

VeDAS Implementation	BO Account Maintenance System
User Manual - DP	

## **6 Beneficiary Owner Account Maintenance System**

### **6.1 Purpose**

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

### **6.2 Modes of Operation**

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

### **6.3 Access Restrictions**

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

## 6.4 Screen Layout

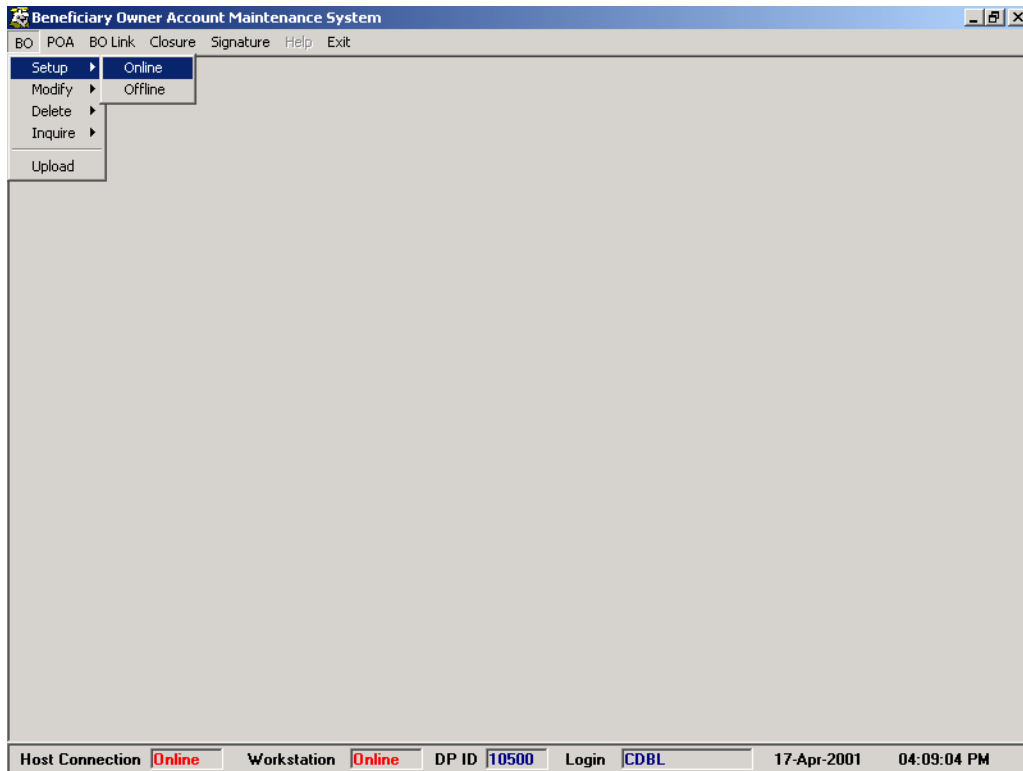


Figure 6.1. Initial Screen For BO Account Maintenance System

### 6.4.1 BO Setup

#### Activation Options

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

Figure 6.2. Screen for BO Setup

## Field List

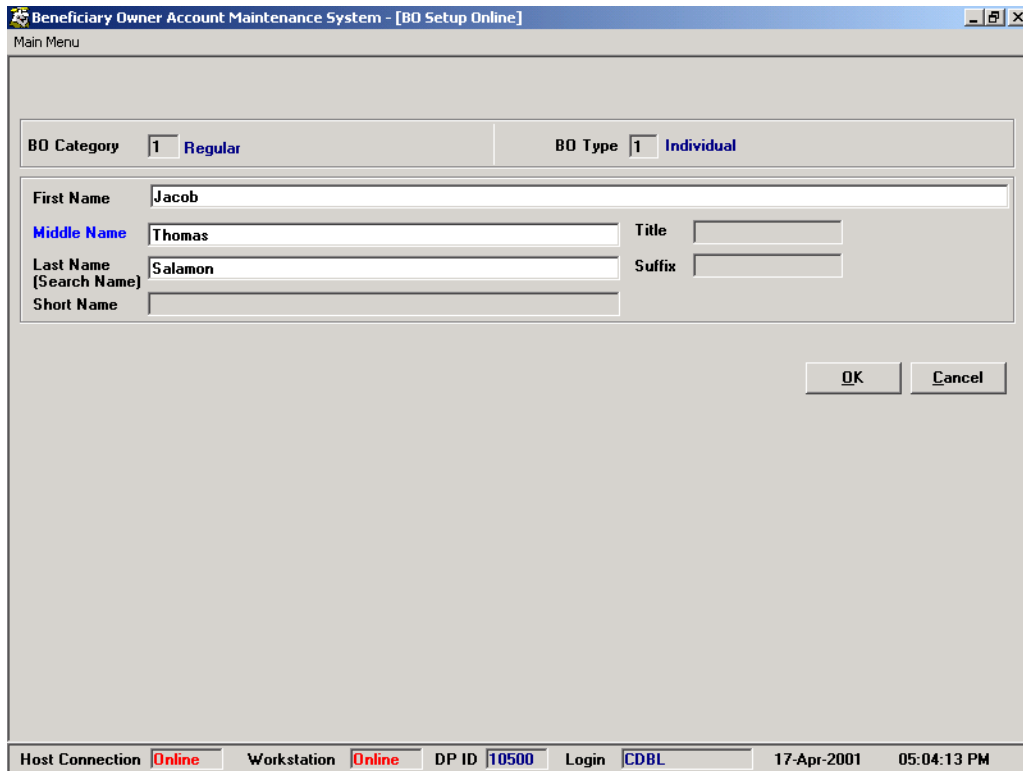
Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

