



**INDBANK MERCHANT BANKING SERVICES LIMITED**  
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**SERVICE BRANCH, CHENNAI-600 035**

DP ID IN300597 / IN303093 / IN300628 / IN300548



**OPERATIONS MANUAL AND  
PROCESS FLOW  
(DEPOSITORY OPERATIONS)**

# DP Operations Manual

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## OPERATION MANUAL AND PROCESS FLOW (DEPOSITORY OPERATIONS)

### INTRODUCTION:

The Depositories Act, 1996 was passed in the year 1996 in order to obviate the problems faced by the erstwhile settlement system on the Indian Stock Exchanges. This act provides for the establishment of depositories in securities with the objective of ensuring free transferability of securities with speed, accuracy and security. Two Depositories viz. NSDL (National Securities Depository Ltd) and CDSL (Central Depository Services Ltd) have come up to provide instantaneous electronic transfer of securities. A Depository holds securities (like shares, debentures, bonds, Government Securities, units etc.) of investors in electronic form instead of physical form. NSDL is the first and largest Depository in India, which was jointly promoted by NSE, UTI, IDBI and SBI. NSDL provides its services to investors through its agents called depository participants (DPs). Indbank Merchant Banking Services Ltd is one such Depository Participant approved by NSDL. These agents are appointed by NSDL with the approval of SEBI. Any investor who wishes to avail depository services must first open an account with a depository participant of NSDL. The investors should open a 'Demat Account' with any one of the DP to have their shares and other holdings in 'electronic' form.

### INDBANK MERCHANT BANKING SERVICES LIMITED (IBMBS LTD)

Indbank Merchant Banking Services Limited (Indbank) was incorporated in the year 1989 as a subsidiary of Indian Bank. Indbank is engaged in

- Merchant Banking
- Advisory Services
- Stock Broking
- Depository Participant Activities
- Distribution of Mutual Fund and other Investment products
- Online Trading

Indbank Merchant Banking Services Limited (IBMBS LTD), a subsidiary of Indian Bank, are a Corporate Member of National Stock Exchange (NSE), and is a SEBI registered Depository Participant (DP) attached to the Depository, viz, National Securities Depository Limited (NSDL), with a network of 57 terminals spread all over India. IBMBS LTD began its depository operations since 1996. IBMBS LTD provides the services of opening Demat Account (Beneficial Owner Account) for its customers. IBMBS LTD is having four separate Depository Participant Identification Numbers (DP IDs) at Chennai Office - DP ID IN300597 , IN303093, IN 300548 and DP ID IN300628.

**This Manual on Depository Operations sets out broadly the functional aspects need to be followed by IBMBS LTD in this line of activity.**

Any investor who wishes to avail depository services must first open an account with a depository participant of NSDL like IBMBS LTD to have their shares and other holdings in 'electronic form.

### TYPES OF ACCOUNT:

#### Beneficial Owner Account ( Ownership Account) :

- Individual
- Non- Individual

#### Clearing Member Account :

- Opened by a broker or a Clearing Member for the purpose of Settlement of Trades

#### Intermediary Account

- Opened by a SEBI Registered intermediary for Stock Lending and Borrowing

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Beneficiary Account is an account opened by investors to hold their securities in dematerialized form with a Depository and to carry out the transactions of sale and purchase of such securities in book-entry form through this depository system. The account is called “Beneficial Owner” (BO) account as beneficiary account holder is legally entitled for all rights and liabilities attached to the securities (i.e., equity shares, debentures, Mutual fund units , Government Securities etc) held in that account.

A beneficiary account can be in the name of

- ♣ Individual
- ♣ Corporate
- ♣ Hindu Undivided Family (HUF)
- ♣ Minor
- ♣ Bank
- ♣ Financial Institution
- ♣ Trust etc or
- ♣ The brokers himself for the purpose of his personal investments in demat form.

Only those who are eligible to become members of a company under the Companies Act can open a beneficiary account with IBMBS LTD. Thus, all legal entities **with the exception of partnership firms** can open an account in the depository system.

## ACCOUNT OPENING PROCESS:

. The account opening form and contents of documents are issued by IBMBS LTD are as specified by the Business Rules of NSDL.

The Customers have to fill up a printed Account Opening Forms provided by the IBMBS LTD. . The Account Opening form contains details such as the Name of the client, his/her address, contact telephone number, details of his/her Bank details, financial details of the client. Over and above, the application for account Opening contains a “Rights and Obligation Document”. Further, the account opening form contains a list / schedule of charges, the IBMBS LTD would charge and payable by the client. Apart from submitting the account opening form, the client has to submit Proof of Address (POA), Proof of Identification (POI), proof for the Bank details, Photocopy of Pan Card etc.

## CHECK LIST FOR ACCOUNT OPENING:

- ♣ Application Form- All the details are filled in BLOCK Letters , and Ensure that all compulsory fields in the account opening form are filled
- ♣ KYC form - All the details are filled in BLOCK Letters , and Ensure that all compulsory fields in the account opening form are filled
- ♣ Proof of Identity POI : An authorised Official of IBMBS LTD verifies the photocopies of the prescribed documents submitted with their corresponding originals.
- ♣ Proof of Address: POA: An authorised Official of IBMBS LTD verifies the photocopies of the prescribed documents submitted with their corresponding originals
- ♣ PAN: Photocopy of the PAN card submitted to be verified with the ORIGINAL PAN CARD. Also, the PAN details must be verified in the Income Tax Web site and to cross check the details collected from the clients with the details on the website.
- ♣ In-Person Verification to be undertaken by IBMBS LTD staff and the details of the verification to be recorded in the stamp affixed there in or in the appropriate column printed in the account opening form.
- ♣ In case of corporate, ensure a copy of Board Resolution of authorized signatories and to ensure proper authorization in case of power of attorney holder.
- ♣ Copy of cancelled cheque leaf with details such as Client’s name,Bank account number, Bank Name & Address, IFS Code and MICR number, should be provided
- ♣ IBMBS LTD give a copy of Rights and Obligation to the client.
- ♣ Ensuring the activation of the account before forwarding Client ID details to client.
- ♣ Inform settlement deadlines to clients.

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## TYPES OF APPLICATION FORMS:

For opening demat accounts and to facilitate efficient and error-free service to investors, separate forms are prescribed for individuals, HUF, and corporate clients / clearing member accounts.

- KYC and A/c. Opening form for Individuals
- KYC and A/c. Opening form for Corporates / Clearing Members

## DOCUMENTS FOR VERIFICATION:

- **For Individuals**

For the purpose of verification, all non-body corporate investors have to submit the following documents, as prescribed by SEBI, along with the stipulated account opening form.

A beneficiary account must be opened only after obtaining a proof of identity (POI) and proof of address (POA), Pan card copy/(ies) of the applicant/s. An authorized Official from IBMBS LTD will verify the photocopies of any of the following documents submitted with their corresponding originals and put his/her signature on them with remarks "verified with original" before proceeding to open the account.

(a) Proof of Identity (POI)

1. I. Passport
2. II. Voter ID card
3. III. Driving license
4. IV. PAN card with photograph
5. V. Unique Identification Number (UID) (Aadhaar)
6. VI. Identity card/document with applicant's photo, issued by
7. a) Central/State Government and its Departments,
8. b) Statutory/Regulatory Authorities,
9. c) Public Sector Undertakings,
10. d) Scheduled Commercial Banks,
11. e) Public Financial Institutions,
12. f) Colleges affiliated to Universities (this can be treated as valid only till the time the applicant is a student),
13. g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and
14. h) Credit cards/Debit cards issued by Banks.

(b) Proof of Address (POA)

**(Documents having an expiry date should be valid on the date of submission.)**

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy /Aadhaar Letter issued by Unique Identification Authority of India.
2. Utility bills like Telephone Bill ( Only land line ), Electricity bill or Gas bill  
(Not more than 2 months old- as on date of receipt for documents).
3. Bank Account Statement (along with copy of Cheque leaf )/Passbook – (Not more than 3 months old – as on date of receipt for documents)

Depending on the type of bank statement issued the following checks must be done:

- i. Original bank statement: The original bank statement is printed on the stationery of the bank, carries logo & name of the bank, displays the name and address of the Client.*
- ii. Copy of bank statement: In addition, the authorised official of the DP should verify the photocopy of the bank statement submitted with the corresponding original.*
- iii. Original Bank statement on plain paper (Computer generated):*
  - a. The bank statement clearly mentions the name and address of the Client.*
  - b. The bank statement is duly attested (signed and stamped) by the authorised official of the bank mentioning the name and designation of such authorized official.*

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c. Obtain a cancelled cheque leaf in original OR a photocopy of cheque and the authorized official of DP should verify the same with the original cheque.

d. Bank statement issued in electronic form:

a. Print out of the bank statement clearly mentions the name and address of the Client.

b. Obtain a cancelled cheque leaf in original OR a photocopy of cheque with the name of the Client pre-printed on it. However, in case of a photocopy of cheque it can be accepted provided the authorized official of DP verifies the same with the original cheque.

4. Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts
5. ID Card/document with address, issued by (a) Central/State Govt. and its Departments (b) Statutory / Regulatory Authorities (c) PSU (d) Scheduled Commercial Banks (e) Public Financial Institutions (f) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members
6. The proof of address in the name of the spouse may be accepted.
7. Acceptance of third party address as correspondence address in depository account. Client can also provide third party address as correspondence address in demat account provided all prescribed 'Know Your Client' norms are fulfilled for the third party also. The authorized Official from IBMBS LTD shall obtain proof of identity and proof of address for the third party.

In case of joint holdings, POI and POA documents must be collected in respect of all account holders.

## • Corporate Investors

For the purpose of verification, all corporate investors have to submit the following documents as prescribed by SEBI along with the stipulated account opening form.

1. Memorandum & Articles of Association (MOA & AOA) & Certificate of Incorporation.
2. Board resolution authorizing opening of demat account and specifying the names of the persons authorized by Board to operate the said demat account. The Board Resolution must specify the manner of operation of the account and authority given to the authorized signatories to open and operate the account.
3. Names of authorized signatories, designation along-with their specimen signatures and photographs, duly verified by the Managing Director or Company Secretary.
4. Proof of address of the corporate, evidenced by the document registered with Registrar of Companies or acknowledged copy of Income Tax Return or Bank Statement or Leave and License Agreement/Agreement for sale or Landline telephone bill / electricity bill /Pan card of the corporate entity.
5. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
6. Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
7. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
8. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
9. Copy of the Board Resolution for investment in securities market.

An authorized official of the IBMBS LTD will verify the proof of address with the original documents and affix his/her signature on the documents submitted by the Client, while exercising such due diligence.

An individual and body corporate can open a depository account in joint names. In case the first holder is an individual, the account needs to be opened in individual category whereas, if the first holder is a body corporate then the account type will be "Body Corporate.

## • Trust Accounts

The procedure and documents required for the opening of depository accounts in case of registered trusts/ public trusts, un-registered / private trusts and trusts established by organisations for providing terminal benefits to its employees is as follows:

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## Common Documents

- a) Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- b) Certificate of registration (for registered trust only).
- c) Copy of Trust deed.
- d) List of trustees certified by managing trustees/CA.
- e) Photograph, POI, POA, PAN of Trustees.
- f) **For registered trust** where a registration certificate is issued by a Statutory Authority under the provisions of the Bombay Public Trust Act, 1950 or The Indian Societies Registration Act, 1860, in addition to the above, Participants are requested as follows:
  - (i) Open the depository account under the category and in the name of trust
  - (ii) Obtain certified copy of following documents, in case any Client informs about the non-applicability of the relevant Public Trusts Act, or the Indian Societies Registration Act, in its specific case
    - Certificate of Registration granted under section 12AA of Income Tax Act, 1961.
    - Latest Income Tax Returns filed by Trust
    - Obtain certified copy of the resolution passed by the Board of Trustees giving the names of trustees authorised by the Board of Trustees to open and operate the depository account.
- g) **For Unregistered Trust**, in addition to the above, Participants are advised as follows:
  - (i) If the trustee(s) are individuals, then open the depository account in the individual name under the category 'Individual'.
  - (ii) In case the trustee(s) of the unregistered trust are corporations, companies or entities registered under the Bombay Public Trust Act, 1950 or The Indian Societies Registration Act, 1860, then open the accounts in their respective names. Participants should obtain certified copies of the resolution passed by such entities giving the names of the authorised official(s) i.e. trustee(s) who shall open and operate the depository account,
  - (iii) Only those securities that belong to the trust can be held in such a depository account. Securities belonging to the trustee(s) in their individual capacities will have to be held in separate depository account(s) of such person(s).
  - (iv) Where the depository account would be opened in the name of individuals, carry out the 'in-person' verification of such individuals and record the details of IPV as per the procedure laid out in point no. 1.2.1 (III) above.

- **HUF**

Normal demat a/c opening form for individuals along with soft copy of HUF declaration form. The following will be verified by the authorized official at IBMBS LTD

- a) Nomination not accepted in HUF account.
- b) Account shall be opened in the name of HUF as it appears in the Pan Card
- c) KYC documents in the name of HUF and KARTA
- d) PAN card of HUF & Karta
- e) No joint account permitted in HUF account
- f) Address proof in the name of HUF and KARTA
- g) List of Coparceners/ members
- h) Mandate letter from Co parceners

- **NRI Clients**

- **NRI Repatriable a/c opening procedure**

A duly filled in a/c opening form for INDIVIDUALS along with following mandatory documents will be collected.

- a) Passport
- b) Address proofs of both local and foreign address
- c) PAN CARD
- d) If the a/c holder is residing out of country then the Agreement in the a/c opening form and all the documents are to be attested by our embassy.
- e) RBI / Designated Bank approval required for Portfolio Investment Scheme

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- f) NRE – Savings Bank a/c
- g) With respect to 'in-person' verification of applicant(s) falling under the category Non-Resident Indian (NRI) / Foreign National (FN) who are not residing in India, DPs have to verify and ensure that;
- h) FATCA / FEMA Declarations
  - (i) the KYC documents (account opening form, Proof of Identity and Proof of Address) are duly signed by all the account holders,

(ii) the KYC documents are attested by the Indian Embassy/Consulate General of the country where NRI and FN is residing, and  
(iii) the attestation is to the effect that copies have been verified with the originals.

In case where '**in-person**' verification for these categories of Clients has been carried out by the staff of the IBMBS LTD, then NRI/FN would be exempted from obtaining attestation, as stated above.

- o **NRI Non Repatriable a/c opening procedure**

A duly filled in a/c opening form for INDIVIDUALS along with following mandatory documents will be collected.

- a) Address Proofs of both local and foreign address
- b) PAN CARD
- c) If the a/c holder is residing out of country then the Agreement in the a/c opening form and all the documents are to be attested by our embassy.
- d) NRO - Savings Bank a/c.
- e) Inperson Verification- Same procedure as Repatriable account opening
- f) All Joint Holders can be NRIs. Nominee can be NRI / Indian Resident
- g) RBI / Designated Bank approval required for Portfolio Investment Scheme.
- h) FATCA / FEMA Declarations

## PAN DETAILS OF CLIENT– MANDATORY.

In order to strengthen the KNOW YOUR CUSTOMER (KYC) norms and identify every participant in the securities market with their respective PAN thereby ensuring sound audit trail of all the transactions, it has been decided that PAN would be the sole identification number for all participants transacting in the securities market irrespective of the amount of transaction.

With effect from 01-4-2006, SEBI has made PAN card compulsory for all categories of investors for opening a demat account. In case of demat accounts held jointly; all account holders need to provide their self attested PAN cards. Original PAN Card needs to be produced to the DP for verifying the photocopy. In case of HUF, PAN copy of both Karta and HUF needs to be submitted.

## IN PERSON VERIFICATION:

At the time of opening depository accounts, the staff of the IBMBS LTD shall establish the identity of the applicant/s, guardian in case of minor account by verifying the photograph/s affixed in the account opening form as well, identity documents etc., with the person concerned in person. In case of joint accounts, in person verification is to be carried out for all the holders of the account.

Upon the applicant/s submitting the account opening form, POI, POA and PAN details, staff of IBMBS LTD follows the procedure as given below:

1. Verify the identity of the applicant/s (IPV compulsory for all the applicants in case of joint a/cs.
2. After due verification, affix a stamp on the face of the account opening form or on the document/s collected as POI to the effect that the identity of the applicant/s is verified '**In-Person**'. The stamp should carry the following details:
  - (a) Name of the DP and DP ID
  - (b) Name/Details of Branch/Service Centres,
  - (c) Details of the DP staff who has carried out 'In person' verification (Name, employee code, Signature),
  - (d) Date and place where 'In person' verification was carried out
  - (e) Signature of the applicant/s (signed in the presence of the DP Staff. In case of joint accounts, all holders should sign in the presence of the DP Staff.

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IBMBS LTD stamps or Prints the 'In-person' verification format details on the account opening form (). Such details may be stamped or printed on any page, as it may deem fit without making illegible the other details mentioned in the account opening form. However, attachment of separate sheet to the account opening form or affixing stickers on the account opening form carrying 'in-person' verification details **is not permitted**.

## **DETAILS OF BANK ACCOUNT :**

Details of bank account of the account holder, including the 9- digit code number of the bank and branch appearing on the MICR cheques issued by the bank have to be filled in the application form. Companies use this information for printing them on dividend/interest warrants, etc. DPs can accept any one or more of the documents given below can be accepted as proof of bank details:

- a) Specimen copy of cheque/cancelled cheque
- b) Copy of Bank Statement
- c) Copy of Bank Passbook
- d) Letter from Bank

The aforesaid documents must contain the following information to be acceptable as proof for bank details:

- a) Bank Name
- b) Branch Address
- c) IFSC/MICR code
- d) Name of account holder

## • **CLEARING MEMBER ACCOUNT:**

The entities that are authorized to pay in and to receive the pay out from a Clearing Corporation (CC) / Clearing House against trades done by them or their clients are known as Clearing Members. They are identified in the system through their CM-BP-ID. All pay-in and pay-out transactions are carried out through these accounts. There are two types of clearing members:

- ♣ All members of a stock exchange popularly known as brokers are clearing members.
- ♣ Custodians who are permitted by the Stock Exchange to act as a Clearing Member.

