

Central Depository Company of Pakistan Limited

Service Request Procedures

For CDS Elements



PREFACE

This document covers the Service Request Procedures for CDS Elements. All CDS Elements are requested to follow these procedures for submitting a request to CDC for resolution of queries.

The term Elements in this document refers to Account Holder, Participant, Eligible Pledgee, and Issuer/RTA of Eligible Securities and as defined in CDCPL Regulations.

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NOTES:

1. Elements are requested to kindly ensure the following before sending a written request to CDC:
 - Request letter is original and on company's letterhead.
 - Request letter is signed by the authorized signatory (ies).
 - Complete details are provided in the request as mentioned in the detail of each query type.
2. Requests can also be initiated through CDC Access services (Web/IVR) that are posted directly to CDC and necessary action is taken thereon.
3. Service requests mentioned in this document are to be addressed to:

For Karachi based Elements

Mr. Abdul Basit Kothari

Senior Manager Operations & Customer Support Services

Central Depository Company of Pakistan Limited

Head Office, CDC House, 99-B, Block 'B', S.M.C.H.S.

Main Shakra-e-Faisal, Karachi – 74400.

Karachi Branch Office:

Mezzanine Floor, Pakistan Stock Exchange Building

I.I Chundrigar Road, Karachi.

Phone: (92-21) 32416774, Fax: (92-21) 32444491

For Lahore based Elements

Mr. Zafar Iqbal Amin

Branch Manager

Central Depository Company of Pakistan Ltd

2nd Floor, 307 Upper Mall, Lahore – 54000

Phone: (92-42) 35789378, Fax: (92-42) 35789340

Lahore Branch Office:

Mezzanine Floor, Pakistan Stock Exchange Building

19-Khayaban-e-Aiwan-e-Iqbal, Lahore.

For Islamabad based Elements

Mirza Zaffar Hussain

Branch Manager

Central Depository Company of Pakistan Limited

Room No. 410, 4th Floor

ISE Towers, 55-B Jinnah Avenue, Blue Area Islamabad.

Phone: (92-51) 2895456-9, Fax: (92-51) 2895454

For Abbottabad based Elements

Mr. Sajjad Haider

Central Depository Company of Pakistan Limited

1st Floor, Al-Fatah Shopping Centre, Opposite Radio Station

Mansehra Road, Abbottabad.

Phone: (0992) 331529-30

CDS SOFTWARE/HARDWARE CONFIGURATION

In order to connect to the Central Depository System (CDS), CDS Elements are required to acquire a terminal as per minimum **Hardware/Software configuration** defined by CDC.

1. Change of Hard Drive or MAC Address/Change of Terminal Location/Change of Terminal

CDS terminals are tagged for security reasons and Elements can access CDS only through their designated terminals. Therefore, in case of a change in MAC/Hard Drive addresses of Element's CDS terminal, Elements are required to timely intimate CDC regarding the same to avoid any disruption in accessing the CDS. In this regard, a request letter duly signed by the authorized signatory (ies) mentioning the following information is required:

- Element ID
- Hard Drive / MAC Address
- Preferred Installation Date
- Installation Location
- Contact Person's Name and Number

Upon receipt of the above mentioned request letter, Hard Drive or MAC address is updated in CDS and installation is carried out if required. Element is informed about the change by our customer support representative.

2. Re-installation of CDS on Element's Terminal¹

Reinstallation of CDS maybe required when the files of CDS at Element's Terminal are corrupted, deleted or due to failure of Operating System/Hard Disk. The Elements, in such cases can submit a request letter for re-installation of CDS (on company's letterhead) duly signed by the authorized signatory (ies) mentioning the following information:

- Element ID
- Preferred Installation Date
- Installation Location
- Contact Person's Name and Number

Upon receipt of the above mentioned request letter, re-installation is carried out on Element's terminal and the customer support representative contacts the Element to confirm the successful login.

3. Installation of CDS on Additional Terminal¹

Elements may request CDC in writing (on company's letterhead) duly signed by the authorized signatory (ies) for CDS additional terminal. The request letter should cover the following information:

- Element ID
- Preferred Installation Date
- Installation Location
- Contact Person's Name and Number

¹The connectivity charges are Rs. 10,000/- per month for each additional terminal.

Upon receipt of the above mentioned request letter, installation is carried out on additional terminal at Element's premises and VASCO Token Device² is provided. The Element is required to keep the system ready as per minimum **Hardware/Software Configuration** defined by CDC on installation date.

