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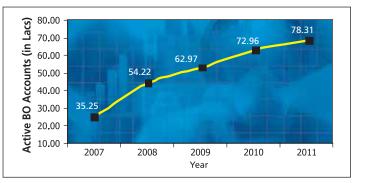
Wishes You a Happy & Prosperous New Year

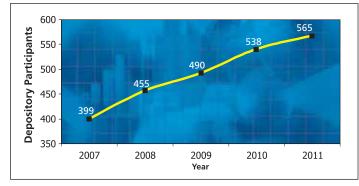


# **CDSL TODAY**

### **Beneficial Owners**

During the last 12 months, the number of active BO accounts with CDSL has increased from 72.96 lakh as on December 20, 2010 to 78.31 lakh as on December 20, 2011, which indicates growth of 7.33%.



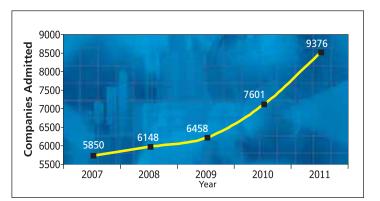


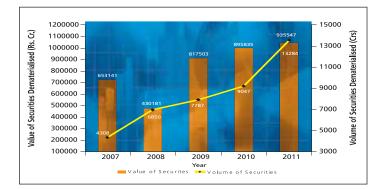
### **Depository Participants**

As on December 20, 2011, CDSL has 565 DPs offering DP services from over 10600 locations across the country. These DPs comprise of CMs, Banks, NBFCs, Custodians, Clearing Houses/ Corporations and Regional Stock Exchanges.

### **Companies Admitted**

The securities of almost all listed companies have been admitted with CDSL for demat. Further, a large number of Private Limited and unlisted companies are also admitted with CDSL. As on December 20, 2011, the securities of 9376 companies have been admitted for demat with CDSL.





### **Securities Dematerialised**

During the last 12 months, the volume of securities under custody has increased by 46.83% and the value of securities has increased by 4.43% respectively.



# WHAT's NEW ?

#### SEBI KYC REGISTRATION AGENCY (KRA) REGULATIONS, 2011

In order to simplify the account opening process for investors, SEBI had issued guidelines for uniform KYC documentation for investors while opening accounts with any intermediary in the securities market, vide Circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011.

With a view to avoid duplication of KYC process that an investor has to undergo while opening an account for the purpose of trading / investment in the securities market with different intermediaries, a mechanism for centralization of the KYC records has been proposed. As per the new guidelines, an intermediary shall perform the initial KYC of its clients and upload the details on the system of the KYC Registration Agency (KRA). When the client approaches another intermediary, the intermediary can verify and download the client's details from the system of the KRA. As a result, once the client has done KYC with a SEBI registered intermediary, he need not undergo the same process again with another intermediary.

DPs, BOs and other market intermediaries, may refer to the KRA Regulations, notified by SEBI vide notification no. LAD-NRO/GN/2011-12/29/36772 dated December 2, 2011, which covers regulations regarding registration of KRAs, functions and responsibilities of the KRAs and intermediaries, code of conduct, data security, etc.

In order to familiarize market intermediaries about the rationalization & harmonization program undertaken by SEBI in introducing Common KYC for all clients in the Financial Markets, CVL (CDSL Ventures Ltd.) conducted a series of KRA awareness programmes at Mumbai, Delhi, Chennai, Kolkata and Ahmedabad.



*Mr. Cyrus Khambata, Managing Director - CDSL Ventures Ltd. addressing the participants at the KRA familiarization session conducted at Mumbai on 12.12.2011* 

# GREEN INITIATIVE IN CORPORATE GOVERNANCE BY MCA

The Ministry of Corporate Affairs (MCA) has adopted a 'Green Initiative in Corporate Governance' by allowing corporates to comply in the paperless mode after taking into account various sections of the Information Technology Act, 2000.

MCA, vide its circulars 17/2011 dated 21.04.2011 and 18/2011 dated 29.04.2011, had allowed companies to provide service of documents and notices through electronic mode via email provided that an advance opportunity is given to its members to register their email ids and change the same, whenever necessary.

Beneficial Owners (BOs) are, therefore, requested to register their email ids with their Depository Participants (DPs) to receive communications from companies in the electronic mode.

