

User Manual
FOR
KYC Registration Agency

DECEMBER 2011

About KRA:

SEBI (Securities and Exchange Board of India) has formulated the KYC Registration Agency (KRA) Regulations, which have been notified vide notification no. LAD-NRO/GN/2011-12/29/36772 dated December 2, 2011.

Purpose of KRA:

At present, if a client intends to open accounts with different intermediaries for the purpose of trading / investment in the securities market, he has to undergo the process of Know Your Client (KYC) again and again. Therefore, to avoid duplication of KYC process with every intermediary, a mechanism for centralization of the KYC records in the securities market has been developed.

Intermediary Login

Intermediary logs in to the system using his login id and password and is directed to the home page of KRA system. Fig. (a) below depicts the home page for an intermediary login, Fig. (b) below depicts the login page

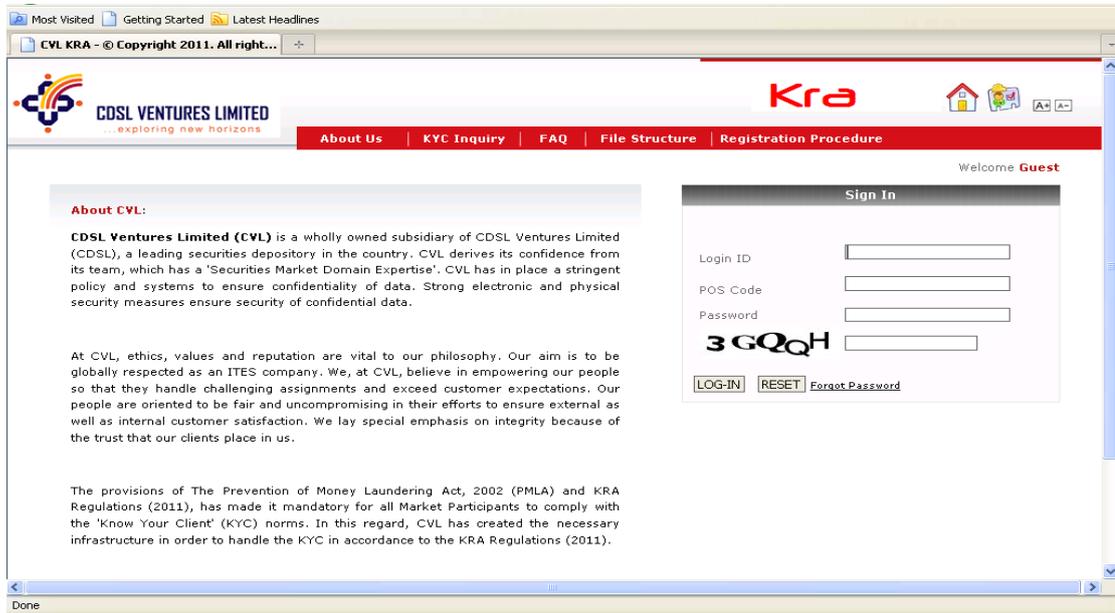


Fig (a) Home page of intermediary login.



Fig. (b) Login page of intermediary login.

Various menus in Admin login of POS are:

1. KYC
 - 1.1. KYC Inquiry
 - 1.2. New KYC
 - 1.2.1. Individual KYC
 - 1.2.2. Non - Individual KYC
 - 1.3. Modify KYC
 - 1.4. Fetch KYC
 - 1.5. Courier KYC
 - 1.6. File Download
 - 1.7. KYC Bulk upload

2. Admin
 - 2.1. Create POS branches
 - 2.2. Create Users for POS Branches

3. Reports
 - 3.1. User Details

4. Utilities
 - 4.1. Change Password
 - 4.2. File Structure

1. KYC

KYC menu has various sub menus which are explained below. In the home page scroll on KYC menu a drop down list of sub menus will be displayed. Click on KYC Inquiry sub menu from this list. (Fig 1)

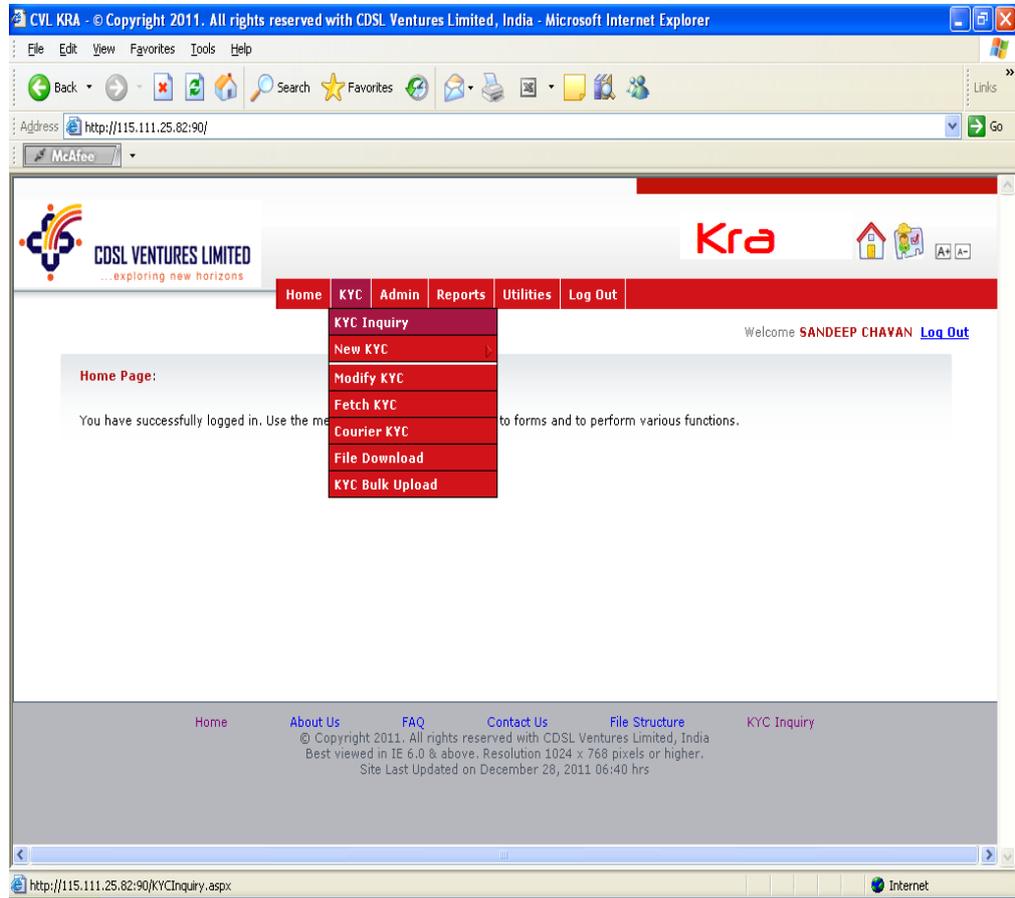


Fig (1) KYC Sub menus

1.1. KYC Inquiry:

This option is used to inquire on customer KYC. In the KYC inquiry search enter PAN and click on submit, The KYC details will be displayed as shown in Fig. (1.1) below:

