

*Central Depository System User Manual*

*For Participants*

**(VER 1.4)**

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# 1 INTRODUCTION

## 1.1 PURPOSE AND SCOPE

The CDS User Manual has been designed to be used as a detailed guide for all users responsible for the day-to-day operations of the Central Depository System (CDS). The details contained herein are applicable to all CDS elements and their authorised users in accordance with their nature and authority to execute various types of CDS transactions. These elements include but are not limited to:

- Account Holders, including Participants
- Registrars / Transfer Agents
- Eligible Pledgees
- Trustees

The Manual covers details of operations for all users of the CDS. Relevant sections of the Manual are issued to different categories of users according to their needs. Certain sections, of an introductory or general nature however, will be included in the copies of the Manual distributed to all types of users. Some sections of the manual contain material, which is of relevance to more than one category of users. Such sections will obviously be issued to all the users to whom they apply.

The manual covers the following broad areas of operations of CDS:

- The maintenance of the referential files contained in the system. These files contain data such as different types of codes used in the system. Examples, all of which are discussed in detail in later sections of the manual, are country code, participant type, account type, etc.
- Guidelines for setting up of various entities in the system, e.g. accounts etc.
- Guidelines for execution of direct transactions in the system. Such transactions cover all the core operations of the depository including

deposits, withdrawals, inter and intra-account free delivery of securities and transactions relating to pledge.

- Guidelines for execution of administrative transactions which would normally be carried out by the staff of the depository. Transactions included would cover billing for services rendered to elements of the CDS and other such transactions.
- Guidelines to users of the system to generate the reports from the system.

## **1.2 OPERATING DAY**

Execution of all CDS transactions as explained in this manual is subject to availability of the Central Depository System in accordance with the time frame defined in the Operating Day Schedule approved and revised from time to time by the management of Central Depository Company of Pakistan Ltd.

## **1.3 UPDATING**

In cases of revisions and updates of the functionalities contained herein or introduction of new functionalities, the Central Depository Company of Pakistan Limited shall revise this Manual from time to time and provide a copy to all authorised holders.

This manual will be revised and kept up-to-date by the CDC management on a continuous basis, as and when required.

Copies of the revisions (or the revised versions of the manual, as the case may be) are sent to each authorised holder of the manual. The following standards are adhered to for the incorporation of revisions in the manual:

- (i) The effective date of the revision of the user manual should be indicated on all the new pages to be inserted in the manual, as well as on the old pages.
- (ii) Where a page number becomes redundant, a fresh blank page should be inserted to indicate this fact and to preserve the numerical sequence of the manual. Such blank pages should all carry the legend "[This page has been intentionally left blank]".

## **1.4 DISTRIBUTION**

Copy of the full manual will be issued only to CDC staff and such other users of the CDS as may be required by them. In all other cases users will be issued only the relevant parts of the manual.

The CDS User Manual (or relevant sections of it) is distributable to:

- Chief Executive Officer - CDC
- Company Secretary - CDC
- All Department Heads - CDC
- All users of the CDS, including Participants, Eligible Pledges, Registrar/Transfer Agents and Trustees.

## 2 GETTING STARTED

### 2.1 CDS CLIENT DOWNLOAD

The following steps are to be followed in order to download the CDS client program on the user's computer.

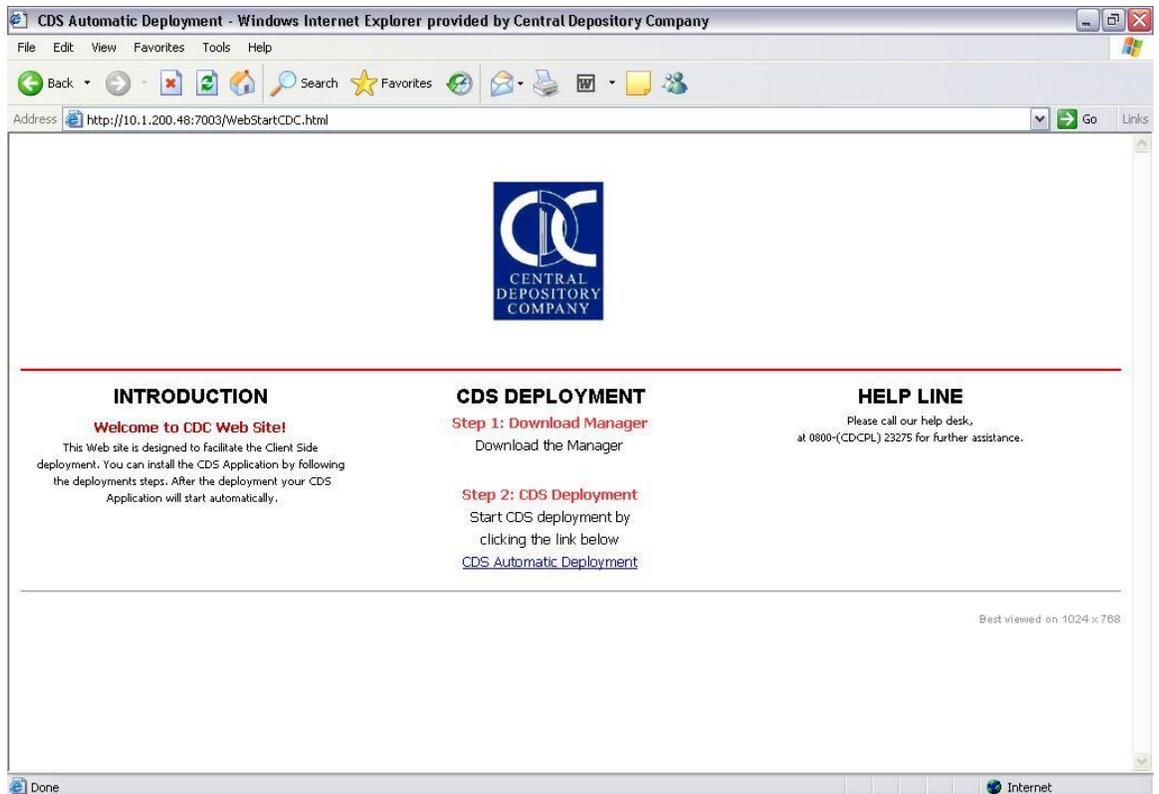
#### 2.1.1 Prerequisites

Before downloading the CDS Client Software, please make sure that a directory by the name of 'CDS' is present at the root of C:\ drive of your PC and contains the library file that is essential to download and run CDS.

In case the above folder and the required file are not available, please inform the CDC Customer Support Services at 0800-23275 for the same. Please also make sure that the Acrobat Reader version 7.0 or above is also installed on your PC.

#### 2.1.2 Software Download

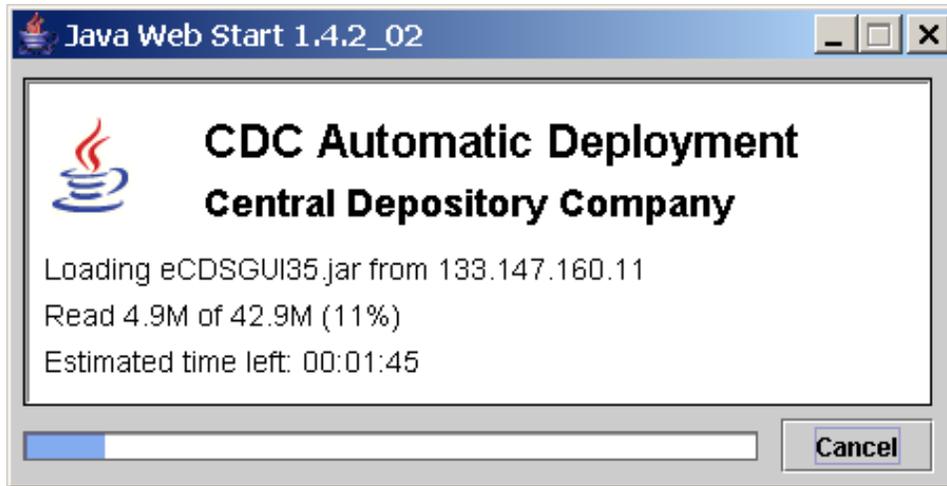
In order to download the CDS software, the user will be provided a web address through e-mail, leading the user to CDS Client Software Deployment web page. The installation web page is shown below:



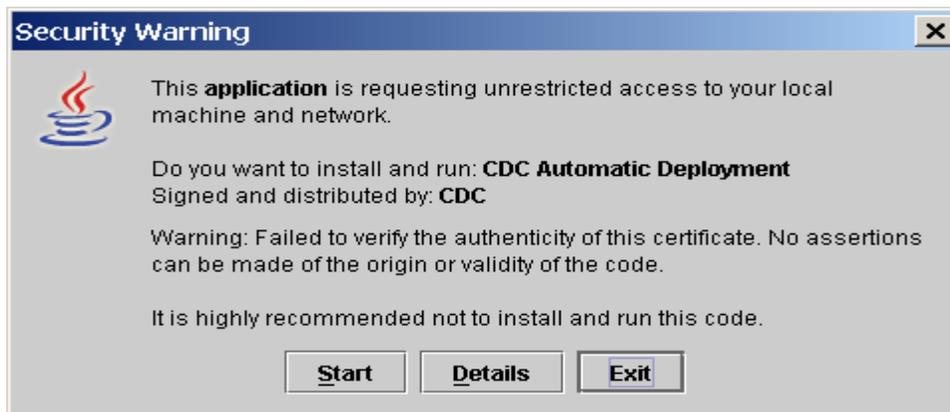
Clicking on the *CDS Automatic Deployment* link, the client software will automatically start downloading. Initially, the following screen will appear that will load the JAVA environment:



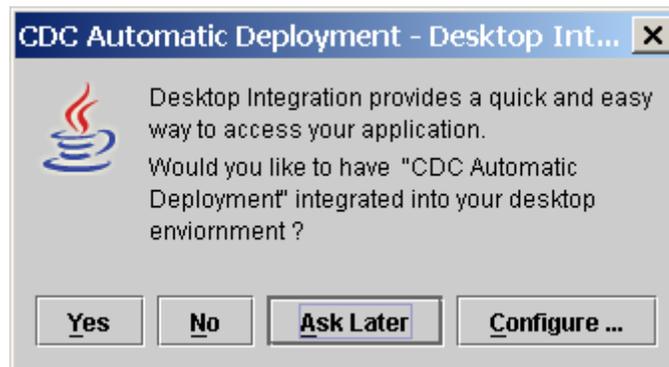
The following screen will appear that will depict the step-by-step progress for the software being downloaded.



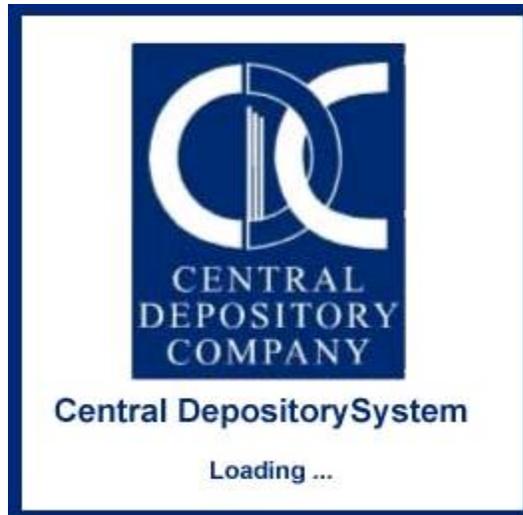
Following screen shall ask for the permission to download the software on your PC. Click 'Start' to allow the downloading.



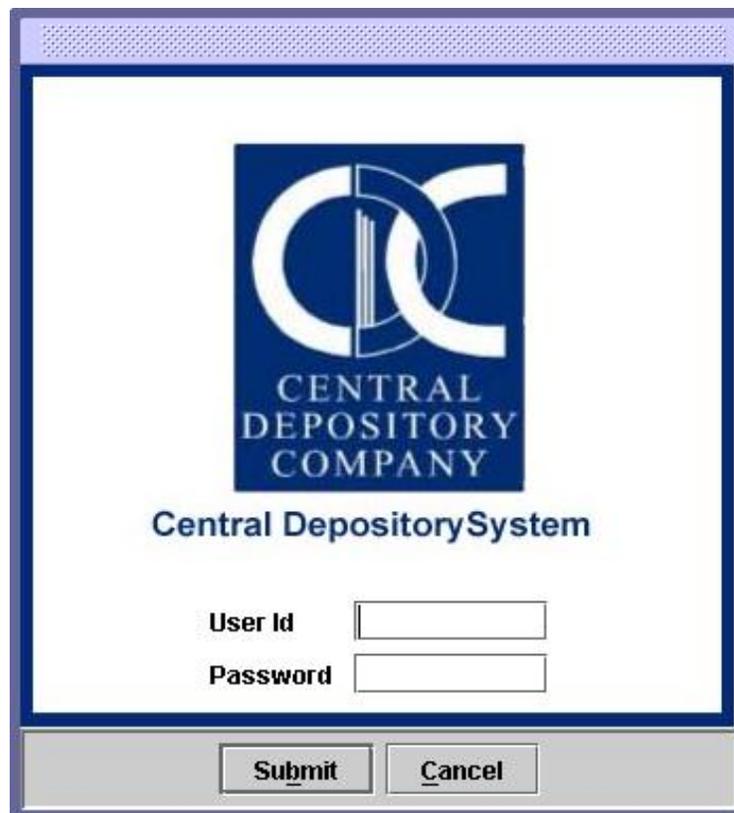
The following screen asks for creating the shortcut on the desktop for the CDS application. Click 'Yes' to create the shortcut.



When the program is being loaded and before the login screen is shown, the following screen appears:

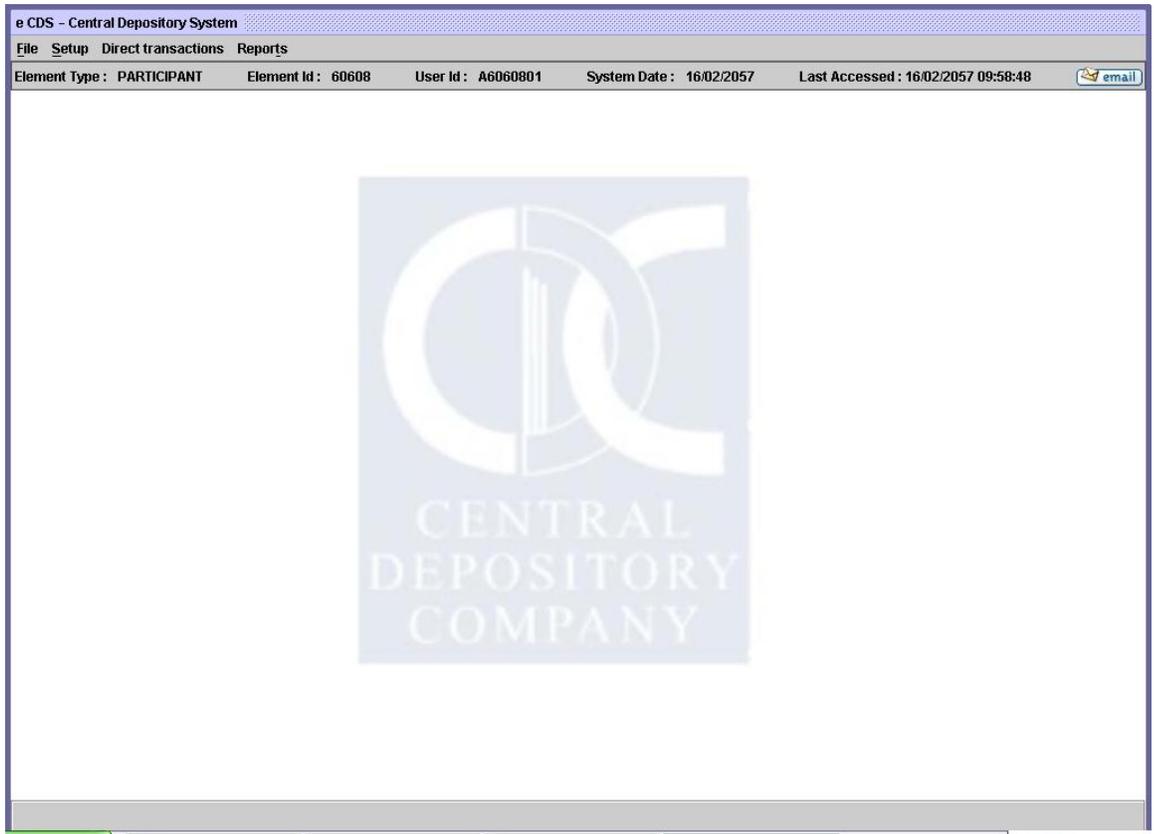


After the program loads, the user is presented with the following Login Screen:

A rectangular window with a blue border and a light blue header bar. The header bar contains a small, repeating pattern. In the center of the window is the Central Depository Company logo (two interlocking circles) on a blue square background. Below the logo, the text "CENTRAL DEPOSITORY COMPANY" is written in white, all-caps, sans-serif font. Underneath that, "Central DepositorySystem" is written in a smaller, black, sans-serif font. Below the text, there are two input fields: "User Id" followed by a white rectangular box, and "Password" followed by a white rectangular box. At the bottom of the window, there are two buttons: "Submit" and "Cancel", both in a grey box with black text.

In order to gain access to CDS, the unique user ID and password assigned to each user by the system administrator are to be entered in their respective textboxes on the above screen.

Once the user logs on to CDS after entering valid user ID and password, the following Main Menu Screen is displayed.

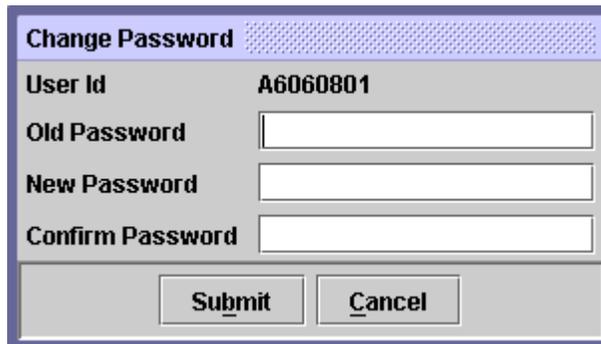


## 2.2 CHANGE PASSWORD

When the user first logs in to the CDS, user identification number and respective password are identical. However, the CDS does not allow the user to access the system functionalities unless the user changes the password.

In case a user does not change his password for the mentioned number of days (setup by the CDS administrator) CDS requires the user to immediately change the password upon next login.

In order to maintain security, it is strongly recommended that the user change his password from time to time so as to have independent and absolute control over his CDS access authorities. The Change Password option on the File Menu allows the user to change an existing password and replace it with a new one. When the user clicks this option, the following screen is displayed:



Change Password	
User Id	A6060801
Old Password	<input type="text"/>
New Password	<input type="text"/>
Confirm Password	<input type="text"/>
<input type="button" value="Submit"/> <input type="button" value="Cancel"/>	

To change his password the user has to follow the procedure given below:

1. Type the old/previous password.
2. Press Tab to move into the *New Password* field and type the new password as per the current password policy set by the CDS administrator.
3. Press Tab to move into *confirm password* field and re-enter the new password.
4. Click *Submit* to save the changes.

## **2.3 COMMONLY USED COMMAND BUTTONS**

Certain command buttons are provided in the screens contained in the system. In order to avoid excessive repetition, before going into detailed explanations of CDS operations, the functions of these buttons are explained below.

### **2.3.1 Refresh Button**

The *Refresh* button is used to update a screen to the most current state. This function will only be useful after using the '*Add*'/'*Update*' Button to *Save* any changes that have been made. The '*Refresh*' button may also be used to update a list of records after any additions or changes have been made to the contents of that list. It can also be used to refresh a scrolling table once a search option has been used.

### **2.3.2 Add Button**

The '*Add*' Button is used to add a new record in the system.

### **2.3.3 Update Button**

The '*Update*' Button is used to update an already existing record in the system.

### **2.3.4 Delete Button**

The '*Delete*' button is used to delete an existing record from the system. The system automatically checks for referential integrity violations before any deletions are made.

### **2.3.5 Cancel Button**

The '*Cancel*' button will take the user out of the current screen and put him back on the screen or menu from where that application was invoked.

### **2.3.6 Double click**

In all lookup tables and wherever the user is expected to select a record from a list, it can be selected by placing the cursor on the desired record and double-clicking the left mouse button. The cursor can be moved by means of the mouse or by using the cursor keys on the keyboard.

### **2.3.7 Save button**

On all Add or Update screens the system does a temporary save of the current data if the user clicks the '*Save*' button.

### 2.3.8 Post button

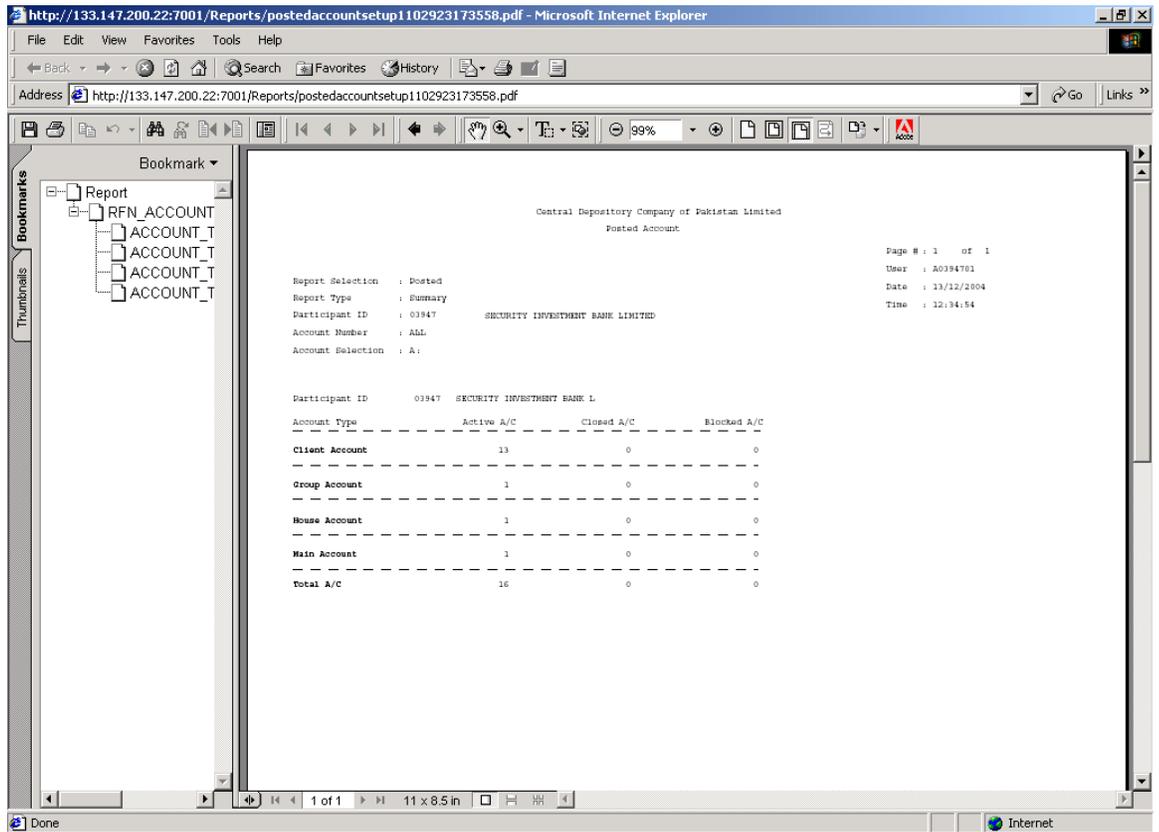
On all Add or Update screens the system posts the entered data if the user clicks the 'Post' button.

### 2.3.9 Search button

The Search button is used to find a record from a table matching the criteria provided in the Search Option fields on a screen.

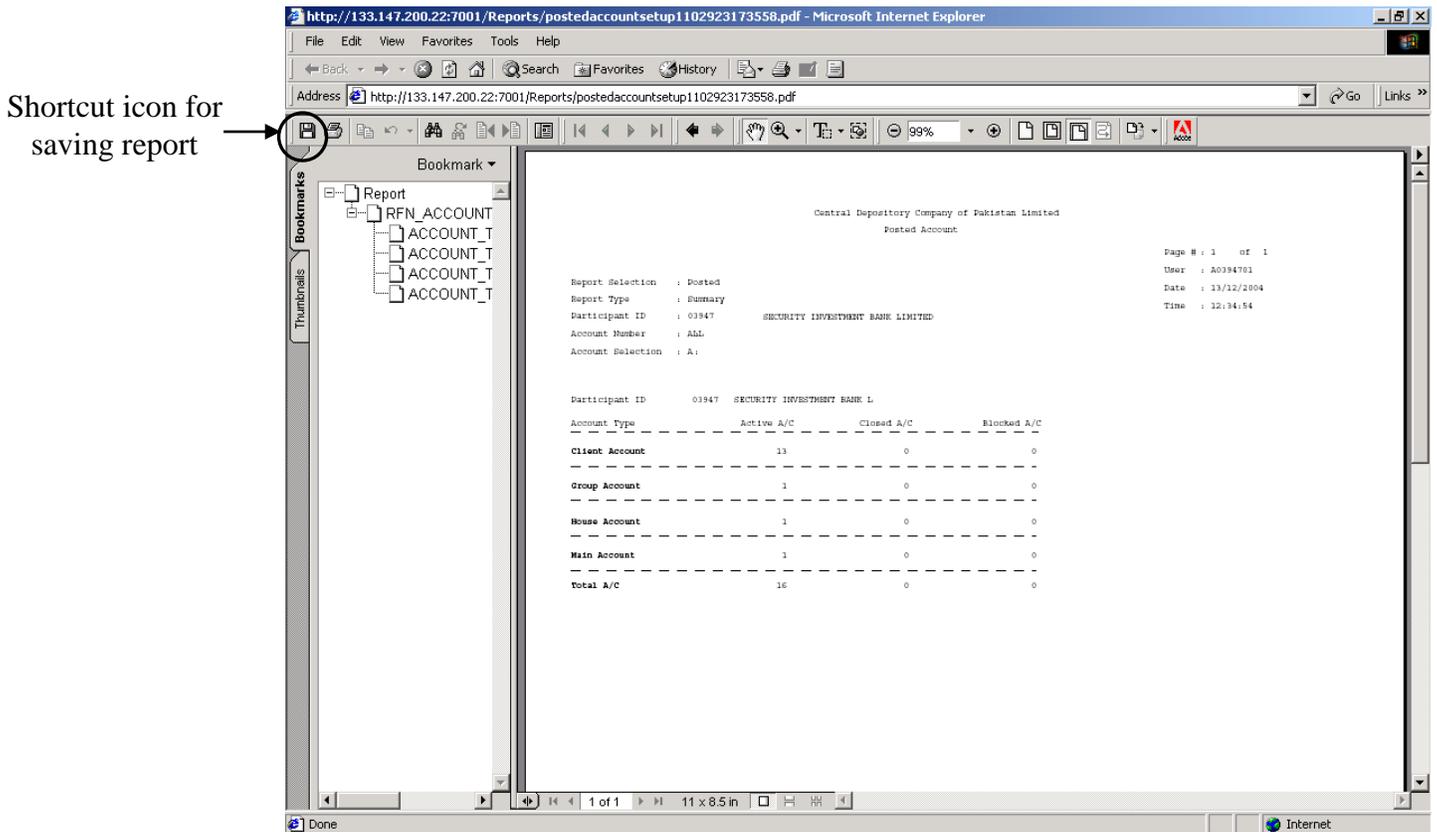
### 2.3.10 Report

Whenever the user will generate any report, a separate screen will appear containing the respective report in Adobe Acrobat format, as shown below:

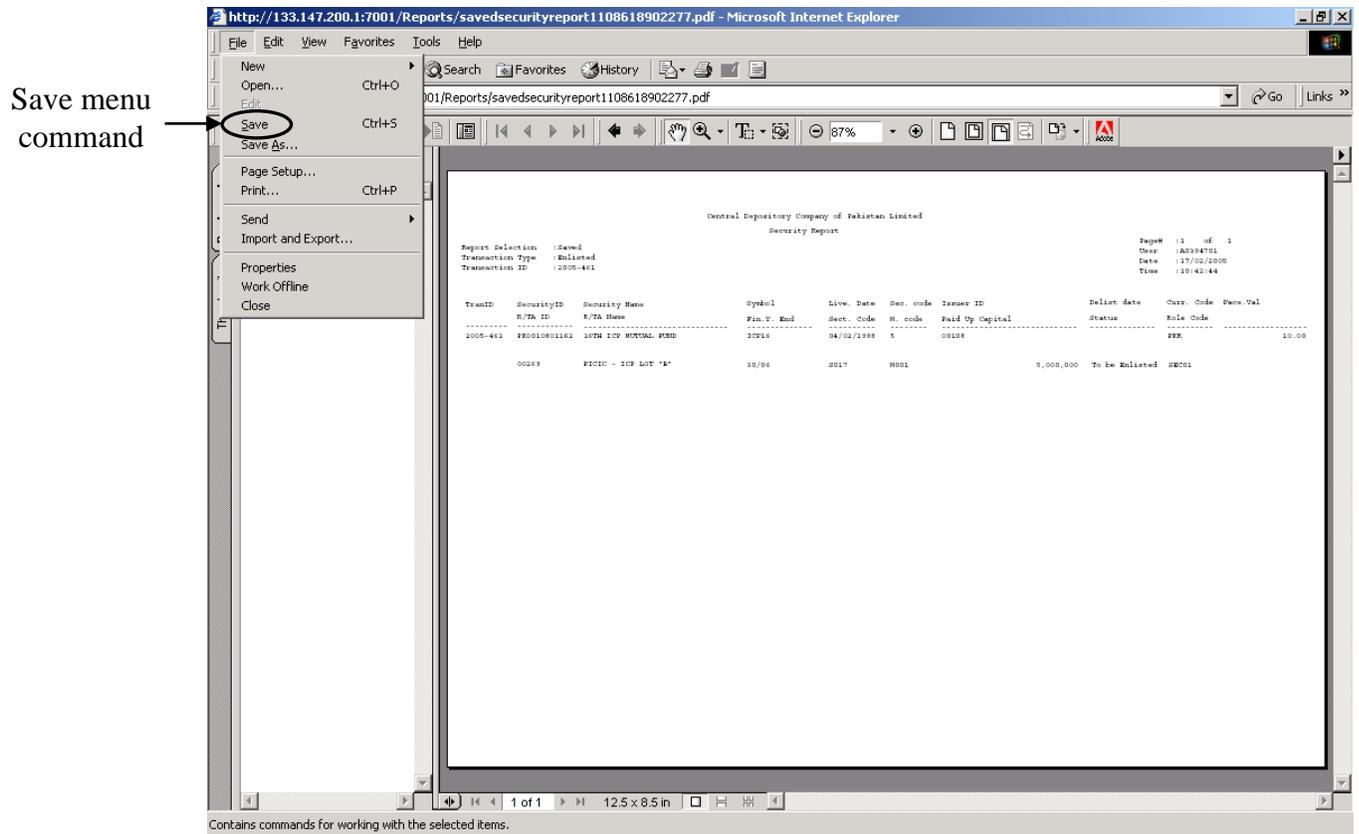


### 2.3.10.1 Report Save

In order to save the report on to a Personal Computer, the users will need to press the short-cut keys “*Ctrl+S*” on the keyboard or click the shortcut icon on the report screen, as shown below:



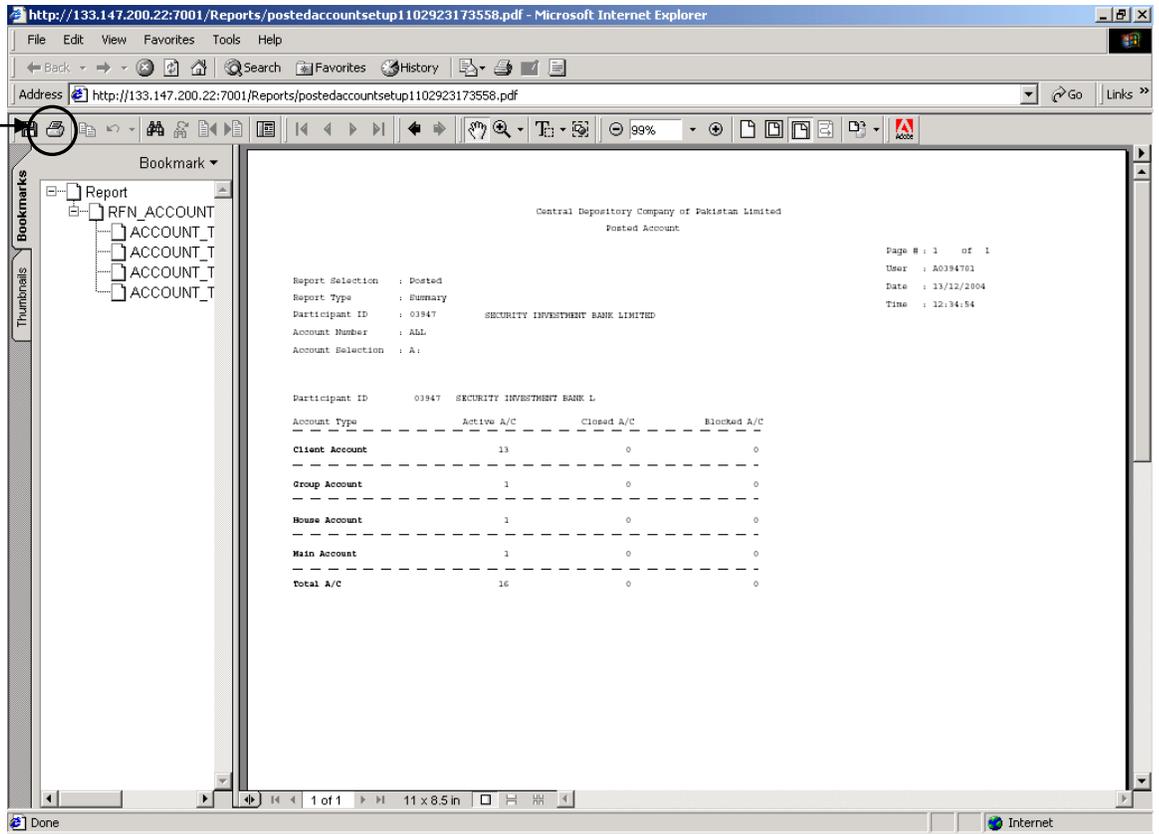
Alternatively, the report can be saved by clicking the ‘*Save*’ option in the *File* menu, as shown below:



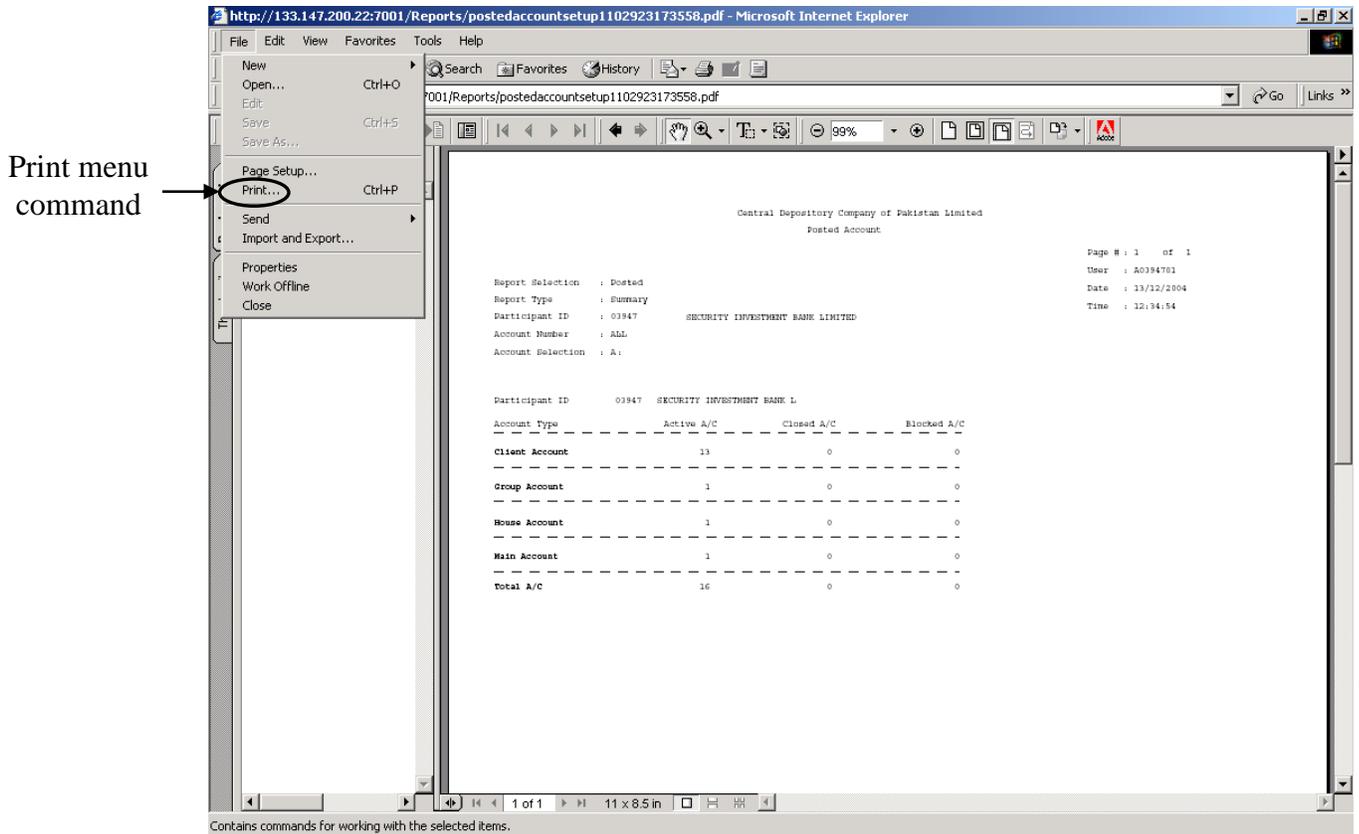
### 2.3.10.2 Report Print

In order to print the report, the users will need to press the short-cut keys “*Ctrl+P*” on the keyboard or click the shortcut icon on the report screen, as shown below:

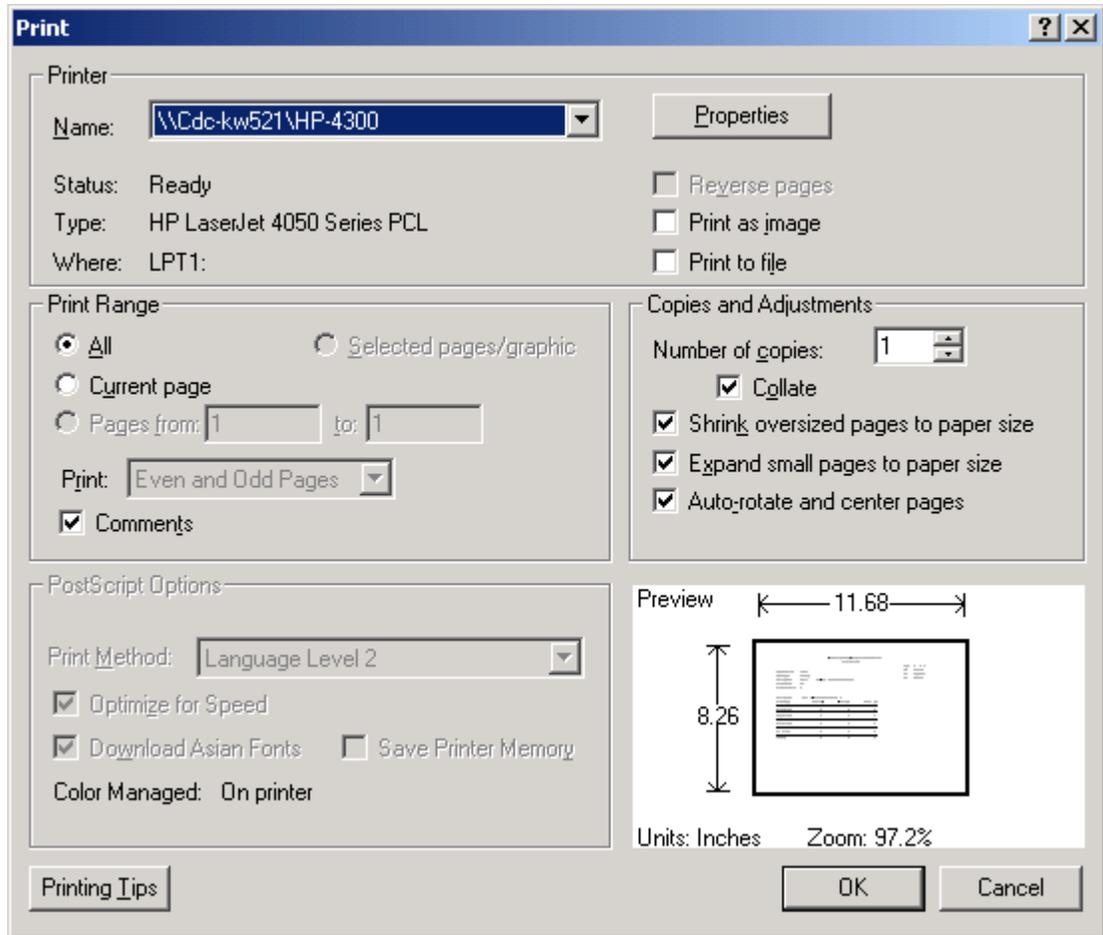
Shortcut icon for  
printing report



Alternatively, the report can be printed by clicking the 'Print' option in the *File* menu, as shown below:



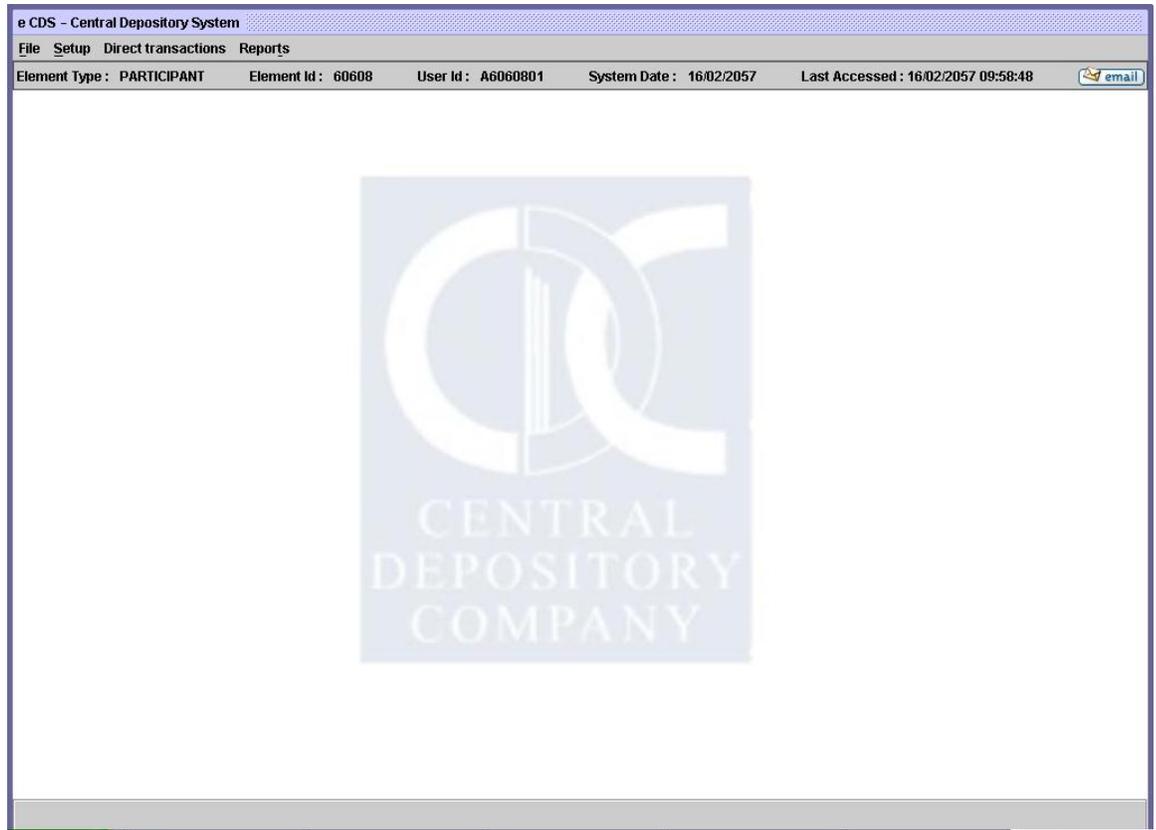
When the 'Print' command is executed through one of the above options, the following screen appears:



User can set the printer option in this screen. 'OK' button prints the report on selected printer and 'Cancel' button will transfer the control to the previous screen.

## 2.4 MAIN MENU SCREEN

As the user logs on to the system, the Main Menu Screen is shown. This screen displays the dropdown menus containing various options and submenus (discussed later in this manual). As shown below, this screen contains the following menus:



- **File**
  - Change Password
  - Logout
  - Exit

- **Setup**
  - Element and Users
    - Referential
      - IVR / Web and SMS Activation
  - Accounts
    - Accounts Definition
- **Direct Transactions**
  - Deposit Request
  - Withdrawal Request
  - Free Delivery
    - Intra Account Movement
    - Inter Participant Free Delivery
  - Transfer of Holdings
  - Pledge
    - Pledge Definition
  - Mutual Fund
    - Redemption Request
    - Unit Transfer Request
  - Partial Cancellation
    - Partial Cancellation Request
  - Right Subscription
    - Right Subscription Request
- **Reports**
  - Audit Log Report.
    - Audit Log
  - Element and User Maintenance Report
    - Element Report
  - Account Maintenance Reports

- Account Setup Report
- Account Aging
- Highlighting Account Detail
- Classification of Open Client Account
- Account Copy Report (on exception basis)
- Registration Detail Search Options
- Email Status Report
- Security Maintenance Reports
  - Security List Report
  - Security Price
- Deposit Reports
  - Deposit Request Reports
  - Deposit Request Aging Report
- Withdrawal Reports
  - Withdrawal Request
- Partial Cancellation Request Reports
  - Partial Cancellation Request Report
- Pledge Reports
  - Pledge Report
  - Pledgor Balance/Activity Report
- Share Movement Reports
  - Intra Account Movement FD Report
  - Inter Participant FD Report
  - Transfer of Holdings Report
- Tariff Reports
  - Billing Statement/Summary Report
  - Client Wise Billing Invoice Report

- Custody Fee Report for Freeze Volume/Major Shareholder
- Corporate Action Reports
  - Issuer Action Diary
  - New Issue Report
  - Bonus Share Report
  - CFS Automated Transfer Status Report
- Mutual Fund Reports
  - Redemption Request Report
  - Unit Transfer Request Report
- Activity Balance Report
  - Account Activity Report
  - Account Balance Report
  - Account Balance Summary Report
- MIS/Control Report
  - No. of Posted Pledge Call/Release Report
  - No of Saved Posted Free Delivery
- List Report
  - Transaction List Report
  - User Transaction List Report
- IVR / Web & SMS Activation Report
- Right Subscription Reports
  - Right Subscription Request Receipt
  - Right Subscription Request List Reports
  - Right Subscription Cancellation List Reports

The horizontal bar below the menu shows the user's authorisation level, user ID, the system date and the date/time when the system was last accessed by the user.

The subsequent chapters of this manual explain in detail each of the options available on the main menu and their respective submenus. In order to facilitate ease of reference, the headings used correspond, as far as possible, to the order in which the available options appear on the various menus.

### 3 FILE MENU

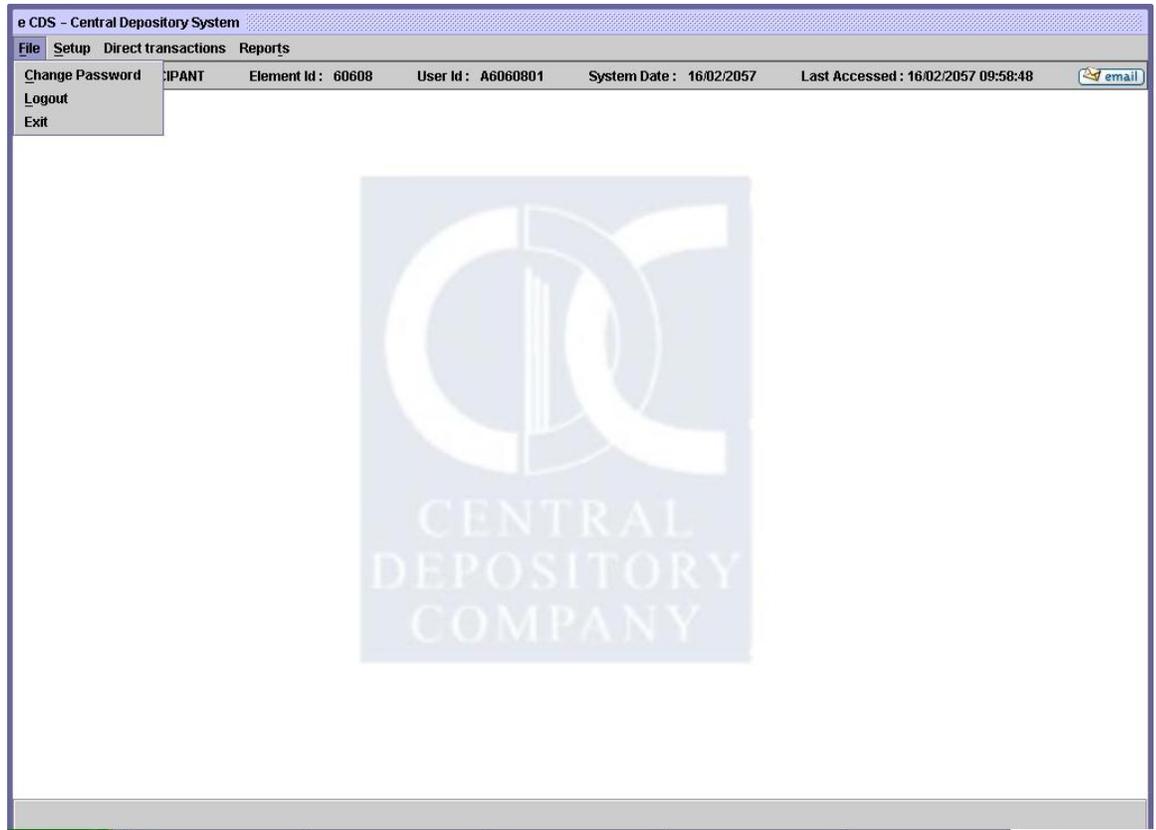
The File menu is the first menu on the main screen of the CDS application. This menu provides the user with some basic functions related to the application. These are:



- **File**
  - Change Password
  - Logout
  - Exit

### 3.1 CHANGE PASSWORD

After the initial changing of the password as explained in the chapter “Getting Started” the user may change the password later in order to maintain proper security of CDS access. The *Change Password* option on the File Menu allows the user to change an existing password. This option in the File menu is shown below:



When the user clicks the *Change Password* option in the File menu on the above screen, the following screen is shown:



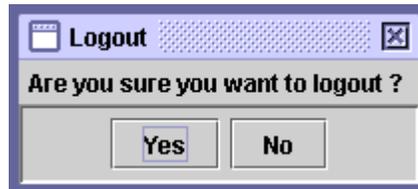
The image shows a 'Change Password' dialog box. It has a title bar with the text 'Change Password'. Below the title bar, there are four fields: 'User Id' with the value 'A6060801', 'Old Password', 'New Password', and 'Confirm Password'. At the bottom of the dialog box, there are two buttons: 'Submit' and 'Cancel'.

To change his password, the user has to follow the procedure given below:

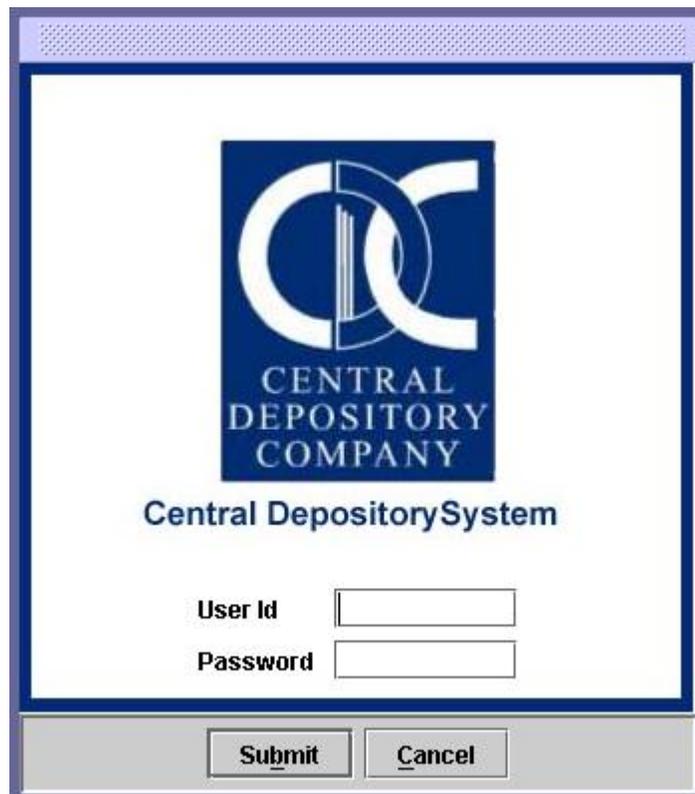
5. Type the old/previous password.
6. Press Tab to move into the *New Password* field and type the new password as per the current password policy set by the CDS administrator.
7. Press Tab to move into *confirm password* field and re-enter the new password.
8. Click *Submit* to save the changes.

## 3.2 LOG OUT

In order to logout of CDS, the user will have to click the *'Log out'* option on the File menu. As the user clicks the Log out option, the system generates the following confirmation message:



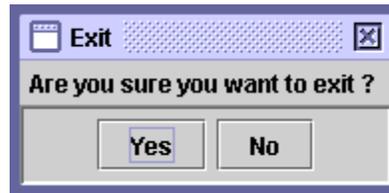
Clicking the *'No'* button will cause the message screen to disappear and the user will be taken back to the main menu screen of the system. Clicking the *'Yes'* button logs the user out of the application and takes him back to the CDS login screen, shown below:



The log out option is useful if the user desires to log out of the application so that another user can login to the application without having to wait for the system to load once again.

### 3.3 EXIT

The user can close the CDS application by clicking the 'Exit' option on the File menu. Clicking the Exit option will generate the following confirmation message:



Clicking the 'No' button will cause the message screen to disappear and the user will be taken back to the main menu screen of the system. Clicking the 'Yes' button will close the application. If a user wants to login to the system again, the application will have to be re-loaded.

## 4 Message Viewing Facility

Notices and Circulars sent by CDC from time to time to their Participants or Account Holders can be viewed from the Central Depository System. The Message Viewing Facility is provided to the recipients to view the messages at the time of login or during other activities in CDS. The message can be viewed by clicking the email icon, visible on the upper right corner of the screen, as shown in the below screen:



When the user clicks the 'Email' option, the following screen is displayed:

The screenshot shows the 'e CDS - Central Depository System' window. At the top, there is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. Below the menu bar, the system status is displayed: 'Element Type : PARTICIPANT', 'Element Id : 32870', 'User Id : A3287001', 'System Date : 09/09/2055', and 'Last Accessed : 27/04/2054 17:17:59'. There is also an 'email' icon.

The main area is titled 'Message Board' and has two tabs: 'Unread' (selected) and 'Read'. Below the tabs, there are 'Priority' options: 'High' and 'Normal', both with checked checkboxes. Under 'Record Selection', there are 'Search Options' including a text input for 'Subject / Message', 'From Date' (09/09/2055), and 'To Date' (09/09/2055), both with checked checkboxes. There are 'Search' and 'Refresh' buttons.

A table with the following headers is visible:

SUBJECT	RECEIVED	PRIORITY	STATUS
---------	----------	----------	--------

At the bottom of the window, there are three buttons: 'View', 'View Later', and 'Cancel'.

The Message Board screen contains two tabs, 'Unread' and 'Read' by default the 'Unread' tab is selected on the Message Board screen, which displays all the unread messages. 'Read' displays all the read messages, as shown below:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 32870 User Id : A3287001 System Date : 09/09/2055 Last Accessed : 27/04/2054 17:17:59

Message Board

Unread Read

Priority

High  Normal

Record Selection

Search Options

Subject / Message  From Date 09/09/2055  To Date 09/09/2055  Search Refresh

SUBJECT	RECEIVED	PRIORITY
Replicating Market Issue of & in Signature	30/07/2048 12:19:23	Normal
Replicating Live Bug of Attachment	09/02/2048 16:04:46	Normal
Testing message-All Type of recipients	21/01/2048 11:25:23	Normal
View Later Issue Replicating	25/11/2047 10:33:02	Normal
To all Recipients	23/11/2047 12:37:07	High
Testing Closing Group	23/11/2047 12:26:07	High
Message to System & group with Suspended Elements	23/11/2047 12:23:42	High
Test Closign Participant	22/11/2047 16:57:22	Normal
Authority Bug Verification	22/11/2047 09:47:07	Normal
Performane testing	10/06/2045 12:19:08	Normal
Received by All Pledgges of Location ISB,LHR and Karachi	02/06/2045 15:53:08	Normal
Active Account Holder and Clearing Memeber of ALL Location	01/06/2045 15:09:06	Normal
Deliverd to All Type of Recipients	29/05/2045 11:58:38	Normal
Status of element verification	15/05/2045 15:05:02	Normal
Verify type of Files - 5 files in one Notice	26/04/2045 10:55:55	High

View Cancel

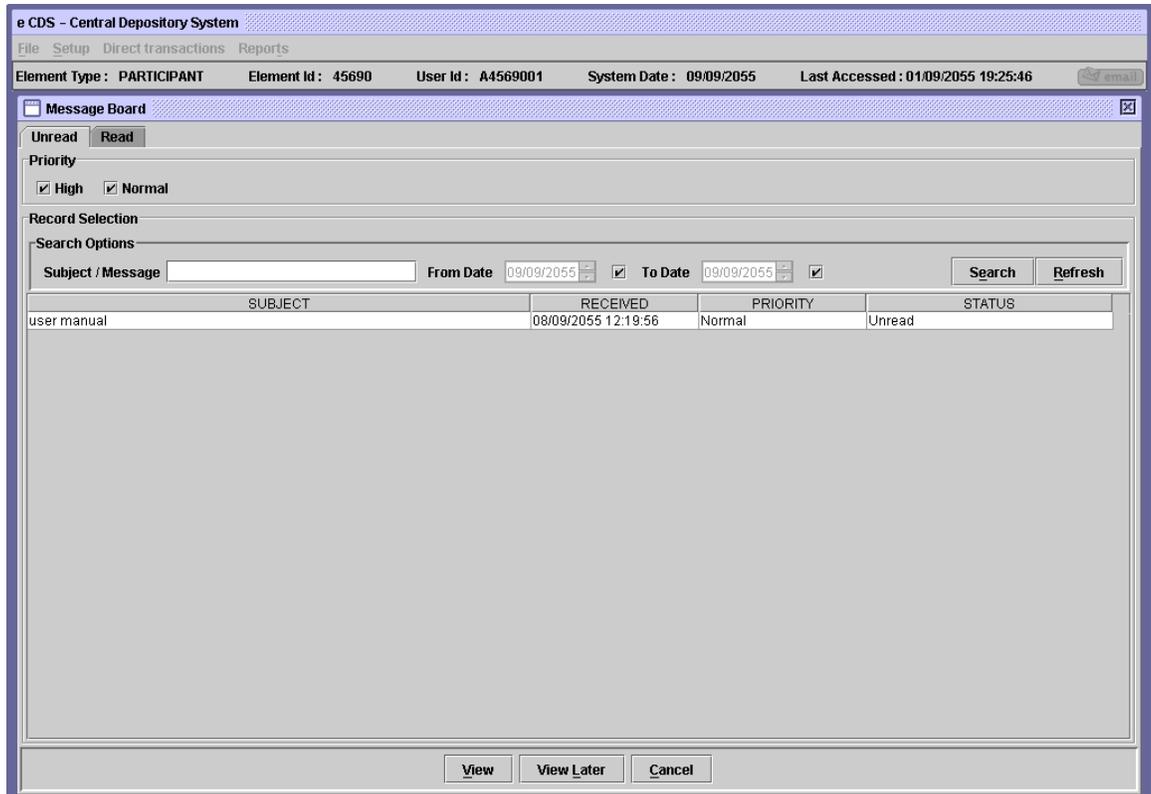
User can enter subject of the message, from date, to date, priority in the search panel and press the search button to display the required messages in the scrolling table.

To view the complete message details, user selects the desired message from the scrolling table and then clicks the 'View' button.

Clicking the 'Cancel' button will take the user to the Main Menu Screen.

If user wants to read any message at a later stage then user selects the relevant message and clicks the 'View Later' button. Clicking the 'View Later' button will take the user to the Main Menu screen.

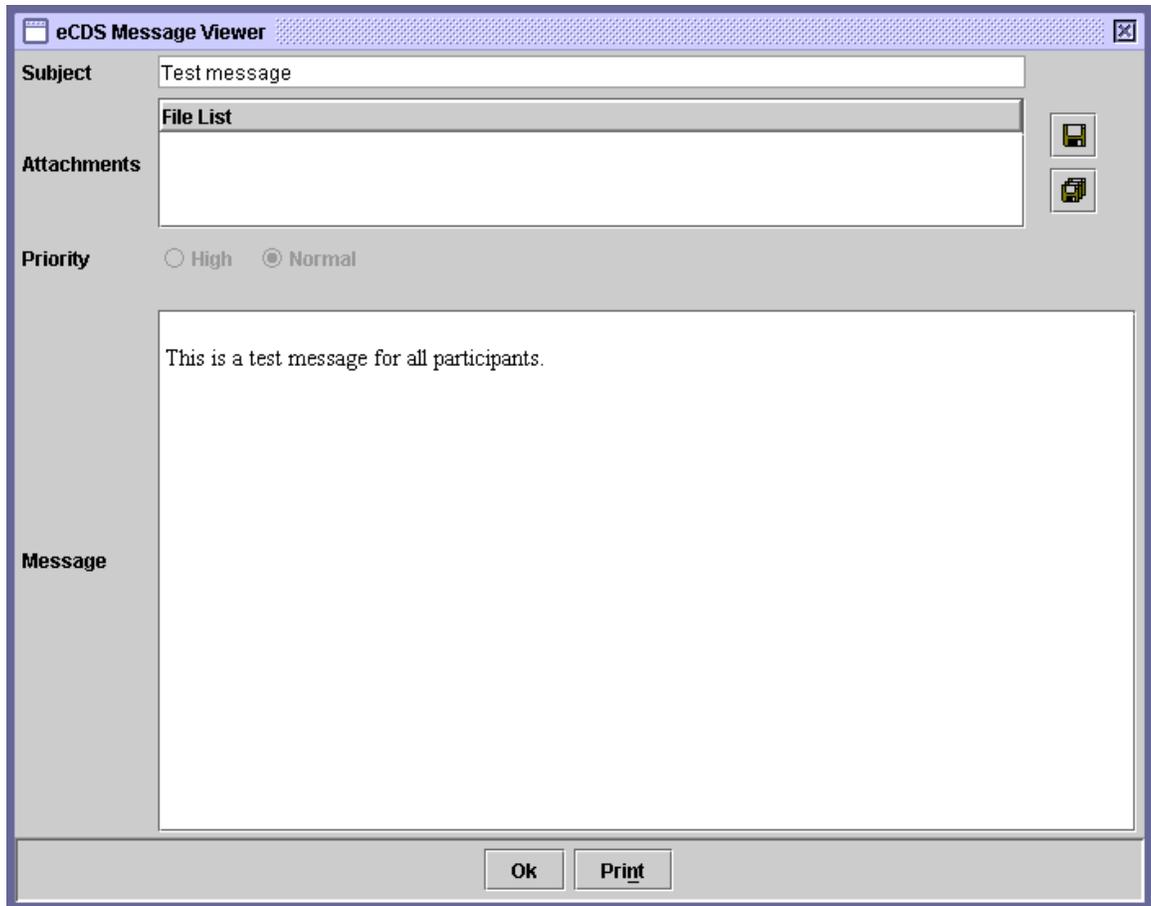
At the time of login, if any message(s) exists which is not yet read or marked as View Later by user earlier during last login then after again login, the user will be directed to the message board Unread browser screen, as shown below:



At the time of login, the user is forced to read the message by clicking ‘*View*’ button or mark the messages as ‘*View Later*’ button. If the user presses ‘*Cancel*’ button without view/view later then the following message will be displayed by the system:



Clicking the ‘*View*’ button after selecting a particular message displays the following message viewer.



**Subject** The ‘Subject’ of the message sent by CDC.

**Attachments** Attachments, if any, sent by CDC along with the message.

**Save / Save All** Provision is available adjacent to the Attachment field to either save or save all the attachments.



**Priority** Priority reflects the importance of the message as set by CDC.

**Message** The browser displays the body text of the message.

- OK*** Clicking the 'OK' button closes the message viewer and redirects the user to the message board.
- Print*** Clicking the 'Print' button enables the user to print the message via internet explorer.

## 5 SETUP MENU

As soon as the user clicks or otherwise selects the Setup option on the Main Menu, a pull-down menu containing the following options is presented:



- Element and Users
  - Referential
    - IVR / Web and SMS Activation
- Account
  - Account Definition

The following paragraphs in this chapter of the manual contain detailed explanations for each of the above menu options.

### 3.4 IVR/ Web and SMS Activation Details

The IVR/ Web and SMS Activation referential setup facilitates the users to initiate / edit the subscription for IVR / Web and SMS services.

To access IVR/ Web and SMS Activation functionality, the user clicks on “**IVR/ Web and SMS Activation**” under **Setup > Elements and Users > Referential** menu. The following screen is displayed by the system.

The screenshot shows the 'e CDS - Central Depository System' window. The title bar includes 'File Setup Direct transactions Reports'. The status bar displays: 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/05/2057', and 'Last Accessed: 19/05/2057 12:36:31'. The main window is titled 'IVR and Web Activation' and contains a 'Save' and 'Post' button. Below these are 'Record Selection' and 'Search Options' sections. The search options include input fields for 'Transaction ID', 'Participant ID' (with '60608' entered), and 'Account Number', along with 'Search' and 'Refresh' buttons. A table with columns 'TRANSACTION ID', 'ELEMENT ID', 'ELEMENT NAME', 'ACCOUNT NUMBER', and 'ACCOUNT CODE' is present but empty. At the bottom, there are 'Add', 'Update', 'Delete', 'Post', and 'Cancel' buttons.

#### 3.4.1 Save Tab

By default, the Save Tab is displayed by the system.

On this tab, the user is provided with Search Options. The user may search a particular record by entering the desired Transaction ID or Account number to retrieve the saved transactions, matching the entered criteria.

To enter new search criteria, the user clicks on ‘*Refresh*’ button to clear all the search fields

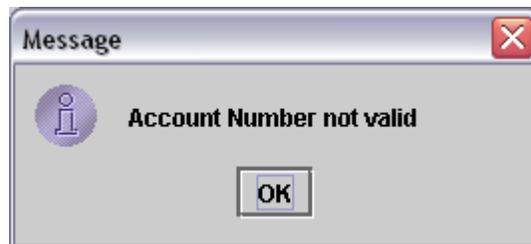
### 3.4.1.1 Add Button:

When the user clicks on “Add” button, following screen is displayed:

The details of the fields on the screen are as follows:

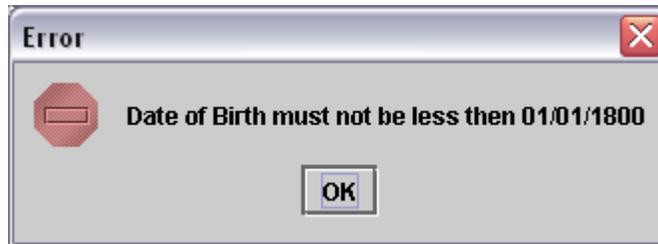
**Element ID** The “Element ID” field is disabled and contains the hard coded information of the logged in user.

**Account Number** The user may type in the account number or select a particular account number from the lookup of account numbers by clicking on the Browse button adjacent to the account number field. In case the account number entered by the user is invalid, following error message is displayed by the system:



On entering/selecting the Account Number, system shall fetch the mobile number (if available) from ‘Local Mobile No.’ field on ‘Account Setup’ screen and auto-populate it on ‘Mobile Number’.

***Date of Birth*** This field allows the user to enter the date of birth. The date of birth must not be less than 01/01/1800 else the following error message will be shown when the user presses the Save button:



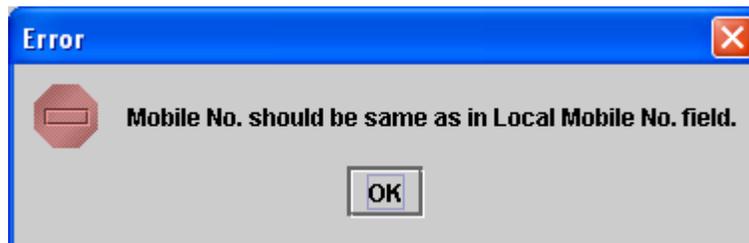
***Mother's*** The user types in Mother's Maiden Name using this field.