#### AMENDMENT IN CDSL BYE LAWS

DPs are advised to note the amendment in the CDSL Bye-Laws under which there is a change in the agreement between a DP and a person seeking to open a BO account. The existing Clause 7 of the agreement has been replaced with a new clause. DPs are advised to incorporate the change in the DP-BO agreement in their account opening forms for new demat accounts opened by them. For more details, DPs should refer to CDSL communiqué no. CDSL/ L&CS/DP/POLCY/2755.

#### ADDITIONAL KNOW YOUR CLIENT (KYC) DETAILS FOR DEMAT ACCOUNTS

With a view to bring about uniformity with respect to KYC in securities markets, SEBI had issued circular nos. CIR/ MIRSD/16/2011 dated August 22, 2011 and MIRSD/SE/CIR-21/2011 dated October 05, 2011 to inform that the additional KYC requirements to open a demat account would be prescribed by depositories to their DPs. DPs are advised to note that CDSL has provided the formats for collecting and recording information related to KYC of individuals and non-individuals in its communiqué No. 2708. DPs should ensure the implementation of these formats for all new investors with effect from January 1, 2012.

#### AUTO DO FACILITY FOR NSE

The National Securities Clearing Corporation Limited [NSCCL], via its Circular no. NSE/CMPT/19068 dated October 05, 2011, has informed that it will upload the

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Auto Delivery Obligations [Auto DO] of those NSE Clearing Members (CMs) who have requested NSCCL for the generation of their Auto DO through their CDSL Clearing Member account (CM Pool Account). This facility has been made effective from October 10, 2011. This will help the NSE CMs obtain shortage positions in the DP89 report.

NSE CMs wishing to avail the Auto DO facility for their CDSL CM Pool accounts will be required to send a letter to NSCCL as per the format specified, which is a part of the aforesaid circular. For further details, kindly refer to CDSL communiqué No. 2672.

#### **REPORTS FOR ACCOUNT OPENING ACTIVITIES**

CDSL, vide its communiqué no. 2562 dated July 19, 2011, had informed DPs about the availability of Single Download Report - DPB9 for account opening and maintenance activities. Further, in order to provide the DPs with a detailed Client Master Report, CDSL has also introduced two new reports, DPS8 report will provide account details for a particular Beneficial Owner (BO) or accounts set up over a selected date range and DPS9 report will provide details of accounts opened and modified during the past 2 days. DPs are advised to get the above mentioned reports incorporated in their back office software. For the file formats of these reports kindly refer to CDSL communiqué no. 2762.

#### MANDATORY ENTRY OF DATE OF BIRTH [DOB] / DATE OF INCORPORATION [DOI] IN THE CDSL SYSTEM

CDSL, vide its communiqué no. 2766 has made it mandatory for DPs to enter the Date of Birth (DOB) / Date of Incorporation (DOI) for the Sole or First Holder of the Demat account in the CDSL system with effect from February 04, 2012. The DOB / DOI should be entered in the system as it appears on the PAN card which is submitted by the account holder.

#### CHANGE IN NAME OF DP

DPs and BOs are advised to note the change in name of the following DP:

| DPID  | OLD NAME  | NEW NAME  |
|-------|---|---|
| 36300 | Satguru Capital &<br>Finance Private<br>Limited | Sunteck Wealthmax<br>Capital Private<br>Limited |

#### **INVESTOR AWARENESS PROGRAMMES (IAPs)**

During November - December 2011, CDSL conducted 32 IAPs across India in association with BSE Investor Protection Fund and leading newspapers such as Loksatta, Lokmat, Sakaal, Dainik Bhaskar, etc.



*Mr. C S Thakur, Head-Investor Awareness addressing the audience at a full day workshop on share market conducted jointly with India Infoline Ltd. and Lokasatta, a leading Marathi daily, at Dadar on 09.12.2011, which was attended by 120 participants.* 



*Mr. Ajit Manjure, Dy. Manager - CDSL, addressing the audience at an IAP conducted jointly with The Institute of Company Secretaries of India and Reliance Securities Ltd. at Pune on 15.12.2011.* 



#### INVESTOR AWARENESS PROGRAMMES WITH SEBI

During November – December 2011, CDSL conducted five Investor Awareness Programmes in association with SEBI and BSE Limited. Over 1500 investors attended these programs. Speakers from BSE Limited and CDSL educated the investors on various subjects of the securities market and depository services. Senior officials of SEBI, also provided valuable guidance to investors. The programmes concluded with an interactive question and answer session in which investors were provided clarification to their various queries.