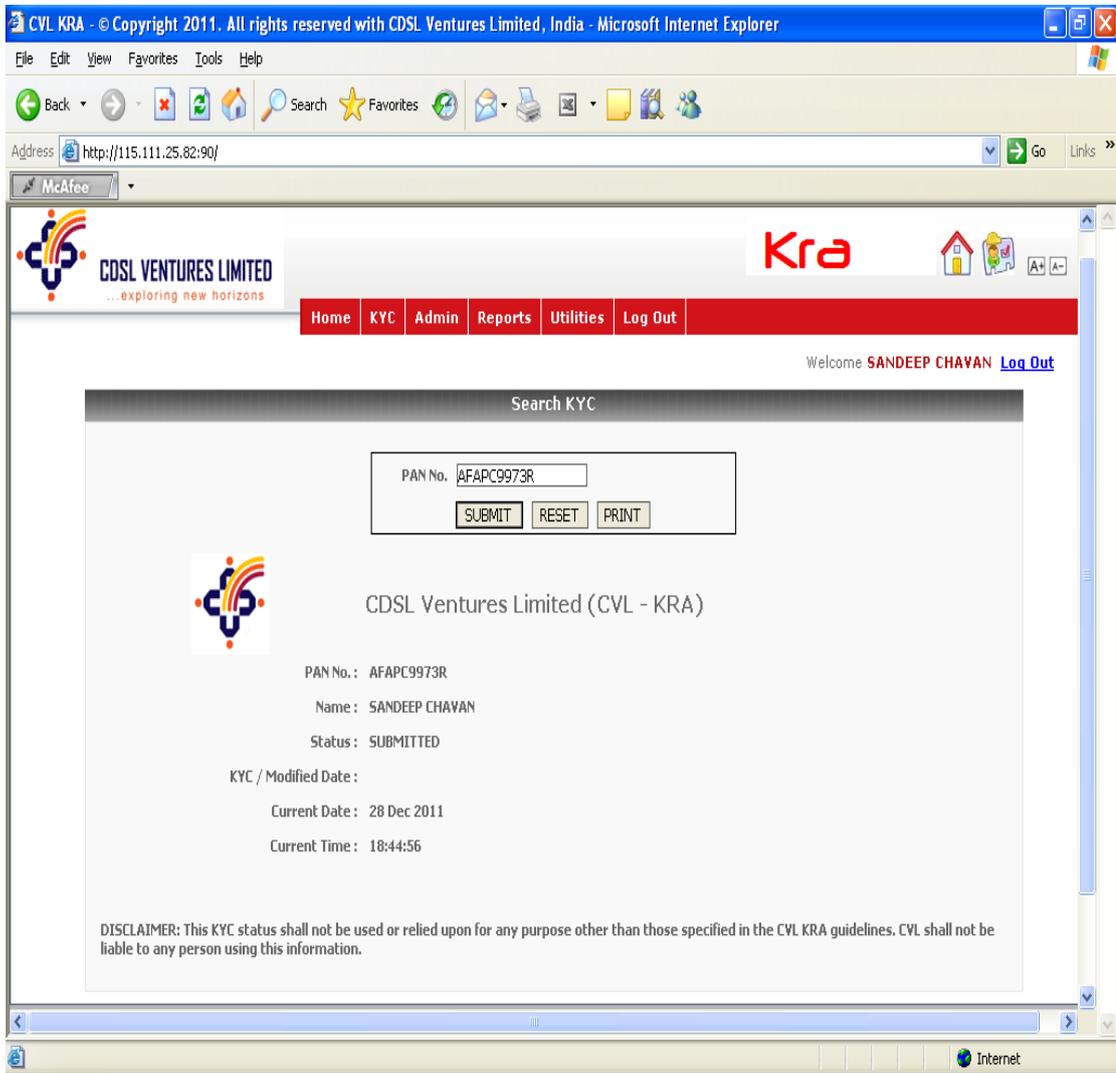


Fig (1.1) KYC Inquiry

1.2. New KYC

This menu is used to enter KYC details for Individual as well as Non- Individual customers. To enter new KYC details scroll on KYC menu and select Individual KYC under New KYC sub menu Fig (1.2)

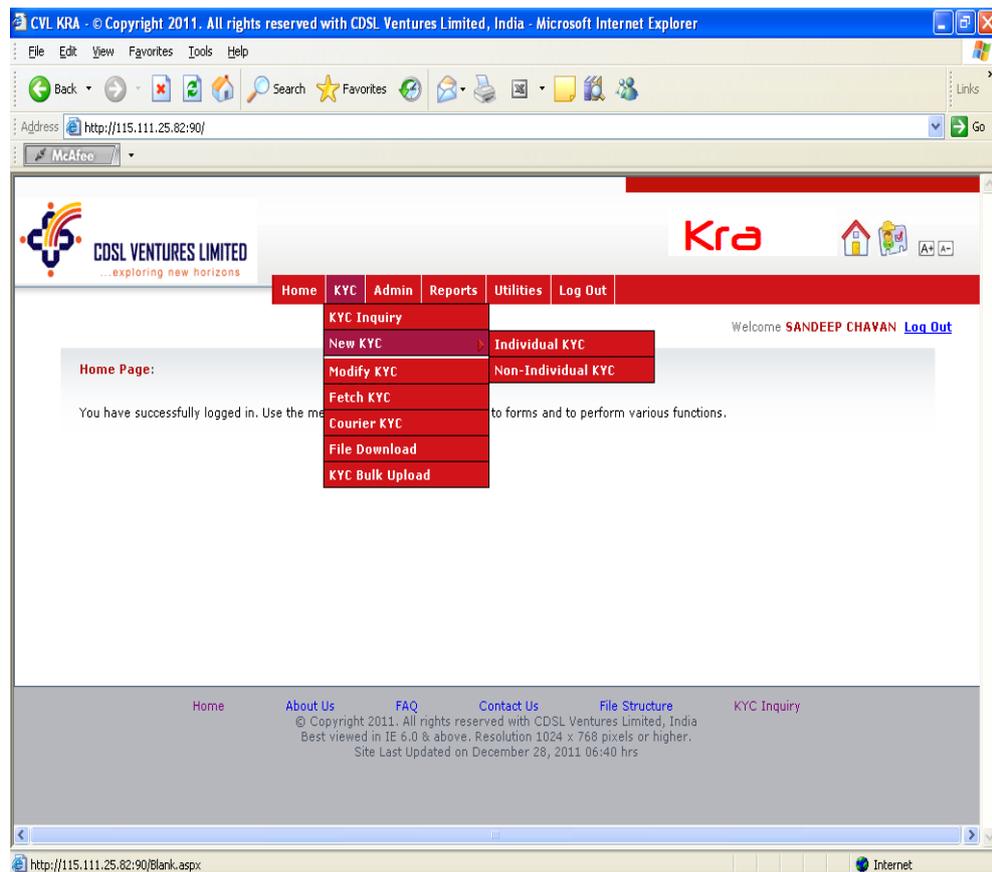


Fig (1.2) Individual KYC menu selection

1.2.1. Individual KYC

This option is used to capture individual customer data in 4 tabs viz., Master, Details, Contact information and others. Each tabs are explained below.

MASTER:

This tab is used to capture PAN details of the client. The various fields on this form are as below:

Current status: Displays the current status of KYC. It will be “NEW” for a new KYC registration.

Application number: The number which appears on the KYC application form.

Exempt type: This field is used to identify clients belonging to PAN exempted category.

Exempt category: List of categories for which PAN is exempted. For e.g.

- i) Sikkim Resident.
- ii) Non Indian State Government Body.
- iii) Non Indian Central Government Body.

PAN No: This field is used to capture PAN of the client. .

Application date, Exempt type, Exempt category and PAN number are the mandatory fields. Enter these details and click on next to open the details tab.

The screenshot shows a web browser window displaying the CVL KRA application. The page title is 'CVL KRA - © Copyright 2011. All rights reserved with CDSL Ventures Limited, India - Microsoft Internet Explorer'. The address bar shows 'http://115.111.25.82:90/'. The page features the CDSL Ventures Limited logo and a navigation menu with links for Home, KYC, Admin, Reports, Utilities, and Log Out. A user greeting 'Welcome SANDEEP CHAVAN Log Out' is visible. The main content area is titled 'KYC - Individuals' and contains a form with the following fields: Current Status (NEW), App No. (000001), Application Date (26/12/2011), Exempt Type (REGULAR), Exempt Category ([SELECT]), Pan No. (AWDPS8704R), and Proof Attached (YES). A 'NEXT' button is located at the bottom of the form. The footer contains links for Home, About Us, FAQ, Contact Us, File Structure, and KYC Inquiry, along with copyright information and a last updated date of December 28, 2011.

Fig. (1.2.1 - Master)

DETAILS:

This tab is used to capture details of customer such as his name, Date of Birth, Marital Status, Nationality etc. Enter details for mandatory fields, Gender, Name, Marital Status, Father's Name, Date of Birth, Nationality & Applicant status. For Applicant Status other than "Resident Individual", "Passport / PIO Card / OCI Card No" field is mandatory. Enter the details and click on next to open the 'Contact Info' tab.