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

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## Buttons Available

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



Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO Category  Regular

BO Type  Individual

First Name

Middle Name  Title

Last Name (Search Name)  Suffix

Short Name

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

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

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

## Field List

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

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

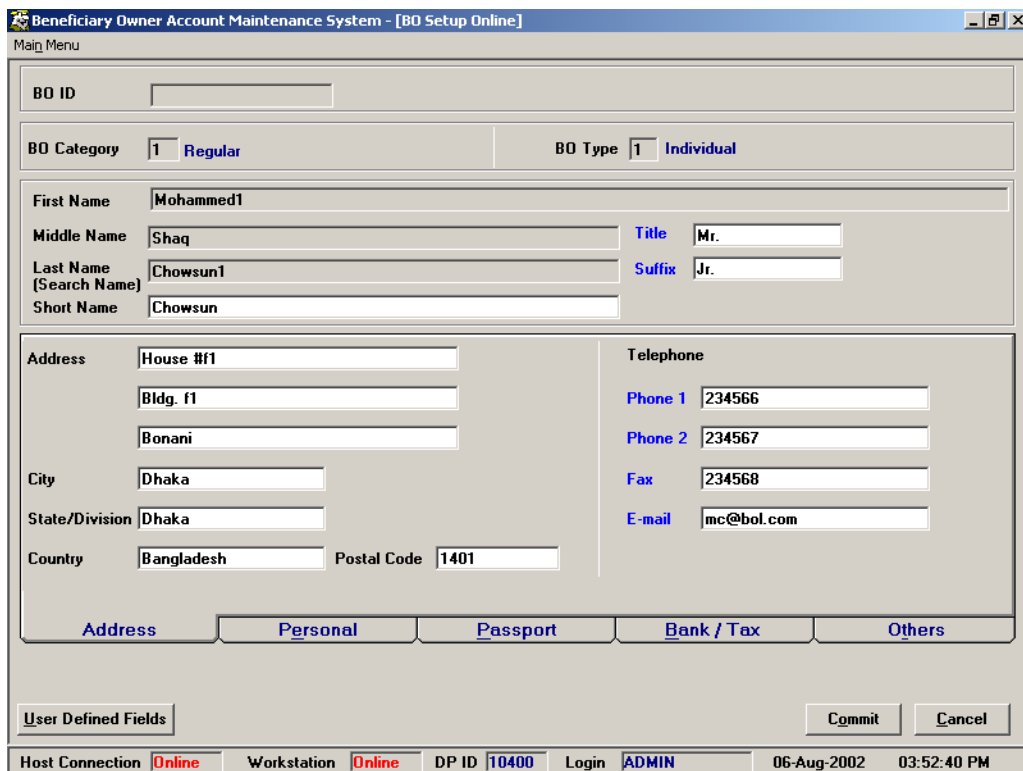
## Buttons Available

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

### Duplicate Search Logic:

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

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



Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category:  Regular BO Type:  Individual

First Name:  Middle Name:  Title:  Last Name (Search Name):  Suffix:  Short Name:

Address:  Bldg. f1:  Bonani:  City:  State/Division:  Country:  Postal Code:

Telephone:  Phone 1:  Phone 2:  Fax:  E-mail:

Address Personal Passport Bank / Tax Others

User Defined Fields

Commit Cancel

Host Connection: Online Workstation: Online DP ID: 10400 Login: ADMIN 06-Aug-2002 03:52:40 PM

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

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## Field List

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

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

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

## Field List

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

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



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

## Field List

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

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

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

## Field List

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

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

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

## Field List

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

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

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

#### Buttons Available

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

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Main Menu

BO ID:

BO Category:  Regular BO Type:  Joint Holder

First Name:  Title:

Middle Name:  Suffix:

Last Name (Search Name):

Short Name:

User Defined Fields

BO Sponsor Flag: ☐

BO Financial Institution: ☐

Field 1: ☐

Field 2: ☐

Field 3: ☐

OK Cancel

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

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

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID:

BO Category:  Regular BO Type:  Joint Holder

First Name:  Title:

Middle Name:  Suffix:

Last Name (Search Name):

Short Name:

Second Account Holder

First Name:  Title:

Middle Name:  Suffix:

Last Name:

Short Name:

Third Account Holder

First Name:

Middle Name:  Title:

Last Name:  Suffix:

Short Name:

OK Cancel

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

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

## Buttons Available

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

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

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

Digit 2 – Depository Participant Type

Digit 3 To Digit 8 – Depository Participant ID

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

Digit 16 – Check Digit

The last 8 digits form the BO Code.