***Maiden Name***

***Mobile Number*** The field will appear in disabled mode.

System will auto-populate the number available on the 'Local Mobile No.' field of 'Account Setup' screen.

While 'Posting' record, system will check if the 'Mobile No.' in save record is same as that on the 'Local Mobile No.' on the 'Account Setup' screen, if not, system will restrict posting of such saves record and prompts the following Message:



***Activation Type*** IVR/ Web:

The user clicks on IVR/ Web checkbox to initiate the request for IVR/ Web channel subscription.

SMS:

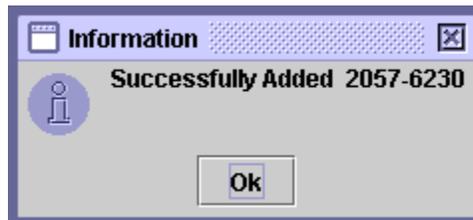
The user clicks on SMS checkbox to initiate the request for the SMS facility. When the user clicks on the SMS checkbox, the "SMS fee" is displayed by the system, as shown in the screen

below:

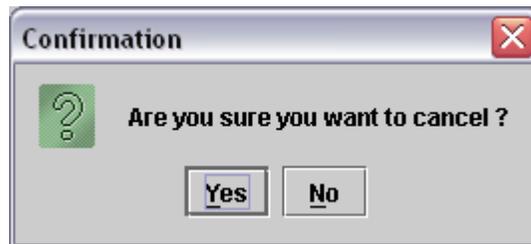
SMS service could only be activated if there is a valid mobile number for the account.

**SMS Validity Date** SMS Validity Date is the hard coded field, displaying the validity period corresponding to the last date for the SMS subscription.

After entering the desired information, the user clicks on “Save” button to add the record. After successfully adding the record, the system displays the following message:



However, if the user clicks on cancel button, a confirmation message is displayed by the system as follows:



Upon clicking “Yes”, the user is navigated to the previous screen.

The newly added record is displayed in the Save tab of the screen with “To be added” status.

### 3.4.1.2 Update Button:

The user may update an existing record by selecting the desired record and clicking on “Update” button. The screen displayed by the system is as follows:

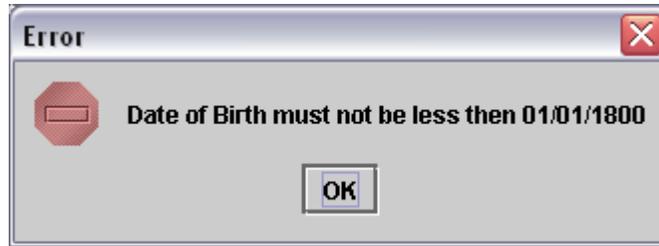
The screenshot shows a window titled "IVR/Web and SMS User Registration Details". The form contains the following fields and values:

- Transaction ID: 2105
- Element ID: 42887
- Account Number: 105705
- Date of Birth: 15/04/2105
- Mother's Maiden Name: Mother Name
- Mobile Number: 03333030301
- Activation Type:  IVRWeb,  SMS
- SMS Fee: 0.00
- SMS Validity Date: 09/05/2105

Buttons for "Save" and "Cancel" are located at the bottom of the form.

The details of the fields on the screen are as follows:

- Transaction ID** The “Transaction ID” field is disabled and contains the hard coded information of the record that is to be updated.
- Element ID** The “Element ID” field is disabled and contains the hard coded information of the logged in user.
- Account Number** The “Account Number” field is disabled and contains the hard coded information of the record that is to be updated.
- Date of Birth** This field allows the user to update the date of birth. The date of birth must not be less than 01/01/1800 else the following error message will be shown when the user presses the Save button:



**Mother's Maiden Name** The user types in mother's maiden (original) name using this field.

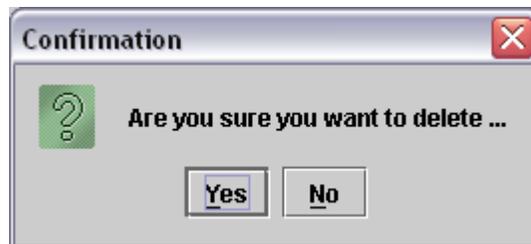
**Mobile Number** The field will appear in disabled mode.

**Activation Type** The "Activation Type" checkboxes are disabled and contain the hard coded information of the record that is to be updated.

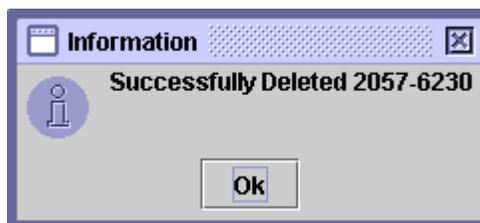
**SMS Validity Date** SMS Validity Date is the hard coded field, displaying the validity period corresponding the last date for the SMS subscription.

### 3.4.1.3 Delete Button:

The user selects the record to be deleted and clicks on "Delete" button. The system displays the confirmation message as follows:



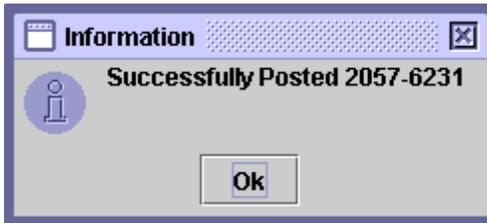
If the user clicks on "Yes" button, the record is deleted and following message is displayed by the system:



However, if the user clicks on “No” button, system navigates to the previous screen.

#### **3.4.1.4 Post Button:**

The user selects the record to be posted and clicks on “Post” button. System displays the following message, after successfully posting the record:



#### **3.4.1.5 Cancel Button:**

If the user clicks on “Cancel” button, system exists without saving any record.

### **3.4.2 Post Tab**

The Post Tab display records which have been posted in the system. The columns displayed are Element ID, Element Name, Account Number, Account Code and Account Description.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 20/02/2057 Last Accessed : 20/02/2057 09:50:07

IVR and Web Activation

Save Post

Record Selection

Search Options

Participant ID: 60608 Participant Name: UMAR CAPITAL SECURITIES PVT LTD. Search Refresh

Account Number: Account Description:

ELEMENT ID	ELEMENT NAME	ACCOUNT NUMBER	ACCOUNT CODE	ACCOUNT
60608	UMAR CAPITAL SECURITIES PVT LTD.	12	M	MU MAIN ACCOUNT
60608	UMAR CAPITAL SECURITIES PVT LTD.	20	H	MUHAMMAD UMAR
60608	UMAR CAPITAL SECURITIES PVT LTD.	509	C	Muhammad Omair
60608	UMAR CAPITAL SECURITIES PVT LTD.	517	C	Muhammad muzzamil
60608	UMAR CAPITAL SECURITIES PVT LTD.	558	C	MUHAMMAD UMAR
60608	UMAR CAPITAL SECURITIES PVT LTD.	574	C	MUHAMMAD KANWER KHAN SNAI
60608	UMAR CAPITAL SECURITIES PVT LTD.	806	C	ACCOUNT TITLE FOR EMAIL ISSUE
60608	UMAR CAPITAL SECURITIES PVT LTD.	848	C	TAHIR AHMED SOOMRO

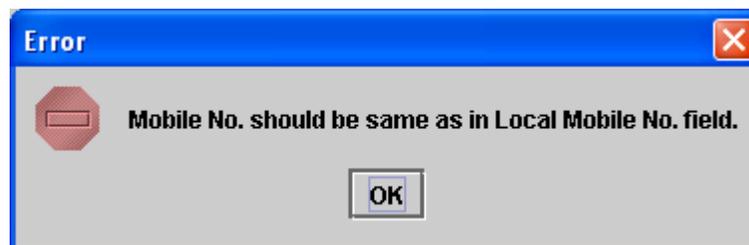
Update Cancel

On this tab, the user is provided with Search Options. The user may search a particular record by entering the Account Number or “Account Description to retrieve the record, matching the selected criteria.

To enter new search criteria, the user clicks on ‘Refresh’ button to clear all the search fields

Clicking the ‘Search’ button without entering any data in the search fields will return all the Posted transactions.

On ‘Posting’, system will check if the ‘Mobile No.’ in save record is same as that on the ‘Local Mobile No.’ on the ‘Account Setup’ screen, if not system will restrict posting of such saves record and prompts the following Message:



### 3.4.2.1 Update Button:

The user may update an existing posted record by selecting the desired record and clicking on “Update” button. The screen displayed by the system is as follows:

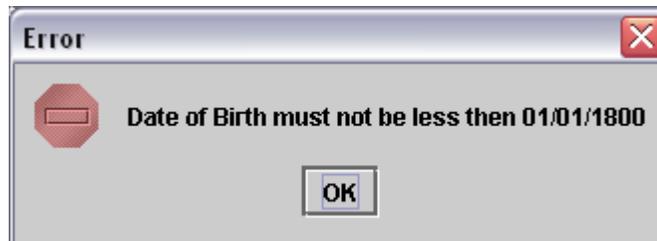
The screenshot shows a window titled "IVRWeb and SMS User Registration Details". The form contains the following fields and controls:

- Element ID:** 60608 (disabled field), with a "Browse" button and the value "UMAR CAPITAL SECURITIES PVT LTD." displayed to the right.
- Account Number:** 558 (disabled field), with a "Browse" button and the value "MUHAMMAD UMAR" displayed to the right.
- Date of Birth:** 12/12/2000 (date picker), with an "Allow empty Date" checkbox.
- Mother's Maiden Name:** mother558 (text input field).
- Mobile Number:** 1234567 (text input field).
- Activation Type:**  IVRWeb,  SMS.
- SMS Fee:** (empty text input field).
- SMS Validity Date:** 20/02/2057 (date picker).

At the bottom of the form are "Save" and "Cancel" buttons.

The details of the fields on the screen are as follows:

- Element ID** The “Element ID” field is disabled and contains the hard coded information of the logged in user.
- Account Number** The “Account Number” field is disabled and contains the hard coded information of the record that is to be updated.
- Date of Birth** This field allows the user to enter the date of birth. The date of birth must not be less than 01/01/1800 else the following error message will be shown when the user presses the Save button:

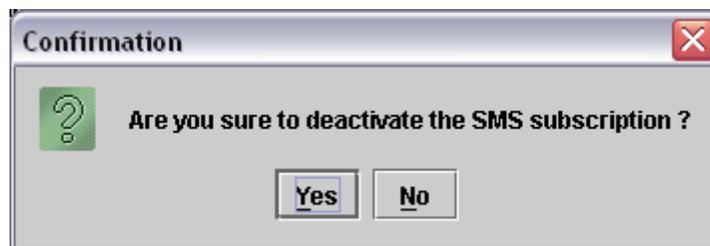


<b>Mother's Maiden Name</b>	The user types in Mother's Maiden Name using this field.
<b>Mobile Number</b>	The user types in the 11 digits mobile number.
<b>Activation Type</b>	IVR/ Web The user clicks on IVR/ Web checkbox, to update the subscription for IVR/ Web channel. SMS The user clicks on SMS checkbox, to update the subscription status for SMS channel.
<b>SMS Validity Date</b>	SMS Validity Date is the hard coded field, displaying the validity period corresponding the last date for the SMS subscription.

### 3.4.3 Deactivating SMS Subscription

Deactivation can only be done for SMS subscription facility. To deactivate, the user selects the desired record from the Post tab and clicks on Update button.

When the user un-checks the SMS checkbox from Activation Type field, the following prompt is given to the user:



If the user clicks Yes then the "Deactivation Remarks" field is displayed on the screen as follows:

The screenshot shows a software window titled "IVRWeb and SMS User Registration Details". The form contains the following fields and controls:

- Element ID:** 60608, with a "Browse" button.
- Account Number:** 889, with a "Browse" button.
- Date of Birth:** 20/02/2053, with a calendar icon and an "Allow empty Date" checkbox.
- Mother's Maiden Name:** test
- Mobile Number:** 03211234567
- Activation Type:** Two checkboxes, "IVRWeb" and "SMS", both of which are currently unchecked.
- SMS Fee:** (Label only, no input field)
- SMS Validity Date:** 21/03/2057, with a calendar icon.
- Deactivation Remarks:** An empty text input field.
- Company Name:** UMAR CAPITAL SECURITIES PVT LTD.
- Account title for rights 1:** (Label only, no input field)
- Buttons:** "Save" and "Cancel" buttons at the bottom.

The user enters the "Deactivation Remarks" and clicks on "Ok" button to deactivate the subscription.

### 3.5 ACCOUNT

Each Participant in the CDS can have a number of different types of accounts. But user can only add, update and close the client ("C" and "CFSC" type) account. In order to maintain an account, the user needs to open the Setup Menu, and select the Account Definition in the Account submenu.

Clicking the Accounts menu item in the Setup menu displays the 'Account Setup' option. Clicking this option opens up the following screen:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 16/02/2057 Last Accessed: 16/02/2057 10:02:58

Account Setup

Save Post

Record Selection

Search Options

Selected Rows 0 Transaction ID [ ] Participant ID 60608 Account Number [ ] Account Description [ ] Search Refresh

TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS

Add Update Delete Post Copy Select All Cancel

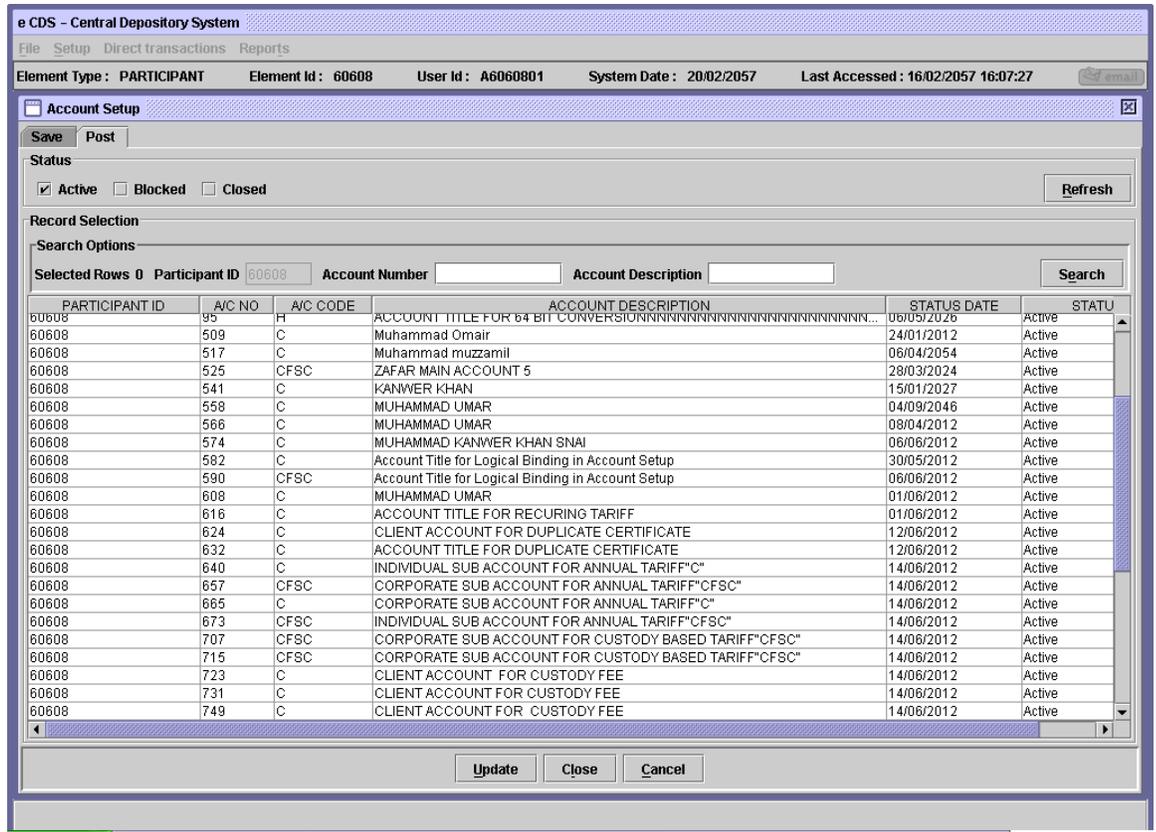
#### 4.1.1 Save Tab

By default, the 'Save' tab is selected on the Account Setup screen, which displays the saved account setup transactions. On this tab, the user is provided with Search Options whereby the user can retrieve saved account setup transactions based on the Transaction ID, Account Number and/or Account Description. On clicking the 'Search' button, records meeting the provided criteria are displayed in the scrolling table provided below the Search Options.

Clicking the 'Search' button without entering any data in the search fields will return all the saved account setup transactions. To enter new search criteria, the user can click the 'Refresh' button which clears all the search fields.

#### 4.1.2 Post Tab

By clicking the 'Post' tab on the Account Setup screen the user can see the accounts already posted to the system, as shown in the figure below.



Using the 'Status' options on the Post tab, the user can view active, closed or blocked accounts in the scrollable table provided. Clicking the 'Refresh' button after checking the required boxes will show the records meeting the provided status criteria. More than one option for account status can be selected.

The Post tab on the Account Setup screen also provides Search Options including Account Number and Account Description. After entering the required data in the search fields, and pressing 'Search' button, will show the records matching the searched data. The Status and Search options can be used simultaneously.

### 4.1.3 Add

The Add option is used to add a new account in the system. To access the 'Add' option, the user has to select the 'Save' tab on the Account Setup screen.

After selecting the Save tab, as soon as the user clicks the 'Add' button, the 'Account Setup Detail' screen is displayed, as shown below. The Participant ID

is hard coded with the login Participant's ID. Therefore, the 'Browse' button is disabled as shown in the screen below. The Account Code dropdown list enables the user to select the type of account to be added. The drop down list contains all those accounts to which users have the add authority.

The screenshot shows the 'Account Setup Detail' window. At the top, there are fields for 'Participant ID' (42887) with a disabled 'Browse' button, and 'Account Code' (CLIENT ACCOUNT). Below these are 'SE Location' (KARACHI) and a series of tabs: 'Account Details', 'Account Holder Details', 'Joint Holder Details', 'Nominee Details', 'Attorney Details', and 'e-info'. The 'Account Details' tab is active, displaying fields for 'Account Copy From' (with a disabled 'Browse' button), 'Share Holder Category ID' (with a disabled 'Browse' button), 'Specify Others', 'Account Title', 'Additional Information', 'Contact Name', 'Contact No.', 'Resident Status' (RESIDENT PAKISTANI), 'Zakat Status' (NOT APPLICABLE), 'Reg No.' (with a disabled 'Browse' button), 'Bank Account Title', 'Bank Account No.', 'Branch', 'SCRA Details' (N), 'SCRA Account No.', 'SCRA Bank Branch', 'Local Mobile No.', 'Email Address', 'Nationality' (Pakistani), 'Dividend Mandate' (N), 'Bank', 'City', 'SCRA Bank', and 'SCRA City'. At the bottom are 'Save' and 'Cancel' buttons.

The Account Setup Detail screen contains six tabs, Account Details, Account Holder Details, Joint Holder Details, Nominee Details and Attorney Details. The user is required to enter the relevant data in the fields provided on these tabs.

Following are the descriptions of the fields provided on the Account Details tab of the Account Setup Detail screen:

\* **Account Copy From**

This provides an option to the user to copy the registration details of an account already present in the system. It is useful if some of the data related to the new account being added is similar to one of the accounts already existing in the system. After copying all the data of the selected account in the



the Account Setup Detail screen with the Share Holder Category ID field containing the category ID corresponding to the category selected from the Share Holder Category ID Lookup table.

If no other category in the lookup table is applicable, the user can select “Others” and enter the category description in the “Specify Others” field next to the ‘Browse’ button on the Account Setup Detail screen. This ‘Specify Other’ field will be used to specify any other shareholder category.

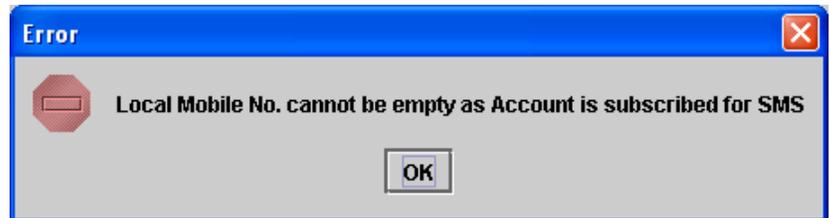
- \* **Account Title** Filling this field is mandatory. The user can select the appropriate prefix to the Title of Account from the dropdown list provided. Account Title of up to 60 characters in length can be entered in the textbox provided.
- \* **Additional Information** The user types in any additional information in account setup functionality, using this field.
- \* **Contact Name** Filling this field is mandatory. It contains the name of the person who should be contacted on behalf of the account holder. The user can select the appropriate prefix to the Contact Name from the dropdown list provided.
- \* **Local Mobile No.** The user types in the 11 digit mobile number. The field shall only accept numbers. The mobile number must have exactly 11 digits else system will prompt the following message on ‘Save’:



The first four digits of the Mobile No. are verified against the pre-defined ‘Mobile Operator Codes’ in the system. In case of entering incorrect first four digits (Mobile Operator Code), system will prompt following message on ‘Save’:



The 'Local Mobile No.' field of an Account may not be save/post as empty (without a valid mobile number) if 'SMS Service' is activated at 'IVR/Web and SMS Activation' functionality else system will show following message on 'Save'/'Post' operations:



- \* **Contact No.** Filling this field is mandatory. It contains the contact number of the person who should be contacted on behalf of the account holder.
- \* **Fax** The account holder's fax number. Filling this field is optional.
- \* **Email Address** The account holder's email address. Filling this field is optional but mandatory in case of eService and Web Registration.
- \* **Resident Status** The user has to select the appropriate resident status of the account holder from the dropdown list provided. The list contains all the valid resident status options, which have been set up in the system. The options available to the user in this field are:
  - Resident Pakistani
  - Non-Resident Pakistani (Repatriable)
  - Non-Resident Pakistani (Non-Repatriable)
  - Foreigner Resident (Repatriable)
  - Foreigner Resident (Non-Repatriable)
  - Foreigner Non-Resident (Repatriable)

Foreigner Non-Resident (Non-Repatriable)

- \* **Nationality**                      The user has to enter the ‘Nationality’ of the account holder if the Resident Status is Foreigner.
  
- \* **Zakat Status**                      The user has to select one of the options in the combo box displayed by clicking on the arrow on the right side of the field. The drop down list contains all the valid Zakat Status types, which have been set up in the system. The data in this field helps determine whether zakat is deductible on this account or not. The options available to the user in this field are:
  - Muslim Zakat Payable
  - Muslim Zakat Non Payable
  - Non Muslim
  - Not Applicable
  
- \* **Reg No.**                              This field is un-editable and displays the registration number of the corporate. This field is used to browse the registration number of a corporate entity, by pressing the browse button located besides the field. Pressing browse button displays following lookup table:

CORPORATE NAME	REGISTRATION NUMBER
J & A CREATION (PRIVATE) LIMITED	8583/19850307
J & A AMUSEMENT (PRIVATE) LIMITED	J-13857/31121212
J & A COMPANY (PRIVATE) LIMITED	10137/19870407
J & B AIR TRAVEL & TOURS (PVT.) LIMITED	0000005416/20060501
J & B AQUAFARMS (PRIVATE) LTD.	7679/19831107
J & C ENGINEERING (PRIVATE) LIMITED	I-01006/1920901
J & F APPARELS (PVT) LTD.	L-01251/19881102
J & J INDUSTRIES (PVT) LIMITED	I-09709/19981102
J & K BUILDERS (PVT) LIMITED	00000013846/20040802
J & M PAKISTAN (PRIVATE) LIMITED	L-08401/19960102
J & N INTERNATIONAL (PRIVATE) LIMITED	L-06917/19940202
J & P COATS PAKISTAN (PRIVATE) LIMITED	362/19480607
J & P EMO PAKISTAN (PVT) LTD.	4474/19930307
J & S ENTERPRISES (PRIVATE) LIMITED	3609/19730307

The user can search for the corporate name by using the alphabets in the search options, or by typing the corporate name to be searched and pressing the search button

**\* Dividend Mandate**

Selecting ‘Y’ from the dropdown menu indicates that the Account Holder has filed a dividend mandate with his Participant, giving instructions as to the bank account where the user wishes dividends to be credited. Entering an ‘N’ means that the account holder has not filed a dividend mandate with his Participant.

If the user enters ‘Y’ in this field, additional fields for *Bank Account Title*, *Bank Account No.*, *Bank*, *Branch* and *City* are enabled and the user is required to enter these details in their respective fields.

**\* SCRA Details**

If the user enters ‘Y’ in this field, additional fields for *SCRA Account No.*, *SCRA Bank*, *SCRA Bank Branch* and *SCRA City* are enabled and the user is required to enter these details. This field will only enable if user select Resident Status as Repatriable.

Next, the user is required to enter details regarding the account holder. Clicking the Account Holder Details tab opens another screen with the following fields:

The screenshot shows a web application window titled "Account Setup Detail". The "Account Holder Details" tab is active. The form contains the following fields and controls:

- Participant ID:** 99002 (with a "Browse" button) and "MAM Test Participant - 99002 for EStatement for Sub-Account"
- Account Code:** Client Account (dropdown menu)
- SE Location:** Karachi (dropdown menu)
- Tabs:** Account Details, Account Holder Details (selected), Joint Holder Details, Nominee Details, Attorney Details, e-info
- Gender:** Mr. (dropdown menu)
- Mailing Address:** Three text input fields
- Permanent/Registered/Head Office Address:** Three text input fields, with a "Copy Mailing Address" checkbox
- City:** Text input field with a "Browse" button
- Specify Other:** Text input field
- Province:** Text input field with a "Browse" button
- Specify Other:** Text input field
- Country:** Text input field with a "Browse" button
- Specify Other:** Text input field
- Country:** Text input field with a "Browse" button
- Occupation Code:** Text input field with a "Browse" button
- CNIC/NICOP:** Text input field
- CNIC/NICOP Expiry Date:** Date picker (31/12/9999) with "Allow Null Date" checkbox
- CNIC/NICOP Title:** Text input field
- Passport Number:** Text input field
- Passport Title:** Text input field
- Passport Issue Date:** Date picker (31/12/9999) with "Allow Null Date" checkbox
- Passport Expiry Date:** Date picker (31/12/9999) with "Allow Null Date" checkbox
- Passport Place of Issue:** Text input field
- NTN:** Text input field
- Buttons:** Save, Cancel
- Footer:** Wednesday, February 23, 2011

- \* **Father / Husband Name** The combo box will either be automatically filled or need to be filled up by the user. If not automatically filled by the system, the user needs to select one of the following two values: Father or Husband (for defining the name of the father or husband of the account holder). The user also needs to fill the textbox for the name of the father / husband account holder (mandatory) besides the salutation combo box.
- \* **Mailing Address** The Account holder's address. Filling this field is mandatory.
- \* **City** Filling this field is mandatory. The user can select the city for the mailing address through the city lookup.

In the lookup, the user can press any alphabet (e.g. B) to look for all the cities starting from B in the system.

The user can also search for a city by typing the city name and pressing the Search button. There are three different search criteria for searching the city name. The searching for City Code lookup shall work in the same manner as for existent Registration Number Lookup

CITY CODE	CITY NAME	PROVINCE CODE
OTHER	other city	01
OTHER		

- \* **Specify Other** Specify Other field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.

- \* **Province**                      The account holder's respective province will be displayed here in disabled form according to the account holder's city selected in City field.  
  
Province field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.
- \* **Specify Other**                Specify Other field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.
- \* **Country**                        The account holder's respective country will be displayed here in disabled form according to the account holder's city selected in City field.  
  
If user selects the country other than Pakistan, then all fields relevant to City shall become disabled.
- \* **Permanent/Registered/Head Office Address**      This field describes the Account holder's office address. Filling this field is mandatory. The user can copy the same address as mentioned in the mailing address field by just checking 'Copy Mailing Address' checkbox.
- \* **City**                                Filling this field is mandatory. The user can select the city for the mailing address through the city lookup.  
  
In the lookup, the user can press any alphabet (e.g. B) to look for all the cities starting from B in the system.  
  
The user can also search for a city by typing the city name and pressing the Search button. There are three different search criteria for searching the city name. The searching for City Code lookup shall work in the same manner as for Registration Number Lookup.

CITY CODE	CITY NAME	PROVINCE CODE
OTHER	other city	01

\* **Specify Other** Specify Other field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.

\* **Province** The account holder's respective province will be displayed here in disabled form according to the account holder's office city selected in City field,

Province field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.

\* **Specify Other** Specify Other field will be enabled if the value 'Other' is selected by the user in the City field. If enabled, the user will need to fill this text field.

\* **Country** The account holder's office country will be displayed here in disabled form as per the account holder's city selected in City field.

If user selects the country first, then all fields relevant to City shall become disabled.

\* **Occupation Code** Filling this field is mandatory. It indicates the occupation code applicable to the account holder. A 'Browse' button is provided by the side of the field, which opens up a separate Occupation Code Lookup table to help the user select the correct Occupation Code. Double click the desired Occupation Code in

the lookup table shown below:



OCCUPATION CODE	DESCRIPTION
P230	Shopkeepers
P001	Agriculturist
P002	Business
P003	Business Executive - testing ecds 1- end
P004	Financial Institution
P005	House Hold
P006	House Wife
P007	Industrialist
P008	Insurance Company

- \* **CNIC/NICOP** The National Identity Card or National Identity Card for Overseas Pakistani number is to be entered where applicable and it should be comprised of 13 digits with two hyphens. Non-Resident or Foreigner category is selected in Resident Status then the CNIC/NICOP field is automatically get disabled.
- \* **CNIC/NICOP Title** On entering valid CNIC/NICOP, the system displays the relevant CNIC/NICOP holder's name.
- \* **CNIC/NICOP Expiry Date** The Expiry Date of CNIC/NICOP of the Joint Account Holder is to be entered in this field.
- \* **Allow Null** On checking this option, the date field becomes disabled.
- \* **Passport No.** The user has to enter the 'Passport No' of the account holder if the Resident Status is other than Resident Pakistani. In case the status is Resident Pakistani, the Passport No. field is automatically disabled.
- \* **Passport Title** On entering the valid passport number, the system displays complete passport title in this field.
- \* **Passport Issue Date** User has to select Passport Issue date
- \* **Allow Null** On checking this option, the date field becomes disabled.

- \* **Passport Expiry Date**      User has to select Passport expiry date.
- \* **Allow Null**              On checking this option, the date field becomes disabled.
- \* **Passport Place of Issue**      The user has to enter the 'Place of Issue' of the Passport of the account holder.
- \* **NTN No.**                  This field is used to enter National Tax Number. This is an optional field.

Next, the user is required to enter details regarding the joint account holders (if any). The fields for entering details of up to three joint holders are available. The joint holder and nominee details are optional.

On clicking the Joint Holder Details tab, another screen with the following fields will appear for input:

- \* **Joint Holder  
1 / 2 / 3** The name of the Joint Account Holder is to be entered in this field. Filling this field is mandatory.
- \* **CNIC/NICOP  
1 / 2 / 3** The National Identity Card or National Identity Card for Overseas Pakistani number of the Joint Account Holder is to be entered in this field. Filling this field is mandatory.
- \* **CNIC/NICOP  
Expiry date  
1 / 2 / 3** The Expiry Date of CNIC/NICOP of the Joint Account Holder is to be entered in this field.
- \* **Allow Null Date** By ticking this checkbox, the date field becomes disabled.
- \* **CNIC/NICOP  
1 / 2 / 3 Title** On entering valid CNIC/NICOP, the system displays the relevant CNIC/NICOP holder's name.
- \* **Passport Number  
1 / 2 / 3** The Passport Number of the Joint Account Holder is to be entered in this field.

- \* **Passport Place of Issue 1 / 2 / 3**      The place where the passport has been issued to the account holder is to be entered in this field.
- \* **Passport 1 / 2 / 3 Title**      On entering valid Passport Number, the system displays the relevant Passport holder's name.
- \* **Passport Issue Date 1 / 2 / 3**      The Passport issuance date of the Joint Account Holder is to be entered in this field.
- \* **Allow Null**      By ticking this checkbox, the date field becomes disabled.
- \* **Passport Expiry Date 1 / 2 / 3**      The Passport expiry date of the Joint Account Holder is to be entered in this field.
- \* **Allow Null**      By ticking this checkbox, the date field becomes disabled

As soon as any Joint Holder detail (any detail under the Joint Holder Details tab) is entered, then all the fields under the Nominee Details tab gets disabled (the Nominee tab itself shall remain enabled). The Message..... "Simultaneous existence of Joint Holder and Nominee details is not Allowed" (With OK button only) will be given when the user switches to the Nominee tab.

However, if the user has the relevant bypass authority, then this message shall not be given when the user switches to Nominee tab, and the fields under the Nominee Details tab shall remain enabled, and the user shall be allowed to enter the details for both the joint holders and for the nominee. Please note that in this case (when the user has the bypass authority), the Message..... "Simultaneous existence of Joint Holder and Nominee details is not allowed. However, you may continue" (with options Yes and No) Will be given when the user presses the Save button in the account setup screen, if both the nominee and joint holder details are present.

Next, the user is required to enter the details regarding the nominee in the fields provided on the Nominee Details tab. This information relates to the successor of the account holder.

Account Setup Detail

Participant ID: 99002  MAM Test Participant - 99002 for EStatement for Sub-Account

Account Code: Client Account

SE Location: Karachi

Account Details | Account Holder Details | Joint Holder Details | **Nominee Details** | Attorney Details | e-info

Particulars of Nominee

Name:

CNIC/NICOP:

CNIC/NICOP Expiry Date: 31/12/9999  Allow Null Date

Relation:

Passport Number:

Passport Place of Issue:

Passport Issue Date: 31/12/9999  Allow Null Date

Passport Expiry Date: 31/12/9999  Allow Null Date

- \* **Name** The name of the nominee, if any, is to be entered in this field.
- \* **CNIC/NICOP** The National Identity Card or National Identity Card for Overseas Pakistani number of the nominee is to be entered in this field.
- \* **CNIC/NICOP Expiry Date** The Expiry Date of CNIC/NIOP of the Nominee is to be entered in this field.
- \* **Allow Null** By ticking this checkbox, the date field becomes disabled.
- \* **Relation** The relation (to the account holder) of the nominee is to be selected from the combo.
- \* **Passport Number** In case of Foreigner, the Passport number of the nominee is required and to be entered in this field.
- \* **Passport Place of** The place of issue of the passport of the nominee is to

- |                               |   |
|-------------------------------|---|
| <b>Issue</b>                  | be entered in this field.   |
| * <b>Passport Issue Date</b>  | The date of issue of the nominee's passport is to be entered in this field. |
| * <b>Allow Null</b>           | By ticking this checkbox, the date field becomes disabled.                  |
| * <b>Passport Expiry Date</b> | The Passport expiry date of the Nominee is to be entered in this field.     |
| * <b>Allow Null</b>           | By ticking this checkbox, the date field becomes disabled.                  |

Next, the user is required to enter the details regarding the attorney in the fields provided on the Attorney Details tab. This information relates to the attorney of the account.

The screenshot shows the 'Account Setup Detail' window with the following details:

- Participant ID: 99002 (with a 'Browse' button)
- Account Code: Client Account (dropdown menu)
- SE Location: Karachi (dropdown menu)
- Navigation tabs: Account Details, Account Holder Details, Joint Holder Details, Nominee Details, **Attorney Details**, e-info
- Section: Particulars of Attorney
- Fields:
  - Name: [Text Input]
  - CNIC/NICOP: [Text Input]
  - CNIC/NICOP Expiry Date: 31/12/9999 (dropdown)  Allow Null Date
  - Passport Number: [Text Input]
  - Passport Place of Issue: [Text Input]
  - Passport Issue Date: 31/12/9999 (dropdown)  Allow Null Date
  - Passport Expiry Date: 31/12/9999 (dropdown)  Allow Null Date
- Buttons: Save, Cancel

- \* **Name** The name of the attorney, if any, is to be entered in this field.
- \* **CNIC/NICOP** The National Identity Card or National Identity Card for Overseas Pakistani number of the attorney is to be entered in this field.
- \* **CNIC/NICOP Expiry Date** The Expiry Date of CNIC/NIOP of the attorney is to be entered in this field.
- \* **Allow Null** By ticking this checkbox, the date field becomes disabled.
- \* **Passport Number** In case of Foreigner, the Passport number of the attorney is required and to be entered in this field.
- \* **Passport Place of Issue** The place of issue of the passport of the attorney is to be entered in this field.
- \* **Passport Issue Date** The date of issue of the attorney's passport is to be entered in this field.
- \* **Allow Null** By ticking this checkbox, the date field becomes disabled.
- \* **Passport Expiry Date** The Passport expiry date of the attorney is to be entered in this field.
- \* **Allow Null** By ticking this checkbox, the date field becomes disabled.

Next, the user is required to enter the details regarding the email services opted by the Account Holder, in the fields provided on the e-info tab. These option facilitates the users to subscribe/unsubscribe email services of the Account Holder.

**Account Setup Detail**

Participant ID: 70003  Quality Assurance Normal Participant FOR ACCOUNTNUMBER Two

Account Code: Client Account

SE Location: Karachi

Account Details | Account Holder Details | Joint Holder Details | Nominee Details | Attorney Details | **e-info**

Particulars of e-info

**Email Alerts Subscription**

eAlert

**Estatement Subscription**

eStatement

Frequency: Monthly

Physical

\* **eAlert**

Checking the eAlert checkbox in the Email Alert Subscription panel means that the account holder is subscribed for the email based alerts that will be generated as a result of specific transaction/event which affects the Securities Account.

eAlert cannot be marked if the account holder's Email address is not present in account setup tab

\* **Estatement Subscription**

By default 'Physical' option will be selected. It will be mandatory to select one of the options from (i) eStatement or (ii) Physical; else the following error message will appear.



- \* **eStatement** Checking eStatement checkbox field in the eStatement Subscription panel mean that the account holder is subscribed for receiving Account Balance Statements via email.

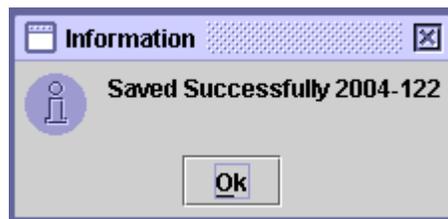
eStatement cannot be marked if the account holder's Email address is not present in account setup tab

- \* **Frequency** By default it will remain disabled, and becomes enabled when "eStatement" check box is checked. Following two options will be available in the frequency drop down.



- \* **Physical** Checking 'Physical' option means that the Account Holder is not subscribed for receiving Account Balance Statements via email and shall be receiving the same physically from the relevant Broker. By default 'Physical' option will be selected.

After entering the above information, the user will click the 'Save' button to save the details entered in the above screens. Upon clicking the 'Save' button the system generates the following message:



Upon clicking the 'Ok' button the user will go back to the main Account Setup screen.

Clicking the 'Cancel' button on the Account Setup Detail screen will take the user back to the main Account Setup screen without setting up the new account. The saved account can be seen by selecting the 'Save' tab on the Account Setup screen, as shown below.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 20/02/2057 Last Accessed: 16/02/2057 16:07:27

Account Setup

Save Post

Record Selection

Search Options

Selected Rows 0 Transaction ID [ ] Participant ID 60608 Account Number [ ] Account Description [ ] Search Refresh

TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS
2057-18725	60608		C	ABC & CO	20/02/2057

Add Update Delete Post Copy Select All Cancel

The status date of the transaction that is updated will be the date when the transaction has been saved or last updated. It should be noted that a saved transaction would be deleted from the system if it is not posted within 30 days after saving/last update.

The blank fields at the top of the screen are Locator fields and the user can enter Transaction ID, Account Number and Account Description data in these fields. The Participant ID field is hard coded for a participant user. On clicking the 'Search' button the system searches for the data entered and places the cursor on the record located in the scrolling table. 'Refresh' button again brings the scrolling table to its original state.

#### 4.1.4 Update

The 'Update' button may be used to edit an already posted account or to edit a saved account in the system. All fields other than Participant ID, Account Number and Account Type can be edited in the *Update* mode.

To edit the details related to a saved account, the user has to click the Save tab on the Account Setup screen and then select the account to be edited from the scrolling table. Clicking the 'Update' button after selecting the desired record opens the Account Setup Details screen. Account details can be edited as explained in section 4.1.1 above.

Saved transactions for closing of accounts cannot be updated and the 'Update' button is disabled if such records are selected from the scrolling table on the Save tab of the Account Setup screen, as shown below.

The screenshot shows the 'Account Setup' window in the 'e CDS - Central Depository System'. The window title is 'e CDS - Central Depository System' and it has a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 20/02/2057', and 'Last Accessed: 20/02/2057 16:54:18'. The main area is titled 'Account Setup' and has 'Save' and 'Post' buttons. Below this is the 'Record Selection' section with search options for 'Transaction ID', 'Participant ID' (set to 60608), 'Account Number', and 'Account Description'. There are 'Search' and 'Refresh' buttons. A table displays the following data:

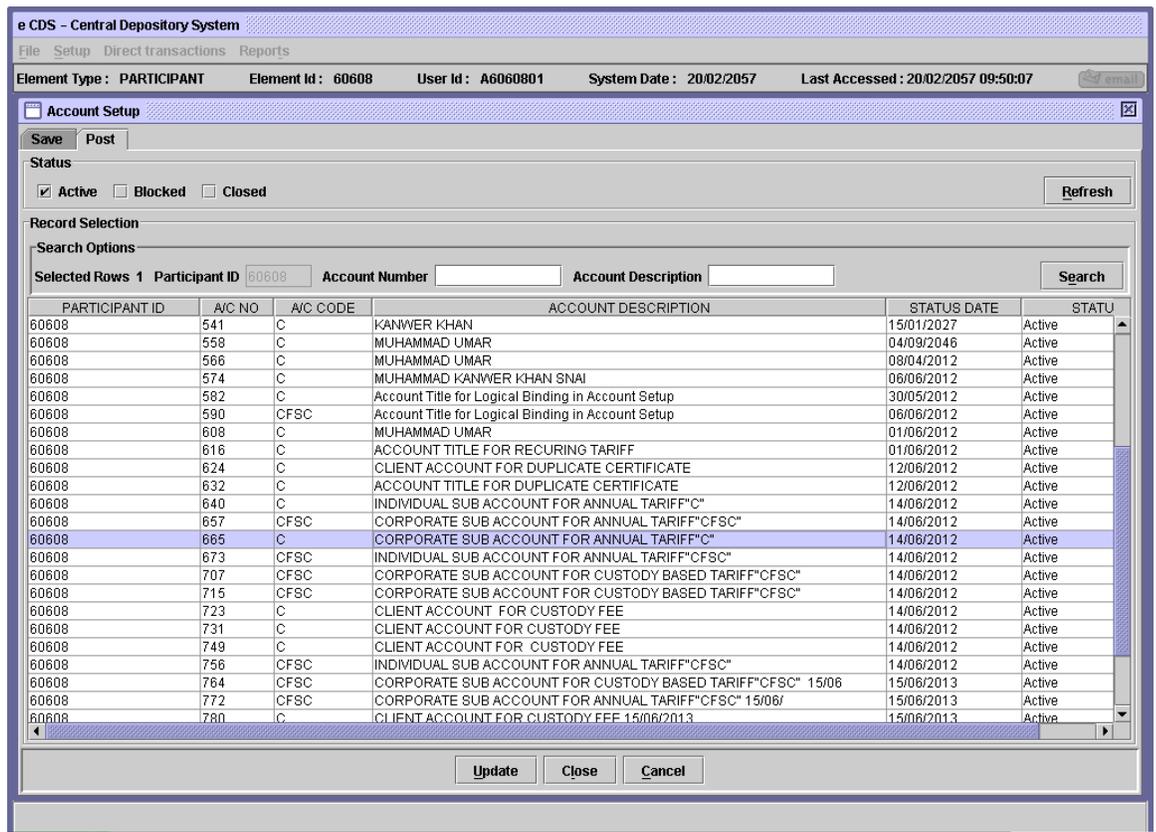
TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS DATE	STATUS
2057-18727	60608	509	C	Muhammad Omair	20/02/2057	To Be Closed
2057-18725	60608		C	ABC & C O	20/02/2057	To Be Added

At the bottom of the window, there are buttons for 'Add', 'Update', 'Delete', 'Post', 'Copy', 'Select All', and 'Cancel'. The 'Update' button is disabled.

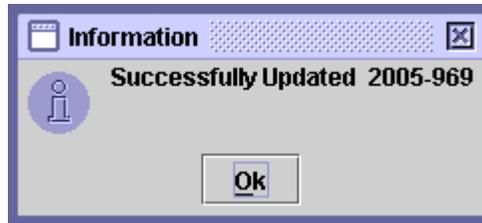
In case the user clicks the 'Update' button without selecting any record from the scrolling table the system displays the following message:



Similarly posted accounts can be edited by clicking the Post tab in the Account Setup screen, selecting the record to be edited and clicking the 'Update' button. Posted transactions signifying closed accounts in the scrolling table on the Post tab of the Account Setup screen cannot be updated and the 'Update' button on the Post tab is disabled if such records are selected.

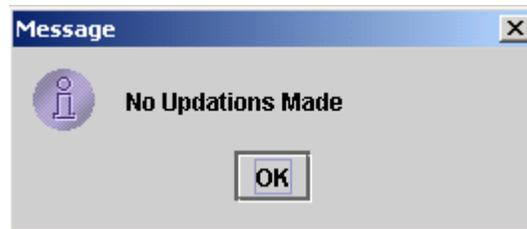


After editing information on the screen, the user will click the 'Save' button. As soon as the user clicks the 'Save' button, the following information message is displayed:



Clicking the 'Cancel' button on the Account Setup Detail screen will take the user back to the Account Setup screen without saving the changes to the account.

In case the user clicks the 'Update' button on the Account Setup screen and then the 'Save' button on the Account Setup Detail screen without making any change to the record, the system intimates the user through the following message:



If the user has updated an already posted account and saved it to the system, it can not be edited again unless the already saved changes are posted. In case a user updates such a record by clicking it from the scrolling table on the Post tab and then clicks the 'Save' button on the Account Setup Detail screen, the following message will be displayed, disallowing the user to update the record.



Once the update transaction has been successfully saved, it can be seen in the scrolling table by clicking the Save tab from Account Setup screen, as shown below.

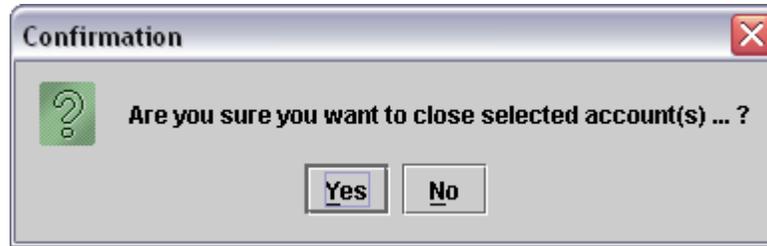
Selected Rows 1

TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS DATE	STATUS
2057-18728	60608	947	C	ABC & CO	20/02/2057	To Be Updated
2057-18727	60608	509	C	Muhammad Omair	20/02/2057	To Be Closed

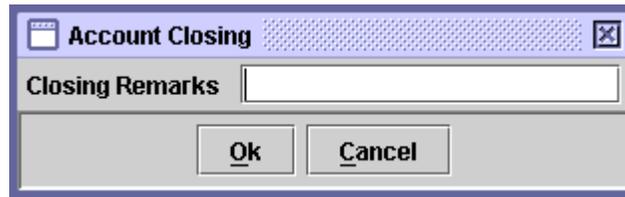
The Status column in the scrolling table shows the status of the account as 'To Be Updated' indicating the update transaction has been saved and is yet to be posted to the system. The status date indicates the date when the record was last updated. It should be noted that a saved transaction is deleted from the system if it is not posted within 30 days after last update.

#### 4.1.5 Close

The 'Close' button on the Post tab of the Account Setup screen is used to close an already posted Account in the system. To close an account, the user has to select the account to be closed from the scrolling table on the Post tab of the Account Setup screen and then click the 'Close' button. This displays the following confirmatory message:

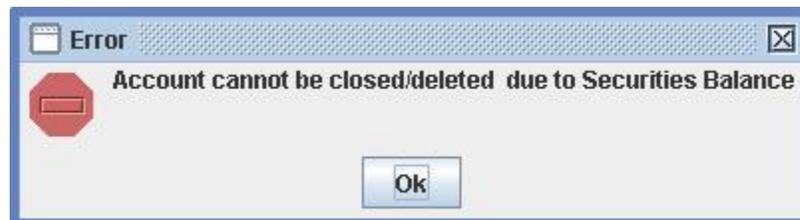


If the user clicks the 'Yes' button, system displays the following 'Account Closing Remarks' screen.



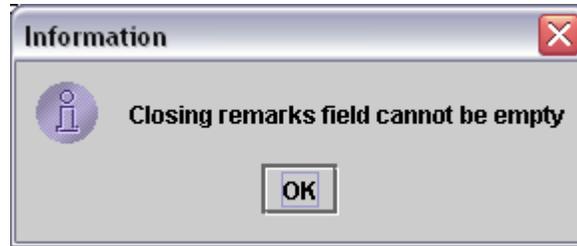
The user is required to enter the reason for closing the account in the *Closing Remarks* field of the above screen. The user can either click the 'Cancel' button or the 'OK' button.

There is one condition that only an account will be closed if it holds no security balance, else systems will prompt the following message:



Clicking the 'Cancel' button in *Account Closing Remarks* screen will take the user back to the Account Setup screen without saving the transaction. Clicking 'OK' button

Without entering any closing remarks, the system generates the following message, requiring the user to enter the closing remarks first.



If the user clicks the 'Yes' button after having entered the appropriate closing remarks the system will save the transaction and the following information message will be displayed.



The saved transaction for closing of the account can be seen in the scrolling table on the Save tab of the Account Setup screen. The Status column of the scrolling table will be showing 'To Be Closed' as shown below:

Account Setup

Record Selection

Search Options

Selected Rows 1 Transaction ID  Participant ID  Account Number  Account Description  Search Refresh

TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS DATE	STATUS
2057-18727	60608	509	C	Muhammad Omair	20/02/2057	To Be Closed
2057-18725	60608		C	ABC & CO	20/02/2057	To Be Added

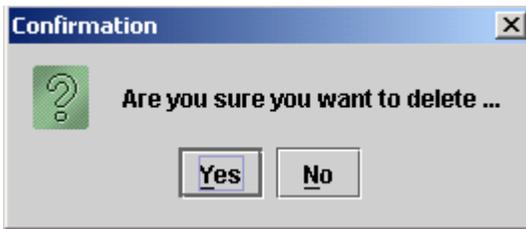
Add Update Delete Post Copy Select All Cancel

The status date of the transaction for closing an account will be set to the date when the transaction for closing the account was saved.

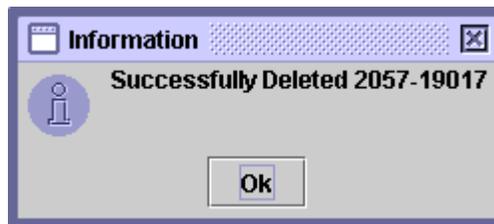
It should be noted that a saved transaction would be deleted from the system if it is not posted within 30 days after last update of the transaction. In addition, the Main, House Account and CFSH Account of a Participant cannot be closed. When a Participant is closed, the Main and House Accounts are automatically closed if there is no balance standing in that account.

#### 4.1.6 Delete

The *'Delete'* button is used to delete a saved transaction from the system. To delete a saved transaction, the user is required to select the transaction to be deleted from the scrolling table on the Save tab of the Account Setup screen and then click the *'Delete'* button. When the *'Delete'* button is clicked, the following confirmation message is displayed:



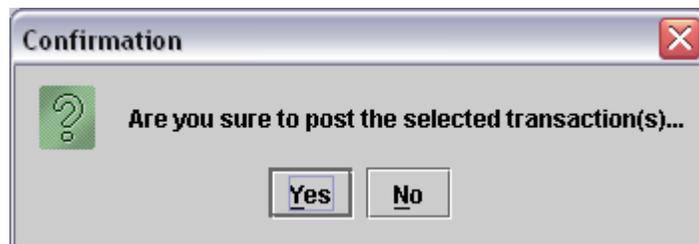
Clicking the 'No' button cancels the delete operation while clicking the 'Yes' button deletes the transaction from the system and generates the following information message:



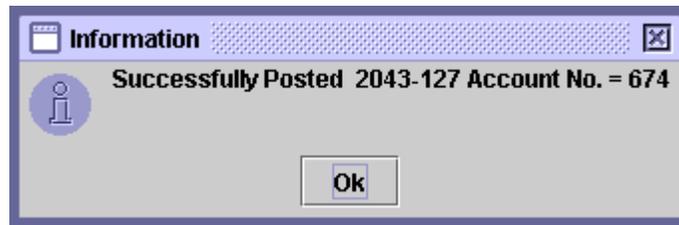
#### 4.1.7 Post

The 'Post' button is used to post the added, updated and closed transactions in the system.

In order to post a transaction that exists in the saved mode, the user is required to click the Save tab of the Account Setup screen and select the transaction to be posted. Clicking the 'Post' button after selecting the desired transaction displays the following confirmation message:



Clicking the 'No' button takes the user back to the Account Setup screen without posting the transaction, while clicking the 'Yes' button posts the transaction to the system and displays the following information message:



Once a transaction has been posted to the system it no longer exists in the scrolling table of the Save tab of the Account Setup screen.

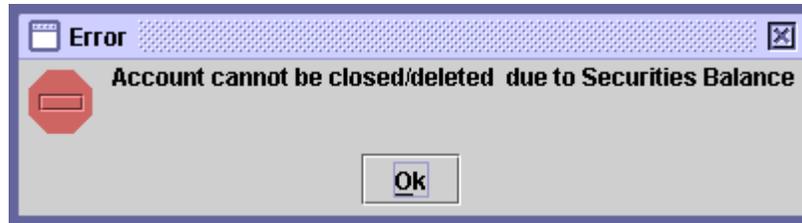
In case the user posted a transaction to add a new account, the new account will be shown in the scrolling table on the Post tab of the Account Setup screen.

In case the post transaction related to an account to be closed, it will appear in the scrolling table on the Post tab of the Account Setup screen with 'Closed' in the Status column.

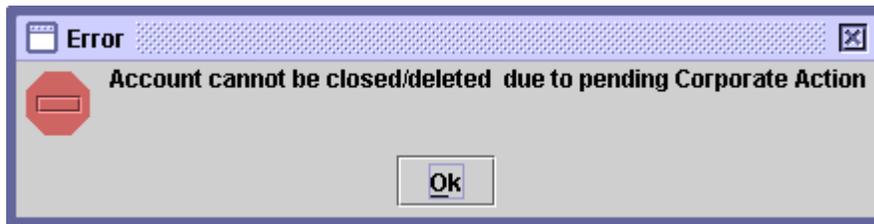
In case the post transaction related to an existing account to be updated, it will be shown as before in the scrolling table on the Post tab of the Account Setup screen but with the changes made by the user.

Note that if the user is posting a transaction for closing an account then the system checks for balance of valid securities still in the account and for pending Issuer actions for any security for which the account may have balances.

If there is balance of securities in the account and post operation is performed for closing the account, the system does not let the user post the transaction and generates the following message:



Similarly, if there is any pending issuer action on an account to be closed and post operation is performed for closing the account, the system does not let the user post the transaction and generates the following message:



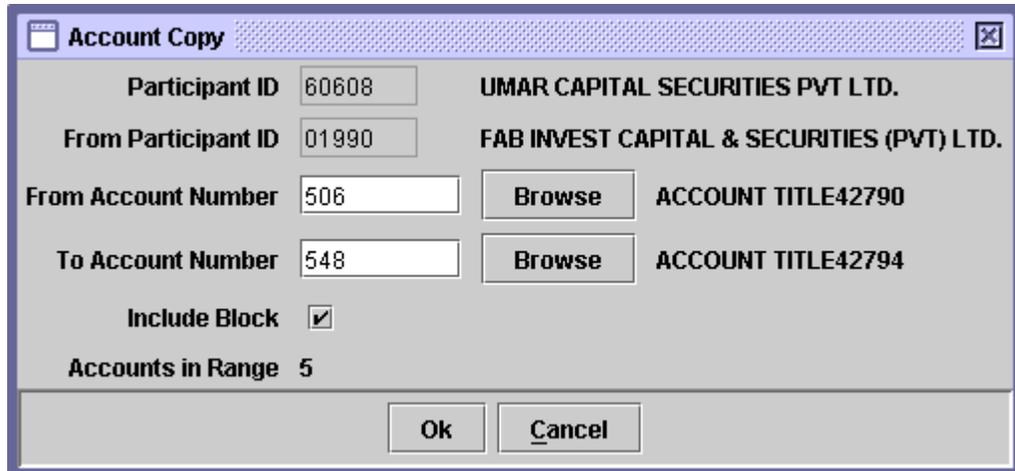
#### 4.1.8 Account Copy

This option is used to copy sub-account details from the sub-account details of another participant. For this functionality to work, the admin user has to add the child participant ID in the Parent or master participant i.e. from whom the account details are to be copied.

Upon pressing the Copy button, following screen would be displayed:

Participant ID	60608	UMAR CAPITAL SECURITIES PVT LTD.
From Participant ID	01990	FAB INVEST CAPITAL & SECURITIES (PVT) LTD.
From Account Number	<input type="text"/>	<input type="button" value="Browse"/>
To Account Number	<input type="text"/>	<input type="button" value="Browse"/>
Include Block	<input checked="" type="checkbox"/>	
Accounts in Range	0	
<input type="button" value="Ok"/> <input type="button" value="Cancel"/>		

The user has to enter the From Account Number, To Account number of the child participant, specify whether blocked account should be copied through the Include Block checkmarks. As soon as the user specifies 'From' and 'To' account numbers, the number of accounts in range is displayed on the screen:



**Account Copy**

Participant ID: 60608      UMAR CAPITAL SECURITIES PVT LTD.

From Participant ID: 01990      FAB INVEST CAPITAL & SECURITIES (PVT) LTD.

From Account Number: 506      Browse      ACCOUNT TITLE42790

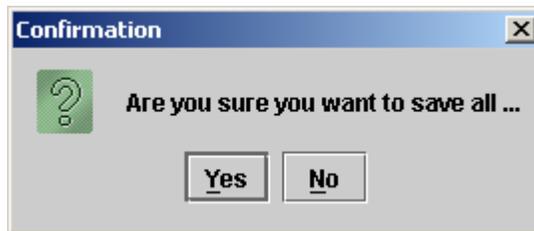
To Account Number: 548      Browse      ACCOUNT TITLE42794

Include Block:

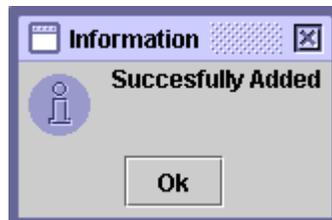
Accounts in Range: 5

Ok      Cancel

Upon pressing the OK button, following message would be displayed:



Upon pressing the Yes button, following message is displayed:



On pressing OK button, all the accounts selected in the range for copying will be saved in the saved browser with status 'To be Copied'.

#### 4.1.9 Select All

This option is used to either Post or Delete all the transactions available in save browser at once. On pressing 'Select All' button, following will be the screen behaviour.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT    Element Id : 60608    User Id : A6060801    System Date : 19/05/2057    Last Accessed : 16/05/2057 10:09:38

Account Setup

Save    Post

Record Selection

Search Options

Selected Rows 3    Transaction ID    Participant ID 60608    Account Number    Account Description    Search    Refresh

TRANSACTION ID	PARTICIPANT ID	A/C NO	A/C CODE	ACCOUNT DESCRIPTION	STATUS
2057-19023	60608	632	C	ACCOUNT TITLE FOR DUPLICATE CERTIFICATE	19/05/2057
2057-19022	60608	574	C	MUHAMMAD KANWER KHAN SNAI	19/05/2057
2057-19021	60608	558	C	MUHAMMAD UMAR	19/05/2057

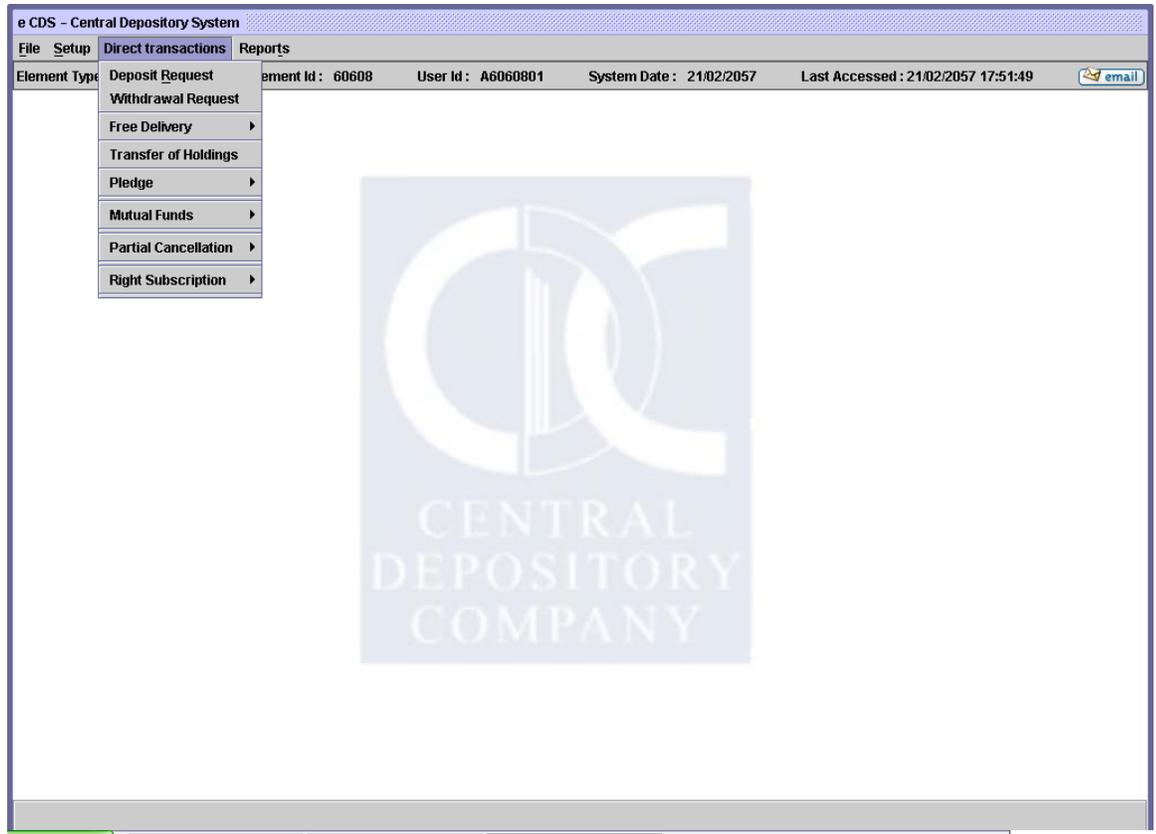
Add    Update    Delete    Post    Copy    Select All    Cancel

## 6 DIRECT TRANSACTIONS

Upon clicking or otherwise selecting the menu *'Direct transactions,'* the user is presented with a drop-down menu containing the following options:

- Deposit Request
- Withdrawal Request
- Free Delivery
  - Intra-Account Movement
  - Inter-Participant Free Delivery
- Transfer of Holdings
- Pledge
  - Pledge Definition
- Mutual Funds
  - Redemption Request
  - Unit Transfer Request
- Partial Cancellation
  - Partial Cancellation Request
- Right Subscription
  - Right Subscription Request

The Direct Transactions menu is shown below:



The following paragraphs in this chapter contain detailed explanations for each of the above menu options.

## 6.1 DEPOSIT OF SECURITIES INTO THE CDS

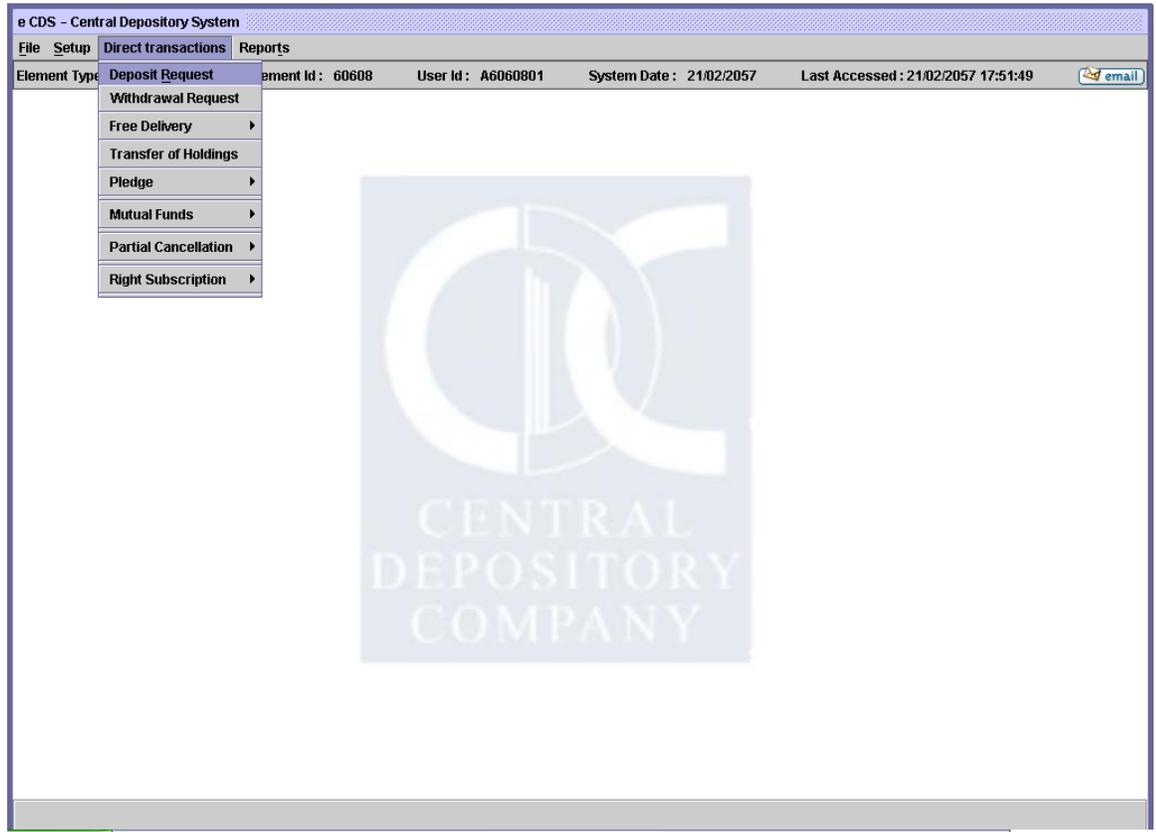
Securities of companies whose scrips have been declared eligible for inclusion in the Central Depository will be brought into the system by this method. The deposit transaction will be initiated by an account holder/participant either on behalf of his client or on his own behalf and will result in the cancellation of the security certificate/LOR (Letter of Right) in the name of the current owner and an increase in the CDC's nominee holding in the Members'/Security Holders' Register.

All types of account holders/participants, i.e., stock brokers; custodial banks, financial institutions and qualified private investors will be able to deposit security certificates.

**Note: During the Book Closure period for a Security, the System will not allow account holders/participants to process and post Deposit Request transactions for that particular Security.**

### 6.1.1 Deposit Request

In order to access the *Deposit Request* functionality the user needs to click the menu item '*Deposit Request*' in the '*Direct transactions*' menu, as shown below:



When the user clicks the Deposit Request option, the following screen is displayed:

The screenshot displays the 'Deposit Request' interface. At the top, the system title 'e CDS - Central Depository System' is shown along with a menu bar (File, Setup, Direct transactions, Reports) and a status bar (Element Type: PARTICIPANT, Element Id: 60608, User Id: A6060801, System Date: 21/02/2057, Last Accessed: 21/02/2057 17:51:49). The main window has a 'Deposit Request' title bar and two tabs: 'Save' (selected) and 'Post'. Below the tabs are 'Filter Options' with a 'Status' dropdown set to 'All'. Underneath is the 'Record Selection' section, which includes 'Search Options' with input fields for 'Transaction ID', 'Participant ID' (pre-filled with '60608'), 'Account Number', 'Security Symbol', and 'Transaction Date' (pre-filled with '21/02/2057'). There are 'Search' and 'Refresh' buttons to the right of these fields. A table with the following columns is present: TRANSACTION ID, A/C NO, SECURITY SYMBOL, VOLUME / NO. OF UNITS, REMARKS, and TRANSACTION DATE. The table is currently empty. At the bottom of the window, there is a row of buttons: 'Add', 'Update', 'Delete', 'Post', 'Tariff Calculator', and 'Cancel'.