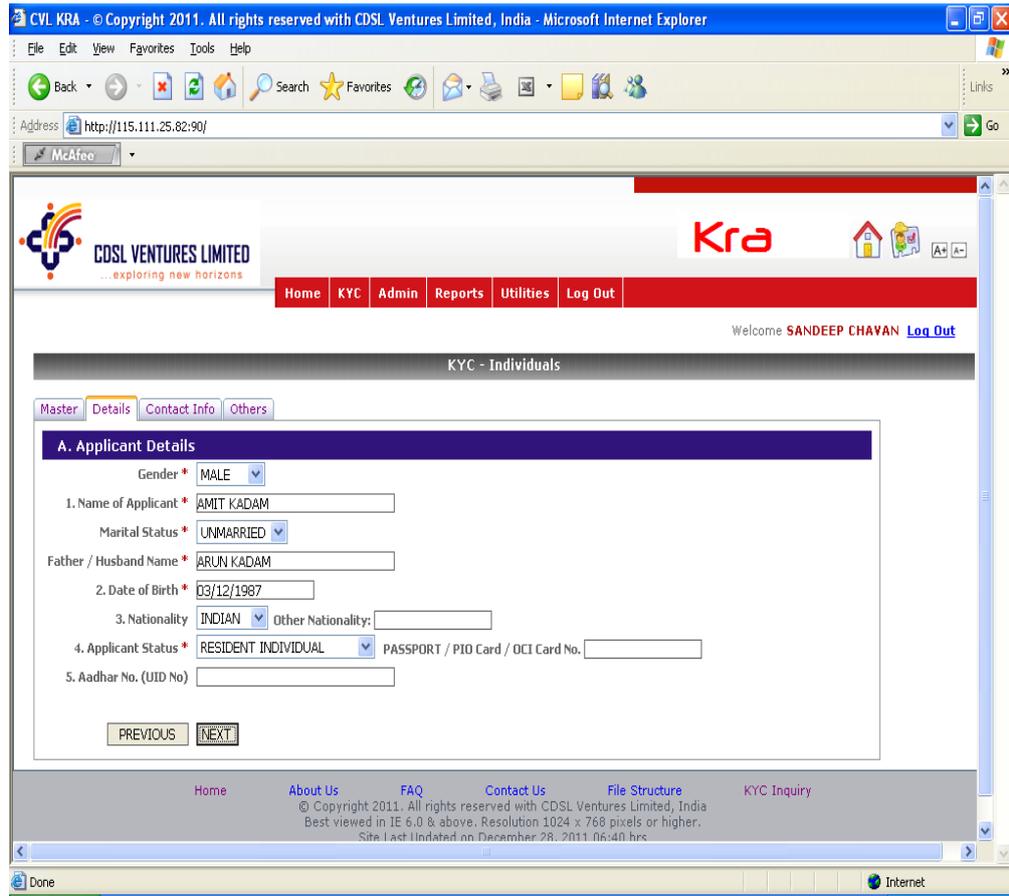


Fig. (1.2.1 - Details)

CONTACT INFO:

This tab is used to capture contact details of the client. Enter the details in correspondence address, phone number, select proof of address document, enter proof no and the date of the document. If permanent address is same as correspondence address click the check box permanent address same as above else enter the details of permanent address and click on next button. It opens the 'Others' tab.

The screenshot shows a web browser window with the following content:

- Browser Title:** CVL KRA - © Copyright 2011. All rights reserved with CDSL Ventures Limited, India - Microsoft Internet Explorer
- Address Bar:** http://115.111.25.82:90/
- Navigation:** Back, Forward, Home, Search, Favorites, Refresh, Print, Stop, Go
- Form Tabs:** Master, Details, Contact Info, Others
- Section B1. Address For Correspondence:**
 - Address 1 * GULMOHAR APARTMENT
 - Address2 SECTOR-16
 - Address3 AIROLI
 - City * NAVI MUMBAI
 - Postal Code * 400708
 - State * MAHARASHTRA
 - Country INDIA
- Section B2. Contact Details:**
 - Tel. (Off) ISD [] STD [] NO []
 - Tel. (Res) ISD 91 STD 022 NO 27791234
 - Mobile ISD [] NO []
 - Office Fax ISD [] STD [] NO []
 - eMail []
- Section Proof of Correspondence Address:**
 - 3. Proof of Address Provided by Applicant: PASSPORT
 - Proof No. * 6012452
 - EXPIRY DATE 01/12/2023
- Section 4. Permanent Address Details of Resident Applicant / Overseas Address for Non-Resident Applicant:**
 - Permanent Address Same as Above

Fig (1.2.1 – Contact Details)

OTHERS:

This tab is used to capture Occupation and Networth details of the client. Select Gross Annual Income details or enter Networth details, as on date, and occupation details of the customer. If IPV is carried out select IPV details flag as done and click on submit.

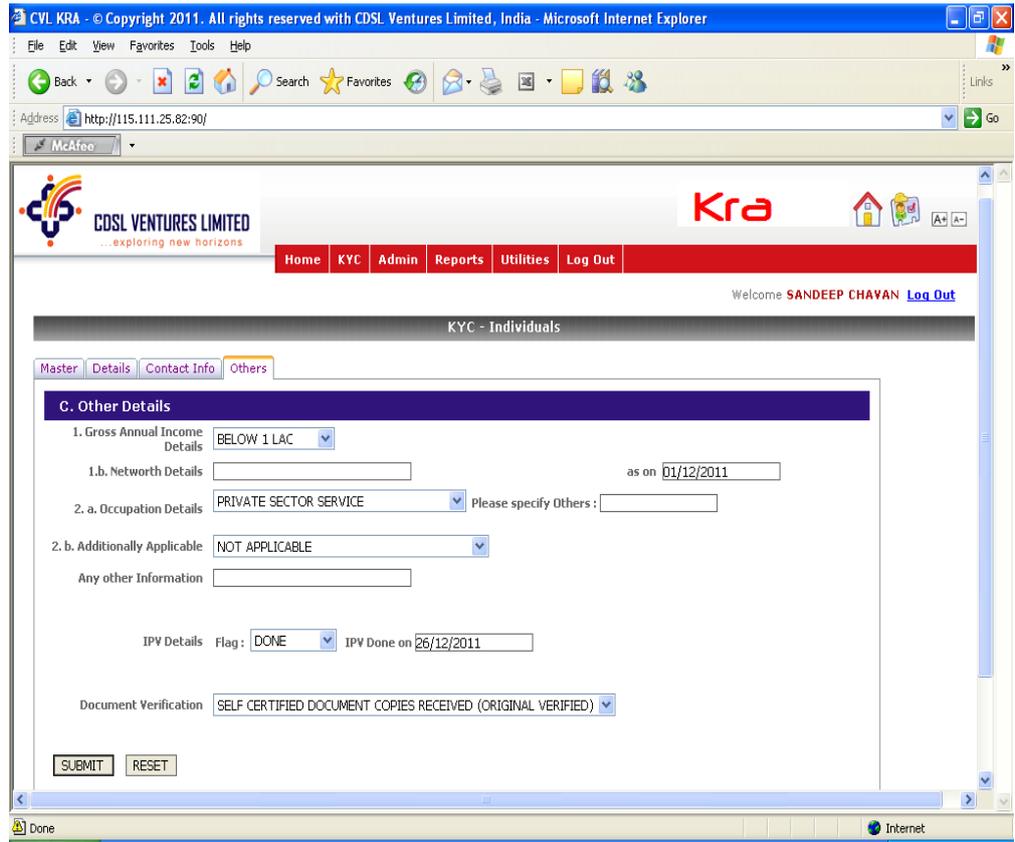


Fig (1.2.1 – Others)

On submit the following message will be displayed



1.2.2. NON INDIVIDUALS:

This option is used to capture data under 5 tabs viz., Master, Details, Contact information, Director Information and others. To enter new KYC scroll on KYC menu and then select Non - Individual KYC under New KYC sub menu.

MASTER:

This page is similar to Individual KYC page. Enter the mandatory details and click on next button, it opens the 'Details tab'

The screenshot shows a web browser window displaying the 'KYC - Non Individuals' Master form. The browser's address bar shows 'CVL KRA - © Copyright 2011. All rights reserved...'. The website header includes the logo for 'COSL VENTURES LIMITED' and 'Kra'. A navigation menu contains 'Home', 'KYC', 'Admin', 'Reports', 'Utilities', and 'Log Out'. The user is logged in as 'SANDEEP CHAVAN' with a 'Log Out' link. The form itself is titled 'KYC - Non Individuals' and has tabs for 'Master', 'Details', 'Contact Info', 'Director Info', and 'Others'. The 'Master' tab is active, showing a form with the following fields: 'KYC Status: NEW', 'App No.' (text input), 'Application Date' (text input), 'Exempt Type' (dropdown menu set to 'REGULAR'), 'Exempt Category' (dropdown menu set to '[SELECT]'), 'Pan No.' (text input), 'Proof Attached' (dropdown menu set to 'YES'), and 'Proof of ID for PAN exempt Cases' (text input). A 'NEXT' button is located at the bottom of the form. The footer contains links for 'Home', 'About Us', 'FAQ', 'Contact Us', 'File Structure', and 'KYC Inquiry', along with copyright information for COSL Ventures Limited, India, and a site update date of December 28, 2011.