## **Procedure to open a Clearing Member Account:**

The steps undertaken to open the account are same as those of individuals, difference lies in the type of form and details to be filled in and documents to be submitted. The only major difference is that the clearing member has to first register itself with the clearing corporation and obtain a CC-CM-ID. The clearing account is identified by the combination of CC-CM-ID given by the clearing corporation, CM-BP-ID given by the depository and the Client-ID given by the DP.

Before opening a clearing account, IBMBS LTD sends to NSDL the clearing member's account opening form. The Depository NSDL then allots the CM-BP-ID. Based on the CM-BP-ID so allotted, the account gets activated. IBMBS LTD then generates Client-id and communicates the date of opening the account in DPM system to the depository.

Details to be filled in the form are:

1. Name of the Clearing Member
2. Company's short name, if any
3. Address of the Registered Office, Telephone number, fax number, e-mail, if any
4. Name and address of the authorized signatories, their designations and telephone numbers, status code, sub-status code
5. Bank account particulars, bank name and its branch, current account number, RBI reference number, RBI Approval date, PAN/GIR number
6. Signatures of Authorized signatories

A separate enclosure has to be attached to the account opening form specifying the following details:

1. Name and address of the clearing member



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2. Name and address of the clearing corporation
3. Clearing Corporation ID (CC-ID)
4. Clearing Member ID (CM-ID)
5. Stock Exchange Clearing Code
6. SEBI Registration Number
7. Trade Name
8. Copy of Board Resolution for authorized signatories should also be submitted.

- **INTERMEDIARY ACCOUNT:**

As per SEBI Regulations on Stock Lending and Borrowing, only an approved intermediary can lend and borrow stocks from clients. This intermediary borrows from lenders and lends to borrowers. Intermediaries registered with SEBI as approved intermediary may open an intermediary account with a DP of its choice, for executing stock lending and borrowing transactions made through them. An intermediary account may be opened only after obtaining registration from SEBI under an approved Stock Lending Scheme, and getting the approval of the depository for opening the account. The process of opening an intermediary account is same as for opening a corporate beneficiary account.

## **DP – Client Agreement Replaced by Rights and Obligation Document**

Any one intending to avail depository services was to enter into an agreement with IBMBS LTD. This Agreement is now being replaced by “Rights and Obligations of the Beneficial Owner and Depository Participant” document approved by SEBI.

The DP should provide a copy of Rights and Obligations Document to the beneficial owner and shall take an acknowledgement of the same.

This agreement sets out in contractual form the nature of services to be provided, rights and obligations of IBMBS LTD as well as the client, and the fees / charges payable for the services.

Rights and Obligation Document provides for the following

- a) Fees/Charges/Tariff
- b) Dematerialization / Transfer of Securities
- c) Statement of Account
- d) Manner of Closure of Demat account
- e) Default in payment of charges
- f) Liability of the Depository
- g) Freezing/ Defreezing of accounts
- h) Redressal of Investor Grievance
- i) Authorised Representative in case of Body Corporate
- j) Genera Law and Jurisdiction

A copy of Rights and Obligation has to be given to the client.

## **NOMINATION:**

1. Nomination can be made only by individuals holding BO a/c on their own behalf singly or jointly. Multiple Nomination facility is available . Upto 3 Nominees can be added to one demat account.
2. Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of power of attorney can not nominate. If the account is held jointly, all joint holders will have to sign the nomination form.
3. A minor can be nominated. In that case, the name and address of the Guardian of the minor nominee shall have to be provided by the beneficial owner.
4. Nominee shall not be a trust, society, body corporate, and partnership firm, Karta of a HUF or a POA holder.
5. Cancellation of nomination can be made by individuals only holding BO accounts on their own behalf singly or jointly by the same persons who made the original nomination.

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## KYC REGISTRATION PROCESS :

Account opening documents received through branches are thoroughly verified at Account Opening Department for corrections. Details are then captured and released in the DPM system for generating Demat account number. Once the account is activated, KYC details of account holder is being uploaded from DPM system to NDML's KYC registration login for registering KYC details to KYC Registration Agency. KYC form ( ) along with self attested copy of Pan card and address proof are being scanned and uploaded along with other details within stipulated time period.

Once the details are being approved by KRA, KYC status of the client becomes Registered. Such KYC details and scan copies are available for checking by all the members who are registered with KRA.

## Uploading of the KYC details with Central KYC Records Registry

Government of India has authorized the Central Registry of Securitization and Asset Reconstruction and Security interest of India (CERSAI), to act as, and to perform the functions of, the Central KYC Records Registry under the PML Rules 2005, including receiving, storing, safeguarding and retrieving the KYC records in digital form of a "client". Due to this, apart from uploading KYC details to NDML as mentioned above, KYC details of clients need to be registered with **Central KYC Records Registry (CKYCR)** also.

## DEMATERIALISATION:

One of the methods for preventing all the problems that occur with physical securities is through dematerialization (demat). Book entries are made electronically against securities that are cancelled. The share certificates are shredded (i.e., the paper form is destroyed) and a corresponding credit entry of the number of securities (written on the certificates) is made in the account opened with IBMBS LTD. As per SEBI circular, from 01.04.2019, any investor holding shares in physical form cannot transfer the shares unless the shares are dematerialized. So any investor who wants to liquidate the shares in physical form should get the shares demated.

An investor intending to dematerialise its securities needs to have an account with IBMBS LTD. The client has to deface and surrender the certificates registered in its name to IBMBS LTD along with a duly signed Dematerialisation Request Form. After intimating NSDL electronically, IBMBS LTD sends the securities to the concerned Issuer/ R&T agent. NSDL in turn informs the Issuer/ R&T agent electronically about the request for dematerialisation. If the Issuer/ R&T agent finds the documents in order, it registers NSDL as the holder of the securities and confirms to NSDL electronically. On receiving such confirmation, NSDL authorises credit to the relevant client account with IBMBS LTD.

The securities held in demat form are fungible. They do not bear any distinguishable features like distinctive number, folio number or certificate number. Once the shares are dematerialized, they lose their identification features in terms of share certificate distinctive numbers and folio numbers, certificate numbers etc.

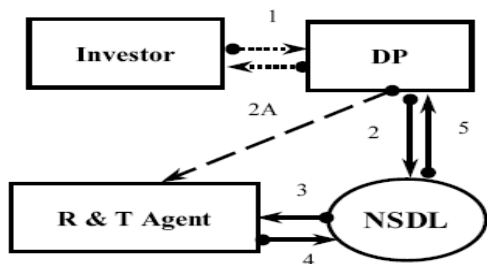
Each security is identified in the depository system by means of an International Securities Identification Number (ISIN), and a short name. A list of securities that can be dematerialized in NSDL depository is available with IBMBS LTD. Physical form of securities can be converted into book entry form in NSDL depository system only if the company which has issued the securities has entered into an agreement with NSDL to offer demat facility. That is,

1. The registered holder of the securities should make the request for demat
2. Securities to be dematerialized must be recognized by NSDL as eligible.

## Procedure:

A holder of eligible securities in the depository system may get his physical holdings converted into electronic form by making a request through IBMBS LTD with whom he has his BO a/c by submitting a Demat Request Form (DRF) duly filled in. Pre printed DRFs are available with IBMBS LTD which is available to its clients on request.

## Dematerialisation Process



- ♣ The client will first have to submit a request to his IBMBS Terminal in the Dematerialization Request Form for dematerialization, along with the certificates of securities to be dematerialized. Before submission, the client has to deface the certificates by writing "SURRENDERED FOR DEMATERIALISATION".
- ♣ IBMBS LTD provides DRF
- ♣ Client completes the DRF in all respects and submits to IBMBS Terminal along with the security certificates to be dematerialized
- ♣ Terminal Staff will verify that the form is duly filled in and the number of certificates, number of securities and the security type (equity, debenture etc.) are as given in the DRF. If the form and security count is in order, he/she will issue an acknowledgement slip duly signed and stamped, to the client after affixing received date seal in the request. The request for dematerialization should reach the RTA within 7 days from the date seal.
- ♣ Pink copy of the DRF is filed at the Terminal . Details are noted in DRF register maintained at the Terminal.
- ♣ Terminal Staff checks whether the securities are available for demat , punches two holes on the name of the company and draws two parallel lines across the face of the certificate . Then the details are entered into the DP back office system and DRF along with certificates are forwarded to Head Office.
- ♣ At Head Office, Service Branch processes the requests by checking the physical documents with data captured in the DP Backoffice by Terminal after referring to List of Distinctive numbers of certificates , ISINs with Long pending Demat request , Non responding - No service RTAs , Company Name change etc. Then electronic request is uploaded to NSDL system.
- ♣ IBMBS LTD despatches the physical certificates along with the DRF to the R & T Agent
- ♣ NSDL records the details of the electronic request in the system and forwards the request to the R & T Agent
- ♣ RTA, on receiving the physical documents and the electronic request, verifies and checks them. Once the RTA is satisfied, demat of the concerned securities is electronically confirmed to NSDL.
- ♣ NSDL credits the dematerialised securities to the Beneficiary account of the investor and intimates IBMBS LTD electronically which reflects in BOs holding statement.

## CHECK-LIST FOR ACCEPTING THE DRF

- IBMBS LTD-executive should check the correctness of the application filled-in on request of this process.
- The Demat Request Form should be filled in triplicate. The first form i.e the form in white should be filled in original, second and third copy can be carbonized.
- The Client –ID should be filled in the columns provided, one digit should be filled in one box.
- Should check the account status and check whether the certificates of the company which are submitted by the client are in demat or not (to avoid duplication of issue)
- The name pattern should be checked. For the shares that are held in single name, the account in which the shares are being credited also should be in the same name. For the shares that are in joint pattern, account also should be in joint pattern.
- Should check whether the certificates of the company which are submitted by the client are in demat or not. The registrars of the company are processing the demat requests or not should be checked.
- Demat Requests of the companies where the registrars are not processing, Companies identified as problematic should not be accepted.
- The security certificates sought to be dematerialized are attached to the DRF.

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- The certificates are not mutilated or defaced in a manner affecting any material Information.
- The name of the holder(s) on DRF and the certificates is exactly the same as in the BO's account in the DP system  
In case of minor mismatch in name additional documents explaining the difference in name may be obtained from the client - i. Copy of Passport / ii. Copy of legally recognized marriage certificate / iii. Copy of gazette notification regarding change in name / iv. Copy of Aadhar Card
- Details like security type, face value, paid-up value, pari-passu status, certificate numbers, distinctive numbers, number of certificates, total quantity securities and lock-in status are filled-in correctly.
- Separate DRFs have to be submitted for:
  - ⊙ Free and locked-in securities;
  - ⊙ Each ISIN;
  - ⊙ Securities locked-in for different reasons;
  - ⊙ Securities of different paid-up value; and
  - ⊙ For each client account.
- DRF is signed by:
  - ⊙ The sole holder in case of single holding;
  - ⊙ All joint holders in case of joint holdings;
  - ⊙ Constituted signatories in the case of corporate accounts;
  - ⊙ Power of Attorney Holder
  - ⊙ The signatures of the client as appearing on DRF should match with the signatures in the records of the DP. If the signatures do not match, the DP should satisfy itself about the identity of the client. If necessary, the DP may insist on attestation of DRF from bankers of the client. DRF should be signed by all the holders and match with specimen signatures. If the client has a signature registered with the company which is different from the specimen signature given to the DP, the client may be advised / allowed to affix both the signatures on the DRF.
- Deface the physical certificates with Surrendered for Demat seal and DP Id – DP Name - Client Id in physical Certificate and The certificates are mutilated by punching two holes at the top of the certificates by using normal office perforator.
- If any corrections are there on the form signature(s) of the account holder(s) is required.
- Issue to the client an acknowledgement slip duly signed and stamped .

## DRF REQUESTS REJECTION

There are two types of rejections in case of DRF's:-

- 1) Initial rejection
- 2) Rejection from R&T agent.

In case of initial rejection the system automatically generates the letters and the letters are dispatched to the concerned terminals.

In case of R&T rejections depending on the rejection reason the registrars may or may not send the certificates. After the rejection is received at IBMBS Head Office, the rejected documents are dispatched to the concerned terminals .

Terminal Staff on receipt of the rejection, intimates the client and the documents are handed over to the client when he visits the terminal.

## SAFE KEEPING OF RECORDS

Security certificates received from account holders for dematerialization at Terminal level are dispatched to Head office on the same date of receipt from customers.

Security certificates received from Terminals to be send to R & T and certificates received after rejection of the demat request from Issuer / Registrar & Transfer Agent are kept in a Safety Locker with double lock facility maintained at Service Branch.

## CONVERSION OF MUTUAL FUND UNITS REPRESENTED BY STATEMENT OF ACCOUNT INTO DEMATERIALISED FORM

An investor desiring to convert his/her existing Mutual Fund (MF) units represented by Statement of Account (SoA) into dematerialized form shall submit to the IBMBS LTD, a request for conversion Conversion Request Form (CRF) along with self attested copy of Client Master Report (CMR) and latest Mutual Fund Statement of Account (only the page of Transaction Statement reflecting the name and pattern of holding). The investor may efface (strike-off) the transaction/holding details so as to make them illegible.

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Upon the receipt of CRF from the investor , Terminal staff shall ensure that the units which the investor intends to convert is included in the list of units available for dematerialisation and the correct ISIN is mentioned on the CRF. Then the details are entered into the DP back office system and CRF along with other documents are forwarded to Head Office.

At Head Office, Service Branch processes the requests by checking the physical documents with data captured in the DP Backoffice by Terminal. Then electronic request is uploaded to NSDL system.

RTA, on receiving the electronic request, verifies and checks them. Once the RTA is satisfied, conversion of the concerned mutual fund units is electronically confirmed to NSDL.

NSDL credits the mutual fund units to the Beneficiary account of the investor and intimates IBMBS LTD electronically which reflects in BOs holding statement.

In case of any Internal rejection, documents are returned back to the Terminals, where the same are handed over to the client.

In case of RTA rejection, RTA directly sends rejected documents to client address.

## REMATERIALISATION / RECONVERSION OF MUTUAL FUND UNITS

Rematerialisation is the process of issuing physical securities in place of the securities held electronically in the book-entry form with the depository. Rematerialisation is the reverse of dematerialization. The BO desiring to receive physical security certificates in place of the electronic holding should make a request to the IBMBS LTD in the prescribed Rematerialisation Request Form (RRF) available with the DP .

Upon the receipt of CRF from the investor , Terminal staff shall ensure that the ISIN mentioned in the request is available in the holding of the client . Then the details are entered into the DP back office system and duly signed RRF is forwarded to Head Office.

At Head Office, Service Branch processes the requests by checking the physical documents with data captured in the DP Backoffice by Terminal. Then electronic request is uploaded to NSDL system. Then the RRF along with Client Master List is dispatched to the R & T Agent for further processing.

RTA, on receiving electronic request, verifies and checks them. Once the RTA is satisfied, physical share certificate is dispatched directly to the address of BO registered in RTA's records.

Handling of Rejections in case of Rematerialisation is same as that of Dematerialisation.

The process of Reconversion of Mutual Fund units held in the demat account of BO to Physical Statement of Account is same as that for Rematerialisation of securities . Instead of RRF , BO has to submit separate form for Conversion of Mutual fund units to SOA.

## REDEMPTION OF MUTUAL FUND UNITS HELD IN DEMAT ACCOUNT

The BO desiring to redeem Mutual Fund Units held in the demat account should make a request to the IBMBS LTD in the prescribed Redemption Form (Annexure H) available with the DP .

Upon the receipt of Redemption request from the investor , Terminal staff shall ensure that the ISIN and mentioned in the request is available in the holding of the client . Then the details are entered into the DP back office system and duly signed RRF is forwarded to Head Office.

At Head Office, Service Branch processes the requests by checking the physical documents with data captured in the DP Backoffice by Terminal. Then electronic request is uploaded to NSDL system. Then the Redemption request is dispatched to the R & T Agent for further processing.

RTA, the electronic request, verifies and checks them. Once the RTA is satisfied, Redemption proceeds are credited directly to the Bank account of the BO registered in demat account .

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## GUIDELINES FOR ISSUANCE OF DIS BOOKLETS

IBMBS LTD follows certain procedures stipulated by SEBI with regard to issuance and verification of Delivery Instruction Slips and Inter-depository delivery instruction slips (DIS). The DIS should bear pre-printed unique identification number (serial number), pre-stamped Client Id and the DIS book should contain a Requisition form for further issuance of a DIS book (as in the case of bank cheque-book).

### I. Issuance of DIS Books:

1. All DIS bear pre-stamped Client Id and pre-printed unique serial numbers.
2. All DIS books contain a Requisition form that bear pre-stamped Client Id.
3. Re-issuance of DIS book is strictly on receipt of Requisition form duly signed by all account holder(s). In case a Client reports that the Requisition form has been lost/misplaced/stolen, the Client should make a request on the prescribed format, signed by all the account holders(s) and submit the photo proof and latest statement, for issuance of DIS book
4. In case a request for issuance of DIS book is received through post/courier immediately (i.e. within 30 days) after change in the address, branches obtain an independent confirmation (by way of letter/e-mail/telephonic) from the Client(s) in this regard, before issuing the DIS book.
5. A "DIS Issuance Register" is maintained, which have details such as Client's name, Client Id, serial numbers of DIS (start and end), date of issue and mode of issue.
6. The DIS requisition forms which are received from the clients are send to Head Office and DIS booklet is dispatched to client's address directly from Head Office.

Branch Check list for DIS Reissuance requests

- Duly filled in DIS request form present in existing DIS Book let with Branch Seal.
- Request through written letter:
  - Request letter stating that client has lost his DIS requisition slip / DIS booklet
  - Photo Id proof of all the holders
  - Last DP statement received from Head office

## TRANSFER OF SECURITIES

A client having an account with IBMBS LTD has the facility to receive credit for purchase of securities in electronic form. Similarly, a client can sell its securities held in electronic form through IBMBS Ltd. For doing this, the client has to authorise the IBMBS Clearing Member to transfer balances from or to its account. In case a client sells its dematerialised securities, it must give a debit authorisation to the Participant in the form of a delivery instruction form. In the market trades, the client will be required to transfer its securities to the Pool account of the clearing member (either broker or custodian or any other as the case maybe).. In the market trades the client will be receiving securities from the Pool account of the clearing member to its account.