| Date      | Venue   | Attended by   |
|-----------|---|---------------|
| 12-Nov-11 | Pritam Lal Dua Auditorium,<br>Regal Square, RNT Marg,<br>Indore-1 (M.P.)        | 225 Investors |
| 19-Nov-11 | The Residency Hotel,<br>208, Zone-1, M.P. Nagar,<br>Bhopal, (M.P.)-462011       | 250 Investors |
| 26-Nov-11 | Hotel Fidalgo,<br>18th June Road, Panaji, Goa                                   | 130 Investors |
| 16-Dec-11 | Samanvay Hall,<br>Near Apex Bank,<br>T.T.Nagar, Bhopal, (M.P.)                  | 575 Investors |
| 17-Dec-11 | Hotel Ashoka Inn,<br>T.B.Road, Sakthan,<br>Thampuran Nagar,<br>Thrissur, Kerala | 350 Investors |



Shri P K Nagpal – Executive Director, SEBI, Smt. Deepali Dixit – Assistant Director SEBI, along with Mr. C. Vasudevan – General Manager, BSE Limited and Mr. Ajit Manjure – Deputy Manager, CDSL addressing the audience at the IAP held in Bhopal on 19th November, 2011.

# NEW ADDRESSES OF CDSL OFFICES AT AHMEDABAD AND HYDERABAD

CDSL's regional offices at Ahmedabad and Hyderabad have recently shifted to new premises. The new addresses are as follows:

#### Hyderabad Office:

Flat No.304, Right Wing, Amrutha Ville, Opp. Yashoda Hospital, Raj Bhavan Road, Somajiguda, Hyderabad - 500 082.

#### Ahmedabad Office:

203/204, Abhishree Avenue, 2nd Floor, Near Nehru Nagar Circle, S.M.Road, Ambavadi, Ahmedabad - 380 015

## NEW DPs ADMITTED IN NOVEMBER - DECEMBER, 2011

| DPID     | DP NAME  | CITY    |
|----------|--|---------|
| 12072700 | Krishna Multifarious Consultancy Private Limited | Unjha   |
| 12072800 | Chuknoo Securities Limited                       | Kanpur  |
| 12072900 | Investeria Financial Services Private Limited    | Mumbai  |
| 12073000 | Aarya Equity (India) Private Limited             | Mumbai  |
| 12073100 | Achiievers Equities Limited                      | Kolkata |
| 12073200 | Aristro Capital Markets Private Limited          | Kolkata |