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

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

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

## Buttons Available

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

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

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

BO XYZ approaches Broker DP1 (010100) to open an account for the first time  
At the time of BO Setup by DP1 the system determines that no accounts exist for BO XYZ using the Duplication Search Logic, so a new BO ID will be generated for him like (1-2-010100-0000001-9)

Now if BO XYZ opens an account with Regular DP2 (010300) then the system will determine that an account exists for the BO. If the BO opts to create a new link then his BO ID will be (1-3-010300-0000001-9)

If the BO opts to create a new BO account then a new BO ID will be generated for him e.g. 1-3-010300-0000429-0

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

BO ID

BO Category **1** Regular BO Type **1** Individual

First Name Joseph

Middle Name Jacob Title Mr

Last Name (Search Name) Smith Suffix Sr

Short Name Smith

Residency Flag ☒ Resident DP Internal Ref. No.

Nationality BAN Bangladesh Trading ID

Date Of Birth 01-Jan-1954 Exchange ID

Maturity Date For Minor BO BO Account Status **1** Active

Registration Number BO Suspension Flag **0** Not Suspended

Statement Cycle Code Setup Date 18-Apr-2001

Address Personal Passport Bank / Tax Others

User Defined Fields Commit Cancel

Host Connection Online Workstation Online DP ID 10500 Login CDBL 18-Apr-2001 05:39:32 PM

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

Beneficiary Owner Account Maintenance System - [BO Setup Online]

Main Menu

**BO Details**

First Name Joseph

Middle Name Jacob Title Mr

Last Name (Search Name) Smith Suffix Sr

Short Name Smith

Address CMCH Telephone

Phone 1

Phone 2

City Chittagong Fax

State/Division Chittagong E-mail

Country Bangladesh Postal Code 109745

Address Personal Passport Bank / Tax Others

User Defined Fields Close

Host Connection Online Workstation Online DP ID 10500 Login CDBL 18-Apr-2001 05:38:59 PM

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



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

Figure 6.15. Screen for Offline BO Setup

## 6.4.2 BO Inquiry

### Activation Options

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

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

Figure 6.16.Screen for Online BO Inquiry

### Buttons Available

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

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

Beneficiary Owner Account Maintenance System - [BO Inquire Online]

Main Menu

BO ID: 12010300

OK Cancel

**BO Selection Criteria**

**BO Type**

☐ Individual

☐ Company/ Omnibus

☐ Joint Holders

**Search Criteria**

☒ BO ID

☐ Search Name (Last Name)

☐ DP Internal Ref. No.

Account Status: Active

BO ID: 1 2 0103 00

OK Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: ADMIN 25-Sep-2002 11:23:26 AM

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

Beneficiary Owner Account Maintenance System - [BO Inquire Online]

Main Menu

BO ID: 12010300

OK Cancel

**BO Selection Criteria**

**BO Type**

☒ Individual

☐ Company/ Omnibus

☐ Joint Holders

**Search Criteria**

☐ BO ID

☒ Search Name (Last Name)

☐ DP Internal Ref. No.

Account Status: Active

Search Name:

OK Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: ADMIN 25-Sep-2002 11:24:14 AM

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

### Inquiry Selection Criteria

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

### Buttons Available

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

Beneficiary Owner Account Maintenance System - [BO Inquire Online]

**BO Details - Selected BOs**

**Selection Criteria**  
Search Name

BO ID	Last Name	First Name	Middle Name
1 3 0103 00 0000429 0	Jalota	Anup	
1 3 0103 00 0000409 2	Joglekar	Uday	
1 3 0103 00 0000601 6	Joshi	Amar	

First Holder Name

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 01:31:15 PM

Figure 6.19. Screen for BO Group Details Inquiry

### Buttons Available

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

Beneficiary Owner Account Maintenance System - [BO Inquire Online]

Main Menu

BO ID: 1 3 0103 00 0000664 5 R.S.Shinde

BO Category: 1 Regular BO Type: 1 Individual

First Name: Rajaram

Middle Name: Shitram Title: Mr

Last Name (Search Name): Shinde Suffix: Sr

Short Name: R.S.Shinde

Address: Dadar Mahim Sion

City: Mumbai

State/Division: Maharashtra

Country: India Postal Code: 4000021

Telephone: Phone 1: 4000090 Phone 2: Fax: 4000091 E-mail: rsshinde@hotmail.com

Address Personal Passport Bank / Tax Others

User Defined Fields Close

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 18-Apr-2001 01:46:45 PM

Figure 6.20. Screen for Online BO Inquiry

### Buttons Available

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

## 6.4.3 BO Modify

### Activation Options

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

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

Beneficiary Owner Account Maintenance System - [BO Modify Online]