Fig (1.2.2 – Master)

DETAILS:

This tab is used to capture details like applicant's name, date of incorporation, registration number, place of incorporation, date of commencement etc. Enter the mandatory details and click on next button, it opens the 'Contact Info' tab.

The screenshot shows a web browser window displaying the KYC - Non Individuals form. The browser's address bar shows "CVL KRA - © Copyright 2011. All rights reserved...". The website header includes the logo for CDSL VENTURES LIMITED and the CRA logo. A navigation menu contains links for Home, KYC, Admin, Reports, Utilities, and Log Out. The user is logged in as SANDEEP CHAVAN. The main content area is titled "KYC - Non Individuals" and has tabs for Master, Details, Contact Info, Director Info, and Others. The "Details" tab is active, showing a form titled "A. Applicant Details". The form contains the following fields: 1. Name of Applicant (required), 2. Date of Incorporation / Registration (required), Registration Number, Place of Incorporation, Date of Commencement, 3. Status (required) with a dropdown menu set to "PRIVATE LTD COMPANY" and an "Others:" field. There are "PREVIOUS" and "NEXT" buttons at the bottom of the form. The footer contains links for Home, About Us, FAQ, Contact Us, File Structure, and KYC Inquiry, along with copyright information for CDSL Ventures Limited, India, and a site update date of December 28, 2011.

Fig (1.2.2 – Details)

CONTACT INFO:

This tab is used to capture contact details of the entity. Enter the mandatory fields in correspondence address and permanent address and click on next button. It opens the 'Directors info' tab.

The screenshot shows a web browser window displaying a form with the following sections:

- B1. Address For Correspondence:** Includes text boxes for Address 1*, Address2, Address3, City*, Postal Code*, State*, and Country (pre-filled with INDIA).
- B2. Contact Details:** Includes fields for Tel. (Off), Tel. (Res), Mobile, and Office Fax, each with ISD, STD, and NO sub-fields, and an eMail field.
- Proof of Correspondence Address:** Includes a dropdown for Proof of Address Provided [SELECT], and fields for Proof No.* and Date.
- 4. Permanent Address Details of Resident Applicant / Overseas Address for Non-Resident Applicant:** Starts with a checkbox for 'Permanent Address Same as Above', followed by text boxes for Address 1*, Address2, Address3, City*, Zip Code*, State*, and Country*.
- Proof of Correspondence Address:** Identical to the section above.

The browser's address bar shows 'CVL KRA - © Copyright 2011. All rights reserved...'. The status bar at the bottom indicates 'Local intranet | Protected Mode: Off' and '100%' zoom.

Fig (1.2.2 – Contact Info)

DIRECTOR INFO:

This tab is used to capture director's details such as director's PAN, Name, DIN No, relationship with company and political connection. Enter these details for each of company's directors and click on next button. It opens the 'Others' tab.

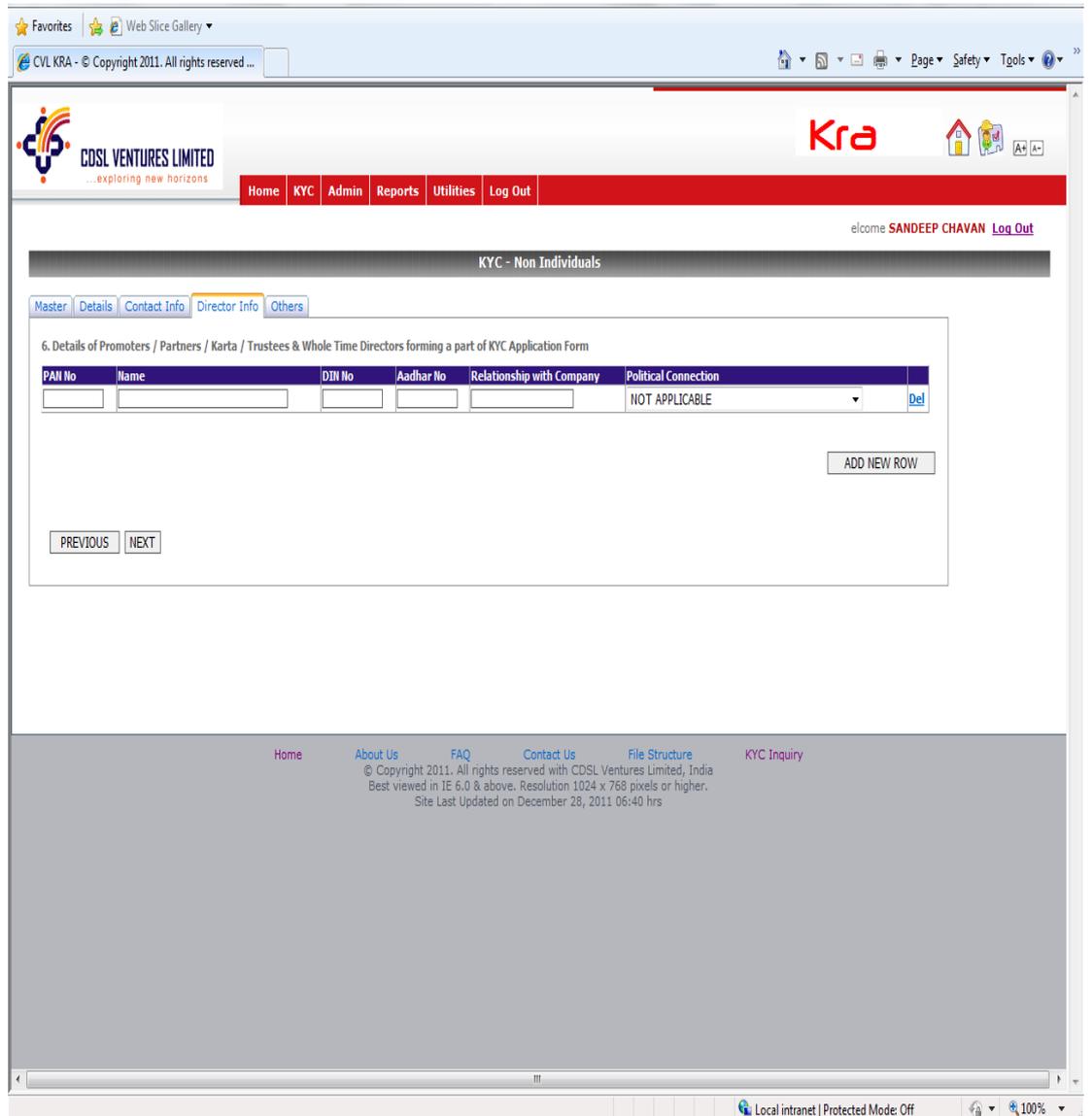


Fig (1.2.2 – Director’s Info)

OTHERS:

This tab is used to capture Network details. Enter Network details and date, If IPV is carried out, select IPV flag details as done and click on submit It submits the KYC details of Non individual in the system.