The source and target accounts may be with the same Participant (**intra DP**) or may be with two different Participants (**inter DP**).

### Intra-DP

Transfers executed between accounts held with the same Participant are intra-DP transfers. For executing an intra-DP transfer, the Participant, after checking the validity of debit instructions, needs to enter a single instruction in the DPM system.

### Inter-DP

Transfers executed between accounts held with two different Participants are Inter-DP transfers. For executing an inter-DP transfer, the Participant will enter the respective debit instructions in its DPM systems after checking the completeness and validity of the instructions. Transfer of securities in a depository system can be done both for **market trades** as well as **off-market trades**.

For transfer of shares from BO account, client has to submit duly filled delivery instruction slip issued to him/her to the Terminal. Upon the receipt of DIS from the client, Terminal staff shall checks the correctness of the DIS and availability of shares in holding of the client. Then the details are entered into the DP back office system. Physical DIS is scanned and scanned copy of the same is emailed to Head Office.

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## Inter - Depository

Transfers executed between accounts held with Depository Participants of two different Depositories are Inter-Depository transfers. Processing of IDT instructions are similar to Inter – DP transfers. Apart from the above ,whenever IDT instruction for transfer is received from Clearing Member/Trading Member account, client master of target client id/s to be obtained along with DIS to ensure that the target account does not pertains to Bank/NBFC.

A one-time self-declaration in the prescribed format to be obtained from the demat account holders that the transactions involved is a bonafide transfer instruction before executing IDT instructions in Government Securities in their demat accounts.

At Head Office, Scan copy of DIS is downloaded and details are checked with data captured in the DP Backoffice by Terminal and authorised. For all types of Offmarket transfers, client confirmation about the request for transfer is obtained by calling the client over phone. In case Dormant and High value transactions, second level authorization is done and the electronic request is uploaded to NSDL system where the actual transfer of shares happens between the Source client id to Target client id. High value transactions and one time transfer of more than 5 ISIN are processed after verification with the client.

## Branch Check list for processing Delivery Instruction Slips

- Branch Date Seal to be affixed.
- Check for Holding in Demat Account.
- Pending DP dues to be checked and recovered before giving acknowledgement to client.
- Signature Verification in Back Office.
- Counter signature for corrections to be obtained.
- Received late seal to be affixed for Off market transactions with Same day Execution date
- Authorised Signatory Seal for Corporate Accounts.
- Consideration / Purpose for Offmarket/Interdepository transactions.
- Details on Stamp duty collection for Off market Sale & Commercial Paper Issuance
- Inform client about OTP confirmation for Off market / IDT transactions.

- Reason Codes

Reason Codes	Description
1	Off-market Sale
2	Margin to stock broker / PCM
3	Margin returned by stock broker / PCM
4	Transfer to Own account
12	Buy-back
13	Open offer for Acquisition
14	Redemption of Mutual Fund Units - To be used for transfer of Mutual Fund Units from client BO account to AMC's BO account on account of redemption
15	Transposition – Between joint account of same holders - To be used for transfer of securities between joint account of same holders (order of holders different in both accounts).
16	Merger/ Demerger of corporate entity - For these types of transfers supporting documents needs to be provided by corporate entities to its DP
17	Dissolution/Restructuring/Winding up of Partnership Firm/Trust - For these types of transfers, supporting documents needs to be provided by transferor/ account holder(s) to its DP
18	Conversion of Depository Receipt (DR) to underlying securities and vice versa - To be used for transfer of underlying securities for issuance/cancellation of Depository Receipts
19	Trust to Beneficiaries/On HUF dissolution to Karta & Coparceners - For these types of transfers, supporting documents/ Deeds needs to be provided by transferor/ account holder(s) to DP
20	Certificate of Deposit Redemption - To be used for transfer of Certificate of Deposit (CD) from Investors account to the Issuers „CD Redemption Account“ at the time of redemption.
22	Commercial Paper Issuance -To be used for transfer of Commercial Papers (CP) from Issuing & Paying Agents (IPA"s) account to Investors account at the time of primary issuance.
88	Transfer between Minor Account and Guardian Account - To be used for transfer of securities between Minor Account and Guardian Account

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Reason Codes	Description
89	Transfer between specified family members - To be used for transfer of securities between specified family members: Participants should obtain the "relation" between the transferor and transferee & keep the same on record. Family members means relatives as given below: 1. Spouse, / 2. Father (including step-father), / 3. Mother (including step-mother), / 4. Son (including step-son) / 5. Son's wife, / 6. Daughter, / 7. Daughter's husband, / 8. Brother (including step-brother), 9. Sister (including step-sister) / 10. Members of same HUF.
90	Transfer between Partner and Firm, or Director and Company - To be used for transfer of securities between Partner and Partnership Firm in which he/she is a partner or transfer of securities between Director and the Company in which he/she is a director.
91	Payout - On payment for unpaid securities
92	Gift
93	Donation
94	Refund of securities by IEPF Authority
95	ESOP/Transfer to employee
96	Implementation of Govt./Regulatory Direction/Orders
97	Erroneous Transfer pertaining to Client Securities
98	Meeting Legitimate Dues of Stock Broker

- If client mentions Reason as Offmarket Sale / Sale (1), Consideration Amount is to be mentioned compulsorily and evidence of consideration details to be mentioned from the client such as Mode of payment which can be Cash, Cheque or Electronic payment, Date of payment and in case mode of payment is Cheque or Electronic payment, Transferee's name, bank account number and bank name, Transaction reference number for electronic payments or cheque number for cheque payments and details need to be captured in the system.
- Stamp duty to be either paid by client or by DP in case of Off market sale & Commercial Paper Issuance as per the shared procedure.
- DIS with same day execution should be captured in system before 4 O clock

## DIS SCANNING :

- After capturing DIS details in Back Office system, scanned DIS to be send to Service Branch through "disscan@indbankonline.com" .
  - **Specifications for DIS scanning**
    - a. Black & White format
    - b. Legible and clearly visible
    - c. Minimum recommended Dots Per Inch (DPI) - **100 DPI**
    - d. TIFF4'format only (.tiff file)
    - e. Maximum Size of the Image – 50 KB
- Despatch Original DIS to Service Branch after checking the status of transaction.

## DEMOGRAPHIC CHANGES (Changes in Client Details)

A client may change any of the following particulars in the depository system. All he has to do is to submit a request letter in writing to IBMBS Ltd for the changes to be made.

- Change in the Name of account holder
- Father's / Husband's Name (change from father's name to husband's name may be necessary on account of marriage)
- Standing Instruction facility (SI – An investor can activate / deactivate it)
- Address (both local as well as correspondence)
- Telephone Number – Mobile number
- Occupation details



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- Nominee details
- Bank details (clients may revise the bank details given by him before the record date to ensure that the dividend / interest warrants bear the correct bank details)
- e-mail addresses
- In case of NRIs, the RBI reference number and approval date.

Whenever a change in KYC details is received from the client, the request letter and supporting documents are checked by the Terminal Staff. Then the same is being forwarded to Head office. At Head office, Service branch first uploads the details to CKYC/KRA site against the Pan of the client and then the same is processed in DPM system at Service branch.

After the requested changes are effected in the BO account, communication is send to the BO through email and post.

While processing the requests for change of address, Bank details, change in signature, etc, IBMBS is collecting the following details from the client:

## Change of Address for individual clients:

- a. Request letter in writing (format enclosed in Annexure) for changing the address duly signed by all holders of the demat a/c.
- b. Address Proof for the new address (Copy of any one of the documents specified for a/c opening)

## Change of address for Corporate Clients:

The following procedure must be followed for effecting the change of address for Corporate clients:

1. A written application for change of address of the corporate entity, signed by all the authorised signatories must be received.
2. Proof of new address (Originals to be verified by us)
3. IBMBS Ltd must write a letter to the client to both old and new address for confirmation of new address.

## Change of Bank details:

1. Request letter from client
2. Cheque leaf copy with Client's name preprinted or
3. Latest bank statement or Passbook copy - where by Bank Account number, Account holder name, bank name, bank address, MICR code, IFSC code are present

## Change of Signature:

1. The client must make a request in writing specifying the reasons for change in signature
  2. New signature should be duly attested by the client's banker
  3. Client should visit IBMBS Ltd personally and produce valid proof of identity as well as the latest statement of its account.
  4. In the presence of IBMBS Ltd Officials, client should affix his/her new signature.
  5. An authorised Official of IBMBS Ltd., under his signature, verifies the id proof with the proof and photograph that were originally furnished at the time of opening the account and thereafter, if found satisfactory, make necessary changes in our records.
- All copies of documents submitted for proof are to be self – attested by the client.
  - For clients whose details are already registered with KRA, KYC Form to be submitted with “Change Request” (to be super scribed on the top of the form) and the modification to be made are highlighted with a tick mark
  - The above KYC Form with “change Request” will be forwarded to KRA/CKYCR electronically for modification of Client details in the KRA/CKYCR system.

## Addition / Change of Nomination:

In case of addition/change of Nomination, the procedure is that the client has to submit an application in the prescribed Nomination form ( Form 10 – Form for Nomination / Cancellation of Nomination). BO can add maximum of 3 Nominees for his/her demat account.

- **Any one** from (a) to (e) and provide details of the same

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- a. Photograph and Signature of Nominee is required
- b. Pan details of Nominee
- c. Aadhaar number Details of Nominee
- d. Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in B )
- e. Demat account details of nominee ( Copy of Client Master with NSDL/CDSL logo & Seal and signature of DP , if maintained with other DP )

The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of HUF, holder of POA cannot cancel the nomination. If the BO account is held jointly, all joint holders will have to sign the cancellation form. In respect of mandatory requirements for accepting the new nominee details in our system, it is similar to that when an account is opened.

## Change of residential status of individual Client :

In case any Resident Indian (RI) Client who is holding security in demat account which is opened under type 'resident' becomes Non-Resident Indian (NRI) , it is permitted for the change in type and sub-type of such account from 'Resident-ordinary' or 'Resident-promoter' to 'NRI non-repatriable' or 'NRI non repatriable-promoter' . Also Status change from NRI – Repatriable to Resident , NRI-Non Repatriable to Resident and NRI – Repatriable to NRI – Non Repatriable to allowed by submitting required documents

- A written request from the Client in the prescribed format (enclosed as Annexure A) for change in type
- Proof of bank details if change in bank details exists
- In case of change/update in local (Indian) address, foreign address, copy of proof of respective address/s

## TRANSMISSION & NOMINATION

The word "transmission" means transfer of title to shares in the event of Demat account holder's death. Person who is entitled to the title of shares by the above-mentioned event by submitting appropriate documents can seek transmission. If the securities are held in the depository system, documents have to be submitted to IBMBS LTD.

### Single Holder Without Nominee Details

In the event of death of the sole holder, if valid nomination has not been made, the claimants/ successors/legal heirs of the deceased can get the securities transmitted in their favour by submitting their claim duly supported by the relevant legal documents to IBMBS LTD.

The following documents have to be submitted by the client: -

- 1) The claimant should completely & correctly fill transmission form (Form 30)
- 2) Original / Notarized Copy of Death Certificate
- 3) A copy of the Succession certificate duly notarized or Or an order of a court of competent jurisdiction where the deceased has not left a Will; Or a copy of the Probate or Letter of Administration duly notarized

However, if the legal heir(s) or the legal representative(s) express inability to produce either of the documents mentioned and the market value of the securities held in each of the account of the deceased as on the date of application for transmission does not exceed Rs.5,00,000 then the Participant shall process the transmission request on the basis of the following documents:

- 4) Indemnity Bond (Non Judicial stamp paper & duly supported by Surety.)
- 5) Legal Heir-ship certificate.
- 6) No objection certificate from all legal heirs.
- 7) Letter of surety attested by bank manager.
- 8) An Affidavit made on appropriate non judicial stamp paper and Verification  
In case legal heir/claimant's holds demat account with some other DP, the client master list of that account with NSDL/CDSL Logo and seal and signature of that DP needs to be enclosed.

### Joint account

In case of Joint account the following documents have to be submitted by the client: -

- 1) Transmission form duly filled by the claimant.( Form 30 )
- 2) Original / Notarized Copy of Death Certificate

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- 3) In case death of one holder a new account has to be opened in the name of the Existing holder & the shares are to be transferred to his/her account.
- 4) In case of three holders (One is deceased), the new account is to be opened and the names of the holders have to be in same order as the previous account.

Incase surviving holders holds demat account with some other DP, the client master list of that account with NSDL/CDSL Logo and seal and signature of that DP needs to be enclosed.

## Single Account with Nominee Details

In case of single account with nominee:-

- 1) Death certificate duly notarized.
- 2) Transmission form filled by the claimant. (Form 30 )
- 3) Indemnity bond (Non Judicial stamp paper)

Incase Nominee holds demat account with some other DP, the client master list of that account with NSDL/CDSL Logo and seal and signature of that DP needs to be enclosed.

In case any ISIN in holding is under Suspended / Inactive / Locked in status, then the details are intimated to the claimant and required documents are forwarded to R&T and NSDL for further processing .

Once transmission of shares is completed Copy of Transmission form and related documents are scanned and uploaded to KRA site against the KYC details of the deceased client.

## PLEDGE & HYPOTHECATION:

The Depositories Act, 1996 permits the creation of pledge and hypothecation against securities. Securities held in a depository account can be pledged or hypothecated against a loan, credit, or such other facility availed by the beneficial owner of such securities. For this purpose, both the parties to the agreement, i.e., the pledgor and the pledgee must have a beneficiary account with NSDL. However, both parties need not have their depository account with the same DP.

If the lender (pledgor) has unilateral right (without reference to the borrower) to invoke the securities to his account if the borrower (pledgor) defaults or otherwise, the transaction is called a PLEDGE.

If the lender needs to inform the borrower (pledgor) before appropriating securities to his account, the transaction is called HYPOTHECATION.

### CREATION OF PLEDGE:

IBMBS LTD initiates a pledge / hypothecation on request from its client (pledgor) in the prescribed form (**Annexure W**). The form should contain all details like the details of securities to be pledged, the agreement number, closure date of the pledge, pledgee's details etc. IBMBS LTD verifies the form for completeness and validity and ensures that the securities to be pledged exist in the pledgor's demat account with it. If the form is complete in all respects, IBMBS LTD accepts the form for processing and issues an acknowledgement to the pledgor. IBMBS LTD enters the details of the request in the DPM as a pledge / hypothecation. On entering the details, an instruction number for the request is generated. IBMBS LTD then verifies it and releases the order to NSDL. Securities are then debited from the free or locked-in-balances and credited as pledged balances of the pledgor. IBMBS LTD intimates to the pledgor, the pledge initiation instruction number.

### CONFIRMATION OF PLEDGE:

Once a pledge request is created, the details are electronically communicated and displayed at DPM of pledgee's DP. Pledgee DP furnished the details to his client (pledgee) for confirmation. Then, the pledgee gives his acceptance or rejection of the same to his DP. His DP executes the order for acceptance / rejection in the DPM. Acceptance of the creation of pledge appears in DPM of pledgor's DP.

If Pledgee has given Standing Instruction Indicator for Auto Pledge Confirmation in its demat account, then pledge request created will automatically get Confirmed and the status will be updated as „Pledged“ without the need to submit Annexure 'W' form by the Pledgee for confirmation of pledge request.

### CLOSURE OF PLEDGE:

Pledgor gives a pledge closure request to his DP (IBMBS LTD). The request is forwarded to NSDL through DPM. NSDL forwards the same to Pledgee's DP. Pledgee DP intimates to its client (pledgee). Pledgee gives closure confirmation. Pledgee DP closes the pledge

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and pledge closure is forwarded to NSDL through DPM. Securities are moved from 'pledged' status to 'free' balance status in the pledgor's demat account. NSDL forwards the confirmation for pledge closure to Pledgor's DP (IBMBS LTD). IBMBS LTD intimates the closure of pledge to its client.

## MARGIN PLEDGE / REPLEDGE

To mitigate the risk of misappropriation or misuse of Client Securities available with the TM/CM/DP, wherein it was mandated that the acceptance of collateral from clients in the form of securities, only by way of 'margin pledge', created in the Depository system. Client/TM/CM will submit Margin Pledge / Repledge / Closure / Invocation request to DP (IBMBS LTD) .

For mapping of UCC with Demat account, if not mapped , Client submits request to DP in the prescribed format.

## HOLD ON SECURITIES :

If a Client wishes to create a negative lien on securities owned by him for non-disposal undertaking or non-disposal agreement, he shall make an application in prescribed form ( Form 39 ) to IBMBSL for creation of hold on the securities, who has his account in respect of such securities. If a Client intends to create a negative lien on securities owned by him for non-disposal undertaking or non-disposal agreement, he shall make an application to IBMBSL for creation of hold on the securities, who has his account in respect of such securities.

## FREEZING OF AN ACCOUNT

A client may request that his account be frozen by deactivating it. IBMBS LTD has a facility in the DPM to freeze an account. Once an account is frozen, all his/ her further transactions will be blocked. The account is frozen for any transaction thereafter, until it is reactivated on a request from the client. An account may be frozen for debits or for both debits and credits depending on the choice of the account holder.

### Procedure

- The client should submit a request to the Participant in the form vide **Business Rules Annexure P** for freezing its account.
- On receipt of the request form, IBMBS LTD will verify that the form is duly filled in and issue to the client an acknowledgment slip signed and stamped.
- IBMBS LTD will verify the signature of the client as on the form with the specimen available in its records.
- If the signatures are different the IBMBS LTD will ensure the identity of the client.
- If the request form is in order, the Participant will change the status of the client's account from "ACTIVE" to "SUSPENDED FOR DEBIT" or "SUSPENDED FOR ALL" depending on the choice of the client, from the date mentioned by the client on the form. The Participant will enter the reason for change in status as "request from the client".
- IBMBS LTD will intimate the change in status to the client.

## DEFREEZING OF AN ACCOUNT

A client whose account is frozen may request its Participant to defreeze its account by reactivating it. The Participant has the facility in the DPM to defreeze an account. The account is reactivated and transactions are allowed on the account thereafter.