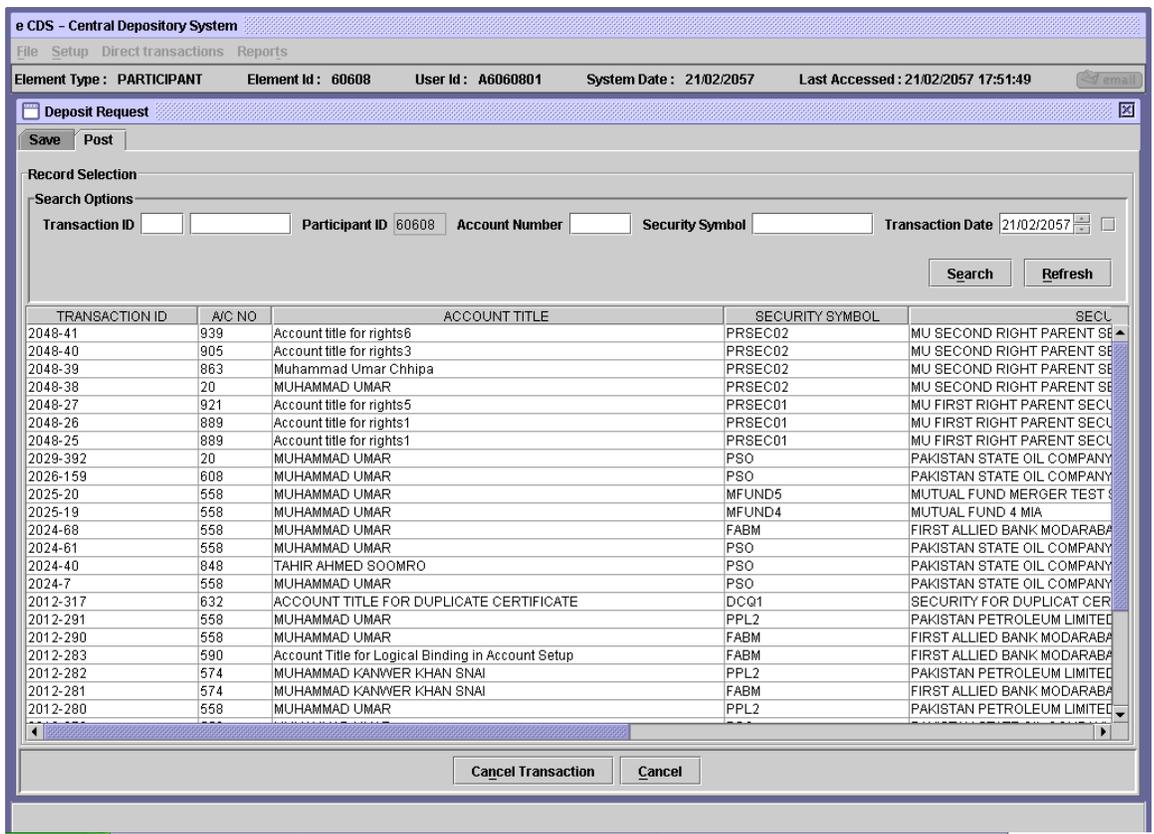
The Deposit Request screen contains two tabs, 'Save' and 'Post.' By default, the 'Save' tab is selected on the Deposit Request screen, which displays the saved deposit request transactions.

On this tab, the user is provided with *Filter Options* to select the type of Deposit Request transactions that the user wishes to be displayed in the scrolling table.

Below the Filter Options are *Search Options* whereby the user can retrieve saved deposit request transactions based on the Transaction ID, Account Number, Security Symbol and/or Transaction Date. The user will see a hard coded Participant ID under Search Options since Participants cannot carryout Deposit Requests on behalf of other Participants. The checkbox next to the Transaction Date field should be marked to disable this field in case the user wishes to search for all saved Deposit Request transactions irrespective of the transaction dates. On clicking the 'Search' button, all records meeting the provided criteria are displayed in the scrolling table provided below the Search Options.

The data provided in the search fields should be correct and complete to fetch the specific record. Clicking the 'Search' button without entering any data in the search fields will return all the saved account setup transactions. To enter new search criteria, the user can click the 'Refresh' button which clears all the search fields.

By clicking the 'Post' tab on the Deposit Request screen the user can see the accounts already posted to the system and pending action by the R/TA, as shown in the figure below.



The Post tab displays all posted deposit request transactions. On this tab, the user is provided with Search Options similar to that on the Save tab.

### 6.1.1.1 Add

To set up a new Deposit Request transaction, the user clicks on the 'Add' button in the Deposit Request screen shown above. The following screen is displayed when the 'Add' button is pressed:

The screenshot shows a software window titled "Deposit Request". At the top, there are three input fields: "Participant ID" (containing "60608"), "Account Number", and "Security Symbol". Each field has a "Browse" button next to it. To the right of the "Participant ID" field, the text "UMAR CAPITAL SECURITIES PVT LTD." is displayed. Below these fields are two tabs: "Deposit Request" (which is active) and "Certificate/LOR Detail". The "Deposit Request" tab contains a "Remarks" label and a text input field. At the bottom of the window, there are three buttons: "File", "Save", and "Cancel".

The Participant ID is hard coded and cannot be changed by the user. The following data needs to be entered in the above screen.

- \* **Account Number** The identification number of the account. In this field, the user has to enter the account number in which the securities are to be deposited. If the user does not remember the Account Number related to the Deposit Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Account Numbers (Main account will not be allowed/displayed in the lookup). The required record can then be selected by double-clicking it on the lookup table.
  
- \* **Security Symbol** The desired Security Symbol. If the user does not remember the Security Symbol related to the Deposit Request being added, the user can click on the '**Browse**'

button to display a lookup table of valid Security Symbols. The required symbol can then be selected by double-clicking it on the lookup table.

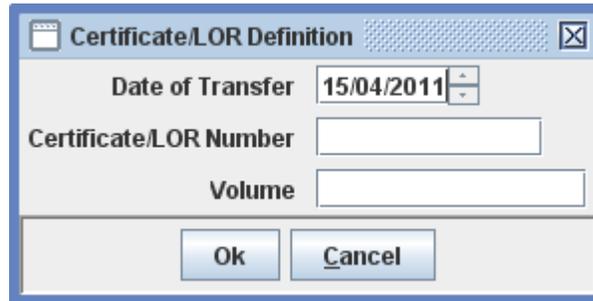
NOTE: A security can only be selected for a Deposit Request if it is not currently the subject of a Book Closure.

- \* **Remarks** Any appropriate remarks.

The Deposit Request tab provides the Remarks field to enter any comments related to the deposit request transaction. To enter details about the certificates being deposited, the user needs to click the Certificate/LOR Details screen. This screen appears as follows:

To enable the user to quickly locate existing certificate/LOR records, a search field is provided in the top portion of the Certificate/LOR Details screen. The user is required to type in the desired certificate/LOR number in the search field and press *Tab* or the *Enter* key. The record pointer is then placed over the exact matching record in the file.

After the above information has been entered, the user should click the '**Insert**' button to enter security certificate/LOR details relating to the Deposit Request being made. When the '**Insert**' button is clicked the system displays the following Certificate/LOR Definition screen:

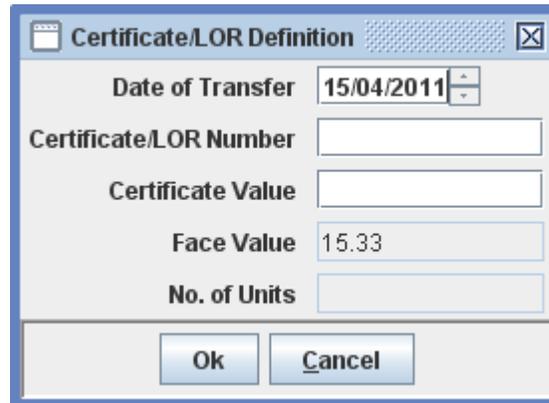


Date of Transfer	15/04/2011
Certificate/LOR Number	
Volume	

Ok Cancel

For each new certificate/LOR the data to be entered is Date of Transfer (of Certificate/LOR), Certificate/LOR Number and Volume (No of securities/units which the certificate/LOR represents). The system automatically inserts leading zeroes in the Certificate/LOR number field to bring it up to a total of 12 characters.

In case of TFCs, the Certificate Definition screen is displayed as follows:



Date of Transfer	15/04/2011
Certificate/LOR Number	
Certificate Value	
Face Value	15.33
No. of Units	

Ok Cancel

The user is required to enter the Date of Transfer, Certificate Number and the Certificate Value. Date of Transfer cannot be greater than the CDS date. The Certificate Value must be an exact multiple of the Face Value. The system automatically calculates the number of units of TFC.

After entering this information, the '**OK**' button has to be clicked to store the information. If the user does not wish to enter the certificate details, he may click the '**Cancel**' button. If another certificate needs to be entered, the '**Insert**' button has to be clicked again and the process repeated for each new certificate. As the user *saves* new certificate/LOR details, the Total Certificate(s)/LOR(s) entered along with their respective date of transfer(s) and Total Volume(s) are automatically displayed on the screen. These fields are for display only and are not editable by the user.

To save data entry time and effort the system provides the user with the facility to generate certificate/LOR details if a large number of continuous security certificates/LORs are involved in the Deposit Request being set up. To avail this facility the user should click the '**Generate**' button which appears in the Certificate/LOR Details tab of the Deposit Request screen. When the Generate button is clicked, the systems displays the following screen:



The user has to enter the following details in the Certificate/LOR Generation screen:

- \* **Date of Transfer**            The date on which the certificate/LOR is transferred to the account holder
- \* **From**                        The starting security certificate/LOR number
- \* **To**                            The ending security certificate/LOR number
- \* **Volume**                    The number of securities/units in each certificate/LOR

Only alpha characters are not allowed in the 'From' and 'To' fields above. The valid formats for entry of certificate/LOR numbers are:

- ⇒ numbers followed by alpha characters
- ⇒ only numbers
- ⇒ alpha characters followed by numbers

In case of TFCs the Certificate Generation screen is displayed as follows:



Certificate/LOR Generation	
Date of Transfer	15/04/2011
From	
To	
Certificate Value	
Face Value	15.33
No. of Units	
Ok Cancel	

The user is required to enter the date of transfer of certificate / LOR in the Date of Transfer field, starting TFC number in the 'From' field, the ending TFC number in the 'To' field and the value of the TFC in the 'Certificate' field. The Certificate Value must be an exact multiple of the Face Value. The system automatically calculates the number of units of TFC.

After entering the above the user should click the '**OK**' button to start the generation process or '**Cancel**' to exit without making any changes. If the '**OK**' button is clicked the program starts generating the certificate/LOR details. This process may take some time, depending on the number of certificates involved. When the process is complete, the generated certificates/LORs are displayed in the Certificate/LOR Details screen, as shown below:

**Deposit Request**

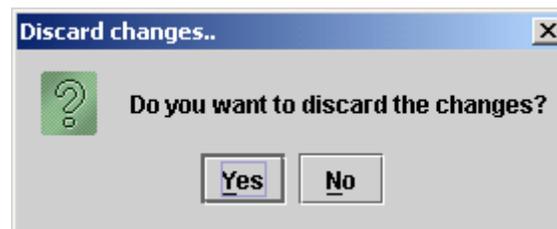
Participant ID: 00067  HAMDAD  
 Account Number: 533  ASIM  
 Security Symbol: A-PRINT  A-PRINT

Deposit Request | Certificate/LOR Detail

Total Certificates/LORs: 10 Total Volume: 100000

DATE OF TRANSFER	CERTIFICATE/LOR NUMBER	VOLUME
15/04/2011	000000000001	10000
15/04/2011	000000000002	10000
15/04/2011	000000000003	10000
15/04/2011	000000000004	10000
15/04/2011	000000000005	10000
15/04/2011	000000000006	10000
15/04/2011	000000000007	10000
15/04/2011	000000000008	10000
15/04/2011	000000000009	10000
15/04/2011	000000000010	10000

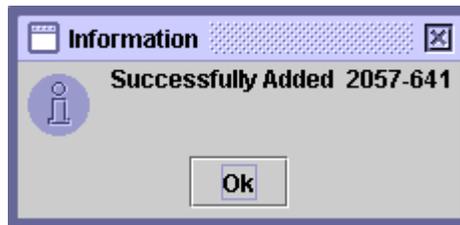
The Date of Transfer will be same for all the generated certificate(s) / LOR(s). At this stage the user can click the '**Insert**' button to enter further certificate/LOR details, the '**Save**' button to save the transaction or the '**Cancel**' button to quit without making any changes. Clicking the Cancel button displays the following confirmation message:



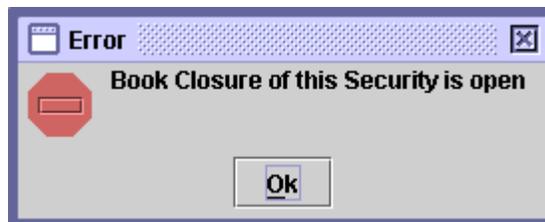
To update a previously entered certificate/LOR, the cursor should be placed on the appropriate record in the Certificate/LOR Details tab and the '**Update**' button clicked. This opens up the Certificate/LOR Definition screen, where the user can change the Date of Transfer, Certificate/LOR Number and the Volume. The '**Save**' button should then be clicked to store the changes made.

Details of an erroneously entered security certificate/LOR can be deleted by selecting the relevant record and clicking the '**Delete**' button under the Certificate/LOR Details frame.

Upon completion of all the data entry for a Deposit Request, the user can click the '**Save**' button on the main screen to temporarily save the transaction. When this is done, the system will generate a Transaction ID for the new Deposit Request transaction and display this on the screen. This Transaction ID is used for future reference to this particular Deposit Request. The following information message is displayed along with the Transaction ID:



If the book closure of the security being deposited is currently open, the system displays the following message when the user clicks the Save button:



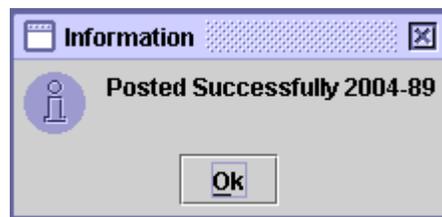
Subsequent to saving the Deposit Request transaction, the user needs to '**Post**' the Deposit Request Transaction. The Post button is located on the Save tab of the Deposit Request screen. To post a particular record, the user has to select that record from the table showing all saved deposit requests and then click the Post button. If the Post button is clicked without selecting any record from the table, the following message is displayed:



When the user clicks the *'Post'* button the system displays the following confirmation message:



Clicking on the *'Yes'* button posts the record; clicking *'No'* takes the system back to the previous display without posting the record. After the transaction has been successfully posted the following screen is displayed:



When the user clicks the *'OK'* button on the screen above, an option is given to the user to generate the Deposit Request report.



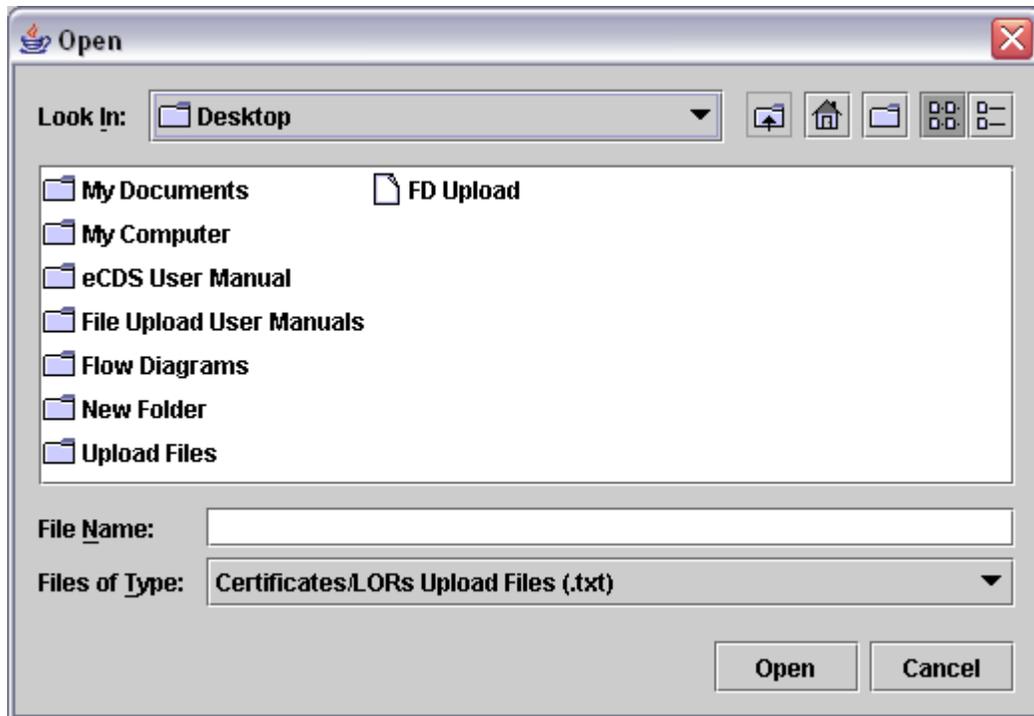
If the user clicks '**Yes**' the report is generated and displayed on the screen. The user can then print the report or exit without printing the report. If no additional deposit requests have to be processed, the user can click the '**Cancel**' button to return to the Main CDS screen.

#### **6.1.1.2 File Mode**

CDS participants with automated back-office, generally the corporate brokers and particularly the custodian banks require a data file upload feature to allow them to upload certificate details from data files either downloaded from their automated back-office or captured offline using a spreadsheet package.

This function allows the authorised users to specify an ASCII file for upload with fields separated by a delimiter like comma, semicolon, colon or tab/space(s). Only files with all valid records will be uploaded and displayed.

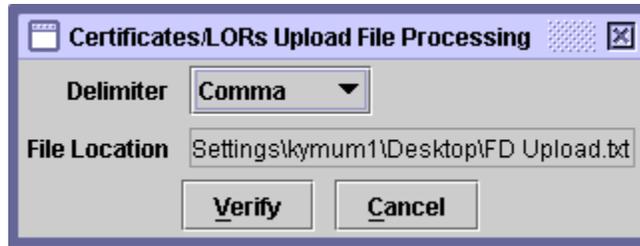
To set up a new deposit request transaction through data file upload, the user clicks on the **File** button in the Deposit Request screen. The following Deposit Request File screen is displayed when the **File** button is clicked:



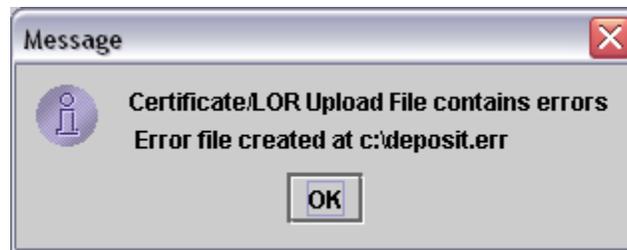
A user may either directly type file name with absolute path or may browse the available local as well as network drives and the folder to search the data file to be uploaded.

After selecting the Certificate/LOR Details upload data file the user should click the '*Open*' button to start the upload process or '*Cancel*' to return to the previous Deposit Request screen.

If the user chooses the '*Open*' button in the file selection screen, the following "Certificates/LOR Upload File Processing" screen is displayed:

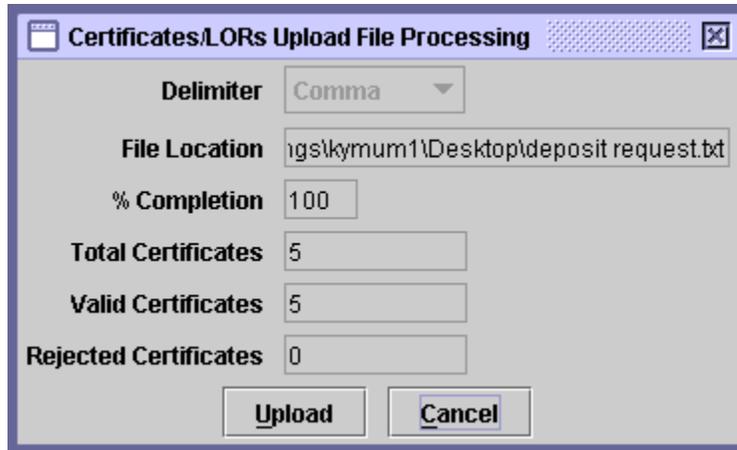


User can decide the delimiter of Deposit Request Upload file by selecting the appropriate option from the combo box provided. When user is done with the selection of delimiter then the user can press '*Verify*' button to check for any possible errors in the upload file. If errors exist in the upload file, the user is intimated through the following message and the details of the errors exist in the upload file shall be communicated to the user via text file generated at C:\ drive of the logged in user:



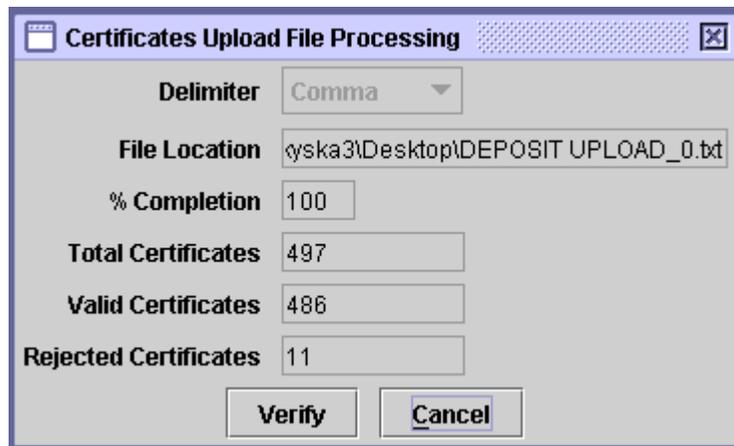
The '*Cancel*' button returns back to the main Deposit Request screen without performing any action. After removing the errors from the file, it may be uploaded again.

Subsequent to successful verification of the upload file, the statistics of the file are displayed on the screen and the file is ready to be uploaded. To upload the file, the user is required to click the '*Upload*' button in the following screen. This sends all the data from the file to the server and user is returned to the Deposit Request screen.



If the user presses the *'Cancel'* button the operation is terminated and the system returns back to the Deposit Request screen without performing any action.

In case some of the certificates/LORs are rejected due to error(s), the following screen is displayed.



If some of the certificates/LOR in the upload file contains errors, the screen does not show the *'Upload'* button. Instead, a *'Verify'* button is shown. At this stage the user can rectify the errors in the upload file and again click the *'Verify'* button to view updated statistics about the valid and rejected certificates/LOR. This action may be repeated until there are no erroneous

certificates/LORs in the upload file and the “Certificates/LORs Upload File Processing” shows the **‘Upload’** button.

If the user presses the **‘Cancel’** button the operation is terminated and the system returns back to the Deposit Request screen without performing any action.

Remember that deposit request upload file will not be uploaded even if a single error is there. Blank lines, anywhere in the deposit request upload file will be skipped. The user must ascertain completeness and accuracy of uploaded file using the “Certificates/LORs Upload File Processing” screen before posting of uploaded certificate details. This deposit request upload function has been designed to provide only automatic capturing of certificate/LOR details and does not relieve the users of their responsibility to verify accuracy of posted deposit requests.

A deposit request upload data file must be an ASCII text data file having following format and preferably **‘.txt’** extension:

- \* **Header 1**                      First record of the file should have a valid **Security Symbol**.
  
- \* **Header 2**                      **Second record** of file should have **Remarks**; blank record and special characters are acceptable.
  
- \* **Details**                        **Third record** onward should have deposit request data having following format  
  
   <**Date of Transfer**>,<**Certificate/LOR\_Number**>delimiter<**Volume**>  
  
   followed by a <**CR**>.

- \* **Date of Transfer**      The date of transfer of certificate / LOR
- \* **Certificate\_Number**      The certificate/LOR number to be deposited.
  
- \* **delimiter**              Can be one of the following:  
   Comma, semicolon, colon and tabs/space(s)
  
- \* **CR**                         Is the carriage return (pressing Enter)

Any invalid character in Header record causes an error and certificate/LOR verification is not performed.

If the file is valid, detail records are uploaded to CDS temporary database and the user may **'Post'**, **'Save'** or **'Cancel'** the deposit request upload operation.

Care should be taken that every line of deposit request file must be terminated with **<CR>** (*Enter*), otherwise data uploading might be effected.

A sample deposit request upload file is as follows:

```
ABCLTD
Depositing shares from file for client XYZ
11/01/2011,25000,500
02/05/2010,15000,500
01/11/1999,35000,500
```

### 6.1.1.3 Update Mode

In order to update a Deposit Request, the user can select the required Deposit Request transaction from the table provided or use the Search Options on the Deposit Request screen to display the required Deposit Request transaction in the scrolling table.

As soon as a valid Transaction ID, Account Number, Security Symbol or Transaction Date is entered, records matching the criteria are displayed in the scrolling table. The Filter Options combo box above the Search Options can be used likewise to narrow down the search criteria.

**Note:** that a Deposit Request, which has been posted, cannot be called up in the *Update* mode. After selecting the Deposit Request transaction to be Added, the user needs to click the *Update* button, which opens up the following screen:

The screenshot displays the 'Deposit Request' application window in 'Update Mode'. The main form includes the following fields and controls:

- Transaction ID:** 2105 72
- Participant ID:** 00067 (with a 'Browse' button and the name 'HAMMAD' displayed)
- Account Number:** 533 (with a 'Browse' button and the name 'ASIM' displayed)
- Security Symbol:** A-PRINT (with a 'Browse' button and the name 'A-PRINT' displayed)

Below the form, there are two tabs: 'Deposit Request' and 'Certificate/LOR Detail'. The 'Certificate/LOR Detail' tab is selected, showing a table with the following data:

DATE OF TRANSFER	CERTIFICATE/LOR NUMBER	VOLUME
15/04/2011	000000000001	10,000
15/04/2011	000000000002	10,000
15/04/2011	000000000003	10,000
15/04/2011	000000000004	10,000
15/04/2011	000000000005	10,000
15/04/2011	000000000006	10,000
15/04/2011	000000000007	10,000
15/04/2011	000000000008	10,000

Summary statistics at the top of the table area: Search Certificate/LOR Number, Total Certificates/LORs: 10, Total Volume: 100000.

Buttons at the bottom of the table area: Insert, Update, Delete, Generate.

Buttons at the bottom of the window: Save, Cancel.

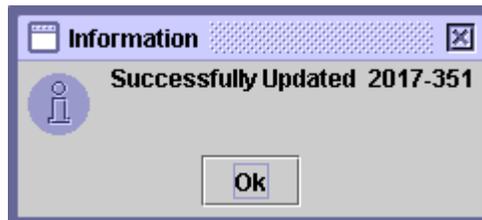
This screen is the same as the screen for the *Add* mode, except that the Transaction ID is shown and the Account Number and Security Symbol cannot be changed, hence there is no 'Cancel' button next to the '*Generate*' button as in the Add screen.

The available operations in the Update mode are ***‘Insert’*** to add a new certificate/LOR, ***‘Update’*** to edit the details of selected displayed certificate/LOR, ***‘Delete’*** to delete the selected certificate/LOR, and ***‘Generate’*** to generate multiple certificates/LORs. The ***‘Remarks’*** in the Save tab can also be changed in the Update mode.

Changes made in the Update mode can be saved by clicking the ***‘Save’*** button or ignored using the ***‘Cancel’*** button. If the Cancel button is clicked the system displays the following confirmation message:



On clicking the Save button, the system shows the following information message:

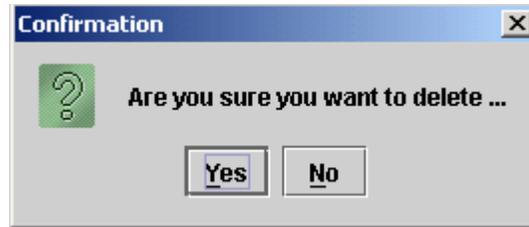


**Note:** that a new Transaction ID will not be generated in this case when the ***‘Save’*** button is clicked. The deposit request will be saved under the originally allocated transaction Id.

#### 6.1.1.4 Delete

In *Update* mode, to delete a Deposit Request transaction, which has not yet been posted, the user calls up the record to be deleted by entering the relevant

Transaction ID as explained above and then clicks the '**Delete**' button. This causes the screen below to be displayed:



Clicking the '**No**' button exits without making any changes. When the '**Yes**' button is pressed the transaction is deleted and following information message is displayed:



When the '**OK**' button is clicked the system reverts back to the 'Deposit Request' screen.

## 6.1.2 Deposit Request Cancellation

As explained above this transaction is used to reverse a Deposit Request previously set up and posted in the CDS, before it has been approved, or retrieved and updated, by the relevant R/TA. The Deposit Request Cancellation transaction can only be performed by the Participant who originally set up the deposit request, now being cancelled.

**Note: Only those deposit request transactions cancelled by Participant/Account Holders on which no action has been taken by RTA yet.**

In order to cancel a deposit request transaction, the user needs to open the Deposit Request screen from the Deposit Request menu in the main screen and select the transaction to be cancelled in the Post tab. Clicking the '**Cancel Transaction**' button after selecting the required record displays the following screen.

Transaction ID 2105 34

Participant ID 00067 Browse HAMMAD

Account Number 533 Browse ASIM

Security Symbol BELL00002 Browse bell security

Deposit Request Certificate/LOR Detail

Cancellation Remarks

Save Cancel

The user has to enter appropriate Cancellation Remarks in the space provided on the Deposit Request tab. If no remarks are entered, the following message is displayed reminding the user that Cancellation Remarks must be entered:

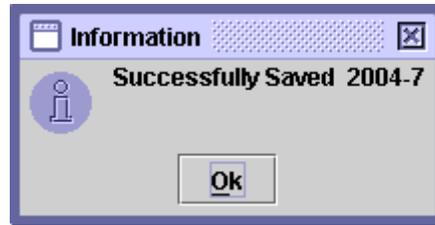


After entering appropriate cancellation remarks, the user can switch to the Certificate/LOR Details tab to view the details of the certificates/LORs corresponding to the transaction being cancelled. The Certificate/LOR Details screen is displayed as follows:

DATE OF TRANSFER	CERTIFICATE/LOR NUMBER	VOLUME
26/02/2105	000000000001	2
26/02/2105	000000000002	23

Clicking the **'Save'** button will transfer the deposit cancellation transaction to the save mode and it will appear in the Save tab of the Deposit Request screen with the status "To be Cancelled." When this transaction is posted by clicking the **'Post'** button in the Deposit Request screen, the pending deposit request is removed from the system. If the cancelled Deposit Request is one which was pending before the start of a book closure then the Share Book is also updated.

When the user clicks the **'Save'** button in the screen above, the following confirmation message is displayed:



Clicking the '**OK**' button then returns the user to the Deposit Request Cancellation screen.

Clicking on the '**Cancel**' button on the Deposit Request Cancellation screen will cause the system to return from this routine without cancelling the Deposit Request displayed.

In order to remove the Deposit Request from the Save tab, the user needs to post the Deposit Request Cancellation transaction in the Save tab of the Deposit Request screen by clicking the '**Post**' button after selecting the relevant transaction from the table as shown below:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 21/02/2057 Last Accessed : 21/02/2057 10:43:36

Deposit Request

Save Post

Filter Options

Status All

Record Selection

Search Options

Transaction ID   Participant ID 60608 Account Number  Security Symbol  Transaction Date 21/02/2057

Search Refresh

TRANSACTION ID	A/C NO	SECURITY SYMBOL	VOLUME / NO. OF UNITS	REMARKS	TRANSACTION DATE	STATUS
2057-604	947	ICP15	10,000	test	21/02/2057	To Be Added
2048-27	921	PRSEC01	15,000	test	21/02/2057	To Be Cancelled

Add Update Delete Post Tariff Calculator Cancel

On clicking the **'Post'** button, the following message will be displayed:



Clicking the **'No'** button exits without posting the transaction while clicking the **'Yes'** button posts the transaction and generates the following confirmation message:



Note that a Deposit Request once updated by the relevant R/TA will no longer be viewable to the user.

## 6.2 WITHDRAWAL OF SECURITIES FROM THE CDS

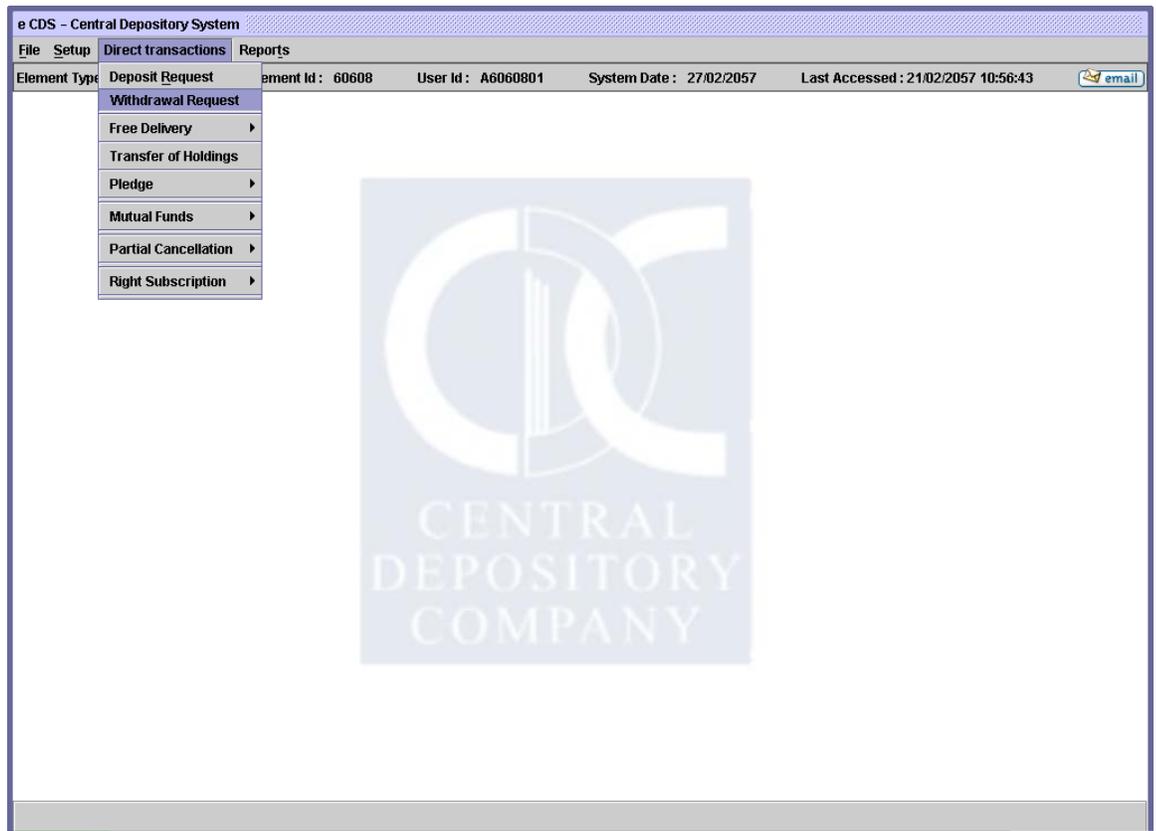
The withdrawal procedure enables account holders/participants to withdraw securities from the Central Depository System in the form of security certificates. This procedure is provided to cater for account holders/sub-account holders who prefer to keep security certificates in their physical possession. It will be initiated by an account holder/participant either on behalf of his client or on his own behalf and will result in the issuance of a fresh security certificate in the name of the beneficial owner and a decrease in the CDC's nominee holding in the Members'/Security Holders' Register.

**Note: During the Book Closure period of a Security, the System will not allow account holders / participants to process and post Withdrawal Request transactions of that particular Security.**

## 6.2.1 Withdrawal Request

As explained above this transaction is used to set up a Withdrawal Request in the CDS.

As soon as the user highlights the menu item 'Withdrawal Request' in the 'Direct transactions' menu as shown below:



When the user clicks the Withdrawal Request option shown above, the following screen is displayed:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 27/02/2057 Last Accessed: 21/02/2057 10:56:43

Withdrawal Request

Save Post

Filter Options

Status All

Record Selection

Search Options

Transaction ID Participant ID 60608 Account Number Security Symbol Transaction Date 27/02/2057

Search Refresh

TRANSACTION ID	A/C NO	SECURITY SYMBOL	VOLUME / NO. OF UNITS	REMARKS	TRANSACTION DATE
----------------	--------	-----------------	-----------------------	---------	------------------

Add Update Delete Post Print Cancel

The Participant's ID (whose user has logged onto the system currently) is hard coded in the field by the system and the user is not allowed to change it.

### 6.2.1.1 Add

To set up a new Withdrawal Request in the system, the user will click the 'Add' button in the Withdrawal Request screen above. On doing this, the following screen will be displayed:

The screenshot shows a window titled "Withdrawal Request Add". The window contains the following fields and controls:

- Participant ID:** A text box containing "60608" and a "Browse" button to its right.
- Account Number:** An empty text box and a "Browse" button to its right.
- Security Symbol:** An empty text box and a "Browse" button to its right.
- Volume:** A text box containing "0".
- Net Balance:** 0
- Available Cash:** 0
- Available Balance:** 0
- Transaction Tariff:** 0.00
- Remarks:** An empty text box.
- Participant Name:** "UMAR CAPITAL SECURITIES PVT LTD." is displayed on the right side of the form.
- Buttons:** "Save" and "Cancel" buttons are located at the bottom center of the window.

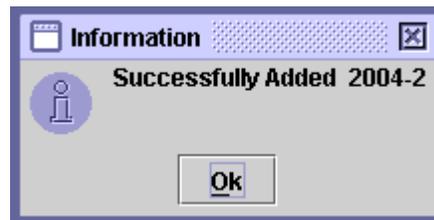
The data to be entered in the above screen is as follows:

- \* **Account Number**      The Account Number of the account holder from whose account the securities are to be withdrawn. If the user does not remember the Account Number related to the Withdrawal Request being added, the user can click the '**Browse**' button to display a lookup table of valid Account Numbers (Main account will not be allowed/displayed in the lookup). The required account can then be selected by double-clicking it on the lookup table. An Account Number can also be selected for a Withdrawal Request if it is currently in the Blocked state.
  
- \* **Security Symbol**      The Security Symbol for the security being withdrawn. If the user does not remember the Security Symbol related to the Withdrawal Request being added, the user can click the '**Browse**' button to display a lookup table of valid Security Symbols. The required symbol can then be selected by double-clicking it on the lookup table.
  
- \* **Volume**      The number of securities involved in the Withdrawal Request. The side of the field shows the available volume as soon as the Security Symbol has been entered.

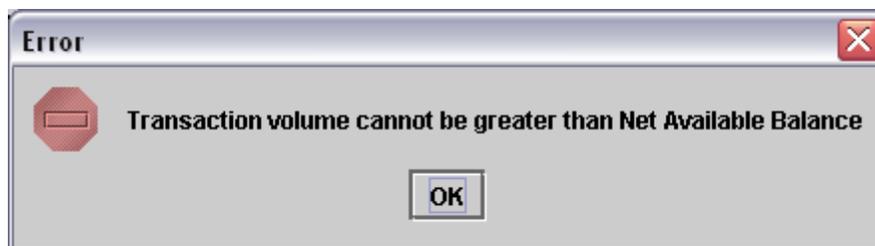
- \* **Remarks** Enter remarks, as required, in this field.

The *Net Balance* and *Available Balance* on the above screen shows the current balance of the security selected in 'Security Symbol' field. Further, the *Available Cash* and *Transaction Tariff* fields are not valid in case of a normal Participant. These fields show a value of zero.

After entering the above information, the user will click the '**Save**' button to make the Withdrawal Request transaction available in save mode. When the '**Save**' button is clicked the system generates a Transaction ID and adds the record to the browser. The following message is displayed:



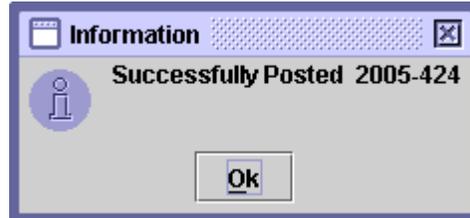
However, before saving the Withdrawal transaction, the program checks for sufficient available balance in the account and if the available balance in the account is less than the securities being withdrawn, the system does not let the user save the Withdrawal Request transaction and generates the following error message:



In order to '**Post**' the Withdrawal Request transaction, the user needs to go back to the Withdrawal Request screen and select the required saved Withdrawal Request transaction from the table provided. Clicking the '**Post**' button after selecting the required record displays the following confirmation message:



Clicking the '**No**' button exits without posting the Withdrawal Request; **Yes** causes the transaction to be posted and the following confirmation is displayed:



Clicking the '**OK**' button system successfully posted the record.

If there are no further Withdrawal Requests to be added, the '**Cancel**' button can be clicked to return to the main Withdrawal Request screen.

### 6.2.1.2 Update Mode

In order to update a Withdrawal Request, the user can select the required Withdrawal Request transaction from the table provided or use the Search Options on the Withdrawal Request screen to display the required Withdrawal Request transaction in the scrolling table. As soon as a valid Transaction ID, Account Number, Security Symbol or Transaction Date is entered, records matching the criteria are displayed in the scrolling table. The Filter Options combo box above the Search Options can be used likewise to narrow down the search criteria.

Note that a Withdrawal Request, which has been posted, cannot be called up in the *Update* mode. After selecting the Withdrawal Request transaction to be updated, the user needs to click the *Update* button, which opens up the following screen:

Transaction ID	2057	364
Participant ID	60608	<input type="button" value="Browse"/> UMAR CAPITAL SECURITIES PVT LTD.
Account Number	517	<input type="button" value="Browse"/> Muhammad muzzamil
Security Symbol	OEF	<input type="button" value="Browse"/> OPEN ENDED FUND SECURITY
Volume	500	
Net Balance	1000	Available Cash 0
Available Balance	1000	Transaction Tariff 0.00
Remarks	<input type="text"/>	
<input type="button" value="Save"/> <input type="button" value="Cancel"/>		

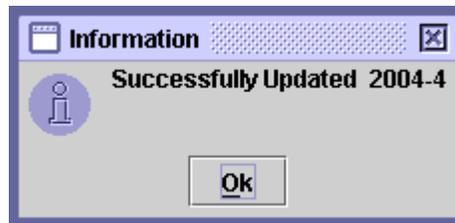
This screen is the same as the screen for the *Add* mode, except that the Transaction ID is shown on the screen.

The fields that can be changed are *Account No.*, *Security Symbol*, *Volume* and *Remarks*. Changes made in the *Update* mode can be saved by clicking the

**Save** button or discard by **Cancel** button. If the Cancel button is clicked the system displays the following confirmation message:



Clicking the Yes button closes the above message screen and returns to the main Withdrawal Request screen while clicking the 'No' button closes the above message screen. On clicking the Save button, the system shows the following information message:



Note that a new Transaction ID will not be generated in this case when the **Save** button is clicked. The Withdrawal request will be saved under the originally allocated transaction Id.

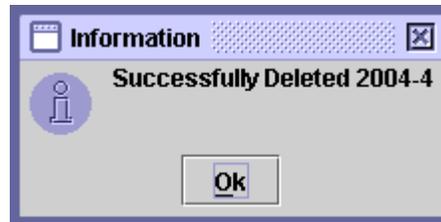
### 6.2.1.3 Delete

In order to update a Withdrawal Request, the user can select the required Withdrawal Request transaction from the table provided or use the Search Options as explained above.

Note that a Withdrawal Request, which has been posted, cannot be called up in the *Update* mode. After selecting the Withdrawal Request transaction to be deleted, the user needs to click the Delete button, which opens up the following screen:



Clicking the 'Yes' button deletes the transaction and following confirmation is displayed, 'No' exits without making any changes.



## 6.2.2 Withdrawal Request Cancellation

This transaction is used to reverse a Withdrawal Request previously posted in the CDS, before it has been approved, or called up and updated, by the relevant R/TA.

**Note: only those withdrawal request can be cancelled on which no action has been taken by R/TA yet.**

The Withdrawal Request Cancellation transaction can only be performed by the Participant who originally set up the withdrawal request now being cancelled. When the user clicks the **'Cancel Transaction'** button on the post tab of the Withdrawal Request screen after selecting the transaction to be cancelled, the following screen is displayed.

The screenshot shows a window titled "Withdrawal Cancellation" with the following fields and values:

Transaction ID	2024	9	
Participant ID	60608	Browse	UMAR CAPITAL SECURITIES PVT LTD.
Account Number	848	Browse	TAHIR AHMED SOOMRO
Security Symbol	PPL2	Browse	PAKISTAN PETROLEUM LIMITED
Volume	2000		
Net Balance	21500	Available Cash	0
Available Balance	21500	Transaction Tariff	0.00
Remarks	TEST		
Cancellation Remarks			

At the bottom of the window are two buttons: "Save" and "Cancel".

\* **Transaction ID** The Transaction ID of the Withdrawal Request transaction to be cancelled. It is hard coded and cannot be changed by the user.

\* **Participant ID** The Participant ID currently being used. It is hard coded and cannot be changed by the user.

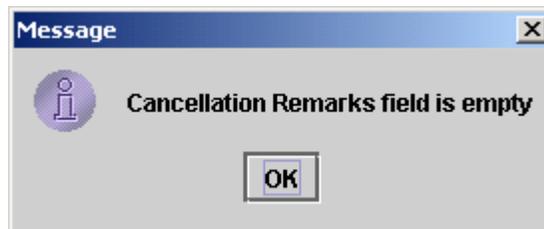
\* **Account No.** The Account Number. This refers to the CDS account

corresponding to the Withdrawal Request transaction being cancelled. It is hard coded and cannot be changed by the user.

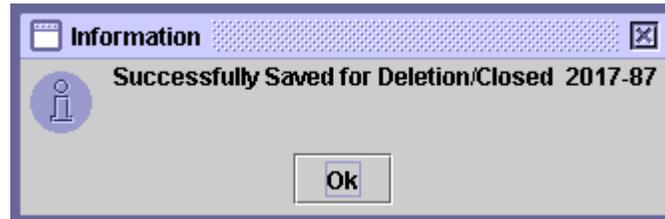
- \* **Security Symbol** The symbol of the security to be withdrawn. It is hard coded and cannot be changed by the user.
- \* **Volume** The number of securities involved in the Withdrawal Request Cancellation. It is hard coded and cannot be changed by the user.
- \* **Remarks** The original remarks used while entering the Withdrawal Request transaction. This cannot be changed.
- \* **Cancellation Remarks** The reason why the withdrawal is being cancelled.

The *Net Balance* and *Available Balance* on the above screen show the current balance of the security selected in 'Security Symbol' field. Further, the *Available Cash* and *Transaction Tariff* fields are not valid in case of a normal Participant. These fields show a value of zero.

If the Cancellation Remarks field is empty, the system will remind the user through the following message that entering the cancellation remarks is mandatory:



After entering all the above information, the user will click the '**Save**' button to save the Withdrawal Request Cancellation transaction or quit without saving the Withdrawal Request Cancellation transaction by clicking the '**Cancel**' button. On clicking the Save button, the following message is displayed:



On performing the above operation, the original Withdrawal Request is still displayed in the Post tab of the Withdrawal Request screen and also in the Save tab with the status, '**To Be Cancelled.**'

In order to remove the Withdrawal Request from the Post tab, the user needs to post the Withdrawal Request Cancellation transaction in the Save tab of the Withdrawal Request screen by clicking the '**Post**' button after selecting the relevant transaction from the table.

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Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 27/02/2057 Last Accessed : 21/02/2057 10:56:43

Withdrawal Request

Save Post

Filter Options

Status All

Record Selection

Search Options

Transaction ID  Participant ID 60608 Account Number  Security Symbol  Transaction Date 27/02/2057

Search Refresh

TRANSACTION ID	A/C NO	SECURITY SYMBOL	VOLUME / NO. OF UNITS	REMARKS	TRANSACTION DATE	STATUS
2048-38	905	PRSEC01	20,000		12/03/2048	To Be Cancelled

Add Update Delete Post Print Cancel

On clicking the **Post** button the following confirmation message is displayed:



Clicking '**No**' exits to the Withdrawal Request screen without making any changes while clicking '**Yes**' posts the Withdrawal Request Cancellation transaction and generates the following message:



On clicking the '**Ok**' button, the system successfully cancelled the transaction.

Once the Withdrawal Request Cancellation is posted, the Withdrawal Request is no longer shown in the Post tab of the Withdrawal Request screen.

### 6.3 FREE DELIVERY

The term ‘free delivery’ applies to all book-entry deliveries of securities, which take place without there being a corresponding movement of cash at the same time.

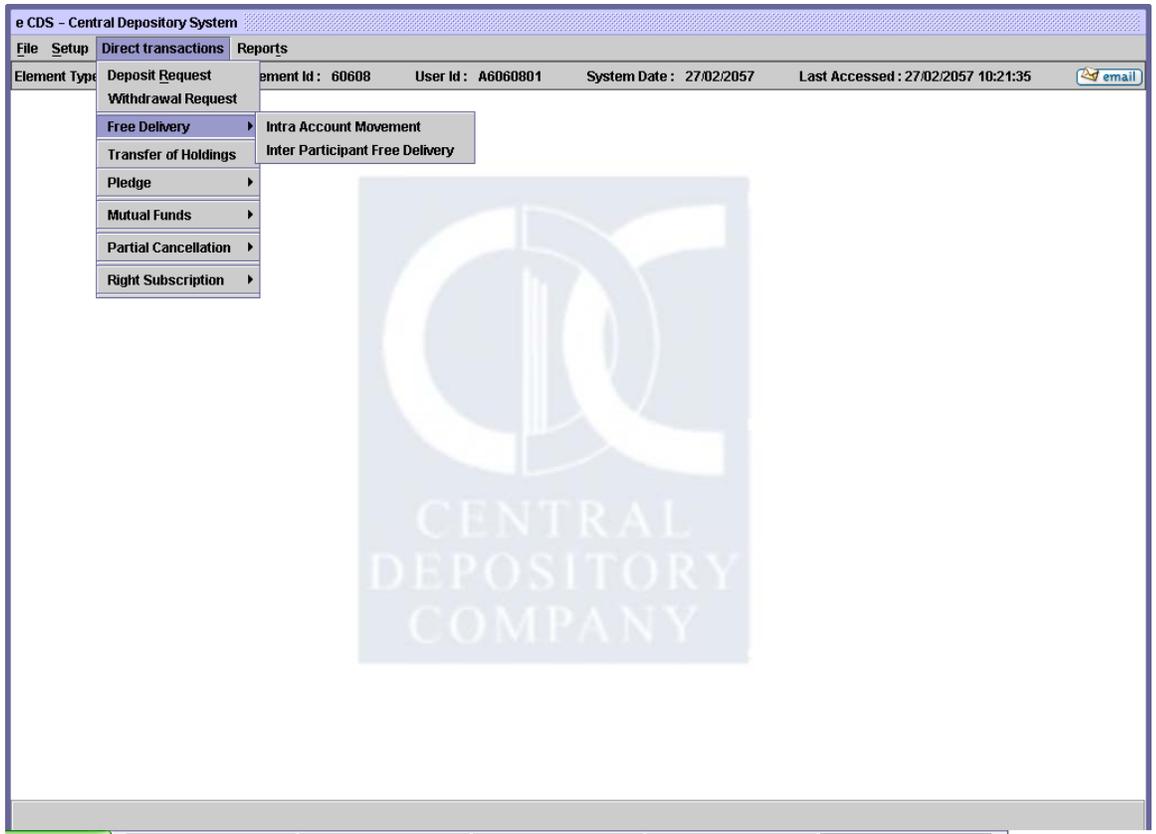
An account holder/participant is only allowed to deliver securities out of his account family. The security controls built into the system do not allow an account holder/participant to access any account family other than his own. A participant is allowed to deliver securities out of sub-accounts held under his main account on the basis of written instructions from the sub-account holder.

The free delivery transaction does not require separate initiation and confirmation stages. The transaction is completed when an account holder/participant enters data into the system asking for securities to be delivered from his account to another account. The Account Activity report produced by the system on request provides the necessary documentation and audit trail of the transaction. For the sake of their own documentation, participants (brokers) can get their clients to fill out standard forms when giving instructions to the participant.

If the recipient of the securities being delivered does not wish to accept them, the user can execute another free delivery to reverse the transaction. Once an account holder/participant has delivered securities from his account to another account holder/participant’s account, the transaction can only be reversed by the recipient delivering them back. Free deliveries are executed in the CDS by means of the following options:

- Intra Account Movement
- Inter Participant Free Delivery

When the user highlights the menu item ‘Free Delivery’ in the ‘Direct transactions’ menu the user is presented with a submenu containing the above options, as shown below:



Each of the above options is described in detail in the paragraphs that follow.

### 6.3.1 Intra Account Movement

The Central Depository System provides the facility to participants to transfer securities between accounts within their control as per the defined criteria of Reason Code. It must be kept in mind that the Intra Account Movement covers only free deliveries, i.e., those not involving a corresponding movement of cash.

While making intra account movements to handle clients' securities the participant should strictly comply with the provisions of Section 24 of the Central Depositories Act, 1997.

When the user clicks on the Intra Account Movement option on the sub-menu which is displayed when the Free Deliveries option in the Direct Transactions menu is highlighted, the user is presented with the screen shown below:

The screenshot displays the 'Intra Account Movement Query' interface within the 'e CDS - Central Depository System'. The window title is 'e CDS - Central Depository System'. The menu bar includes 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 27/02/2057', and 'Last Accessed: 27/02/2057 10:21:35'. The main window title is 'Intra Account Movement'. Below the title bar are tabs for 'Save', 'Future-Dated Transactions Cancellation', and 'Intra Account Movement Query'. The 'Filter Options' section has radio buttons for 'Non Future Dated Transactions' (selected) and 'Future Dated Transactions', with a date field set to '28/02/2057' and a 'Refresh' button. The 'Record Selection' section has a 'Search Options' area with a 'Transaction ID' field and a 'Search' button. Below this is a table with columns: TRANSACTION ID, FROM ACCOUNT NO, FROM ACCOUNT TITLE, TO ACCOUNT NO, TO ACCOUNT TITLE, and SECURITY SYMBOL. The table body is empty. At the bottom are buttons for 'Add', 'Update', 'Delete', 'Post', 'Select All', 'File', and 'Cancel'.

On the Save tab, the user is provided with Filter Options to display ‘Non Future Dated Transactions’ or ‘Future Dated Transactions’ as required.

When the user selects the Future Dated Transactions radio button the field for entering the date of the intra account movement is enabled. When the ‘**Refresh**’ button is clicked after entering the required date, the results are shown in the scrolling table. If the selected date is a holiday as defined in the system, the following message will be generated:



The user may also search for the required record using the Search Options. Entering the Transaction ID in the field provided and clicking the ‘**Search**’ button displays the records matching the criterion in the scrollable table.

To display the Non Future Dated Intra Account Movement transactions again, the user needs to click the Non Future Dated Transactions radio button and then click the ‘**Refresh**’ button.

#### 6.3.1.1 **Add**

If a user wants to *add* a new Intra-Account Movement transaction, the user will click the ‘**Add**’ button on the Intra Account Movement screen above. The following screen will be displayed:

The Participant ID is hard-coded and cannot be changed by the user. The data to be entered in this screen is as follows:

- \* **Reason Code** To select the reason code according to the nature of transaction. The '**Browse**' button adjacent to the field provides the user with a lookup table of relevant reason codes.
- \* **Balance Status** The security status that is to be transferred by the user. It shall always be '**Available**'.
- \* **Future Dated Intra Account Movement** This checkbox will allow user to perform 'Future Dated Intra Account Movement'.
- \* **Partial Move Option** This checkbox will only be enabled if the 'Future Dated Intra Account Movement' checkbox is selected. It signifies that if on the date of application of the 'Future Dated Intra Account Movement' the security balance is less than the 'Transaction Volume' then the available balance should be moved.





- \* **Security Symbol** The Security Symbol. The '*Browse*' button adjacent to the field provides the user with a lookup table of valid security symbols of Securities which has been associated with the selected reason code in case the user cannot remember the correct symbol.

If user selects an invalid security symbol or security symbols which has not been relevant with the selected reason code then the following message will be displayed:



- \* **Transaction Volume** The number of securities/units involved in the transaction.
- \* **Available Balance** The balance of the selected security available in the account.
- \*
- \* **Remarks** Any remarks considered necessary by the user.

In case the Balance status is selected as '*Available*' and the '*Future dated Intra Account Movement*' checkbox is checked, the '*Partial Move Option*' checkbox and the '*Effective Date*' field is also enabled as shown below:

**Intra Account Movement**

Participant ID: 00067  MUHAMMAD ANAS KAPADIA - Karachi Participant Broker - CM end

Balance Status:  Available  Blocked

Future-dated Intra Account Movement  
 Partial Move Option

Effective Date: 12/10/2069

Reason Code:

From Account Number:

To Account Number:

Security Symbol:

Transaction Volume:

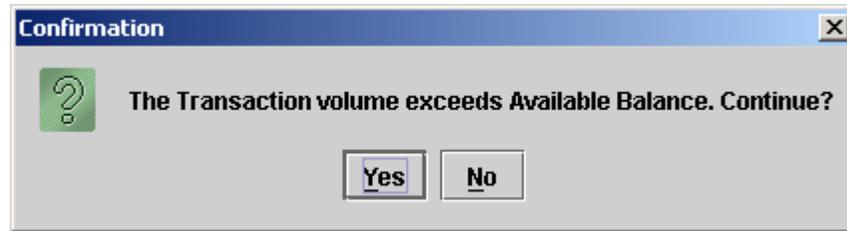
Available Balance:

Remarks:

Clicking the '**Cancel**' button in the above screen will exit without making any changes. After entering the required data, when the '**Save**' button is pressed with Future Dated Intra Account Movement checkbox checked, the system will check for the validity of data being entered. If the 'Effective Date' entered is a holiday as defined in the system, the following message will appear:



If the 'Effective Date' entered is valid, the system will check if the account contains sufficient number of shares to be moved to the destination account. In case of both Future Dated and Non Future Dated Intra Account Movement transactions, if sufficient number of shares does not exist in the account, the system will generate the following message:

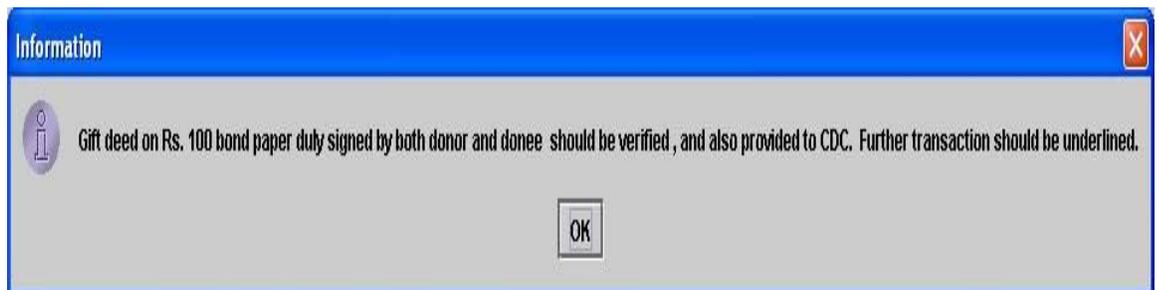


However, the system will allow the user to save the transaction. On clicking, the 'Yes' button, the Intra Account Movement transaction will be saved, on clicking the 'No' button the user will go back to the Intra Account Movement screen without saving the transaction.

If the participant is a non-broker participant, then the following prompt will be given in case of movements from client to client, client to house and house to client accounts:

“Transaction without involving a broker is not allowed. Are you sure you want to continue?” with Yes and No options. If the user clicks 'Yes', then the system shall successfully save the transaction. If the user clicks 'No', then the system shall return to the Intra Account Movement screen from which the FD is being saved / posted. The FD shall not be saved in this case.

Upon saving of transaction, in case if any document required in lieu of the transaction to be performed with the selection of respective reason code then prompt message such as following will be will be displayed:



When the transaction is valid, it is successfully saved and the following confirmation message is displayed:



Clicking the '**OK**' button will take the user back to the main Intra Account Movement screen.

### 6.3.1.2 Update

If the user desires to *update* an Intra-Account Movement transaction, which has not yet been posted, the user will select a transaction from the scrolling table on the Save tab of the Intra Account Movement screen or use the Search or Filter options to find the required transaction. On clicking the '*Update*' button, the following screen is displayed:

 A screenshot of the "Intra Account Movement" application window. The window title is "Intra Account Movement". The form contains the following fields and controls:
 

- Transaction ID:** 2058 and 498 (input fields).
- Participant ID:** 00067 (input field) and a "Browse" button.
- Participant Name:** MUHAMMAD ANAS KAPADIA - Karachi Participant Broker - CM end.
- Balance Status:** Radio buttons for "Available" (selected) and "Blocked".
- Options:**
  - Future-dated Intra Account Movement
  - Partial Move Option
- Effective Date:** 12/10/2069 (dropdown menu).
- Reason Code:** A001 (input field) and a "Browse" button.
- Reason Description:** Transfer on approval of Deposit Request.
- From Account Number:** 574 (input field) and a "Browse" button.
- From Account Description:** ACCOUNT TITLE535.
- To Account Number:** 178 (input field) and a "Browse" button.
- To Account Description:** Collateral Account under Participant Id 00067 - UPDATED MAIN ACsOUNT 3212313213132.
- Security Symbol:** PSO (input field) and a "Browse" button.
- Security Symbol Description:** PAKISTAN STATE OIL COMPANY LIMITED.
- Transaction Volume:** 50 (input field).
- Available Balance:** 15900.
- Remarks:** 3-Save n Post (input field).
- Buttons:** "Save" and "Cancel" buttons at the bottom.

After editing the data in the above screen the user can click the '**Save**' button to do a temporary save or the '**Cancel**' button to abort the update. When the Cancel button is clicked the following message is displayed:



Clicking the **'Yes'** button will cancel the update operation and take the user back to the previous screen while clicking the **'No'** button will keep the system in the update mode. The update transaction can be saved and posted as explained in the Add Mode described in the previous section. The system responses in the case of the **'Save'** and **'Post'** buttons are also the same as explained for the Add Mode above.

### 6.3.1.3 *Delete*

A saved Intra Account Movement transaction can be deleted by the user. When the user clicks the **'Delete'** button on the Save tab of the Intra Account Movement screen after selecting the record to be deleted, the user is asked to confirm the delete instruction as follows:

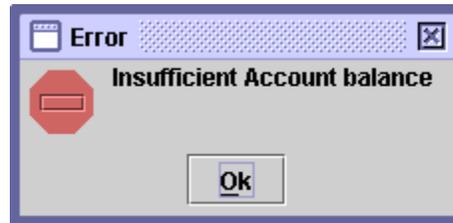


Clicking the **'Yes'** button deletes the record from the saved mode whereas **'No'** exits without making any changes.

### 6.3.1.4 *Post Mode*

In order to Post an Intra Account Movement transaction the user needs to select the required transaction from the scrolling table on the Save tab of the Intra Account Movement screen. The user may also use the Search or Filter options to find the required transaction and then click the **'Post'** button.

In case of Non Future Dated Intra Account Movement transaction, clicking the **'Post'** button causes the system to check if there is sufficient balance currently in the account. If sufficient number of shares is not available the following error message appears and the transaction is not posted:



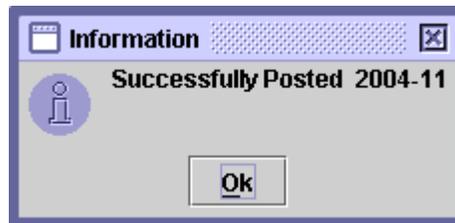
In case of Future Dated Intra Account Movement transaction, clicking the **'Post'** button will not cause the system to check the available security balance and the Intra Account Movement transaction will be successfully posted.

However, in case of Future Dated Intra Account Movement transaction, when sufficient numbers of shares are not available at the time of applying the transaction on the effective date, the system will check for the Partial Move option. If the User had selected the 'Partial Move Option' the available volume of shares (less than the transaction volume) will be moved. If the 'Partial Move Option' was not selected, the transaction will fail at the time of application on the effective date.

On clicking the post button, the following message is generated:



If the user clicks the '*No*' button the operation will be aborted and the system will go back to the Intra Account Movement screen. Clicking the '*Yes*' button will generate the following message:



Clicking the '*OK*' button will take the user back to the main Intra Account Movement screen.

#### 6.3.1.5 *File Mode*

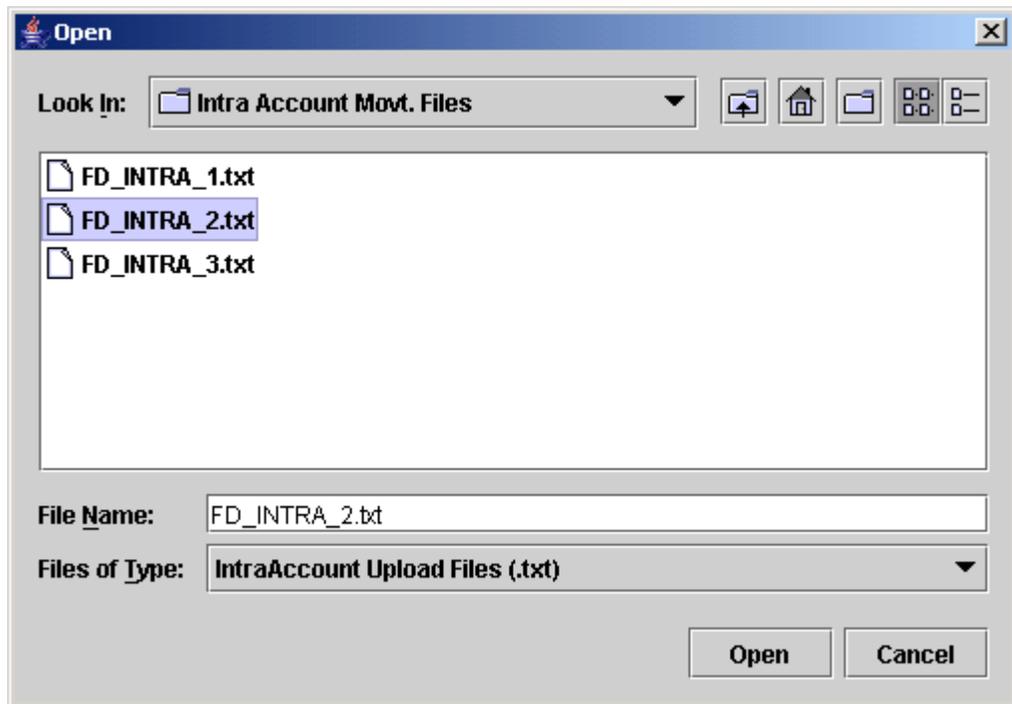
CDS participants with automated back-office require a data file upload feature to allow them to upload multiple Non Future Dated Intra Account Movement transactions through data files either downloaded from their automated back-office or captured offline using a spreadsheet package. A maximum of 100 numbers of records can be uploaded in a single file.

**Note: Only Non Future Dated Intra Account Movement transactions can be uploaded using the file mode and uploading of Future Dated Intra Account Movement is not allowed.**

This function allows the authorised users to specify an ASCII file for upload with fields separated by a delimiter like comma, semicolon, colon or tab/space(s). Only files with all valid records will be uploaded and displayed.

Since this option is associated with the Add operation in Intra Account Movement transaction, any user unauthorised to use Add operation will not be able to perform this operation also. The new '*File*' button will be inactive unless the user has been authorised for the upload operation by CDS Administrator and the operation is neither blocked nor out of the allowed time period.

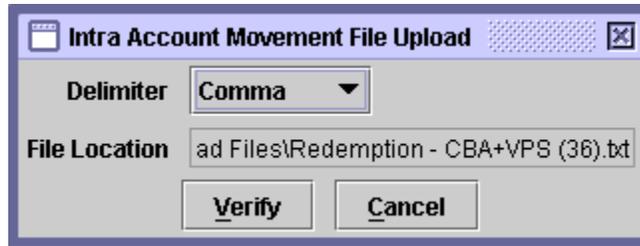
To set up a new Intra Account Movement transaction through data file upload, the user clicks the **File** button in the Save tab of the Intra Account Movement screen. The following Intra Account Movement File screen is displayed when the **File** button is clicked:



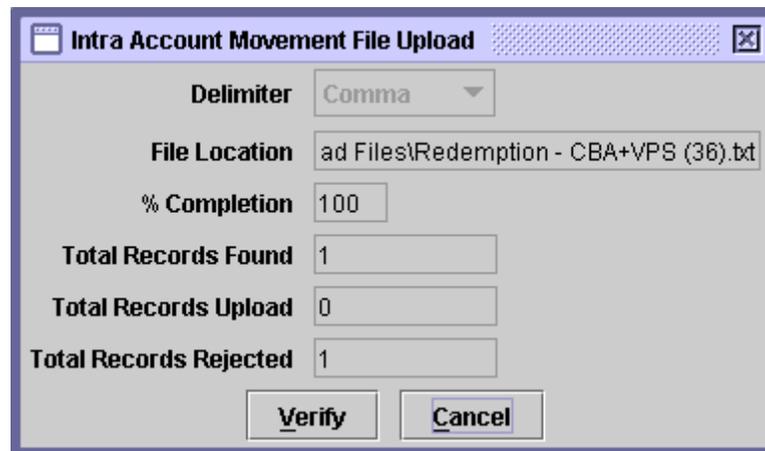
A user may either directly type the file name with absolute path or may browse the available local as well as network drives and the folder to search the data file to be uploaded.

After selecting the Intra Account Movement upload data file the user should click the '**Open**' button to start the upload process or '**Cancel**' to return to the previous screen.