## **EQUITIES ADMITTED DURING NOVEMBER - DECEMBER, 2011**

| SR. NO.  | ISIN                           | ISIN NAME  | RTA NAME   |
|----------|--------------------------------|--|--|
| 1        | INE812M01015                   | APPLABS TECHNOLOGIES PRIVATE LIMITED   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 2        | INE760M01016                   | ASHOKA REFINERIES LIMITED  | BEETAL FINANCIAL & COMPUTER SERVICES PRIVATE LIMITED                                       |
| 3        | INE784M01016                   | ASIA PACK LIMITED  | ANKIT CONSULTANCY PRIVATE LIMITED  |
| 4<br>5   | INE052M01026<br>INE717M01016   | AURANGABAD ELECTRICALS LIMITED<br>BHAVNAGAR ENERGY COMPANY LIMITED                     | LINK INTIME INDIA PRIVATE LIMITED<br>BIGSHARE SERVICES PRIVATE LIMITED                     |
| 6        | INE307H01016                   | BIO WHITEGOLD INDUSTRIES LIMITED   | INTEGRATED ENTERPRISES (INDIA) LIMITED   |
| 7        | INE755M01016                   | CELEBRATIONS APPAREL LIMITED   | SHAREPRO SERVICES (I) PRIVATE LIMITED  |
| 8        | INE830M01017                   | CENTURY NIRMAN PRIVATE LIMITED   | NICHE TECHNOLOGIES PRIVATE LIMITED   |
| 9        | INE872M01019                   | DHANSAGAR MERCHANTS LIMITED  | MAHESHWARI DATAMATICS PRIVATE LIMITED  |
| 10<br>11 | INE796M01010<br>INE417B01040   | DLF HOMES PUNE PRIVATE LIMITED<br>DYNACONS SYSTEMS & SOLUTIONS LIMITED                 | Karvy computershare private limited<br>Bigshare services private limited                   |
| 12       | INE877M01018                   | ELGI ULTRA INDUSTRIES LIMITED  | LINK INTIME INDIA PRIVATE LIMITED  |
| 13       | INE884M01014                   | EON HADAPSAR INFRASTRUCTURE PRIVATE LIMITED  | SHAREPRO SERVICES (I) PRIVATE LIMITED  |
| 14       | INE829M01019                   | EPITOME INFRASTRUCTURE PRIVATE LIMITED   | NICHE TECHNOLOGIES PRIVATE LIMITED   |
| 15       | INE062L01019                   | FATPIPE NETWORKS INDIA LIMITED<br>FIDELO POWER AND INFRASTRUCTURE LIMITED              | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 16<br>17 | INE870M01013<br>INE873M01017   | FIDELO POWER AND INFRASTRUCTURE LIMITED  | SKYLINE FINANCIAL SERVICES PRIVATE LIMITED<br>MAHESHWARI DATAMATICS PRIVATE LIMITED        |
| 18       | INE754M01019                   | GANDHI SECURITIES AND INVESTMENT PRIVATE LIMITED                                       | PURVA SHAREGISTRY INDIA PRIVATE LIMITED  |
| 19       | INE764K01020                   | GFL FINANCIALS (INDIA) LIMITED   | PURVA SHAREGISTRY INDIA PRIVATE LIMITED  |
| 20       | INE688M01019                   | GKC PROJECTS LIMITED   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 21<br>22 | INE819M01010<br>INE819M01028   | GOKALDAS IMAGES PRIVATE LIMITED - CLASS A<br>GOKALDAS IMAGES PRIVATE LIMITED - CLASS B | INTEGRATED ENTERPRISES (INDIA) LIMITED<br>INTEGRATED ENTERPRISES (INDIA) LIMITED           |
| 22       | INE876M01010                   | GREEN VALLIEY INDUSTRIES LIMITED   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 24       | INE875M01012                   | HAPPY PLAZA PRIVATE LIMITED  | NICHE TECHNOLOGIES PRIVATE LIMITED   |
| 25       | INE723M01014                   | HARISONS STEEL LIMITED   | SHAREPRO SERVICES (I) PRIVATE LIMITED  |
| 26       | INE750M01017                   | HEXA TRADEX LIMITED  | RCMC SHARE REGISTRY (P) LIMITED  |
| 27<br>28 | INE871M01011<br>INE834M01019   | IDEAL POINT SERVICES PRIVATE LIMITED<br>INDIABULLS INFRASTRUCTURE AND POWER LIMITED    | NICHE TECHNOLOGIES PRIVATE LIMITED<br>KARVY COMPUTERSHARE PRIVATE LIMITED                  |
| 20       | IN9834M01017                   | INDIABULLS INFRASTRUCTURE AND POWER LIMITED  | KARVY COMPUTERSHARE PRIVATE LIMITED  |
|          |                                | (EQUITY SHARES PARTLY PAID Rs. 0.50)   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 30       | IN9069I01026                   | INDIABULLS REAL ESTATE LIMITED (EQUITY SHARES PARTLY PAID Rs. 0.52)                    | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 31       | INE845M01015                   | INTIME DEALERS LIMITED   | MAHESHWARI DATAMATICS PRIVATE LIMITED  |
| 32<br>33 | INE734M01011<br>INE733M01013   | Itsource technologies limited<br>Jaidka industries limited                             | BIGSHARE SERVICES PRIVATE LIMITED<br>BEETAL FINANCIAL & COMPUTER SERVICES PRIVATE LIMITED  |
| 34       | IN9175A01010                   | JAIN IRRIGATION SYSTEMS LIMITED  | BIGSHARE SERVICES PRIVATE LIMITED  |