### Procedure

- The client will submit a request to IBMBS LTD in the form vide **Business Rules Annexure P** for defreezing its account.
- On receipt of the request form, IBMBS LTD will verify that the form is duly filled in and issue to the client, an acknowledgment slip, signed and stamped.
- IBMBS LTD will verify the signature of the client as on the form with the specimen available in its records. In case of signature difference the IBMBS LTD will ensure the identity of the client.
- If the request form is in order, the Participant will change the status of the client's account to "ACTIVE", on the date mentioned by the client on the form. IBMBS LTD will enter the reason for change in status as "request from the client".
- IBMBS LTD will intimate the change in status to the client.

## SUSPENSION OF A CLIENT ACCOUNT

A Participant has the facility in the DPM to suspend a client account in case it receives a directive/order to the effect from NSDL, Income-tax or judicial authorities. The frozen holdings cannot be moved out of the account by the client. IBMBS LTD will intimate the client of suspension of its account.

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## CLOSURE OF ACCOUNT

**Closure on Client's Request:** IBMBS LTD can close a depository account on receipt of an application . The application should be made by the account holder / by all the joint holders. An account can be closed only when there is no balance in the account. In case there is any balance in the account sought to be closed, the following steps are necessary:

- a) Rematerialisation of all securities standing to the credit of the account at the time of making the application for closure or
- b) Transferring the balance to the credit of another account either with the same participant or with a different participant.

For closure of demat account with with transfer of shares to own account

- Duly filled in Annexure Q
- Client Master list with NSDL / CDSL logo and DP's seal and signature for Target Client Id.

However, where demat request/s are pending for disposal for a long time in a demat account and the client desires to close such an account, the following procedure is adopted by the client:

- Write a letter in the prescribed format to the issuer (with a copy marked to its Participant (IBMBS LTD) and respective RTA). Requesting for rejection of the pending dematerialization request/s and send fresh physical security certificate/s to the client directly.
- Enclose a copy of the dematerialization request generated from DPM system, duly signed and stamped by IBMBS LTD, along with the afore said letter to the issuer.
- Submit duly signed Demat cancellation form to IBMB Ltd

On receipt of copy of the letter from the Client, IBMBS LTD takes up the matter with the concerned Issuer and/or its RTA for rejecting the instruction expeditiously. After the pending demat request/s is/are rejected by the issuer and/or its RTA, IBMBS LTD closes the account of such Client. Before closing the account, the IBMBS LTD ensures that all pending transactions have been settled. The request for closure should be processed only after ensuring that there is no balance lying in the account.

**Closure by IBMBS LTD:** IBMBS LTD may also initiate closure of a client's account if the client has defaulted in performing its obligations laid out in the client-participant agreement / Rights and Obligations. The participant should give sufficient notice to the client before initiating closure of his account. The notice should clearly state the reasons for closure of account. The process of closing account in such a case is the same as that of client-initiated closure.

In case of Transfer cum closure , if any ISIN in holding is under Suspended / Inactive / Locked in status, then the details are intimated to client and required documents are forwarded to R&T and NSDL for further processing.

## CHANGE OF NAME IN THE BENEFICIAL OWNER (BO) ACCOUNT - DP

An individual BO may change his/ her name, by submitting **self attested copies** of following documents at the time of change of name of the individual in the BO account along with **Pan card Copy**.

SI No.	Reason for name change	Documents required
(a)	On account of marriage	(i) Marriage Certificate or (ii) Copy of Passport showing husband's name or (iii) Publication of name change in official gazette.
(b)	On account of reasons other than marriage	(i) Publication of name change in official gazette.
(c)	Change in father's name	(i) Publication of name change in official gazette.

In case of change of name of an individual in the **State of Karnataka and Punjab** for reasons other than marriage, following documents need to be collected :

- a. Request letter for change of name;
- b. Sworn affidavit executed before the Notary Public/ Magistrate of First Class/ Executive Magistrate mentioning the reason for change of name and his complete address;
- c. Paper publication in one local newspaper and one national newspaper; and
- d. KYC in changed name.

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## MINOR CORRECTION IN NAME

An individual BO may submit a request for minor correction in name in cases which include

Correction of spelling mistakes, if any, Expansion of the name by incorporating the fully expanded name and/or inclusion of the middle name, Abbreviation of name etc. A confirmation need to be obtained from the client that it is not a change in name of the individual for any reason including due to marriage, divorce, court order, etc. In case, an individual changes the spelling of its name for any reason including for numerology, etc., it will be considered as a change in name, and not a correction in name.

Written request must be submitted by the client (In case of joint account, request must be signed by the Client in whose name, minor correction is required) along with one of the following documents as proof of identity, which carries the correct name.

- a. PAN card
- b. AADHAAR card
- c. Passport
- d. Driving Licence
- e. Voter's identity card issued by the Election Commission of India
- f. Job card issued by NREGA

### A. Where minor correction of name can be done – E.g

Name in demat account	Name to be updated in demat account
R. S. Shah	Ramesh Sunder Shah
Ram Sevak Sharma	R. S. Sharma
Paresh Patil	Paresh Dashrath Patil
Sridhr Srinivasarao	Sridhar Srinivasarao

### B. Where correction of name cannot be done – E.g

Name in demat account	Name to be updated in demat account
Paresh Patil	Paresh Patel
Sunita Mukesh Gaikwad	Sunita More
P. S. Shah	S. P. Shah
Shekhar Rajan M	Rajan Shekhar P
Ram Kumar Sheth	Ram Kumar

## CHANGE OF NAME IN THE BODY-CORPORATE ACCOUNTS

In case the entity is registered under the Companies Act, 1956

- i) Letter requesting for change of name signed by the authorized signatories.
  - ii) Certified true copy of fresh certificate of incorporation consequent upon change of name issued by the Registrar of Companies.
  - iii) Certified true copy of Board Resolution for change of name.
- (a) In case of other corporate entities,
- i) Letter requesting for change of name signed by the authorized signatories.
  - ii) Certified true copy of Board Resolution for change of name.
  - iii) Certificate of registration issued by SEBI / relevant Statutory Authorities, as applicable.
- (c) In case of amalgamation / scheme of arrangement of the entity registered under The Companies Act, 1956,
- Obtain the following documents:
- i. Letter requesting for change of name signed by the authorized signatories specifying the details of the depository account.
  - ii. Certified true copy of court order sanctioning the amalgamation /scheme of arrangement.
  - iii. Certified true copy of Form 21 filed with Registrar of Companies (RoC) as required under section 394(3) of The Companies Act, 1956 alongwith certified true copy of challan of payment made to RoC as generated from the website of Ministry of Corporate Affairs viz.; <http://www.mca.gov.in/MCA21/>.
  - iv. The KYC Application Form alongwith the supporting KYC documents as stipulated in the SEBI Circular No. MIRSD/SE/Cir-21/2011 dated October 5, 2011 for the transferee company/resulting entity. In case the KYC details of the transferee/ resulting entity are already registered with any of the KRA, as per Regulation 16 (b) SEBI {KYC (*Know Your*

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*Client) Registration Agency} Regulations, 2011 “When the client approaches another intermediary subsequently, it will be optional for the intermediary to verify and download the client’s details from the system of KRA or to take fresh KYC as per existing system”.*

## **PROCEDURE TO BE FOLLOWED IN CASE CLIENT IS NOT ABLE TO SIGN DUE TO REASONS SUCH AS PARALYSIS, PARKINSONS, HEMIPLEGIA, OLD AGE, ETC. (OPERATION THROUGH THUMB IMPRESSION)**

- (a) A written request stating that the Client is unable to sign specifying the reason therein. The Client need to affix his/ her thumb impression on the written request. A Magistrate, a Notary Public or a Special Executive Magistrate must attest Thumb impression of the Client.
- (b) A medical certificate issued by an appropriately qualified doctor which clearly states that the Client is unable to sign, the reason for the same and period since the Client is unable to sign.
- (c) Operation Of Depository Account In Case Client Is Unable To Sign Form duly filled by two persons in the terminal.

## **POWER OF ATTORNEY:**

The client at his/her discretion can authorize either IBMBS or any other individual to execute the transfer of shares, which shall be made from the client’s Demat account in respect of shares sold by him in the market.

- **Power of Attorney (to IBMBS)**

For this purpose the client/s will have to sign a duly stamped power of attorney form issued by IBMBS Ltd., which will be entered into our back office system After this process is complete the client need not issue any delivery instruction form to our DP for the sale / transfer of shares made by him through IBMBS Ltd. This process is applicable only for Market trades through IBMBSL and for the off market transactions, the existing procedure of submission of DIS by the client will continue. PoA must not be obtained in a capacity as a Participant. PoA can be taken in any other capacity such as a stock broker only.

- POA in favour of IBMBS Ltd :-
  - Duly filled in POA form
  - SMS alert request ( if not already available)
- **Power of Attorney (to Individuals)**

This is a facility which can be utilized on one’s convenience. The client can authorize any individual of valid legal status to act on behalf of him, for any transaction done or to be done by him. For this purpose a general power of attorney can be executed by the client in a stamp paper of appropriate value, with a specific reference to the operation of His/Her Demat account. It should include a specific reference with respect to his/her demat account number that is maintained with the Depository Participant IBMBS Ltd.

- POA in favour of Third Party :-
  - Request letter duly signed by the BO
  - Notarised copy of POA Agreement copy with NSDL Clause
  - Photo Id proof of POA holder

## **FUNCTIONS AT IBMBS LTD BRANCHES/TERMINALS**

### **For Account opening:**

The Branch Officials / Heads on receipt of account opening forms from their clients, have to scrutinize them and satisfy themselves as to all stipulations laid down by NSDL for account opening have been fulfilled. (Please refer Check List for account opening). They have to keep a record of forms sent to HO for account opening. On activation, they have to record the date of activation in their register. At any point of time, the branch can verify this register and can ascertain whether all the account opening forms sent to HO have been

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activated and if some accounts are not activated, they can correspond with HO and get the account activated. This kind of reconciliation can be exercised at the branch level on a regular interval, for example, say, every week or on the last day of each month.

## For Delivery Instruction Slips:

On receipt of Delivery Instruction slips from their clients (for both market and off market delivery), branch has to

- Verify the slip for validity, whether sufficient stocks are available as mentioned in the slip, whether it is duly signed by all the account holders and verify the signature and ensure whether they tally with the specimen signature available in the system.
- Verify whether all columns of the slips are filled in including the ISIN of the stocks to be transferred.
- Whether the market type for which securities are being transferred to the clearing member account and CM-BP-ID Number are recorded in the slip in appropriate places.
- Ensure that alteration, if any in the DIS, is duly authenticated by all account holders
- If everything is OK, then the branch has to affix the date stamp, record the time of receipt on the DIS and give acknowledgement (second copy of the DIS) to the client.
- All the instructions are entered by 'maker' in the back office "Share Pro" system and is being emailed to HO for verification.
- Branch dispatches all original DIS to the HO (all these instructions would have been released and the stocks / securities would have been already moved from the respective demat accounts) on a weekly basis and keeps records of the DIS sent to HO. HO keeps track of all the Originals and ensures the receipt of the same, within a week time.

## For Demat Request Forms:

As and when the DRFs are received from clients, the branch officials verifies the DRFs as to

1. whether all columns are duly filled in the DRF
2. whether the share certificate are available for dematerialisation.
3. whether the quantity given in the DRF and the certificates submitted tally
4. whether the names given in the certificates and that given in our demat account coincide
5. whether the signatures given in the DRF tally with the specimen signatures available with the branch in the system.
6. whether the certificates are defaced by the client by mentioning on it, **"surrendered for dematerialization"**.

The branch officials enter the details in the back office system and verify the same by another Officer having 'checker' rights. The DRF (original) is sent to HO along with the original certificates on the same day.

On receipt of the DRFs enclosed with the relevant share certificates from the branches, at HO level, the Officials verifies the details once again in the system and releases the details and dispatches the certificates with the DRFs to the respective R & T for dematerialization, the details of which are already discussed in the manual.

## REGISTERS TO BE MAINTAINED BY BRANCHES

Respective Branches maintain separate registers to record the details of opening Demat accounts that are opened from their end. In addition to the above, the branches also ensure that they maintain the following records:

1. Delivery Instructions Slip request Register copy should be forwarded to Head office.

**MONTHLY REPORT ON DIS RE – ISSUANCE INWARD REGISTER**

(eg: the month of .....

BRANCH NAME					
S No.	Date of receipt	Client Id	Client Name	Signature of client	Signature of bearer ( if presented thro' bearer )
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					



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2. In person verification Register copy to be forwarded to Service Branch

### In-person verification Register

(Report for the month of .....).....Branch / Terminal

Sl. No	Name of Applicant (Sole / first holder)	Date of Receipt of Application Form	Name of staff who carried out 'In-person verification'	Designation of staff	Date of 'In-person verification'	Place of 'In-person verification'	Signature of the staff	Demat A/c Number
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

Signature of Branch In-Charge

3. DRF (Demat Request Form) Register maintained at the branch level, highlighting the details of Demat requests received from clients are forwarded to Service Branch on a monthly basis by means of MIS
4. The details of the Record of stamp paper / forms (in the agreement of account opening forms) are being submitted to Service Branch on a monthly basis
5. Details of complaints, if any, in respect of account opening, DIS Books issued, DIS execution, DRF, any other matter received from clients are submitted to Service branch as an MIS.

## BILLING AND COLLECTION OF DP CHARGES

DP charges will be intimated to the clients when the client drops in for opening of the account and also through the bill statements that are sent to the clients at the beginning of each month. The Annual Maintenance Charge (AMC) is billed up front at the time of opening a demat account for that financial year (April of current year to March of next year) and for the subsequent financial years, the AMCs are charged / billed to all demat accounts (with holding available in their demat accounts as on 31<sup>st</sup> March of this year). For “Nil” holding accounts as on 31<sup>st</sup> March, the AMC is not charged / billed for the current financial year until a transaction takes place in this account. Eligible accounts are identified and converted to BSDA during Billing Cycle. Collection of DP charges is entered into DP Back office at branch level itself. The DP charges can be debited from the client’s trading account if he/she is having an active trading account with IBMBS, Chennai.

## HOLDING AND TRANSACTION STATEMENT

Transaction cum billing statement is dispatched from Head Office , for all the clients who have transacted during the month. Consolidated Account Statement is being dispatched by NSDL / CDSL to all the clients .

## BOD & EOD PROCESS:

The entire process of EOD & BOD depends on the successful status of Communication, transmit interface and receive interface between IBMBS LTD and NSDL.

- **Beginning of Day (BOD):** “BOD in Process” is the first message for the Day sent from NSDL DM to all Business Partners (DPM Set-ups). Only after this process is over, the System status becomes as Regular Operations, and normal work can be commenced i.e. releasing (communicating) of all instruction will take place.
- **Regular Operation:** This process is commenced after the completion of BOD process. Post which, the day operations are carried out till 8.00 p.m, after which no “verify & release” can taken place.
- **Regular Operation End:** This process starts at 8.30 pm, post which no DPM operations will be carried out.
- **End of Day (EOD):** This is the last message for the day sent from NSDL DM to IBMBS LTD. Once EOD is received, communication between NSDL and DP will stop due to which transactions cannot be transmitted to NSDL. However, IBMBS

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LTD can capture and verify the instructions for the next day's transaction. After EOD is completed, the status changes to 'Business Ended'.

- **Business End:** Exchange of messages between NSDL and DPM set up will be terminated.

## SPEED-e & IDeAS

**SPEED-e** is a common Internet Infrastructure that enables the DPs to provide depository services to their clients. The Demat account holders (including Clearing Members) subscribing to this facility can submit delivery instructions to their DPs through **SPEED-e**. Website: <https://speed-e.nsdl.com>, instead of submitting delivery instruction slips (in paper form) to their DPs.

The users of **SPEED-e** can also check latest balances and transactions in their demat accounts through a facility called **Internet-based Demat Account Statement (IDeAS)** and monitor the status of execution of instructions.

IDeAS can be availed by any demat account holder of Indbank, including Clearing Members (CMs). One can avail IDeAS as a Password or as a Smart Card user. The IDeAS facility has been enhanced to enable Clients to register for IDeAS through Register Online for IDeAS facility. Using this facility, Client can register for IDeAS facility directly on e-Services website (<https://eservices.nsdl.com>) and start using the same. This facility can be availed by only those clients who have registered mobile number in DPM system for at least one of the account holders.

- **For Beneficiary Account holders**

**Register as a password user:** Client should fill-up an online registration request for IDeAS/Speed-e at SPEED-e website, choose his /her own User-Id & password and submit duly signed print-out of the form to IBMBSL. Based on the online request and the form submitted by the Client, IBMBS LTD authorizes the request and thereafter with the User-Id and password, a Client can start using IDeAS/ Speed-e. Alternatively, Online process of on-boarding password based users on SPEED-e facility is available for individual clients to register for SPEED-e facility based on OTP authentication.

**Register as a Smart Card User:** To register as a smart card user, the client can download the 'Application form for IDeAS' from SPEED-e website or obtain it directly from IBMBSL. The client has to fill-up all particulars and submit the form duly signed to IBMBSL. The client will then be issued a User-Id and a Smart Card Kit, DSC and PIN. The client can start using IDeAS, on the Installation of Smart Card Kit on to the client's computer and with the use of User-Id, DSC and PIN.

- **For Clearing Members**

**Register as a password user:** The client (Clearing Member) needs to fill-up the Application form and Terms & Conditions for accessing IDeAS, which is available on SPEED-e website (<https://speed-e.nsdl.com>) and send it to NSDL after obtaining DP's attestation along with the IDeAS Annual Fee. NSDL will provide the User-Id and Password after which the client (clearing member) can start using this facility.

**Register as a Smart Card User:** In case client (clearing member) wishes to register as a smart card user, the client (clearing member) should fill up the application form for IDeAS, get it attested from IBMBSL. NSDL will issue smart card kit, and client (clearing member) should submit the form along with the smart card to NSDL. NSDL will assign User-Id and issue DSC & PIN. After installing the smart card kit, and use of User-Id, DSC and PIN, client can start using IDeAS.

Now through IDeAS Login Clients can subscribe for consolidated account statement through email (i.e. e-CAS) and update the email ID in demat account where Client wishes to receive e-CAS. Clients are also able to view the e-CAS which is sent by NSDL to Client in previous twelve months. Option to apply for Margin Pledge facility is available in IDeAS Login.