If the user chooses the '**Open**' button in the file selection screen, the following screen is displayed:



User can decide the delimiter of Intra Account Movement Upload file by selecting the appropriate option from the combo box provided. When user is done with the selection of delimiter then the user can press '*Verify*' button to check for any possible errors in the upload file. If errors exist in the records, the upload file is rejected and the user is intimated through the following screen mentioning the number of records rejected:

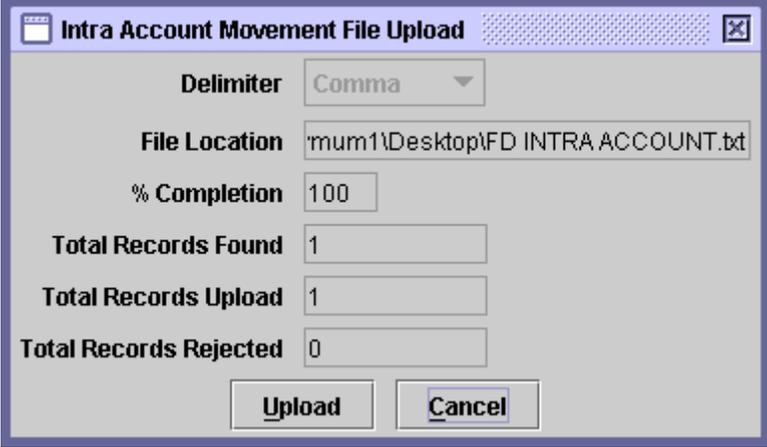


The user can rectify the errors in the upload file and again click the '*Verify*' button to view updated statistics about the Intra Account Movement transaction. This action may be repeated until there are no erroneous records in the upload file and the file processing screen shows the '*Upload*' button.

The '*Cancel*' button returns back to the main Intra Account Movement screen without performing any action.

Subsequent to successful verification of the upload file, the statistics of the file are displayed on the screen and the file is ready to be uploaded. To upload the

file, the user is required to click the **'Upload'** button in the following screen. This sends all the data from the file to the server and user is returned to the Intra Account Movement screen.



If the user presses the **'Cancel'** button the operation is terminated and the system returns back to the Intra Account Movement screen without performing any action.

This upload function has been designed to provide only automatic capturing of Intra Account Movement details and does not relieve the users of their responsibility to verify accuracy of posted Intra Account Movement transactions.

Each record element in an Intra Account Movement upload data file should be separated by a valid delimiter. An upload data file must be an ASCII text data file having following format and preferably **'txt'** extension:

- \* **From Account Number**      The **Account Number** from where the securities are to be moved.
  
- \* **To Account Number**      The **Account Number** to where the securities are to be moved.

- \* **Security Symbol** The **Security Symbol** of the security being moved. The security symbol should be enclosed in double quotes, as follows:  
“SECURITYSYMBOL”
- \* **Balance Status** The security status that is to be transferred by the user. It can be “A” for Available shares. The Balance Status must be enclosed in double quotes.
- \* **Transaction Volume** The number of securities/units involved in the Intra Account Movement transaction.
- \* **Reason Code** The reason code for the Intra Account Movement transaction. The Reason Code should be enclosed in double quotes.
- \* **Remarks** Any remarks considered necessary by the user. The remarks should be enclosed in double quotes.

Care should be taken that a valid delimiter is used to separate each element of the record otherwise data uploading might be effected. A sample Intra Account Movement upload file is as follows:

```
509, 541, "NTCD", "A", 15000, "A109", "Remarks 1"  
510, 566, "ADB", "A", 10000, "A207", "Remarks 2"  
275, 784, "LDA", "A", 20000, "A102", "Remarks 3"
```

If the Intra Account Movement data upload file is valid, detail records are uploaded to CDS temporary database on clicking the ***Upload*** button. On successful upload of Intra Account Movement data file, the following message is generated:



After uploading the Intra Account Movement data file, the user may update, delete or post the transaction by selecting it from the scrolling table on the Save tab of the Intra Account Movement screen.

### 6.3.1.6 *Select All*

In order to enable the user to delete or post all saved Intra Account Movement transactions at the same time; the **'Select All'** option is available in the Intra Account Movement screen. Clicking the Select All button in the screen below, highlights all saved Intra Account Movement transactions which can now be deleted or posted by clicking the **'Delete'** or **'Post'** button respectively.

e CDS - Central Depository System  
 File Setup Direct transactions Reports  
 Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 19/05/2057 Last Accessed: 19/05/2057 15:26:01

Intra Account Movement

Save Future-Dated Transactions Cancellation Intra Account Movement Query

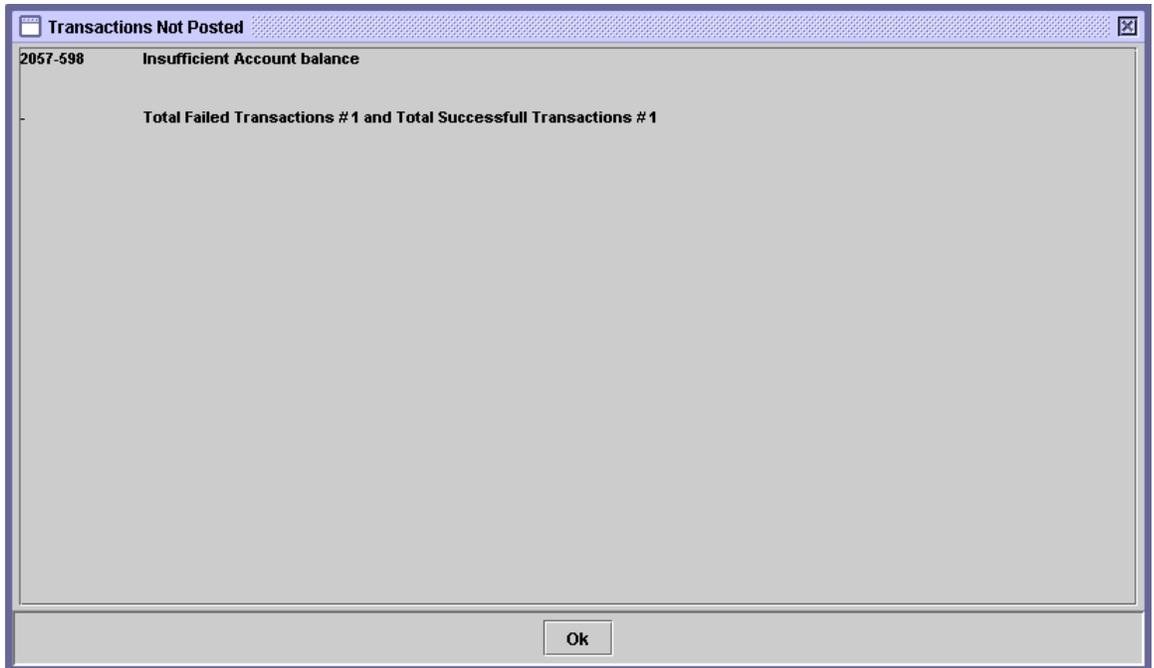
Filter Options  
 Non Future Dated Transactions  Future Dated Transactions 20/05/2057 Refresh

Record Selection  
 Search Options  
 Transaction ID Search

TRANSACTION ID	FROM ACCOUNT NO	FROM ACCOUNT TITLE	TO ACCOUNT NO	TO ACCOUNT TITLE	SECURITY SYMBOL
2057-601	517	Muhammad muzzamil	830	ACCOUNT TITLE FOR DUPLI...	OEF
2057-600	517	Muhammad muzzamil	632	ACCOUNT TITLE FOR DUPLI...	OEF
2057-598	889	Account title for rights1	897	Account title for rights2	PSO

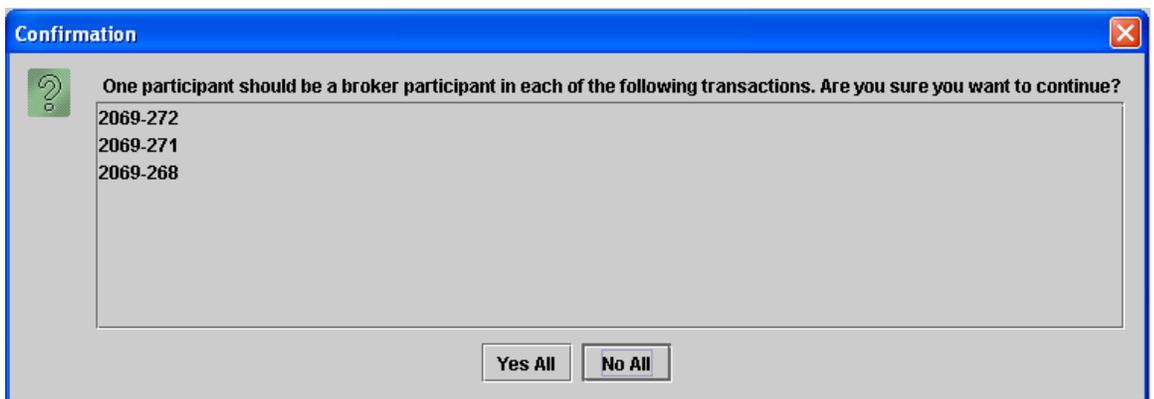
Add Update Delete Post Select All File Cancel

In case some transactions are not posted due to errors, the following screen is displayed, showing the transaction ID and the reason for rejection:



The user may post the remaining transaction after rectifying the errors listed in the *'Transactions Not Posted'* screen shown above.

In case some transactions contains prompt message then the following screen is displayed, showing the transaction ID and the prompt message with option 'Yes All' and 'No All' as shown below. Pressing 'Yes All' button means that user wants to continue the operation and pressing 'No All' means that user doesn't want to continue the operation.



Further, in case if multiple prompt messages exists in the selected transactions then in this case one by one prompt messages will be displayed along with the Transaction ID information.

### 6.3.2 Future Dated Intra Account Movement Cancellation

The system allows users to cancel the Future Dated Intra Account transactions that have not been applied till the current CDS date.

When the user clicks on the ‘Future-Dated Transactions Cancellation’ tab in the Intra Account Movement screen, the following screen is displayed:

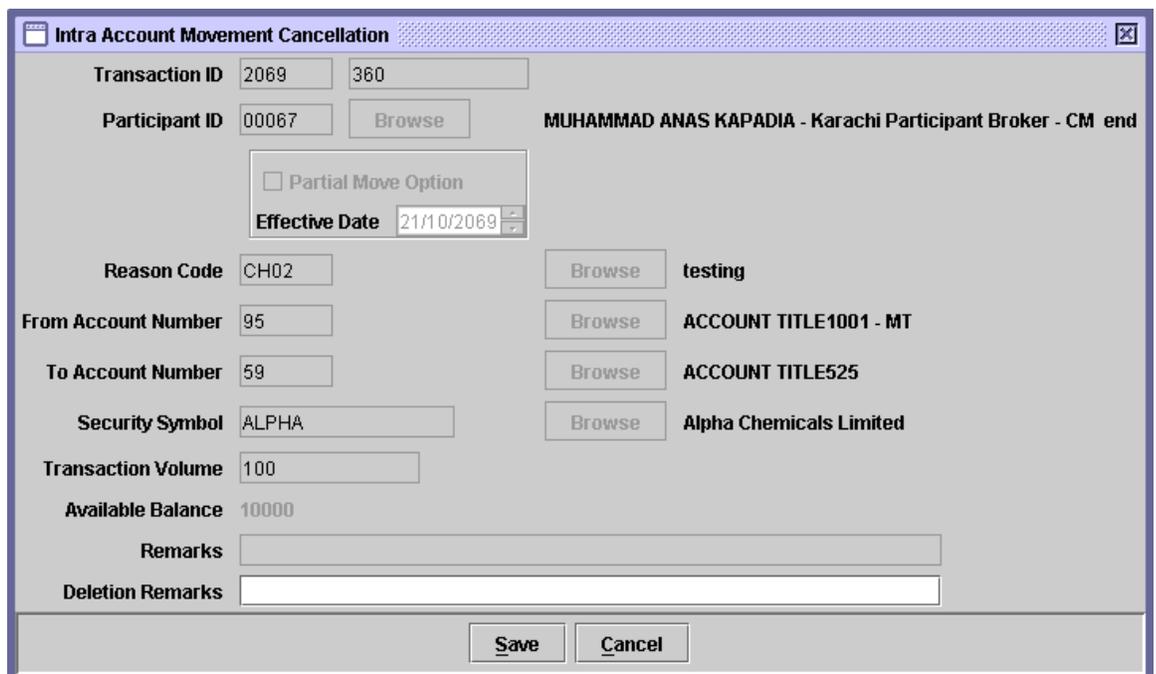
The Participant’s ID (whose user has logged onto the system currently) is hard-coded in the field by the system and the user is not allowed to input in it.

The screenshot displays the 'e CDS - Central Depository System' window. The top menu bar includes 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 27/02/2057', and 'Last Accessed: 27/02/2057 10:21:35'. The main window title is 'Intra Account Movement'. Below the title, there are three tabs: 'Save', 'Future-Dated Transactions Cancellation', and 'Intra Account Movement Query'. The 'Future-Dated Transactions Cancellation' tab is active. Underneath, there is a 'Record Selection' section with 'Search Options' containing a 'Transaction ID' input field and 'Search' and 'Refresh' buttons. Below the search options is a table with the following columns: TRANSACTION ID, FUTURE DATE, FROM ACCOUNT NO, FROM ACCOUNT TITLE, TO ACCOUNT NO, and TO ACCOUNT TITLE. The table is currently empty. At the bottom of the window, there are 'Delete' and 'Cancel' buttons.

Clicking the ‘*Cancel*’ button closes the Intra Account Movement screen. The Search Options can be used to display the required record in the scrolling table. To cancel a particular Future Dated Intra Account Movement transaction, the user needs to select that transaction and then click the ‘*Delete*’ button. On clicking the Delete button, the following confirmation message is displayed:



Clicking the '**No**' button closes the message box and the user is taken back to the 'Future-Dated Transactions Cancellation' tab of the Intra Account Movement screen. Clicking the '**Yes**' button opens the following 'Intra Account Movement Cancellation' screen:

A screenshot of the "Intra Account Movement Cancellation" screen. The window title is "Intra Account Movement Cancellation". The form contains the following fields and controls:

- Transaction ID: 2069, 360
- Participant ID: 00067, Browse button, MUHAMMAD ANAS KAPADIA - Karachi Participant Broker - CM end
- Partial Move Option:
- Effective Date: 21/10/2069
- Reason Code: CH02, Browse button, testing
- From Account Number: 95, Browse button, ACCOUNT TITLE1001 - MT
- To Account Number: 59, Browse button, ACCOUNT TITLE525
- Security Symbol: ALPHA, Browse button, Alpha Chemicals Limited
- Transaction Volume: 100
- Available Balance: 10000
- Remarks: [Text area]
- Deletion Remarks: [Text area]

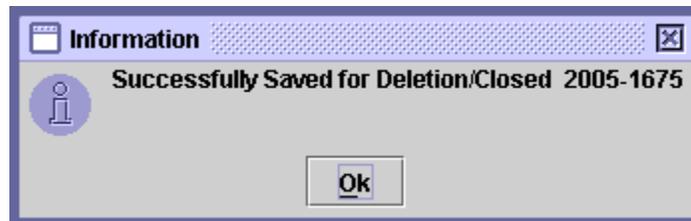
At the bottom of the form are "Save" and "Cancel" buttons.

Clicking the '**Cancel**' button generates the following message:



Clicking the **'Yes'** button takes the user back to the 'Future-Dated Transactions Cancellation' tab on the Intra Account Movement screen while clicking the **'No'** button keeps the user on the Intra Account Movement Cancellation screen.

This Intra Account Movement Cancellation screen displays the details of the Future Dated Intra Account Movement transaction to be cancelled. All fields except the **'Deletion Remarks'** field are disabled and the user is not allowed to make changes. The user is required to enter appropriate **'Deletion Remarks'** in the field and click the **'Save'** button to do a temporary save.



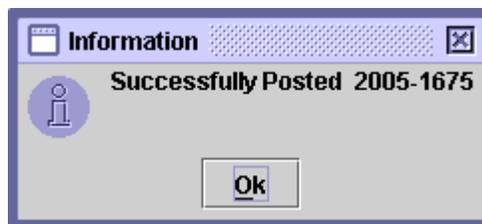
The saved transactions for Future Dated Intra Account Movement Cancellation remain in the Future-Dated Transactions Cancellation tab of the Intra Account Movement screen until they are posted.

To post a Future Dated Intra Account Movement Cancellation transaction, the user needs to click the Save tab of the Intra Account Movement screen and select the Future Dated Intra Account Movement Cancellation transaction to be posted. To do this, the user can select the 'Future Dated Transactions' radio button in the Filter Options and enter the desired Effective Date. Saved Future Dated Intra Account Movement Cancellation transactions are shown with "To Be Cancelled" in the Remarks field of the scrolling table on the Save tab.

After selecting the required transaction, the user needs to click the **'Post'** button. On clicking the Post button the following message is displayed:



Clicking the **'No'** button takes the user back to the Save tab of the Intra Account Movement screen while clicking the **'Yes'** button posts the transaction and generates the following confirmation message:



On clicking the **'Ok'** button the cancelled transaction is deleted from the Save tab and the Future-Dated Transactions Cancellation tab of the Intra Account Movement screen.

### 6.3.3 Intra Account Movement Query

The *Intra Account Movement Query* tab in the main Intra Account Movement screen is used to search Intra Account Movement records matching the specified criteria. As described above, the Intra Account Movement screen is displayed when the Intra Account Movement option in the Free Delivery submenu under the Direct Transactions menu is clicked.

The Intra Account Movement Query tab is shown below:

The screenshot displays the 'e CDS - Central Depository System' interface. At the top, there is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. Below the menu bar, the system status is shown: 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 27/02/2057', and 'Last Accessed: 27/02/2057 10:21:35'. The main window title is 'Intra Account Movement'. The 'Intra Account Movement Query' tab is active, showing search options. The 'Transaction Date (From)' and 'Transaction Date (To)' are both set to 27/02/2057. The 'Participant ID' is 60608, with a 'Browse' button and the name 'UMAR CAPITAL SECURITIES PVT LTD.' displayed. The 'From Account Number' and 'To Account Number' are both set to 'All'. The 'Security Symbol' is also set to 'All'. There is a checkbox for 'Future Dated Intra Account Movement' which is unchecked. Below the search options are 'Refresh' and 'Cancel' buttons. At the bottom, there is a table with the following columns: TRANSACTION ID, TRANSACTION DATE, FROM ACCOUNT NO, FROM ACCOUNT TITLE, TO ACCOUNT NO, and TO ACCOUNT TITLE. The table is currently empty.

Intra Account Movement queries enable the users to search saved Intra Account Movement transactions for a Participant.

The Participant ID displayed on the above screen is hard coded and cannot be changed. The user needs to input the following data in the Intra Account Movement Query screen:

- \* **Transaction Date (To) and Transaction Date (From)** These fields allow the user to define a date range within which the Intra Account Free Delivery transactions lie. The fields are editable and the format of the fields is *dd/mm/yy*. The user can either type the required date in the fields or use the scrolling arrows to set the required dates.
- \* **From Account** The '*From Account*' field refers to the account from which the free delivery is made. The '*From Account*' field allows the user to query for '*All*' accounts under the Participant's control or for a '*Specific*' account. A textbox is displayed for entering the account number if the '*Specific*' radio button is selected. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table for a/c no.
- \* **To Account** '*To Account*' refers to the account to which the free delivery is made. The '*To Account*' field allows the user to query for '*All*' accounts under the Participant's control or for a '*Specific*' account. A textbox is displayed for entering the account number if the '*Specific*' radio button is selected. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table
- \* **Security Symbol** The user can query for '*All*' securities or a '*Specific*' security. The Security Symbol is required in this field if *Specific* option is selected. A textbox for entering the Security Symbol appears on the screen when the user selects the *Specific* radio button in the Security Symbol Field. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table
- \* **Future Dated Intra Account Movement** Clicking this checkbox indicates that Future Dated Intra Account Movements are also to be included in the query. Removing this checkbox returns only Non-Future Dated Intra Account Movement records.

Clicking the '*Refresh*' button will display the records matching the specified criteria in the scrolling table. Clicking the '*Cancel*' button will close the main Intra Account Movement screen without displaying the required records.

### 6.3.4 Inter Participant Free Delivery

This transaction is used to make free deliveries of securities between one participant and another. As stated before, free deliveries are transfers of securities between one account and another, which do not involve corresponding cash movements.

Inter Participant Free Deliveries can be made through Participant's sub-account/house account to another sub-account/house account held under the umbrella of another Participant or to the Main Account depending upon the Reason Code selected in the transaction. In case the Participant wants to make a free delivery in favour of an Investor Account, he is required to specify the Investor Account Services Id and the relevant account number.

When the user clicks on the Inter Participant Free Delivery option in the sub-menu, which is displayed when the Free Deliveries menu item in the Direct Transactions Menu is highlighted, the system displays the following screen:

The screenshot displays the 'Inter Participant Free Delivery' interface. At the top, the window title is 'e CDS - Central Depository System'. Below the title bar, there is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 05/04/2054', and 'Last Accessed: 08/06/2049 12:32:14'. The main area is titled 'Inter Participant Free Delivery' and contains a 'Save' button and a 'Search Options' section with input fields for 'Transaction ID', 'To Participant ID', and 'To Account Number', along with 'Search' and 'Refresh' buttons. Below the search options is a table with columns: TRANSACTION ID, FROM PARTICIPANT, FROM ACCOUNT NO, TO PARTICIPANT, TO ACCOUNT NO, TO ACCOUNT TITLE, SECURITY SYMBOL, SECURITY NAME, and VI. The table is currently empty. At the bottom, there are buttons for 'Add', 'Update', 'Delete', 'Post', 'Select All', 'Print', 'File', and 'Cancel'.

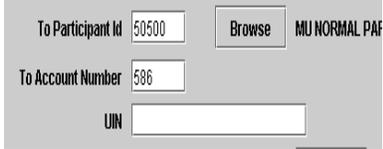
Search Options can be used to display the records that match the given Transaction ID, To Participant ID (the Element ID of the receiving participant), and/or To Account Number in the scrolling table.

#### 6.3.4.1 Add Mode

In order to add a new Inter Participant Free Delivery transaction, the user needs to click the ‘Add’ button on the above screen. This will open the following screen:

The “Participant ID” field is hard coded and this data cannot be changed by the user. Behaviour of the screen is dependent upon the Reason Code selected. Appended matrix illustrates few examples of the screen behaviour.

Scenario	Behaviour of Screen	
	To Account Number field	UIN field
<b>Scenario 1</b> —for example, if user selects Reason Code such as Portfolio Transfer, Settlement second leg, etc.	System will not accept Main Account in such case(s).	UIN field beneath the To Account Number field will not be displayed and system will perform auto matching of UIN in From and To Account.
<b>Scenario 2</b> —for example, if user selects Reason Code	System will not accept Main Account in such	On input of valid To Account Number, system will display

<p>such as Gift, Acquisition of Shares, etc.</p>	<p>case(s).</p>	<p>UIN field beneath to the To Account Number field and the user is required to input the valid UIN.</p> 
<p><b>Scenario 3</b>—for example, if user selects Reason Code such as Off Market transaction, Unlisted Securities, etc.</p>	<p>Apart from Sub-Account / House / IAS Account, system will also accept Main Account.</p>	<p>On input of valid To Account Number, system will display UIN field beneath to the To Account Number field and the user is required to input the valid UIN in case if the selected account is either Sub-Account or House Account or IAS Account otherwise, for the case where selected account is Main Account then in this case UIN field will be optional.</p>

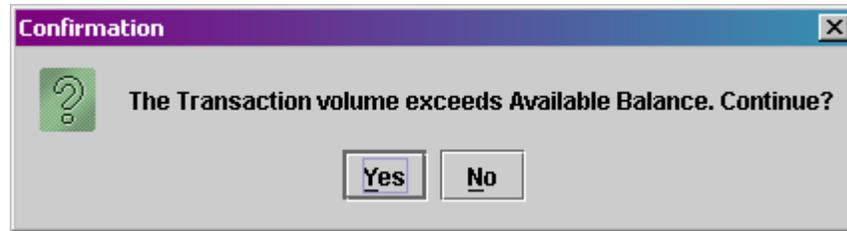
The data to be entered in this screen is as follows:

- \* **Reason Code**                      The reason code for the transaction. The **‘Browse’** button adjacent to the field provides the user with a lookup table of valid Reason Codes to help the user in case the user does not remember the correct code.
- \* **From Account Number**                      The account number from which the securities are being delivered. The **‘Browse’** button adjacent to the field provides the user with a lookup table of valid account numbers, as shown below:

ACCOUNT CODE	ACCOUNT NO.	ACCOUNT TITLE
H	103	Account Title - 123 - Additional Account Title 345
	8726	AccountTitle - 1000
	8734	AccountTitle - 1001
	15473	AccountTitle - 1001
	8767	AccountTitle - 1002
	8783	AccountTitle - 1004
	15457	AccountTitle - 1004
	129	AccountTitle - 1005
	8791	AccountTitle - 1005
	15432	AccountTitle - 1005
iC	15440	AccountTitle - 1005asda
	8809	AccountTitle - 1006
	8817	AccountTitle - 1007
	8825	AccountTitle - 1008
	8833	AccountTitle - 1009
	8858	AccountTitle - 1011
	8808	AccountTitle - 1014

- \* **To Participant ID** User has to input the contra Participant's ID in this field, The '**Browse**' button adjacent to the field provides the user with a lookup table of valid Participant ID.
- \* **To Account Number** The Account Number to which the securities are being delivered. User has to input a valid Account Number in this field.  
*Note: For more details regarding the behaviour of To Account Number field, please refer to the behaviour matrix mentioned above.*
- \* **Security Symbol** The Security ID. The '**Browse**' button adjacent to the field provides the user with a lookup table of valid Security IDs in case the user does not remember the correct code.
- \* **Transaction Volume** The number of securities/units involved in the transaction.
- \* **Remarks** Such remarks as are considered necessary by the user.

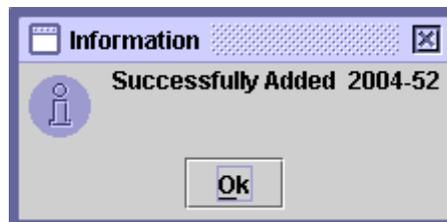
Clicking the '**Cancel**' button will cause the system to exit without making any changes. Clicking the '**Save**' button after entering the above information will cause the system to check if there is sufficient balance in the transferring participant's account. If sufficient balance is not available, then system will allow only saving the transaction and intimating the user through the following message:



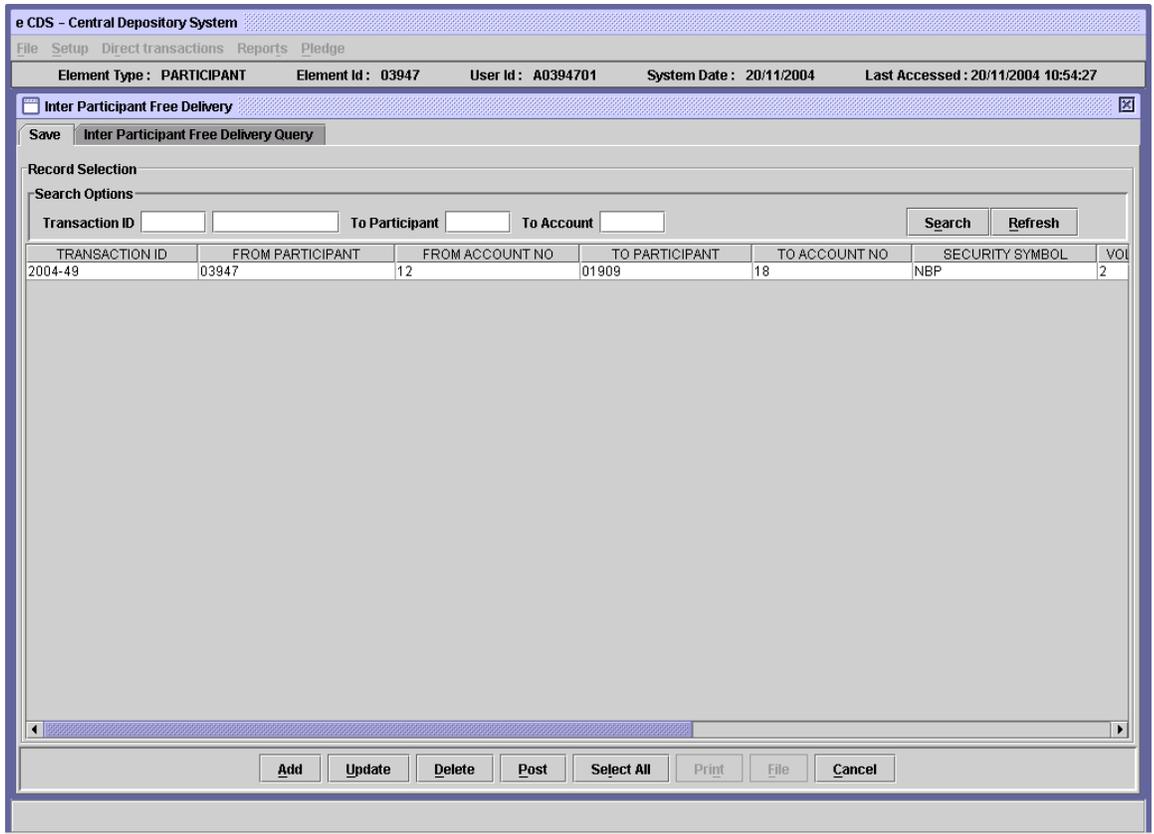
If both the participants (From Participant and To Participant) involved in the Inter Participant FD movement are non-broker participants, then the system will give the following message:

“One participant should be a broker participant. Are you sure you want to continue?” with Yes and No options. If the user clicks ‘Yes’, then the system shall successfully save the FD. If the user clicks ‘No’, then the system shall return to the Inter Participant Movement screen from which the FD is being saved / posted. The FD shall not be saved in this case.

If the ‘**Save**’ button is clicked when there is sufficient balance in the transferring participant’s account, the system will successfully save the transaction and generate a transaction ID. The following message will appear:

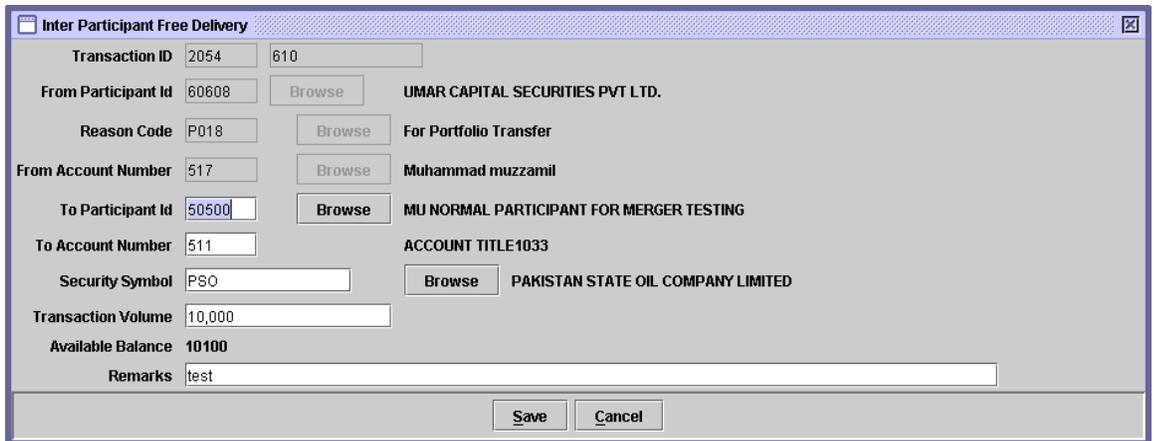


Clicking the ‘**OK**’ button will return the user to a blank Inter Participant Free Delivery screen with the record added to the scrolling table, as shown below.



6.3.4.2 Update Mode

In order to *update* an Inter Participant Free Delivery transaction which has not yet been posted, the user will select a transaction from the scrolling table on the Save tab of the Inter Participant Free Delivery screen or use the Search or Filter options to find the required transaction. On clicking the **'Update'** button, the following screen is displayed:



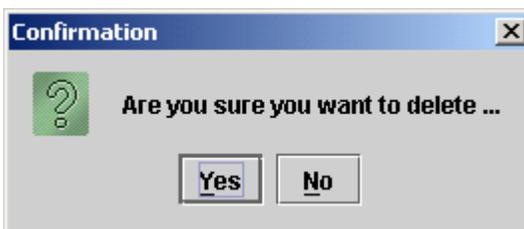
After editing the data in the above screen the user can click the **'Save'** button to do a temporary save or the **'Cancel'** button to abort the update. When the Cancel button is clicked the following message is displayed:



Clicking the **'Yes'** button will cancel the update operation and take the user back to the previous screen while clicking the **'No'** button will keep the system in the update mode. The update transaction can be saved and posted as explained in the Add Mode described in the previous section. The system responses in the case of the **'Save'** and **'Post'** buttons are also the same as explained for the Add Mode above.

#### 6.3.4.3 *Delete*

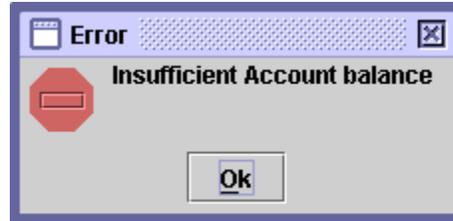
A saved Inter Participant Free Delivery transaction can be deleted by the user. When the user clicks the **'Delete'** button on the Save tab of the Inter Participant Free Delivery screen after selecting the record to be deleted, the user is asked to confirm the delete instruction as follows:



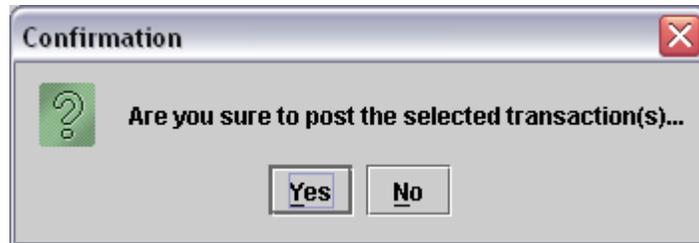
Clicking the **'Yes'** button deletes the record from the saved mode whereas **'No'** exits without making any changes.

#### 6.3.4.4 Post

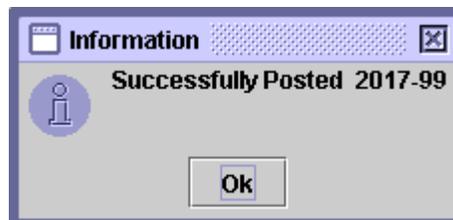
In order to post the Inter Participant Free Transaction, user needs to click the '**Post**' button after selecting the desired record from the table. When the '**Post**' button is clicked, the system checks if sufficient security balance is available in the transferring participant's account. If this is not the case, the following message is displayed:



If there is sufficient balance in the transferring participant's account, clicking the '**Post**' button will generate the following message to ask the user to confirm the Post operation:



Clicking on the '**No**' button will take the system back to the Save tab of the Inter Participant Free Delivery screen. Clicking the '**Yes**' button will post the transaction and generate the following information message:



Clicking on the '**OK**' button returns the user to a blank Inter Participant Free Delivery screen.

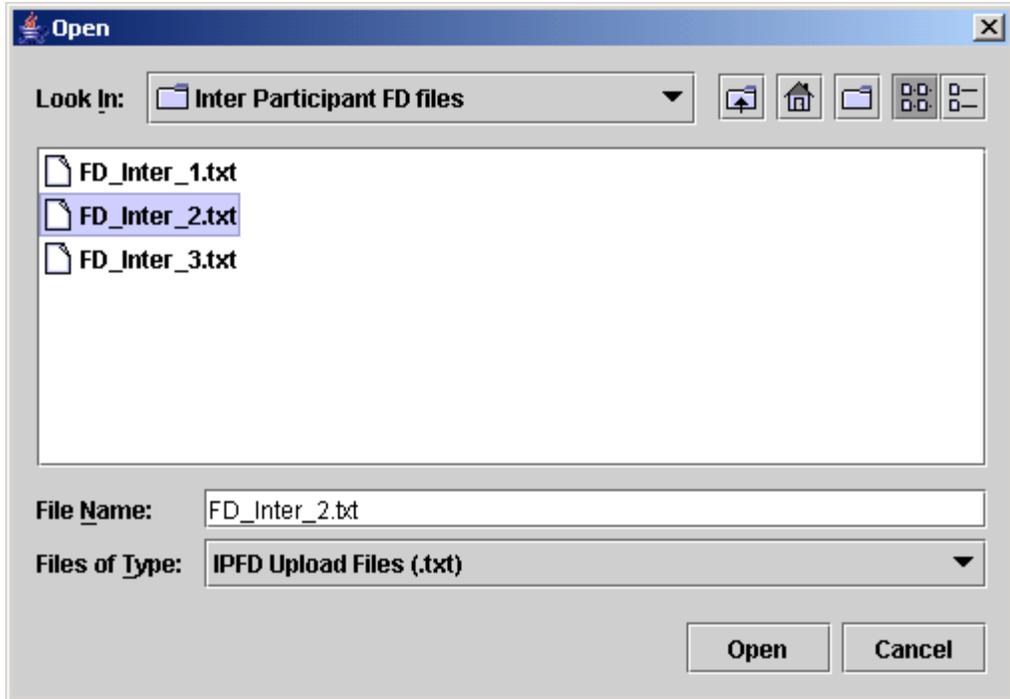
#### 6.3.4.5 **File Mode**

CDS participants with automated back-office require a data file upload feature to allow them to upload multiple Inter Participant Free Delivery transactions through data files either downloaded from their automated back-office or captured offline using a spreadsheet package. However, an upload file should not contain more than 100 records.

This function allows the authorised users to specify an ASCII file for upload with fields separated by a delimiter like comma, semicolon, colon or tab/space(s). Only files with all valid records will be uploaded and displayed.

Since this option is associated with the Add operation in Inter Participant Free Delivery transaction, any user unauthorised to use Add operation will not be able to perform this operation also. The new '**File**' button will be inactive unless the user has been authorised for the upload operation by CDS Administrator and the operation is neither blocked nor out of the allowed time period.

To set up a new Inter Participant Free Delivery transaction through data file upload, the user clicks the **File** button in the Save tab of the Inter Participant Free Delivery screen. The following screen is displayed when the **File** button is clicked:



A user may either directly type the file name with absolute path or may browse the available local as well as network drives and the folder to search the data file to be uploaded.

After selecting the Inter Participant Free Delivery upload data file the user should click the '*Open*' button to start the upload process or '*Cancel*' to return to the previous screen.

If the user chooses the '*Open*' button in the file selection screen, the following screen is displayed:



The user can decide the delimiter of Inter Participant Free Delivery upload file by selecting the appropriate option from the combo box provided. When user is done with the selection of delimiter then the user can press '*Verify*' button to check for any possible errors in the upload file. If errors exist in the records, the upload file is rejected and the user is intimated through the following screen mentioning the number of records rejected:



Field	Value
Delimiter	Comma
File Location	p:\Inter Participant FD files\FD_Inter_1.txt
Total IPFD's	4
Valid IPFD's	3
Rejected IPFD's	1

The user can rectify the errors in the upload file and again click the *Verify* button to view updated statistics about the valid and rejected Inter Participant Free Delivery transactions. This action may be repeated until there are no erroneous transactions in the upload file and the file processing screen shows the '*Upload*' button.

The '*Cancel*' button returns back to the main Inter Participant Free Delivery screen without performing any action.

Subsequent to successful verification of the upload file, the statistics of the file are displayed on the screen and the file is ready to be uploaded. To upload the file, the user is required to click the '*Upload*' button in the following screen. This sends all the data from the file to the server and user is returned to the Inter Participant Free Delivery screen.

If the user presses the *'Cancel'* button the operation is terminated and the system returns back to the Inter Participant Free Delivery screen without performing any action.

Remember that Inter Participant Free Delivery upload file will not be uploaded even if a single error is there. The user must ascertain completeness and accuracy of uploaded file before uploading Inter Participant Free Delivery transactions. This upload function has been designed to provide only automatic capturing of Inter Participant Free Delivery details and does not relieve the users of their responsibility to verify accuracy of posted Inter Participant Free Delivery transactions.

Each record element in an Inter Participant Free Delivery upload data file should be separated by a valid delimiter. An upload data file must be an ASCII text data file having following format and preferably *'txt'* extension:

- \* **Reason Code**            The reason code for the Inter Participant Free Delivery transaction. The Reason Code should be enclosed in double quotes.
- \* **From Account Number**    The account number from which the securities are being delivered.
- \* **To Participant ID**        The **Participant ID** to whom the securities are to be moved.
- \* **To Account**                The **Account Number** of the To Participant ID

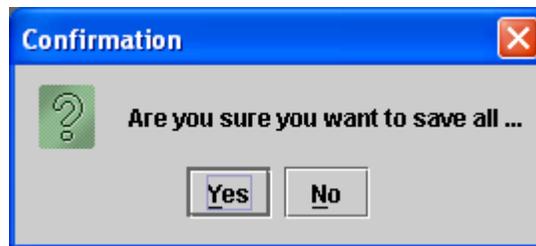
- Number** where the securities are to be moved.
- Note: For more details regarding the behaviour of To Account Number field, please refer to the behaviour matrix mentioned above.*
- \* **UIN Number** UIN Number of the To Account Number. The behaviour of the field is following:
- Case 1** – for example, if user has mentioned Reason Code such as Portfolio Transfer, Settlement second leg, etc then in this case UIN Number is not required and the user is only required to mentioned double quote.
- Case 2** – for example, if user has mentioned Reason Code such as Gift, Acquisition of Shares, etc then in this case user has to mentioned UIN number in double quote.
- Case 3** – for example, if user has mentioned Reason Code such as Off Market transaction, Unlisted Securities, etc then in this case user has to mentioned UIN number in double quote.
- \* **Security Symbol** The **Security Symbol** of the security being moved. The security symbol should be enclosed in double quotes, as follows:
- “SECURITYSYMBOL”**
- \* **Transaction Volume** The number of securities/units involved in the Inter Participant Free Delivery transaction.
- \* **Remarks** Any remarks considered necessary by the user. The remarks should be enclosed in double quotes.

Care should be taken that a valid delimiter is used to separate each element of the record otherwise data uploading might be effected. A sample Inter Participant Free Delivery upload file is as follows:

“P002”, “977”, "06666", 20, “”, "PSO", 100, "Remarks" (Sample format where UIN input is not required)

“P008”, “826”, "00612", 14, “12345-1234567-1”, "ENGRO", 200, "Remarks" (Sample format where UIN input is required)

If the Inter Participant Free Delivery data upload file is valid, detail records are uploaded to CDS temporary database on clicking the **‘Upload’** button. Once the Upload button is clicked, the following message is displayed:



If the **‘Yes’** button is clicked the system saves the Inter Participant Free Delivery data file and generates the following message:



Clicking the **‘No’** button takes the user back to the Inter Participant Free Delivery screen without saving the file.

After uploading the Inter Participant Free Delivery data file, the user may update, delete or post the transaction by selecting it from the scrolling table on the Save tab of the Inter Participant Free Delivery.

### 6.3.4.6 *Select All*

In order to enable the user to delete or post all saved Inter Participant Free Delivery transactions at the same time; the '*Select All*' option is available in the Inter Participant Free Delivery screen. Clicking the Select All button in the screen below, highlights all saved Inter Participant Free Delivery transactions.

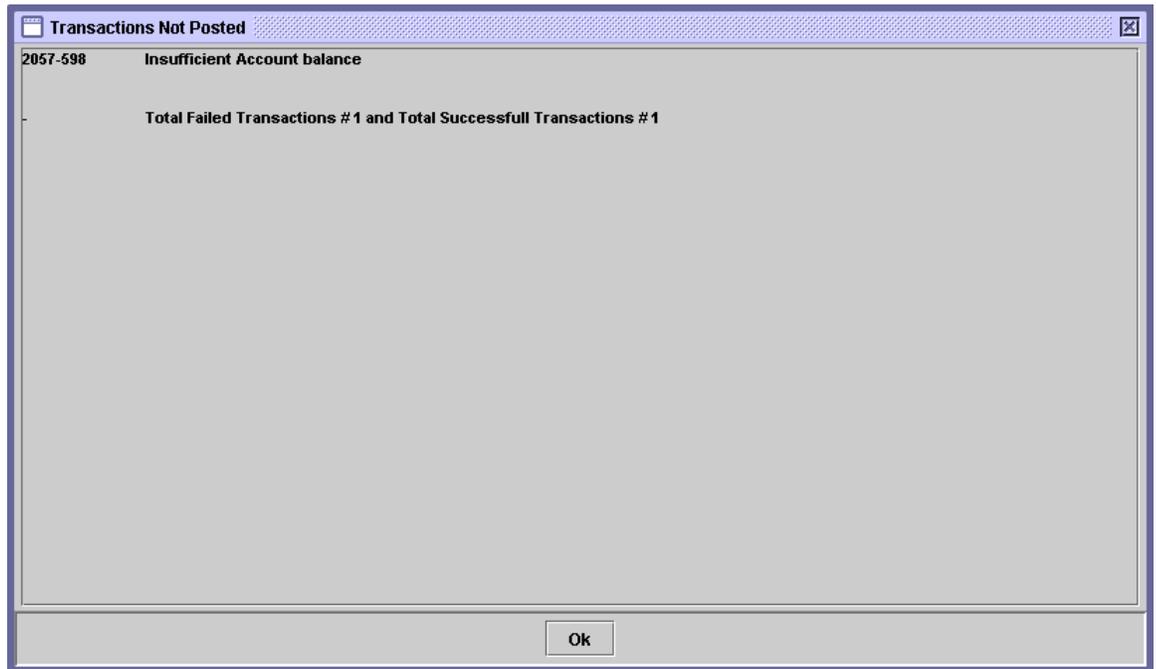
The screenshot displays the 'Inter Participant Free Delivery Query' screen. At the top, it shows 'Element Type: PARTICIPANT', 'Element Id: 03947', 'User Id: A0394701', 'System Date: 20/11/2004', and 'Last Accessed: 20/11/2004 10:54:27'. Below this is a search section with fields for 'Transaction ID', 'To Participant', and 'To Account', along with 'Search' and 'Refresh' buttons. The main area contains a table of transactions:

TRANSACTION ID	FROM PARTICIPANT	FROM ACCOUNT NO	TO PARTICIPANT	TO ACCOUNT NO	SECURITY SYMBOL	VOL
2004-56	03947	12	01909	18	NBP	1
2004-54	03947	12	00497	11	NBP	3
2004-53	03947	12	04416	15	NBP	2

At the bottom of the screen, there is a toolbar with buttons for 'Add', 'Update', 'Delete', 'Post', 'Select All', 'Print', 'File', and 'Cancel'. The 'Select All' button is highlighted.

These saved Inter Participant Free Delivery transactions can now be deleted or posted by clicking the '*Delete*' or '*Post*' button respectively.

In case some transactions are not posted due to errors, the following screen is displayed, showing the transaction ID and the reason for rejection:



The user may post the remaining transaction after rectifying the errors listed in the *'Transactions Not Posted'* screen shown above

### 6.3.4.7 Inter Participant Free Delivery Query

In order to retrieve the posted Inter Participant Free Delivery transactions, the user can do so by clicking on the Inter Participant Free Delivery Query tab in the Inter Participant Free Delivery screen. The following screen is displayed:

The screenshot displays the 'Inter Participant Free Delivery Query' window within the 'eCDS - Central Depository System'. The window title bar shows the system name and a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar at the top indicates 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/04/2054', and 'Last Accessed: 06/04/2054 15:28:45'. The main content area is titled 'Inter Participant Free Delivery Query' and contains a 'Record Selection' section. This section includes several input fields and radio buttons: 'Transaction Date (From)' and '(To)' both set to '19/04/2054'; 'Participant Id' set to '60608' with the text 'UMAR CAPITAL SECURITIES PVT LTD.' below it; an empty 'Account Number' field with a 'Browse' button; 'Contra Participant Id' with radio buttons for 'ALL' (selected) and 'Specific'; an empty 'Contra Account Number' field; 'Security Symbol' with radio buttons for 'ALL' (selected) and 'Specific'; and a 'Direction' dropdown menu set to 'INCOMING'. Below these fields are 'Refresh' and 'Cancel' buttons. At the bottom of the window is a table with the following columns: 'TRANSACTION ID', 'TRANSACTION DATE', 'CONTRA PARTICIPANT', 'CONTRA ACCOUNT NO', 'CONTRA ACCOUNT TITLE', and 'SEC'. The table is currently empty.

The “Participant ID” field is hard coded and can not be changed by the user. The user can provide a number of Record Selection criteria:

- \* **Transaction Date (From)**      The **Starting Date** of the range within which the retrieved transactions must lie.
- \* **Transaction Date (To)**      The **Ending Date** of the range within which the retrieved transactions must lie.
- \* **Account Number**      The account number from which the securities are being delivered. The ‘*Browse*’ button adjacent to the field provides the user with a lookup table of valid

account numbers, as shown below:

ACCOUNT CODE	ACCOUNT NO.	ACCOUNT TITLE
H	103	Account Title - 123 - Additional Account Title 345
	8726	AccountTitle - 1000
	8734	AccountTitle - 1001
	15473	AccountTitle - 1001
	8787	AccountTitle - 1002
	8783	AccountTitle - 1004
	15457	AccountTitle - 1004
	129	AccountTitle - 1005
	8791	AccountTitle - 1005
	15432	AccountTitle - 1005
IC	15440	AccountTitle - 1005asda
	8809	AccountTitle - 1006
	8817	AccountTitle - 1007
	8825	AccountTitle - 1008
	8833	AccountTitle - 1009
	8858	AccountTitle - 1011
	8806	AccountTitle - 1014

- \* **Contra Participant ID** User has an option to search for either ‘Specific’ Participant record or for ‘ALL’ Participant record. By default ‘ALL’ will be selected. On selection of ‘Specific’ radio button, the **‘Browse’** button and the input of Contra Participant ID field will be visible adjacent to the ‘Specific’ radio button. The Browse button provides the user with a lookup table of valid Participant IDs to help the user in case the user cannot remember the correct code. The user can also search records for All Participants by selecting ‘ALL’ radio button.
- \* **Contra Account Number** The **Account Number** of the contra Participant where securities are being moved.
- \* **Security Symbol** The **Security Symbol** of the security being moved. User has an option to search for either ‘Specific’ Security record or for ‘ALL’ Security record. By default ‘ALL’ will be selected. On selection of ‘Specific’ radio button, the **‘Browse’** button and the input of Security Symbol field will be visible adjacent to the ‘Specific’ radio button. The Browse button provides the user with a lookup table of valid Security Symbols to help the user in case the user cannot remember the correct Symbol. The user can also search records for All Securities by selecting

‘ALL’ radio button.

\* **Direction**

This field is a dropdown combo box. **Direction** refers to the path of securities movement. In order to query the securities coming into the Participant’s account, the user will select ‘**Incoming**’ from the combo box or in case the user wants to query the securities moving out of the Participant’s account, the user will select ‘**Outgoing**’.

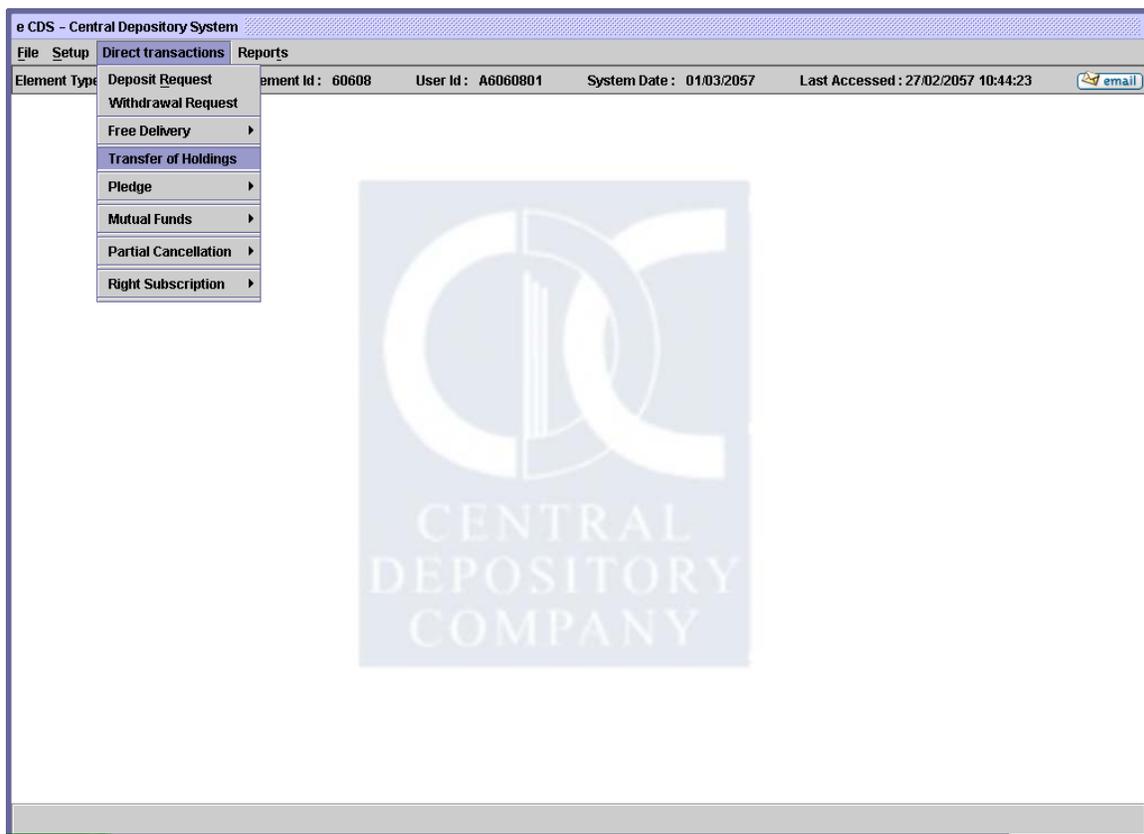
When the user clicks the ‘**Refresh**’ button after entering the required data, the records matching the criteria are displayed in the scrolling table. The fields contained in the table are *Transaction ID*, *Transaction Date*, *Contra Participant*, *Contra Account No*, *Contra Account Title*, *Security Symbol*, *Security Name*, *Volume*, *Reason Description* and *Remarks*.

## 6.4 TRANSFER OF HOLDINGS

The main purpose of Transfer of Holdings is to transfer the holdings from a participant's House or Sub Account to another participant's House or Sub Account in a single go. It avoids the three-step process for transferring the holdings from one participant to another i.e. i) Intra account movement from the Sub Account to Main Account under the participant, ii) FD Inter from Main account of participant to the Main Account of receiving participant, iii) Intra account movement from Main to Sub Account under the receiving participant.

The user has options of complete or partial selection of securities to be transferred, with partial or complete selection of their respective volumes.

The transfer of holdings is only applicable on the available balance. The participants are only allowed to transfer the holdings to an associated element account.



When the user clicks the Transfer of Holdings menu item in the screen above, the following screen is opened for the user:

The screenshot displays the 'e CDS - Central Depository System' window. The title bar shows the application name. Below it is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. A status bar provides details: 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/05/2057', and 'Last Accessed: 19/05/2057 16:08:52'. The main content area is titled 'Transfer of Holdings' and contains a 'Save' button. Under 'Record Selection', there are 'Search Options' with input fields for 'Transaction ID', 'From Participant ID' (pre-filled with '60608'), 'From Account No', 'To Participant ID', and 'To Account No'. 'Search' and 'Refresh' buttons are to the right. Below this is a table with the following headers: 'TRANSACTION ID', 'FROM PARTICIPANT ID', 'FROM ACCOUNT NO', 'TO PARTICIPANT ID', and 'TO ACCOUNT NO'. The table body is currently empty. At the bottom, a toolbar contains buttons for 'Add', 'Update', 'Delete', 'Post', 'Select All', and 'Cancel'.

The user may search for the required record using the Search Options. Entering the Transaction ID (or any other search field) in the field provided and clicking the 'Search' button displays the records matching the criterion in the scrollable table.

#### 6.4.1.1 Add Mode

If a user wants to *add* a new TOH transaction, the user will click the '*Add*' button on the TOH screen above. The following screen will be displayed:

From Participant ID is hard-coded by the ID of the logged-in participant and cannot be changed by the user. To Participant ID is hard-coded with the respective Associated Element at that time of the From Participant.

After entering the From Account No. and To Account No., securities can be added to the TOH transaction one by one by clicking the Add button, which opens the following screen:

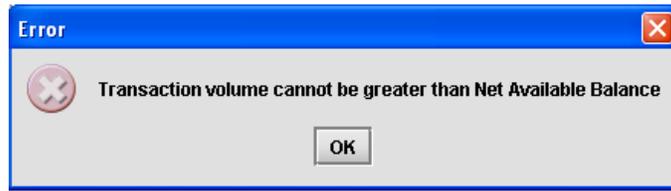
The data to be entered in this screen is as follows:

- \* **Security Symbol** The symbol of the security to be added to the TOH transaction. The 'Browse' button adjacent to the field provides the user with a lookup table of valid security symbols to help the user in case the user cannot

remember the correct symbol.

- \* **Transaction Volume**      The number of units of the security to be involved in the TOH transaction
- \* **Available Balance**      The balance of the selected security available in the account.
- \* **Reason Code Intra**      The reason code for the FD intra transaction in the TOH transaction. The *'Browse'* button adjacent to the field provides the user with a lookup table of valid reason codes to help the user in case the user cannot remember the correct code.
- \* **Remarks**      Any remarks considered necessary by the user.

If the transaction volume entered is greater than the available balance for the security, the following message is given to the user;



Pressing the Save button after entering the From Account No and To Account No will result in saving the record in the TOH definition screen, as shown below:



If the user instead wants to add all the securities present in the account (with the transaction volume equal to their available balances) in the TOH transaction, then the user can press the Add All button, which will open the following screen:



**Add All Securities**

Reason Code Inter: P999    Any other reason not mentioned herein

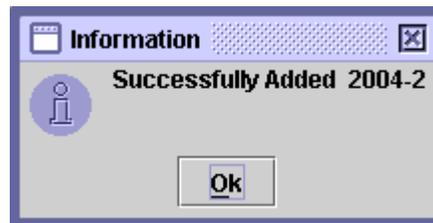
Reason Code Intra:     Browse

Remarks:

Save    Cancel

Entering the required data and pressing the Save button will result in saving all the securities in the account to the TOH definition screen.

After the user has entered the securities to the TOH transaction, pressing the Save button on the TOH definition screen above will result in saving the record for TOH transaction in the Save browser, and the following confirmation message is displayed:



Clicking the '**OK**' button will take the user back to the main TOH screen.

#### 6.4.1.2 Update Mode

In order to *update* a TOH transaction, the transaction can be selected from the scrolling table on the Save tab of the Transfer of Holding screen or the Search or Filter options can be used to find the required transaction. On clicking the '*Update*' button, the following screen is displayed:

**Transfer of Holdings Definition**

From Participant ID: 60608  UMAR CAPITAL SECURITIES PVT LTD.  
 From Account No: 517   
 To Participant ID: 50500  MU NORMAL PARTICIPANT FOR MERGER TESTING  
 To Account No: 511

**Transfer of Holdings Details**

SECURITY SYMBOL	TRANSACTION VOLUME	AVAILABLE BALANCE	REASON CODE INTRA	REMARKS
ASM	2,000	2,000	A01	test

From Participant ID, To Participant ID, From Account No, or To Account No cannot be updated for a TOH transaction. However, securities can be added/deleted/updated by clicking the respective button in the TOH definition screen shown above. Clicking the Update button after selecting a record will display the following screen:

**Add Security**

Security Symbol: ASM  AL-ABID SILK MILLS LIMITED  
 Transaction Volume: 2,000  
 Available Balance: 2000  
 Reason Code Intra: A01  FD INTRA REASON CODE A01  
 Remarks: test

The security symbol is disabled and cannot be updated by the user. After editing the data in the above screen the user can click the **'Save'** button to save or the **'Cancel'** button to abort the update. When the Cancel button is clicked the following message is displayed:



Clicking the '**Yes**' button will cancel the update operation and take the user back to the previous screen while clicking the '**No**' button will keep the system in the update mode. The update transaction can be saved as explained in the Add Mode described in the previous section.

#### 6.4.1.3 *Delete*

When the user clicks the '**Delete**' button on the Save tab of the TOH screen after selecting the record to be deleted, the following message is given:



Clicking the '**Yes**' button deletes the record from the saved mode whereas '**No**' exits without making any changes.

#### 6.4.1.4 *Select All*

A provision is provided to the User to either Post of Delete multiple transactions exist in the save browser at once. On pressing 'Select All' button following shall be the screen behaviour.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 19/05/2017 Last Accessed : 19/05/2017 16:08:52

Transfer of Holdings

Save

Record Selection

Search Options

Transaction ID  From Participant ID  From Account No  To Participant ID  To Account No  Search Refresh

TRANSACTION ID	FROM PARTICIPANT ID	FROM ACCOUNT NO	TO PARTICIPANT ID	TO ACCOUNT NO
2057-779	60608	517	50500	511

Add Update Delete Post Select All Cancel

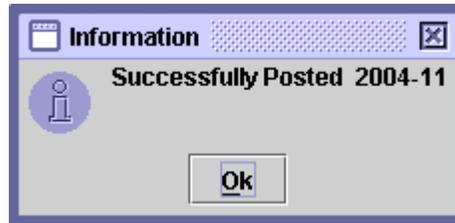
#### 6.4.1.5 Post Mode

In order to Post a TOH transaction the user needs to select the required transaction from the scrolling table on the Save tab of the Transfer of Holding screen. The user may also use the Search or Filter options to find the required transaction and then click the **'Post'** button.

On clicking the post button, the following message is generated:



If the user clicks the **'No'** button the operation will be aborted and the system will go back to the Transfer of Holding screen. Clicking the **'Yes'** button will generate the following message:



Clicking the **'OK'** button will take the user back to the main TOH screen.

## 6.5 PLACING SECURITIES UNDER PLEDGE

An account holder or a participant, acting either on his own behalf or on behalf of his client, can place securities under pledge to an eligible Pledgee. Placing securities under pledge results in the securities being flagged as no longer available for delivery until such time as they are released from pledge or transferred (called) on the instructions of the eligible Pledgee to the account of another account holder/participant.

Securities, which have been pledged, can be taken possession of (called) at any time by the eligible Pledgee. The Depository does not require the eligible Pledgee to establish that the borrower has defaulted or otherwise created a condition under the contract whereby the pledged securities can be called. Where a sub-account number has been mentioned on the Pledge Form (i.e. where the sub-account # field on the form is not blank), it is assumed that the sub-account holder is the Pledgor.

**Note: Securities lying in the Main Account of the Participant cannot be pledged.**

### 6.5.1 Pledge

The *pledge* transaction is used to place securities under pledge in the CDS. When the user clicks the '*Pledge Definition*' option in the 'Pledge' submenu under the main menu 'Direct Transactions', the following screen is displayed:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 01/03/2057 Last Accessed : 01/03/2057 15:07:01

Pledge Maintenance

Pledge

Record Selection

Pledge Details

Pledge Group ID 2057

Pledgee ID

Participant ID 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number Security Symbol Search Refresh

TRANSACTION ID	A/C NO	SECURITY SYMBOL	SECURITY NAME	AVAILABLE PLEDGE VOLUME
----------------	--------	-----------------	---------------	-------------------------

Add Update Select All Delete Post File Cancel

This screen allows the users to search all pledge transactions set up in the system. The Participant ID field is hard coded and cannot be changed by the user.

On the above screen, the user has to enter the **Pledge Group ID** in the field provided. Pledge Group ID is a unique identification of a pledge category. Entering the Pledge Group ID will return the **Pledgee ID** (unique identification of a Pledgee) and the add button is enabled in the adjacent field and the records falling under the specified Pledge Group ID for the logged in Participant in the scrolling table, as shown below:

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 19/05/2057 Last Accessed : 19/05/2057 17:11:10

Pledge Maintenance

Pledge

Record Selection

Pledge Details

Pledge Group ID 2012 8 12

Pledge ID 44770 INTERNATIONAL PVT. BANK-HYDER

Participant ID 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number Security Symbol Search Refresh

TRANSACTION ID	A/C NO	SECURITY SYMBOL	SECURITY NAME	AVAILABLE PLEDGE VOLUME
2057-4430	517	ASM	AL-ABID SILK MILLS LIMITED	
2057-4429	20	BUXL	BUXLY PAINTS LIMITED	

Add Update Select All Delete Post File Cancel

If the user enters the *Account Number* and/or *Security Symbol* corresponding to the pledged securities and clicks the '*Search*' button, the system will return the records matching the specified criteria. In order to clear the data in the Account Number and Security Symbol fields, the user will need to click the '*Refresh*' button.

This screen can be used for setting up a new pledge, editing or deleting a previously set up pledge which has not yet been posted.

#### 6.5.1.1 Add Mode

To add a new Pledge the user clicks on the '*Add*' button on the Pledge Maintenance screen shown above after entering the respective Pledge Group ID. This opens up the following screen:

The Pledge Group ID is automatically picked up from the Pledge Maintenance screen and the Participant ID is hard coded.

Clicking the *'Cancel'* button generates the following message:



Clicking the *'Yes'* button closes the Pledge Definition screen without updating the pledge transaction while clicking the *'No'* button keeps the user on the Pledge Definition screen.

The data to be entered in the above screen is as follows:

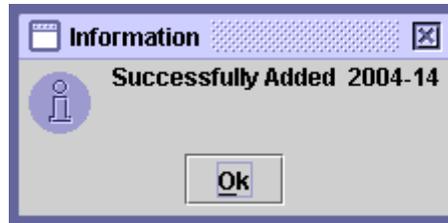
- \* **Account Number**                      The Pledgor's Account Number is required here. The *'Browse'* button next to the field gives the user access to a lookup table containing valid Account Numbers, which used to select the correct Account Number. As soon as the user presses the 'Tab' button after entering a valid Account Number or otherwise double clicking it in the look-up table, the system shows the corresponding

title of the account by the side of the Account Number field.

As already mentioned, pledge is not allowed from the 'Main Account.'

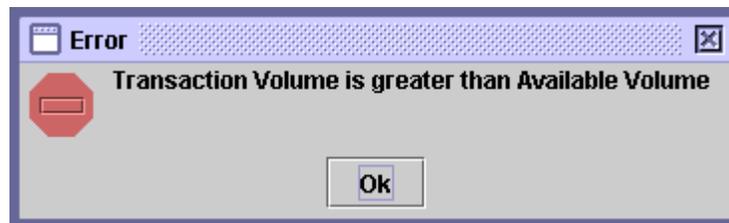
- \* **To Secure the Obligation of** The ID of the Participant on behalf of which the logged in Participant pledges the security for exposure. The '**Browse**' button next to the field gives the user access to a lookup table containing valid Participant IDs, which used to select the correct Participant ID. As soon as the user presses the 'Tab' button after entering a valid Participant ID or otherwise double clicking it in the look-up table, the system shows the corresponding title of the participant adjacent to the browse button.
- \* **Security Symbol** The symbol for the security being placed under pledge. The '**Browse**' button next to the field gives the user access to a lookup table containing valid Security symbols, which the user can use to select the correct symbol. As soon as the user presses the 'Tab' button after entering a valid security symbol or otherwise double clicking it in the look-up table, the system shows the available balance by the side of the Security symbol field.
- \* **Balance** This combo box provides an option, '**Available**' and which is hard coded. The corresponding balances are shown on the screen.
- \* **Volume** The number of securities/units of the security which are to be placed under pledge
- \* **Remarks** Such remarks, as the user considers necessary.

When the '**Save**' button is clicked after entering the above data, the details are added to the scrolling table on the Pledge Maintenance screen and the following information message is displayed:



Clicking the '**Ok**' button takes the user back to the Pledge Maintenance screen with the saved pledge transaction shown in the scrolling table.

Note that the Transaction Volume for the pledge should not be greater than the Available Volume in that account. If the available Volume is insufficient for the pledge transaction, the system generates the following message:



### 6.5.1.2 *Update Mode*

All saved pledge transactions can be updated in this mode. When the user enters a valid Pledge Group ID in the relevant field on the Pledge Maintenance screen, the table below displays the securities which are pledged under that group. To update a pledge record, the cursor should be placed on the record and the '**Update**' button clicked. This opens up the Pledge Definition screen, as shown below:

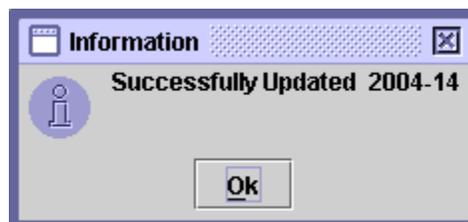
Pledge Group ID	2012	8	12
Participant ID	60608	Browse	UMAR CAPITAL SECURITIES PVT LTD.
Account Number	20	Browse	MUHAMMAD UMAR
To Secure The Obligation Of	50500	Browse	MU NORMAL PARTICIPANT FOR MERGER TESTING
Security Symbol	BUXL	Browse	BUXLY PAINTS LIMITED
Balance	Available	Available Volume	1000
Volume	100		
Remarks			

Clicking the **'Cancel'** button generates the following message:

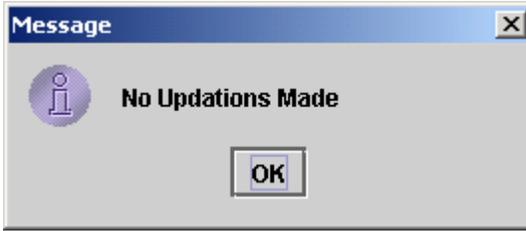


Clicking the **'Yes'** button closes the Pledge Definition screen without updating the pledge transaction while clicking the **'No'** button keeps the user on the Pledge Definition screen.