Main Menu

BO ID: 1 3 0103 00 0000664 5 R.S. Shinde

BO Category: 1 Regular BO Type: 1 Individual

First Name: Rajaram

Middle Name: Shitram Title: Mr

Last Name (Search Name): Shinde Suffix: Sr

Short Name: R.S. Shinde

Address: Dadar Mahim Sion

City: Mumbai

State/Division: Maharashtra

Country: India Postal Code: 4000021

Telephone: Phone 1: 4000090 Phone 2: Fax: 4000091 E-mail: rsshinde@hotmail.com

Address Personal Passport Bank / Tax Others

User Defined Fields

Commit Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 18-Apr-2001 02:19:40 PM

Figure 6.21. Screen for Online BO Modify

## 6.4.4 BO Delete

### Activation Options

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

Beneficiary Owner Account Maintenance System - [BO Delete Offline]

Main Menu

BO Ref.No.

BO Category  Regular BO Type  Individual

First Name  Middle Name  Title  Last Name (Search Name)  Suffix  Short Name

Address  Telephone  Phone 1  Phone 2  Fax  E-mail

City  State/Division  Country  Postal Code

[Address](#) [Personal](#) [Passport](#) [Bank / Tax](#) [Others](#)

User Defined Fields

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 10:10:24 AM

Figure 6.22. Screen for Offline BO Delete

### Buttons Available

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

## 6.4.5 BO Upload

### Activation Options

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



Figure 6.23.Screen for Offline BO details Upload

### Field List

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

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

### Buttons Available

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

Category	Type	First/Company Name	Middle Name	Last Name	BO Ref.No	BO ID	Remark
1	1	Jacob		Smith	3	1301030000165051	Success

Upload Close

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 02:30:13 PM

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

## 6.4.6 POA/Additional Holders Setup

### Activation Options

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

DP can setup additional holders only for his BOs.

Figure 6.25.Screen for POA details Setup

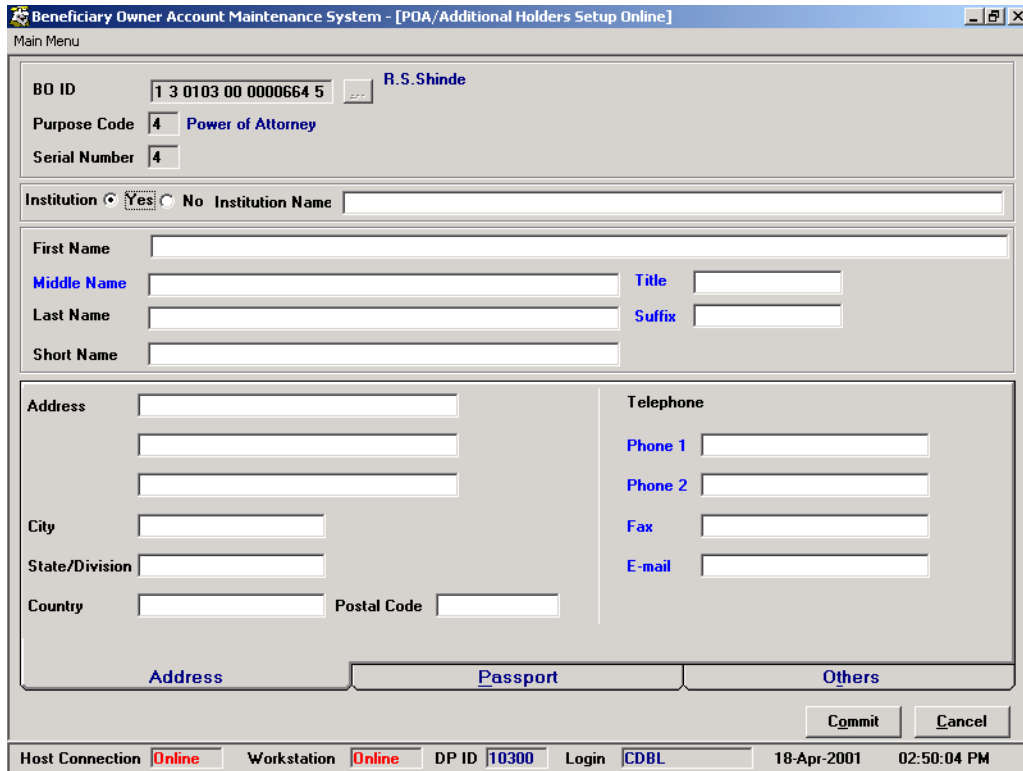
## Field List

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

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

## Buttons Available

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



Beneficiary Owner Account Maintenance System - [POA/Additional Holders Setup Online]

Main Menu

BO ID: 1 3 0103 00 0000664 5 R.S.Shinde

Purpose Code: 4 Power of Attorney

Serial Number: 4

Institution: ☒ Yes ☐ No Institution Name:

First Name:

Middle Name: Title:

Last Name: Suffix:

Short Name:

Address:

City:

State/Division:

Country: Postal Code:

Telephone:

Phone 1:

Phone 2:

Fax:

E-mail:

Address Passport Others

Commit Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 18-Apr-2001 02:50:04 PM