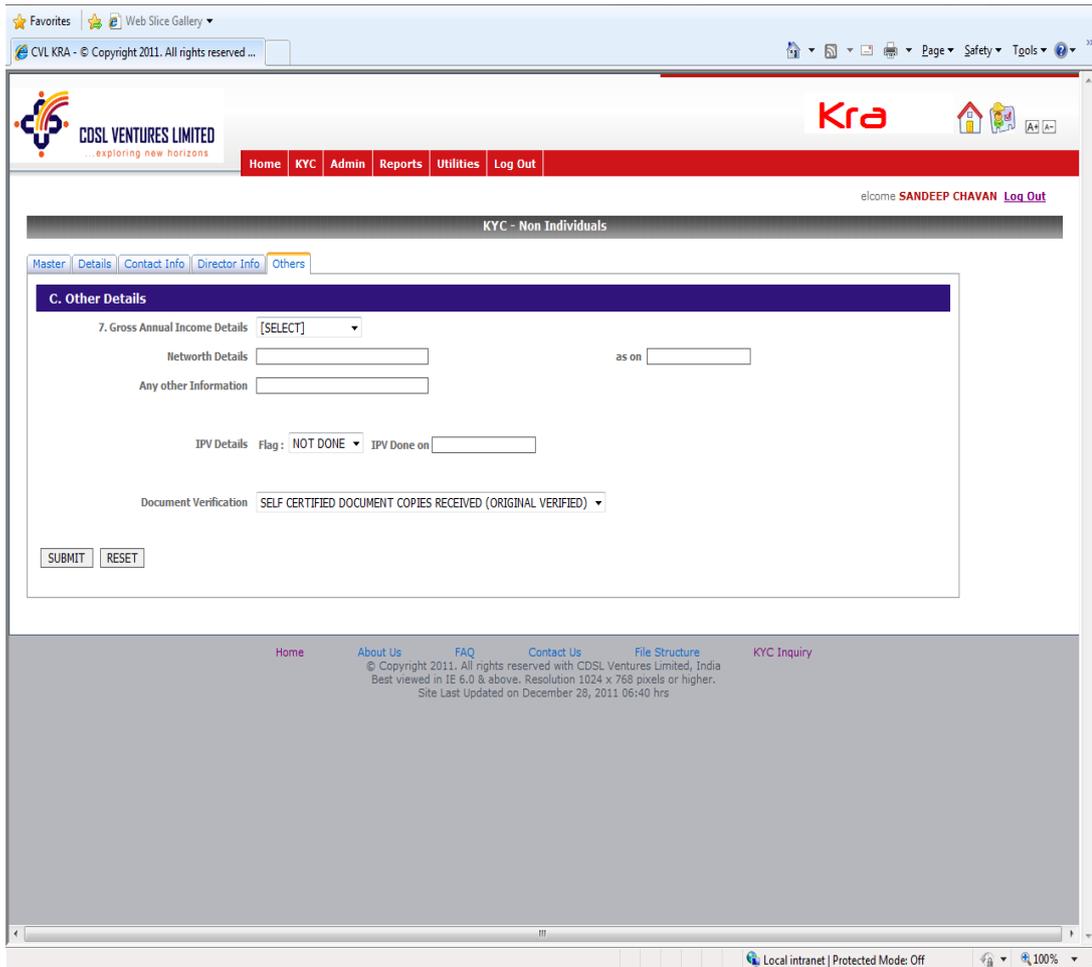


Fig (1.2.2 – Others)

1.3. MODIFY KYC

For modification move cursor to KYC menu, from the drop down list as shown in Fig (1.3) below click on Modify KYC sub menu. This option is used to modify any details of the customer submitted in original KYC details.

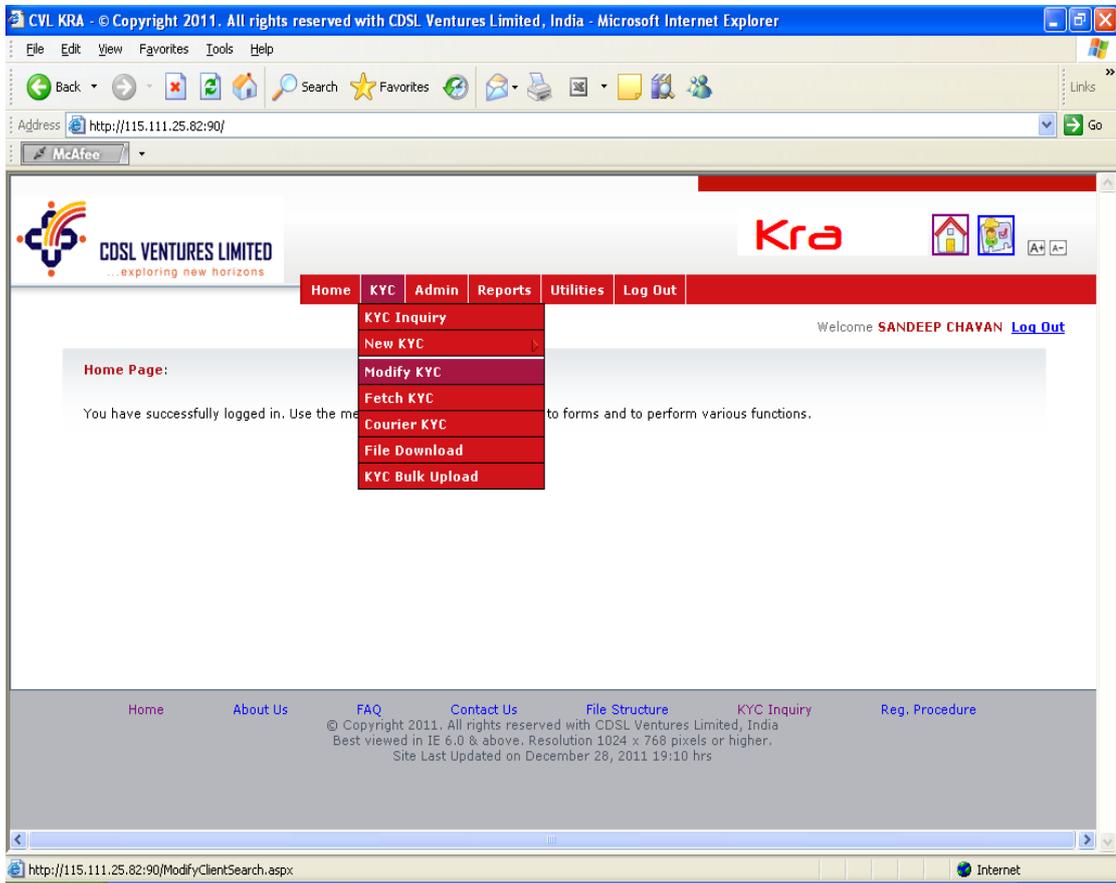


Fig (1.3) Modify KYC

Enter the PAN details and click on search, KYC details of the client will be displayed for modification.