## BASIC SERVICES DEMAT ACCOUNT ( BSDA )

### 1. Eligibility:

- All the individuals who have or propose to have only one demat account where they are the sole or first holder shall be eligible to have a BSDA provided that the value of securities held in the demat account does not exceed Rupees Two Lakhs at any point of time.
- An individual can have only one BSDA in his/her name across all depositories (CDSL & NSDL).
- However, an individual who is a second or third holder in a regular demat account, shall open a BSDA in which he/she is a sole or First holder.

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## 2. Option to open BSDA:

- In order to facilitate the eligible individuals to avail the benefits of BSDA, DPs were instructed to convert all such eligible demat accounts into BSDA .
- Client can opt to continue to avail the facility of a regular demat account by submitting a request letter to DP.

## 3. Charges:

- The Annual Maintenance charges (AMC) structure for BSDA shall be on a slab basis; if the value of holding is
  - upto Rs.50,000 there will be NIL AMC and
  - for value of holding from Rs.50,001 to Rs.2,00,000 AMC will be Rs.100
- The value of holding will also include value of Mutual Funds.
- If the value of holding in such BSDA exceeds Rs.2,00,000/- at any date, charges as applicable to regular accounts (AMC due for Non-BSDA) will be levied from that date onwards.
- Eligibility of the clients at the end of every billing cycle will be reassessed and option will be given to the clients who are eligible to opt for BSDA.

## 4. Services for BSDA:

- Transaction Statements: Transaction statements will be sent to the clients at the end of each quarter only. No statement will be sent in case of Nil transactions during that quarter.
  - Holding Statements: One annual Holding Statement will be sent.
  - Charges for statements: Statement through e-mail will be sent freely. In case of physical statement, two statement will be sent free of cost during billing cycle. Additional physical statement will attract a fee of Rs.25 per statement.

## Role of Branches / Terminals:

- Branches/Terminals to collect request letters from those new clients (format enclosed) who opt for BSDA and forward the same to Service branch Chennai along with Account opening form.
- In case of existing Regular Demat Account holders who opt for BSDA, Branches/Terminals to collect request letter and forward the same to Service Branch Chennai during our next AMC billing cycle i.e. April every year.
- Request letters dispatched to Service Branch to accompany duly signed DP service charges sheets of BSDA and Regular DP Account and details about mobile number if not already registered in Demat account.
- As per recent circulars from SEBI / NSDL , Service branch will assess the eligibility of Demat a/cs for BSDA and automatically convert eligible accounts to BSDA during every month DP Billing .

### BASIC SERVICES DEMAT ACCOUNT (BSDA) – Schedule A

SCHEDULE	BSDA ACCOUNTS
Account Opening	Nil
Custodial Fees	Nil
Purchase Transaction	Nil
Market Sales Transaction	<b>Sale through IBMBSL-</b> 0.04% of the transaction value subject to a minimum of Rs.25/- Per ISIN
	<b>Sale through other broker-</b> 0.05% of the transaction value subject to a minimum of Rs.40/- Per ISIN
Off-Market Transaction	<b>Transfer within IBMBSL DP-</b> 0.04% of the transaction value subject to a minimum of Rs.25/- Per ISIN
	<b>Transfer to outside DP-</b> 0.05% of the transaction value subject to a minimum of Rs.40/- Per ISIN
Annual Membership Charges	For Debt Securities
a) For those clients who have given consent for sending transaction and other statements through e-mail	Value of Holding upto 1,00,000 - NIL AMC
b ) For those clients who require the transaction and other statements to be sent through post	For value of holding from Rs. 1,00,001 to Rs. 2,00,000 – Rs.100 For other than Debt Securities i. Value of Holding upto Rs.50000 - NIL AMC ii. For value of holding from Rs. 50,001 to Rs. 2,00,000 – Rs.100
Extra Statement	i. For E-mail statements - Nil Charges

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	ii. Upto two physical statements– Nil Charges iii. Additional physical statement - Rs.25 per statement
Demat Charges	Rs.100 per ISIN towards Postages
Remat Charges	Rs.15 for every hundred securities or part thereof or a flat fee of Rs.15 per certificate whichever is higher subject to a maximum of Rs.10,00,000 plus Rs.50 as Postal Charges
Pledge Creation /Closure/Invocation/ Confirmation (per Transaction)	Rs 50.00
Margin Pledge Initiation / Pledge Release / Pledge Invocation	Rs.10.00 Per ISIN
Margin Re-Pledge	Nil
Failed Instruction Charges	0.04% of the transaction value subject to a minimum of Rs.25/-
First DIS Booklet	NIL
Subsequent DIS Booklets	
i) DIS Booklet with 5 Slips	Rs.20
ii) DIS Booklet with 20 slips	Rs.50
Change of Address / Bank details/ Name / Freeze-Unfreeze	Rs.50

### RAJIV GANDHI EQUITY SAVINGS SCHEME (RGESS)

With an objective to encourage flow of savings of the small investors in domestic capital market, the Government of India (GOI) announced a scheme named Rajiv Gandhi Equity Savings Scheme, 2012 (RGESS) vide its notification dated November 23, 2012 ) to offer tax benefits to 'New Retail Investors'. Under RGESS, 'New Retail Investors' will be eligible for additional tax benefit (i.e. deduction) upto Rs.25,000 under Section 80CCG upto a maximum investment Rs.50,000 made in eligible securities. This benefit is over and above the limit of Rs.1,00,000 currently available under Section 80C of Income Tax Act.

'New retail investor' must be a resident individual, who has a gross total income less than or equal to Rs.12 Lakh. Further, such an investor does not have a demat account or in case has a demat account then should not have done any transactions in equity or derivatives as on RGESS

account opening / designation date. In case the demat account is opened as first holder and there are no transactions in the equity or derivative segment then such a demat account is eligible. In case of joint accounts, the second / third holder / nominees are eligible as new retail investors irrespective of transactions done in such demat accounts. In the Union budget 2013, the RGESS was further liberalized to enable first time retail investors to invest in mutual funds and listed shares not in one year alone, but for three successive years.

Eligible investor will be required to submit specified form to DP at the time of account opening or designating his/her existing demat account for taking the benefits under RGESS. Investor will be required to invest in eligible securities considered for RGESS investment, which are follows:

Equity shares of selected companies which includes:

- 1) Companies falling in the list of 'CNX-100' of NSE or 'BSE-100'
- 2) Public sector enterprises categorized by the Central Government as Maharatna, Navratna or Miniratna.
- b. Units of Mutual Fund (MF) schemes which are RGESS compliant.
- c. Units of Exchange Traded Funds (ETFs) which are RGESS compliant
- d. Follow-on public offers (FPOs) IPOs and New Fund Offers (NFOs) of above mentioned companies/funds.

Investors can invest in eligible securities through Secondary Market (i.e., by approaching any SEBI registered Stock Broker of your choice), Mutual Funds (i.e., by approaching any Mutual Fund distributor or a SEBI registered Stock Broker) or IPO / NFO of RGESS compliant companies/funds). Investors will be required to ensure to provide demat account details i.e., Demat Account Number and DP ID on the concerned applicable form.

The mode of holding eligible securities will be in a demat account. Other securities (viz., equity shares, debentures, bonds, mutual fund units, etc.) can also be held in the demat account designated for RGESS. Further, in case investors do not wish certain securities credited to their demat accounts to be considered for the RGESS, then they will be required to submit declaration in a prescribed format within one month from the date of transaction.

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Investment holding period under RGESS is for three years which includes 'Fixed Lock-in' of one year and 'Flexible lock-in' of two years. Declared eligible securities are not allowed to sell, pledge or hypothecate eligible securities during 'Fixed Lock-in' period. During flexible Lock-in, eligible securities can be sold subject to certain conditions. The designated RGESS demat account will be converted into a regular or ordinary demat account at the end of the flexible lock-in period.

The Depository will furnish an Annual Statement of the eligible securities invested in or traded through the RGESS demat account to the investor i.e., demat account holder.

As there will be no deduction shall be allowed in respect of any assessment year commencing on or after the 1<sup>st</sup> April 2018 pursuant to Finance Act 2017, NSDL has issued a circular that NO demat accounts should be enabled under RGESS scheme from April 1, 2017

## CONSOLIDATED ACCOUNT STATEMENT ( CAS )

NSDL CAS is a single account statement consisting of transactions and holdings in investor's demat account(s) held with NSDL and CDSL as well as in units of Mutual Funds held in Statement of Account (SOA) form (Such asset classes would include Equities, Warrants, Preference Shares, Mutual Fund units held in demat form, Corporate Bonds, Money Market Instruments, Securitised Instruments, Government Securities, Postal Saving Scheme held in demat form, MF units held in SOA form in Mutual Fund Folios etc.)

As per SEBI guidelines, if there is any transaction in any of the demat accounts of an investor or in any of his/her mutual fund folios, then CAS will be sent to the investor in the next month in respect of transactions executed in previous month along with the holdings. Hence, if investor has done transaction(s) in every month, then he/she will get CAS every month. However, in case there is no transaction in any of the mutual funds folios and demat accounts in any month of the year, then CAS with holding details will be sent to the investor on half yearly basis .

Consolidation of account statement shall be done on the basis of PAN . In case investors have multiple accounts across the two depositories, the depository having the demat account which has been opened earlier shall be the default depository which will consolidate details across depositories and Mutual - Fund investments and dispatch the CAS to the investor.

## ADDITIONAL FACILITIES OFFERED BY INDBANK

- Viewing of demat account through internet
- The Holdings / Transactions / Leger balance in any demat account can be viewed through internet, provided client submits a request letter for user id and password to IBMBS Ltd
- Link to SCORES portal on Indbank 's client login .
- Clients can receive Holding / Transaction / Billing statements to their email id by submitting a request letter in prescribed format to IBMBS Ltd
- The demat account in one branch can be transferred to any other designated branch.

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## NSDL - DP BACKOFFICE - SHAREPRO - USER GUIDE

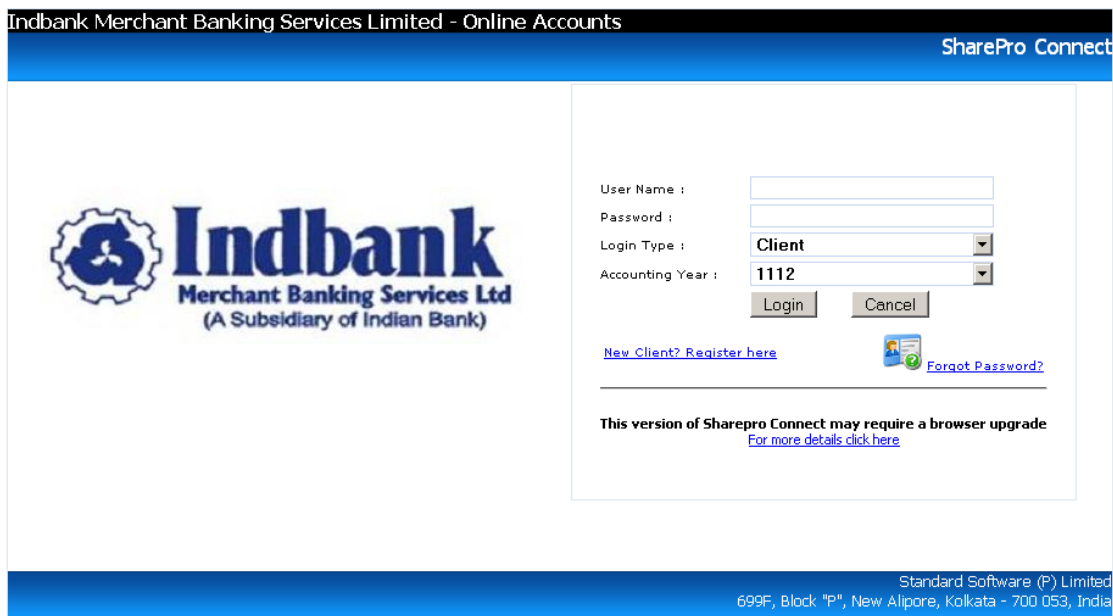
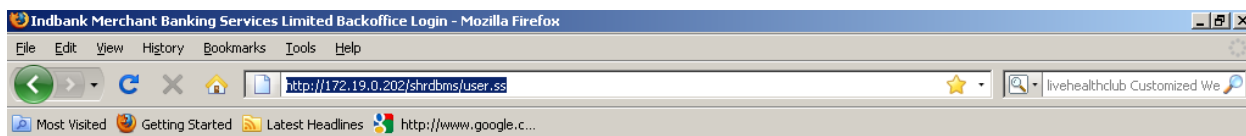
Currently at NSDL , instructions are entered in the DP Module software provided by NSDL, which is located at the DP Head office.

Since Sharepro is a multi branch solution (it is based at the central site as well as at all the branches of the DP) , it can entertain the client instructions from any of the DP branches. The client instructions can be captured locally at each branch and then sent to central SharePro Server located at Head Office. Sharepro Server communicates the NSDL server through standard formats (specified by NSDL)

### Maker Checker Facility

The existing version of Sharepro has a facility for Maker Checker. Once the data has been entered in the screen, it will go to the supervisor for Authorization. Unless the transaction is authorized, it will not be uploaded on the DPM terminal.

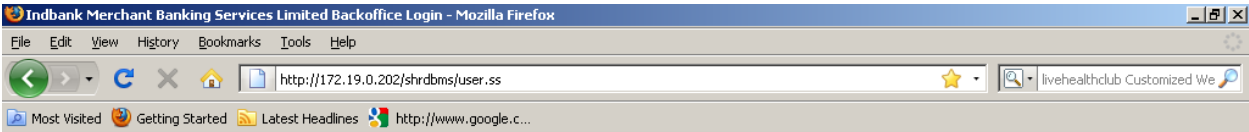
## LOGIN PAGE



# DP Operations Manual

## Login using given User Id and Password

### LOGIN TYPE -> BRANCH



# DP Operations Manual

## SHAPRO LOGGED IN FRONT PAGE

The screenshot shows a Mozilla Firefox browser window titled "SharePro Connect - Indbank Merchant Banking Services Limited". The address bar displays the URL "http://172.19.0.202/shrdbms/userlogin.ss". The browser's menu bar includes "File", "Edit", "View", "History", "Bookmarks", "Tools", and "Help". Below the address bar, there are navigation buttons for "Most Visited", "Getting Started", and "Latest Headlines", along with a search bar containing "http://www.google.c...". A password reminder prompt asks "Do you want Firefox to remember this password?" with options "Remember", "Never for This Site", and "Not Now".

The main content area features the Indbank logo and the following text:  
**Indbank Merchant Banking Services Limited**  
First Floor, Khivraj Complex 1,, 480, Anna Salai,  
Nandanam,  
, Chennai-600 035  
Phones : 24313094-97 , eMail : [indbank@indbankonline.com](mailto:indbank@indbankonline.com)

Navigation links include "Password", "About Us", and "Logout". User information is displayed as "Welcome Checker", "Financial Year :2011-12", "Login Type :Branch", and "Last Login :24/09/11 03:42 PM".

The application interface has a top navigation bar with "Dashboard", "Circulars", and "Appointments" tabs. A vertical "Menu" sidebar is visible on the left. The bottom of the browser window shows the Windows taskbar with the Start button, "INDIAN BANK" folder, and several open applications including "[DpPro]Indbank Merchan...", "SharePro Connect - I...", and "SHARE PRO CONNECT U...". The system tray shows the time as 15:53.



# DP Operations Manual

## STEPS TO VIEW DP CLIENT MASTER DETAILS

CLICK ON MENU OPTION -> SELECT SHARE REPORTS -> MASTER FILES PRINTING -> BEN A/C SEARCH

SharePro Connect - Indbank Merchant Banking Services Limited - Mozilla Firefox

File Edit View History Bookmarks Tools Help

http://172.19.0.202/shrdbms/userlogin.ss

livehealthclub Customized We

Most Visited Getting Started Latest Headlines http://www.google.c...