After updating the pledge transaction, the user can click the **'Ok'** button to save changes. This displays the following message:



If the **'Ok'** button is clicked without making any change to the pledge transaction, the system generates the following message:



After making the necessary changes, clicking the ***Ok*** button returns the edited record back to the scrolling table in the Pledge Maintenance screen above.

### 6.5.1.3 *Delete*

In order to *delete* a saved pledge transaction, the user may select that transaction from the scrolling table in the Pledge Maintenance screen after entering the corresponding Pledge Group ID and then click the ***Delete*** button. This displays the following message:



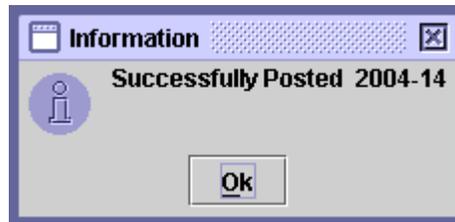
Clicking the ***Yes*** button deletes the saved pledge transaction and it is no longer visible in the scrolling table in the Pledge Maintenance screen. Clicking the ***No*** button does not delete the pledge transaction and keeps the user on the Pledge Definition screen.

#### 6.5.1.4 Post

In order to post the saved pledge transaction(s), the user may select that transaction from the scrolling table in the Pledge Maintenance screen after entering the corresponding Pledge Group ID and then click the **'Post'** button. This displays the following message:



Clicking the **'No'** button will exit to the Pledge Maintenance screen without posting the transaction. Clicking the **'Yes'** button will post the selected pledge transaction and display the following confirmation message:



Clicking the **'OK'** button above returns the user to a blank Pledge Maintenance screen with the un-posted records displayed.

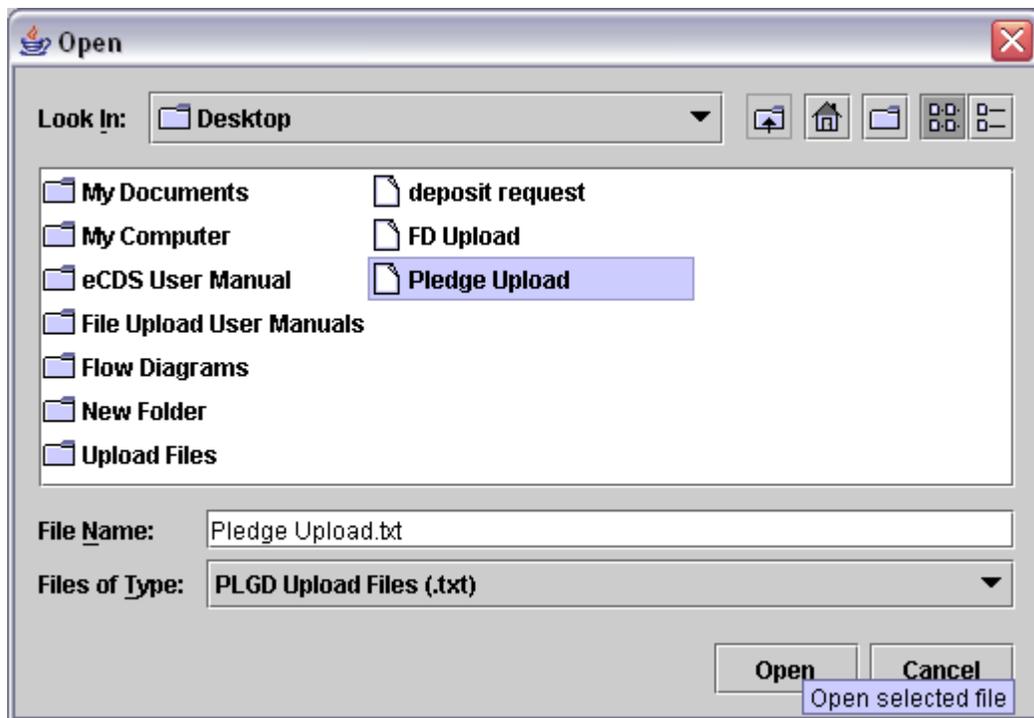
#### 6.5.1.5 File Mode

CDS participants with automated back-office require a data file upload feature to allow them to upload multiple pledge transactions through data files either downloaded from their automated back-office or captured offline using a spreadsheet package.

This function allows the authorised users to specify an ASCII file for upload with fields separated by a delimiter like comma, semicolon, colon or tab/space(s). Only files with all valid records will be uploaded and displayed.

Since this option is associated with the Add operation in Pledge transaction, any user unauthorised to use Add operation will not be able to perform this operation also. The new '**File**' button will be inactive unless the user has been authorised for the upload operation by CDS Administrator and the operation is neither blocked nor out of the allowed time period.

To set up a new Pledge transaction through data file upload, the user clicks the **File** button in the Save tab of the Inter Participant Free Delivery screen. The following screen is displayed when the **File** button is clicked:



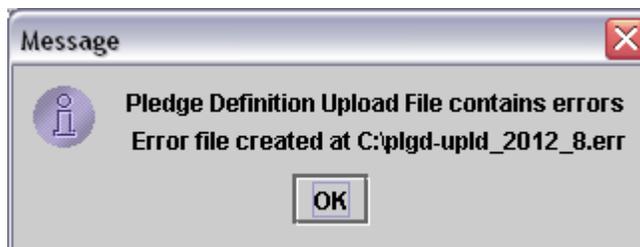
A user may either directly type the file name with absolute path or may browse the available local as well as network drives and the folder to search the data file to be uploaded.

After selecting the Pledge upload data file the user should click the '**Open**' button to start the upload process or '**Cancel**' to return to the previous screen.

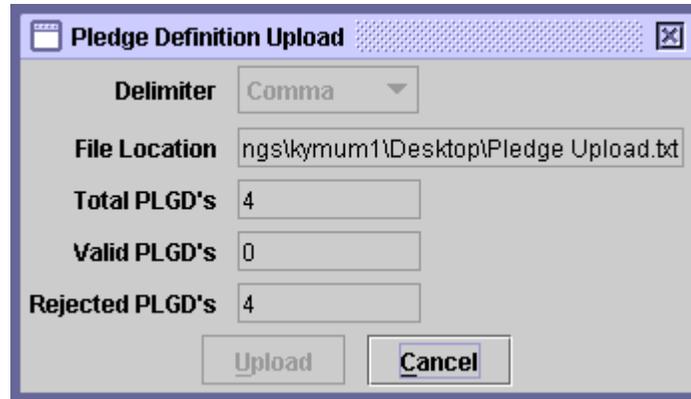
If the user chooses the '**Open**' button in the file selection screen, the following screen is displayed:



The user can decide the delimiter of Pledge upload file by selecting the appropriate option from the combo box provided. When user is done with the selection of delimiter then the user can press '**Verify**' button to check for any possible errors in the upload file. If errors exist in the records, the upload file is rejected and the error file is created at the login user's local drive and the user is intimated through the following message mentioning the location where error file created:



On clicking Ok button of the error message, complete statistics of the record uploaded and rejected shown by the system as follows:



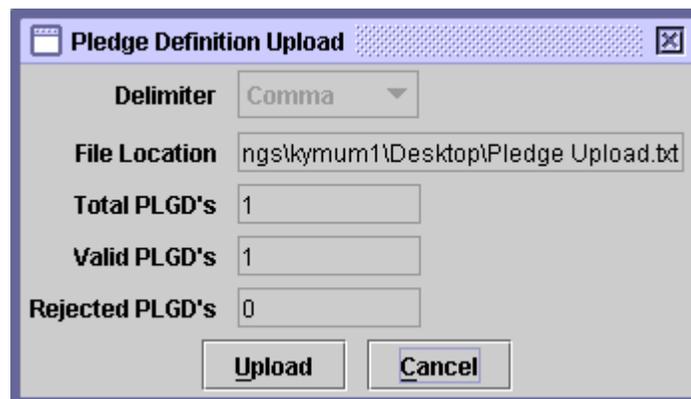
Delimiter	Comma
File Location	ngs\kymum1\Desktop\Pledge Upload.txt
Total PLGD's	4
Valid PLGD's	0
Rejected PLGD's	4

Upload Cancel

The user can rectify the errors in the upload file and again click the *'Verify'* button to view updated statistics about the valid and rejected Pledge transactions. This action may be repeated until there are no erroneous transactions in the upload file and the file processing screen shows the *'Upload'* button.

The *'Cancel'* button returns back to the main Pledge screen without performing any action.

Subsequent to successful verification of the upload file, the statistics of the file are displayed on the screen and the file is ready to be uploaded. To upload the file, the user is required to click the *'Upload'* button in the following screen. This sends all the data from the file to the server and user is returned to the Pledge screen.



Delimiter	Comma
File Location	ngs\kymum1\Desktop\Pledge Upload.txt
Total PLGD's	1
Valid PLGD's	1
Rejected PLGD's	0

Upload Cancel

If the user presses the *'Cancel'* button the operation is terminated and the system returns back to the Pledge screen without performing any action.

The user must ascertain completeness and accuracy of uploaded file before saving of uploaded Pledge transactions. This upload function has been designed to provide only automatic capturing of Pledge details and does not relieve the users of their responsibility to verify accuracy of posted Pledge transactions.

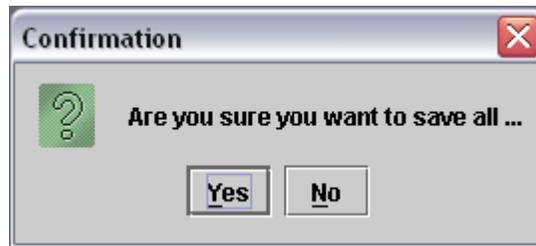
Each record element in an Pledge upload data file should be separated by a valid delimiter. An upload data file must be an ASCII text data file having following format and preferably *.txt* extension:

- \* **Serial No**                      The **Serial No** represents the sequence of the transaction.
- \* **Account Number**            The **Account Number** from which the securities are being pledged.
- \* **Security Symbol**            The **Security Symbol** of the security being pledged. The security symbol should be enclosed in double quotes, as follows:  
   “SECURITYSYMBOL”
- \* **Transaction Volume**            The number of securities/units involved in the Pledge transaction.
- \* **Remarks**                      Any remarks considered necessary by the user. The remarks should be enclosed in double quotes.
- \* **To Secure the Obligation of**      The **Participant ID** of the Participant of which the obligation is being secured. The Participant ID should be enclosed in double quotes.

Care should be taken that a valid delimiter is used to separate each element of the record otherwise data uploading might be effected. A sample Pledge upload file is as follows:

```
1, 517, "ABP", 100, "Remarks", "50500"
2, 560, "ABP", 100, "Remarks", "50500"
3, 860, "ABP", 100, "Remarks", "50500"
```

If the Pledge data upload file is valid, detail records are uploaded to CDS temporary database on clicking the **'Upload'** button. Once the Upload button is clicked, the following message is displayed:



If the **'Yes'** button is clicked the system saves the Pledge data file and generates the following message:



Clicking the **'No'** button takes the user back to the Pledge screen without saving the file.

After uploading the Pledge data file, the user may update, delete or post the transaction by selecting it from the scrolling table on the Save tab of the Pledge.

### 6.5.1.6 *Select All*

In order to enable the user to delete or post all saved Pledge transactions at the same time; the **'Select All'** option is available in the Pledge Maintenance screen. Clicking the Select All button in the screen below, highlights all saved Pledge transactions which can now be deleted or posted by clicking the **'Delete'** or **'Post'** button respectively.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 19/05/2057 Last Accessed: 19/05/2057 15:26:01

Pledge Maintenance

Pledge

Record Selection

Pledge Details

Pledge Group ID 2012 8 12

Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER

Participant ID 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number Security Symbol Search Refresh

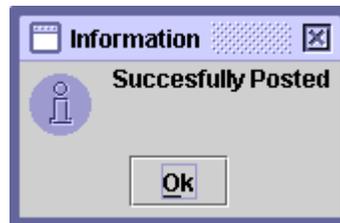
TRANSACTION ID	A/C NO	SECURITY SYMBOL	SECURITY NAME	AVAILABLE PLEDGE VOLUME
2057-4430	517	ASM	AL-ABID SILK MILLS LIMITED	
2057-4429	20	BUXL	BUXLY PAINTS LIMITED	

Add Update Select All Delete Post File Cancel

If the Post button is clicked, the system displays the following message:



By clicking the **'No'** button user exits to the Pledge Maintenance screen without posting the selected transactions. Clicking the **'Yes'** button posts the transactions and generates the following confirmation message:



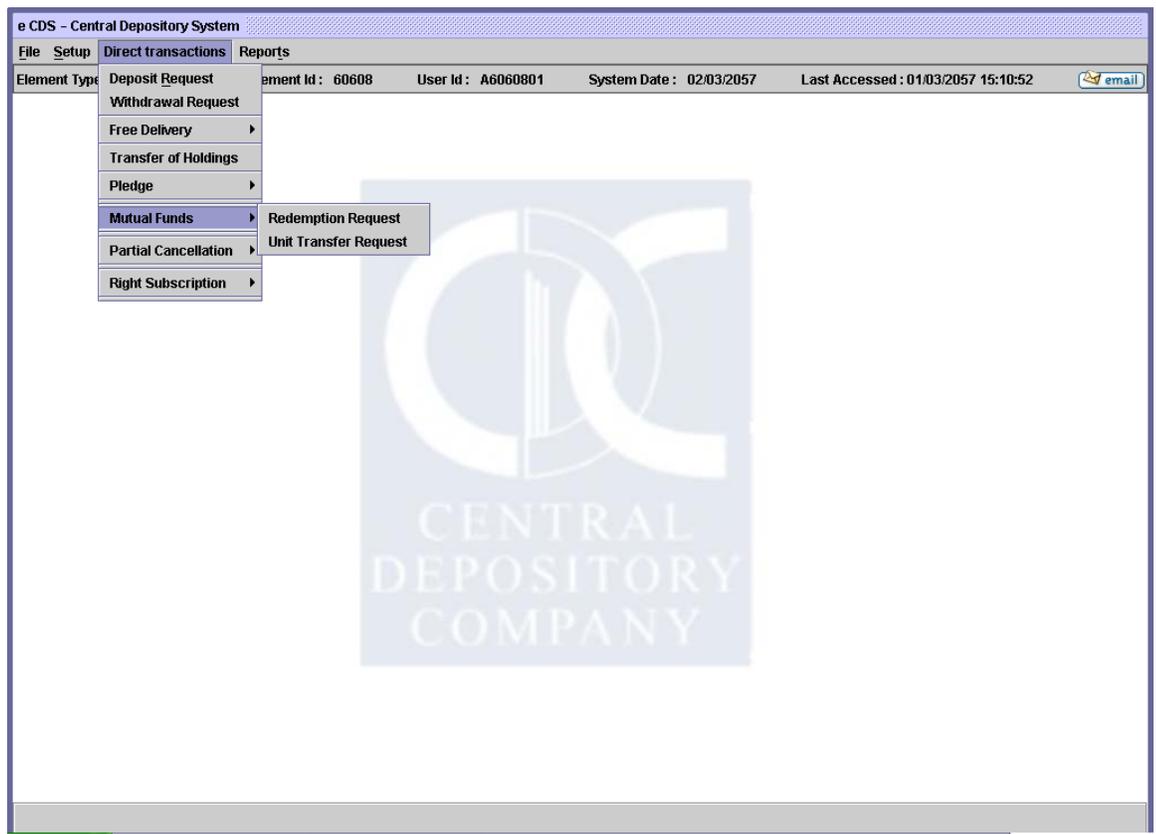
Clicking the **'Ok'** button returns to a Pledge Maintenance screen with no records displayed in the scrolling table.

Similarly the **'Delete'** button can be used to delete all pledge transactions after selecting them by clicking the **'Select All'** button on the Pledge Maintenance screen. This function operates as explained in the Delete section above.

## 6.6 DIRECT TRANSACTIONS RELATED TO UNITS OF MUTUAL FUNDS

The transactions that Participants can carry out in the system with respect to the units of open-ended mutual fund are redemption request and transfer request.

As the user clicks or otherwise selects the option “Direct Transactions” on the Main Menu, the user is presented with a pull-down menu containing the following options:



The following paragraphs in this chapter of the manual contain detailed explanations for each of the above menu options.

### 6.6.1 Redemption Request

The Participant upon receipt of the redemption form shall set up the redemption request in the system.

In order to view, save, post, update or delete redemption requests in the system, the Participant user will need to open the Redemption Request screen from the Direct Transaction menu shown above. The Redemption Request screen is shown below:

TRANSACTION ID	ACCOUNT CODE	ACCOUNT NUMBER	SECURITY SYMBOL	VOLUME	REMARKS	STATUS
2057-32	C	517	OEF	100		To Be Added

In the above screen, using the Search Options the user can find an existing saved redemption request in the scrolling table. Transaction ID, Account Number and/or Security Symbol can be entered as criteria for the search operation.

Clicking the *Search* button after entering the search criteria will return the records matching the provided data in the scrolling table below. Clicking the *Refresh* button will clear the data in the search field.

### 6.6.1.1 Add Mode

To set up a new Redemption Request transaction, the user clicks on the 'Add' button in the redemption Request screen shown above. The following screen is displayed when the 'Add' button is pressed:



The screenshot shows a window titled "Redemption Request" with a close button in the top right corner. The form contains the following fields and controls:

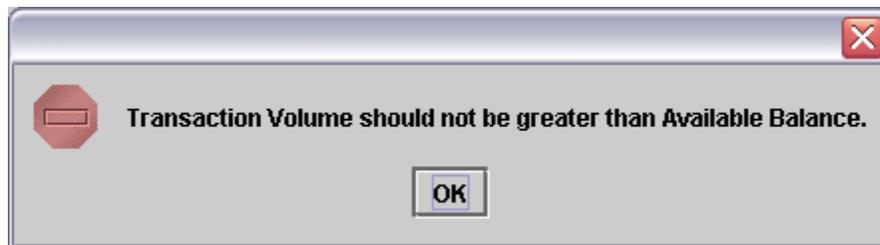
- Participant ID:** A text box containing "60608" and a label "UMAR CAPITAL SECURITIES PVT LTD." to its right.
- Account Number:** A text box with a "Browse" button to its right.
- Security Symbol:** A text box with a "Browse" button to its right.
- Volume:** A text box.
- Available Balance 0:** A text box.
- Remarks:** A large text area.
- Buttons:** "Save" and "Cancel" buttons are located at the bottom right of the form.

The Participant ID in the above screen is hard coded and can not be changed. The following data needs to be entered.

- \* **Account Number** The identification number of the account. In this field, the user has to enter the account number in which the units to be redeemed are present. If the user does not remember the Account Number related to the Redemption Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Account Numbers. The required record can then be selected by double-clicking it on the lookup table.
  
- \* **Security Symbol** The desired Security Symbol. If the user does not remember the Security Symbol related to the Redemption Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Open-end Security Symbols. The required symbol can then be selected by double-clicking it on the lookup table.

- \* **Volume**      The volume of units that are to be redeemed.
  
- \* **Remarks**    Any appropriate remarks related to the unit redemption request being added.

As the user enters the Account Number and the Security Symbol, the system displays the available volume of that security in the provided account. If the available balance of units in the account is insufficient, the system displays the following message:

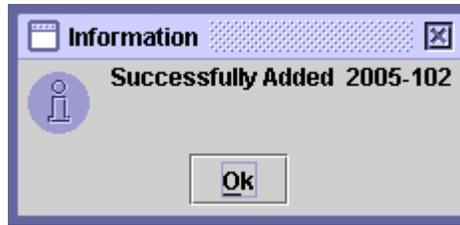


If the user clicks the *Cancel* button on the Redemption Request screen, the system displays the following message:



Clicking the *Yes* button closes the Redemption Request screen without saving the transaction while clicking the *No* button closes the above message screen.

As the user clicks the *Save* button after entering the above data, the system saves the redemption request and generates the following message, containing the Transaction ID.



The saved redemption request transactions are shown in the scrolling table on the Redemption request screen with “To Be Added” in the Status column as shown below:

 A screenshot of the "eCDS - Central Depository System" interface. The window title is "eCDS - Central Depository System". The menu bar includes "File", "Setup", "Direct transactions", and "Reports". The status bar at the top shows "Element Type : PARTICIPANT", "Element Id : 60608", "User Id : A6060801", "System Date : 19/05/2017", and "Last Accessed : 19/05/2017 15:26:01". The main window title is "Redemption Request". Below the title are "Save" and "Post" buttons. A "Record Selection" section contains "Search Options" with input fields for "Transaction ID", "Account Number", and "Security Symbol", along with "Search" and "Refresh" buttons. A table displays transaction data:
 

TRANSACTION ID	ACCOUNT CODE	ACCOUNT NUMBER	SECURITY SYMBOL	VOLUME	REMARKS	STATUS
2057-32	C	517	OEF	100		To Be Added

 At the bottom of the window are buttons for "Add", "Update", "Delete", "Post", and "Cancel".

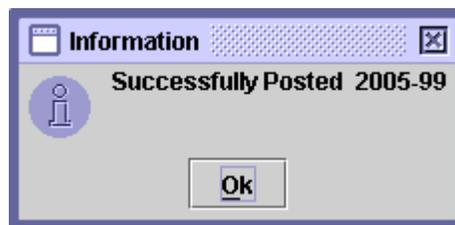
Subsequent to saving the Redemption Request transaction, the user needs to ‘*Post*’ the same. The Post button is located on the Save tab of the above Redemption Request screen. To post a particular record, the user has to select that record from the scrolling table and then click the Post button. If the Post button is clicked without selecting any record from the table, the following message is displayed:



When the user clicks the **'Post'** button the system displays the following confirmation message:



Clicking on the **'Yes'** button posts the record; clicking **'No'** takes the system back to the previous display without posting the record. After the transaction has been successfully posted the following screen is displayed:



When the user clicks the **'OK'** button on the above message screen, the redemption request posted is transferred from the scrolling table in the Save tab of the Redemption Request screen to the scrolling table in the Post tab of the same screen.

### 6.6.1.2 Update Mode

In order to update a saved Redemption Request, the user can select the required Redemption Request transaction from the scrolling table in the Redemption Request screen shown below:

Redemption Request

Transaction ID  Account Number  Security Symbol  Search Refresh

TRANSACTION ID	ACCOUNT CODE	ACCOUNT NUMBER	SECURITY SYMBOL	VOLUME	REMARKS	STATUS
2057-32	C	517	OEF	100		To Be Added

Add Update Delete Post Cancel

The user can select the record to be updated from the scrolling table on the Redemption Request screen or use the Search Options to display the required Redemption Request transaction in the scrolling table.

As soon as the *Search* button is clicked after entering a valid Transaction ID, Account Number and/or Security Symbol in the respective textboxes, records matching the criteria are displayed in the scrolling table.

Note that a Redemption Request, which has been posted, cannot be called up in the *Update* mode. After selecting the Redemption Request transaction to be

updated, the user needs to click the *Update* button, which opens up the following screen:



The screenshot shows a window titled "Redemption Request" with the following fields and values:

Transaction ID	2057	32
Participant ID	60608	UMAR CAPITAL SECURITIES PVT LTD.
Account Number	517	Browse Muhammad muzzamil
Security Symbol	OEF	Browse OPEN ENDED FUND SECURITY
Volume	100	
Available Balance	1000	
Remarks		

At the bottom of the window are "Save" and "Cancel" buttons.

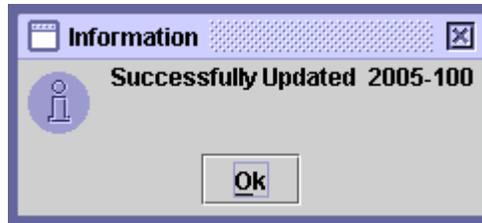
This screen is the same as the screen for the *Add* mode. The user may update/change the data in Account Number, Security Symbol, Volume and/or Remarks fields, as required.

Changes made in the Update mode can be saved by clicking the *Save* button or discard by *Cancel* button. If the Cancel button is clicked the system displays the following confirmation message:



Clicking the *Yes* button closes the Redemption Request screen without updating the transaction whereas clicking the *No* button closes the above message screen.

On clicking the *Save* button on the Redemption Request screen in the update mode, the system shows the following information message:



Note that a new Transaction ID will not be generated in this case when the **'Save'** button is clicked. The redemption request will be saved under the originally allocated Transaction ID.

### 6.6.1.3 Delete

In order to delete a Redemption Request transaction, which has not yet been posted, the user selects the record to be deleted by using the Search Options or by directly clicking the record as explained above and then clicks the **'Delete'** button. This causes the screen below to be displayed:



By clicking the **'No'** button user exits without making any changes. Clicking the **'Yes'** button deletes the transaction and the following information message is displayed:



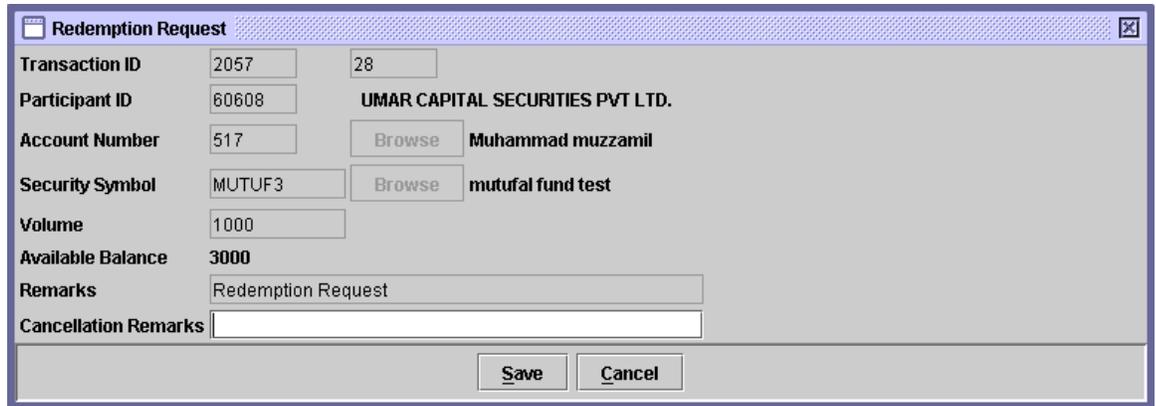
When the **'OK'** button is clicked the system reverts back to the 'Redemption Request' screen.

## 6.6.2 Redemption Request Cancellation

This transaction is used to reverse a Redemption Request previously set up and posted in the CDS, before it has been approved, or retrieved and updated, by the relevant R/TA. The Redemption Request Cancellation transaction can only be performed by the Participant who originally set up the redemption request, now being cancelled.

The screenshot displays the 'Redemption Request' screen in the eCDS system. The interface includes a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 02/03/2057', and 'Last Accessed: 01/03/2057 15:10:52'. The main window has a title bar 'Redemption Request' and buttons for 'Save' and 'Post'. Below these is a 'Record Selection' section with search options for 'Transaction ID', 'Account Number', 'Security Symbol', and 'Transaction Date' (set to 02/03/2057). A table with columns: TRANSACTION ID, ACCOUNT CODE, ACCOUNT NUMBER, SECURITY SYMBOL, VOLUME, REMARKS, and STATUS is present. At the bottom are 'Cancel Transaction' and 'Cancel' buttons.

In order to cancel a redemption request transaction, the user needs to open the Post tab of the Redemption Request screen and select the transaction to be cancelled from the scrolling table. Clicking the **'Cancel Transaction'** button after selecting the required record displays the following screen.

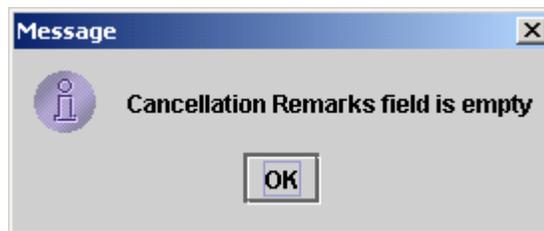


The screenshot shows a 'Redemption Request' window with the following fields and values:

Transaction ID	2057	28
Participant ID	60608	UMAR CAPITAL SECURITIES PVT LTD.
Account Number	517	Browse Muhammad muzzamil
Security Symbol	MUTUF3	Browse mutufal fund test
Volume	1000	
Available Balance	3000	
Remarks	Redemption Request	
Cancellation Remarks		

Buttons: Save, Cancel

The user has to enter appropriate Cancellation Remarks in the space provided on the above screen. If no remarks are entered, the following message is displayed reminding the user that Cancellation Remarks must be entered:



Clicking on the '*Cancel*' button on the Redemption Request Cancellation screen will cause the system to display the following message:



Clicking the Yes button will return the user to the Post tab of the Redemption Request screen without cancelling the redemption request while clicking the No button will close the above message screen.

After entering appropriate cancellation remarks, the user can click the **'Save'** button to save the Redemption Request Cancellation transaction which displays the following message:



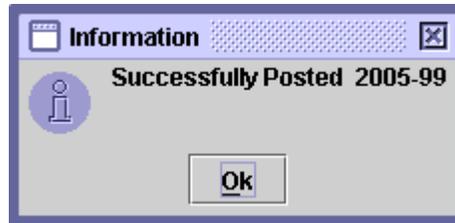
When the **'Save'** button is clicked the redemption cancellation transaction appears in the Save tab of the Redemption Request screen with the status "To be Cancelled."

Clicking the **'OK'** button on the above message screen returns the user to the Redemption Request Cancellation screen.

In order to remove the Redemption Request from the Post tab, the user needs to post the Redemption Request Cancellation transaction in the Save tab of the Withdrawal Request screen by clicking the **'Post'** button after selecting the relevant transaction from the scrolling table. On clicking the **'Post'** button, the following message will be displayed:



Clicking the **'No'** button exits without posting the transaction while clicking the **'Yes'** button posts the transaction and generates the following confirmation message:



When this transaction is posted by clicking the 'Post' button in the Redemption Request screen, the pending redemption request is removed from the system.

The Redemption Request however is not accessible to the user for cancellation once the relevant R/TA has opened and updated it.

Units Redemption Cancellation transaction can be updated or deleted by clicking the relevant button on the Save tab of the Redemption request screen similar to a Redemption Request, explained above.

### 6.6.3 Units Transfer Request

The Participant upon instruction from the sub-account holder can setup a *Unit Transfer Request* in the system in order to transfer the holding of units from one account to another, either under the umbrella of the same Participant or under that of another Participant.

In order to view, save, post, update or delete unit transfer requests in the system, the Participant user will need to open the Unit Transfer Request screen from the Direct Transaction menu shown above. The Unit Transfer Request screen is shown below:

The screenshot shows the 'Unit Transfer Request' screen in the e CDS system. At the top, there is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. Below the menu bar, the status bar displays 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/05/2057', and 'Last Accessed: 19/05/2057 15:26:01'. The main area is titled 'Unit Transfer Request' and contains a 'Save' button. Below this is a 'Record Selection' section with 'Search Options' including input fields for 'Transaction ID', 'To Participant ID', and 'Security Symbol', along with 'Search' and 'Refresh' buttons. A table below the search options displays the following data:

TRANSACTION ID	FROM ACCOUNT NO	TO PARTICIPANT	TO ACCOUNT NO	SECURITY SYMBOL	VOLUME
2054-62	517	50500	511	OEF	100 Transfer Request I109

At the bottom of the screen, there are buttons for 'Add', 'Update', 'Delete', 'Post', and 'Cancel'.

In the above screen, using the Search Options the user can find an existing saved unit transfer request in the scrolling table. Transaction ID, To Participant ID and/or Security Symbol can be entered as criteria for the search operation.

Clicking the *Search* button after entering the search criteria will return the records matching the provided data in the scrolling table below. Clicking the *Refresh* button will clear the data in the search field.

### 6.6.3.1 *Add Mode*

To set up a new Unit Transfer Request transaction, the user clicks on the 'Add' button in the Unit Transfer Request screen shown above. The following screen is displayed when the 'Add' button is pressed:

**Unit Transfer Request**

From Participant ID 60608 UMAR CAPITAL SECURITIES PVT LTD.

From Account Number  Browse

To Participant ID  Browse

To Account Number

Security Symbol  Browse

Transaction Volume

Available Balance 0

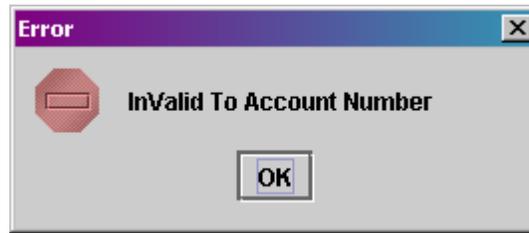
Reason Code  Browse

Remarks

Save Cancel

The From Participant ID in the above screen is hard coded and can not be changed. It reflects the Participant whose user is currently logged into the system. The following data needs to be entered in the above screen.

- \* **From Account Number** The identification number of the account from which the units are to be transferred. If the user does not remember the Account Number related to the Unit Transfer Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Account Numbers. The required record can then be selected by double-clicking it on the lookup table.
- \* **To Participant ID** The Participant ID indicating the Participant to whom the units are to be transferred. If the user does not remember the ID related to the Unit Transfer Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Participant IDs. The required record can then be selected by double-clicking it on the lookup table.
- \* **To Account Number** The Account Number indicating the Account to which the units are to be transferred. If the user enters an invalid account number the system intimates the user with the following message:



- \* **UIN** The UIN number of the To Account Number. On entering valid To Account Number, system will enable UIN number field beneath the To Account Number field, as shown below, and the user is required to enter valid UIN number. On entering valid UIN number, the Account Title of the To Account Number will be displayed.

<b>To Account Number</b>	511
<b>UIN</b>	<input type="text"/>

- \* **Security Symbol** The Security Symbol reflecting the security to be transferred. If the user does not remember the Security Symbol related to the Unit Transfer Request being added, the user can click on the '**Browse**' button to display a lookup table of valid Security Symbols. The required symbol can then be selected by double-clicking it on the lookup table.
- \* **Transaction Volume** The volume of units that are to be transferred.
- \* **Reason Code** The reason code for the transaction. The '**Browse**' button adjacent to the field provides the user with a lookup table of valid reason codes to help the user in case the user cannot remember the correct code.
- \* **Remarks** Any appropriate remarks related to the unit transfer request being added.

As the user enters the Account Number and the Security Symbol, the system displays the Available Balance of that security in the specified account.

If the user clicks the *Cancel* button on the Unit Transfer Request screen, the system displays the following message:

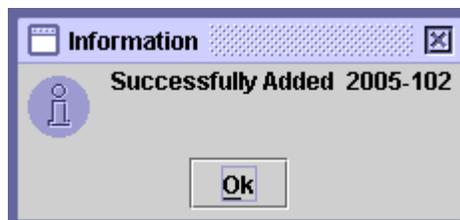


Clicking the *Yes* button closes the Unit Transfer Request screen without saving the transaction while clicking the *No* button closes the above message screen.

If the transaction volume is greater than available volume at time of saving of unit transfer request the system displays the following message:



As the user clicks the *Save* button after entering the above data, the system saves the unit transfer request and generates the following message, containing the Transaction ID.



The saved unit transfer request transactions are displayed in the scrolling table on the Unit Transfer Request screen as shown below:

eCDS - Central Depository System  
 File Setup Direct transactions Reports  
 Element Type: PARTICIPANT Element Id: 60608 User Id: A6060801 System Date: 19/05/2057 Last Accessed: 19/05/2057 15:26:01

Unit Transfer Request

Save

Record Selection

Search Options

Transaction ID  To Participant ID  Security Symbol  Search Refresh

TRANSACTION ID	FROM ACCOUNT NO	TO PARTICIPANT	TO ACCOUNT NO	SECURITY SYMBOL	VOLUME
2054-62	517	50500	511	OEF	100 Transfer Request 1109

Add Update Delete Post Cancel

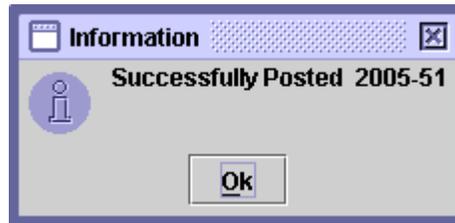
Subsequent to saving the Unit transfer Request transaction, the user needs to '**Post**' the same. The Post button is located at the bottom of the above Unit transfer Request screen. To post a particular record, the user has to select that record from the scrolling table and then click the Post button. If the Post button is clicked without selecting any record from the table, the following message is displayed:



When the user clicks the **'Post'** button the system displays the following confirmation message:



Clicking on the **'Yes'** button posts the record; clicking **'No'** takes the system back to the previous display without posting the record. After the transaction has been successfully posted the following screen is displayed:



When the user clicks the **'OK'** button on the above message screen, the unit transfer request posted is removed from the scrolling table in the Unit transfer Request screen indicating that the units have been successfully transferred to the destination account.

### 6.6.3.2 Update Mode

In order to update a saved Unit Transfer Request, the user can select the required Unit Transfer Request transaction from the scrolling table in the Unit Transfer Request screen shown below:

The screenshot displays the 'Unit Transfer Request' screen in 'Update Mode'. At the top, the system title is 'eCDS - Central Depository System'. Below the title bar, there is a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. A status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/05/2017', and 'Last Accessed: 19/05/2017 15:26:01'. The main window title is 'Unit Transfer Request'. Below the title, there is a 'Save' button. The 'Record Selection' section contains 'Search Options' with three textboxes: 'Transaction ID', 'To Participant ID', and 'Security Symbol', and two buttons: 'Search' and 'Refresh'. Below the search options is a table with the following data:

TRANSACTION ID	FROM ACCOUNT NO	TO PARTICIPANT	TO ACCOUNT NO	SECURITY SYMBOL	VOLUME
2054-62	517	50500	511	OEF	100 Transfer Request1109

Below the table is a large empty area, and at the bottom, there is a toolbar with buttons for 'Add', 'Update', 'Delete', 'Post', and 'Cancel'.

The user can select the record to be updated from the scrolling table on the Unit Transfer Request screen or use the Search Options to display the required Unit Transfer Request transaction in the scrolling table.

As soon as the *Search* button is clicked after entering a valid Transaction ID, To Participant ID and/or Security Symbol in the respective textboxes, records matching the criteria are displayed in the scrolling table.

Note that a Unit Transfer Request, which has been posted, cannot be called up in the *Update* mode. After selecting the Unit Transfer Request transaction to be

updated, the user needs to click the *Update* button, which opens up the following screen:

Transaction ID	2054	62
From Participant ID	60608	UMAR CAPITAL SECURITIES PVT LTD.
From Account Number	517	Browse Muhammad muzzamil
To Participant ID	50500	Browse MU NORMAL PARTICIPANT FOR MERGER TESTING
To Account Number	511	ACCOUNT TITLE1033
Security Symbol	OEF	Browse OPEN ENDED FUND SECURITY
Transaction Volume	100	
Available Balance	1000	
Reason Code	1109	Browse Transfer Request 1109
Remarks	test	

Save Cancel

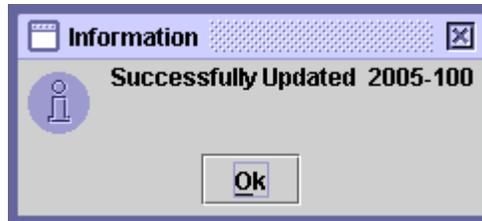
This screen is the same as the screen for the *Add* mode. The user may update/change the data in ‘To Participant ID’, ‘To Account Number’, ‘Security Symbol’, ‘Transaction Amount’, ‘Reason Code’ and/or ‘Remarks’ fields as required.

Changes made in the Update mode can be saved by clicking the **Save** button or discarded by clicking the **Cancel** button. If the Cancel button is clicked the system displays the following confirmation message:



Clicking the *Yes* button closes the Unit Transfer Request screen without updating the transaction whereas clicking the *No* button closes the above message screen.

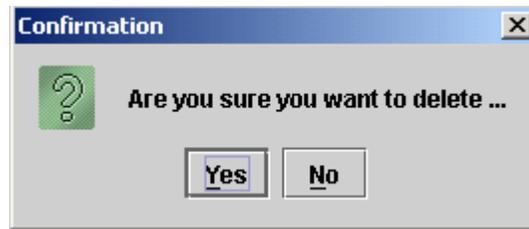
On clicking the *Save* button on the Unit Transfer Request screen in the update mode, the system shows the following information message:



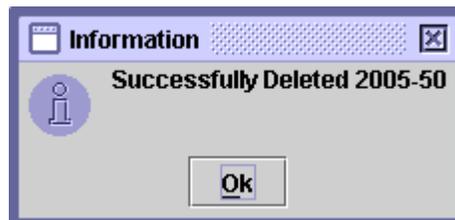
A new Transaction ID is not generated when the '*Save*' button is clicked. The unit transfer request will be saved under the originally allocated Transaction ID.

### 6.6.3.3 *Delete*

In order to delete a Unit Transfer Request transaction, which has not yet been posted, the user selects the record to be deleted by using the Search Options or by directly clicking the record as explained above and then clicks the '*Delete*' button. This causes the screen below to be displayed:



By clicking the '*No*' button user exits without making any changes. Clicking the '*Yes*' button deletes the transaction and the following information message is displayed:



When the '*OK*' button is clicked the system reverts back to the 'Unit Transfer Request' screen.

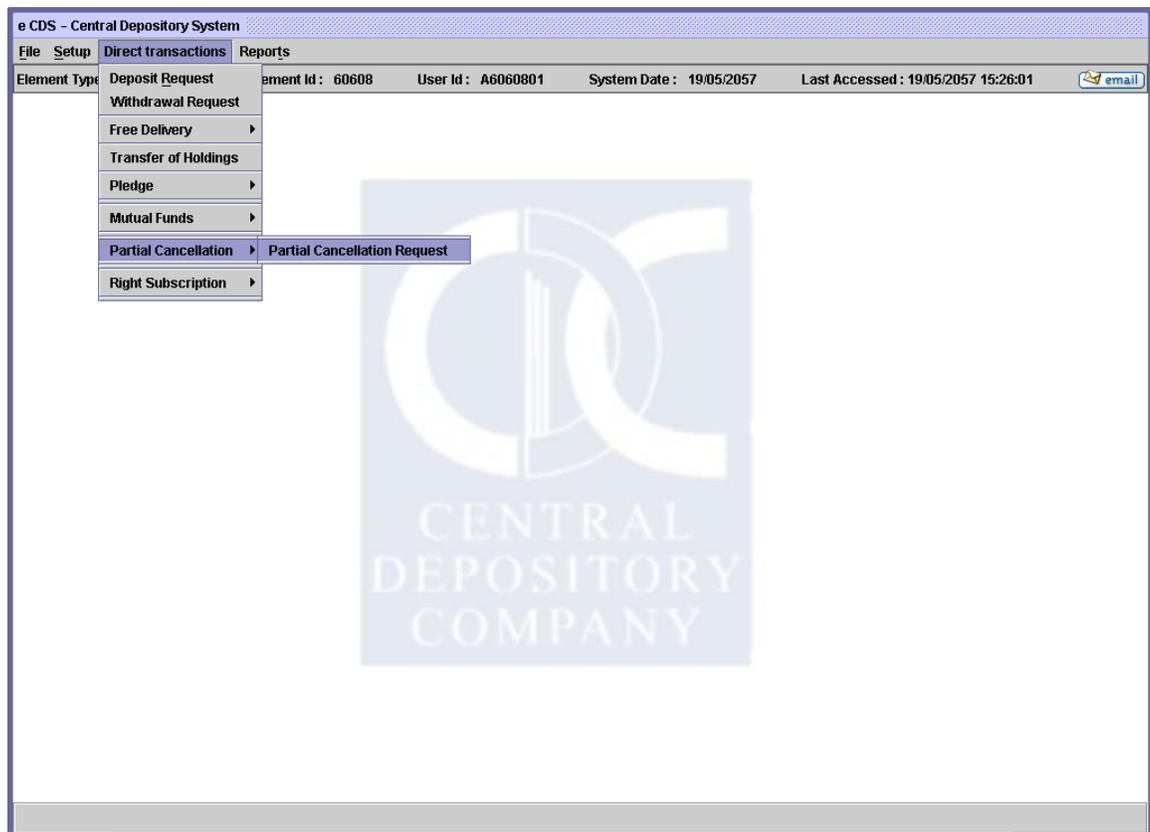
## 6.7 PARTIAL CANCELLATION OF SECURITIES IN CDS

This functionality facilitates the Share Holder(s) of the Redeemable Securities to exercise 'Put' option. Participants shall be able to request cancellation of specific volume of some specific security through partial cancellation functionality.

Approval/Rejection of the partial cancellation request will be done by R/TA, which may be a partial cancellation or whole cancellation. The process of partial cancellation will be completed on apply date defined by CDC Administrator. On completion of the partial cancellation process Paid-up capital/Total Issue of the security will be decreased by the volume corresponding to the approved partial cancellation security volume.

### 6.7.1 Partial Cancellation Request

In order to access the Partial Cancellation Request functionality the user needs to click the menu item Partial Cancellation Request in the Partial Cancellation menu, as shown below:



When the user clicks the Partial Cancellation Request option, the following screen is displayed:

The screenshot displays the 'Partial Cancellation Request' window. At the top, it shows the system name 'eCDS - Central Depository System' and a menu bar with 'File', 'Setup', 'Direct transactions', and 'Reports'. Below the menu bar, there is a status bar with the following information: 'Element Type : PARTICIPANT', 'Element Id : 60608', 'User Id : A6060801', 'System Date : 19/05/2057', and 'Last Accessed : 19/05/2057 15:28:35'. The main title of the window is 'Partial Cancellation Request'. Below the title, there are two tabs: 'Save' (selected) and 'Post'. Under the 'Save' tab, there is a 'Filter Options' section with a 'Status' dropdown menu set to 'All'. Below that is a 'Record Selection' section with 'Search Options' including fields for 'Transaction ID', 'Participant ID' (pre-filled with '60608'), 'Account Number', 'Security Symbol', and 'Transaction Date' (pre-filled with '19/05/2057'). There are 'Search' and 'Refresh' buttons below the search fields. A table is displayed below the search options, showing one transaction record. The table has columns for 'TRANSACTION ID', 'A/C NO', 'SECURITY SYMBOL', 'VOLUME / NO. OF UNITS', 'REMARKS', and 'TRANSACTION DATE'. The row contains the values: '2057-64', '517', 'OEF', '500', 'To Be A', and '19/05/2057'. At the bottom of the window, there are buttons for 'Add', 'Update', 'Delete', 'Post', and 'Cancel'.

TRANSACTION ID	A/C NO	SECURITY SYMBOL	VOLUME / NO. OF UNITS	REMARKS	TRANSACTION DATE
2057-64	517	OEF	500	To Be A	19/05/2057

The Partial Cancellation Request screen contains two tabs, 'Save' and 'Post.' By default, the 'Save' tab is selected on the Partial Cancellation Request screen, which displays the saved partial cancellation request transactions.

On this tab, the user is provided with Filter Options to select the type of Partial Cancellation Request transactions that the user wishes to be displayed in the scrolling table. Search Option is provided below the Filter option through which the user can retrieve saved cancellation request transactions based on the Transaction ID, Account Number, Security Symbol and/or Transaction Date. Participant ID will be hard coded of the login user since Participants cannot carryout Partial Cancellation Requests on behalf of other Participants. The checkbox next to the Transaction Date field should be marked to disable this field in case the user wishes to search for all saved Partial Cancellation Request transactions irrespective of the transaction dates. On clicking the 'Search' button, all records meeting the criteria provided in Search panel are displayed in the scrolling table.

By clicking the 'Post' tab on the Partial Cancellation Request screen the user can see the cancellation request transaction posted to the system as shown in the figure below:

The screenshot displays the 'Partial Cancellation Request' window in the eCDS system. The window title is 'eCDS - Central Depository System'. The menu bar includes 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type: PARTICIPANT', 'Element Id: 60608', 'User Id: A6060801', 'System Date: 19/05/2017', and 'Last Accessed: 19/05/2017 15:28:35'. The main area has two tabs: 'Save' and 'Post', with 'Post' selected. Below the tabs is a 'Record Selection' section with 'Search Options'. The search options include fields for 'Transaction ID', 'Participant ID' (containing '60608'), 'Account Number', 'Security Symbol', and 'Transaction Date' (containing '19/05/2017'). There are 'Search' and 'Refresh' buttons below the search options. A table with the following columns is visible: 'TRANSACTION ID', 'A/C NO', 'SECURITY SYMBOL', 'VOLUME / NO. OF UNITS', 'REMARKS', and 'TRANSACTION DATE'. At the bottom of the window, there are 'Cancel Transaction' and 'Cancel' buttons.

On this tab, the user is provided with Search Options similar to that on the Save tab.

#### 6.7.1.1 Add Mode

To create a new Partial Cancellation Request, the user clicks on the 'Add' button in the Save browser of Partial Cancellation screen shown above. The following screen is displayed when the 'Add' button is pressed:

**Partial Cancellation Request Add**

Participant ID: 60608  UMAR CAPITAL SECURITIES PVT LTD.

Account Number:

Security Symbol:

Volume: 0

Net Balance: 0

Available Balance: 0

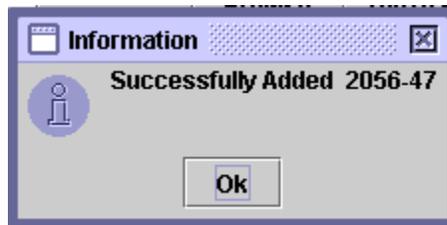
Remarks:

The Participant ID is hard coded and cannot be changed; following Data is needed to be entered by the user in the above screen.

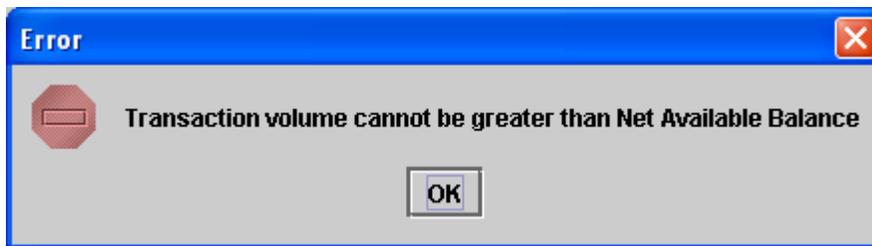
- \* **Account Number** In this field, the user has to enter the account number from which the securities have to be cancelled. If the user does not remember the Account Number related to the Cancellation Request being added, the user can click on the 'Browse' button to display a lookup table of valid Account Numbers. The required record can then be selected by double-clicking it on the lookup table.
- \* **Security Symbol** User has to enter the required Security Symbol. If the user does not remember the Security Symbol then user can also click on the 'Browse' button to display a lookup table of valid Security Symbols. The required symbol can then be selected by double clicking it on the lookup table. Partial Cancellation request shall not be allowed during the Book closure period of a security. If the Security Symbol of a debt instrument is selected then the Volume field shall be changed to No. of units and Face value and Certificate value shall also be displayed, as shown below:

- \* **Volume** The number of securities user wants to be involved in the in the cancellation request
- \* **Net/Available Balance** The *Net Balance* and *Available Balance* on the above screen shows the current balance of the security selected in ‘Security Symbol’ field. The volume that will be available for the cancellation will be the Net Balance. User can request for the cancellation of whole volume or a part of that volume.
- \* **Remarks** Enter remarks, as required, in this field.

After entering the above information, the user clicks the ‘Save’ button to make the Cancellation Request transaction available in save mode. When the ‘Save’ button is clicked the system generates a Transaction ID and following message is displayed:



If the transaction volume is greater than the available balance following error message will be displayed:

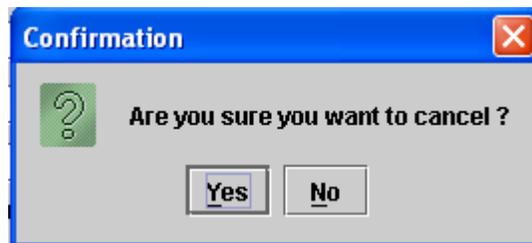


### 6.7.1.2 Update

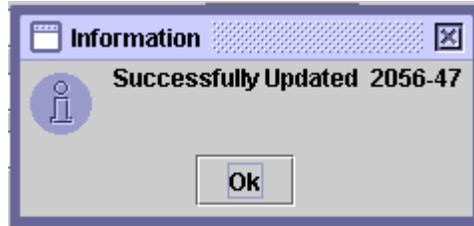
User can update the partial cancellation request by selecting the required request from the table or use the search panel to display the transaction in the table. After selecting the transaction user has to press the Update button, following screen will be displayed:

Note: Partial Cancellation Request which has been posted cannot be updated.

This screen is the same as the screen for the Add mode, except that the Transaction ID is shown on the screen. The fields that can be changed are Account Number, Security Symbol, Volume and/or Remarks. Changes made in update mode can be saved by clicking Save button or discarded by Cancel button. On clicking Cancel button following confirmation message will be displayed:



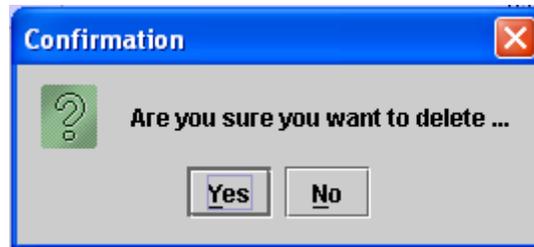
Clicking the 'Yes' button will close this message screen and return to the partial cancellation screen, clicking 'No' will transfer back to the previous display. On clicking 'Save' button following information message will be displayed:



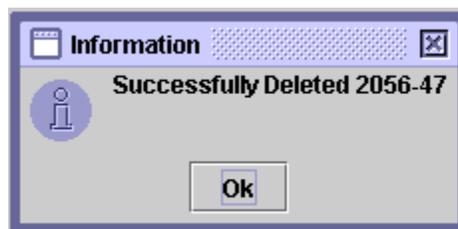
A new Transaction ID will not be generated in this case when the 'Save' button is clicked. The Partial Cancellation request will be saved under the originally allocated transaction Id.

### 6.7.1.3 Delete

In order to 'Delete' a Partial Cancellation Request user has to select the required transaction from the table or use the Search option, user has to click the 'Delete' button after selecting the transaction. Cancellation request already posted cannot be deleted. Following confirmation message will be displayed when Delete button is pressed:



Clicking the 'Yes' button deletes the transaction and following information is displayed, 'No' exits without making any changes.



### 6.7.2 Cancellation of 'Partial Cancellation Request'

This is used to nullify the effect of partial cancellation request previously posted in the eCDS, before it is approved/reject by the relevant R/TA.

When the user clicks the 'Cancel Transaction' button on the post tab of the Partial Cancellation Request screen after selecting the transaction to be cancelled, the following screen is displayed:

**Nullification of Partial Cancellation**

Transaction ID: 2057 64

Participant ID: 60808  UMAR CAPITAL SECURITIES PVT LTD.

Account Number: 517  Muhammad muzzamil

Security Symbol: OEF  OPEN ENDED FUND SECURITY

Volume: 500

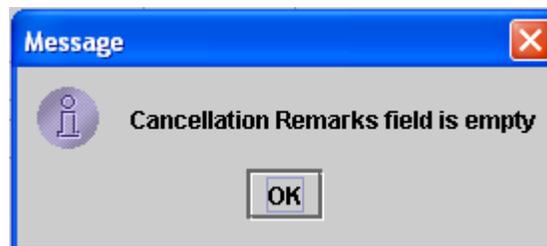
Net Balance: 500

Available Balance: 500

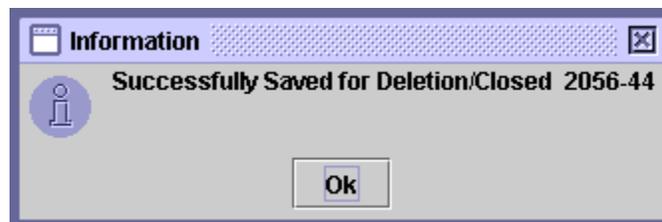
Remarks:

Cancellation Remarks:

The screen will show the values as was entered by the user at the time of cancellation request. All of these fields that were filled by the user earlier will be disabled. Only one field is added i.e. of Cancellation Remark, in this field user has to enter the reason due to which the transaction is being cancelled. If the Cancellation Remarks field is empty then following error message will be displayed:



After entering Cancellation Remarks when user press the Save button to save the nullification transaction following information message is displayed:



On performing the above operation, the original Partial Cancellation Request is still displayed in the Post tab of the Partial Cancellation Request screen and also in the Save tab with the status, 'To Be Cancelled.'

To remove the Partial Cancellation Request from the Post tab, the user needs to post the Cancellation of partial cancellation transaction in the Save tab by clicking the 'Post' button after selecting the relevant transaction from the table.

e CDS - Central Depository System

File Setup Direct transactions Reports

Element Type : PARTICIPANT Element Id : 60608 User Id : A6060801 System Date : 19/05/2057 Last Accessed : 19/05/2057 15:28:35

Partial Cancellation Request

Save Post

Filter Options

Status All

Record Selection

Search Options

Transaction ID [ ] [ ] Participant ID 60608 Account Number [ ] Security Symbol [ ] Transaction Date 19/05/2057 [ ] [ ]

Search Refresh

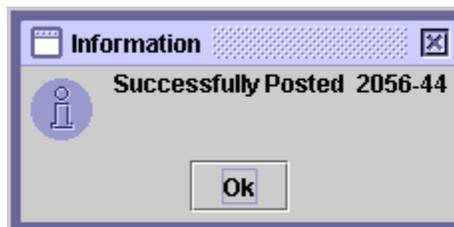
TRANSACTION ID	A/C NO	SECURITY SYMBOL	VOLUME / NO. OF UNITS	REMARKS	TRANSACTION DATE	STATUS
2057-64	517	OEF	500		19/05/2057	To Be Cancelled

Add Update Delete Post Cancel

On clicking the Post button following confirmation message will be displayed:



Clicking No exits the screen without making any difference, Yes will post the cancellation transaction and displays the following message:



## 6.8 RIGHT SUBSCRIPTION

Through the letter of rights functionality in CDS, the clients will be facilitated in such a way that they will get their right shares/certificates directly into their respective CDS accounts after exercising the Right shares.

By using the Right Subscription Request functionality in CDS, the participant users can make subscription requests for the rights securities. The users can access this functionality under Direct Transactions>Right Subscription>Right Subscription Request option.

The Save Tab is displayed by default when the user first opens the Right Subscription Request screen. No Post tab is present in this browser. The Save browser will display the records which have been saved and have not been posted, as shown in the figure below.

The screenshot displays the 'Right Subscription Request' window in the 'e CDS - Central Depository System'. The window title bar includes 'File', 'Setup', 'Direct transactions', and 'Reports'. The status bar shows 'Element Type : PARTICIPANT', 'Element Id : 60608', 'User Id : A6060801', 'System Date : 03/03/2057', and 'Last Accessed : 02/03/2057 16:21:57'. The main content area is titled 'Right Subscription Request' and features a 'Save' tab. Below the tab is a 'Record Selection' section with 'Search Options' including fields for 'Transaction ID', 'Participant ID' (set to 60608), 'Account Number', 'Security Symbol', and 'Transaction Date' (set to 03/03/2057). There are 'Search' and 'Refresh' buttons. A table with the following columns is visible: TRANSACTION ID, TRANSACTION DATE, A/C NO, SECURITY SYMBOL, VOLUME, REMARKS, and STATUS. At the bottom of the window are buttons for 'Add', 'Update', 'Delete', 'Post', and 'Cancel'.

The Save tab displays the Transaction ID, Transaction Date, A/C No., Security Symbol, Volume, Remarks and Status columns.

The user can retrieve already saved transactions by providing the Transaction ID, Account Number, Security Symbol and/ or Transaction Date in the Search options. Upon clicking the 'Search' button, those records are displayed in the table below the search options which fit the search criteria provided by the user.

Clicking the 'Search' button without entering any data in the search fields will return all the saved transactions for that participant. To enter new search criteria, the user can click the 'Refresh' button which clears all the search fields

### 6.8.1.1 Add Mode

The Add Option is used to add a new Right Subscriptions Request in the system. In order to add a new request, the user clicks the Add button in the Save tab. The following screen is displayed to the user:

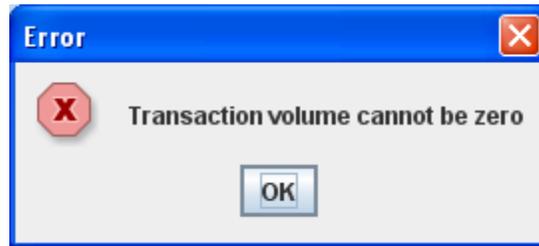
Participant ID field is displayed as un-editable, and shows the respective element id and element name of the user.

The user has to enter the following information to add new request.

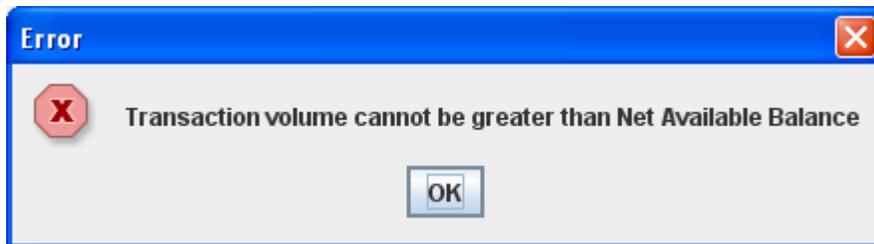
**Account Number** This is a mandatory field. The user can either enter the account number by typing it in the space provided, or by clicking the browse button besides the account number field. This is provided to give the user access to a lookup table for searching the account number from table, as shown below.



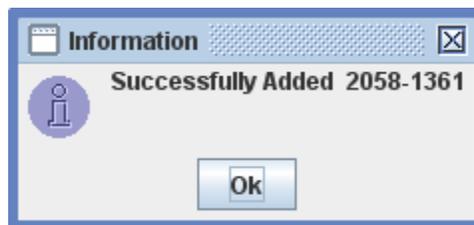
If the volume specified by the user is zero, then the following message will be given:



If the transaction volume specified by the user is greater than the net available balance, then the following message will be given:



Upon pressing the Save button if all requisite valid information is correctly provided, the system displays the following message.



The newly added record is displayed in the scrolling table of the Save tab with the status "To Be Added".

### 6.8.1.2 *Update*

The saved Right Subscription Request records can be updated by using the Update button option available in the Save browser screen.

By selecting a particular record in the Save tab and pressing the Update button would open the Right Subscription Request Update screen, with the respective information for the selected record, as shown below:

**Right Subscription Request Update**

Transaction ID 2057 692

Participant ID 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number 517 Browse Muhammad muzzamil

Security Symbol MAM405 Browse MAM 405 Right Security

Volume 1000

Net Balance 10000

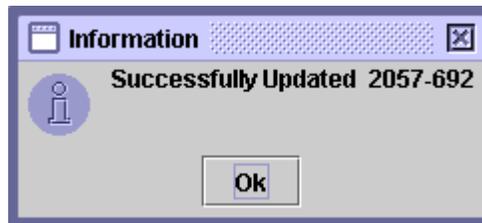
Available Balance 10000

Remarks test

Setup Remarks

Save Cancel

The non-editable fields are Transaction ID, Participant ID, Account Number, Security Symbol, Net Balance, Available Balance and Setup Remarks. After the user updates the desired fields and presses the save button, the system would update the record. If the Update operation is successful, the following screen is displayed.

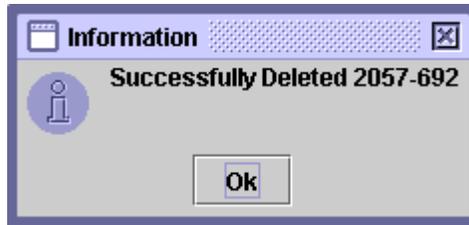


### 6.8.1.3 Delete

The user can delete an already saved record by pressing the Delete button on the Save browser, after selecting a particular record on the scrolling table. The following confirmation message will be displayed:

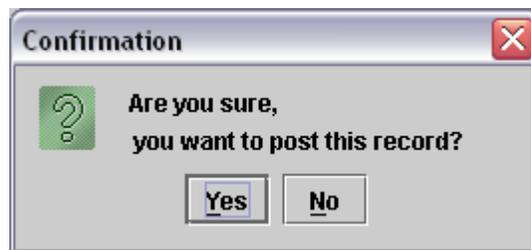


Pressing the Yes button would delete the record and the following message would be displayed.



#### 6.8.1.4 Post

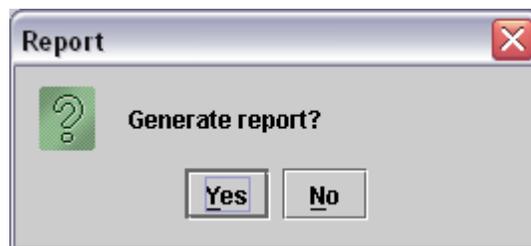
The Post button is used to make the transaction permanent. When the user selects a record from the scrolling table and presses the Post button, the following message is displayed.



Upon pressing the Yes button on the confirmation dialog would display the following message:



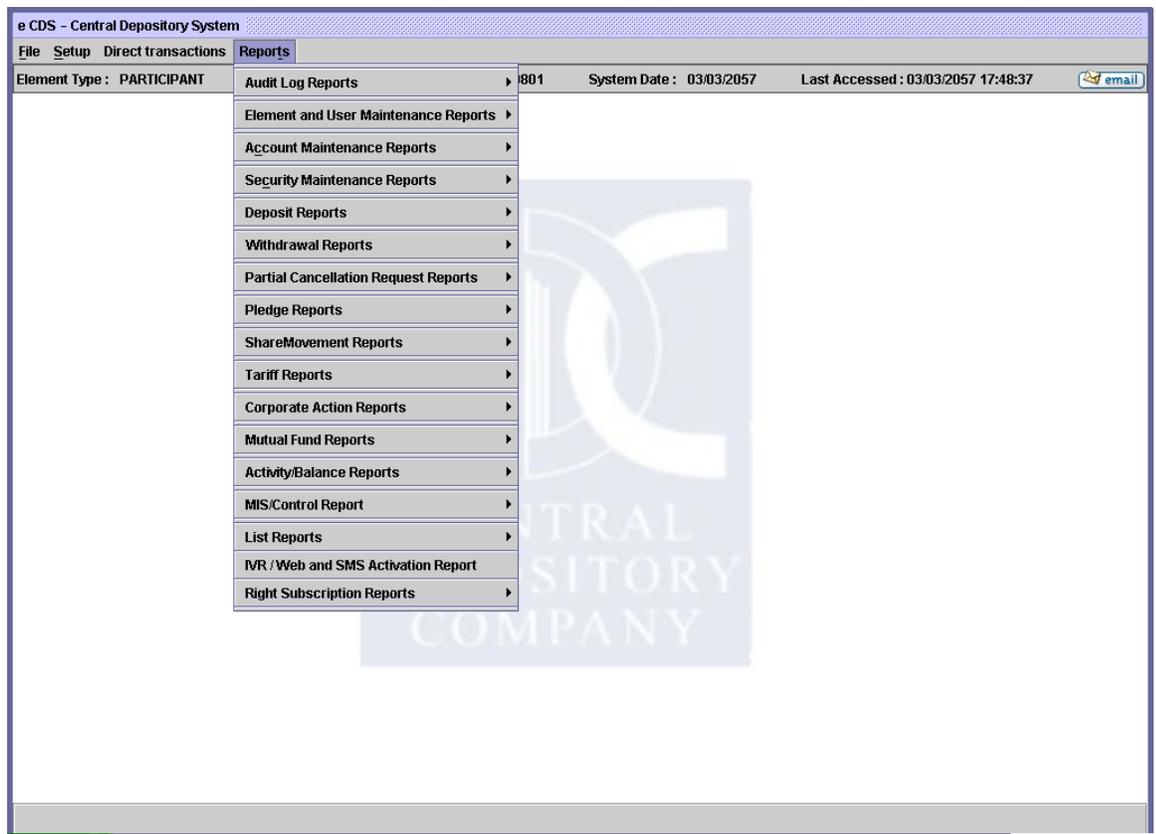
After the user presses the OK button, the user will be prompted with the following message to provide the option to generate the Right Subscription Request Receipt Report.



The report will be generated if the user presses the Yes option. Pressing No button will take the user to the Save browser of the Right Subscription Request functionality.