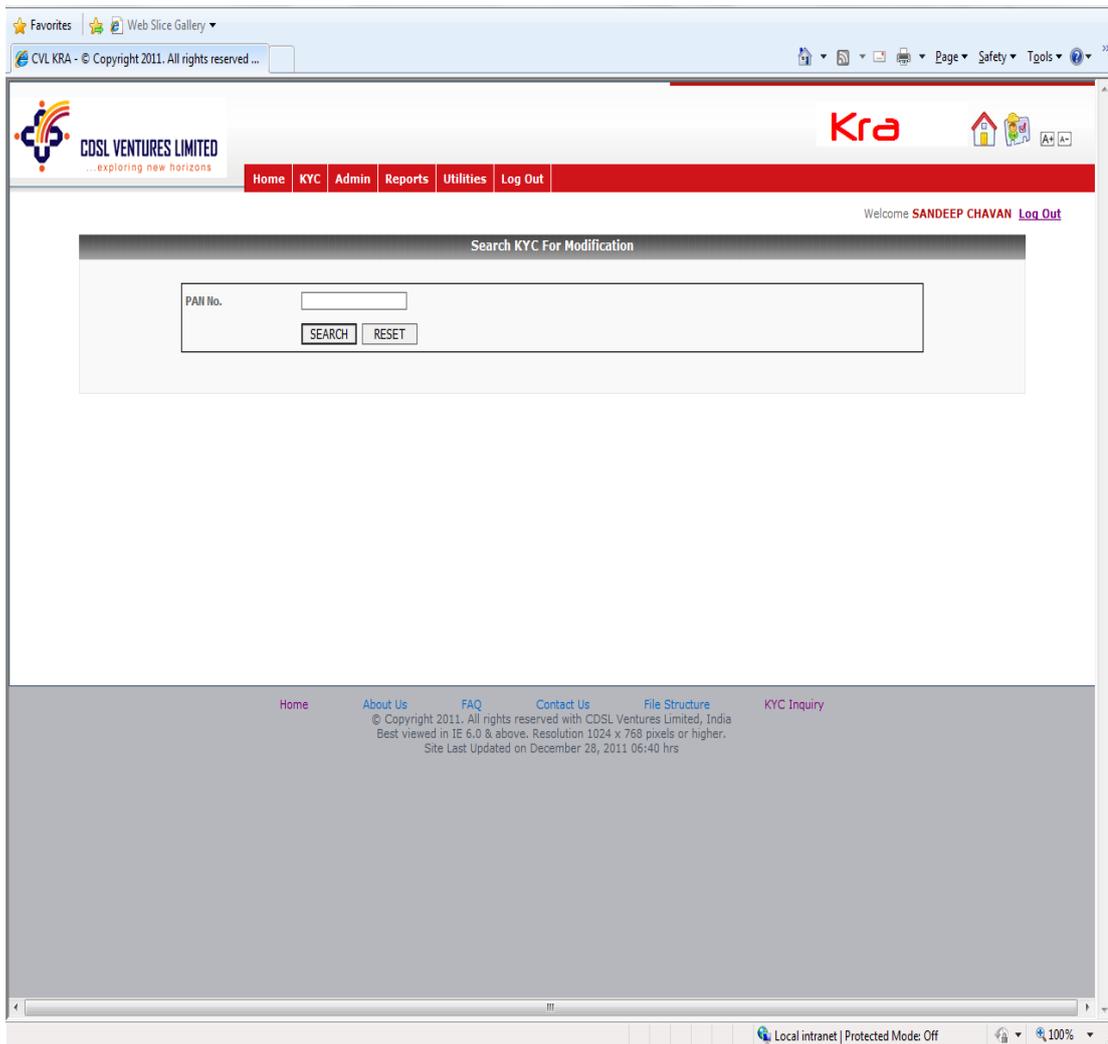


Fig. (1.3) Modify KYC

1.4 FETCH KYC

In KYC menu, click on Fetch KYC sub menu from the drop down list. This option is used to fetch the details of existing KYC from KRA. Fig (1.4)

The screenshot shows a web browser window displaying the 'Fetch KYC' page of the CVL KRA system. The browser's address bar shows 'CVL KRA - © Copyright 2011. All rights reserved ...'. The page header includes the logo for 'COSL VENTURES LIMITED' with the tagline '...exploring new horizons' and the 'Kra' logo. A navigation menu contains links for 'Home', 'KYC', 'Admin', 'Reports', 'Utilities', and 'Log Out'. A user greeting 'Welcome SANDEEP CHAVAN' is visible in the top right. The main content area is titled 'Fetch KYC' and contains a search form with two input fields: 'PAN No.' and 'Data of Birth / Date of Incorporation'. Below these fields are 'SEARCH' and 'RESET' buttons. A larger box below the search form lists the fields to be fetched: 'PAN No', 'Applicant Name', 'Applicant Type', 'KYC Status', 'KYC Status Date', and 'Status as of'. The footer contains links for 'Home', 'About Us', 'FAQ', 'Contact Us', 'File Structure', and 'KYC Inquiry', along with copyright information for CVL KRA and a note that the site was last updated on December 28, 2011 at 06:40 hrs. The browser's status bar at the bottom indicates 'Local intranet | Protected Mode: Off' and a zoom level of 100%.

Fig (1.4) Fetch KYC

1.5 COURIER KYC

In KYC menu, click on Courier KYC sub menu from the drop down list. This option is used to enter courier details.

Select Courier company name, enter reference number, POD no, POD date, select the record and click on ">" and then click on save. It displays the record in grid as given below. Fig (1.5)

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Kra

Home **KYC** Admin Reports Utilities Log Out

Welcome **SANDEEP CHAVAN** [Log Out](#)

Create Courier Documents

Courier: [SELECT COURIER]

Reference No:

POD No.:

POD Date:

Status: **GENERATED**

DKLM1234L - (AAAAAAAAAAAAAAAAAAAAAAAAAAAAAAAA)

[SAVE] [RESET]

Ref No	Ref Date	POD No	POD Date	Status	No. of Docs	Print
Ref No				GENERATED	1	
14	26/12/2011	1	23/12/2011	GENERATED	23	

Home [About Us](#) [FAQ](#) [Contact Us](#) [File Structure](#) [KYC Inquiry](#)

© Copyright 2011. All rights reserved with COSL Ventures Limited, India
 Best viewed in IE 6.0 & above. Resolution 1024 x 768 pixels or higher.
 Site Last Updated on December 28, 2011 06:40 hrs

Done Local intranet | Protected Mode: Off 100%

Fig (1.5) Courier details

1.6 FILE DOWNLOAD

From the home page move cursor to KYC menu, click on File Download sub menu from the drop down. This option is provided to download the details of KYC in Batch mode. Fig (1.6)

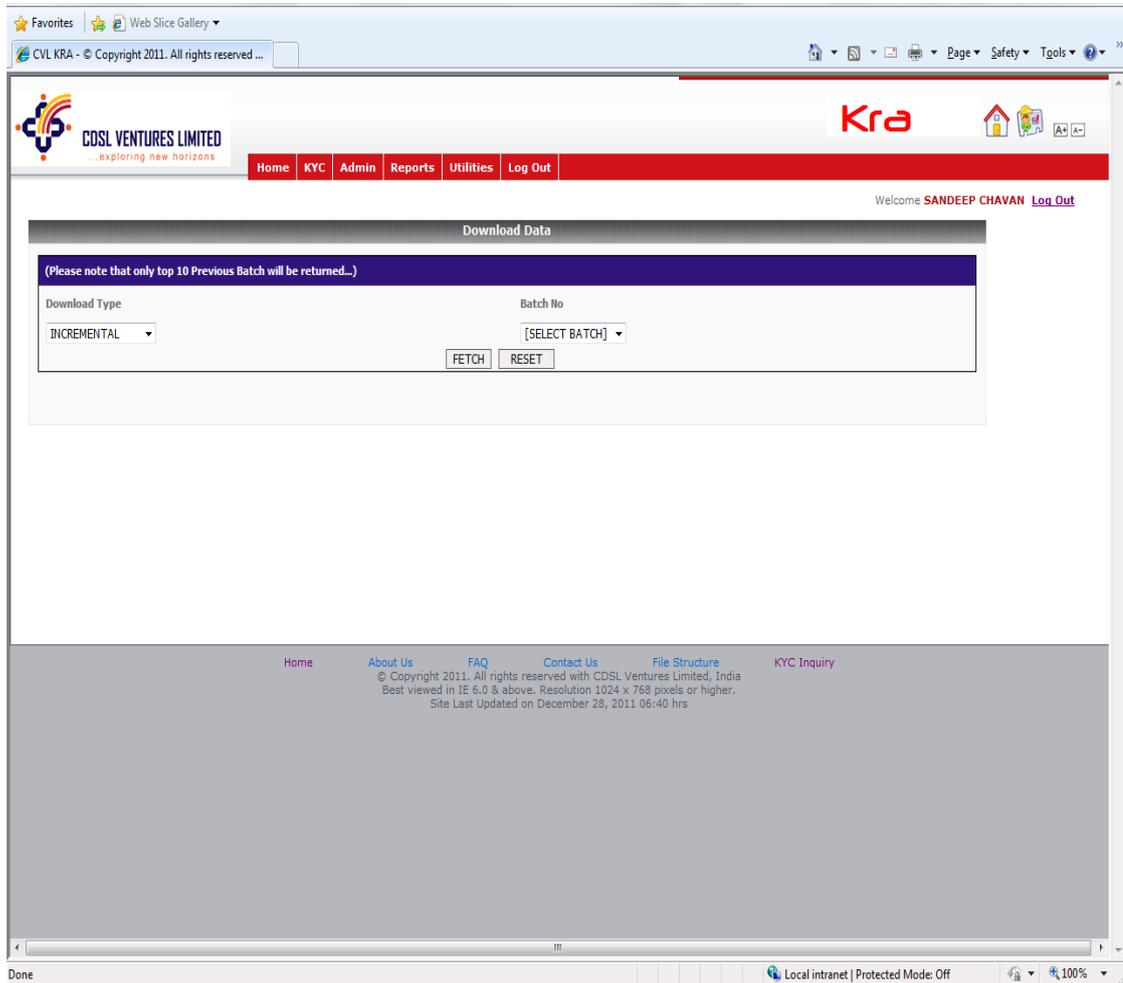


Fig (1.6) File Download

1.7 KYC BULK UPLOAD

For KYC Upload, click on KYC Bulk Upload sub menu from the drop down list. This option enables the intermediaries to upload multiple records into the system instead making entry of each record. Fig (1.7)