| 35       | INE718M01014                   | LAKSHMI AUTOMATIC LOOM WORKS LIMITED   | S. K. D. C. CONSULTANTS LIMITED  |
| 36       | INE488E01037                   | MAHARASHTRA POLYBUTENES LIMITED  | SHAREX DYNAMIC (INDIA) PRIVATE LIMITED   |
| 37<br>38 | INE885M01011<br>INE161B01036   | Marshall Sons and CO (India) limited<br>Maximaa systems limited                        | NICHE TECHNOLOGIES PRIVATE LIMITED<br>PURVA SHAREGISTRY INDIA PRIVATE LIMITED              |
| 39       | INE 101001030                  | NEELGAGAN INFRASTRUCTURE PRIVATE LIMITED   | NICHE TECHNOLOGIES PRIVATE LIMITED   |
| 40       | INE806M01017                   | NELLIS BUILDERS AND DEVELOPERS PRIVATE LIMITED   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 41       | INE882M01018                   | NORTHERN INDIA HOTELS LIMITED  | THE INDIAN HOTELS COMPANY LIMITED  |
| 42       | INE874M01015                   | NSP BVSR KP ROAD PROJECTS PRIVATE LIMITED  | CIL SECURITIES LIMITED   |
| 43<br>44 | INE743M01012<br>INE814M01011   | ORIENT REFRACTORIES LIMITED<br>PAN INDIA INFRASTRUCTURES PRIVATE LIMITED               | Skyline Financial Services private limited<br>Sharepro Services (I) private limited        |
| 45       | INE880M01012                   | PARIKH HERBALS LIMITED   | CAMEO CORPORATE SERVICES LIMITED   |
| 46       | INE785M01013                   | PC JEWELLER LIMITED  | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 47       | INE789M01015                   | PIRAMAL ROADS INFRA PRIVATE LIMITED  | FREEDOM REDGISTRY LIMITED  |
| 48<br>49 | INE689M01017<br>INE339F01021   | Polo queen industrial and fintech limited<br>Polson limited                            | Satellite Corporate Services private limited<br>Purva share registry india private limited |
| 50       | INE831M01015                   | POLSON LIVITED<br>PROMPT INFRASTRUCTURE PRIVATE LIMITED                                | NICHE TECHNOLOGIES PRIVATE LIMITED   |
| 51       | INE844M01018                   | RELAX VINTRADE LIMITED   | MAHESHWARI DATAMATICS PRIVATE LIMITED  |
| 52       |                                | ROSETTE RESORTS LIMITED  | UNIVERSAL CAPITAL SECURITIES PRIVATE LIMITED   |
| 53<br>54 | INE735M01018<br>INE386L01038   | S E POWER LIMITED<br>SANTOWIN CORPORATION LIMITED                                      | Alankit Assignments limited<br>Purva sharegistry india private limited                     |
| 55       | INE386L01038<br>INE955I01036   | SEZAL GLASS LIMITED  | INTIME SPECTRUM REGISTRY LIMITED   |
| 56       | INE883M01016                   | SILVERTON PAPERS LIMITED   | ADROIT CORPORATE SERVICES PRIVATE LIMITED  |
| 57       | INE839M01018                   | SMARTGRID AUTOMATION DISTRIBUTION AND SWITCHGEAR LIMITED                               | CB MANAGEMENT SERVICES (P) LIMITED   |
| 58       | INE818M01012                   | SSIPL RETAIL LIMITED   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 59<br>60 | INE560F01014<br>INE124M01015   | SUN AND SHINE WORLDWIDE LIMITED<br>SUNIL INDUSTRIES LIMITED                            | PURVA SHAREGISTRY INDIA PRIVATE LIMITED<br>LINK INTIME INDIA PRIVATE LIMITED               |
| 61       | INE751M01015                   | SUNSTREAM CITY PRIVATE LIMITED   | LINK INTIME INDIA PRIVATE LIMITED  |
| 62       | INE716M01018                   | SWADESHI INDUSTRIES AND LEASING LIMITED  | SYSTEM SUPPORT SERVICES  |
| 63       | INE715M01010                   | THANJAVUR SPINNING MILL LIMITED  | CAMEO CORPORATE SERVICES LIMITED   |
| 64<br>65 | INE745M01017<br>INE771M01013   | TRIM PLASTICS LIMITED<br>TRINITY DEVELOPERS PRIVATE LIMITED                            | BIGSHARE SERVICES PRIVATE LIMITED<br>NICHE TECHNOLOGIES PRIVATE LIMITED                    |
| 66       | INE77110101013<br>INE761M01014 | VALUE AND BUDGET HOUSING CORPORATION PRIVATE LIMITED                                   | KARVY COMPUTERSHARE PRIVATE LIMITED  |
| 67       | INE795M01012                   | VARUN GAS INFRASTRUCTURE LIMITED   | DATAMATICS FINANCIAL SERVICES LIMITED  |
| 68       | INE769M01017                   | VIACOM 18 MEDIA PRIVATE LIMITED  | SYSTEM SUPPORT SERVICES  |
| 69<br>70 | INE770M01015<br>INE799M01014   | VISHVESHWAR INFRASTRUCTURE PRIVATE LIMITED<br>WAINGANGA EXPRESSWAY PRIVATE LIMITED     | NICHE TECHNOLOGIES PRIVATE LIMITED<br>LINK INTIME INDIA PRIVATE LIMITED                    |
| 70       | INE79910101014<br>INE881M01010 | WAINGANGA EXPRESSIVAY PRIVATE LIMITED  | Sharepro Services (1) private limited  |
|          |                                |  |  |