Do you want Firefox to remember this password? Remember Never for This Site Not Now

**Indbank Merchant Banking Services Limited**  
First Floor, Khivraj Complex 1,, 480, Anna Salai,  
Nandanam,  
Chennai-600 035  
Phones : 24313094-97 , eMail : [indbank@indbankonline.com](mailto:indbank@indbankonline.com)

[Password](#) | [About Us](#) | [Logout](#)  
Welcome **Checker**  
Financial Year :2011-12  
Login Type :Branch  
Last Login :24/09/11 03:42 PM

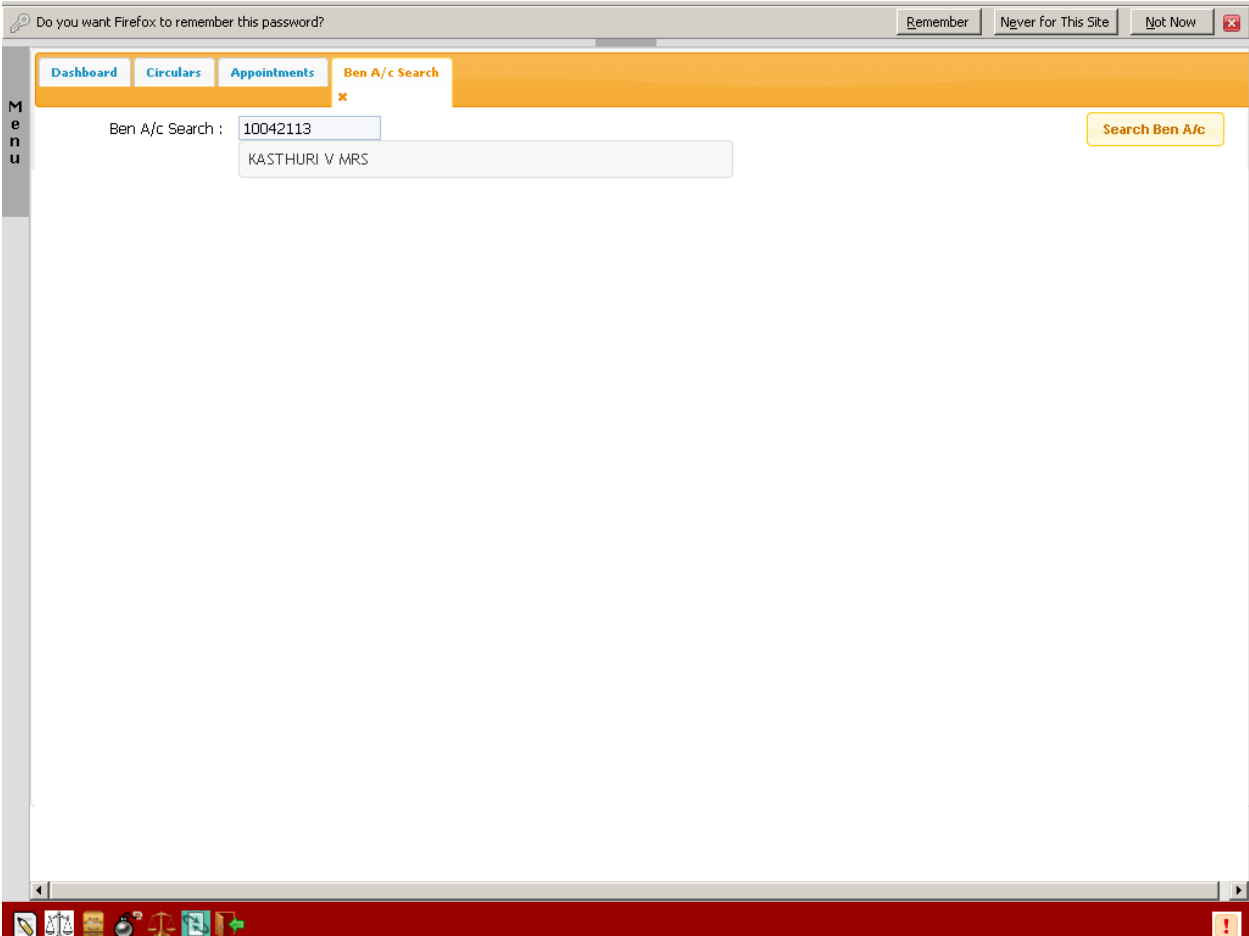
**Data Entry**  
**Share Reports**  
  Daily Reports  
  Periodical Statements  
  Analysis  
    **Master Files Printing**  
      Client Master Details  
      ISIN Search  
      Ben A/c Search  
    Customised Reports  
  FO Reports  
  DeMat Reports  
  A/C Reports  
  Utilities  
  DP Reports  
  Logout

Dashboard Circulars Appointments

Start INDIAN BANK [DpPro]Indbank Merchan... SharePro Connect - I... SHARE PRO CONNECT U... 15:55

# DP Operations Manual

## BEN A/C SEARCH -> TYPE DEMAT ACCOUNT - CLICK SEARCH BEN A/C



# DP Operations Manual

Do you want Firefox to remember this password?

Dashboard   Circulars   Appointments   **Ben A/c Search**

Menu

Ben A/c Search

**Client Details**

Ben. Account No. :  **KASTHURI V MRS**  
Activation Date : 21/06/03

Branch Id :  **MYLAPORE**

General	Nominee	Finance	Others	Alternate Address	Additional Features
---------	---------	---------	--------	-------------------	---------------------

**Account Details :**

Ben.A/cType :

Ben. A/c Category :

Father Name :  Date Of Birth :

Basket :  Group :

Address :

City :  Phone :

State :  Fax :

Pin Code :  IT. Pan :

Country :  Address Preferred

Email-ID :

Standing Instruction Indicator :

Taskbar:

# DP Operations Manual

## STEPS TO VIEW DP HOLDING DETAILS

CLICK ON MENU OPTION -> SELECT DP REPORTS -> DAILY REPORTS -> HOLDING STATEMENT  
→ TYPE DEMAT CLIENT ID

The screenshot shows a web browser window with a Firefox password prompt at the top. The application interface has a left-hand navigation menu with the following items: Data Entry, Share Reports, FO Reports, DeMat Reports, A/C Reports, Utilities, DP Reports, Daily Reports (with sub-items: Holding Statement, Client Transaction Statement, COD Status Report), and Logout. The top navigation bar is orange and contains 'Dashboard', 'Circulars', and 'Appointments'. The main content area displays the date 'Sep 24, 2011, Saturday' and a table for 'Saturday 9/24'. The table has a column for time intervals and a large yellow area for details. The time intervals listed are 'all-day', '8am', '9am', '10am', and '11am'. The bottom of the browser window shows a Windows taskbar with various icons and a red warning icon in the bottom right corner.

# DP Operations Manual

Dashboard   Circulars   Appointments   **Holding Statement** x

M  
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n  
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Segment : NSDL-IN303093

Client : 10042113

Output : Screen   Copy : Office

Market Type : All A/c

For Date : 24/09/11

Get Last Available Holding Date

Settlement No. :

Show Ledger Balance  
[Available in distribution Copy Only]

Yes, I want Zero holding client also.

Yes, I want Exclude Closed A/c(s)


With Holding Valuation  
Closing Rate : 24/09/11

Exclude Clients who have the Transactions  
For Transaction dates  
[TRDT] From : / /  
To : / /

Exclude Clients  
For Bill dates  
[VRDT] From : / /  
To : / /

View   Cancel

Holding Report



# DP Operations Manual

## OUTPUT

<span>Dashboard</span> <span>Circulars</span> <span>Appointments</span> <span>Holding Statement</span>						
Holding statement as on: 24/09/11 As per data available upto: 15:27:38						
ISIN Code	ISIN Description	Total Balance	Pledged/Blocked/ Freeze Balance	Lock Release Date	Earmark Balance	Free Balance
<b>10042113 KASTHURI V MRS [K1327]</b>						
INE055L01013	ACROPETAL TECHNOLOGIES LIMITED EQ	90	0	0	0	0
INE298G01027	AJMERA REALTY & INFRA INDIA LIMITED EQ NEW	221	0	0	0	0
INE428A01015	ALLAHABAD BANK EQ	40	0	0	0	0
INE455J01027	AUSTRAL COKE & PROJECTS LIMITED EQ NEW F.V. RE.1/-	17909	0	0	0	0
INE350H01032	B.L. KASHYAP & SONS LIMITED EQ NEW F.V RE.1/-	500	0	0	0	0
INE274K01012	BHILWARA TECHNICAL TEXTILES LIMITED EQ	50	0	0	0	0
INE224B01024	BIRLA POWER SOLUTION LIMITED EQ NEW F.V. RS.1/-	71640	0	0	0	0
INE108A01013	BPL ENGG EQ	300	0	0	0	0
INE650L01011	BROOKS LABORATORIES LIMITED EQ	400	0	0	0	0
INE314A01017	CMC LIMITED EQ	14	0	0	0	0
INE067A01029	CROMPTON GREAVE EQ NEW FV RS.2/-	55	0	0	0	0
INE680A01011	DHANLAXMI BANK LIMITED EQ	85	0	0	0	0
INE302A01020	EXIDE INDS EQ NEW FV RE.1/-	80	0	0	0	0
INE043A01012	GTL LIMITED EQ	438	0	0	0	0
INE126M01010	INDIABULLS WHOLESALE SERVICES LIMITED EQ	15	0	0	0	0
INE324A01024	JINDAL SAW EQ NEW RS. 2/-	55	0	0	0	0
INE727D01022	K. S. OILS LIMITED EQ NEW FV RS. 1/-	1350	0	0	0	0
INE299C01024	KARUTURI GLOBAL LIMITED EQ NEW RS. 1/-	900	0	0	0	0
INE498L01015	L & T FINANCE HOLDINGS LIMITED EQ	25	0	0	0	0
INE191A01019	ORCHID CHEMICALS AND PHARMACEUTICALS LIMITED EQ	25	0	0	0	0
INE722J01012	RAVIKUMAR DISTILLERIES LIMITED EQ	100	0	0	0	0
INE772A01016	S. KUMARS NATIONWIDE LTD. EQ	50	0	0	0	0
INE205A01025	SESA GOA LIMITED EQ NEW RS.1/-	55	0	0	0	0
INE538H01024	SHREE ASHTAVINAYAK CINE VISION LIMITED EQ NEW F.V. RE.1/-	1000	0	0	0	0
INE429C01035	SINTEX INDS. EQ NEW F.V RE.1/-	25	0	0	0	0
INE062A01012	STATE BANK OF INDIA EQ	24	0	0	0	0
INE519C01017	SUMMIT SECURITIES LIMITED EQ	2	0	0	0	0
INE155A01022	TATA MOTORS LIMITED EQ NEW FV RS. 2/-	215	0	0	0	0
INE517B01013	TATA TELESERV (MAH) EQ	400	0	0	0	0
INE171A01011	THE FEDERAL BANK LIMITED EQ	10	0	0	0	0
INE516A01017	UFLEX LIMITED EQ	85	0	0	0	0
INE694A01020	UNITECH LIMITED EQ NEW FV RS.2/-	50	0	0	0	0
INE705A01016	VIJAYA BANK EQ	45	0	0	0	0
INE167C01023	VISHAL EXPORTS OVERSEAS LIMITED EQ NEW FV RS.1/-	1200	0	0	0	0

# DP Operations Manual

## STEPS TO VIEW CLIENT TRANSACTION STATEMENT

CLICK ON MENU OPTION -> SELECT DP REPORTS -> DAILY REPORTS -> CLIENT TRANSACTION STATEMENT -> TYPE DEMAT CLIENT ID

The screenshot shows a web application interface for generating a Client Transaction Statement. The top navigation bar includes 'Dashboard', 'Circulars', 'Appointments', and 'Client Transaction Statement'. A vertical 'Menu' is on the left. The main form contains the following fields and options:

- Segment: NSDL-IN303093
- Client: 10042113
- Client Name: 10042113 KASTHURI V MRS
- Market Type: Beneficiary A/C
- Output: Screen
- Copy: Office
- From: 01/09/11 to 24/09/11
- Settlement No.: (empty)
- Exclude Clients for Bill dates:  (unchecked)
- From: 01/04/11 to 31/03/12
- Selection: All Accounts
- From: 01/04/11 to 31/03/12
- Select For:  Existing Report,  Summary
- Show report even if there is no holding and no transaction:  (unchecked)
- Show report for Clients without Transaction & Holding:  (unchecked)
- Do not print holding within the transaction statement:  (unchecked)
- Exclude transaction whose target is CM a/c.:  (unchecked)
- Yes, we want to print Ledger Balance.:  (unchecked)
- Buttons: View, Cancel, Report

RESULT

# DP Operations Manual


Dashboard
Circulars
Appointments
Client Transaction Statement

Menu

**Transaction Statement From 01/09/11 to 24/09/11**  
Statement Of Account as on 24/09/11

Date	TxnId	Particulars	Opening Balance	Credit
<b>Name : KASTHURI V MRS      ClientId: 10042113</b>				
<b>Status : Active [21/06/03]</b>				
<b>Category : Non House Beneficiary</b>				
<b>Type : Resident      Subtype: Ordinary</b>				
<hr/>				
<b>INE298G01027 AJMERA REALTY &amp; INFRA INDIA LIMIT</b>				
<b>Beneficiary</b>				
			175	
19/09/11	70000000141567	By - INDBANK MER BKG SER / 10000004		
<b>INE350H01032 B.L. KASHYAP &amp; SONS LIMITED EQ NE</b>				
<b>Beneficiary</b>				
			400	
08/09/11	70000000136684	By - INDBANK MER BKG SER / 10000004		
<b>INE224B01024 BIRLA POWER SOLUTION LIMITED EQ N</b>				
<b>Beneficiary</b>				
			69640	
14/09/11	70000000139443	By - INDBANK MER BKG SER / 10000004		
<b>INE650L01011 BROOKS LABORATORIES LIMITED EQ</b>				
<b>Beneficiary</b>				
			0	
07/09/11	70000000135830	By- INDBANK MER BKG SER /IN563956 For: 2011168/NOR		
12/09/11	70000000137940	By - INDBANK MER BKG SER / 10000004		
14/09/11	70000000139449	By - INDBANK MER BKG SER / 10000004		
15/09/11	70000000140157	By - INDBANK MER BKG SER / 10000004		
<b>INE314A01017 CMC LIMITED EQ</b>				
<b>Beneficiary</b>				
			5	
06/09/11	70000000135018	By- INDBANK MER BKG SER /IN563956 For: 2011167/NOR		
06/09/11	70000000135472	By - INDBANK MER BKG SER / 10000004		
07/09/11	70000000135662	By- INDBANK MER BKG SER /IN563956 For: 2011168/NOR		
08/09/11	70000000136681	By - INDBANK MER BKG SER / 10000004		
<b>INE067A01029 CROMPTON GREAVE EQ NEW FV RS.2/-</b>				
<b>Beneficiary</b>				
			85	
14/09/11	10000000142443	To- INDBANK MER BKG SER /IN563956 For: 2011175/NOR		
<b>INE879I01012 D B REALTY LIMITED EQ</b>				

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**Indbank**  
Merchant Banking Services Ltd  
(A Subsidiary of Indian Bank)



# DP Operations Manual

## STEPS TO VIEW LEDGER BALANCE OF CLIENT

CLICK ON MENU OPTION -> SELECT A/C REPORTS -> LEDGER -> DP CLIENT  
SELECT SEGMENT AS NSDL -> GENERAL LEDGER AS NSDL CLIENT  
THEN CLICK VIEW

The screenshot displays the Indbank web application interface. On the left is a vertical navigation menu with the following items: Data Entry, Share Reports, FO Reports, DeMat Reports, A/C Reports (with sub-items: Cash Bank Book, Ledger), Final Accounts (with sub-item: Ageing Analysis), Portfolio Reports (with sub-item: Accounts Confirmation), Utilities, and DP Reports (with sub-item: Logout). The top navigation bar contains three tabs: Dashboard, Circulars, and Appointments. The main content area shows the date 'Sep 24, 2011, Saturday' and a view selector with 'month', 'week', and 'day' options. Below this, the date 'Saturday 9/24' is displayed. The ledger table has a header row for 'all-day' and subsequent rows for hourly intervals from 12am to 12pm. All rows in the ledger are currently empty. At the bottom of the application window, a Windows taskbar is visible with several icons and a red warning icon on the right.

# DP Operations Manual

Dashboard   Circulars   Appointments   **Ledger**

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Segment: NSDL-06

Dp Client: 10042113

From: 01/09/11   General Ledger: NSDL Client

To: 30/09/11

Trade Datewise

Output: Screen

Copy: Office Copy

Running Totals

Consolidate Settlement Wise

Summarise Deliveries Settlement wise

Summarise DF bills Settlement wise

Summarised Deliveries Bill wise

Summarised Difference Bill wise

Summarise Voucher wise

Print from Last Zero Balance

Print Vallan Details

Exclude Detail of Demat Charges and Serv.Tax On Demat Charges

Datewise Summarise ( For FO)

Print Journal Details

Exclude ledger without any transaction during the period.

Print Narrations

Sort Settlement wise

Separate Uncleared Receipts


Show Cash,FDR & Share Margin

Print Payee Name

Print sorted on Account Name

Breaks: None

View   Cancel   Accounting Ledger



# DP Operations Manual

## OUT PUT

Dashboard
Circulars
Appointments
Ledger

Menu
Ledger
01/09/11-30/09/11

Voucher Date	Branch Sett#	Entry Details	Amount Debit	Amount Credit	Running Balance	DrCr
<b>10042113 KASTHURI V MRS [K1327]</b>						
		<b>Opening Balance</b>			0.00	Cr
05/09/11	CT40	Bill 11-12/00024786 Dated 05/09/11		965.00	965.00	
15/09/11	CT40	INTER SEGMENT BALANCE TRANSFER A/C InterSegment Balance transfer from NSE to NSD		965.00	0.00	Cr
<b>Transaction Totals</b>				965.00	965.00	
<b>Closing Balance</b>					0.00	Cr

NSDL

# DP Operations Manual

## STEPS TO ENTER MARKET / OFFMARKET DELIVERY INSTRUCTION

CLICK ON MENU OPTION -> SELECT DATA ENTRY -> NSDL TRANSACTION -> DELIVERY OUT BY CLIENT [COMBINED]

The screenshot shows a web application interface for DP Operations. On the left is a navigation menu with the following items:

- Data Entry
  - Cheque Entries
  - Client Query
  - New Client Request
  - NSDL Transactions
    - Delivery-Out by Client [ Combined ]**
    - Inter Settlement Instruction
    - Delivery-Out by CM for Pay-In
    - Delivery-Out by CM on Pay-Out
    - Pledge / Hypothecation
    - Pledge / Hypothecation Confirmation
    - Pledge Closure
    - Pledge Closure Confirmation
    - Inter Depository Transfer
    - Demat Request Instruction
    - Remat Request Instruction
    - Repurchase Instruction
    - Instruction Slip Checking
    - UCC Rectification Request
    - Cash/Bank Entry Authorisation
    - Cheque Request
    - DP Client Registration
  - Share Reports
  - FO Reports
  - DeMat Reports
  - A/C Reports
  - Utilities
  - DP Reports
  - Logout

The main content area has tabs for Dashboard, Circulars, and Appointments. It shows the date 'Sep 24, 2011, Saturday' and a table for 'Saturday 9/24' with the following time slots:

all-day	
12am	
1am	
2am	
3am	
4am	
5am	
6am	
7am	
8am	
9am	
10am	
11am	
12pm	

TOP ROW IS FOR MARKET DELIVERY INSTRUCTION AND BOTTOM ROW IS FOR OFF MARKET DELIVERY INSTRUCTION

# DP Operations Manual

## MARKET INSTRUCTIONS

TYPE SLIP NO. -> CLICK TAB ->DP CLIENT ID WILL APPEAR AUTOMATICALLY -> CLICK ON '+ ' OPTION TO ADD REQUIRED DETAILS

NSDL Dpld : IN300597

Slip No.: 945423 Date: 24/09/11 Ex. Date: 24/09/11 DP A/c Balance: 0  
Client: 10266273 SHEK A S M View Signature Trading A/c Balance: 31

**Market & Off-Market** Inter Depository

Market Instruction Detail Entered on: 24/09/11 at 16:25:26

CMBP ID	CMBP Name	Mkt	Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding

Off-Market Instruction Detail Entered on: 24/09/11 at 16:25:26

D P - ID	Dp Name	Client ID	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding

# Total number of ISIN(s) holding: 0

Done Unknown Zone (Mixed)

ADD CM BP ID, MARKET TYPE, SETTLEMENT NO., ISIN, QUANTITY

- AND IN REMARKS BOX AGAIN TYPE DELIVERY INSTRUCTION SLIP NO. WITHOUT FAIL

CLICK SAVE BUTTON INSIDE THE BOX

# DP Operations Manual

The screenshot displays the NSDL DP Operations Manual software interface. The window title is "NSDL Dpid : IN300597". The main area shows a "Market Details" form with the following fields:

- Slip No.: 945423
- Date: 24/09/11
- Ex. Date: 24/09/11
- Client: 10266273 SHEIK A S M
- View Signature button
- DP A/c Balance: 0
- Trading A/c Balance: 31

The form is titled "Market & Off-Market" and "Inter Depository". The "Market Details" section includes:

- Cn Ep Id: IN563956
- Cn Name: INDBANK MERCHANT BANKING SERVICES LTD
- Mkt: 13 NORMAL
- Sino: 2011181
- ISIN Code: INE733E01010
- HTPC LTD. EO
- Quantity: 20
- Remarks: 945423

The form has "Save" and "Cancel" buttons at the bottom. The top navigation bar includes "Dashboard", "Circulars", "Appointments", "Instruction Slip Checking", and "Delivery-Out by Client [ Combined ]". The bottom taskbar shows the Start button, "SHARE PRO CONNECT U...", "SharePro Connect - Indb...", and a browser window at "http://172.19.0.202/s...". The system clock shows 16:34.