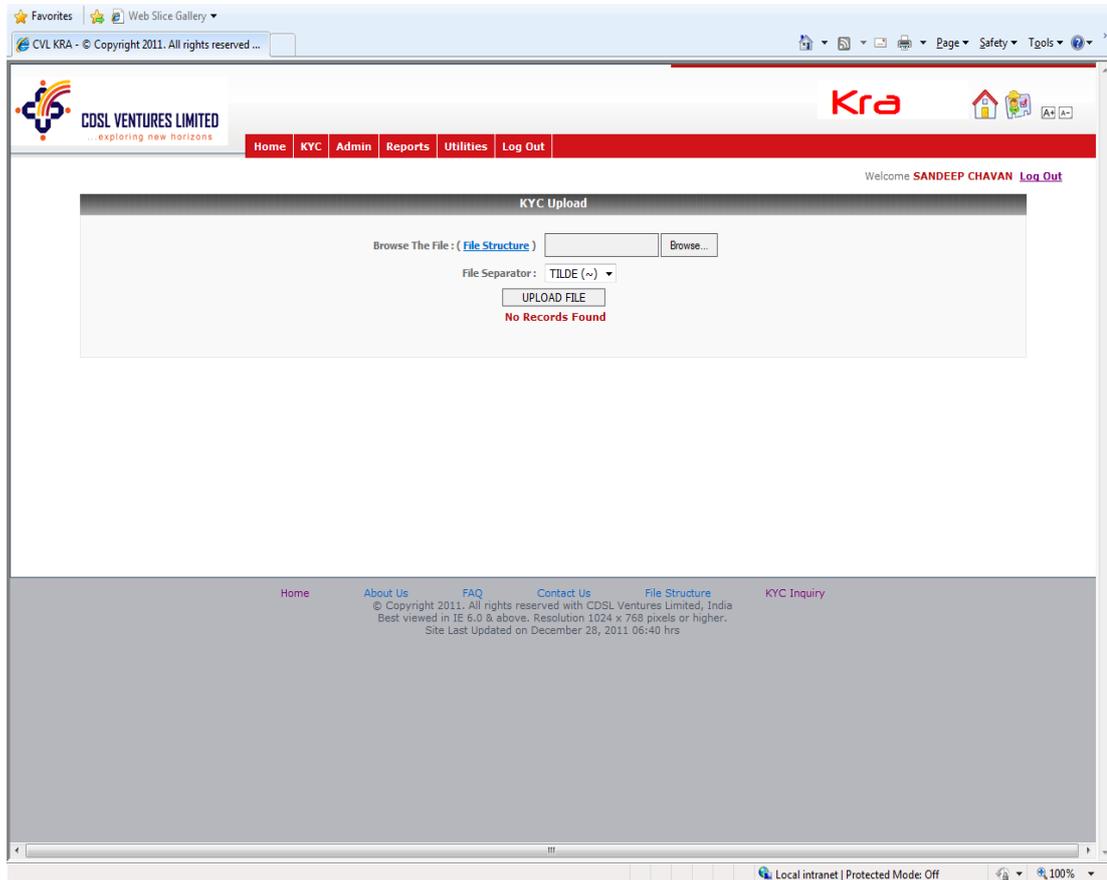


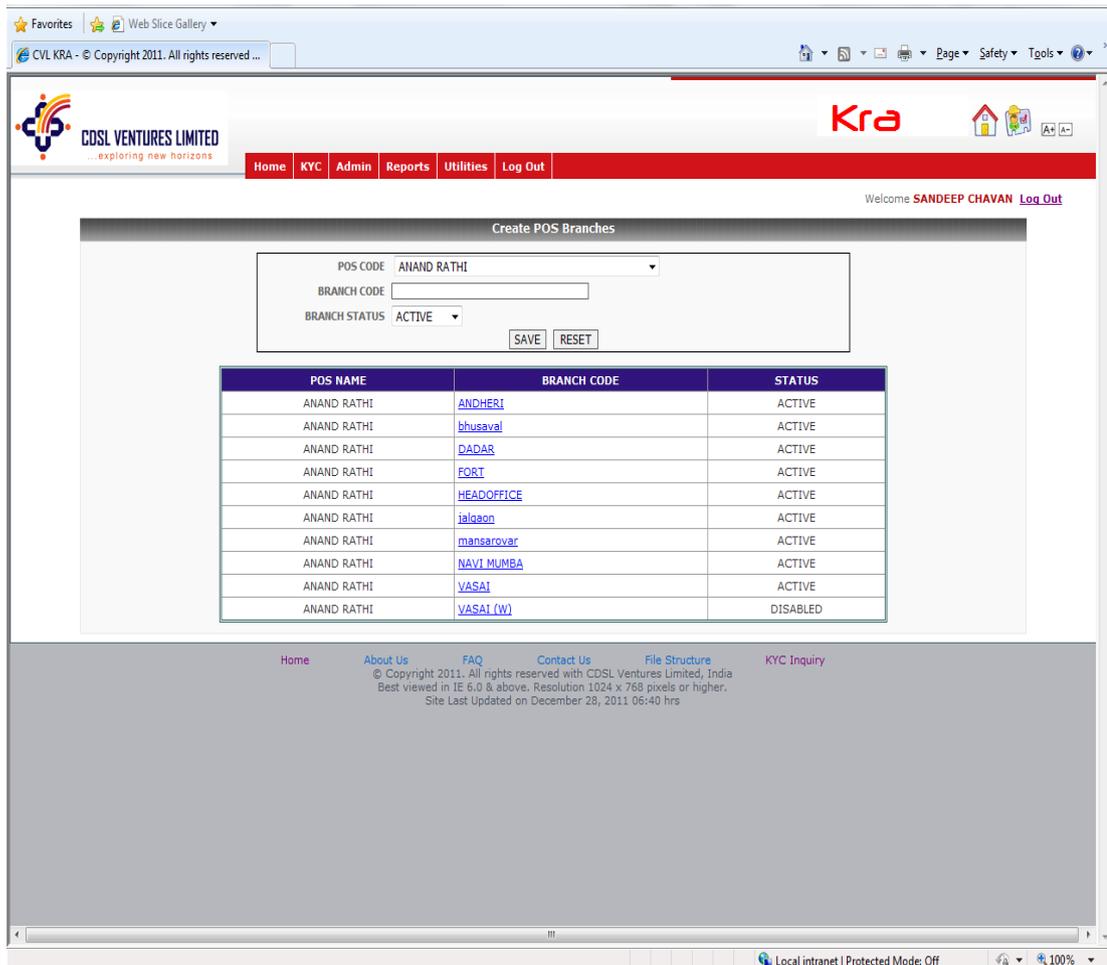
Fig (1.7) Bulk Upload

2. ADMIN- POSMASTER:

This menu option is available only to ADMIN user. It has 2 sub menus Create branches and create users.

2.1. CREATE BRANCHES:

In POS Master sub menu under Admin menu, select Create POS Branches option from the drop down list. This option is available only with Admin user of POS and is used to create various branches for that POS.



The screenshot displays the 'Create POS Branches' interface. At the top, there is a navigation bar with 'Home', 'KYC', 'Admin', 'Reports', 'Utilities', and 'Log Out'. The user is identified as 'SANDEEP CHAVAN' with a 'Log Out' link. The main content area features a form with the following fields:

- POS CODE: ANAND RATHI (dropdown menu)
- BRANCH CODE: (text input field)
- BRANCH STATUS: ACTIVE (dropdown menu)
- Buttons: SAVE, RESET

Below the form is a table listing existing branches for ANAND RATHI:

POS NAME	BRANCH CODE	STATUS
ANAND RATHI	ANDHERI	ACTIVE
ANAND RATHI	bhusaval	ACTIVE
ANAND RATHI	DADAR	ACTIVE
ANAND RATHI	FORT	ACTIVE
ANAND RATHI	HEADOFFICE	ACTIVE
ANAND RATHI	jalgaon	ACTIVE
ANAND RATHI	mansarovar	ACTIVE
ANAND RATHI	NAVI MUMBA	ACTIVE
ANAND RATHI	VASAI	ACTIVE
ANAND RATHI	VASAI (W)	DISABLED

At the bottom of the page, there is a footer with links for 'Home', 'About Us', 'FAQ', 'Contact Us', 'File Structure', and 'KYC Inquiry'. Copyright information and site details are also present.