## **KNOWLEDGE CENTRE** KYC Registration Agency (KRA)

#### 1. What is KRA?

Ans: KRA or KYC Registration Agency, is an agency registered with SEBI under the Securities and Exchange Board of India {KYC (Know Your Client) Registration Agency} Regulations, 2011. The KRA maintains KYC records of an investor centrally, on behalf of capital market intermediaries registered with SEBI.

#### 2. Why is KRA required?

Ans: KRA enables an investor to invest through various intermediaries, after undergoing the KYC process once through an intermediary. This helps in avoiding duplication of KYC process and inconvenience to investors and eliminates the need to submit KYC documents each time he opens an account with another intermediary. Further, any subsequent changes in demographic details of an investor across various intermediaries can be updated by simply updating the record maintained with the KRA. KRA process results in uniformity of data of investors maintained across intermediaries, which would enhance compliance standards.

#### 3. What are functions and obligations of KRA?

Ans: KRA accepts the KYC form and documents pertaining to proof of identity and proof of address received from the Intermediaries. It scans, digitalizes the documents and thereafter issues acknowledgements/ conveys rejections to the investor. KRA also records any updates on KYC details of investors, which are submitted through an intermediary.

#### 4. How does the KRA benefit the investors and the intermediaries?

Ans: KRA not only prevents duplication and inconvenience to investors, it also enables a single point change management. Further, intermediaries need not collect KYC documents from KYC compliant clients, thus eliminating the need to collect and store the same. Inspection would be on the basis of scanned images, which would simplify compliance with KYC requirements.

#### 5. What is the role of intermediaries in KRA?

Ans: An intermediary collects the KYC form and documents only for its clients and verifies with the originals, enters the details of the same in the KRA system and thereafter forwards the authenticated copies of documents to the KRA. Further, in case of any changes in the demographic details submitted to the intermediary by an investor, the intermediary will update the same in the KRA system and thereafter forward the documents to the KRA. The intermediary can also download the KYC details of clients who have signed up with him.

#### 6. Would an intermediary be required to do In-person verification again, for a KYC compliant client?

Ans: As per SEBI circular MIRSD / Cir - 26/2011, dated December 23, 2011, in-person verification carried out by one SEBI registered intermediary can be relied upon by another intermediary.

#### 7. What would be the fees for KYC verification and download?

Ans: There would be a onetime charge for upload by the originating intermediary and download by subsequent intermediary.

#### 8. How will the data maintained by the KRA be disseminated to the Intermediaries?

Ans: KRA would be providing a web based interface to the intermediaries through which they would be able to verify, download or upload information from/ to the KRA.

#### 9. Would there be any change in the procedure for Corporates, FIIs and other Non-individual entities?

- Ans: The procedure for KYC, as specified under SEBI Circular no. MIRSD/SE/CIR-21/2011, dated 5/10/11 would continue for Non-individual entities as well.
- 10. Can the demat account be opened by the Intermediary if the KYC is under process? Or will the Intermediary have to wait for confirmation from the KRA?
- Ans: If the KYC is under process, the Intermediary can go ahead and open the account. However in case of any discrepancy or rejection, the onus is on the Intermediary to rectify the same.

#### 11. What information will be made available to the intermediary? Will the signature also be made available by the KRA?

- Ans: All the KYC details, including signatures, which form part of the KYC form will be made available to the intermediary.
- 12. If the documents are valid at the time of acceptance at Intermediary and expires before it reaches the KRA what will be the status of the clients KYC?
- Ans: Any document which is valid at the time of submission to the Intermediary will be considered for KYC. The validity of the documents for the purpose of KYC would be as on date of acceptance by the Intermediary.

#### 13. Will the KRA system permit upload of duplicate records i.e. of an existing KYC compliant investor?

Ans: In case an intermediary uploads another KYC of an existing KYC compliant investor, the same will be rejected by the KRA system and the intermediary will have to download the KYC details of the client from the KRA.



# **CDSL Regional Offices**

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#### **Eastern Region** Kolkata

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#### **Northern Region** New Delhi

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