4. De-installation of CDS from Additional Terminal

Elements are required to provide a request letter (on company's letterhead) duly signed by the authorized signatory (ies) for De-installation of CDS from Additional terminal.

After CDC receives the request, de-installation is carried out on Elements' terminal and Vasco Token device is repossessed.

5. Lost/Damaged Vasco Token

Elements are required to provide a request letter duly signed by the authorized signatory (ies) for a new Vasco Token Device.

Upon receipt of the request, a new Vasco token is issued and the charges are billed to the Element.

STATIC IP MAINTENANCE

In line with CDC's continuous efforts to improve the level of our services, recently CDC has introduced Static IP (Internet based connectivity) through which client can connect CDS application. In order to update static IP address with CDC, a written request clearly mentioning the Static IP address along with VASCO device serial number duly signed by the authorized signatory (ies) would be required to update the same.

Alternatively, you may consider other channel for CDS connectivity (i.e. Multi-net Network) which CDC also support.

1. Change of Static IP

Element is required to provide a request letter duly signed by the authorized signatory (ies) for change of CLI.

2. Creation of New Account through Static IP

Element is required to provide a request letter duly signed by the authorized signatory (ies) for tagging of new Static IP. Upon receipt of the above mentioned request, the Element is informed in writing once the change has been incorporated as well as in case of any discrepancy.

²Vasco token device charges are applicable

CDS OFFLINE DATA

All CDS data up to June 30, 2004 has been stored offline to ease the load on the server. Therefore all Account Statement/Billing Information requests, falling before the aforementioned cut-off date, can be requested from CDC. The Offline report is sent to the Element along with a cover letter. However, in case of a discrepant request, the Element is informed accordingly.

1. Request for CDS Offline Data – Account Statements

Request for Account Statements can be raised by the Element through CDC Access IVR or by providing a request duly signed by the authorized signatory (ies).

2. Request for CDS Offline Data – Billing Information

Billing information can be obtained by the Element through providing a request letter duly signed by the authorized signatory (ies).

PASSWORD MAINTENANCE

In order to ensure only authorized access to CDS, the Users are required to follow **CDS Password Policy** to log on to the system.

1. Reset of CDS Password & Unblocking of CDS User ID

In case the user forgets the password or user id is locked out after eight invalid login attempts, the Element can request for reset of CDS password through CDC Access IVR or by providing a request letter (on company's letterhead) duly signed by the authorized signatory (ies) mentioning the complete user IDs.

Upon receipt of the above mentioned request, password reset is carried out and the customer support representative contacts the Element to confirm the successful login.

Once the password is reset by CDC, the user is required to change the password and request for unblocking of user authorities as per Annexure – C10 (on company's letterhead), duly signed by the authorized signatory (ies).

Upon receipt of the request, user IDs are unblocked and the customer support representative contacts the Element to confirm the successful login.

ELEMENT ACCOUNT MAINTENANCE

Element Account Maintenance represents the change in the status of the CDS Element. It includes change of company's management, its name, its status, its R/TA etc.

1. Change of Management

Element is required to provide the following for change of management in CDS:

- Request letter for the change of management duly signed by the CEO/Company Secretary.
- Board Resolution (BR) as per Annexure – C19 for canceling the previous authorities and defining new authorized signatories.
- Form-29 certified by CEO/Company Secretary and acknowledgement of the same by the Registrar of Companies.
- Specimen signatures of all the authorized signatory(ies) (existing & new) on Signature Card³. The signature card should be duly stamped and the special instructions should be mentioned as per board resolution.

Upon receipt of the above mentioned documents, the Element is informed in writing once the change has been incorporated as well as in case of any discrepancy.

2. Change of Company Name

Element is required to provide the following for change of company name in CDS:

- Request letter for the Change of Company Name, duly signed by the Authorized Signatory(ies)
- Certified True Copy of Certificate of Incorporation on Change of Company Name.

Upon receipt of the above mentioned documents, the Element is informed in writing once the Change has been incorporated as well as in case of any discrepancy.

3. Change of Company Status

Element is required to provide the following for change in company status in CDS:

- Request letter for Change of Company Status, signed by the authorized signatory(ies).
- Certified True Copy of 'Certificate of Change of Status' from SECP.

Upon receipt of the above mentioned documents, the Element is informed in writing once the change has been incorporated as well as in case of any discrepancy.

³Signature Card should be in original and can be collected/requested from CDC offices.