## 7 REPORTS

The *Reports* option on the Main Menu allows the user to generate any of the reports provided in the system. All reports can first be viewed on the screen and then printed out if the user so desires. As soon as the user clicks on or otherwise selects the option “Reports” on the Main Menu, the user is presented with a drop-down menu containing the following options:



- Audit Log Report
  - Audit Log
- Element and User Maintenance Report
  - Element Report

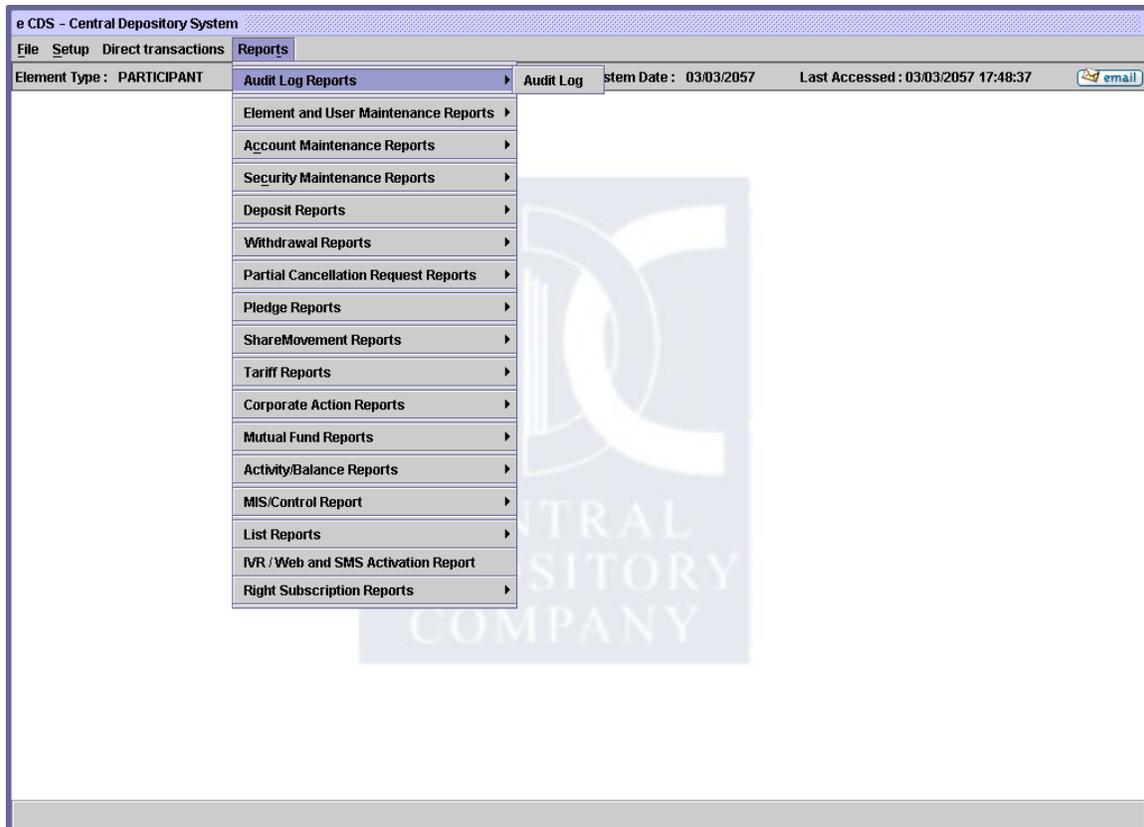
- Account Maintenance Reports
  - Account Setup Report.
  - Account Aging
  - Highlighting Account Detail
  - Classification of Open Client Account
  - Account Copy Report (on exception basis)
  - Registration Detail Search Options
  - Email Status Report
- Security Maintenance Reports
  - Security List Report
  - Security Price
- Deposit Reports
  - Deposit Request Report
  - Deposit Request Aging Report
- Withdrawal Reports
  - Withdrawal Request
- Partial Request Cancellation Request Reports
  - Partial Cancellation Request Report
- Pledge Report
  - Pledge Report
  - Pledgor Balance/Activity Report
- Share Movement Reports
  - Intra Account Movement Report
  - Inter Participant FD Report
  - Transfer of Holdings Report
- Tariff Reports
  - Billing Statement/Summary Report
  - Client Wise Billing Invoice Report

- Custody Fee Report for Freeze Volume / Major Shareholders
- Corporate Account Reports
  - Issuer Action Diary
  - New Issue Report
  - Bonus Share Report
  - CFS Automated Transfer Status Report
- Mutual Fund Reports
  - Redemption Request Report
  - Unit Transfer Request Report
- Activity/Balance Report
  - Account Activity Report
  - Account Balance Report
  - Account Balance Summary Report
- MIS/Control Report
  - No. of Posted Pledge Call/Release Report
  - No of Saved Posted Free Delivery
- List Report
  - Transaction List Report
  - User Transaction List Report
- IVR / Web and SMS Activation Report
- Right Subscription Reports
  - Right Subscription Request Receipt
  - Right Subscription Request List Report
  - Right Subscription Request Cancellation List Report

The following paragraphs in this chapter of the manual contain detailed explanations for each of the above menu options. Wherever considered appropriate, the above menu items have been grouped together under logical headings based on the overall area of CDS functionality they deal with.

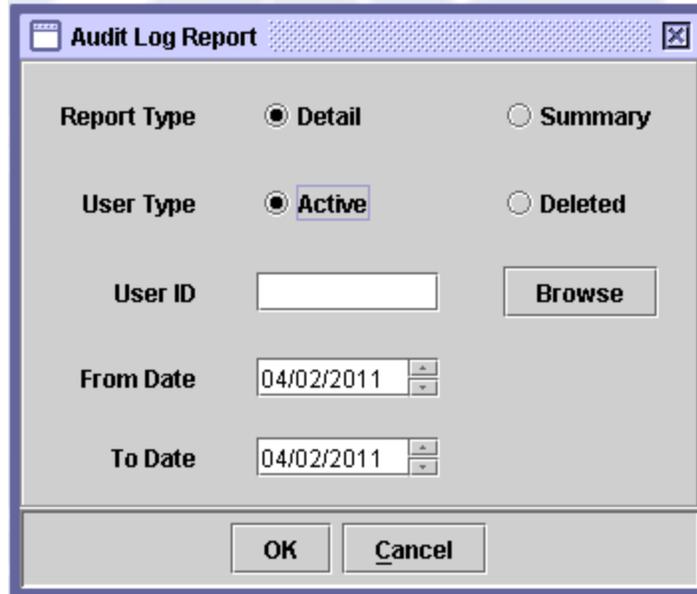
## 7.1 Audit Log Reports.

The Audit Log Reports option on the Reports Menu enables the user to display and/or print reports pertaining log reports for transactions that the user has performed. The following report can be displayed when the user selects this option:



### 7.1.1 Audit Log

When the user selects Audit Log from the Audit Log Reports sub menu, the following screen pops-up:



The following fields are required:

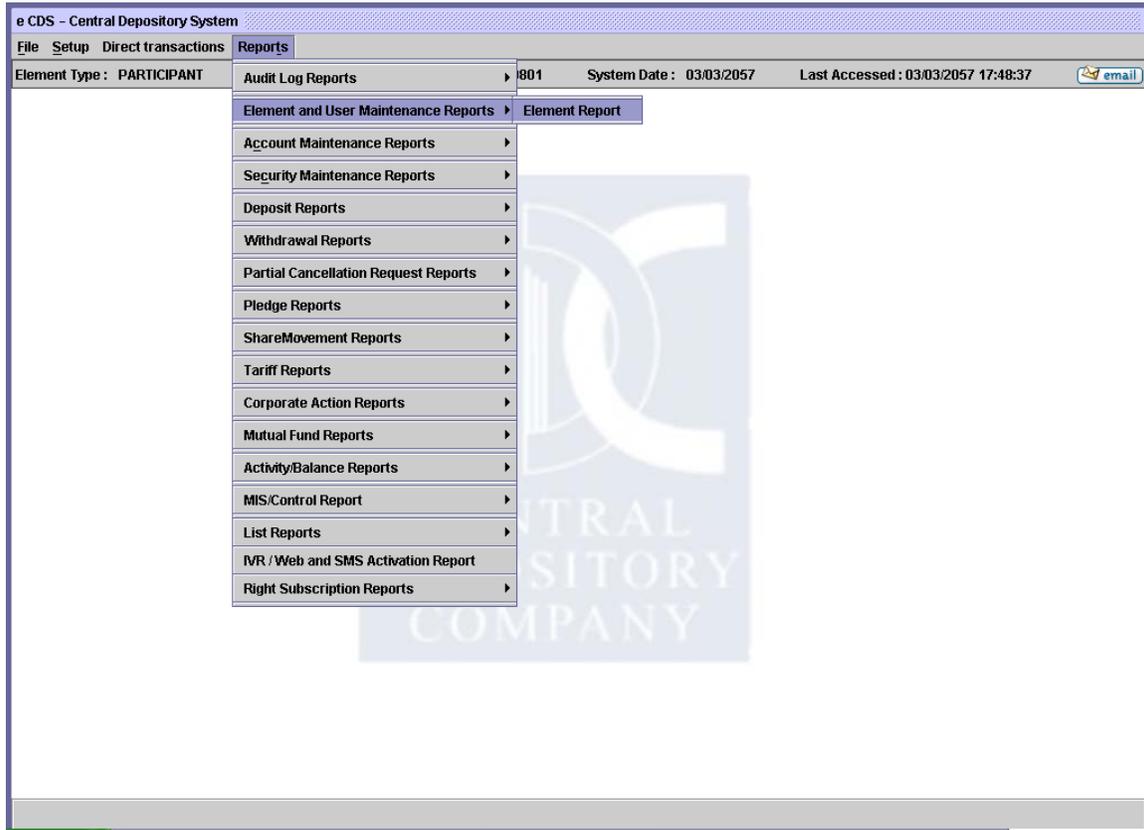
- Report Type** The user has an option to generate the report in the form of ‘Detail’ or ‘Summary’.
- \* **User Type** User can select type of user from the given radio buttons. The user can select either ‘Active’ or ‘Deleted’ users.
- \* **User ID** User is required to enter a valid user ID. If the user cannot remember the ID, a ‘Browse’ button is provided next to the User ID text field which enables the user to select User ID from a lookup table.
- \* **From Date & To Date** The dates to be covered by the report should be entered in these fields.

The report shows details of Transaction Code, transaction Description, Operation Code, Date, Time, Transaction ID and Terminal IP.

Clicking the ‘OK’ button will display the report on the screen and the ‘Cancel’ button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter “Getting Started.”

## 7.2 Element and User Maintenance Report

The Element and User Maintenance reports option on the Reports menu enables the user to display and/or print reports relating to maintenance reports of elements.



### 7.2.1 Element Report

When the user selects this option the following screen is displayed:

Only Post Tab enables for the user which contains all the Posted Elements that have been defined.

The following data is required by the user:

Field Name	Description
* <b>Element Type</b>	The report can be generated for any of the element type: Participant, Pledgee, R/TA, Issuer, Trustee, Admin and Super. When Element ID “Participant” is selected, Element Selection and Clearing Member options appear.
* <b>Element Selection</b>	User can generate report for either ALL, Participant or Account Holder.

- \* Clearing Member**                      Indicating whether the Participant/Account Holder is a clearing member or not. The radio button options available to the user are All, Yes and No.
- \* Element ID**                      The report can be viewed for all or specific element IDs'. To enter a specific Element ID, the user clicks the '*Specific*' radio button in the Element ID field, a textbox for entering the required Element ID appears. User is also presented with a browse option, which enables the user to select from a lookup table if in case the user does not remember the specific Element ID.

In case Element ID is specific, the location and Status fields are automatically disabled.
- \* Location**                      The combo box provides the user with the option to generate the report for all locations or for Karachi, Lahore, Islamabad and Hyderabad. When the user selects Admin or Super Option, the location field disappear from the screen.
- \* Status**                      User can generate report for the any status: Active, Suspended and/or Closed.
- \* Additional Status**                      In addition to the Status previously selected by the user, an additional status look up will available to further filter the users' status which will also depict in the reports.
- \* From Date & To Date**                      The dates to be covered by the report should be entered in these fields.

The print option is explained at the beginning of this chapter.

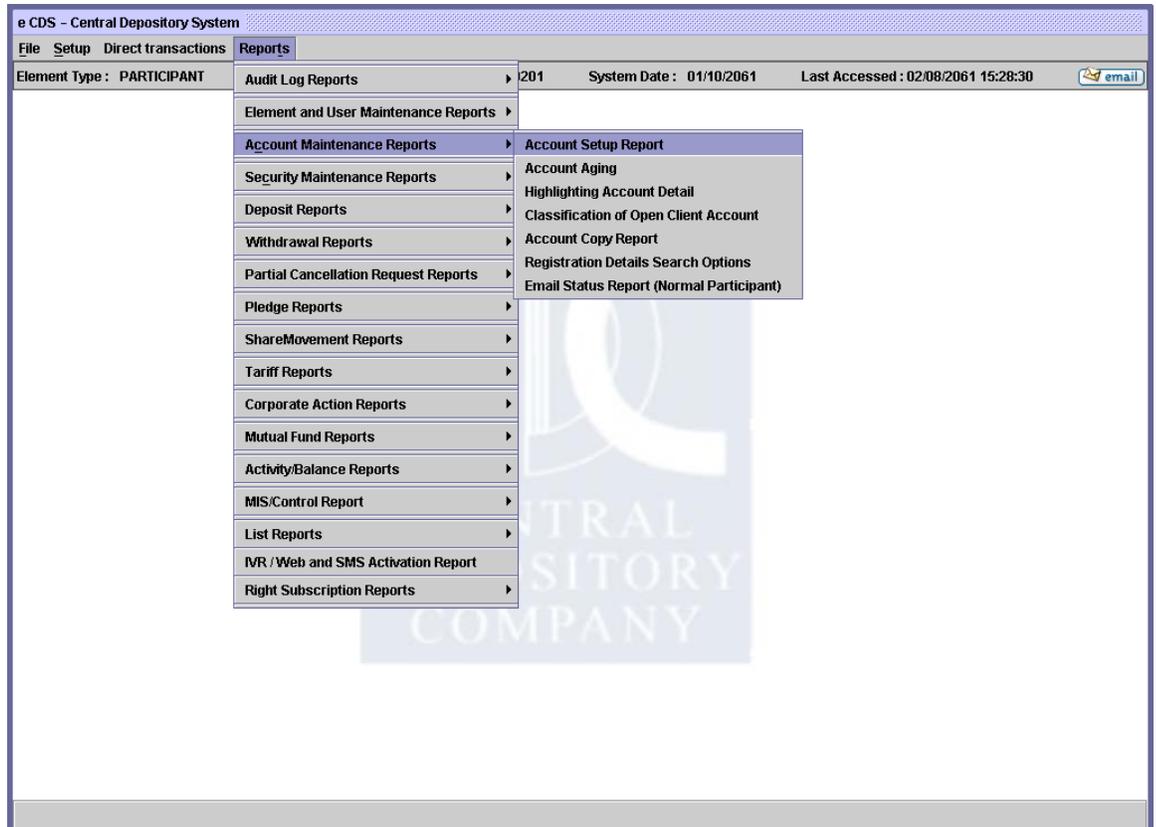
The report shows the Element ID, Element code, Element Name, Address, Phone, Fax, Email, Contact Name, Designation, CDC location, Main A/c, Client A/c, Role Code, CM, Maximum User, Option No., Status and Date.

After the above parameters have been entered, the user should click the 'OK' button to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."



## 7.3 ACCOUNT MAINTENANCE REPORTS

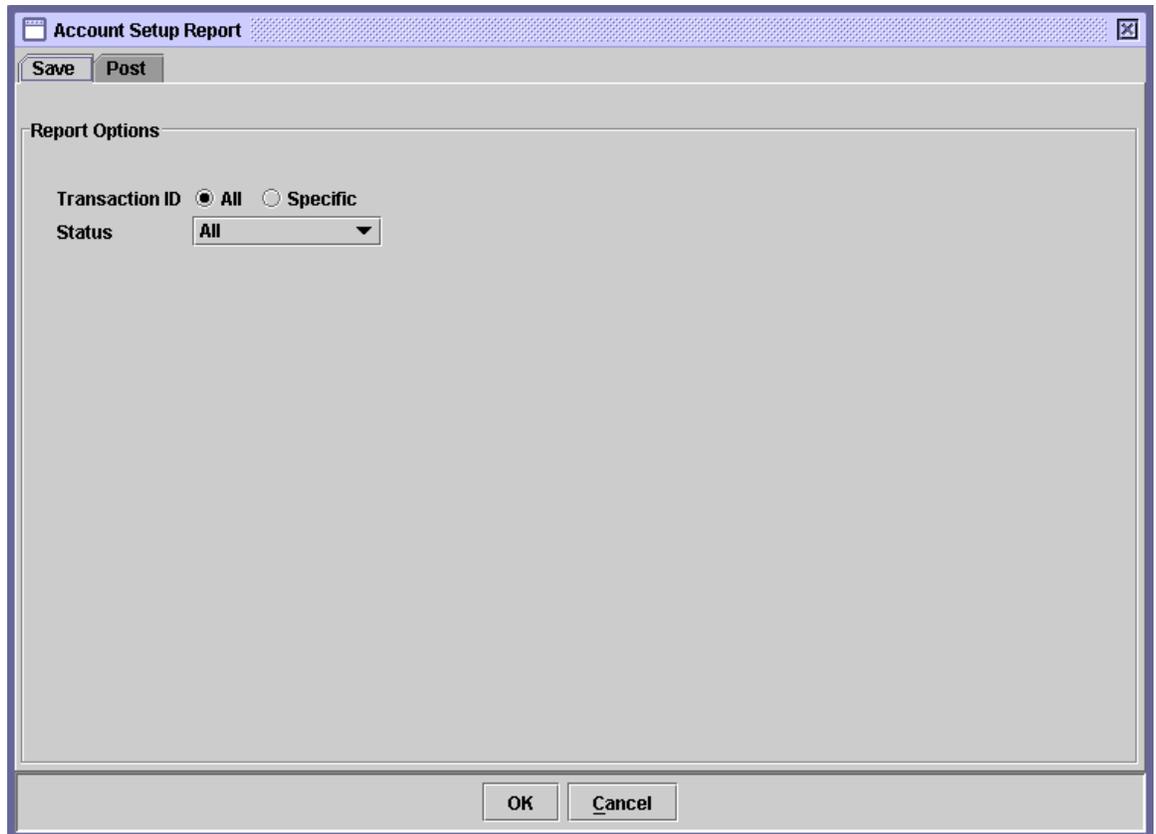
The *Accounts Reports* option on the Reports Menu enables the user to display and/or print reports relating to the depository accounts under his control. As shown below, when the Account Maintenance Reports menu item is highlighted, a sub-menu is displayed:



Each of the options in the sub-menu above is dealt with in the paragraphs that follow.

### 7.3.1 Account Setup Report.

The *Account Setup* report menu item enables the user to display or print the details of the Account Setup transactions related to saved or posted accounts under the respective participant's control. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Account Setup Report". At the top, there are two tabs: "Save" (which is selected) and "Post". Below the tabs is a section labeled "Report Options". Under "Report Options", there are two settings: "Transaction ID" with radio buttons for "All" (selected) and "Specific", and "Status" with a dropdown menu currently set to "All". At the bottom of the dialog box, there are "OK" and "Cancel" buttons.

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Account Setup transactions. In order to generate report of related posted Account Setup transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

**Account Setup Report**

**Save** **Post**

**Report Options**

**Report Type**  Detail  Summary

**Account Status**  Active  Blocked  Closed

**Participant ID** 99002 **MAM Test Participant - 99002 for EStatement for Sub-Account**

**Account Code** ALL

**Account No**  All  Specific

**Statement Status**  All  Specific

eStatement **Frequency** All  Physical

**Print Options**

**Print Report Only**

**Download and Print** File

**File Separator**  Comma  Colon  Semi Colon  Tab/Space

**OK** **Cancel**

The Participant ID displayed on the above screen is hard coded and cannot be changed.

If the user wants to display or print a report related to saved Account Setup transactions, the 'Save' tab of the above screen should be clicked. The user also needs to specify through the radio buttons whether a report for all saved Account Setup transactions is required or for a specific transaction. If the user clicks the radio button for a specific transaction, an input box appears for the user to enter the desired transaction ID. User can also generate the report with the 'statuses of account as shown below.

The screenshot shows a software dialog box titled "Account Setup Report". It features two tabs: "Save" and "Post". The "Post" tab is selected. Below the tabs is a section labeled "Report Options". In this section, there are two radio buttons for "Transaction ID": "All" (which is selected) and "Specific". Below the radio buttons is a "Status" dropdown menu. The dropdown menu is open, showing a list of options: "All", "To be Added", "To be Updated", "To be Closed", "To be Copied", "To be Blocked", "To be UnBlocked", and "All". At the bottom of the dialog box, there are two buttons: "OK" and "Cancel".

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Account Setup transactions, he has to go to the 'Post' tab of the above screen and enter the following data in the 'Report Options' section:

- \* **Report Type**      The user can specify by using the radio buttons whether the report is required in detail (with account wise details) or in summarized form (without details of the accounts).
- \* **Account Status**      The user can specify through checkboxes whether the report is required for 'Active,' 'Blocked,' or 'Closed' accounts. More than one option can be selected for Account Status.

- \* **Participant ID** The ID of the Participant under whose control the accounts to be displayed lie. The Participant ID cannot be changed by the user.
- \* **Account Code** The user can specify the account code from the dropdown list provided, like Client Account, Individual Investor Account etc.
- \* **Account No** The Account Number(s) for which the report is to be generated. If the user wants to generate the Account Setup report for all accounts, the 'All' radio button should be clicked. If the user wants to generate the report for a specific account the 'Specific' radio button should be clicked which will display a textbox for entering the Account Number as shown below:

The user can also use a lookup table to view the valid Account Numbers by clicking the '**Browse**' button right next to the radio button. The desired Account Number can be double clicked in the lookup table, as shown below.

ACCOUNT NO.	ACCOUNT CODE	ACCOUNT TITLE	STATUS
855	C	A	Active
947	C	ABC & CO	Active
95	H	ACCOUNT TITLE FOR 64 BIT CONVERSIONNNNNNNNNNNNN...	Active
814	C	ACCOUNT TITLE FOR 64 BIT CONVERSIONNNNNNNNNNNNN...	Active
632	C	ACCOUNT TITLE FOR DUPLICATE CERTIFICATE	Active
830	C	ACCOUNT TITLE FOR DUPLICATE CERTIFICATE	Active
806	C	ACCOUNT TITLE FOR EMAIL ISSUE	Active
616	C	ACCOUNT TITLE FOR RECURRING TARIFF	Active
590	CFSC	Account Title for Logical Binding in Account Setup	Active
582	C	Account Title for Logical Binding in Account Setup	Active
889	C	Account title for rights1	Active
897	C	Account title for rights2	Active
905	C	Account title for rights3	Active
913	C	Account title for rights4	Active
921	C	Account title for rights5	Active
939	C	Account title for rights6	Active
87	CFSH	CFSH ACCOUNT	Active

**\* Statement Status**

The user may select “All” option to generate the report related to all Statement or select a “Specific” to select either eStatement or Physical option.

**Account Setup Report**

Save Post

**Report Options**

Report Type:  Detail  Summary

Account Status:  Active  Blocked  Closed

Participant ID: 99002 MAM Test Participant - 99002 for EStatement for Sub-Account

Account Code: ALL

Account No:  All  Specific

Statement Status:  All  Specific

eStatement Frequency: All  Physical

**Print Options**

Print Report Only

Download and Print File

File Separator:  Comma  Colon  Semi Colon  Tab/Space

OK Cancel

If specific Statement Status is selected then it will be mandatory to check at least one option.

**\* eStatement**

If the eStatement option is checked , the option of frequency will be enabled with default frequency option “All”. The generated report will display all the account holders with Statement Status “eStatement”.

**\* Frequency**

(By default it will remain disabled, and becomes enabled when “eStatement” check box is checked)

The user selects the appropriate option from the drop

down menu to indicate whether the report is to be generated for *all* / Monthly / Quaterly eStatements.



- \* **Physical** If the Physical option is checked . The report will display all the account holders with Statement Status “Physical”

By clicking the ‘*Print Report Only*’ or ‘*Download and Print*’ radio button in the ‘Print Options’ section of the above screen, the user can either display the report on the screen and later print it or download the report to a file and save it on his Personal Computer and later print it. If the ‘*Download and Print*’ option is selected the ‘File Separator’ section is enabled allowing the user to specify whether the record delimiter should be Comma, Colon, Semi-colon or Tab/Space.

The report shows Report Type, Participant ID, Account Code, Account No., Opening Date, Status, Statement Status (eStatement, Frequency & Physical), Status Date, Page#, User, Date and Time. Moreover, the details on the report include the Account Details.

### 7.3.2 Account Aging

The *Account Aging* report menu item enables the user to display or print aging information related to saved accounts under the respective participant's control. This provides the user with the number of days left before the Account Setup transaction will be deleted. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Saved Account Aging Report". It contains a section for "Report Options" with a "Participant ID" field set to "60608" and the name "UMAR CAPITAL SECURITIES PVT LTD.". There are "Ok" and "Cancel" buttons at the bottom.

The above screen displays the current Participant ID which is hard coded and cannot be changed. The user only needs to click the 'Ok' button to generate the report. The report displays the Transaction ID, Participant ID, Account Number, Account Code, Account Title, Account Status, Status Date and Days Left before the saved Account Setup transaction will be deleted.

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.3.3 Highlighting Account Detail Report

The *Highlighting Account Detail* report menu item enables the user to display or print the changes/updates made in the accounts under a particular participant's control. The changes shall be reflected in such a way that Old and New details separately displayed in the report. Clicking this menu item displays the screen shown below:

The Participant ID field is hard coded and cannot be changed. The data to be entered in this screen is as follows:

- \* **Account Number**      The Account Number(s) for which the report is to be generated. If the user wants to generate the Account Setup report for all accounts, the 'All' radio button should be clicked. If the user wants to generate the report for a specific account the 'Specific' radio button should be clicked which will display a textbox for entering the Account Number.  
  
The user can also use a lookup table to view the valid Account Numbers by clicking the '**Browse**' button right next to the radio button.
- \* **Status**              The status of the transaction for which the user want to fetch the report. The available options are All, Added and Updated.
- \* **From /To Date**      The desired date range for which the user want to fetch the report.

After the user has entered the above parameters, the 'OK' button should be clicked to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.3.4 Classification of Open Client Accounts

The *Classification of Open Client Accounts* report menu item enables the user to display or print classification-wise accounts under a particular participant's control. Clicking this menu item displays the screen shown below:

The Participant ID and Location field is hard coded and cannot be changed. The data to be entered in this screen is as follows:

- \* **Participant ID** The ID of the Participant under whose control the accounts to be displayed lie.
- \* **As on Date** The date as of which the Account Break-up report is required has to be entered here.
- \* **Location** The location field remains hard coded and is treated as 'ALL'.
- \* **Report Format** The user can select if he wants to generate a detailed or summarized report by selecting the 'Detail' or 'Summary' radio buttons from the 'Report Format' field respectively.
- \* **Report** User is required to check the option from the drop-down

**Filter** menu on which the user wants to filter his report.

After the user has entered the above parameters, the 'OK' button should be clicked to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.3.5 Account Copy Report

The *Account Copy Report* menu item enables the user to display or print the details of the copied accounts from another participant. Clicking this menu item displays the screen shown below:

The data to be entered in this screen is as follows:

- \* **From Participant ID** Select All radio button to display report for all Participant or Specific to display report for selected participant
- \* **Date** The date as of which the Account Copy report is required. The user can select all dates or specific date range by selecting the specific radio button. In case specific has been chosen then the user has to specify the From and To Dates.

After the user has entered the above parameters, the user should click the 'OK' button to display the report on the screen or the 'Cancel' button to quit the

program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter “Getting Started.”

### 7.3.6 Registration Details Search Options Report

The *Registration Details Search Options* menu item enables the user to display registration details of the accounts on the basis of CNIC/Passport/Registration Number. Clicking this menu item displays the screen shown below:

The data to be entered in this screen is as follows:

- \* **Download Type** The user can select either the Summary or the Detail option for this report
- \* **Search History** If the user selects this checkbox then the system will retrieve the registration details from the history.
- \* **Specific Element** This field will be disabled with the participant id of the logged in participant
- \* **CNIC/NICOP/Passport Number/R** The user will enter either CNIC/NICOP/Passport Number/Reg No. according to the search criteria needed to

**ag No.**            fetch the registration details.

The user will have to provide the path of the download file as usual. Also, the user can select the desired file separator as usual.

After the user has entered the above parameters, the user should click the 'OK' button to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.3.7 Email Status Report

The *Email Status Report* menu item enables the user to view the status of the emails sent. Clicking this menu item displays the screen shown below:

#### **With Report Type: Account Balance Statement**

**Email Status Report**

**Report Options**

Participant ID  All  Specific 99002 Browse MAM Test Participant - 99002 for EStatement for Sub-Account

Account No  All  Specific

Report Type Account Balance Statement ▼

Frequency ALL ▼

Status ALL ▼

Email address  All  Specific

As On Date 02/01/2062

**Print Options**

Print Report

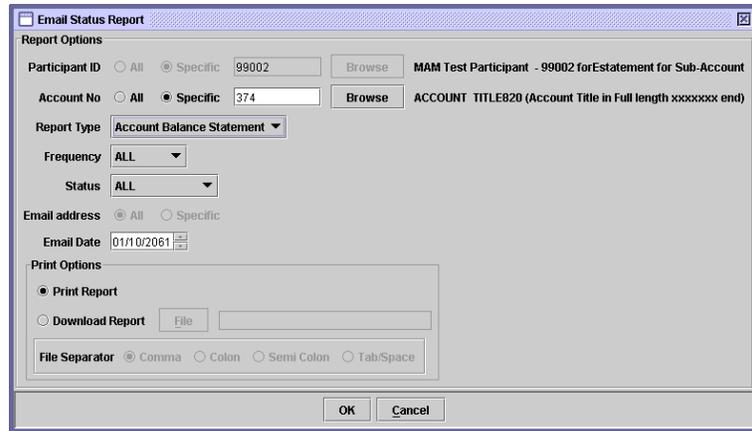
Download Report File

**File Separator**  Comma  Colon  Semi Colon  Tab/Space

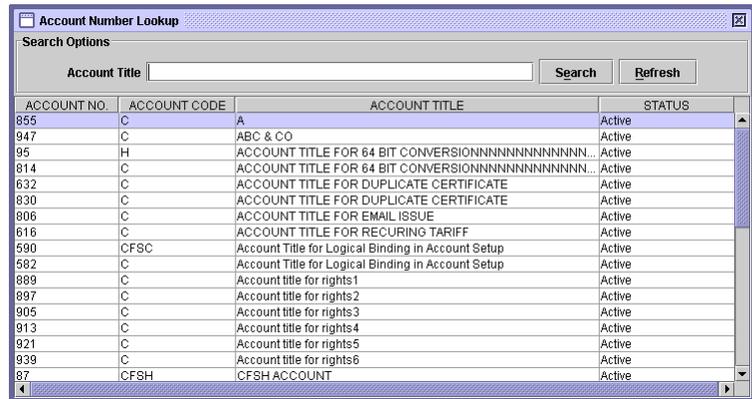
OK Cancel

## With Report Type: eAlert

- \* **Participant ID** The ID of the Participant under whose control the accounts to be displayed lie. The Participant ID cannot be changed by the user.
- \* **Account No** The Account Number(s) for which the report is to be generated. If the user wants to generate the Email Status report for all accounts, the 'All' radio button should be clicked. If the user wants to generate the report for a specific account the 'Specific' radio button should be clicked which will display a textbox for entering the Account Number as shown below:



The user can also use a lookup table to view the valid Account Numbers by clicking the **'Browse'** button right next to the radio button. The desired Account Number can be double clicked in the lookup table, as shown below.



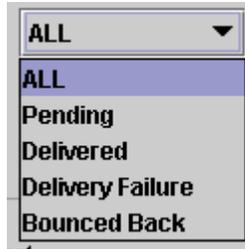
\* **Report Type** The Report Type option will display two values. i.e. Account Balance Statement and eAlert.

\* **Frequency** The user selects the appropriate option from the drop down menu to indicate whether the report is to be generated for *all* / Monthly and/or Quarterly eStatements.



If Report Type is selected as 'eAlert' then the frequency combo box shall become disabled.

- \* **Status** The user selects the appropriate option from the drop down menu to indicate whether the report is to be generated for all or for the following options



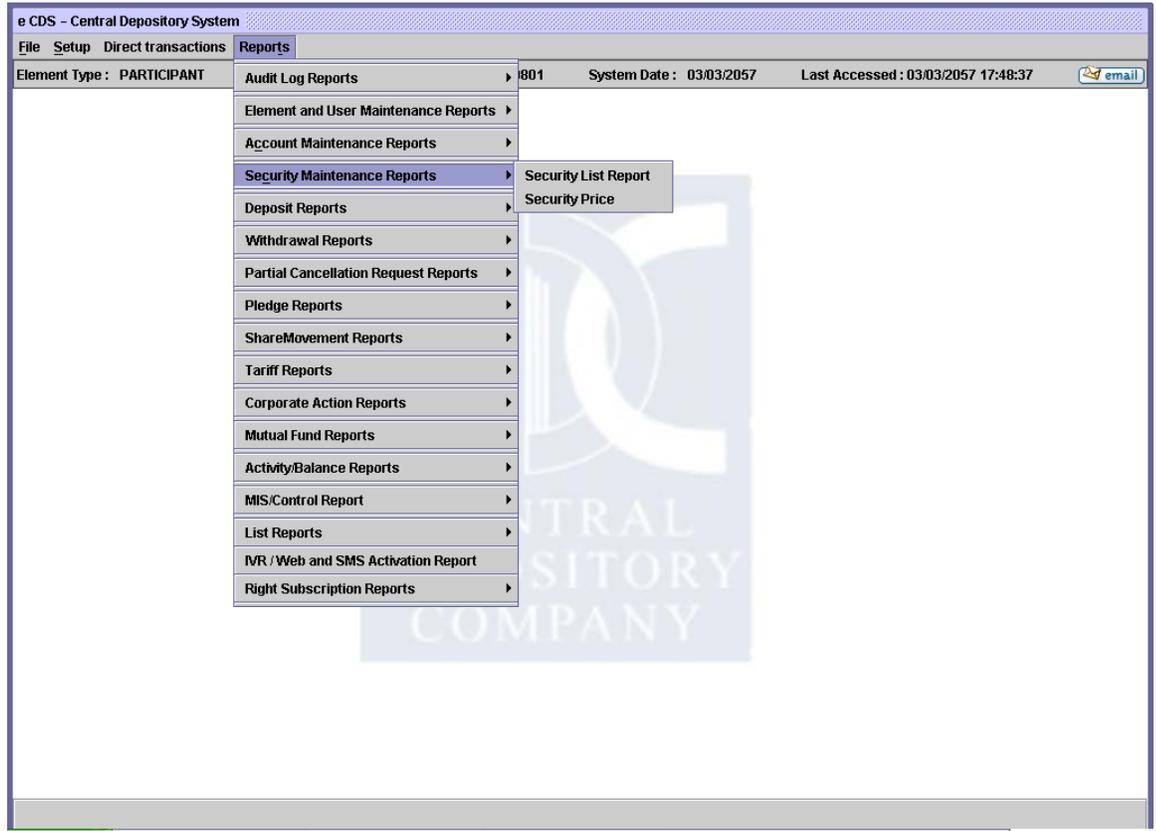
- \* **Email Address** The Email Address for which the report is to be generated. If the user wants to generate the Email Status report for all email addresses, the 'All' radio button should be clicked. If the user wants to generate the report for a specific email address the 'Specific' radio button should be clicked which will display a textbox for entering the Email Address.
- \* **As On Date** (for option *eStatement*) The user will specify the appropriate report generation date in the email date option. The email date will be set to current system date by default.
- \* **From Date and To Date** (for option *eAlert*) The user will specify the appropriate report generation date range. The From and To Date will be set to current system date by default.
- \* **Print Report Only** Clicking this radio button prints the report on the screen.
- \* **Download Report** Clicking this radio button not only prints the report on the screen but also download the report in a specified file. Download option is only available at Post Tab.
- \* **Field Separator** This field is only enabled when the 'Download Report' option is selected. The user is presented with the options to separate the fields in the report.

The report shows Participant ID, Account No., Report Type, Frequency, Status, Email address & Email date. Moreover, the details on the report include Account No., Account Title, Email address, Frequency, Status & Remarks.

The Summary of the report will include Total # of Email delivered, Total # of Email with delivery failure, Total # of Emails Pending & Total # of Emails Bounced Back.

## 7.4 SECURITY MAINTENANCE REPORTS

As shown below, when the Security Maintenance Reports menu item is highlighted, a sub-menu is displayed:



Each of the options in the sub-menu above is dealt with in the paragraphs that follow.

### 7.4.1 Security List Report

When the user clicks on the *Security List Report* option in the Security Maintenance Reports submenu, the system displays the screen shown below:

The above screen only has the Post tab enabled. This report gives a list of all the Securities set up in the system. The user can select the securities by clicking the appropriate option on the screen above. These options are explained below:

- \* **Right Security Only** A provision is provided to the login user to fetch specifically Right Security Details. Clicking 'Right Security Only' checkbox, all the parameters available on the screen shall become disabled as following:

The user have to input a valid security symbol or can search the required security symbol via '*Browse*' option.

- \* **Security Selection** The report can be generated for '*All*' securities, '*Specific*' securities, or '*R/TA wise*'. When the radio button for '*Specific*' or '*R/TA wise*' securities is selected, a textbox for entering the required Security Symbol or R/TA ID and a '*Browse*' button for lookup table appear. When the radio button for Specific security is selected, all other fields except "Security Selection" are disabled.
- \* **Security CDS Status** The user can generate the report for a specific security CDS status. These can be '*Active,*' '*Closed,*' '*Revoked,*' '*Suspended,*' '*Suspended (Freeze)*' , '*To be active*' and '*To be closed.*'
- \* **Sort by** Securities can be sorted either by '*Sector*' or '*Financial Year*' or Registered In, using the appropriate radio button. This field is enabled only when '*Listed*' radio button is clicked in the Security Status.
- \* **As on date** The date as of which the report is required has to be entered here. This field is enabled when the Sector option is selected. This field is enabled only when '*Listed*' radio button is clicked in the Security Status field and '*Sector*' radio button in the Sort by field.
- \* **% Range From** This refers to the percentage of the shares comprising the paid-up capital that has been inducted in CDS. The user has the option to specify a percentage range

between which the securities should fall.

The securities are grouped according to market sectors and the report shows the Security ID, Status, Security Name, Financial Year End, Security Symbol, Market Code, Live Date, Role Code, Security Code, Paid-up Capital/Total Volume, Issuer Name, Book Entry Price, Face Value, Currency Code, R/TA ID, R/TA Name and Registered In (place where the security is registered)..

After the user has entered the above parameters, the 'OK' button should be clicked in order to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

#### 7.4.2 Security Price

This report enables the users to view security prices for all or a specific security setup in the system. When the user clicks the *Security Price* option on the Security Maintenance Reports submenu, the system displays the screen shown below:

The screenshot shows a dialog box titled "Security Price Report". It has two tabs: "Save" and "Post". The "Post" tab is selected. Below the tabs is a section labeled "Report Options". This section contains two date pickers: "From Date" and "To Date", both set to "29/06/2005". Below the date pickers are two radio button options: "Selection" with "Security Wise" selected and "Sector Wise" unselected; and "Security Symbol" with "All" selected and "Specific" unselected. At the bottom of the dialog are "OK" and "Cancel" buttons.

The above screen has only the Post tab enabled. The data to be entered in this screen is as follows:

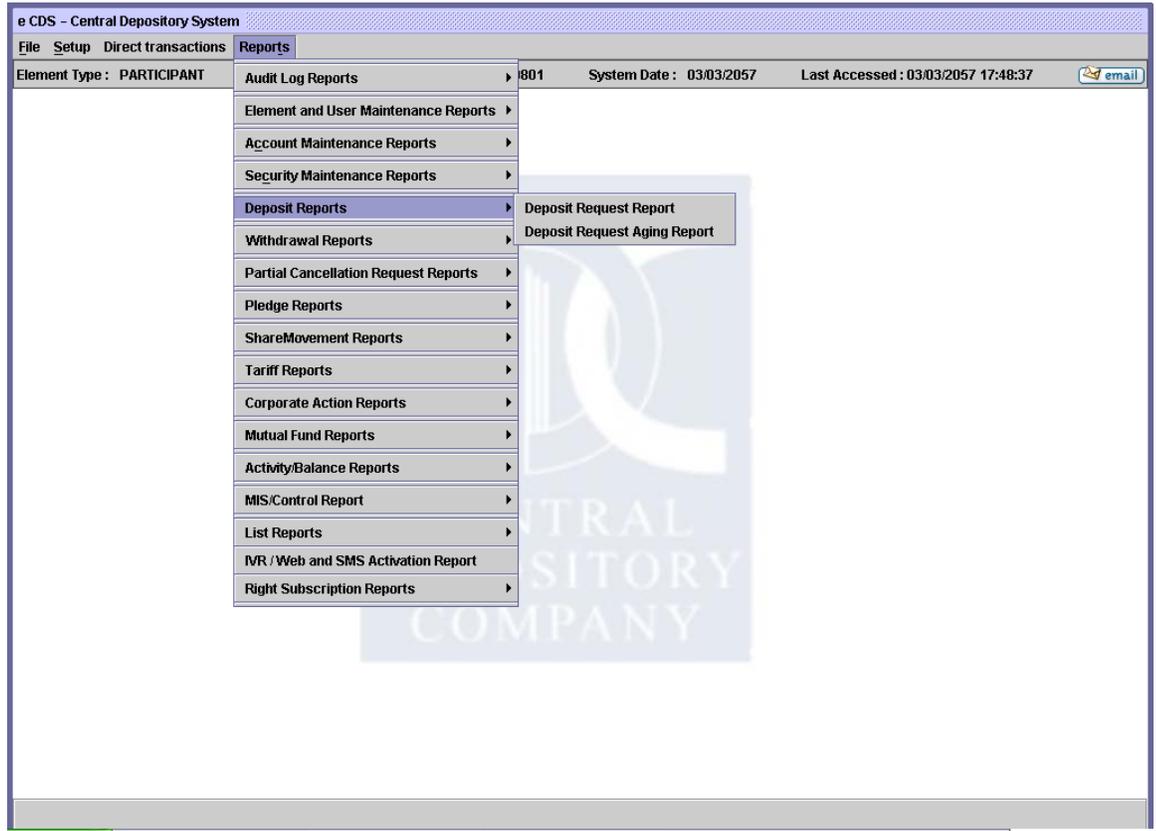
- \* **From/To Dates**      The dates to be covered by the report should be entered in these fields.
  
- \* **Selection**              By selecting the respective radio buttons, the user can generate the report ‘Security Wise’ or ‘Sector Wise.’
  
- \* **Security Symbol**        By selecting the respective radio button, the user can generate the report for ‘All’ or ‘Specific’ securities.

After the user has entered the above parameters, the ‘OK’ button should be clicked in order to display the report on the screen or the ‘Cancel’ button to quit the program without displaying the report.

When the report is displayed, the user can get it printed as explained in the chapter “Getting Started.”

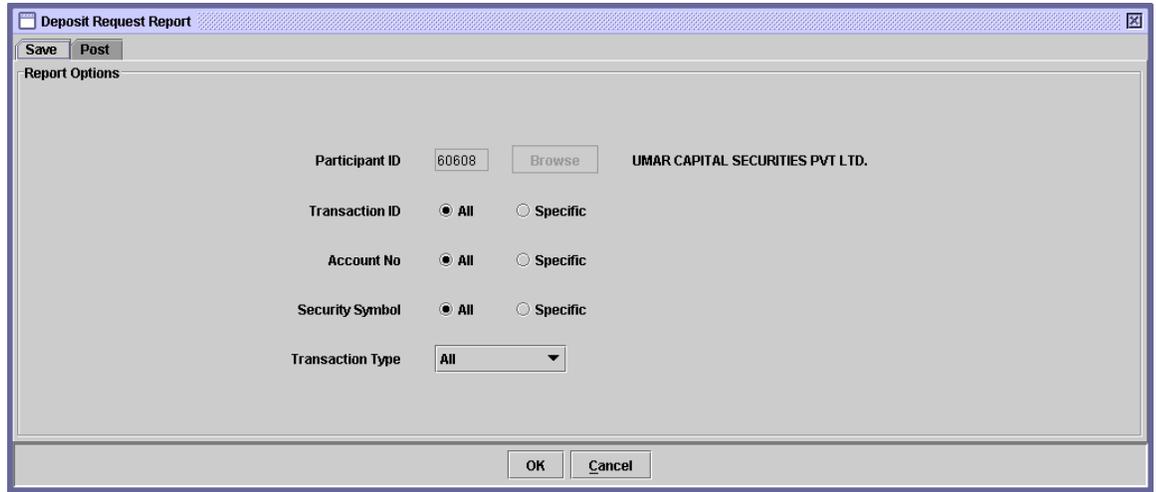
## 7.5 DEPOSIT REPORT

As shown below, when the Deposit Reports menu item is highlighted, a sub-menu is displayed:



### 7.5.1 Deposit Request Report

The *Deposit Request Report* menu item is displayed when the *Deposit Reports* option on the Reports Menu is highlighted. It enables the user to display or print a report showing the saved and posted Deposit Requests relating to a particular participant. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Deposit Request Report". At the top left, there are two tabs: "Save" (selected) and "Post". Below the tabs is a section labeled "Report Options".

The "Report Options" section contains the following fields:

- Participant ID:** A text box containing "60608" and a "Browse" button. To the right, the text "UMAR CAPITAL SECURITIES PVT LTD." is displayed.
- Transaction ID:** Two radio buttons: "All" (selected) and "Specific".
- Account No:** Two radio buttons: "All" (selected) and "Specific".
- Security Symbol:** Two radio buttons: "All" (selected) and "Specific".
- Transaction Type:** A dropdown menu with "All" selected.

At the bottom of the dialog box, there are two buttons: "OK" and "Cancel".

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate a report related to saved Deposit Request transactions. In order to generate report related posted Deposit Request transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

The Participant ID is hard coded in both Save and Post tabs, and cannot be changed by the user.

If the user wants to display or print a report related to save Deposit Request transactions, the 'Save' tab of the above screen has to be clicked and the following data in the respective fields has to be entered:

- \* **Transaction ID** The user has the option to generate a Deposit Request report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively. Hence, the transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option, as shown below:

The screenshot shows a software window titled "Deposit Request Report". At the top left, there are "Save" and "Post" buttons. Below them is the "Report Options" section. The fields are as follows:

- Participant ID:** A text box containing "60608" and a "Browse" button. To the right, the text "UMAR CAPITAL SECURITIES PVT LTD." is displayed.
- Transaction ID:** Two radio buttons, "All" and "Specific". The "Specific" radio button is selected. To the right of "Specific" is a text box containing "2057" and another empty text box, followed by a "Browse" button.
- Account No:** Two radio buttons, "All" and "Specific". The "All" radio button is selected.
- Security Symbol:** Two radio buttons, "All" and "Specific". The "All" radio button is selected.
- Transaction Type:** A dropdown menu currently showing "All".

At the bottom of the window, there are "OK" and "Cancel" buttons.

When the *Specific* option is selected all other fields are disabled. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction ID.

- \* **Account No.** The user has the option to generate a Deposit Request report for all accounts or for a specific account by clicking the '*All*' or '*Specific*' radio buttons, respectively. Hence, the account number is required if *Specific* radio button is clicked in the Account No. field.

This field is enabled only if *All* option is selected in the Transaction ID field. The textbox for entering the Account No. does not appear unless the user selects the *Specific* option, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

**\* Security Symbol**

The user has the option to generate a Deposit Request report for all securities or for a specific security by clicking the 'All' or 'Specific' radio buttons, respectively. Hence, the Security Symbol is required if *Specific* radio button is clicked in the Security Symbol field.

This field is enabled only if *All* option is selected in the Transaction ID field. The textbox for entering the Security Symbol does not appear unless the user selects the *Specific* option, as shown below:

A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

- \* **Transaction Type** The user can select a Transaction Type for generating Deposit Request report for only the specified type of transaction. The user can also generate the report for all transaction types by selecting the *'All'* option from the Transaction Type combo box. The available options are *'To Be Added,' 'To Be Cancelled,'* and *'All.'*

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter *"Getting Started."*

In order to display or print a report related to posted Deposit Request transactions, the user needs to go to the *'Post'* tab of the above screen. This screen provides the user with Search Options, as shown below:

The screenshot shows the 'Deposit Request Report' window. At the top, there are 'Save' and 'Post' buttons. The 'Participant ID' is set to '60608' and the name is 'UMAR CAPITAL SECURITIES PVT LTD.'. The 'Search Option' is set to 'Date Range'. Below this, 'From Date' and 'To Date' are both set to '19/05/2017'. The 'Status' is set to 'Approved/Rejected'. There is a 'Search Options' section with fields for 'Transaction ID', 'Account Number', and 'Security Symbol', and a 'Search' button. Below this is a table with columns: TRANSACTION ID, PARTICIPANT ID, ACCOUNT NO, SECURITY SYMBOL, VOLUME, REMARKS, and STATUS. At the bottom are 'Refresh', 'OK', and 'Cancel' buttons.

The Participant ID field is hard coded and cannot be changed by the user. The Search Option combo box enables the user to search posted Deposit Request transaction on the basis of a specific 'Date Range' or 'Transaction ID.' When the user selects 'Transaction ID' from the Search Option combo box in the above screen, the textbox for entering the required Transaction ID appears, as shown below:

The screenshot shows the 'Deposit Request Report' window with the 'Search Option' set to 'Transaction ID'. The 'Transaction ID' field now contains '2057' and has a 'Browse' button next to it. The 'From Date' and 'To Date' fields are no longer visible. The rest of the interface, including the table and bottom buttons, remains the same as in the previous screenshot.

A 'Browse' button is provided next to the textbox to look up the desired Transaction ID in case the user does not remember it. The Transaction ID Look-up Table is shown below:

TRANSACTION ID	ACCOUNT NO	VOLUME	SECURITY SYMBOL	R/TA ID	
2001-28813	12	5,000,000	OLTFC	00013	Deposit of Orix
2001-3612	12	500	TPM	00048	
2002-51330	12	3,187	PITFC	00185	DEPOSIT REQ
2002-49743	12	3,300	ATFC1	00027	Deposit Reqst
2002-48961	12	4,010	PLTFC	00258	Deposit Rqst f
2004-9	509	20,000	NBP	00232	
2004-8	541	10,000	TRCL	00162	
2004-7	517	10,000	BRRIM	00095	

If 'Date Range' is selected from the Search Option combo box, the 'Status' field appears, enabling the user to select a status for the posted Deposit Request transactions. The available options in the Status combo box are 'Approved/Rejected,' 'Pending,' 'Cancelled' and 'All.'

When the desired criteria has been entered, clicking the 'Refresh' button at the bottom of the screen returns the records matching the provided criteria in the scrolling table. This is shown below:

Participant ID: 60608 UMAR CAPITAL SECURITIES PVT LTD.

Search Option: Date Range

From Date: 19/05/2029 To Date: 19/05/2057

Status: Approved/Rejected

Search Options: Transaction ID, Account Number, Security Symbol

TRANSACTION ID	PARTICIPANT ID	ACCOUNT NO	SECURITY SYMBOL	VOLUME	REMARKS	STATUS
2057-628	60608	20	SHT	15,000	Deposit Request by Cor...	Approved/Rejected
2049-340	60608	87	PSO	50,000		Approved/Rejected
2049-332	60608	87	PSO	80,000	test	Approved/Rejected
2049-330	60608	814	PSO	60,000	test	Approved/Rejected
2049-331	60608	590	PSO	70,000	gtest	Approved/Rejected

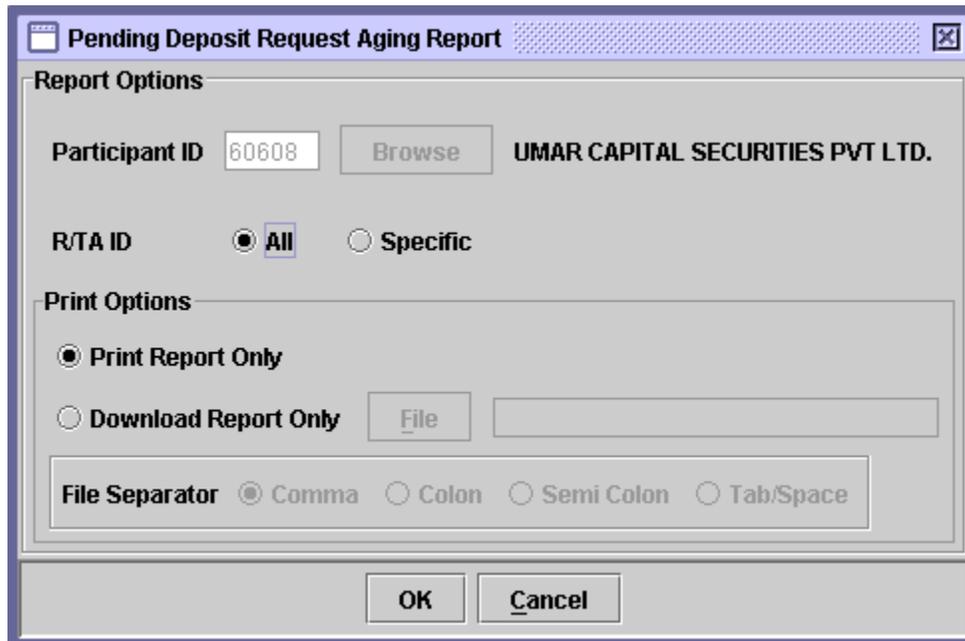
Buttons: Refresh, OK, Cancel

The user also has Search Options for displaying posted Deposit Request transactions matching the given Transaction ID, Account Number and/or Security Symbol. Clicking the 'Search' button after entering this data in the fields provided above the scrolling table, returns the records matching the criteria in scrolling table.

After selecting the desired record from the scrolling table, clicking the 'OK' generates the report and clicking the 'Cancel' button exits without generating the report.

### 7.5.2 Deposit Request Aging Report

The *Deposit Request Aging* report option enables the user to display or print aging information related to deposit requests related to accounts. This option is available in the submenu which is displayed when the Deposit Reports menu item in the Reports menu is highlighted. Clicking this option displays the screen shown below:



The screenshot shows a dialog box titled "Pending Deposit Request Aging Report". It contains the following fields and options:

- Report Options:**
  - Participant ID:** A text box containing "60608" and a "Browse" button. To the right, the text "UMAR CAPITAL SECURITIES PVT LTD." is displayed.
  - R/TA ID:** Two radio buttons: "All" (selected) and "Specific".
- Print Options:**
  - Two radio buttons: "Print Report Only" (selected) and "Download Report Only".
  - Next to "Download Report Only" is a "File" button and an empty text box.
- File Separator:** Four radio buttons: "Comma" (selected), "Colon", "Semi Colon", and "Tab/Space".

At the bottom of the dialog box are "OK" and "Cancel" buttons.

If the Deposit Request Aging report is to be generated for deposit requests related to all R/TAs, the user should select the 'All' radio button in the R/TA field. If the report is required for deposit requests related to a specific R/TA, the 'Specific' radio button is to be selected.

Selecting the 'Specific' radio button displays the textbox for entering the desired R/TA ID as shown below:

**Pending Deposit Request Aging Report**

**Report Options**

Participant ID   UMAR CAPITAL SECURITIES PVT LTD.

R/TA ID  All  Specific

**Print Options**

Print Report Only

Download Report Only

**File Separator**  Comma  Colon  Semi Colon  Tab/Space

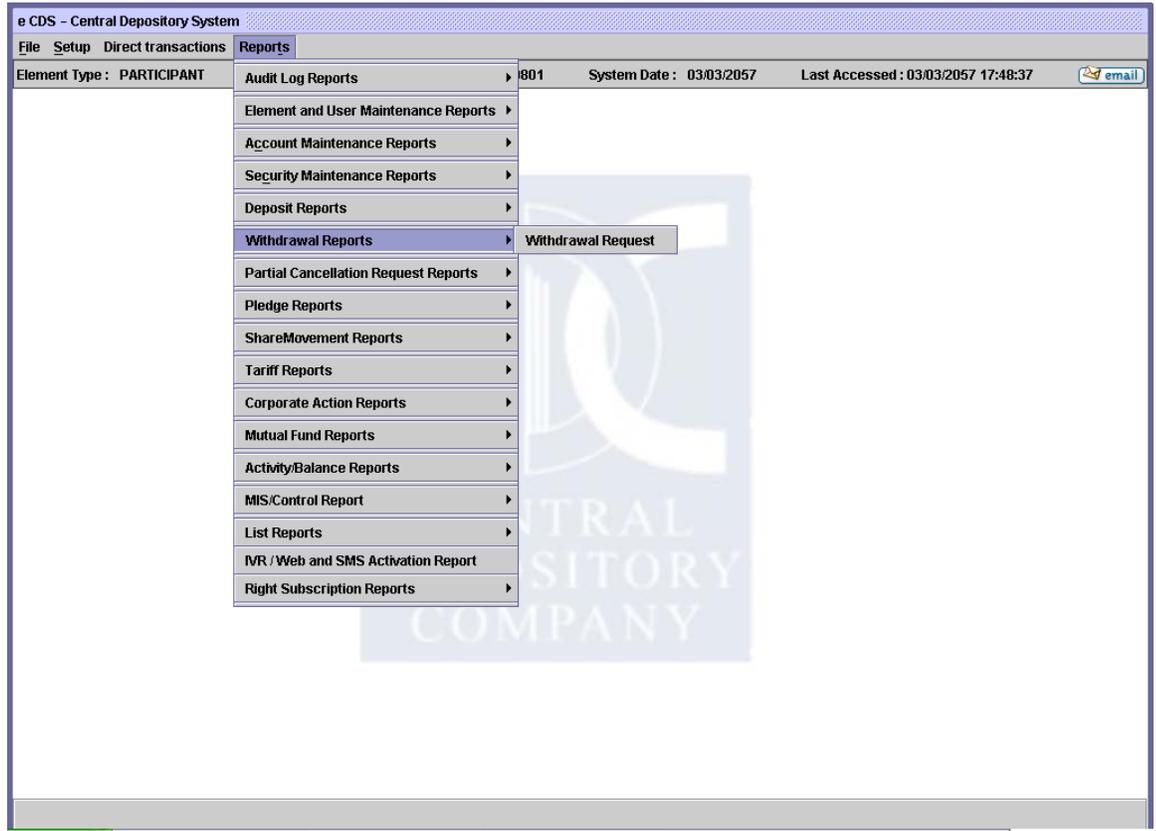
The *'Browse'* button next to the textbox enables the user to access a lookup table containing all valid R/TAs in case the user does not remember the relevant R/TA ID.

The report shows the Transaction ID, Account No., Security Name, and Security symbol, R/TA Name, Contact No., Contact Name, Posted Volume, Transaction Date and Days elapsed.

The user may click the *'Ok'* button to generate the report or *'Cancel'* button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started.

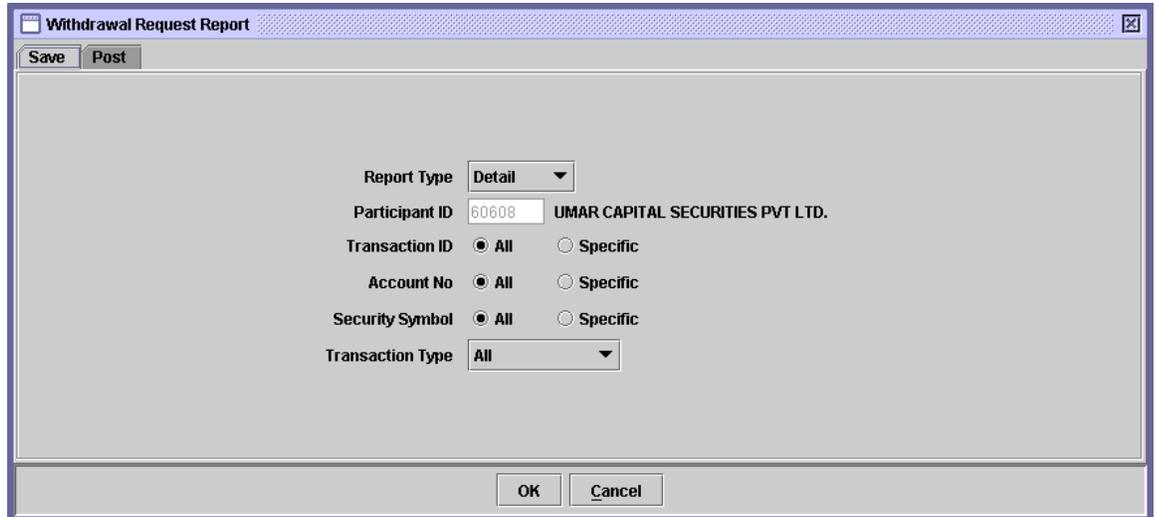
## 7.6 WITHDRAWAL REPORT

As shown below, when the Withdrawal Reports menu item is highlighted, a sub-menu is displayed:



### 7.6.1 Withdrawal Request Report

The *Withdrawal Request Report* menu item is displayed when the *Withdrawal Reports* option on the Reports Menu is highlighted. It enables the user to display or print a report showing the saved and posted Withdrawal Requests relating to a particular participant. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Withdrawal Request Report". At the top left, there are two tabs: "Save" (selected) and "Post". The main area contains the following fields and options:

- Report Type: Detail (dropdown menu)
- Participant ID: 60608 (text box) UMAR CAPITAL SECURITIES PVT LTD. (label)
- Transaction ID:  All  Specific
- Account No:  All  Specific
- Security Symbol:  All  Specific
- Transaction Type: All (dropdown menu)

At the bottom right, there are "OK" and "Cancel" buttons.

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Withdrawal Request transactions. In order to generate a report related to posted Withdrawal Request transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

The Participant ID is hard coded in both Save and Post tabs, and cannot be changed by the user.

If the user wants to display or print a report related to saved Withdrawal Request transactions, the 'Save' tab of the above screen has to be clicked and the following data in the respective fields has to be entered:

- \* **Report Type** The user can opt to generate a detailed or summarized report by selecting the 'Detail' or 'Summary' options from the 'Report Type' combo box respectively. If the 'Summary' option is selected, the above screen changes into the following:

Withdrawal Request Report

Save Post

Report Type Summary

Participant ID 60608 UMAR CAPITAL SECURITIES PVT LTD.

Security Symbol  All  Specific

From Date 19/05/2057 To Date 19/05/2057

Transaction Type All

OK Cancel

As evident from the above screen, the 'Transaction ID' and 'Account No.' fields are replaced with 'From Date' and 'To Date' if the 'Summary' option is selected in the Report Type field.

- \* **Transaction ID** The Transaction ID field is visible if the user selects 'Detail' in the Report Type combo box. The user has the option to generate a Withdrawal Request report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively, in the Transaction ID field. Hence, the transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option, as shown below:

Withdrawal Request Report

Save Post

Report Type: Detail

Participant ID: 60608 UMAR CAPITAL SECURITIES PVT LTD.

Transaction ID:  All  Specific   Browse

OK Cancel

When the *Specific* option is selected all successive fields are disabled. A *Browse* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction ID.

- \* **Account No.** The user has the option to generate a Withdrawal Request report for all accounts or for a specific account by clicking the *All* or *Specific* radio buttons, respectively, in The Account No. field.. Hence, the account number is required if *Specific* radio button is clicked in the Account No. field.

This field is enabled only if *All* option is selected in the Transaction ID field. The textbox for entering the Account Number does not appear unless the user selects the *Specific* option, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

**\* Security Symbol**

The Security Symbol field is available in both 'Detail' and 'Summary' Report Type. However, in the 'Detail' mode, this field is visible only if 'All' is selected in the Transaction ID field.

The user has the option to generate a Withdrawal Request report for all securities or for a specific security by clicking the 'All' or 'Specific' radio buttons, respectively. Hence, the Security Symbol is required if *Specific* radio button is clicked in the Security Symbol field.

The textbox for entering the Security Symbol does not appear unless the user selects the *Specific* option, as shown below:

A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

- \* **Transaction Type** The user can select a Transaction Type for generating Withdrawal Request report for only the specified type of transaction. The user can also generate the report for all transaction types by selecting the 'All' option from the Transaction Type combo box. The available options are 'To Be Added,' 'To Be Cancelled,' 'To Be Approved,' 'To Be Rejected,' 'Pending' and 'All.'

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Withdrawal Request transactions, the user needs to go to the 'Post' tab of the above screen. This screen provides the user with Search Options, as shown below:

**Withdrawal Request Report**

Save Post

Report Type: Detail

Participant ID: 60608 UMAR CAPITAL SECURITIES PVT LTD.

From Date: 19/05/2057 To Date: 19/05/2057

Status: All

Transaction ID: [ ] Account No: [ ] Security Symbol: [ ] Search

Transaction ID	Participant Id	Account No	Security Symbol	Status	Remarks

Refresh OK Cancel

The 'From Date' and 'Status' fields function the same way as in the Save tab explained above. Clicking the 'Refresh' button at the bottom of the screen returns posted Withdrawal Request transactions matching the specified criteria.

Using the 'Search' button, the user can also display transactions in the scrolling table that match the 'Transaction ID,' 'Account No.' and 'Security Symbol' entered in the respective fields.

If the user selects 'Summary' option from the 'Report Type' combo box, these search options and the scrolling table disappear and the 'Security Symbol' field appears. Using this field, the user can specify a particular security for which the Withdrawal Request report is required by selecting the 'Specific' option or select the 'All' option to generate the report for all securities. When the user selects the 'Specific' option with Report Type specified as 'Summary' a textbox for entering the 'Security Symbol' appears, as shown below:

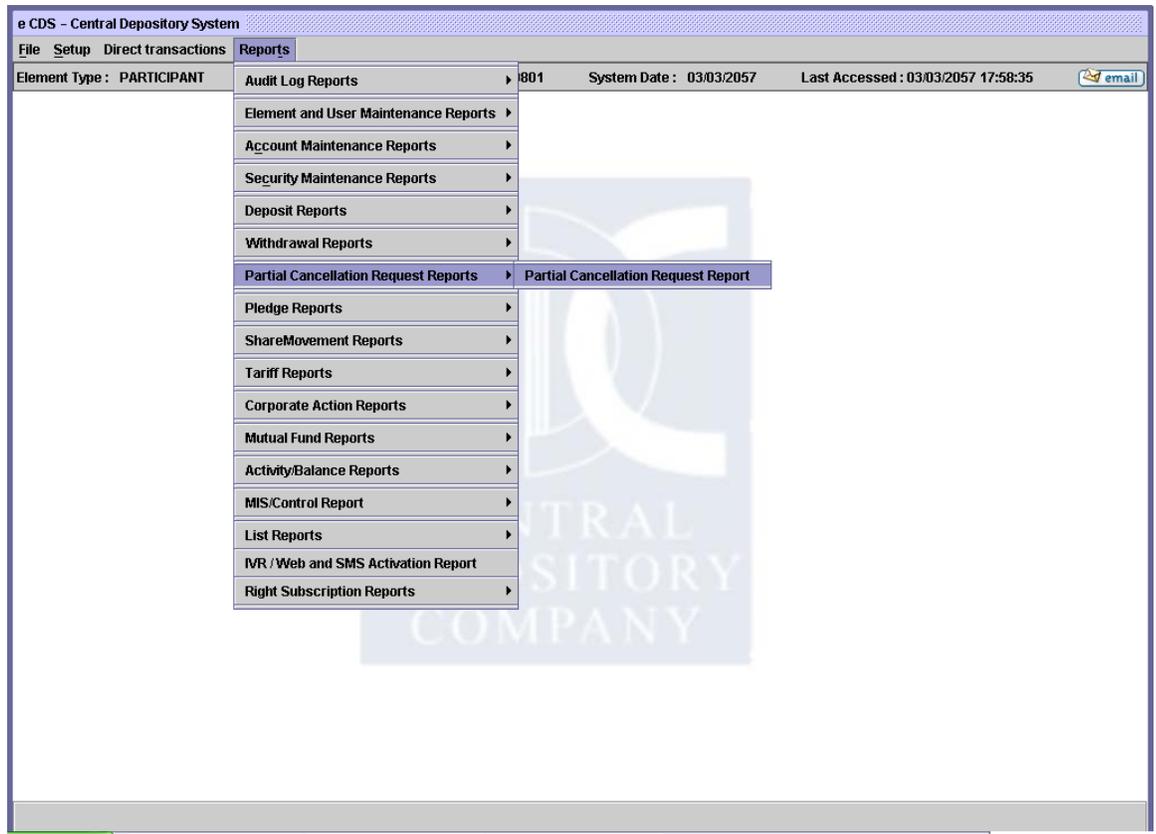
A 'Browse' button is provided by the side of the textbox to provide access to a lookup table in case the user does not remember the correct Security Symbol. The Security Symbol Look-up Table is shown below:

SECURITY SYMBOL	SECURITY NAME	SECURITY CODE	FACE VALUE	R/TA ID
TRAC2	AL-GHAZI	1	10.00	77777
AGTL	AL-GHAZI TRACTORS LIMITED	1	5.00	00600
AMSSL	AL-MAL SECURITIES & SERVICES LIMITED	1	10.00	00024
ASTFC	AL-NOOR SUGAR MILLS LIMITED - TFC	4	5,000.00	00071
ALZM	AL-ZAMIN LEASING MODARABA	5	10.00	00002
ALFH	ALFALAH BANK LIMITED-IA	1	20.00	00002
ALTFC6	ALFALAH TEST SIX-IA	1	10.00	00002
ALTFC3	ALFALAH TEST THREE-IA	1	10.00	00002
ABSCO	ALI BILAL & CO	1	10.00	00190
ALXT	ALIX TEXTILE	1	10.00	00002
ABTEC	ALLIANCE BRITISH TECHNOLOGY OF PAKISTAN PRI...	1	10.00	00002
ABL-SNL	Allied Bank Limited	1	10.00	66663
ABLTCF	Allied Bank Limited - TFC	5	1,000.00	00600
ABL-SNL2	Allied Bank Limited 2	1	10.00	66663
FUTMOV	ALLIED MOTORS LIMITED	1	10.00	00095
ALLOTMENT6	ALLOTMENT SIX TESTING	1	10.00	00002
AWIN	ALLWIN ENGINEERING INDUSTRIES LIMITED	1	10.00	00131
ALSTE	ALSAM TEXTILE	1	10.00	00002

After selecting the desired record from the scrolling table, clicking the 'OK' generates the report and clicking the 'Cancel' button exits without generating the report.