Figure 6.26. Screen for POA Setup with Address tab selected

Figure 6.27. Screen for POA Setup with Others tab selected

## Field List

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

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

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

Figure 6.28. Screen for Nominee Setup with Others tab selected

### Buttons Available

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

## 6.4.7 POA/Additional Holders Inquiry

### Activation Options

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

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

### Inquiry Selection Criteria

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

### Buttons Available

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

Beneficiary Owner Account Maintenance System - [POA/ Additional Holders Inquire Online]

Main Menu

BO ID: 1 3 0103 00 0000664 5 R.S.Shinde

Purpose Code: 5 Heir

Serial Number: 1

First Name: Rangnath

Middle Name: Changdeo Title: Mr

Last Name: Bhalerao Suffix: Sr

Short Name: R.C.Bhalerao

Address: Sion Telephone: Phone 1: 400052

Dadar Phone 2: 400053

City: Mumbai Fax: 400054

State/Division: Maharashtra E-mail: rangnath@bandra.cmc.net

Country: India Postal Code: 400051

Address Passport Others

Close

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 18-Apr-2001 05:43:05 PM

Figure 6.30. Screen for POA Details Inquiry

## 6.4.8 POA/Additional Holders Modify

### Activation Options

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



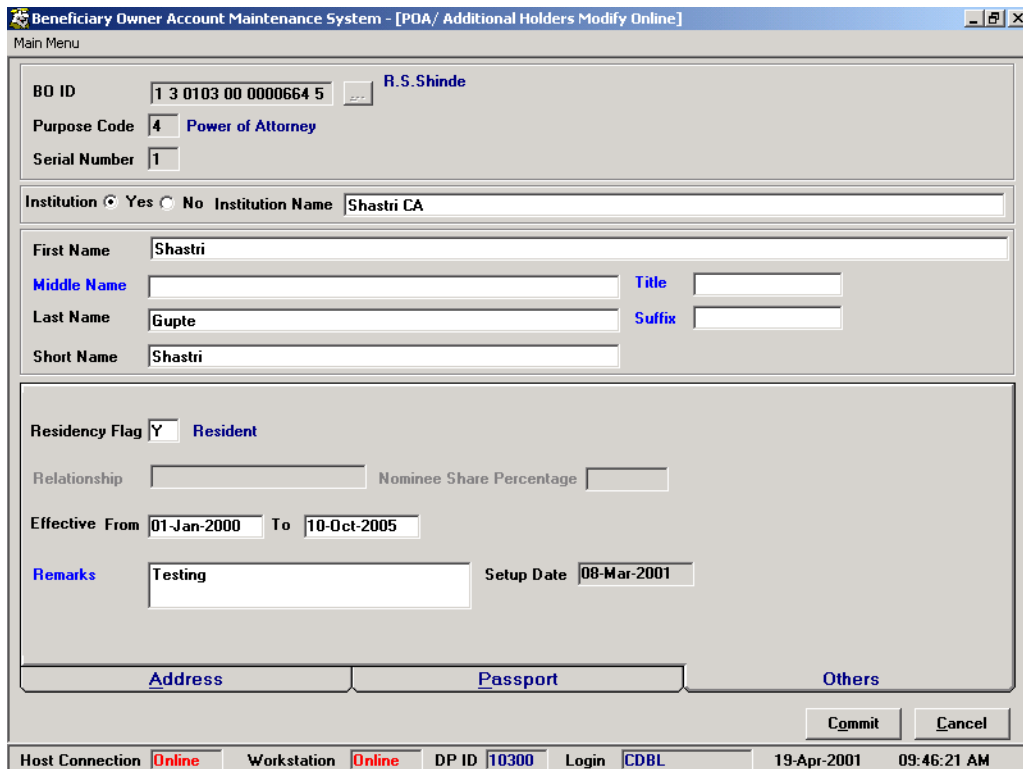


Figure 6.31. Screen for POA Details Modify

## 6.4.9 POA/Additional Holders Delete

### Activation Options

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

Figure 6.32. Screen for POA Details Delete

### Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Delete operation and return to the previous screen	Alt + C
Delete	To successfully Delete the POA/Additional Holder details	Alt + D

## 6.4.10 POA/Additional Holders Upload

### Activation Options

Menu Name	Purpose	Hot Key
POA > Upload	To upload the POA/Additional Holder details which were set up in Offline mode	Alt + P > U

Beneficiary Owner Account Maintenance System - [POA/Additional Holder Setup Upload]

Main Menu

FirstName	Middle Name	Last Name	BO ID	Purpose Code	Serial Number	Remark
Jumana		Fatehi	1301030000006645	6	7	

Upload Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 19-Apr-2001 10:18:21 AM

Figure 6.33. Screen for Offline BO details Upload

## 6.4.11 Offline BO Link Setup

### Activation Options

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

Figure 6.34. Screen for Offline BO Link Setup

### Field List

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

Field Name	Description	Field Type	Remarks
BO Code	The BO Code for which the link is to be created	M, N	