For adding more instructions in single delivery instruction slip, again click '+' and add details in the box and save. After entering all the details, click on the floppy icon on top of the screen to save entire instruction. A reference no. will be generated (Single reference no. irrespective of number of instructions) which need to be noted in delivery instruction slip.

# DP Operations Manual

NSDL Dpid : IN300597

Slip No.: 945423 Date: 24/09/11 Ex. Date: 24/09/11 DP A/c Balance: 0

Client: 10266273 SHEIK A S M View Signature Trading A/c Balance: 31

**Market & Off-Market** Inter Depository

Market Instruction Detail Entered on: 24/09/11 at 16:25:26

CMBP ID	CMBP Name	Mkt	Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding
IN563956	INDBANK	13.00	NORM	2011181	INE733E01010	NTPC LTD. EQ	20.00	945423	0.00	0.00	0.00
	MERCHANT BANKING SERVICES LTD										
IN563956	INDBANK	13.00	NORM	2011181	INE467B01029	TATA CONSULTANCY SERVICES EQ NEW FV RE.1A	10.00	945423	0.00	0.00	0.00
	MERCHANT BANKING										

Off-Market Instruction Detail Entered on: 24/09/11

D P - ID	Dp Name	Client ID	ISIN C	Remarks	CloseRt	Amount	Holding

# Total number of ISIN(s) holding: 0

Microsoft Internet Explorer

Transaction ID = 3551, Entries Saved!

OK

Opening page http://172.19.0.202/shrdbs/fireprog.ss?WEBENTR301... Unknown Zone (Mixed)

# DP Operations Manual

## OFF MARKET INSTRUCTIONS

TYPE SLIP NO. -> CLICK TAB ->DP CLIENT ID WILL APPEAR AUTOMATICALLY -> CLICK ON '+ ' OPTION ( OFFMARKET OPTION ) TO ADD REQUIRED DETAILS

ADD TARGET DP ID, TARGET CLIENT ID , ISIN , QUANTITY

- AND IN REMARKS BOX AGAIN TYPE DELIVERY INSTRUCTION SLIP NO. WITHOUT FAIL

The screenshot shows the 'Delivery-Out by Client [ Combined ]' interface. At the top, there are navigation tabs: Dashboard, Circulars, Appointments, and Delivery-Out by Client [ Combined ]. The main content area is titled 'NSDL Dpld : IN300597'. It includes input fields for Slip No. (945424), Date (24/09/11), Ex. Date (24/09/11), Client (SHEIK A S M), DP A/c Balance (0), and Trading A/c Balance (31). A 'View Signature' button is also present. Below this, there are two tabs: 'Market & Off-Market' and 'Inter Depository'. The 'Market & Off-Market' tab is active, showing a table with columns: CMBP ID, CMBP Name, MKT MKT-Type, Settl No., ISIN Code, Share Name, Quantity, Remarks, CloseRt, Amount, and Holding. A modal dialog box titled 'Off-Market Details' is open, containing the following fields: DP ID (IN300597), DP Name (INDBANK MER BKG SER LTD), Client Id (10042113), ISIN Code (INE733E01010), Quantity (21), and Remarks (945424). There are 'Save' and 'Cancel' buttons at the bottom of the dialog. The Windows taskbar at the bottom shows the Start button, several application icons, and the system tray with the time 16:43.



# DP Operations Manual

For adding more instructions in single delivery instruction slip, again click '+' and add details in the box and save. After entering all the details, click on the floppy icon on top of the screen to save entire instruction. A reference no. will be generated (Single reference no. irrespective of number of instructions) which need to be noted in delivery instruction slip

NSDL DpId : IN300597

Slip No.: 945423 Date: 24/09/11 Ex. Date: 24/09/11 DP A/c Balance: 0  
 Client: 10266273 SHEIK A S M View Signature Trading A/c Balance: 31

**Market & Off-Market** Inter Depository

Market Instruction Detail Entered on: 24/09/11 at 16:25:26

CMBP - ID	CMBP Name	Mkt Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding
IN563956	INDBANK MERCHANT BANKING SERVICES LTD	13.00 NORM	2011181	INE733E01010	NTPC LTD. EQ	20.00	945423	0.00	0.00	0.00
IN563956	INDBANK MERCHANT BANKING	13.00 NORM	2011181	INE467B01029	TATA CONSULTANCY SERVICES EQ NEW FV RE.1A	10.00	945423	0.00	0.00	0.00

Off-Market Instruction Detail Entered on: 24/09/11

D P - ID	Dp Name	Client ID	ISIN C	Remarks	CloseRt	Amount	Holding

# Total number of ISIN(s) holding: 0

Opening page http://172.19.0.202/shrdbs/fireprog.ss?WEBENTR301... Unknown Zone (Mixed)

# DP Operations Manual

Dashboard Circulars Appointments Delivery-Out by Client [ Combined ]

NSDL Dpld : IN300597

Slip No.: 945424 Date: 24/09/11 Ex. Date: 24/09/11 DP A/c Balance : 0  
 Client: 10266273 SHEIK A S M View Signature Trading A/c Balance : 31

Market & Off-Market Inter Depository

Market Instruction Detail Entered on: 24/09/11 at 16:39:10

CMBP - ID	CMBP Name	Mkt Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding
M										

Off-Market Instruction Detail Entered on: 24/09/11 at 16:39:10

D P - ID	Dp Name	Client ID	ISIN C	Remarks	CloseRt	Amount	Holding
M							

Transaction ID = 3552, Entries Saved!

# Total number of ISIN(s) holding: 0

Opening page http://172.19.0.202/shrdbs/fireprog.ss?WEBENTR301... Unknown Zone (Mixed)

# DP Operations Manual

## STEPS TO ENTER INTER DEPOSITORY DELIVERY INSTRUCTION

CLICK ON MENU OPTION -> SELECT DATA ENTRY -> NSDL TRANSACTION -> INTERDEPOSITORY TRANSFER

TYPE SLIP NO. -> CLICK TAB -> DP CLIENT ID WILL APPEAR AUTOMATICALLY -> CLICK ON '+' OPTION TO ADD REQUIRED DETAILS

ADD TARGET CDSL CLIENT ID, ISIN , QUANTITY

- AND IN REMARKS BOX AGAIN TYPE DELIVERY INSTRUCTION SLIP NO. WITHOUT FAIL

The screenshot displays the 'SharePro Connect' web application interface. The main window shows the 'Inter Depository Transfer' form with the following details:

- Tran #: 0
- Slip No.: 7077
- Date: 24/09/11
- Ex. Date: 24/09/11
- Client ID: 10068804 (IINBANK MER BKG SER LTD)
- A/C Balance: 0.00 Cr

A modal window titled 'Inter DP Details' is open, containing the following information:

- Client Id: 161340000001245
- CDSL - Stno.: [Empty]
- ISIN Code: INE733E01010 (ITPC LTD. EO)
- Quantity: 21
- Remarks: 7077

The application is running in Microsoft Internet Explorer, and the address bar shows 'http://172.19.0.202/shrdbs/userlogin.ss'. The taskbar at the bottom shows the Start button and several open applications, including 'SHARE PRO CONNECT U...' and 'SharePro Connect - Indb...'. The system clock shows 16:59.

# DP Operations Manual

For adding more instructions in single delivery instruction slip, again click '+' and add details in the box and save  
After entering all the details, click on the floppy icon on top of the screen to save entire instruction. A reference no. will be generated ( Single reference no. irrespective of number of instructions) which need to be noted in delivery instruction slip .

NSDL Dpld : IN300597

Slip No.: 945423 Date: 24/09/11 Ex. Date: 24/09/11 DP A/c Balance : 0  
Client: 10286273 SHEK A S M View Signature Trading A/c Balance : 31

Market & Off-Market Inter Depository

Market Instruction Detail Entered on: 24/09/11 at 16:25:26

CMBP - ID	CMBP Name	Mkt	Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount	Holding
IN563956	INDBANK MERCHANT BANKING SERVICES LTD	13.00	NDRM	2011181	INE733E01010	NTPC LTD. EQ	20.00	945423	0.00	0.00	0.00
IN563956	INDBANK MERCHANT BANKING	13.00	NORM	2011181	INE467B01029	TATA CONSULTANCY SERVICES EQ NEW FV RE.1A	10.00	945423	0.00	0.00	0.00

Off-Market Instruction Detail Entered on: 24/09/11

D P - ID	Dp Name	Client ID	ISIN C	Remarks	CloseRt	Amount	Holding
----------	---------	-----------	--------	---------	---------	--------	---------

# Total number of ISIN(s) holding: 0

Opening page http://172.19.0.202/shrdbms/fireprog.ss?WEBENTR301... Unknown Zone (Mixed)

# DP Operations Manual

## STEPS TO AUTHORISE MARKET / OFFMARKET / INTERDEPOSITORY DELIVERY INSTRUCTION

CLICK ON MENU OPTION -> SELECT DATA ENTRY -> INSTRUCTION SLIP CHECKING

The screenshot displays a web application interface. On the left, a navigation menu is visible under the heading 'Data Entry'. The menu items include: Cheque Entries, Client Query, New Client Request, NSDL Transactions (with 'Instruction Slip Checking' highlighted in red), UCC Rectification Request, Cash/Bank Entry Authorisation, Cheque Request, DP Client Registration, Share Reports, FD Reports, DeMat Reports, A/C Reports, Utilities, DP Reports, and Logout. The main content area shows a calendar for 'Saturday 9/24' with an 'all-day' appointment highlighted in yellow. The browser's address bar shows 'Done' and the system tray shows 'Unknown Zone (Mixed)'.

# DP Operations Manual

SELECT SLIP NO. TO BE VERIFIED - >

**Data Entry**

- Cheque Entries
- Client Query
- New Client Request
- NSDL Transactions**
  - Instruction Slip Checking**
  - UCC Rectification Request
  - Cash/Bank Entry Authorisation
  - Cheque Request
  - DP Client Registration
- Share Reports**
- FO Reports**
- DeMat Reports**
- A/C Reports**
- Utilities**
- DP Reports**
- Logout

**Instruction Slip Checking**

List of Instruction's

Checked	Tran Type	Ben A/c	Slip No.
No	COOUT	10243220	<a href="#">29826</a>
No	COOUT	10266273	<a href="#">26424</a>

1 2 3 4 5

Please Click on Slip No. in Left Pane List and see Detail.  
Please Check and Save.

# DP Operations Manual

CHECK ALL THE DETAILS - > TICK 'ENTRIES CHECKED OPTION' - > SAVE BY CLICKING FLOPPY ICON

The screenshot displays the 'SharePro Connect - Indbank Merchant Banking Services Limited - Microsoft Internet Explorer' window. The browser address bar shows 'http://172.19.0.202/shrdcms/userlogin.ss'. The application interface has a top navigation bar with 'Dashboard', 'Circulars', 'Appointments', and 'Instruction Slip Checking' (selected). A left sidebar menu lists 'List of Instruction's' and 'Checked'.

The main content area shows details for a specific instruction:

- Slip No.: 794261, Date: 23/09/11, Ex. Date: 23/09/11
- Client: 10243220 MALLIKARJUNA SASTRY CHERUVU
- DP A/c Balance: 0, Trading A/c Balance: -621.78
- Buttons: View Signature, Entries Checked (checkbox)

Below this, there are sections for 'Market & Off-Market' and 'Inter Depository'. The 'Market Instruction Detail' section shows a table with columns: CMBP ID, CMBP Name, Mkt MKT-Type, Settl No., ISIN Code, Share Name, Quantity, Remarks, CloseRt, and Amount. The 'Off-Market Instruction Detail' section shows a table with columns: D P - ID, Dp Name, Client ID, ISIN Code, Share Name, Quantity, Remarks, CloseRt, and Amount.

At the bottom of the instruction details, a red message states: '# Total number of ISIN(s) holding: 2. The client is Dormant since 23/06/11'.

The Windows taskbar at the bottom shows the Start button, open applications (SHARE PRO CONNECT U..., SharePro Connect - I...), system tray icons, and the time 16:53.

# DP Operations Manual

SharePro Connect - Indbank Merchant Banking Services Limited - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://172.19.0.202/shrdcms/userlogin.ss

Dashboard Circulars Appointments **Instruction Slip Checking**

**Instruction Slip Checking**

List of Instruction's

Checked	Tran Type	Ben A/c	Slip No.
No	COOUT	10243220	794261
No	COOUT	10266373	945424

12345

Slip No.: 794261 Date: 23/09/11 Ex. Date: 23/09/11  Entries Checked DP A/c Balance: 0

Client: 10243220 MALLIKARJUNA SASTRY CHERUVU View Signature Trading A/c Balance: -621.78

Market & Off-Market Inter Depository

Market Instruction Detail Entered on: 23/09/11 at 15:13:49

CMBP ID	CMBP Name	Mkt	Mkt-Type	Settl No.	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount
M										

Off-Market Instruction Detail Entered on: 23/09/11 at 15:13:49

D P - ID	Dp Name	Client ID	ISIN Code	Share Name	Quantity	Remarks	CloseRt	Amount
-	IN300597 INDBANK MER BKG SER LTD	10263267	INE406H01016	DHANUS TECHNOLOGIES LIMITED EQ	200.00	794261	4.15	830.00
M								
-	IN300597 INDBANK MER BKG SER LTD	10263267	INE205B01023	ELECON ENGINEERING COMPANY LIMITED EQ NEW FV RS. 2/-	165.00	794261	72.90	12028.50

# Total number of ISIN(s) holding: 2  
The client is Dormant since 23/06/11

Microsoft Internet Explorer  
Transaction ID = 3513, Entries Saved!

Done Unknown Zone (Mixed)

Start SHARE PRO CONNECT U... SharePro Connect - I... 16:55



# DP Operations Manual

## STEPS TO ENTER CHEQUE DETAILS

CLICK ON MENU OPTION -> SELECT DATA ENTRY -> CHEQUE ENTRIES ->  
SELECT EXCHANGE AS NSDL / BANK CODE AS 36

CLICK '+' TO ADD DETAILS

SharePro Connect - Indbank Merchant Banking Services Limited - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites

Address http://172.19.0.202/shrdms/userlogin.ss Go Links

Dashboard Circulars Appointments **Cheque Entries**

Menu

Save Cancel Close

Type: Receipt Exchange: NSDL

Date: 24/09/11

Bank: 36

Enter Data

Do not fetch old entries

G/L	Subled	Account Head	Cheq.No	Dated	Payment	Receipt
+						
-						
M						

(1 item remaining) Loading dataset...

Unknown Zone (Mixed)

Start SHARE PRO CONNECT U... SharePro Connect - I... 17:06

GL CODE WILL AUTOMATICALLY APPEAR

TYPE DEMAT ACCOUNT NO. IN SUB LEDGER , AMOUNT, CHEQUE NO. , NARRATION AND SAVE THE ENTRY

# DP Operations Manual

The screenshot displays the 'SharePro Connect - Indbank Merchant Banking Services Limited' web application. The main window shows the 'Cheque Entries' tab, which contains a form for recording transactions. The form fields are as follows:

Type :	Rec
Date :	24/09/11
Bank :	36
GL :	63
Sub-Ledger :	10042113
Payment :	0
Receipt :	526
Cheque Number :	123468
Cheque Date :	24/09/11
Bank Code :	[Dropdown]
Account Number :	[Text]
Letter ref :	[Text]
Narration :	CHEQUE RECEIVED AGAINST DP CHARGES

The form also includes 'Save' and 'Cancel' buttons. The browser's address bar shows 'http://172.19.0.202/shrdbms/fireprog.ss?WEBENTRY10'. The Windows taskbar at the bottom shows the Start button, several application icons, and the system clock at 17:07.