## 7.7 PARTIAL CANCELLATION REQUEST REPORTS

The *Partial Cancellation Request Reports* option on the Reports Menu enables the user to display and/or print reports relating to the partial cancellation transaction in the system. As shown below, when the Partial Cancellation Request Reports menu item is highlighted, a sub-menu is displayed:



Clicking Partial Cancellation Request Report menu item displays the screen shown below:

When the above screen appears, the user is on the ‘Save’ tab by default. This tab is used to generate report related to saved Partial Cancellation Request transactions. In order to generate a report related to posted Partial Cancellation Request transactions, the user should click the ‘Post’ tab. Clicking the ‘Post’ tab displays the following screen:

Transaction ID	Participant Id	Account No	Security Symbol	Status	Remarks	Volume

The Participant ID is hard coded in both Save and Post tabs, and cannot be changed by the user.

If the user wants to display or print a report related to saved Partial Cancellation Request transactions, the ‘Save’ tab of the above screen has to be clicked and the following data in the respective fields has to be entered:

- \* **Transaction ID** The Transaction ID field is visible to the user to select or enter a valid Transaction ID. The user has the option to generate a Partial Cancellation Request report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively, in the Transaction ID field. Hence, the transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option, as shown below:

The screenshot shows a window titled "Partial Cancellation Request Report". At the top left, there are "Save" and "Post" buttons. The main content area displays "Participant ID" with the value "60608" and the name "UMAR CAPITAL SECURITIES PVT LTD.". Below this, the "Transaction ID" section has two radio buttons: "All" (unselected) and "Specific" (selected). To the right of the "Specific" radio button are two empty text input fields and a "Browse" button. At the bottom of the window, there are "OK" and "Cancel" buttons.

When the *Specific* option is selected all successive fields are hidden. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction ID.

- \* **Account No.** The user has the option to generate a Partial Cancellation Request report for all accounts or for a specific account by clicking the 'All' or 'Specific' radio buttons, respectively, in The Account No. field. Hence, the account number is required if *Specific* radio button is clicked in the Account No. field.

This field is enabled only if *All* option is selected in the

Transaction ID field. The textbox for entering the Account Number does not appear unless the user selects the *Specific* option, as shown below:

Partial Cancellation Request Report

Save Post

Participant ID 60608 UMAR CAPITAL SECURITIES PVT LTD.

Transaction ID  All  Specific

Account No  All  Specific  Browse

Security Symbol  All  Specific

From Date 03/03/2057 To Date 03/03/2057

Transaction Type All

OK Cancel

A *Browse* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

#### \* Security Symbol

The user has the option to generate a Partial Cancellation Request report for all securities or for a specific security by clicking the *All* or *Specific* radio buttons, respectively. Hence, the Security Symbol is required if *Specific* radio button is clicked in the Security Symbol field.

The textbox for entering the Security Symbol does not appear unless the user selects the *Specific* option, as shown below:

Partial Cancellation Request Report

Save Post

Participant ID 60608 UMAR CAPITAL SECURITIES PVT LTD.

Transaction ID  All  Specific

Account No  All  Specific

Security Symbol  All  Specific  Browse

From Date 03/03/2057 To Date 03/03/2057

Transaction Type All

OK Cancel

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

- \* **From / To Date** The desired date range on which user want to fetch the report.
- \* **Transaction Type** The user can select a Transaction Type for generating Partial Cancellation Request report for only the specified type of transaction. The user can also generate the report for all transaction types by selecting the 'All' option from the Transaction Type combo box. The available options are 'To Be Added,' 'To Be Cancelled and 'All'.

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Partial Cancellation Request transactions, the user needs to go to the 'Post' tab of the above screen. This screen provides the user with Search Options, as shown below:

Partial Cancellation Request Report

Save Post

Report Type: Detail

Participant ID: 60608 UMAR CAPITAL SECURITIES PVT LTD.

From Date: 03/03/2057 To Date: 03/03/2057

Status: All

Transaction ID: Account No: Security Symbol: Search

Transaction ID	Participant Id	Account No	Security Symbol	Status	Remarks	Volume

Refresh OK Cancel

The 'From Date' and 'Status' fields function the same way as in the Save tab explained above. Clicking the 'Refresh' button at the bottom of the screen returns posted Partial Cancellation Request transactions matching the specified criteria.

Using the 'Search' button, the user can also display transactions in the scrolling table that match the 'Transaction ID,' 'Account No.' and 'Security Symbol' entered in the respective fields.

If the user selects 'Summary' option from the 'Report Type' combo box, these search options and the scrolling table disappear and the 'Security Symbol' field appears. Using this field, the user can specify a particular security for which the Partial Cancellation Request report is required by selecting the 'Specific' option or select the 'All' option to generate the report for all securities. When the user selects the 'Specific' option with Report Type specified as 'Summary' a textbox for entering the 'Security Symbol' appears, as shown below:

**Partial Cancellation Request Report**

Save Post

Report Type **Summary** ▼

Participant ID  **UMAR CAPITAL SECURITIES PVT LTD.**

Security Symbol  All  Specific

From Date  To Date

Transaction Type **All** ▼

OK Cancel

A 'Browse' button is provided by the side of the textbox to provide access to a lookup table in case the user does not remember the correct Security Symbol. The Security Symbol Look-up Table is shown below:

**Security Symbol Lookup**

Search Options

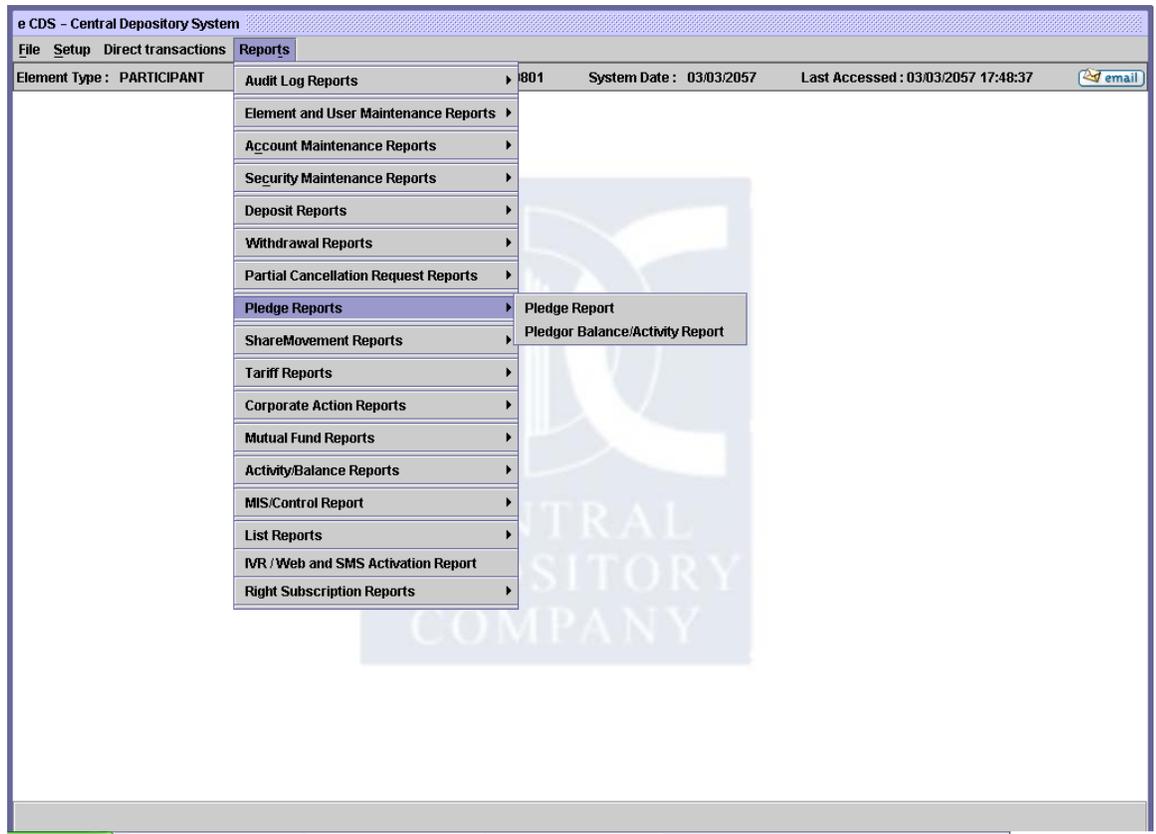
Security Name  Search Refresh

SECURITY SYMBOL	SECURITY NAME	SECURITY CODE	FACE VALUE	R/TA ID
AMMF	AL MEEZAN MUTUAL FUND LIMITED	5	10.00	00232
AABS	AL-ABBAS SUGAR MILLS LIMITED	1	10.00	21009
ASM	AL-ABID SILK MILLS LIMITED	1	10.00	00600
TRAC2	AL-GHAZI	1	10.00	77777
AGTL	AL-GHAZI TRACTORS LIMITED	1	5.00	00600
AMSSL	AL-MAL SECURITIES & SERVICES LIMITED	1	10.00	00024
ASTFC	AL-NOOR SUGAR MILLS LIMITED - TFC	4	5,000.00	00071
ALZM	AL-ZAMIN LEASING MODARABA	5	10.00	00002
ALFH	ALFALAH BANK LIMITED-IA	1	20.00	00002
ALTFC6	ALFALAH TEST SIX-IA	1	10.00	00002
ALTFC3	ALFALAH TEST THREE-IA	1	10.00	00002
ABSCO	ALI BILAL & CO	1	10.00	00190
ALXT	ALIX TEXTILE	1	10.00	00002
ABTEC	ALLIANCE BRITISH TECHNOLOGY OF PAKISTAN ...	1	10.00	00002
ABL-SNL	Allied Bank Limited	1	10.00	66663
ABLTC	Allied Bank Limited - TFC	5	1,000.00	00600
ABL-SNL2	Allied Bank Limited 2	1	10.00	66663
FUTMOV	ALLIED MOTORS LIMITED	1	10.00	00095

After selecting the desired record from the scrolling table, clicking the 'OK' generates the report and clicking the 'Cancel' button exits without generating the report.

## 7.8 PLEDGE REPORTS

The *Pledge Reports* option on the Reports Menu enables the user to display and/or print reports relating to the pledge transaction setup in the system. As shown below, when the Pledge Reports menu item is highlighted, a sub-menu is displayed:



## 7.8.1 Pledge Report

The *Pledge Report* menu item enables the user to display or print the details of the Account Setup transactions related to saved or posted accounts under the respective participant's control. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Pledge Report" with two tabs: "Save" (selected) and "Post". Under "Report Options", the "Report Type" is set to "Detail". The "Participant ID" is "60608" and the name is "UMAR CAPITAL SECURITIES PVT LTD.". There are five rows of radio button options, each with "All" selected: "Account Number", "Pledgee ID", "Pledgee Group ID", and "Security Symbol". At the bottom are "OK" and "Cancel" buttons.

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Pledge transactions. In order to generate report related posted Pledge transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:



The screenshot shows the same "Pledge Report" dialog box, but the "Post" tab is selected. The "Report Options" are identical to the previous screen. Additionally, there are "From Date" and "To Date" fields, both containing "19/05/2057". The "OK" and "Cancel" buttons are at the bottom.

The Participant ID, displayed on both Save and Post tabs of the above screen, is hard coded and cannot be changed.

In order to display or print a report related to saved Pledge transactions, the user needs to go to the 'Save' tab of the above and enter the following data:

- \* Report Type**      The user has the option to select whether has wants to generate the report in detailed or summarized form. The '*Summary*' view shows the consolidated information related to the pledged securities for the Participant. Selecting the Summary option from the combo box causes the '*Sorting Order*' field to appear on the screen while all other fields disappear. Through the Sorting Order field, the user can arrange the data according to 'Pledgee' or 'Security.' This report contains the Participant ID, Pledgee ID, No. of Transactions, Available Volume and Blocked Volume.

The user can also choose to view the detailed version by selecting the '*Detail*' option from the combo box. This shows the Pledgee ID, Pledge Group ID, A/C Number , Account Title, Security Symbol, Security Name, Available Volume, Blocked Volume and Remarks.
- \* Account Number**      The user has the option to generate the Pledge Report for all accounts or for a specific account. The field provides two radio buttons, '*All*' and '*Specific*.' In case the user selects the '*Specific*' option, the Account Number is required in the textbox that appears next to the field. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account number. This field appears when the Detail view is selected in the Report Type combo box.
- \* Pledgee ID**      The user has the option to generate the Pledge Report

for all Pledgeses or for a specific Pledgee. The field provides two radio buttons, 'All' and 'Specific.' In case the user selects the 'Specific' option, the Pledgee ID is required in the textbox that appears next to the field. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Pledgee ID. This field appears when the Detail view is selected in the Report Type combo box.

- \* **Pledge Group ID** The user has the option to generate the Pledge Report for all Pledge Groups or for a specific Pledge Group. The field provides two radio buttons, 'All' and 'Specific.' In case the user selects the 'Specific' option, the Pledge Group ID is required in the textbox that appears next to the field and user must input in that field manually.
  
- \* **Security Symbol** The user has the option to generate the Pledge Report for all securities or for a specific security. The field provides two radio buttons, 'All' and 'Specific.' In case the user selects the 'Specific' option, the Security Symbol is required in the textbox that appears next to the field. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol. This field appears when the Detail view is selected in the Report Type combo box.

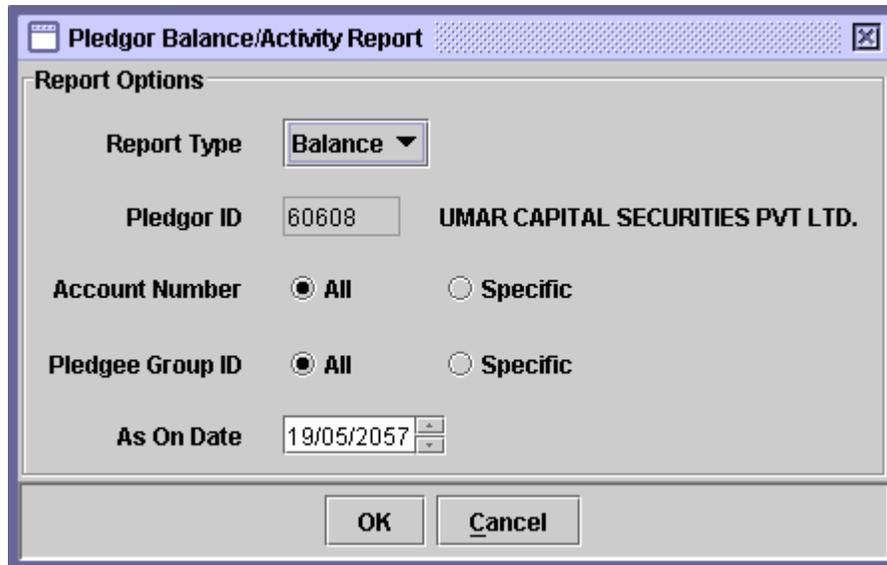
Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Pledge transactions, the user needs to go to the 'Post' tab of the above screen. In addition to the field

mentioned above, the Post tab also has the 'From Date' and 'To Date' fields used to enter the dates to be covered by the Pledge Report.

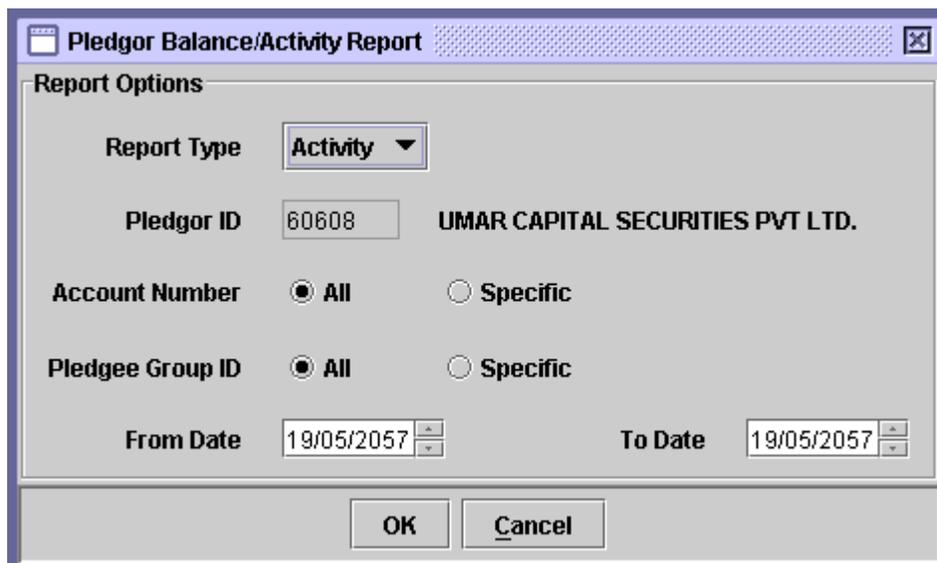
## 7.8.2 Pledgor Balance/Activity Report

The 'Pledgor Balance/Activity Report' menu item enables the user to display or print the details related to the balances of the pledged securities as on a given date, or the pledge related activity performed during a specified date range. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Pledgor Balance/Activity Report". Under the "Report Options" section, the "Report Type" is set to "Balance". The "Pledgor ID" is "60608" and the name is "UMAR CAPITAL SECURITIES PVT LTD.". The "Account Number" and "Pledgee Group ID" are both set to "All". The "As On Date" is "19/05/2057". There are "OK" and "Cancel" buttons at the bottom.

In case if the user selects the Activity report type, then the following screen will be shown:



The screenshot shows the same dialog box, but with "Report Type" set to "Activity". The "From Date" and "To Date" are both "19/05/2057". All other fields and buttons remain the same as in the previous screenshot.

The Participant ID field shows the current Participant ID and is disabled for data entry. The data to be entered in the above screen is as follows:

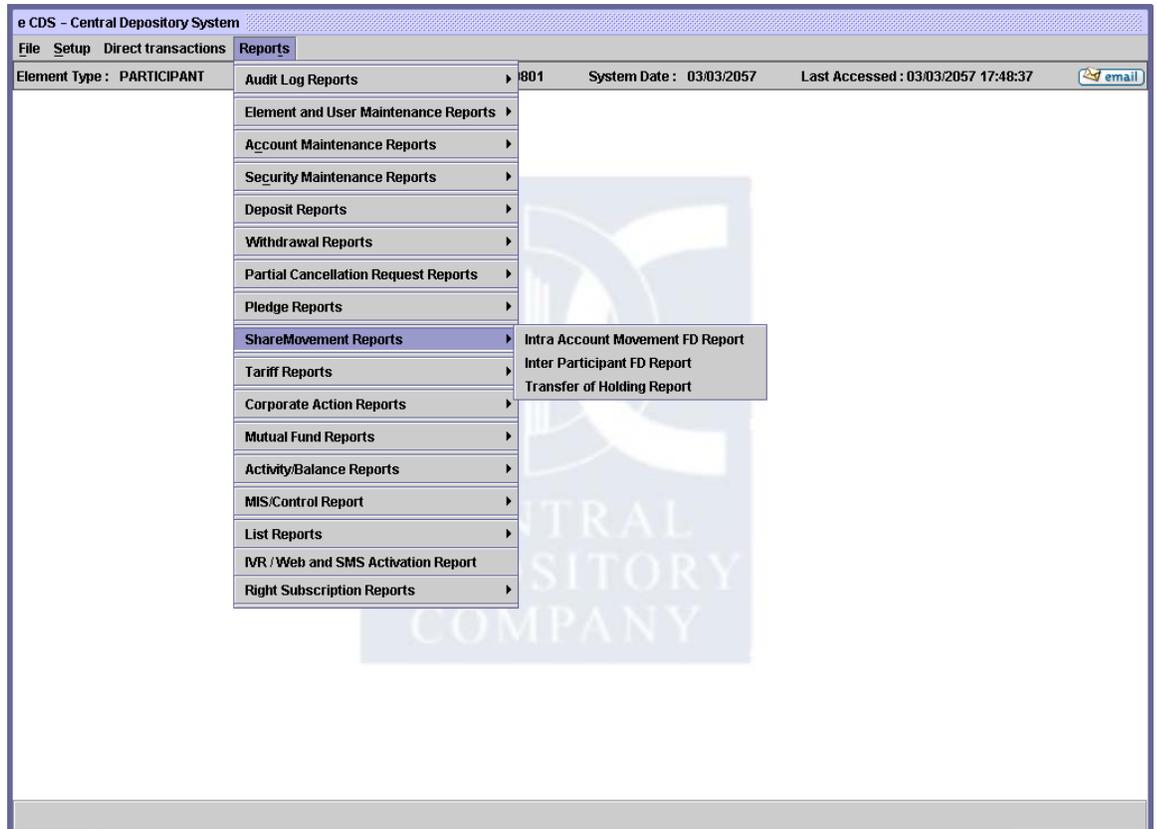
- \* **Report Type**      The user has the option to select whether he wants to generate the report related to the balances of pledged securities on a specified date or the activity related to pledging of securities between two specific dates.
- \* **Account Number**      The user has the option to generate the Pledgor Balance/Activity Report for all accounts or for a specific account. The field provides two radio buttons, 'All' and 'Specific.' In case the user selects the 'Specific' option, the Account Number is required in the textbox that appears next to the field. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account number.
- \* **Pledge Group ID**      The user has the option to generate the Pledgor Balance/Activity Report for all Pledge Groups or for a specific Pledge Group. The field provides two radio buttons, 'All' and 'Specific.' In case the user selects the 'Specific' option, the Pledge Group ID is required in the textbox that appears next to the field and user must input data manually in that field.
- \* **As on Date**      This field is available when the 'Balance' option is selected in the Report Type field. This refers to the date as on which the report is generated. If the user changes the Report Type option to 'Activity' this field changes to 'From Date' and 'To Date' fields.
- \* **From Date & To Date**      The dates to be covered by the report should be entered in these fields. These fields appear when the user selects the 'Activity' option in the Report Type

field.

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

## 7.9 SHARE MOVEMENT REPORTS

The *Share Movement Reports* option on the Reports Menu enables the user to display and/or print reports relating to Free Delivery transactions carried out by the Participant. As shown below, when the Share Movement Reports menu item is highlighted, a sub-menu is displayed:



Each of the options in the sub-menu above is dealt with in the paragraphs that follow.

### 7.9.1 Intra Account Movement Report

The *Intra Account Movement Report* menu item which is displayed when the *Share Movement Reports* option on the Reports menu is highlighted enables the user to display or print a report showing the saved and posted Intra-Account Free Deliveries relating to a particular participant. Clicking this menu item displays the screen shown below:

**Intra Account Free Deliveries Report**

**Save** **Post**

Participant ID: 60608  UMAR CAPITAL SECURITIES PVT LTD.

Report Type:  All  Future Dated  Non Future Dated

From Account:  All  Specific

To Account:  All  Specific

Security Symbol:  All  Specific

Reason Code:  All  Specific

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Intra Account Free Delivery transactions. In order to generate report related posted Intra Account Free Delivery transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

The Participant ID displayed on both Save and Post tabs of the above screen are hard coded and cannot be changed.

In order to display or print a report related to saved Intra Account Free Delivery transactions, the user needs to go to the 'Save' tab of the above screen and enter the following data:

- \* **Report Type** The user has the option to generate the report for 'All' Intra Account Free Delivery transactions, 'only *Future Dated*' Intra Account Free Delivery transactions, or only *Non Future Dated*' Intra Account Free Delivery transactions.
- \* **From Account** 'From Account' refers to the account from which the free delivery is made. The *From Account* field allows the user to generate the report for 'All' accounts under the Participant's control or for a 'Specific' account. A textbox is displayed for entering the account number if the 'Specific' radio

button is selected. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account no.

\* **To Account**

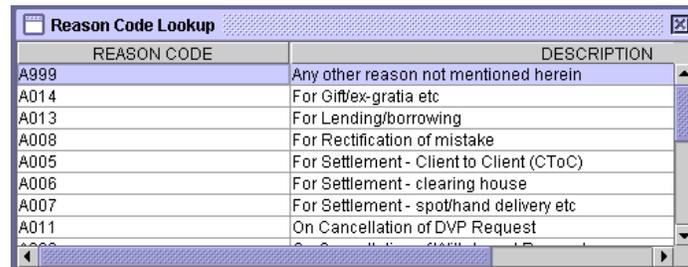
*'To Account'* refers to the account to which the free delivery is made. The *'To Account'* field allows the user to generate the report for *'All'* accounts under the Participant's control or for a *'Specific'* account. A textbox is displayed for entering the account number if the *'Specific'* radio button is selected. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account no.

\* **Security Symbol**

The user can generate the report for *'All'* securities or a *'Specific'* security. The Security Symbol is required in this field if *Specific* option is selected. A textbox for entering the Security Symbol appears on the screen when the user selects the *Specific* radio button in the Security Symbol Field. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

\* **Reason Code**

The reason code field allows the user to generate a report containing transfers having a particular reason. The user may select "All" to include all reason codes or select a "Specific" Reason Code by clicking on "Browse" button and selecting the desired reason code from the lookup screen, which is displayed as follows:



REASON CODE	DESCRIPTION
A999	Any other reason not mentioned herein
A014	For Gift/ex-gratia etc
A013	For Lending/borrowing
A008	For Rectification of mistake
A005	For Settlement - Client to Client (CToC)
A006	For Settlement - clearing house
A007	For Settlement - spot/hand delivery etc
A011	On Cancellation of DVP Request

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Intra Account Free Delivery transactions, the user needs to go to the 'Post' tab of the above screen.

In addition to the fields explained above, the Post tab also has the 'Transaction Date (From)' and 'Transaction Date (To)' fields to allow the user to define a date range within which the Intra Account Free Delivery transactions lie.

## 7.9.2 Inter Participant FD Report

The *Inter Participant FD Report* menu item which is displayed when the *Share Movement Reports* option on the Reports menu is highlighted enables the user to display or print a report showing the saved and posted Inter Participant Free Delivery transactions. Clicking this menu item displays the screen shown below:

The screenshot shows a dialog box titled "Inter Participant Free Delivery Report". It has two tabs: "Save" (selected) and "Post". The dialog contains the following fields and controls:

- Participant ID:** A text box containing "60608" and a "Browse" button. To the right of the "Browse" button, the text "UMAR CAPITAL SECURITIES PVT LTD." is displayed.
- Account Number:** An empty text box and a "Browse" button.
- Contra Participant ID:** Radio buttons for "All" (selected) and "Specific".
- Contra Account No:** Radio buttons for "All" (selected) and "Specific".
- Security Symbol:** Radio buttons for "All" (selected) and "Specific".
- Reason Code:** Radio buttons for "All" (selected) and "Specific".

At the bottom of the dialog are "OK" and "Cancel" buttons.

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Inter Participant Free Delivery transactions. In order to generate report related posted Inter Participant Free

Delivery transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

The Participant ID and Account Number displayed on both 'Save' and 'Post' tabs of the above screen is hard coded and cannot be changed.

In order to display or print a report related to saved Inter Participant Free Delivery transactions, the user needs to go to the 'Save' tab of the above screen. The fields that need to be entered in the save / post reports are described below:

- \* **Account Number**                      The account number from which the securities are being delivered. The '*Browse*' button adjacent to the

field provides the user with a lookup table of valid account numbers, as shown below:

ACCOUNT CODE	ACCOUNT NO.	ACCOUNT TITLE
H	103	Account Title - 123 - Additional Account Title 345
	8726	AccountTitle - 1000
	8734	AccountTitle - 1001
	15473	AccountTitle - 1001
	8767	AccountTitle - 1002
	8783	AccountTitle - 1004
	15457	AccountTitle - 1004
	129	AccountTitle - 1005
	8791	AccountTitle - 1005
	15432	AccountTitle - 1005
iC	15440	AccountTitle - 1005asda
	8809	AccountTitle - 1006
	8817	AccountTitle - 1007
	8825	AccountTitle - 1008
	8833	AccountTitle - 1009
	8858	AccountTitle - 1011
	8808	AccountTitle - 1014

\* **Contra Participant ID**

The Contra Participant ID is required if *'Specific'* option is selected. The textbox for entering the Contra Participant ID appears on the screen only when the user selects the *'Specific'* radio button in the Contra Participant ID field. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct ID no. Alternatively, the user can select the *'All'* option for the Contra Participant ID field in case the user wants to generate the report for all contra participants.

\* **Contra Account Number**

The Contra Account Number is required if *'Specific'* option is selected. The textbox for entering the Contra Account Number appears on the screen only when the user selects the *'Specific'* radio button in the Contra Account Number field. Only for save tab, a *'Browse'* button is provided adjacent to the textbox field to give the user access to a lookup table in case the user does not remember the correct Account Number. Further, the lookup will only display those Account Number(s) for which any transaction exist in the save browser. Alternatively, the user can select the *'All'* option for the Contra Account Number field in case the user wants to generate the report for all contra accounts.

\* **UIN**  
(Scenario only applicable for Post tab)

UIN number of the To Account Number. On entering valid To Account Number, UIN field will be visible beneath the To Account Number field, as shown below, and the user is required to enter valid UIN number. On entering valid UIN number, the Account Title of the Account Holder will be displayed.

Contra Account No  All  Specific 511

UIN

\* **Security Symbol** The user can generate the report for 'All' securities or a 'Specific' security. The Security Symbol is required in this field if *Specific* option is selected. A textbox for entering the Security Symbol appears on the screen when the user selects the *Specific* radio button in the Security Symbol Field. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

\* **Reason Code** The user may select "All" to include all reason codes or select a "Specific" Reason Code by clicking on "Browse" button and selecting the desired reason code from the lookup screen, which is displayed as follows:

REASON CODE	DESCRIPTION
A999	Any other reason not mentioned herein
A014	For Gift/ex-gratia etc
A013	For Lending/borrowing
A008	For Rectification of mistake
A005	For Settlement - Client to Client (CToC)
A006	For Settlement - clearing house
A007	For Settlement - spot/hand delivery etc
A011	On Cancellation of DVP Request

\* **Print Report Only** Clicking this radio button prints the report on the screen.

\* **Download & Print** Clicking this radio button not only prints the report on the screen but also download the report in a specified file. Download option is only available at

Post Tab.

- \* **Field Separator** This field is only enabled when the *'Download and Print'* option is selected. The user is presented with the options to separate the fields in the report.

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Inter Participant Free Delivery transactions, the user needs to go to the *'Post'* tab of the above screen.

In addition to the fields explained above, the Post tab also has the *'Transaction Date (From)'* and *'Transaction Date (To)'* fields to allow the user to define a date range within which the Inter Participant Free Delivery lie. The Post tab also contains another field, *'Direction'* (radio button) allowing the user to select whether to generate the report containing *'Outgoing'* or *'Incoming'* Inter Participant Free Delivery transactions.

### 7.9.3 Transfer of Holdings Report

This report shows the saved and the posted transactions for the transfer of holdings. The following screen is opened when the Transfer of Holdings option is clicked under the menu Share Movement Report

The report is opened in save tab by default, as shown below:

The report for posted records can be selected by pressing the Post tab, as shown below:

For both Save and Post reports, 'From Participant ID' is hard-coded with the Participant's ID. The user can generate the reports by pressing the OK button after specifying the 'From/To' Account Numbers and 'To Participant ID'.

- \* **Transaction ID** The user has the option to generate Transfer of Holding Report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively, in the Transaction ID field. Hence, the Transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option. If user selects specific option then in this case other parameters on the screens will be disabled.
- (Scenario only applicable for Post tab)
- \* **From Account Number** The account number from which the securities are being moved. The '*Browse*' button adjacent to the field provides the user with a lookup table of valid account numbers, as shown below:

ACCOUNT CODE	ACCOUNT NO.	ACCOUNT TITLE
H	103	Account Title - 123 - Additional Account Title 345
	8726	AccountTitle - 1000
	8734	AccountTitle - 1001
	15473	AccountTitle - 1001
	8787	AccountTitle - 1002
	8783	AccountTitle - 1004
	15457	AccountTitle - 1004
	129	AccountTitle - 1005
	8791	AccountTitle - 1005
	15432	AccountTitle - 1005
IC	15440	AccountTitle - 1005asda
	8809	AccountTitle - 1006
	8817	AccountTitle - 1007
	8825	AccountTitle - 1008
	8833	AccountTitle - 1009
	8858	AccountTitle - 1011
	8808	AccountTitle - 1014

- \* **To Participant ID** The To Participant ID is required if '*Specific*' option is selected. The textbox for entering the To Participant ID appears on the screen only when the user selects the '*Specific*' radio button in the To Participant ID field. A '*Browse*' button is provided adjacent to the field to give the user access to a lookup table in case the user does not remember the correct ID no. Alternatively, the user can select the '*All*' option for the To Participant ID field in case the user wants to generate the report for all contra participants.
- (Scenario only applicable for Post tab)
- \* **To Account** The To Account Number where the securities are being moved. The textbox for entering the To

**Number**

Account Number appears on the screen only when the user selects the 'Specific' radio button in the Contra Account Number field. Alternatively, the user can select the 'All' option for the To Account Number field in case the user wants to generate the report for all contra accounts.

**\* UIN**

UIN of the To Account Number. On entering valid To Account Number, UIN field will be visible beneath the To Account Number field, as shown below, and the user is required to enter valid UIN number. On entering valid UIN number, the Account Title of the Account Holder will be displayed.

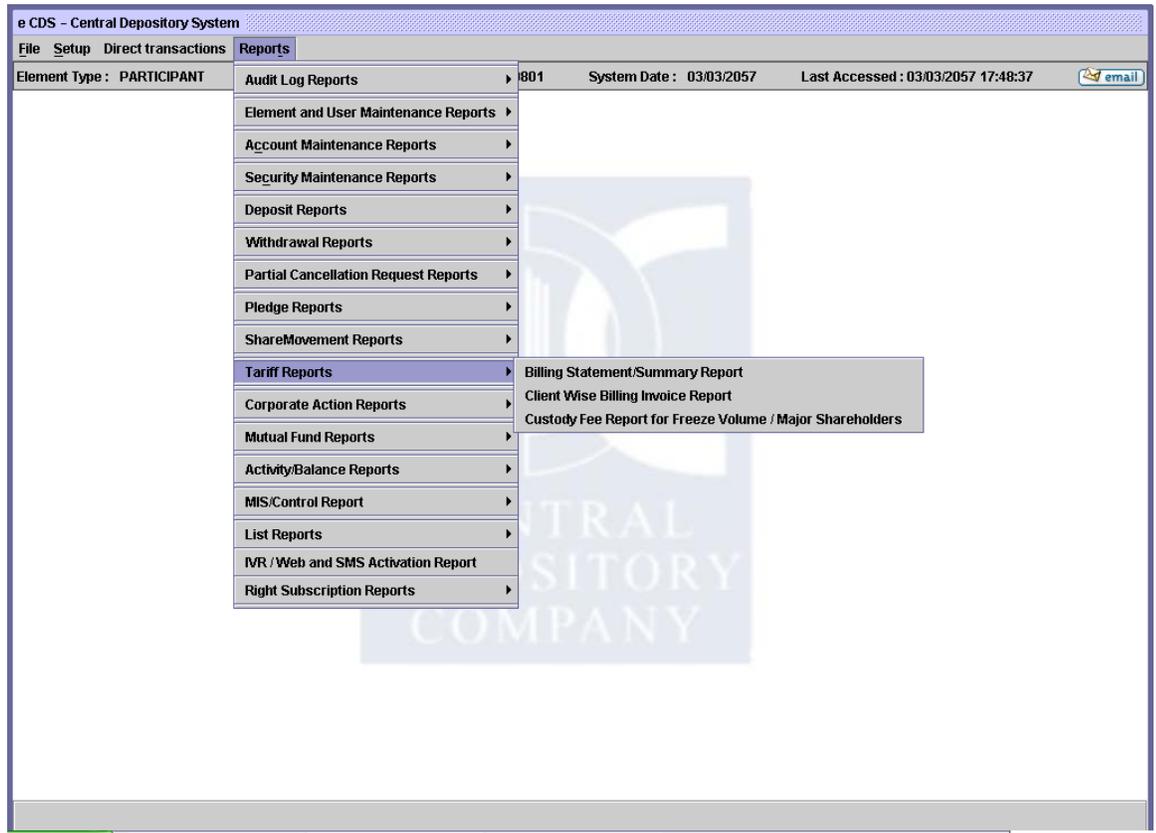


The screenshot shows a form with the following elements: 'To Account Number' label, two radio buttons labeled 'All' and 'Specific' (the 'Specific' button is selected), a text input field containing the number '511', and a 'UIN' label with an empty text input field below it.

In addition to the fields explained above, the Post tab also has the 'Transaction Date (From)' and 'Transaction Date (To)' fields to allow the user to define a date range within which the Transfer of Holding transactions lie.

## 7.10 TARIFF REPORTS

The *Tariff Reports* option on the Reports Menu enables the user to display and/or print reports relating to all movements of cash. As shown below, when the Tariff Reports menu item is highlighted, a sub-menu is displayed:



### 7.10.1 Billing Statement/Summary Report

The '*Billing Statement/Summary Report*' shows the billing information for depository services to be raised for participants. The details shown are updated to the last End of Day procedure performed. The report shows, for each transaction, the Transaction Date, the Transaction Reference, the Transaction ID, the Security Symbol of the security involved in the transaction, the Security Name, Remarks to the transaction, Volume, Price and Amount against the transaction.

The *Billing Statement/Summary Report* option is displayed in the submenu which is opened when the Tariff Reports menu item in the Reports menu is highlighted. When the user clicks on this option, the following screen will be displayed:

The Element Type and Element ID fields are disabled for data entry. The data to be entered in this screen is as follows:

- \* **Report Filter**      The user has the option to generate the report in detail form or in summary form. In order to view the detailed billing information for all or a specific account, the user can select the '*Detail*' radio button. This generates the report with Transaction Date, Transaction reference, Transaction ID, Security Symbol, Security Name, Remarks, Transaction Volume, Price and the Amount against the transaction. Alternatively, in order to view the account-wise consolidated

billing information for account under the Participants umbrella; the user can click the 'Summary' option.

- \* **Account Number** The *Account Number* field is enabled only if the user selected the 'detail' option in the Report Filter field. The Account Number for which the billing statement/summary is required can be entered in this field. The user also has the option to select all account numbers by clicking the 'All' radio button. When the 'Specific' radio button is clicked, a textbox appears for specifying the particular Account Number for which the billing information is required, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

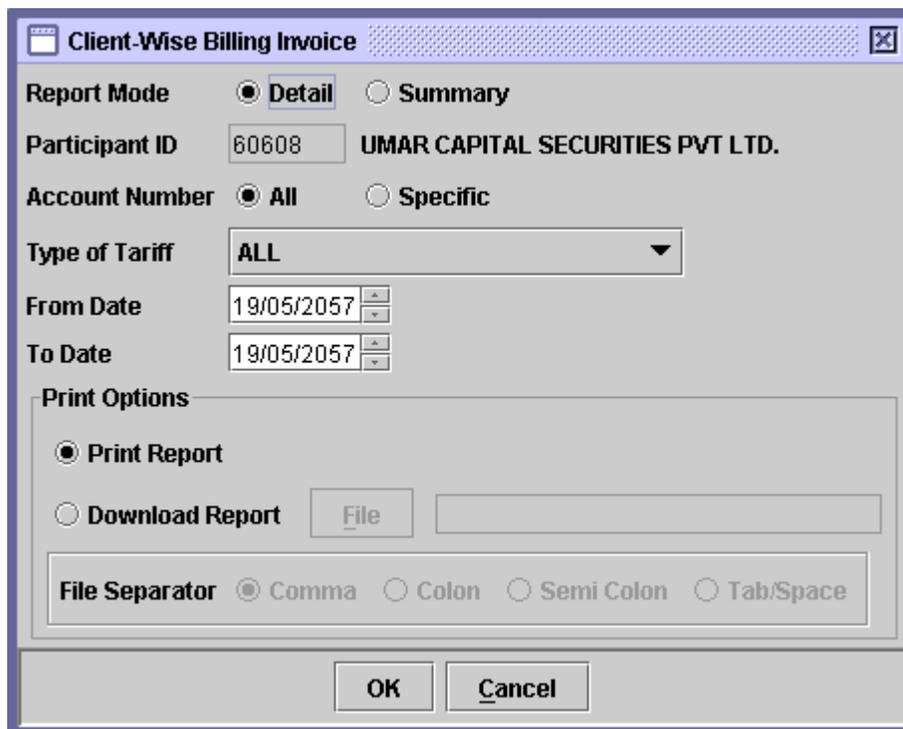
- \* **From Date & To Date** The dates to be covered by the report should be entered in these fields.

After the user has entered the above parameters, clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.10.2 Client-Wise Billing Invoice Report

The 'Client-Wise Billing Invoice Report' shows the billing information at the client level.

The 'Client-Wise Billing Invoice Report' option is displayed in the submenu which is opened when the Tariff Reports menu item in the Reports menu is highlighted. When the user clicks on this option, the following screen will be displayed:



The screenshot shows a dialog box titled "Client-Wise Billing Invoice". It contains the following fields and options:

- Report Mode:** Radio buttons for  Detail and  Summary.
- Participant ID:** Text box containing "60608" and "UMAR CAPITAL SECURITIES PVT LTD."
- Account Number:** Radio buttons for  All and  Specific.
- Type of Tariff:** Dropdown menu showing "ALL".
- From Date:** Date picker showing "19/05/2057".
- To Date:** Date picker showing "19/05/2057".
- Print Options:**
  - Print Report
  - Download Report, with a "File" button and an empty text box.
- File Separator:** Radio buttons for  Comma,  Colon,  Semi Colon, and  Tab/Space.
- Buttons:** "OK" and "Cancel" buttons at the bottom.

The user can generate the report in detail or summary mode. If the user selects the Summary mode then the following screen is shown to the user.

The Participant ID field is disabled for data entry with the participant id of the logged in participant. The data to be entered in this screen is as follows:

- \* **Report Mode**      The user has the option to generate the report in detail form or in summary form. In order to view the detailed billing information for all or a specific account, the user can select the ‘Detail’ radio button. When the detail report is generated for a specific type of tariff, then the sum of that specific type of tariff across all accounts will be displayed at the end of the report  
  
Alternatively, the user can click the ‘Summary’ option. For Report mode summary, the report generated for a participant will display the summarized, one page billing details across that participant. The summary report cannot be generated for a specific tariff type or for a specific account.
- \* **Account Number**      The *Account Number* field is enabled only if the user selected the ‘detail’ option in the Report Filter field. The Account

Number for which the billing information is required can be entered in this field. The user also has the option to select all account numbers by clicking the 'All' radio button. When the 'Specific' radio button is clicked, a textbox appears for specifying the particular Account Number for which the billing information is required, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

- \* **Type of Tariff** In case of detailed report, the user can select 'All' or a specific tariff type for report generation from the drop down list.
- \* **From Date** The dates to be covered by the report should be entered in

**& To Date** these fields.

The user will be able to either generate the report in print or download the report by specifying the path of the file as usual.

After the user has entered the above parameters, clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.10.3 Custody Fee Report for Freeze Volume/Major Shareholder Report

The '*Custody Fee Report for Freeze Volume / Major Shareholder*' shows the billing information at the client level.

The '*Custody Fee Report for Freeze Volume / Major Shareholder*' option is displayed in the submenu which is opened when the Tariff Reports menu item in the Reports menu is highlighted. When the user clicks on this option, the following screen will be displayed:

**Custody Fee Report for Freeze Volume / Major Shareholder**

Participant ID: 60608 UMAR CAPITAL SECURITIES PVT LTD.

Account Number:  All  Specific

Type of Tariff:  Freeze Custody Fee  Major Shareholder Custody Fee

From Date: 19/05/2057

To Date: 19/05/2057

Print Options

Print Report

Download Report

File Separator:  Comma  Colon  Semi Colon  Tab/Space

OK Cancel

This report shall be used to generate and report the details of the custody tariff for freeze bucket as well as the custody tariff for the Major Shareholder. The participant user will be able to generate the report either for all accounts or for a specific account under the participant's umbrella. The report can be generated for a maximum range of 31 days. Both the Print and the Download options will be available for this report.

The Participant ID field is disabled for data entry with the participant id of the logged in participant. The data to be entered in this screen is as follows:

- \* **Account Number** The user has the option to select all account numbers by clicking the 'All' radio button. If the 'Specific' radio button is clicked, a textbox appears for specifying the particular Account Number for which the billing information is required, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not

remember the correct Account Number.

- \* **Type of Tariff** The user can generate the report for Freeze Custody Tariff as well as for Major Shareholder Custody Fee. By default, both the checkboxes will be selected. If the user tries to generate the report without checking any of these checkboxes, the following prompt will be given:



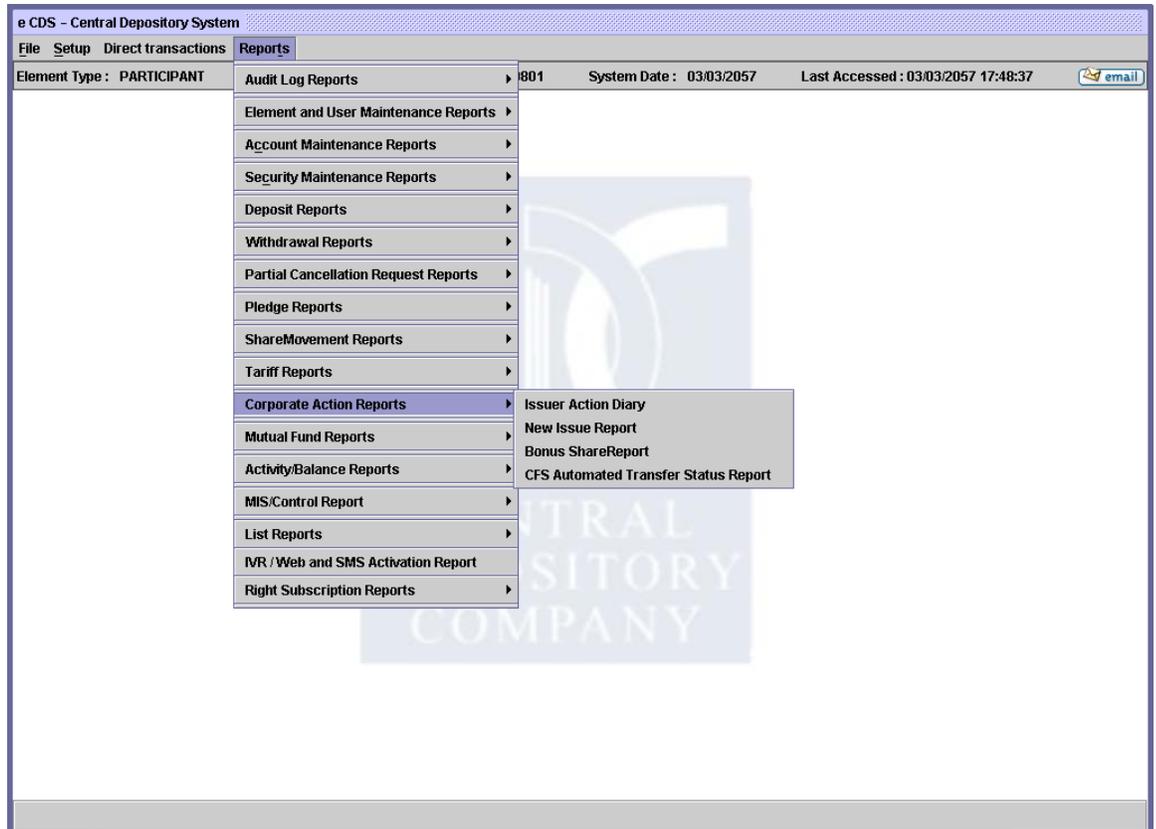
- \* **From Date & To Date** The dates to be covered by the report should be entered in these fields.

The user will be able to either generate the report in print or download the report by specifying the path of the file as usual.

After the user has entered the above parameters, clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

## 7.11 CORPORATE ACTION REPORT

The status of all corporate actions taken by issuers during a given period is shown in the *Corporate Action Reports*. These reports are available in submenu that is displayed when the *Corporate Action Reports* menu item in the Reports menu is highlighted, as shown below:



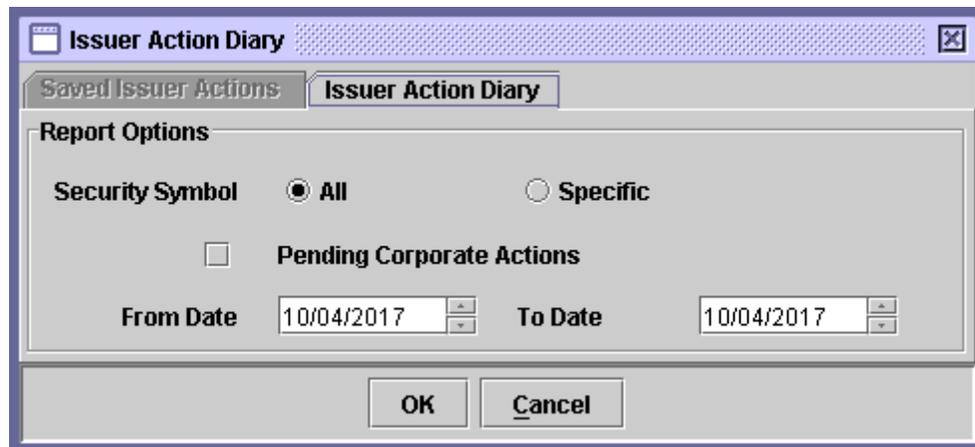
- Corporate Action Reports
  - Issuer Action Diary
  - New Issue Report
  - Bonus Share Report
  - CFS Automated Transfer Status Report

Each of the above reports are explained in the paragraphs that follow:

### 7.11.1 Issuer Action Diary

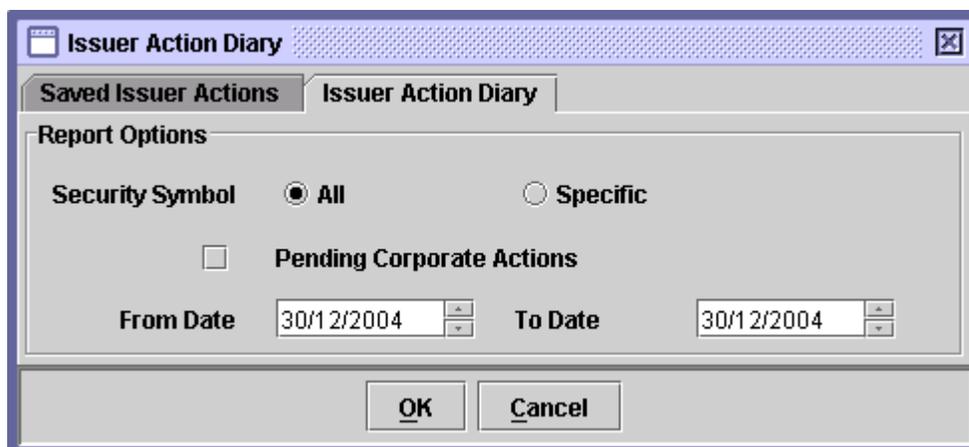
For a specified date range, the *Issuer Action Diary* shows details of corporate actions, such as the Security Symbol, Security Name, Corporate Action Date, Corporate Action Status, Corporate Action performed on the security, Apply Date, Transaction ID and Corporate Action Details.

The *Issuer Action Diary* screen is displayed when the Issuer Action Diary option is clicked in the Corporate Action Reports submenu under the Reports menu. Clicking this option brings up the screen shown below:



The screenshot shows a dialog box titled "Issuer Action Diary". It has two tabs: "Saved Issuer Actions" and "Issuer Action Diary", with the latter being the active tab. Under the "Report Options" section, there are three radio buttons: "All" (selected), "Specific", and "Pending Corporate Actions" (unchecked). Below these are two date input fields: "From Date" and "To Date", both set to "10/04/2017". At the bottom, there are "OK" and "Cancel" buttons.

The user can generate the report containing information on the completed issuer actions using the '*Issuer Action Diary*' tab, which is shown below:



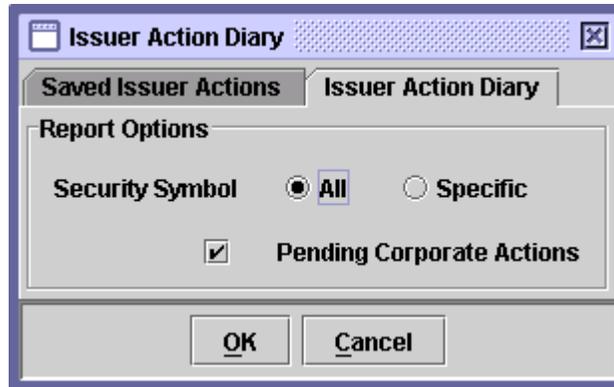
The screenshot shows the same "Issuer Action Diary" dialog box, but with the "Saved Issuer Actions" tab selected. The "Report Options" section is identical to the previous screenshot, with "All" selected and "Pending Corporate Actions" unchecked. The "From Date" and "To Date" fields are now set to "30/12/2004". The "OK" and "Cancel" buttons are at the bottom.

The following data has to be entered in this screen:

- \* **Security Symbol** The Security Symbol for which the report is needed to be printed. The user needs to specify whether the report is required for all securities or for a specific security by clicking the 'All' or 'Specific' radio buttons respectively. When the user selects the 'Specific' option a textbox appears next to the field for entering the Security Symbol as shown below.

The user can also click the 'Browse' button by the side of the textbox to open a lookup table containing Security Symbols, in case the user does not remember the correct Security Symbol.

- \* **Pending Corporate Actions** The 'Pending Corporate Actions' check box is provided for enabling the users to generate Issuer Action Diary containing information on corporate actions not yet completed. The user needs to click this check box in case the user wants to generate the report containing such information. When the user clicks this check box, the *From Date* and *To Date* fields disappear, as shown below:



- \* **From Date & To Date** The user also needs to enter the 'From Date' and 'To Date' in the respective fields to specify the date range for which the report is to be compiled.

A legend for interpreting certain symbols printed in the report columns is provided with the report.

After the user has entered the above parameters the 'OK' button should be clicked in order to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.11.2 New Issue Report

The *New Issue Report* shows details relating to the flotation of New Issues of securities by Issuers. The report shows the details as to the volume of security issued to different accounts of the Participant.

The *New Issue Report* option is displayed in the submenu which is displayed when the *Corporate Action Reports* menu item in the Reports menu is highlighted. Clicking this option brings up the screen shown below:

The data to be entered in this screen is as follows:

- \* **Transaction From/To Dates**      The dates to be covered by the report should be entered in these fields.
- \* **Security Symbol**      The Security Symbol for which the report is needed to be printed. The user needs to specify whether the report is required for all securities or for a specific security by clicking the 'All' or 'Specific' radio buttons respectively. When the user selects the 'Specific' option a textbox appears next to the field for entering the Security Symbol as shown below. The user can also click the 'Browse' button by the side of the textbox to open a lookup table containing Security Symbols, in case the user does not remember the correct Security Symbol.

After the user has entered the security symbol, the 'OK' button should be clicked in order to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed the user, after reviewing it, can get it printed by clicking on the 'Print' button or go back to the menu by clicking the 'Cancel' button.

### 7.11.3 Bonus Share Report

The *Bonus Shares Report* shows the details about the Bonus shares. This is displayed in the submenu of the *Corporate Action Reports*. Clicking this option brings up the screen shown below:

The data to be entered in this screen is as follows:

- \* **Participant ID** The Participant ID remains hard coded for user.
- \* **From/To Dates** The dates to be covered by the report should be entered in these fields.
- \* **Security Symbol** The security Symbol is required in this field. The report can be generated for 'All' or 'Specific' security symbols. If the user selects 'Specific' then the user can click the 'Browse' provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct symbol.

The report to be displayed shows Security Symbol, Security Name, Account No., Account title, Bonus Shares and Apply Date.

After the user has entered the required fields, the 'OK' button should be clicked in order to display the report on the screen or the 'Cancel' button to quit the program without displaying the report.

When the report is displayed, the user, after reviewing it, can get it printed as explained in the chapter "Getting Started".

### 7.11.4 CFS Automated Transfer Status Report

The participant (financer or/ Financee) may need to generate CFS Automated Transfer Status Report to view the details of the automatic CFS transactions. The *CFS Automated Transfer Status Report* enables the user to display and/or print reports related to the CFS (Continuous Funding System) transactions.

To access the report, the user clicks on **CFS Automated Transfer Status Report** under **Reports > Corporate Action Reports** menu. The system displays the following screen:

The details of the fields used in the screen are as follows:

Field Name	Description
<b><i>Book Closure ID</i></b>	<p>The user may type in the desired Book Closure ID or select a "Specific" Book Closure ID. The "Browse" button adjacent to the field provides the user with a lookup of valid Book Closure IDs to help the user select the correct ID.</p> <p>The user may search any security by typing in the "Security Name" and clicking on "Search" Button. The fields matching the selected</p>

criteria would be displayed in the table as follows:

BOOK CLOSURE ID	SECURITY ID	SECURITY SYMBOL	
2011 - 304	PK3578963218	BBC1	British Security

In case, the user enters a security name that doesn't exist in the system, the search result will not show any record.

By clicking on "Refresh" button, the data entered in the search field is cleared and the table refreshes itself to the default values.

When the user selects a particular Book Closure ID by double clicking on it, the record is displayed in the Book Closure ID field in the "CFS Automated Transfer Status Report" screen.

***Participant ID***

The Participant ID field is disabled, and the hard coded information of the logged in user (financier or Financee) is displayed on the screen.

***Movement Status***

The user selects the movement status by clicking the desired radio button option. User is provided with the following options to choose the movement status:

**All:** The list of transactions having all movement statuses i.e. *Success*, *Failed* and *Movement to Main*

**Failed:** When the transaction has failed for Financier or Financee (or both)

**Success:** When transaction is successful for both Financier and Financee

**Movement to Main:** When the shares are moved to the main account

	of Financee
--	-------------

After selecting the desired criteria, the user either clicks on “Ok” button to generate the report or click the “Cancel” button to quit without generating any report.

If the user clicks on “Ok” button, a report will be generated according to the criteria selected by the user.

There are two types of reports generated by the system, depending on whether the logged in user is a Financier or a Financee.

*If the Participant is a Financier:*

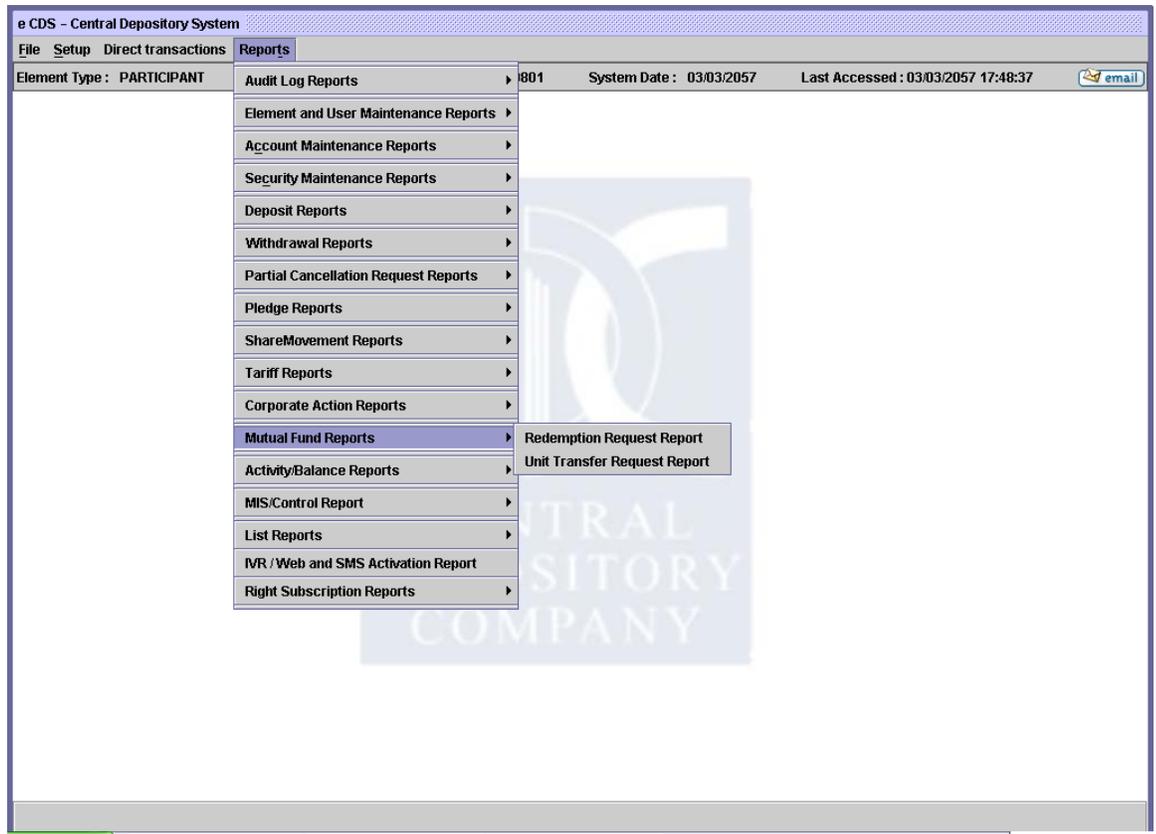
The report shows Book Closure ID, Security Symbol, Participant ID, Upload date, Movement Status, Page#, User, Date and Time as the header information. Moreover, the details on the report includes Serial#, SE Location, Financier ID, Financier UIN Type, Financier UIN, Financier A/c No., Volume, Error Description and Movement Status.

*If the Participant is a Financee:*

The report shows Book Closure ID, Security Symbol, Participant ID, Upload date, Movement Status, Page#, User, Date and Time as the header information. Moreover, the details on the report includes Serial#, SE Location, Financee ID, Financee UIN Type, Financee UIN, Financee A/c No., Volume, Error Description and Movement Status.

## 7.12 MUTUAL FUND REPORTS

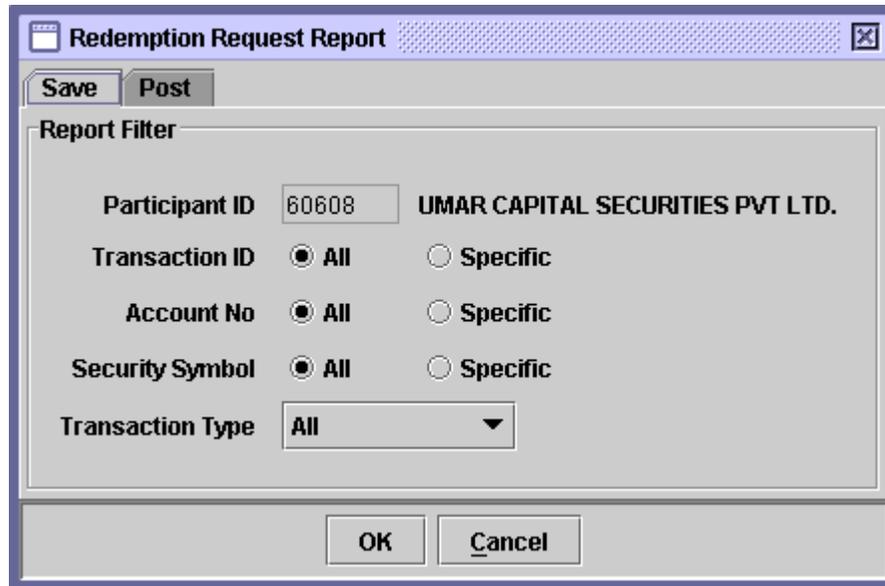
The reports related to transfer and redemption of units of open-ended mutual funds are available under the menu item *'Mutual Fund Reports.'* When this menu item in the *'Reports'* menu is highlighted, the following report options are displayed:



Each of the above options is explained in the paragraphs that follow:

### 7.12.1 Redemption Request Report

The *Redemption Request Report* option is displayed when the *Mutual Fund Reports* menu item on the *Reports* menu is highlighted. It enables the user to display or print a report showing the saved and posted Redemption Requests relating to a particular participant. Clicking this menu item displays the screen shown below:



The screenshot shows a dialog box titled "Redemption Request Report". At the top, there are two tabs: "Save" (selected) and "Post". Below the tabs is a "Report Filter" section with the following fields:

- Participant ID: 60608 (text input), UMAR CAPITAL SECURITIES PVT LTD. (text label)
- Transaction ID:  All,  Specific
- Account No:  All,  Specific
- Security Symbol:  All,  Specific
- Transaction Type: All (dropdown menu)

At the bottom of the dialog box are "OK" and "Cancel" buttons.

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate a report related to saved Redemption Request transactions. In order to generate report related posted Redemption Request transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

**Redemption Request Report**

**Save** **Post**

**Report Filter**

**Participant ID** 60608 **UMAR CAPITAL SECURITIES PVT LTD.**

**Transaction ID**  **All**  **Specific**

**Account No**  **All**  **Specific**

**Security Symbol**  **All**  **Specific**

**From Date** 19/05/2057 **To Date** 19/05/2057

**Status** All

**OK** **Cancel**

The Participant ID is hard coded in both Save and Post tabs, and cannot be changed by the user.

In order to display or print a report related to saved Redemption Request transactions, the user needs to go to the 'Save' tab of the above screen and enter the following data in the respective fields:

- \* **Transaction ID** The user has the option to generate a Redemption Request report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively. Hence, the transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option, as shown below:

Redemption Request Report

Save Post

Report Filter

Participant ID 60608 UMAR CAPITAL SECURITIES PVT LTD.

Transaction ID  All  Specific 2057  Browse

OK Cancel

When the *Specific* option is selected, all other fields are disabled. A *Browse* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction ID.

- \* **Account No.** The user has the option to generate a Redemption Request report for all accounts or for a specific account by clicking the *All* or *Specific* radio buttons, respectively. Hence, the account number is required if *Specific* radio button is clicked in the Account No. field.

This field is enabled only if *All* option is selected in the Transaction ID field. The textbox for entering the Account No. does not appear unless the user selects the *Specific* option, as shown below:

The screenshot shows a window titled "Redemption Request Report". It contains a "Report Filter" section with the following controls:

- Participant ID:** A text box containing "60608" and the text "UMAR CAPITAL SECURITIES PVT LTD." to its right.
- Transaction ID:** Two radio buttons, "All" (selected) and "Specific".
- Account No:** Two radio buttons, "All" and "Specific" (selected), followed by a text box and a "Browse" button.
- Security Symbol:** Two radio buttons, "All" (selected) and "Specific".
- Transaction Type:** A dropdown menu currently showing "All".

At the bottom of the window are "OK" and "Cancel" buttons.

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number.

**\* Security Symbol**

The user has the option to generate a Redemption Request report for all securities or for a specific security by clicking the 'All' or 'Specific' radio buttons, respectively. Hence, the Security Symbol is required if *Specific* radio button is clicked in the Security Symbol field.

This field is enabled only if *All* option is selected in the Transaction ID field. The textbox for entering the Security Symbol does not appear unless the user selects the *Specific* option, as shown below:

A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

- \* **Transaction Type** The user can select a Transaction Type for generating Redemption Request report for only the specified type of transaction. The user can also generate the report for all transaction types by selecting the 'All' option from the Transaction Type combo box. The available options are 'To Be Added,' 'To Be Cancelled,' and 'All.'

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Redemption Request transactions, the user needs to go to the 'Post' tab of the above screen.

The Participant ID field is hard coded and cannot be changed by the user. The option enables the user to generate report on the basis of a specific 'Date Range' besides 'Transaction ID,' 'Account Number' and 'Security Symbol.'

The 'Status' field enables the user to select a status for the posted Redemption Request transactions. The available options in the Status combo box are 'Approved,' 'Rejected,' 'Pending,' 'Cancelled' and 'All.'

After entering the above parameters, the user should click the 'OK' button to display the report on the screen or the 'Cancel' button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.12.2 Unit Transfer Request Report

The *Unit Transfer Request Report* option is displayed when the *Mutual Fund Reports* menu item on the *Reports* menu is highlighted. It enables the user to display or print a report showing the saved and posted Unit Transfer Requests relating to a particular participant. Clicking this menu item displays the screen shown below:

The screenshot shows a window titled "Unit Transfer Request Report" with a close button in the top right corner. Below the title bar are two tabs: "Save" (which is selected) and "Post". The main content area contains the following fields and options:

- From Participant ID:** A text box containing "60608" and the text "UMAR CAPITAL SECURITIES PVT LTD." to its right.
- Transaction ID:** Two radio buttons, "All" (selected) and "Specific" (unselected).
- From Account No:** Two radio buttons, "All" (selected) and "Specific" (unselected).
- To Participant ID:** Two radio buttons, "All" (selected) and "Specific" (unselected).
- Security Symbol:** Two radio buttons, "All" (selected) and "Specific" (unselected).