### Buttons Available

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

Beneficiary Owner Account Maintenance System - [Setup BO Account Link Offline]

Main Menu

BO Code 0000001 9

Statment Cycle Code 01 First Of Month

DP Internal Ref. No. Ref12436

Commit Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 02:55:41 PM

Figure 6.35. Screen for Offline BO Link Setup

## 6.4.12 Offline BO Link Inquiry

### Activation Options

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

Beneficiary Owner Account Maintenance System - [Inquire BO Account Link Offline]

Main Menu

BO Code 0000001 9

OK Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 19-Apr-2001 10:46:15 AM

Figure 6.36. Screen for Offline BO Link Inquiry Search Criteria

### Inquiry Selection Criteria

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

Beneficiary Owner Account Maintenance System - [Inquire BO Account Link Offline]

Main Menu

BO Code

Statment Cycle Code  [First Of Month](#)

DP Internal Ref. No.

[Close](#)

Host Connection Online Workstation Online DP ID 10300 Login CDBL 19-Apr-2001 10:56:24 AM

Figure 6.37. Screen for Offline BO Link Inquiry

### 6.4.13 Offline BO Link Modify

#### Activation Options

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

Beneficiary Owner Account Maintenance System - [Modify BO Account Link Offline]

Main Menu

BO Code 0000001 9

Statment Cycle Code 01 First Of Month

DP Internal Ref. No. Ref12436

Commit Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 19-Apr-2001 10:41:29 AM

Figure 6.38. Screen for Offline BO Link Modify

## 6.4.14 Offline BO Link Delete

### Activation Options

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



Beneficiary Owner Account Maintenance System - [Delete BO Account Link Offline]

Main Menu

BO Code 0000001 9

Statment Cycle Code 01 First Of Month

DP Internal Ref. No. Ref12436

Delete Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 02:56:25 PM

Figure 6.39. Screen for Offline BO Link Delete

## 6.4.15 Offline BO Link Upload

### Activation Options

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

BO Code	Statement Cycle Code	DP Int. Ref. No.	Remark
00000019	01	Ref12436	

Upload Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 02:57:04 PM

Figure 6.40. Screen for Offline BO Link Details Upload

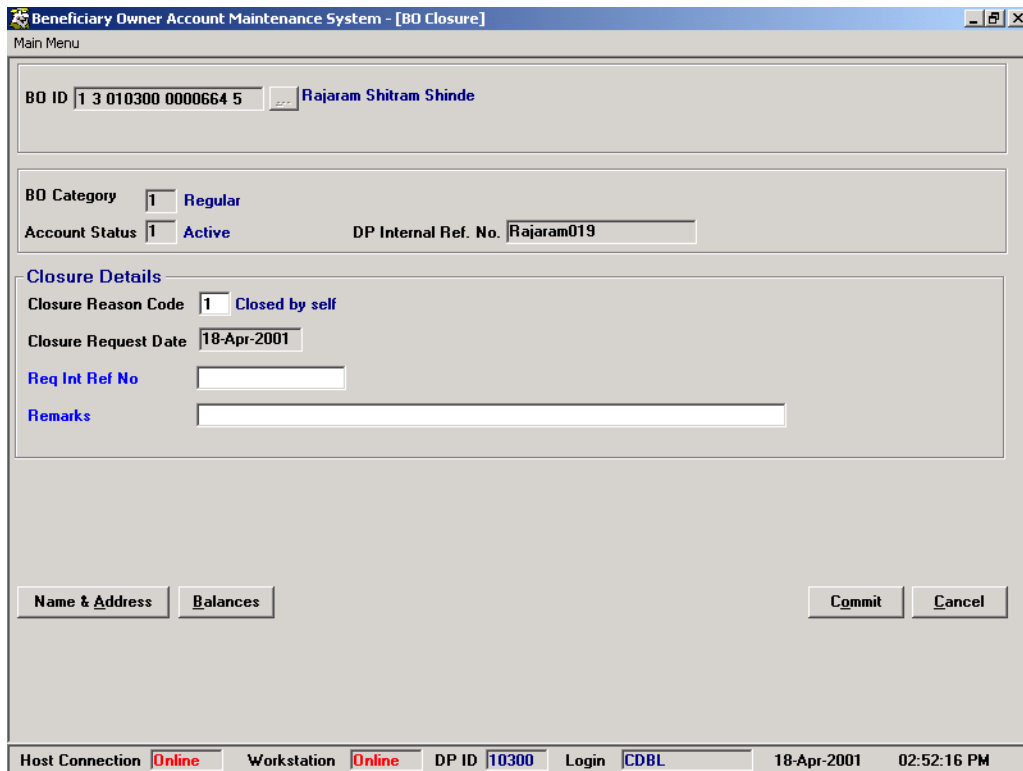
## 6.4.16 BO Closure Request Setup

### Activation Options

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

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

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



Beneficiary Owner Account Maintenance System - [BO Closure]