# DP Operations Manual

## STEPS TO ENTER NEW DEMAT ACCOUNT OPENING DETAILS

http://220.226.2.219/ - SharePro Connect - Indbank Merchant Banking Services Limited - Windows Internet Explorer

**Indbank Merchant Banking Services Limited**  
First Floor, Khivraj Complex 1,, 480, Anna Salai, Nandanam,  
Chennai-600 035  
Phones : 24313094-97 , eMail : [indbank@indbankonline.com](mailto:indbank@indbankonline.com)

[Password](#) | [About Us](#) | [Logout](#)  
Welcome **Ms P Sumitha**  
Financial Year :**2012-13**  
Login Type :**Branch**  
Last Login :**05/10/12 12:37 AM**

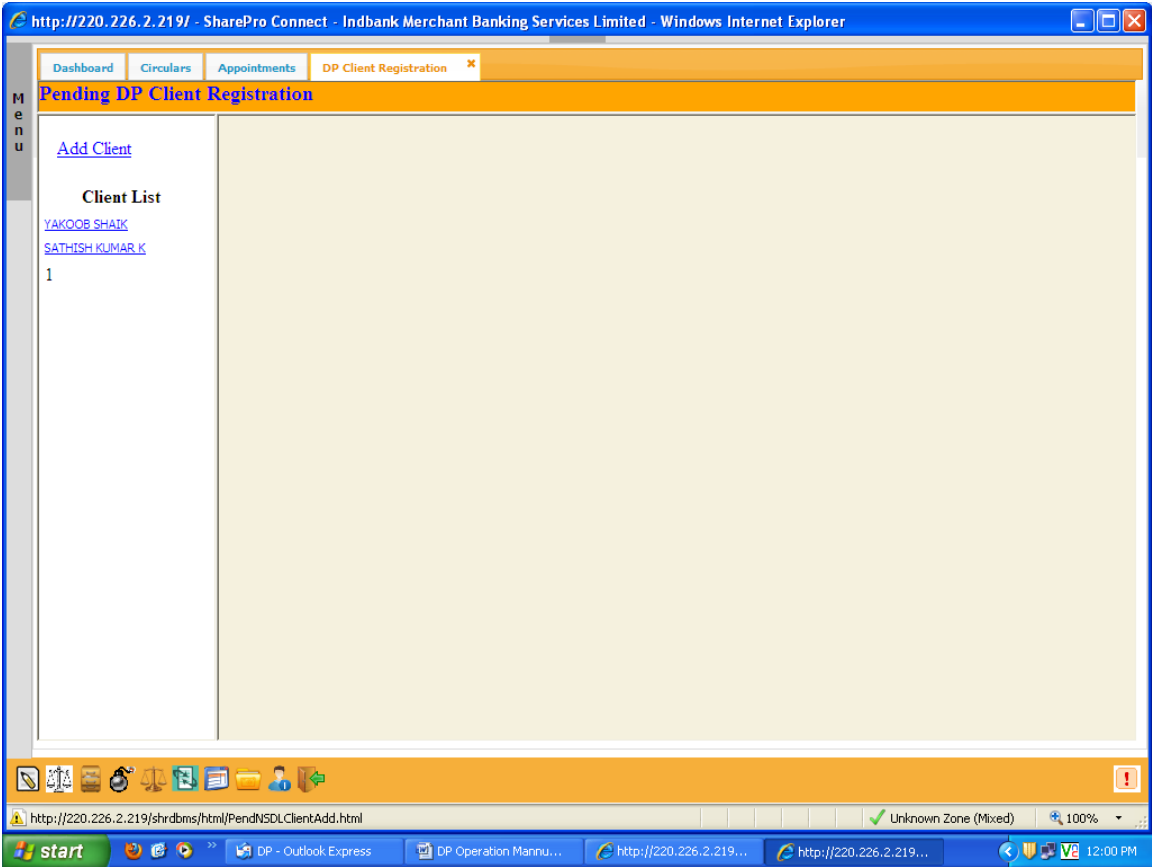
**Data Entry**  
- Cheque Entries  
- New Client Request  
+ **NSDL Transactions**  
- Instruction Slip Checking  
- UCC Rectification Request  
- Cash/Bank Entry Authorisation  
- Cheque Request  
- [DP Client Registration](#)  
+ **Share Reports**  
+ **FO Reports**  
+ **DeMat Reports**  
+ **A/C Reports**  
+ **Utilities**  
+ **DP Reports**  
- Logout

Dashboard Circulars Appointments

start DP - Outlook Express DP Operation Manu... http://220.226.2.219... http://220.226.2.219... 11:59 AM

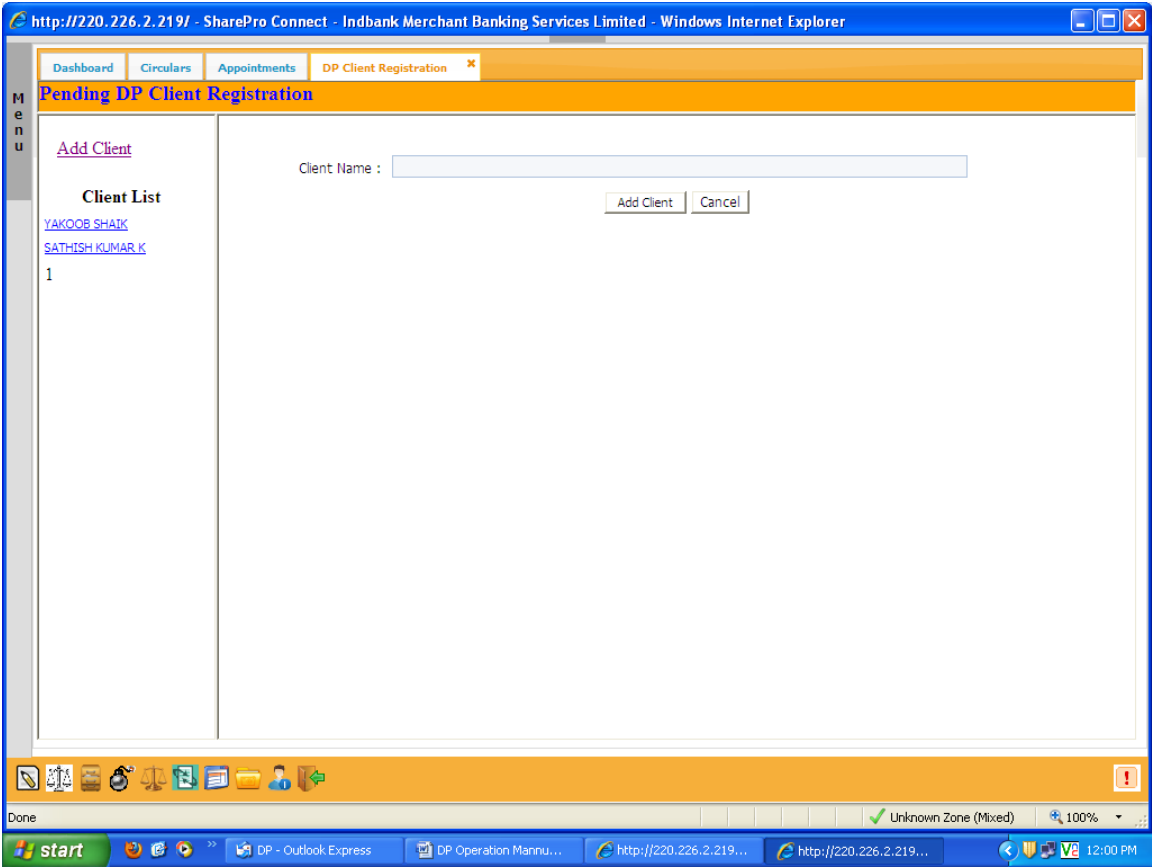
# DP Operations Manual

CLICK ON ADD CLIENT



# DP Operations Manual

TYPE CLIENT NAME IN CLIENT NAME OPTION AND CLICK ADD CLIENT OPTION BELOW



# DP Operations Manual

ADD REQUIRED DETAILS IN FIRST HOLDER DETAILS, FIRST HOLDER OTHER DETAILS, SECOND HOLDER DETAILS ( IF ANY ), THIRD HOLDER DETAILS ( IF ANY) & ADDRESS DETAILS .

DO NOT ADD DETAILS IN AUTHORISED SIGNATORY DETAILS.

SAVE THE DETAILS AND WRITE DOWN INTERNAL CODE IN ACCOUNT OPENING FORM

SharePro Connect - Indbank Merchant Banking Services Limited - Mozilla Firefox

File Edit View History Bookmarks Tools Help

Welcome to Indbank Merchant Banking S... x SharePro Connect - Indbank Merchant B... x +

220.226.2.219/shrdbms/userlogin.ss

AVG Secure Search

Dashboard Circulars Appointments **DP Client Registration**

**Pending DP Client Registration**

[Add Client](#)

**Client List**

- JAYAKUMAR R
- K.RAMAKRISHNAN
- MAYILSWAMY R
- M.L.M.MEENAKSHI SUNDARAM
- MEENAKSHI SUNDARAM M.L.M
- RAJAGOPALAJAH O
- P.SEETHARAMAN
- PRAKASH P
- SUNIL SUDHAKAR
- SENTHIL GANESH K
- P. AMALANATHAN
- RAJAGOPALAN V.R

1

Internal Code : CA00000057 | ABC

First Holder Details First Holder Other Details Second Holder Details Third Holder Details Address Details Authorised Signatory

Ben Type: Resident Ben Sub Type: Resident-Ordinary

Ben Category: Non House Beneficiary Ben Occupation: Service

Full Name: ABC Exchange Id: None

Short Name: ABC

Father Name: Board of Resolution

Email: Memorandum of Article

Mapin: Proof of Identity: None

Mobile: Proof of Address: None

Land Phone: No. of First Holder Signatories: 0

PAN Flag: Yes No. of Second Holder Signatories: 0

SEBI RegnNo.: No. of Third Holder Signatories: 0

TDS: SMS: Yes

Sender RefNo1: Poa Flag: No

Sender RefNo2: Standing Indicator: Yes

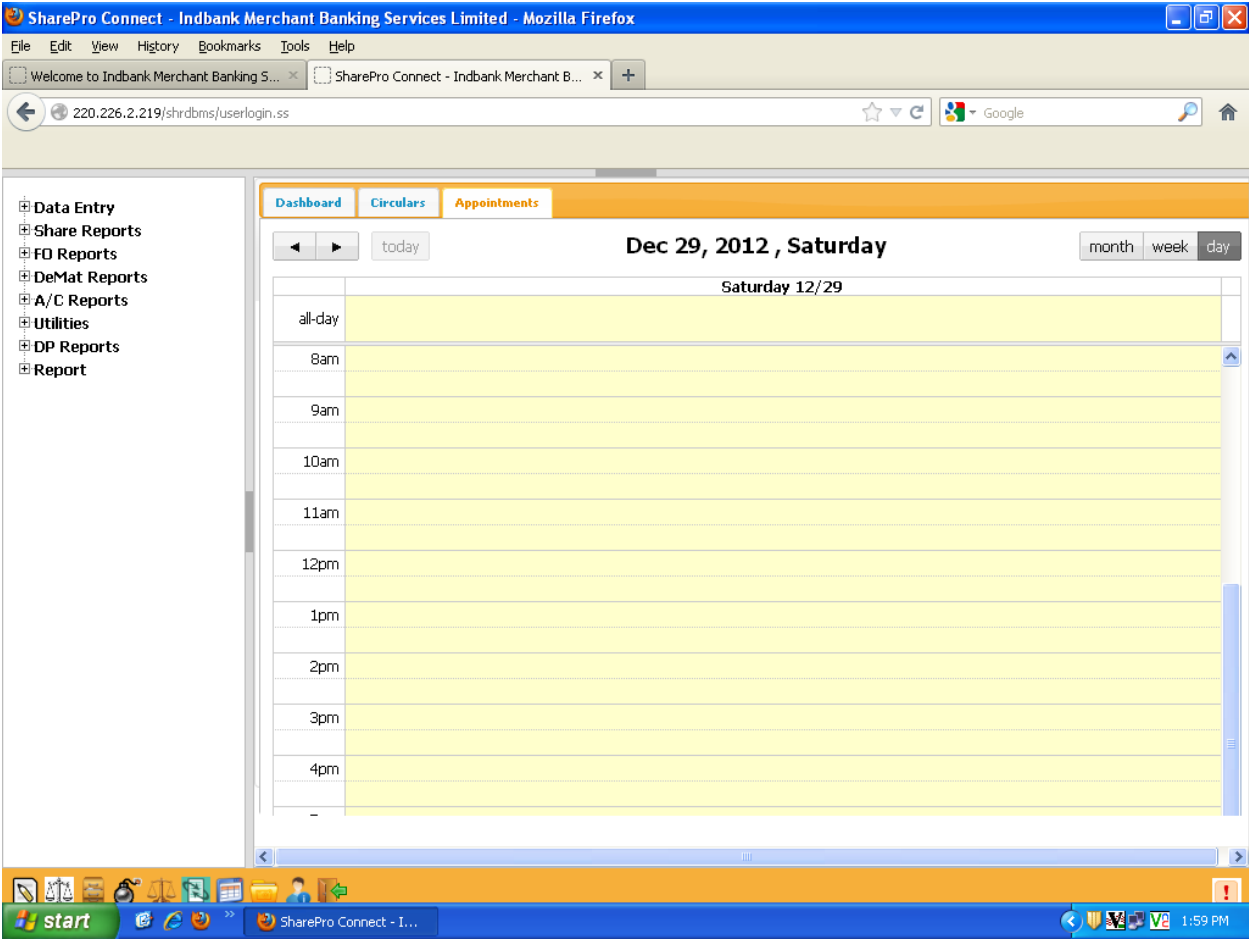
Signature Size: 0

Charge Basket:

start DISSCAN - Outlook E... SharePro Connect - I... Document1 - Microsof... [SharePro] Indbank ... 12:36 PM

# DP Operations Manual

For viewing Bill details of Demat account holder Select A/c Reports -> Ledger



# DP Operations Manual

SharePro Connect - Indbank Merchant Banking Services Limited - Mozilla Firefox

File Edit View History Bookmarks Tools Help

Welcome to Indbank Merchant Banking S... x SharePro Connect - Indbank Merchant B... x +

220.226.2.219/shrdbms/userlogin.ss

Google

Dashboard Circulars Appointments

today

Dec 29, 2012, Saturday

month week day

Saturday 12/29

all-day

8am

9am

10am

11am

12pm

1pm

2pm

3pm

4pm

start

SharePro Connect - I... Document1 - Microsof...

1:59 PM



# DP Operations Manual

Select Segment as 'All' - General Ledger as 'NSDL Client' . Type Demat account number of the client in Dp Client Option. Select Date range and click View

The screenshot displays the 'Accounting Ledger' application window. The interface includes a top navigation bar with tabs for 'Dashboard', 'Circulars', 'Appointments', and 'Ledger'. A vertical 'Menu' bar is on the left. The main content area contains a search and filter form with the following fields and options:

- Segment: All (dropdown)
- Dp Client: 10253827 (text input)
- From: 01/04/2012 (date input)
- To: 31/12/2012 (date input)
- General Ledger: NSDL Client (dropdown)
- Trade Datewise:
- Output: Screen (dropdown)
- Copy: Office Copy (dropdown)
- Consolidate Settlement Wise:
- Summarise Voucher wise:
- Summarise Deliveries Settlement wise:
- Summarise DF bills Settlement wise:
- Print from Last Zero Balance:
- Print Vellan Details:
- Exclude Detail of Demat Charges and Serv.Tax On Demat Charges:
- Datewise Summarise ( For FD):
- Print Journal Details:
- Exclude ledgers without transactions:
- Running Totals:
- Print Narrations:
- Sort Settlement wise:
- Separate Uncleared Receipts:
- Include Cash and Share margin:
- Include Initial Margin:
- Print Payee Name:
- Print sorted on Account Name:
- Breaks: None (dropdown)

At the bottom of the form are 'View' and 'Cancel' buttons. The window title is 'Accounting Ledger'. The Windows taskbar is visible at the bottom of the screen.

# DP Operations Manual

Consolidated ledger details of the client will appear. Now click on DPBill option to view bill breakup

Dashboard
Circulars
Appointments
Ledger

Ledger
01/04/12-31/12/12

Voucher Sett# Date	Entry Details	Amount Debit	Amount Credit	Running Balance	DrCrImage
<b>10253827 SRIPADA KANAKA DURGA [SC0170]</b>					
	<b>Opening Balance</b>				0.00 Cr
02/05/12	<a href="#">DPBILL</a> Bill 12-13/00014111 Dated 02/05/12		281.00	281.00	
04/05/12	<a href="#">MGT - 420158720 IB</a> DP debit recovered from SB ac on 03.05.2012			281.00	0.00 Cr <a href="#">Image</a>
03/09/12	<a href="#">DPBILL</a> Bill 12-13/00022995 Dated 03/09/12		112.00	112.00	
04/09/12	<a href="#">MGT - 420158720 IB</a> Dp dues recovered from SB ac on 04.09.2012			112.00	0.00 Cr
22/11/12	Inter Segment Balance Transfer From NSDL To NSE Of Client			1.00	1.00 Cr
23/11/12	Inter Segment Balance Transfer From NSDL To NSE Of Client		1.00		0.00 Cr
28/11/12	Trading amount trfd to DP	284.73		284.73	
06/12/12	<a href="#">DPBILL</a> Bill 12-13/00029875 Dated 06/12/12		28.00	312.73	
	<b>Transaction Totals</b>		706.73	394.00	
	<b>Closing Balance</b>				312.73 Dr

NSE/NO\_BSE/NGDL/NMFS

# DP Operations Manual

Printout of bill breakup can be taken through this screen

The screenshot shows a web application interface with a navigation menu (Dashboard, Circulars, Appointments, Ledger) and a main content area. A window titled 'BILL / TRANSACTION / HOLDING STATEMENT' is open, displaying the following information:

**Customer Details:**  
 Name: SRIPADA KANAKA DURGA, Status: Active [03/12/10], Bill No.: 12-13/00022995  
 ClientId: 10253827, Branch: CHENNAI BRANCH, Date: 03/09/12  
 Address: NO 19/9, Group: , Period: 01/08/12 - 31/08/12  
 2 ND FLOOR MANNAR ST, Basket: GEN, Due Date: 18/09/12  
 T NAGAR  
 CHENNAI 600017  
 Category: Non House Beneficiary, Type: Resident, SubType: Ordinary  
 Mobile: 9962833199, Email:

Date	TranId	Particulars	Rate/No.Certs	Qty-In	Qty-Out	Balance Quantity	Amount (Rs) Dr	Amount (Rs) Cr
31/08/12		<b>INE001A01036 HOUSING DEVELOPMENT FINANCE CORPORAT</b>						
		Beneficiary Opening Balance				2		
07/08/12	10000000306093	To- AXIS BANK LIMITED / 13736624		2			25.00	
		Closing Balance				0		
		<b>INE067A01029 CROMPTON GREAVE EQ NEW FV RS.2/-</b>						
		Beneficiary Opening Balance				4		
07/08/12	10000000306092	To- AXIS BANK LIMITED / 13736624		4			25.00	
		Closing Balance				0		