Fig (2.1) Create POS Branches

2.2. CREATE USERS

From the home page move cursor to POS Master sub menu under Admin menu, click on Create users sub menu from the drop down list. This option is used to create various users for POS such as POS maker, POS Verifier etc. Fig (2.2)

The screenshot displays the 'Create Users' interface within a web browser. The browser's address bar shows 'CVL KRA - © Copyright 2011. All rights reserved ...'. The page header includes the COSL VENTURES LIMITED logo and the 'Kra' brand name. A navigation menu contains 'Home', 'KYC', 'Admin', 'Reports', 'Utilities', and 'Log Out'. A welcome message reads 'Welcome SANDEEP CHAVAN Log Out'. The main form area is titled 'Create Users' and is divided into several sections:

- Company Code ***: ANAND RATHI (dropdown)
- Branch Code ***: ANDHERI (dropdown)
- Terminal Type ***: POSMAKER (dropdown)
- Login ID ***: (text input)
- Password ***: (text input) with a **GENERATE** button.
- Contact Details** (blue header):
 - Name ***: (text input)
 - Phone**: (text input)
 - Mobile**: (text input)
 - Email-ID**: (text input)
- Control Information** (blue header):
 - Max Retries**: 5 (text input)
 - Access Level ***: FREE (dropdown)
 - IP Address**: (text area)
 - Status ***: ACTIVE (dropdown)
 - First Login ***: YES (dropdown)
 - Time Out (Min)**: 20 (text input)

At the bottom of the form are **SUBMIT** and **RESET** buttons. The footer contains navigation links: Home, About Us, FAQ, Contact Us, File Structure, and KYC Inquiry. Copyright information states: '© Copyright 2011. All rights reserved with COSL Ventures Limited, India. Best viewed in IE 6.0 & above. Resolution 1024 x 768 pixels or higher. Site Last Updated on December 28, 2011 06:40 hrs'. The browser status bar at the bottom indicates 'Local intranet | Protected Mode: Off' and '100%' zoom.

Fig (2.2) Create users

3. REPORTS-USER DETAILS

In the Reports menu, click on User Details sub menu from the drop down list. This option is provided to POS admin and Branch admin user only

Admin can search users using his login id and Terminal type (user type). Fig (3.1)

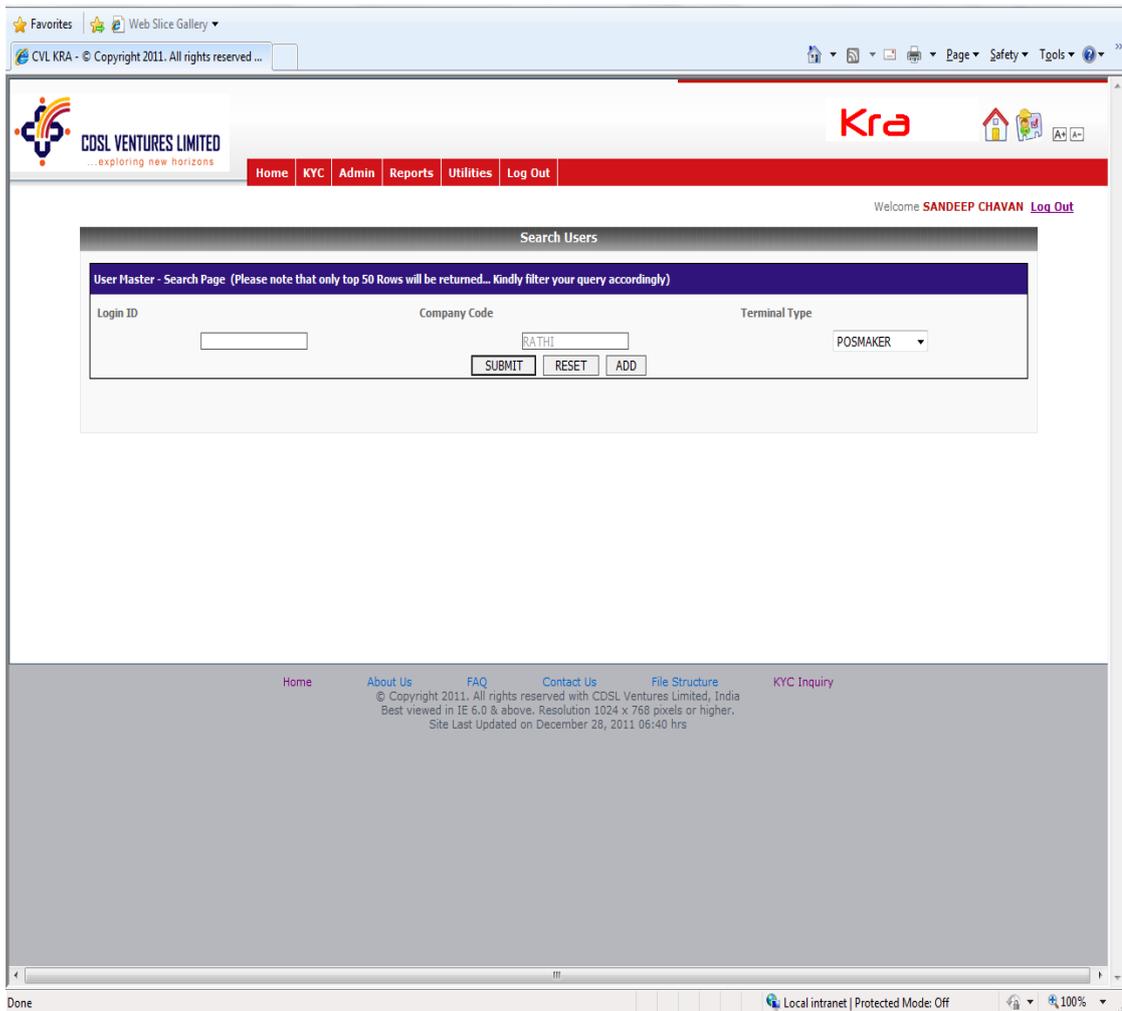


Fig (3.1) User Details

4. Change Password

For password change click on Utilities menu, select Change password option from the drop down to change the user's password. Fig (4.1)

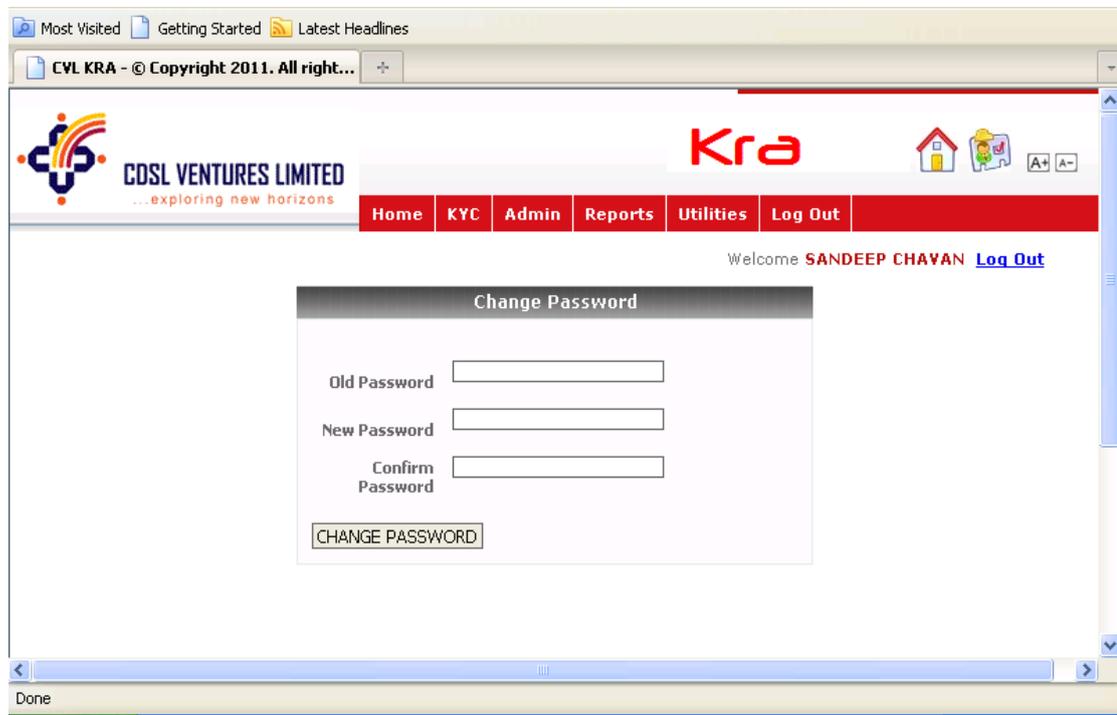


Fig (4.1) Change password

4.2 File Structure

Select Utilities menu, click on File Structure sub menu from the drop down list. It displays a separate window containing file format for Bulk upload. Fig (4.2)