Main Menu

BO ID 1 3 010300 0000664 5 Rajaram Shitram Shinde

BO Category 1 Regular

Account Status 1 Active DP Internal Ref. No. Rajaram019

**Closure Details**

Closure Reason Code 1 Closed by self

Closure Request Date 18-Apr-2001

Req Int Ref No

Remarks

Name & Address Balances Commit Cancel

Host Connection Online Workstation Online DP ID 10300 Login CDBL 18-Apr-2001 02:52:16 PM

Figure 6.41. Screen for BO Closure Request Setup

## Field List

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

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

## Buttons Available

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

## 6.4.17 Cancel BO Closure Request

### Activation Options

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

Beneficiary Owner Account Maintenance System - [Cancel Closure Request]

Main Menu

BOs Requested for Closure

BO ID	Dp Internal Ref#	Request Closure Date
12 010500 0000193 1		21-Feb-2001
12 010500 0000599 9		20-Apr-2001

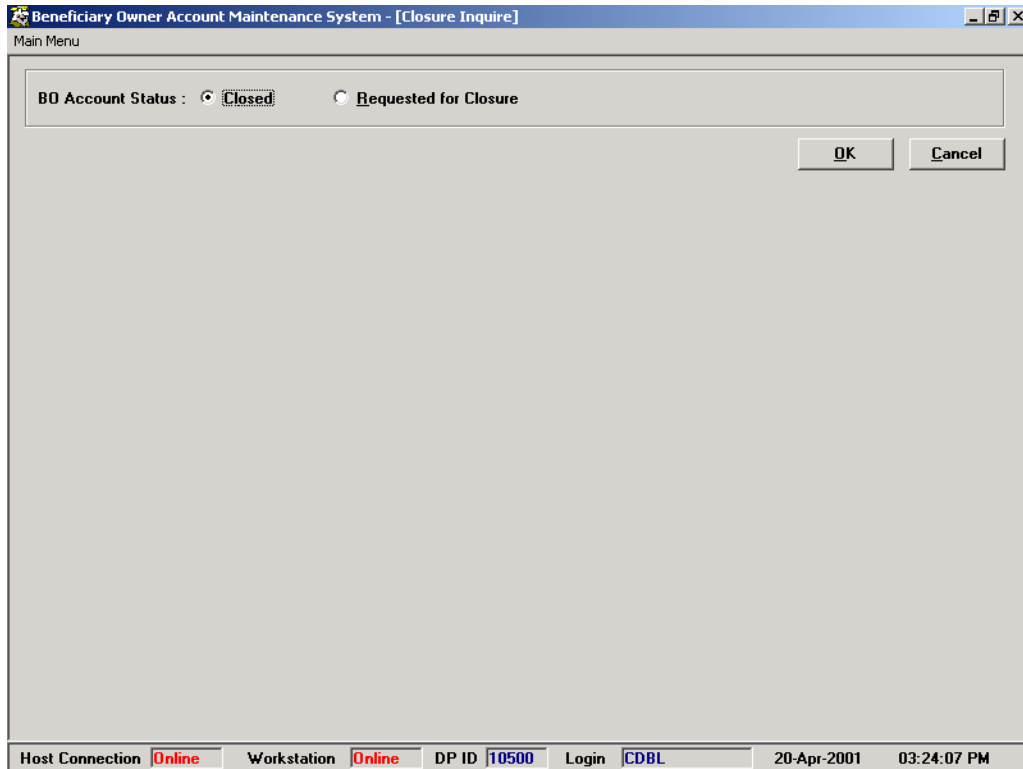
BO Name: Anil Dhirubhai Ambani

Select Cancel

Host Connection Online Workstation Online DP ID 10500 Login CDBL 20-Apr-2001 03:17:55 PM

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





Beneficiary Owner Account Maintenance System - [Closure Inquire]

Main Menu

BO Account Status : ☒ Closed ☐ Requested for Closure

OK Cancel

Host Connection Online Workstation Online DP ID 10500 Login CDBL 20-Apr-2001 03:24:07 PM

Figure 6.44. Screen for BO Closure Request Inquiry

### Inquiry Selection Criteria

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

Beneficiary Owner Account Maintenance System - [Closure Inquire]