At the bottom of the window are two buttons: "OK" and "Cancel".

When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Unit Transfer Request transactions. In order to generate report related posted Unit Transfer Request transactions, the user should click the 'Post' tab. Clicking the 'Post' tab displays the following screen:

The Participant ID displayed on both Save and a Post tab of the above screen is hard coded and cannot be changed.

In order to display or print a report related to saved Unit Transfer Request transactions, the user needs to go to the 'Save' tab of the above screen and enter the following data:

- \* **Transaction ID** The user has the option to generate a Unit Transfer Request report for all saved transactions or for a specific transaction by clicking the 'All' or 'Specific' radio buttons, respectively. The transaction ID is required if *Specific* radio button is clicked in the Transaction ID field. The textbox for entering the Transaction ID does not appear unless the user selects the *Specific* option, as shown below:

As the user selects the *'Specific'* option, all other fields disappear as shown in the screen above.

- \* **From Account No** *'From Account'* refers to the account from which the transfer is made. The *'From Account'* field allows the user to generate the report for *'All'* accounts under the Participant's control or for a *'Specific'* account. A textbox is displayed for entering the account number if the *'Specific'* radio button is selected. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account no.
- \* **To Participant ID** *'To Participant ID'* refers to the participant to which the transfer is made. The *'To Participant'* field allows the user to generate the report for *'All'* participants or for a *'Specific'* participant. A textbox is displayed for entering the Participant ID if the *'Specific'* radio button is selected. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Participant ID.
- \* **To Account No** This field appears only when the user selects the

'Specific' option in the 'To Participant ID' field. 'To Account' refers to the account to which the transfer is made. The 'To Account' field allows the user to generate the report for 'All' accounts under the Participant's control or for a 'Specific' account. A textbox is displayed for entering the account number if the 'Specific' radio button is selected.

\* **UIN**

UIN of the To Account Number. On entering valid To Account Number, UIN field will be visible beneath the To Account Number field, as shown below, and the user is required to enter valid UIN number. On entering valid UIN number, the Account Title of the Account Holder will be displayed.

The screenshot shows a form with a label 'To Account Number' on the left. To its right are two radio buttons: 'All' (unselected) and 'Specific' (selected). Further right is a text input field containing the number '511'. Below the 'To Account Number' label is another label 'UIN' followed by an empty text input field.

\* **Security Symbol**

The user can generate the report for 'All' securities or a 'Specific' security. The Security Symbol is required in this field if *Specific* option is selected. A textbox for entering the Security Symbol appears on the screen when the user selects the *Specific* radio button in the Security Symbol Field. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

As the user selects the 'Specific' option, all other fields disappear as shown in the screen above.

Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

In order to display or print a report related to posted Unit Transfer Request transactions, the user needs to go to the 'Post' tab of the above screen. Clicking the 'Post' tab displays the following screen:

**Unit Transfer Request Report**

**Save** **Post**

**From Participant ID** 60608 **UMAR CAPITAL SECURITIES PVT LTD.**

**Transaction ID**  **All**  **Specific**

**From Account No**  **All**  **Specific**

**To Participant ID**  **Browse**

**To Account No**  **All**  **Specific**

**Security Symbol**  **All**  **Specific**

**From Date** 19/05/2057 **To Date** 19/05/2057

**Status** All

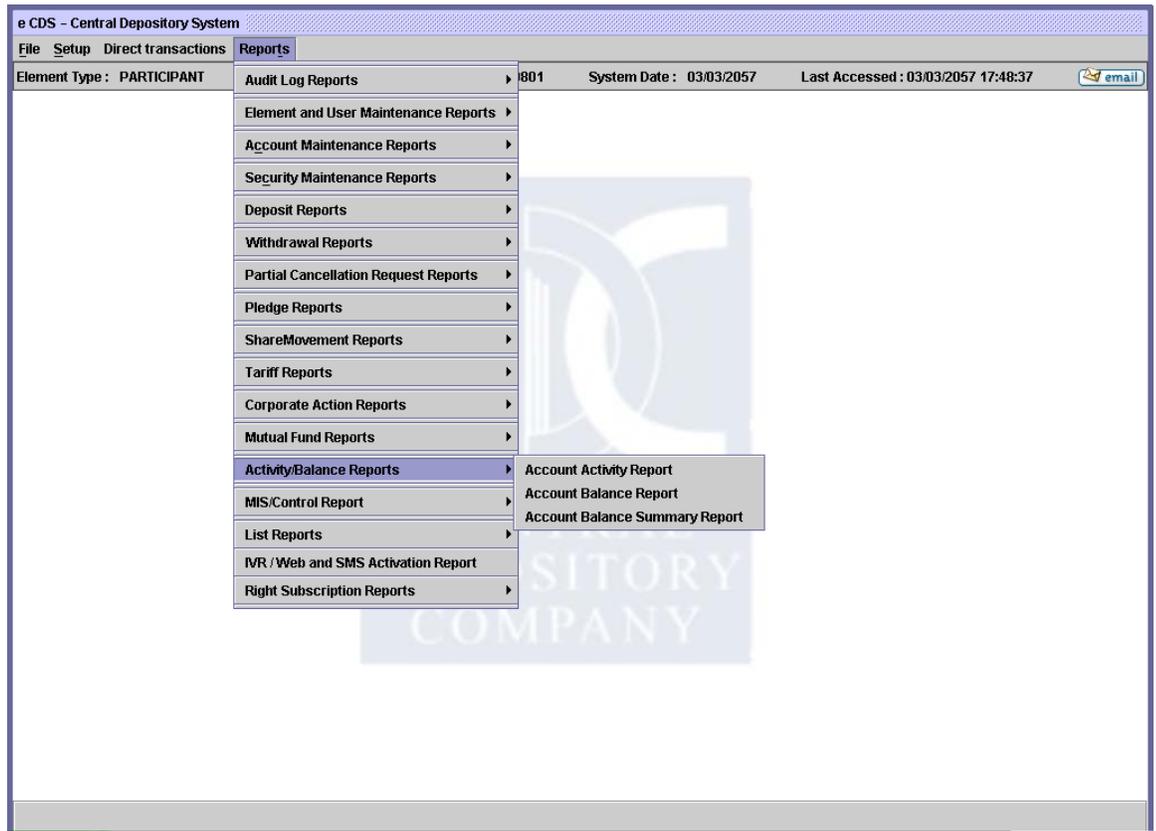
**OK** **Cancel**

In addition to the fields explained above, the Post tab also has the *'Transaction Date (From)'* and *'Transaction Date (To)'* fields to allow the user to define a date range within which the Unit Transfer Request transactions lie. The *'To Participant ID'* field requires the user to enter a valid ID of the Participant to whose account the units are to be transferred. If *'Specific'* option is selected in the *'Account No'* field, the user is also required to enter a valid account number of the receiving participant.

The user also has the option to specify a status for the Unit Transfer Request transaction to be displayed in the report using the *'Status'* combo box. The status could be *'Approved,' 'Rejected,' 'Pending,' 'Cancelled'* or *'All.'*

## 7.13 ACTIVITY / BALANCE REPORTS

The *Activity/Balance Reports* submenu is available in the Reports menu on the main screen, as shown below:



The report options available within this submenu are:

- Account Activity Report
- Account Balance Report
- Account Balances Summary Report

### 7.13.1 Account Activity Report

This report shows the transactions carried out on the accounts under a Participant's control. It shows details of all the transactions performed with respect to the security, such as the transaction reference (Transaction code, Operation code, Date, Transaction ID), Description/Details, Transaction Volume, Available Volume, Blocked Volume, Pledged Volume, Pending-in and Pending-out volume. The report header shows element ID, Account No., Security Symbol, transaction/operation codes included in report and contra element ID. In case, the user specifies 'All Accounts'; the same process is carried out for each account.

To display and/or print the Account Activity Report, the user would select the *Account Activity Report* option on the sub-menu, which is displayed when the '*Activity/Balance Reports*' menu item on the Reports menu is highlighted. Clicking this menu option brings up the screen shown below:

**Account Activity Report** [Close]

Element ID:   **UMAR CAPITAL SECURITIES PVT LTD.**

Account Type:  ▼

Account No:  All  Specific

Security Symbol:  All  Specific

Transaction Code:  All  Specific

Operation Code:  All  Specific

Contra Element Type:  All  Participant  R/TA  Pledgee

Contra Element ID:  All  Specific

Nil Activity:

Reason Code:  All  Specific

From Date:   To Date:

**Print Options**

Print Report Only

Download and Print

File Separator:  Comma  Colon  Semi Colon  Tab/Space

The data to be entered in this screen is as follows

- \* **Element ID**      The Element ID field is hard coded and contains the information of the logged in user.
- \* **Account Type**    The user is required to click the dropdown menu which indicates whether the user wants the report for all the types of accounts belonging to the Element or just for a specific account. A dropdown menu is displayed for selecting the account type.
- \* **Account No**      The user is required to click the appropriate radio button to indicate whether the user wants the report for 'All' the accounts belonging to the Element or just for a specific account. A textbox is displayed for entering the account number if the 'Specific' radio button is selected. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account no.
- \* **Security Symbol**    The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the 'All' radio button to compile the report for all the securities held in the Participant's accounts. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.
- \* **Transaction Code**    The user can enter a particular *Transaction Code* if the user wants to restrict the report to activity in that transaction only or the user can enter 'All' to compile the report for all the transactions executed in the Participant's account. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction Code.
- \* **Operation Code**      The user can enter a particular *Operation Code* if the user wants to restrict the report to activity in that transaction only or the user can enter 'All' to compile the report for all the operations executed in the Participant's account. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not

remember the correct Operation Code. Since the Operation Code is related to Transaction Code, the textbox for entering the Operation Code appears only when the 'Specific' option is selected in the Transaction Code field.

\* **Contra  
Element  
Type**

The user is required to click the appropriate radio button for the required *Contra Element Type*. The contra element type indicates the parties transactions with whom are to be included in the report. To show transactions of the Participant with all parties, the 'All' radio button should be clicked.

\* **Contra  
Element ID**

This option will be disabled with All selection if Contra Element Type is All. If not, then this field will be enabled. The user will then be able to select either a specific or all contra element ids. When the user selects 'Specific' option for 'Contra Element ID', then the system will display the Contra Element ID textbox for selection of the contra element id. A 'Browse' button is provided by the side of the Contra Element ID field to give the user access to a lookup table in case the user does not remember the correct code.

\* **Nil Activity**

The user checks the "Nil Activity" checkbox option to also include in the report the opening balances of those securities that do not have any activity in the mentioned time period.

\* **Reason Code**

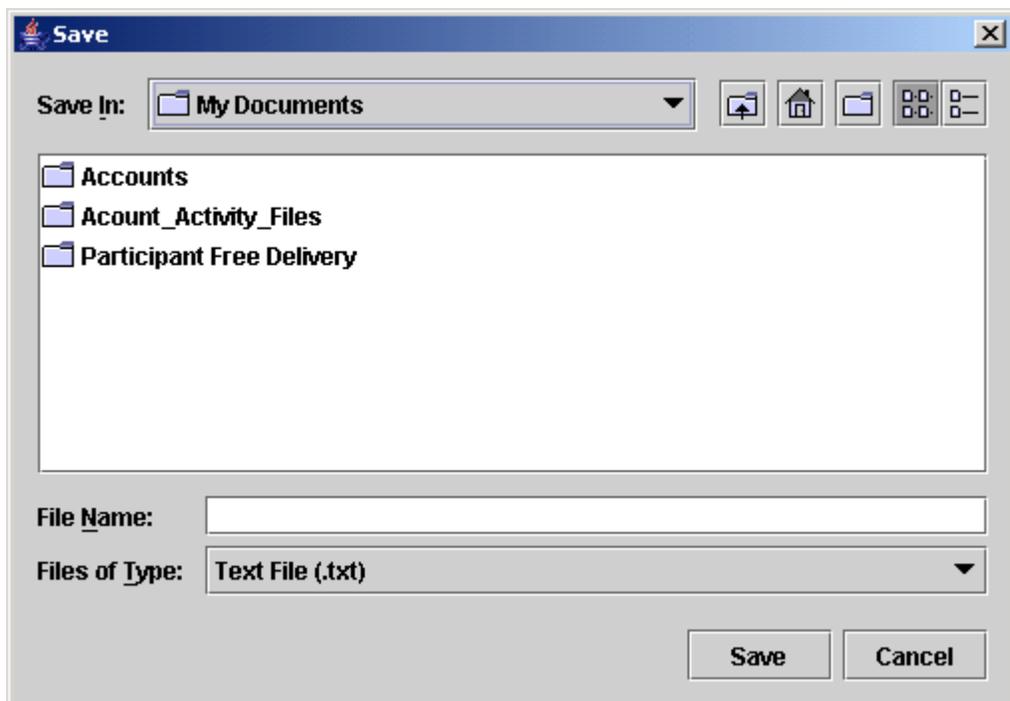
On selecting Transaction Code for Free Delivery Inter Participant or Free Delivery Override, Reason code field along with its browse button enables. The user can select the desired code from the lookup.

The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the 'All' radio button to compile the report for all the securities held in the Participant's accounts. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

- \* **From Date & To Date** The dates to be covered by the report should be entered in these fields.
- \* **Print Report Only** Clicking this radio button prints the report on the screen.
- \* **Download & Print** Clicking this radio button not only prints the report on the screen but also downloads the report in a specified file.
- \* **Field Separator** This field is only enabled when the *'Download and Print'* option is selected. The user is presented with the options to separate the fields in the report.

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

If the *Download & Print* option is selected, *'File'* button is enabled. Clicking on the *'File'* button displays the following screen:

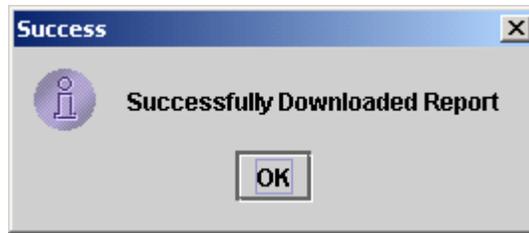


Upon clicking the 'Save' button, if the specified file name already exists, the system gives the following error:



'Yes' overwrites the files and 'No' takes back to the previous screen to allow the user to enter a different file name.

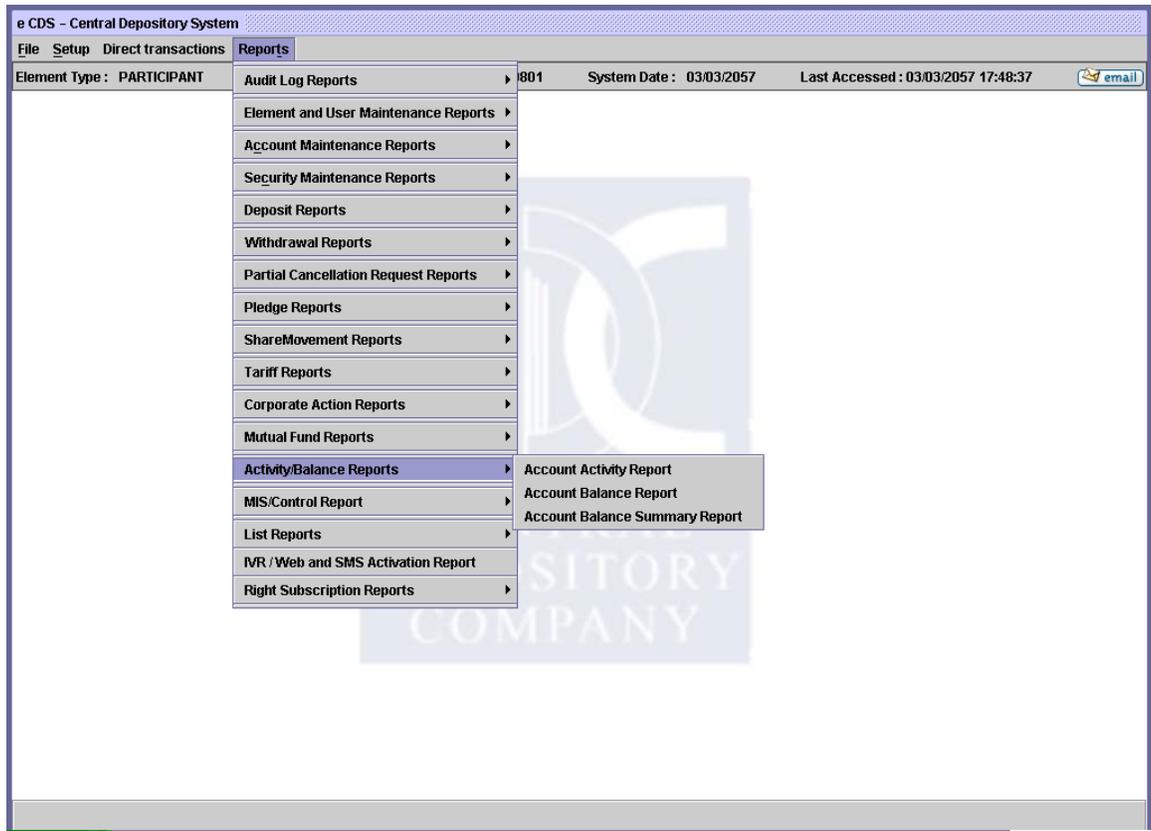
After giving the file name, user has to press the 'OK' button in report screen. The program will display the message in the bottom of screen "Please wait while retrieving data". After the process is completed the following message is displayed:



The downloaded file can be opened from the specified location to view and/or print the report.

### 7.13.2 Account Balance Report

The Account Balance Report shows the balances of all securities contained in one account or all accounts relating to a Participant on a specified date. The details shown separately for each security are the Security Symbol, Security Name, Position Owned, Available, Blocked, Pledged, Pending In and Pending Out volume.



To view the report, the user clicks on “**Account Balance Report**” under **Reports > Activity/ Balance Reports** menu. The screen displayed by the system is as follows:

**If ‘Account Selection’ is specific**

The screenshot shows the 'Account Balance Report' dialog box. Under 'Report Options', the following settings are visible:
 

- Element Type:**  Participant,  Pledgee,  R/TA
- Element ID:** 60608 (with a 'Browse' button) and 'UMAR CAPITAL SECURITIES PVT LTD.'
- Account Type:** ALL (dropdown)
- Account Selection:** Specific (dropdown)
- Account Number:** (empty field with a 'Browse' button)
- Security Symbol:**  ALL,  Specific
- As On Date:** 19/05/2057 (calendar icon)
- Print Zero:**
- Address:**  With Address,  Without Address

 At the bottom are 'OK' and 'Cancel' buttons.

**If ‘Account Selection’ is All**

The screenshot shows the 'Account Balance Report' dialog box with 'Account Selection' set to 'All'. The settings are:
 

- Element Type:**  Participant,  Pledgee,  R/TA
- Element ID:** 99002 (with a 'Browse' button) and 'MAM Test Participant - 99002 forEstatement for Sub-Account'
- Account Type:** ALL (dropdown)
- Account Selection:** All (dropdown)
- Account Number:** (empty field with a 'Browse' button)
- Statement Status:**  All,  Specific (highlighted by a red box)
- eStatement:**  eStatement, Frequency: All (dropdown),  Physical
- Security Symbol:**  ALL,  Specific
- As On Date:** 01/08/2061 (calendar icon)
- Print Zero:**
- Address:**  With Address,  Without Address

 At the bottom are 'OK' and 'Cancel' buttons.

The Element Type and Element ID fields are hard coded and cannot be changed by the user. The details of the fields on this screen are as follows:

- \* **Element Type**      The “Element Type” field is disabled and is pre-selected according to the type of the logged-in user.
- \* **Element ID**        The “Element ID” field is disabled and contains the hard coded information of the logged-in user.
- \* **Account Type**      The user selects the desired “Account Type” from the dropdown menu, for which the report is to be generated.
- \* **Account Selection**    The user selects the appropriate option from the drop down menu to indicate whether the report is to be generated for *all* accounts or for a *specific* account.
- \* **Account Number**     The user may type in the account number or select a particular account number from the lookup of account numbers by clicking on the Browse button and selecting the desired Account Number from the lookup screen, which is displayed as follows:

ACCOUNT NO.	ACCOUNT CODE	ACCOUNT TITLE	STATUS
473	IIA	Account Title 473	Active
37991	IIA	Account Title 473	Active
412	IIA	AccountTitle - 108	Active
37999	IIA	AccountTitle - 108	Active
414	IIA	AccountTitle - 108	Active
415	IIA	AccountTitle - 108	Active
419	IIA	AccountTitle - 108	Active
420	IIA	AccountTitle - 108	Active
421	IIA	AccountTitle - 108	Active
422	IIA	AccountTitle - 108	Active
423	IIA	AccountTitle - 108	Active
424	IIA	AccountTitle - 108	Active
425	IIA	AccountTitle - 108	Active
426	IIA	AccountTitle - 108	Active
37933	IIA	AccountTitle - 108	Active
37935	CFSII	AccountTitle - 108	Active
37698	IIA	AccountTitle - 108	Active
427	IIA	AccountTitle - 108	Active

However, the user needs to enter “From Account Number” and “To Account Number”, in case “Range” is selected in the “Account Selection” field.

- \* **Statement Status**      The user may select “All” to generate the report related to all Statement or select a “Specific” to check either eStatement or Physical option. It will be mandatory to check at least one option for “Specific”.

\* **eStatement** If the eStatement option is checked , the option of frequency will be enabled with default frequency option “All”. The generated report will display all the account holders with Statement Status “eStatement”.

\* **Frequency** (By default it will remain disabled, and becomes enabled when “eStatement” check box is checked)

The user selects the appropriate option from the drop down menu to indicate whether the report is to be generated for *all* / Monthly / Quarterly eStatements.



\* **Physical** If the Physical option is checked . The report will display all the account holders with Statement Status “Physical”

\* **Security Symbol** The user may select “All” to generate the report related to all Security Symbols or select a “Specific” Security Symbol by clicking on “Browse” button and selecting the desired Security Symbol from the lookup screen, which is displayed as follows:

 A screenshot of a window titled "Security Lookup". It contains a search field for "Security Name" with "Search" and "Refresh" buttons. Below is a table with columns: SECURITY ID, SECURITY SYMBOL, SECURITY NAME, and SECURITY TYPE. The table lists various security symbols and their corresponding names and types.
 

SECURITY ID	SECURITY SYMBOL	SECURITY NAME	SECURITY TYPE
PK00108011...	ICPX	10TH ICP MUTUA...	5
PK00108011...	ICPXI	11TH ICP MUTUA...	5
PK00108011...	ICP12	12TH ICP MUTUA...	5
PK00108011...	ICPXIII	13TH ICP MUTUA...	5
PK00108011...	ICPXIV	14TH ICP MUTUA...	5
PK00108011...	ICPXV	15TH ICP MUTUA...	5
PK00108011...	ICPXVI	16TH ICP MUTUA...	5
PK00108011...	ICPXVII	17TH ICP MUTUA...	5
PK00108011...	ICPXVIII	18TH ICP MUTUA...	5
PK00108011...	ICP19	19TH ICP MUTUA...	5
PK00108010...	ICPI	1ST ICP MUTUAL...	5
PK00108012...	ICPXX	20TH ICP MUTUA...	5
PK00108012...	ICP21	21ST ICP MUTUA...	5
PK00108012...	ICPXXII	22ND ICP MUTUA...	5
PK00108012...	ICP23	23RD ICP MUTUA...	5
PK00108012...	ICPXXIV	24TH ICP MUTUA...	5
PK23545252...	ERTERTYRE	252	007
PK00108012...	ICP25	25TH ICP MUTUA...	5

\* **As on date** The user enters the date as of which the Account Balance report is required.

\* **With Address** User can generate the report with address of the account

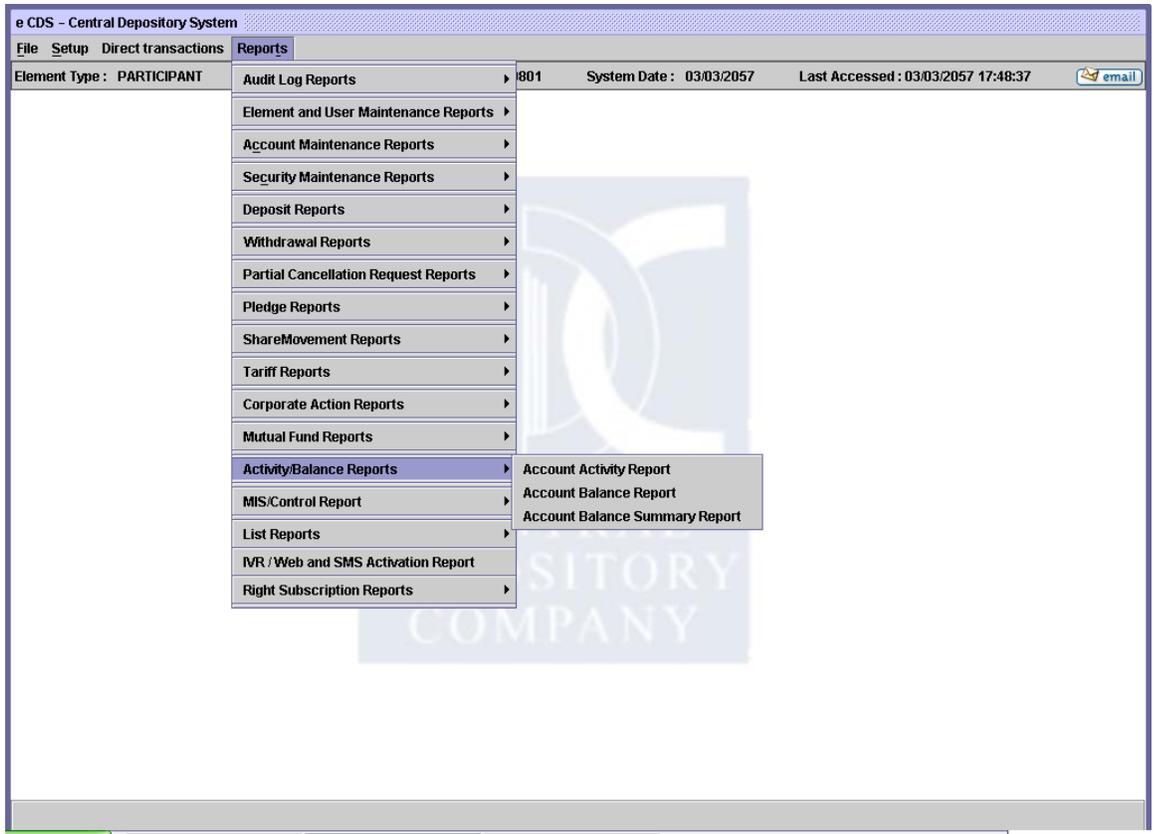
- holder for which a radio button is provided to the user.
- \* **Without Address** User can generate the report without address of the account holder for which a radio button is provided to the user.
  - \* **Print Zero** If the user selects “Print Zeros” checkbox, zeros will be printed if the Balance is NIL.

The report shows Participant ID, Account Number, Account Type, Contact Name, Account Title, Address, and Contact Number as the main header information of the report. The header information for the individual accounts include Participant ID, Account Number, Account Type, Account Status, Security Symbol, Page#, User, Date and Time. Moreover, the details on the report include Sec. Symbol, Security Name, Position Owned, Available, Freeze, Blocked, Pledged, Pending In and Pending Out.

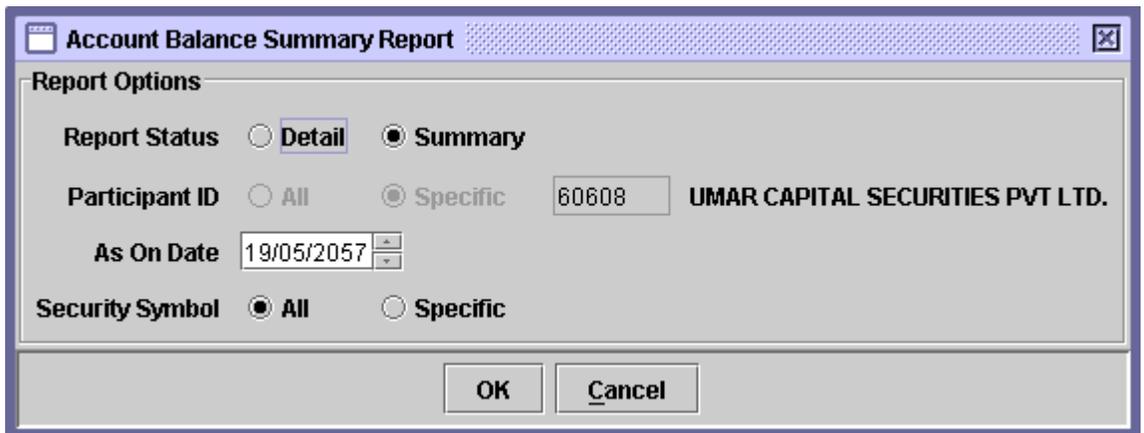
### 7.13.3 Account Balance Summary Report

This report gives Account Balance Summary for all participants or a specific participant with respect to a specified security or for all securities held by that account holder/participant.

The balances are shown separately for each account with respect to a particular security or all the securities. For each security, the Account number, Account Title, Position Owned, Available volume, Freeze volume, Pledged volume, Pending-in, Pending-out and Blocked volume are shown. The report also shows the total balance for each security. The *Account Balance Summary Report* option is displayed under the *Account/Balance Reports* submenu on the Reports Menu.



This option enables the user to display or print a summary of the balances of all the accounts under a particular participant’s control. Participants have the facility to download Account Balance Summary Information. Clicking this menu item displays the screen shown below:



Clicking the Report Status 'Detail' option would open in the following screen:

**Account Balance Summary Report**

**Report Options**

Report Status  Detail  Summary

Participant ID  All  Specific 60608 UMAR CAPITAL SECURITIES PVT LTD.

As On Date 19/05/2057

Security Symbol  All  Specific

**Print Options**

Print Report Only

Download and Print File

File Separator  Comma  Colon  Semi Colon  Tab/Space

OK Cancel

The Participant ID field is disabled for data entry. The data to be entered in this screen is as follows:

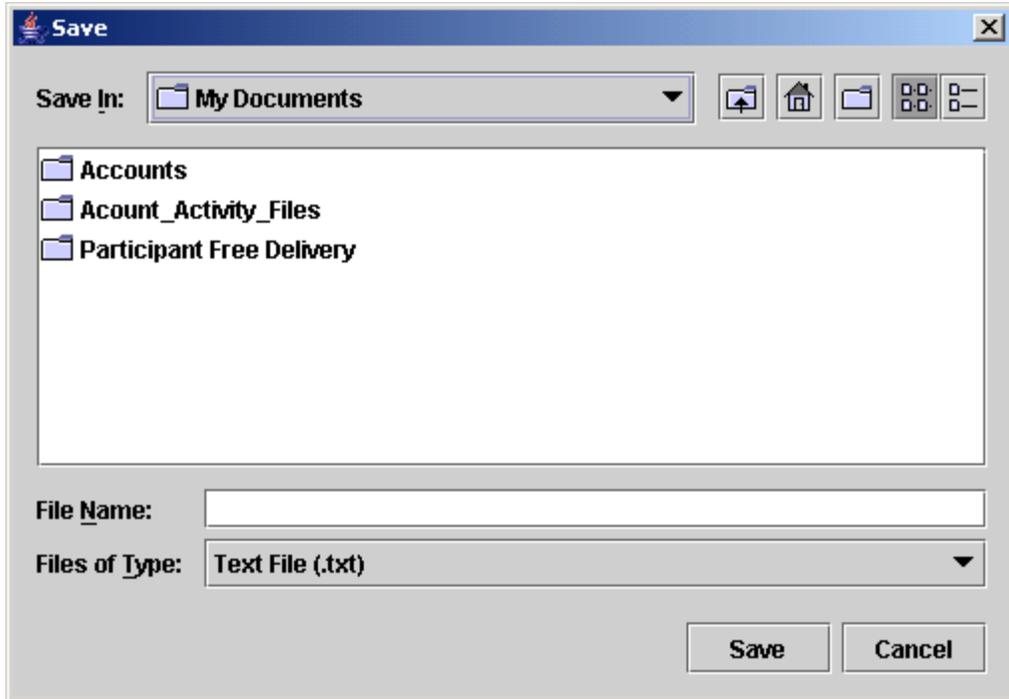
- \* **Report Status** Choosing the 'Detail' option generates the report with account-wise details of the securities (all or specified as selected). Choosing the 'Summary' option generates the report in terms of the total holding of the securities (all or specified as selected).
- \* **As On Date** The date as of which the Account Balance Summary Report is required has to be entered here.
- \* **Security Symbol** The Security Symbol for which the report is needed to be printed. The user has the option to generate the report for 'All' securities or for a 'Specific' security. If the user chooses the 'Specific' option, a textbox appears for entering

the Security Symbol. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the Security Symbol.

- \* **Print Report Only** Clicking on this option prints the report on the screen only.
- \* **Download & Print** Clicking on this option not only prints the report on the screen but also downloads the report in a specified file.
- \* **Fields Separator** This field is only enabled when the *Download & Print* option is selected. The user is presented with the options to separate the fields in the report.

After the user has entered the above parameters, clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

If the *Download & Print* option is selected, *'File'* button is enabled. Clicking on the *'File'* button displays the following screen:



Upon clicking the 'Save' button, if the specified file name already exists, the system gives the following error:



'Yes' overwrites the files and 'No' takes back to the previous screen to get the different file name.

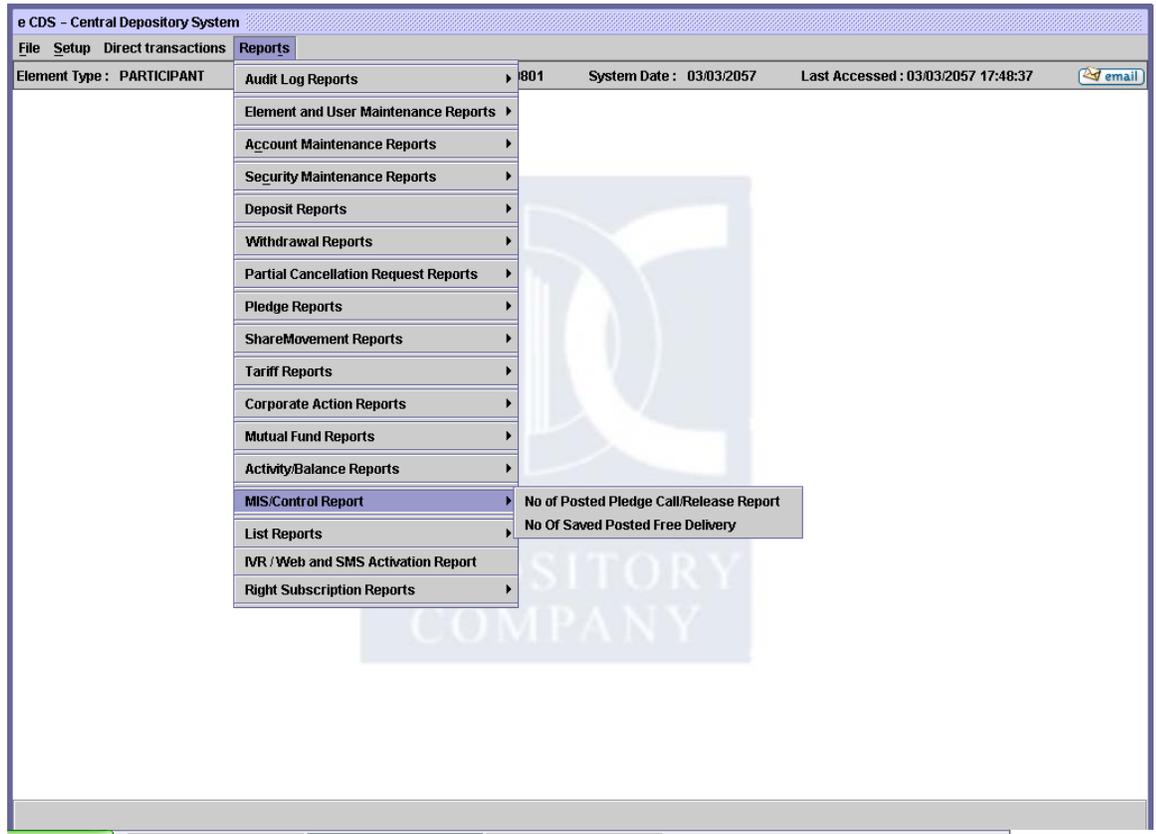
After giving the file name, user has to press the 'OK' button in report screen. The program will display the message in the bottom of screen "Please wait while retrieving data". After the process completion the following message will be displayed:



Clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

## 7.14 MIS/CONTROL REPORTS

The users are also provided with some additional reports in the submenu 'MIS/Control Reports' under the Reports menu, as shown below:



- MIS/Control Report
  - No. of Posted Pledge Call/Release Report
  - No. of Saved/Posted Free Delivery

### 7.14.1 No. of Posted Pledge Call/Release Report

The *No. of Posted Pledged Release/Call Report* shows the number of posted pledged release and call contracts during the specified date range. The details given by this report are Pledgee ID and number of contract release/calls.

To display and/or print the *No of Posted Pledged Release/Calls* report, the user would select the *No of Posted Pledged Release/Calls* option on the sub-menu which is displayed when the *MIS/Control Reports* menu item on the Reports menu is highlighted. Clicking on this menu option brings up the screen shown below:

The Participant ID is hard coded and cannot be changed by the user. The data to be entered in this screen is as follows:

- \* **Pledge**            *Release:* to generate report for released contracts  
                           *Call:* to generate report for call contracts
- \* **Sorting Order**    If user wants to generate the Pledgee wise report, then the *Pledgee Wise* option has to be selected from the combo box. If the user wants to sort the report security wise then the user must check *Security Wise* option from the combo box.
- \* **From/To Dates**    The dates to be covered by the report should be entered in these fields.

After the user has entered the above parameters, clicking the 'OK' button will display the report on the screen and the 'Cancel' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

#### 7.14.2 No. of Saved Posted Free Delivery

The *No. of Saved Posted Free Delivery Report* shows the number of saved and posted Inter Participant Free Delivery transactions for a selected Participant.

To display and/or print this report, the user would select the *No of Saved Posted Free Delivery* option which is displayed when the MIS Control Report menu item in the Reports menu is highlighted. Clicking this option displays the screen shown below:

The Participant ID is hard coded and can not be changed by the user. The data to be entered in this screen is as follows:

- \* **Report Type**      The user has the option to click the 'Saved Transactions' tab in order to generate the report containing saved Inter Participant Free Delivery transactions or the 'Posted In/Out Transactions' for posted Inter Participant Free Delivery transactions.

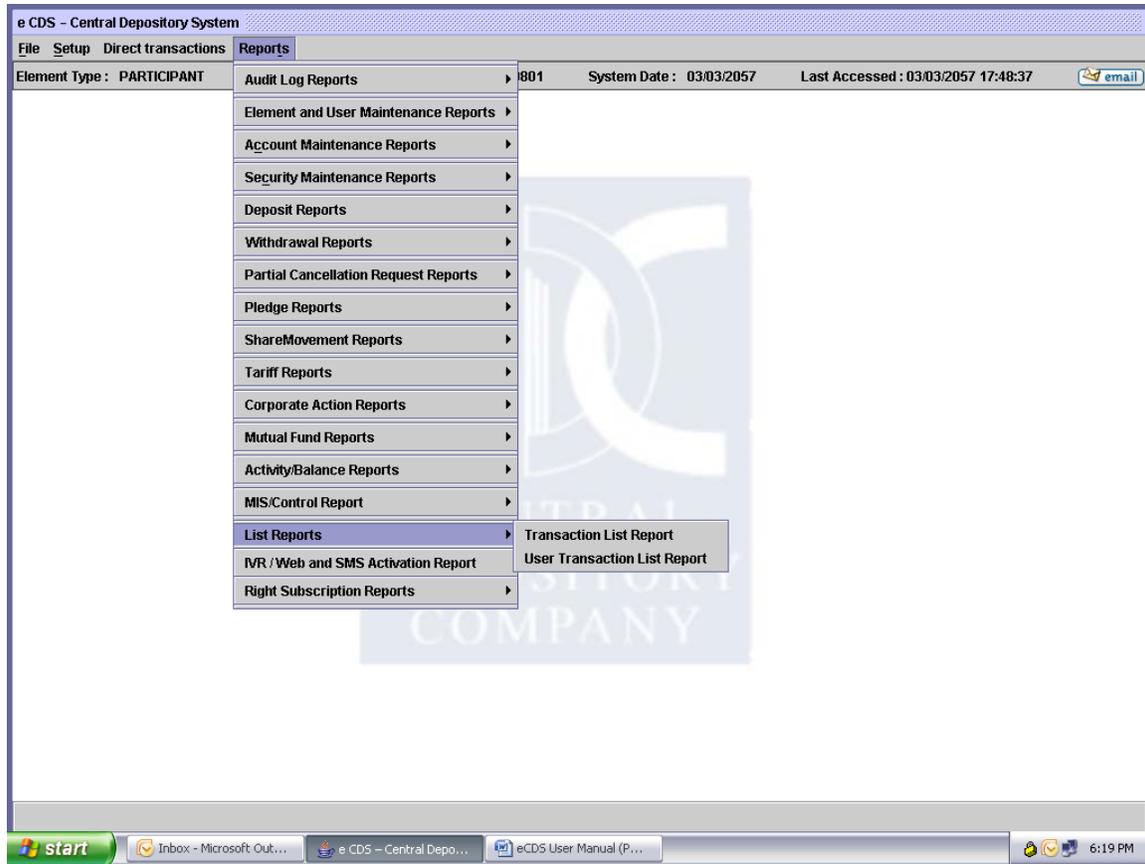
- \* **From/To Dates**      The dates to be covered by the report should be entered in these fields.

The report for Saved Transactions show the Security Symbol, Security Name, Total out Transactions and Volume of Securities involved in the Inter Participant Free Delivery transaction. The report for Posted In/Out Transactions also shows the 'Total in Transactions' apart from the above.

After the user has entered the above parameters the 'OK' button should be clicked in order to display the report on the screen or the 'Exit' button to quit the program without displaying the report. The user can print the report by clicking on the 'Print' button or go back to the menu by clicking the 'Cancel' button.

### **7.15 List Reports**

When the user highlights the List reports menu under the Reports menu, the following report can be generated:



### 7.15.1 Transaction List Report

This report shows the details of the transaction of a particular Participant. The report contains details of Transaction references (Account Number, Security Symbol), Description/Details, Transaction Volume, Transaction Fees and Audit Information.

When the user selects Transaction List Report from the List report Submenu, the following screen pops-up:

The required fields are as follows:

- \* **Element Type**            The user can only generate report for the Participant.
- \* **Element ID**            Element ID is hard coded.
- \* **Account No**            The user has to click the appropriate radio button to indicate whether report for 'All' the accounts belonging to the Element or just for a specific account is required. A textbox is displayed for entering the account number if the 'Specific' radio button is selected. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct account no.
- \* **Security Symbol**        The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the 'All' radio button to compile the report for all the securities held in the Element ID's accounts. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.
- \* **Transaction Code**      The user can enter a particular *Transaction Code* in order to restrict the report to activity in that transaction only or 'All' to compile the report for all the transactions executed in the Participant's account. A 'Browse' button is provided by the side

of the field to give the user access to a lookup table in case the user does not remember the correct Transaction Code.

- \* **Operation Code**      The user can enter a particular *Operation Code* in order to restrict the report to activity in that transaction only or '*All*' to compile the report for all the operations executed in the Participant's account. A '*Browse*' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Operation Code. Since the Operation Code is related to Transaction Code, the textbox for entering the Operation Code appears only when the '*Specific*' option is selected in the Transaction Code field.
  
- \*
- \* **From Date & To Date**      The dates to be covered by the report should be entered in these fields.

Clicking the '*OK*' button will display the report on the screen and the '*Cancel*' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

### 7.15.2 User Transaction List Report

This report shows the details of the transaction for a specific user of a particular Participant. The report contains details of Transaction references (Account Number, Security Symbol), Description/Details, Transaction Volume, Transaction Fees and Audit Information.

When the user selects Transaction List Report from the List report Submenu, the following screen pops-up:

The required fields are:

- \* **Participant ID** Participant ID is hard coded with the id of the logged-in participant.
- \* **User ID** When the user browses for the user id, the following lookup opens to select the user for which the report is to be generated

USER ID
A0006701
A0006702

- \* **Security Symbol** The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the 'All' radio button to compile the report for all the securities held in the Element ID's accounts. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.
- \* **Transaction Code** The user can enter a particular *Transaction Code* in order to restrict the report to activity in that transaction only or the user can enter 'All' to compile the report for all the transactions executed in the Participant's account. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction Code.

- \* **Operation Code**      The user can enter a particular *Operation Code* in order to restrict the report to activity in that transaction only or the user can enter 'All' to compile the report for all the operations executed in the Participant's account. A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Operation Code. Since the Operation Code is related to Transaction Code, the textbox for entering the Operation Code appears only when the 'Specific' option is selected in the Transaction Code field.

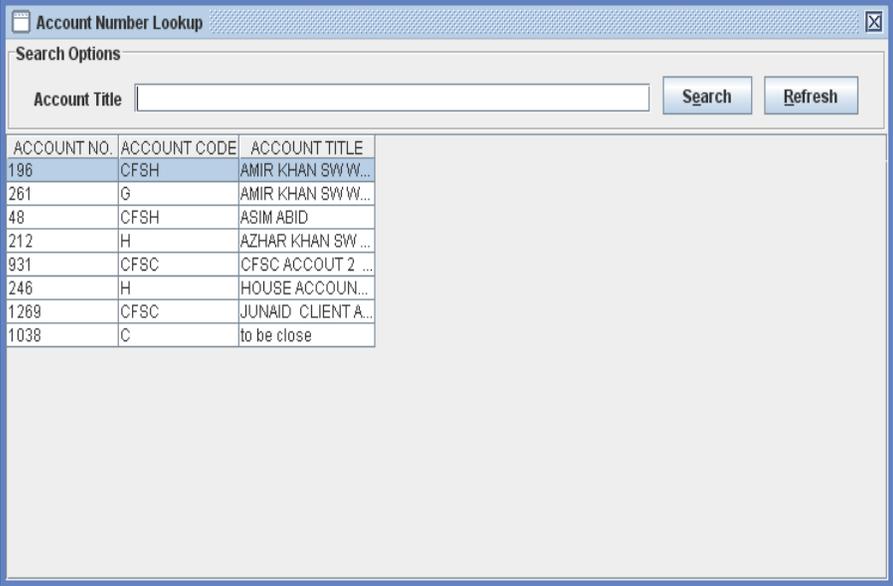
## 7.16 IVR/WEB AND SMS ACTIVATION REPORT

The IVR/ Web and SMS Activation Reports help the user generate the details of clients subscribed for IVR / Web and / or SMS operational activities. IVR/Web and SMS activation report is used to display information pertaining to the activation of IVR/ Web and SMS.

To access the report, user clicks on **“IVR/Web and SMS Activation Report”** under **Reports** menu. The screen displayed by the system is as follows:

The details of the fields on the screen are as follows:

Field Name	Description
<i>Activation Type</i>	The user may select IVR/Web or SMS by clicking on the desired radio button
<i>Element Type</i>	The “Element Type” field is disabled and contains the hard coded information of the Element Type for which the report is to be generated.
<i>Report Type</i>	The “Report Type” field is disabled and contains the hard coded information of the Report Type for which the report is to be generated.

<b><i>Element Type</i></b>	The “Element ID” field is disabled and contains the hard coded information of the Element ID for which the report is to be generated.																											
<b><i>Account Number</i></b>	<p>The user may select “All” to generate the report related to all Account Numbers or select a “Specific” Account Number by clicking on “Browse” button and selecting the desired account number from the lookup screen, which is displayed as follows:</p>  <table border="1" data-bbox="683 646 1057 856"> <thead> <tr> <th>ACCOUNT NO.</th> <th>ACCOUNT CODE</th> <th>ACCOUNT TITLE</th> </tr> </thead> <tbody> <tr> <td>196</td> <td>CFSH</td> <td>AMIR KHAN SW W...</td> </tr> <tr> <td>261</td> <td>G</td> <td>AMIR KHAN SW W...</td> </tr> <tr> <td>48</td> <td>CFSH</td> <td>ASIM ABID</td> </tr> <tr> <td>212</td> <td>H</td> <td>AZHAR KHAN SW ...</td> </tr> <tr> <td>931</td> <td>CFSC</td> <td>CFSC ACCOUT 2 ...</td> </tr> <tr> <td>246</td> <td>H</td> <td>HOUSE ACCOUN...</td> </tr> <tr> <td>1269</td> <td>CFSC</td> <td>JUNAID CLIENT A...</td> </tr> <tr> <td>1038</td> <td>C</td> <td>to be close</td> </tr> </tbody> </table>	ACCOUNT NO.	ACCOUNT CODE	ACCOUNT TITLE	196	CFSH	AMIR KHAN SW W...	261	G	AMIR KHAN SW W...	48	CFSH	ASIM ABID	212	H	AZHAR KHAN SW ...	931	CFSC	CFSC ACCOUT 2 ...	246	H	HOUSE ACCOUN...	1269	CFSC	JUNAID CLIENT A...	1038	C	to be close
ACCOUNT NO.	ACCOUNT CODE	ACCOUNT TITLE																										
196	CFSH	AMIR KHAN SW W...																										
261	G	AMIR KHAN SW W...																										
48	CFSH	ASIM ABID																										
212	H	AZHAR KHAN SW ...																										
931	CFSC	CFSC ACCOUT 2 ...																										
246	H	HOUSE ACCOUN...																										
1269	CFSC	JUNAID CLIENT A...																										
1038	C	to be close																										

When the user clicks on “Ok” button, report is generated according to the selected criteria.

There are two types of reports generated by the system, depending on, whether the activation type is IVR/Web or SMS.

**If Activation Type is IVR/Web:**

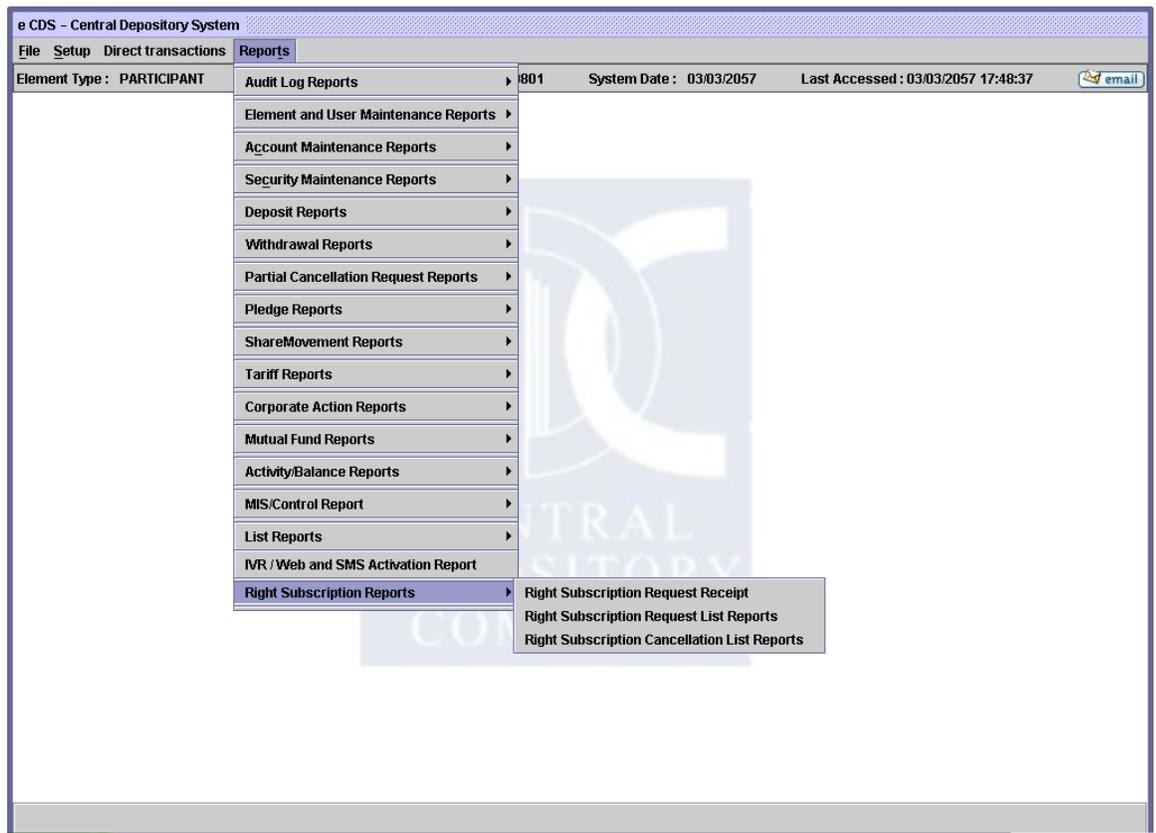
The report shows Element Type, Report Type, Element ID, Account Number, Page#, User, Date and Time as the header information. Moreover, the details on the report include Account Number, Account Title, Account Type, Date of Birth, Mother’s Maiden Name, Mobile Number and Status.

### **If Activation Type is SMS:**

The report shows Element Type, Activation Type, Report Type, Element ID, Account Number, Page#, User, Date and Time as the header information. Moreover, the details on the report include Account Number, Account Title, Account Type, Mobile Number, Subscription Status, Activation/ Deactivation Date, SMS Validity Date and Deactivation Remarks.

## **7.17 RIGHT SUBSCRIPTION REPORTS**

The *Right Subscription Reports* submenu is available in the Reports menu on the main screen, as shown below:



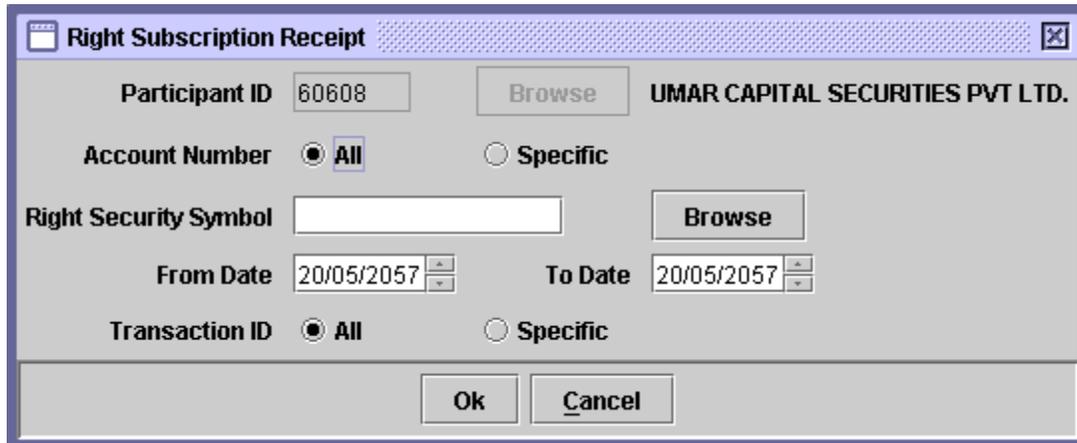
The report options available within this submenu are:

- Right Subscription Request Receipt
- Right Subscription Request List Report
- Right Subscription Cancellation List Report

### 7.17.1 Right Subscription Receipt Report

In order to generate the receipt of the right subscription requests, the participant users can generate the Right Subscription Request Receipt Report. The report can be accessed under Reports > Right Subscription Reports > Right Subscription Receipt menu option in CDS.

The following report screen is displayed to the user:



**Right Subscription Receipt**

Participant ID: 60608  UMAR CAPITAL SECURITIES PVT LTD.

Account Number:  All  Specific

Right Security Symbol:

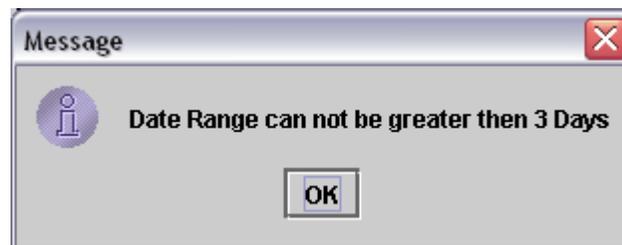
From Date: 20/05/2057 To Date: 20/05/2057

Transaction ID:  All  Specific

The participant id field will be disabled with the respective participant's id. The user will be able to generate the report for all accounts or for a specific account, and for all transaction or a specific transaction. The user can browse for a particular transaction by using the Transaction ID Browse button.

The user can browse the Right Security Symbol through the Browse button. The report will be generated for the date range provided through From Date and To Date fields.

If the user provides a date range of greater than 3 days, then the following message will be given to the user:



For each transaction, the output of the report will show a page each for Client's Copy and for Issuer Copy, as shown below:

### XYZ TEXTILES MAM

Registered Office: Karachi  
 Telephone No: 99999  
 Register: MAM Text R/TA (class in Full length xxxxxxxxxxxxxxxxxx and)

RIGHT ISSUE #  
1234

#### RIGHT SUBSCRIPTION REQUEST

Issue of 1,000,000.00 ordinary / preference securities of Rs 10.00 each to be issued at Rs 10.00 (including premium / at discount of Rs 0.00) per share payable in full on acceptance on or before \_\_\_\_\_

NAME, FATHER'S / HUSBAN'S NAME & CNIC NO. OF SHAREHOLDER										ADDRESS OF SHAREHOLDER				
Mr. Muhammad (saddiq), CNIC: 3234567-2345678										Hydrabad, Hydrabad				
CDC Participant / CDC Investor Account Section ID					Sub Ac. / House Ac. No. / CDC Investor Ac. No.					Right Subscription Request No.	Right securities to be subscribed			
6 9 6 0 8 0 0 0 5 1 7					2	Number	Amount (Rupees)							
Participant Name					UMAR CAPITAL SECURITIES PVT LTD.							100	1,000.00	

The Director,  
 XYZ TEXTILES MAM,  
 OTHERS,  
 Dear Sir(s),

Having paid to your Banker, the amount payable as indicated above it is requested that the said securities may please be credited to above mentioned CDS Account. It is agreed that these securities will be held as per terms of the Right Issue and the Memorandum and Articles of Association of the Company.

\_\_\_\_\_  
 \* Signature of depositor

NOTE: In case of nationality other than Pakistan, please specify the nationality \_\_\_\_\_  
 \* Signature of CDS Account Holder or a person who is signing on behalf of CDS Account Holder

**INSTRUCTION:**

- 1) **BANKER(S) TO THE RIGHT ISSUE:**
  - (a) Bank;
- 2) **PAYMENT:**
  - (a) Payment as indicated above should be made by cash or crossed cheque or demand draft or pay order made out in the credit of XYZ TEXTILES MAM - Right Share Subscription Account\* through any of the authorized branches of above mentioned bank(s) on or before \_\_\_\_\_ along with this Right Subscription Request duly filled in and signed by the depositor. IN CASE OF NON-RESIDENT PAKISTANI / FOREIGN SHAREHOLDER, the demand draft of equivalent amount in Pak Rupees should be sent to the Company Secretary, XYZ TEXTILES MAM at the registered office of the company along with Right Subscription Request (both copies) duly filled and signed by the depositor well before the last date of payment.
  - (b) All cheques and drafts must be drawn on a bank situated in the same city where Right Subscription Request is deposited. Cheque is subject to realization.
  - (c) The Bank will not accept Right Subscription Request delivered by post which may reach after the closure of business on \_\_\_\_\_, unless evidence is available that these have been posted before the last date of payment.
- 3) **ACCEPTANCE OF PAYMENT THROUGH RIGHT SUBSCRIPTION REQUEST:**
  - (a) Payment of the amount indicated above to the Company's Banker(s) to the issue on or before \_\_\_\_\_ shall be treated as acceptance of the Right offer.
  - (b) Two copies of Right Subscription Requests should be handed over to the Company's Banker(s) to the issue instant. Client's copy of Right Subscription Request will be returned to the depositor while Issuer's copy will be retained by the Banker for onward transmission to the Company. The Client's copy must be prepared and retained safely by the CDS Account Holder.
- 4) **CREDIT OF RIGHT SECURITIES INTO CDS ACCOUNTS:**
  - (a) After payment has been received by the Company's banker(s), the Right Securities will be credited into respective CDS Accounts within 14 business days from the last payment date, through which Right Subscription Request was initiated. Paid Right Subscription Request will not be tracked or transferred.

**ON ACCEPTANCE**

By Cash/ Cheque/ Pay order/ Bank Draft No. \_\_\_\_\_ Dated \_\_\_\_\_ Drawn on \_\_\_\_\_ for the sum of Rs. 1,000.00 Rupees (and thousand rupees only)

in respect of 100 Ordinary / Preference securities of Rs. 10.00 each of this Right Issue at the issue price of Rs. 10.00 per share.

Bank: \_\_\_\_\_ Branch: \_\_\_\_\_ Date: \_\_\_\_\_

**CLIENT'S COPY**

Authorized Signature & Stamp of Receiving Bank

**XYZ TEXTILES MAM**

RIGHT ISSUE #  
1234

Registered Office: Karachi  
 Telephone No: 99999  
 Registrar: MAM Text/TA (Name in Full length xxxxxxxxxxxxxxxxx and)

**RIGHT SUBSCRIPTION REQUEST**

Issue of 1,00,000.00 ordinary / preference securities of Rs. 10.00 each to be issued at Rs. 10.00 (including premium / at discount of Rs. 0.00) per share payable in full on acceptance on or before \_\_\_\_\_

NAME, FATHER'S / HUSBAND'S NAME & CNIC NO. OF SHAREHOLDER		ADDRESS OF SHAREHOLDER	
Mr. Muhammad Aslam, CNIC: 1234567-12345-6		123456 Hyderabad	
CDC Participant / CDC Investor Account Services ID	Sub A/c. / House A/c. No. / CDC Investor A/c. No.	Right Subscription Request No.	Right securities to be subscribed
6 0 6 0 8	0 0 0 5 1 7	2	Number Amount - (Rupees)
Participant Name: UMAR CAPITAL SECURITIES PVT LTD.			100 1,000.00

The Director,  
 XYZ TEXTILES MAM,  
 OTISD,  
 Dear Sir(s),

Having paid to your Bankers, the amount payable as indicated above it is requested that the said securities may please be credited to above mentioned CDS Account. It is agreed that these securities will be held as per terms of the Right Issue and the Memorandum and Articles of Association of the Company.

\_\_\_\_\_  
\* Signature of depositor

NOTE: In case of nationality other than Pakistan, please specify the nationality \_\_\_\_\_  
 \* Signature of CDS Account Holder or a person who is signing on behalf of CDS Account Holder

**INSTRUCTION:**

- BANKER(S) TO THE RIGHT ISSUE:**  
00 Bank;
- PAYMENT:**
  - Payment as indicated above should be made by cash or crossed cheque or demand draft or pay order made out to the credit of "XYZ TEXTILES MAM - Right Share Subscription Account" through any of the authorized branches of above mentioned bank(s) on or before \_\_\_\_\_ along with this Right Subscription Request duly filled and signed by the depositor. IN CASE OF NON-RESIDENT PAKISTANI / FOREIGN SHAREHOLDER, the demand draft of equivalent amount in Pak Rupees should be sent to the Company Secretary, XYZ TEXTILES MAM at the registered office of the company along with Right Subscription Request (both copies) duly filled and signed by the depositor well before the last date of payment.
  - All cheques and drafts must be drawn on a bank situated in the same city where Right Subscription Request is deposited. Cheque is subject to realization.
  - The Bank will not accept Right Subscription Request delivered by post which may reach after the closure of business on \_\_\_\_\_ unless evidence is available that these have been posted before the last date of payment.
- ACCEPTANCE OF PAYMENT THROUGH RIGHT SUBSCRIPTION REQUEST:**
  - Payment of the amount indicated above to the Company's Banker(s) to the issue on or before \_\_\_\_\_ shall be treated as acceptance of the Right offer.
  - Two copies of Right Subscription Request should be handed over to the Company's Banker(s) to the issue intact. Client's copy of Right Subscription Request will be returned to the depositor whilst issuer's copy will be retained by the Banker for onward transmission to the Company. The Client's copy must be preserved and retained safely by the CDS Account Holder.
- CREDIT OF RIGHT SECURITIES INTO CDS ACCOUNTS:**
  - After payment has been received by the Company's banker(s), the Right Securities will be credited into respective CDS Accounts within 14 business days from the last payment date, through which Right Subscription Request was initiated. Paid Right Subscription Request will not be traded or transferred.

**Banker's to the Issue confirmation to the Company on receipt of Subscription Amount**

We confirm having received the subscription amount of Rs. 1,00,000/- for 100 share(s) / certificate from the CDS A/c Holder(s) / Sub A/c holder(s) / IAS A/c holder(s).  
 Bank: \_\_\_\_\_ Branch: \_\_\_\_\_ Date: \_\_\_\_\_

**ISSUER'S COPY**

Authorized Signature & Stamp of Receiving Bank

### 7.17.2 Right Subscription Request List Report

The Right Subscription Request List Report option is displayed when the Right Subscription Reports menu item on the Reports menu is selected. It enables the user to display or print a report showing the list of right subscription requests made by the Participant on behalf of his client. The information displayed in the save report includes Transaction ID, Subscription Date, Account Number, Account Type, Account Title, Subscription Volume, and Subscription Amount (Rs). Whereas, the information displayed in the post report includes, Right Subscription Request No., Subscription Date, Account Number, Account Type, Account Title, Subscription Volume and Subscription Amount (Rs). Clicking this menu item displays the screen shown below:

The user can generate both the saved and the posted data for this report. The user can provide the data for Account Number, Security Symbol, From Date, To Date and Transaction ID in the same manner as explained earlier for the Right Subscription Request Receipt Report. The user can also provide any one of the two Subscription Date Types for the report: Date Range or As of Date, as shown in the figures below for both the Save and the Post reports:

The screenshot shows a dialog box titled "Right Subscription Request List Report" with a close button in the top right corner. Below the title bar are two tabs: "Save" and "Post". The "Report Options" section contains the following fields and controls:

- Participant ID:** Radio buttons for "All" and "Specific" (selected). A text box contains "60608" and a "Browse" button. The text "UMAR CAPITAL SECURITIES PVT LTD." is displayed to the right.
- Account Number:** Radio buttons for "All" (selected) and "Specific".
- Security Symbol:** A text box contains "MURIGHT02" and a "Browse" button. The text "MU SECURITY FOR RIGHT 02" is displayed to the right.
- Subscription Date Type:** A dropdown menu is set to "Date Range".
- From Date:** A date picker shows "20/05/2057".
- To Date:** A date picker shows "20/05/2057".
- Transaction ID:** Radio buttons for "All" (selected) and "Specific".

At the bottom of the dialog are "OK" and "Cancel" buttons.

The screenshot shows the same dialog box as above, but with the "Subscription Date Type" dropdown menu set to "As of Date". The "As Of Date" field is a date picker showing "20/05/2057". All other fields and controls remain the same as in the previous screenshot.

The behaviour for post mode report remains same as discussed above except that the Transaction ID field is not available on the Post tab.

**Right Subscription Request List Report**

Save Post

Report Options

Participant ID  All  Specific 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number  All  Specific

Security Symbol MURIGHT01 Browse MU SECURITY FOR RIGHT 01

Subscription Date Type Date Range

From Date 20/05/2057 To Date 20/05/2057

OK Cancel

**Right Subscription Request List Report**

Save Post

Report Options

Participant ID  All  Specific 60608 Browse UMAR CAPITAL SECURITIES PVT LTD.

Account Number  All  Specific

Security Symbol MURIGHT01 Browse MU SECURITY FOR RIGHT 01

Subscription Date Type As of Date

As Of Date 20/05/2057

OK Cancel

### 7.17.3 Right Subscription Cancellation Request List Report

The Right Subscription Cancellation Request List Report option is displayed when the Right Subscription Reports menu item on the Reports menu is selected. It enables the user to display or print a report showing a list of right subscription requests cancelled by CDC Admin. The information displayed in the report includes Right Subscription Request No., Subscription Date, Account Number, Account Type, Account Title, Subscription Volume and Subscription Amount (Rs). Clicking this menu item displays the screen shown below:

The following screen will be displayed when the user clicks the above mentioned option:

The screenshot shows a dialog box titled "Right Subscription Cancellation Request List Report". It has a "Save" button (disabled) and a "Post" button (active). Under "Report Options", the "Participant ID" is set to "Specific" with the value "60608" and a "Browse" button next to it, which is disabled. The "Account Number" is set to "All". The "Security Symbol" field is empty with a "Browse" button. The "Subscription Date Type" is set to "Date Range". Below it, "From Date" and "To Date" are both set to "20/05/2057". At the bottom are "OK" and "Cancel" buttons.

The user can only generate the posted records for right subscription request cancelled by CDC Admin. The user has to provide a valid Security Symbol or select the symbol by browsing through the security symbol lookup. The user can provide any of the following two subscription data types: Date Range or As of Date. If the user selects the Date Range, then the user will have to select the From Date and To Date. Else, if the user selects the As of Date option, then the user will have to provide the As of Date, as shown in the figures below.

The screenshot shows the same dialog box as above, but with "Subscription Date Type" set to "As of Date". The "As Of Date" field is set to "20/05/2057". All other fields and buttons remain the same as in the previous screenshot.