4. **Opening an Additional House Account**

Element is required to provide a request letter duly signed by the authorized signatory(ies) mentioning the valid reason for opening an Additional House Account.

Upon receipt of the above mentioned request letter, the Element is informed in writing once the additional House Account is opened as well as in case of any discrepancy.

5. **Change of Suffix/Additional details in Additional House Account Title**

Element is required to provide a request letter duly signed by the authorized signatory(ies) mentioning the reason for the change in the title of Additional House Account.

Upon receipt of the above mentioned request letter, the Element is informed in writing once the change has been incorporated as well as in case of any discrepancy.

6. **Removal of Suspension**

In the event of Suspension of admission to CDS of Participant, Participant may request for Removal of Suspension to perform necessary formalities as mentioned in notice of suspension:

CDS Element is required to provide the Original request letter on Company's Letterhead, mentioning the Element ID, duly signed by the authorized signatory (ies). Dues (if any) need to be cleared by the Account Holder for execution of the requests.

Upon receipt of the above mentioned request the suspension is removed in the CDS and the Account Holder is informed by a customer support representative accordingly.

7. **Change in Access Policy Option**

Element can request for change in access policy option through IVR or by providing a request letter duly signed by the authorized signatory (ies). Element can choose the desired option from '**User Access Policy Options – Guidelines**'.

Once the Access Policy Option is changed, customer support representative intimates the Element to change the password and provide a request for unblocking of CDS user authorities as per Annexure "C13" in original duly signed by the authorized signatory (ies).

Upon receipt of the request, user ids are unblocked and the customer support representative contacts the Element to confirm the successful login.

UPDATION IN ELEMENT REGISTRATION DETAILS

The Registration Details are the details of an Element entered at the time of account setup in CDS. Any updates/amendments in these details are only carried out upon the respective Element's (written) request signed by the authorized signatory (ies) along with the required documents. Below are some of the requests:

- Name of Contact Person
- Designation of Contact Person
- Contact Numbers
- Email Address
- Zakat Status⁴
- Correspondence Address
- CNIC Number⁵
- Nominee Details
- National Tax Number⁶
- Dividend Mandate
- Registration Number/UIN

Upon receipt of the documents, the Element is informed in writing once the change has been incorporated as well as in case of any discrepancy.

⁴ In cases where zakat status is "Muslim Zakat Non Payable", CZ50 is required along with the request letter.

⁵ Attested Copy of CNIC is required along with the request letter to execute such requests.

⁶ Copy of NTN Certificate is required along with the request letter.

SIGNATURE RECORD UPDATION

All CDS Accounts are operated and maintained by authorized signatory(ies) according to the ‘Operating Instructions’ of the Element. It is therefore important that any change in the signatory(ies) is promptly communicated to CDC.

1. Change in Authorized Signatory(ies)

Elements are required to intimate to CDC any change in their authorized signatory (ies) as soon as the change takes place.

Documents required for Change in Authorized Signatory (ies):

- A request Letter (on company’s letterhead) duly signed by the authorized signatory (ies) intimating the change in authorized signatory(ies).
- **Where authorities are delegated by way of Board Resolution** - Certified true copy of Board Resolution as per [Annexure – C20 (a), C20 (b) & C20(c)]. Please ensure that the Board Resolution is certified by Company Secretary/CEO on company’s letterhead and corporate seal is affixed.
- **Where authorities are delegated by way of Power of Attorney [Annexure C20(d)]** - Attested copy of Principal Power of Attorney together with an attested copy of sub power of Attorney (where applicable). The Power of Attorney should include CDC specific clauses.
- Specimen signatures of all the authorized signatories (existing & new) on Signature Card⁷. Please ensure that the signature card is stamped and special instructions are mentioned as per Board Resolution.

Upon receipt of the above mentioned documents, the Element is informed in writing once the signature record is updated as well as in case of any discrepancy.

2. Blocking of Signatory

Elements signature record is handled critically and CDC keeps high vigilance in this regard to avoid unauthorized access and misuse of CDS. Therefore, Elements are advised to immediately intimate CDC in case of any change in status of authorized signatory (ies) by providing a request letter signed by the authorized signatory(ies)/ CEO/Company Secretary, enabling CDC to block the signatory (ies).

Further, to minimize the risk CDC may block signatory (ies) on the basis of public notice by the company/Notice from Stock Exchange/Newspaper Advertisement etc. and Element is informed in writing about the blocking.

⁷ Signature Card should be in original and can be collected/requested from CDC offices.