Main Menu

**BOs Closed**

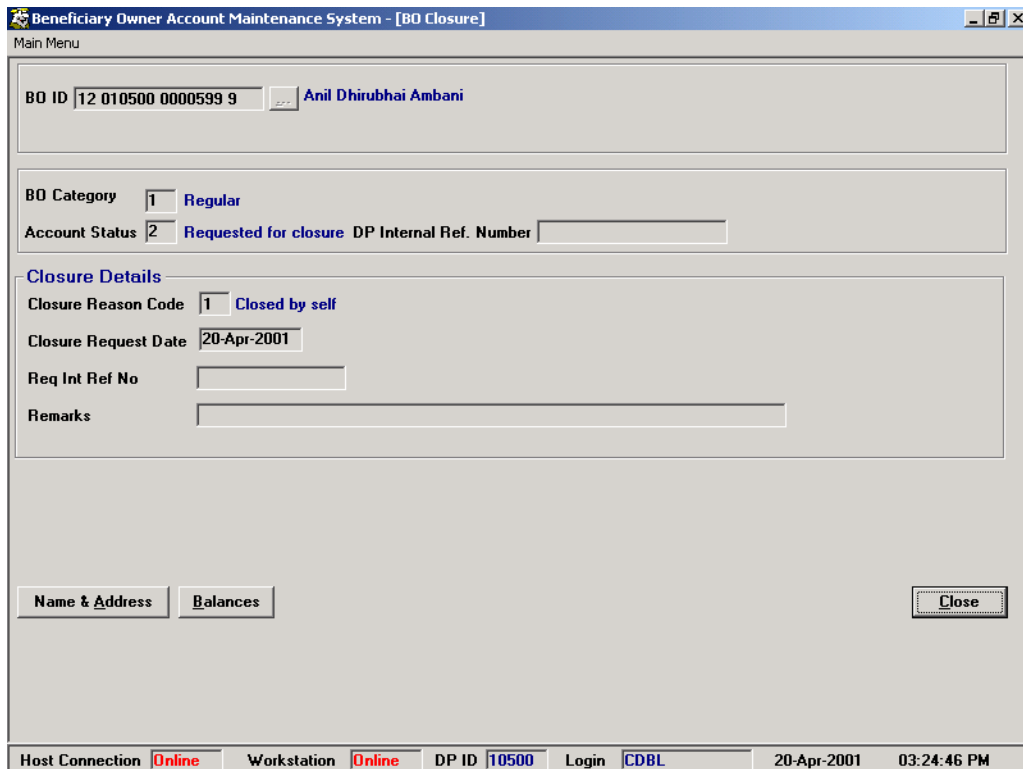
BO ID	DP Internal Ref. No.	Request Closure Date
13 010300 0016500 0		17-Apr-2001
13 010300 0016501 9		17-Apr-2001
13 010300 0016502 7		17-Apr-2001
13 010300 0016503 5		17-Apr-2001

BO Name

Host Connection Online Workstation Online DP ID  Login  18-Apr-2001 02:53:37 PM

Figure 6.45. Screen for BO Closure Request Inquiry

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



Beneficiary Owner Account Maintenance System - [BO Closure]

Main Menu

BO ID 12 010500 0000599 9 Anil Dhirubhai Ambani

BO Category 1 Regular

Account Status 2 Requested for closure DP Internal Ref. Number

**Closure Details**

Closure Reason Code 1 Closed by self

Closure Request Date 20-Apr-2001

Req Int Ref No

Remarks

Name & Address Balances Close

Host Connection Online Workstation Online DP ID 10500 Login CDBL 20-Apr-2001 03:24:46 PM

Figure 6.46. Screen for Detailed BO Closure Request Inquiry

## 6.4.19 BO Signature Setup

### Activation Options

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



Figure 6.47. Screen for BO Signature Setup

## Field List

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

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

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

### Buttons Available

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

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

## 6.4.20 BO Signature Inquiry

### Activation Options

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

Beneficiary Owner Account Maintenance System - [Signature Inquire Online]

Main Menu

BO ID: 1 3 0103 00 0000429 0

Purpose Code: 1

Serial Number: 1 Setup Date:

OK Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 22-Apr-2001 10:54:41 AM

Figure 6.48. Screen for BO Signature Inquiry Selection Criteria

### Buttons Available

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



Beneficiary Owner Account Maintenance System - [Signature Inquire Online]

Main Menu

BO ID: 130103000004290 A. Jalota

Purpose Code: 1 First Holder

Serial Number: 1 Setup Date: 22-Apr-2001

File Name: i:\SIGN\1301030000042900101.jpg

Signature

Close

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 22-Apr-2001 10:55:05 AM

Figure 6.49. Screen for BO Signature Inquiry

## 6.4.21 BO Signature Modify

### Activation Options

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

Beneficiary Owner Account Maintenance System - [Signature Modify Online]

Main Menu

BO ID: 1 2 0103 00 0000035 9 Shailendra Hirlekar

Purpose Code: 1 First Holder

Serial Number: 1 Setup Date: 18-May-2003

File Name: k:\10300\SIGN\12010300000003590101.jpg

Old Signature

Modify Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: ADMIN 18-May-2003 10:28:36 AM

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

### Buttons Available

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



Figure 6.51. Screen for BO Signature Modify

## Field List

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

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

## 6.4.22 BO Signature Delete

### Activation Options

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



Beneficiary Owner Account Maintenance System - [Signature Delete Online]

Main Menu

BO ID: 13 0103 00 0000429 0 A. Jalota

Purpose Code: 1 First Holder

Serial Number: 1 Setup Date: 22-Apr-2001

File Name: i:\SIGN\13010300000042900101.jpg

Signature: 

Delete Cancel

Host Connection: Online Workstation: Online DP ID: 10300 Login: CDBL 22-Apr-2001 10:55:53 AM

Figure 6.52. Screen for BO Signature Delete

### Buttons Available

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

## 6.5 Acknowledgements/Reports Available

### List of Acknowledgements

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

### List of Reports

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