer to Modify Selection Criteria

Demat Requests, which have not been processed by the Issuer (i.e. Requests with Status as *Setup*) are only available for deletion.

Figure 7.14. Screen for Online Demat Request Delete.

### Buttons Available

Name	Purpose	Hot Key
View	To view the Certificate details for the selected record	Alt + V
Cancel	To cancel the Delete operation and return to the previous screen	Alt + C
Delete	To successfully delete the Demat Request	Alt + D

## 7.4.5 Dematerialisation Upload

### Activation Options

Menu Name	Purpose	Hot Key
Demat > Upload	To upload Demat Requests which were setup in Offline mode	Alt + D > U

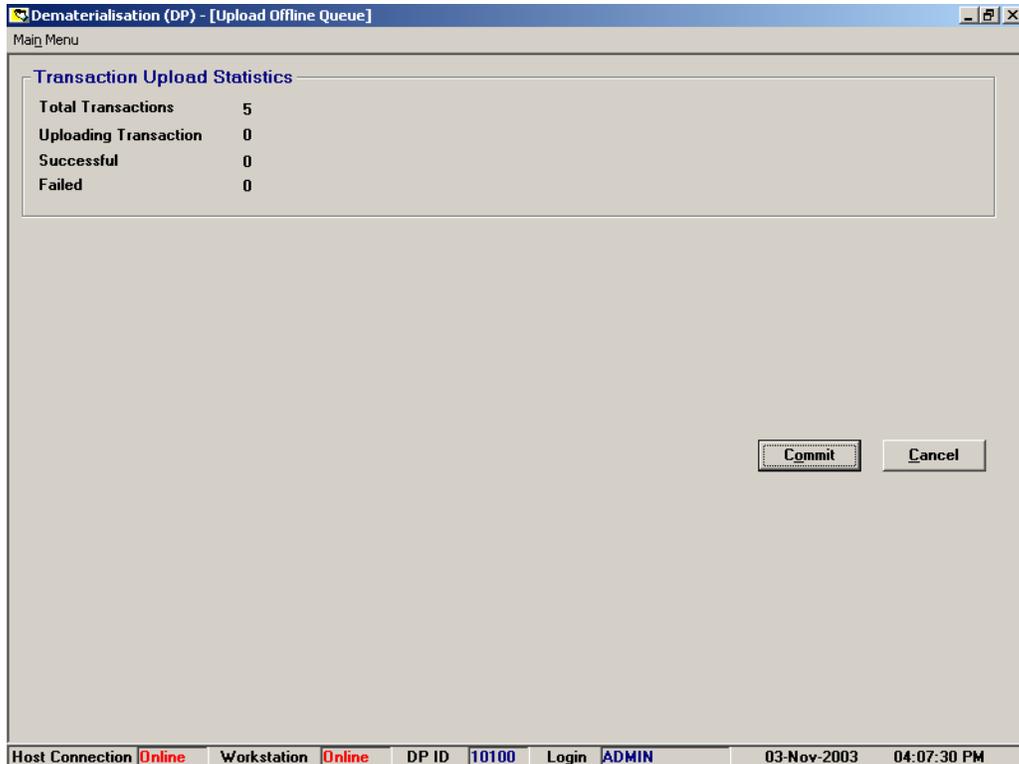


Figure 7.15. Screen for Offline Demat Request Upload.

### 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
Total Transactions	The total number of offline demat requests to be uploaded	R	
Uploading Transaction	The sequential number of the demat request being uploaded	R	
Successful	The total number of offline demat requests that have been successfully uploaded	C	
Failed	The total number of offline demat requests that failed to be uploaded	C	

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### Buttons Available

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

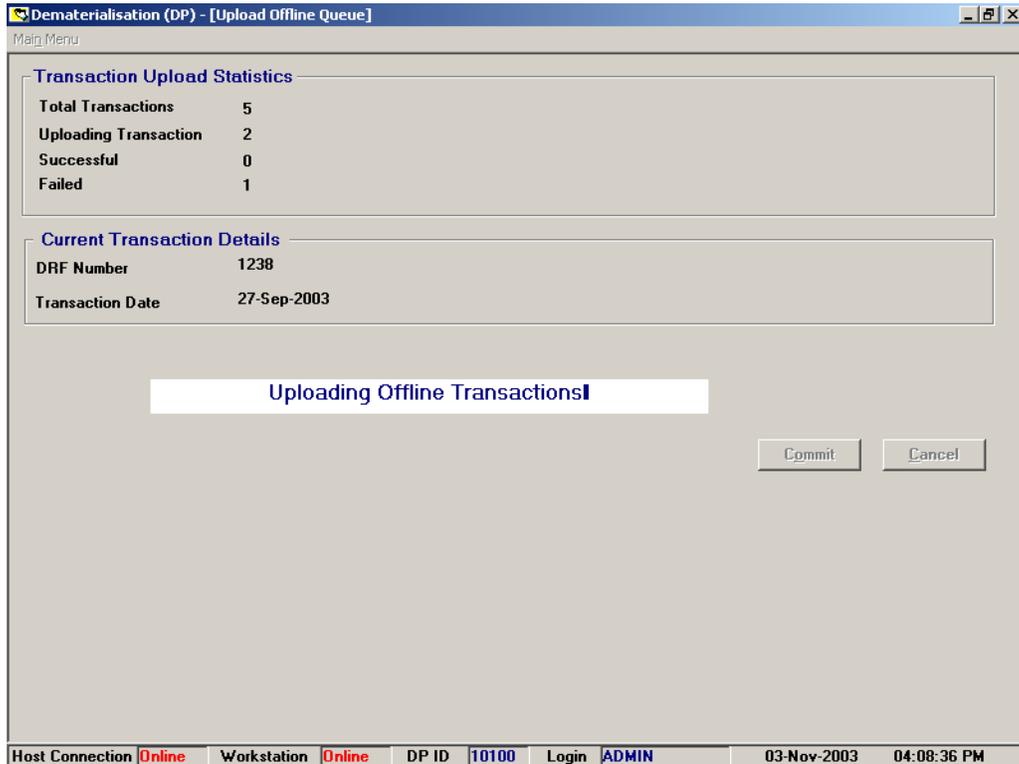


Figure 7.16. Screen for Offline Demat Request Upload while the upload transaction is in progress.

### 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
DRF Number	DRF Number of the Demat Request being uploaded	R	
Transaction Date	The current business date	R	

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## 7.5 Acknowledgements/Reports Available

### List of Acknowledgements

File Name	Availability
Demat Setup Acknowledgement For BO	On successful Demat request setup or on successful Upload of Offline Demat requests
Demat Setup Acknowledgement For Issuer	On successful Demat request setup or on successful Upload of Offline Demat requests

### List of Reports

File Name	Type	Availability
Failed Upload	Default	On upload of offline demat requests in case any request setup failed.
Demat Request Setup Today	Default	After EOD processing on Demat Setup date.
Demat Confirmed Today	Default	After EOD processing on Demat Confirmed date.
DRF Aging Report	Default	After EOD processing from the Nth day onwards, after the Demat Request has been setup but has not been acted upon by the Issuer, till the request has been confirmed/rejected by the Issuer, where N = DRF Aging days as defined by CDBL.