Depository Based Digitalization of Services for Financial Markets

AECSD Annual Training Seminar, June 2020

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Asst. Vice President, NSDL
NSDL Digital Initiatives

1. FPI Registration and CAF
2. Consolidated Account Statement
3. Digital LAS
4. Instruction submission & Mobile APP
5. Hosting of data on NSDL Cloud
6. Central Repository of KYC
7. STP Services
C1ients accounts are opened with Participants of NSDL

Client due diligence and Client service carried out by Participants

Participants service the Clients from 31,000 locations

NSDL investors presence cover 99.2% of pin codes in the country
SEBI (Foreign Portfolio Investor) Regulations, 2014 came into effect on **January 7, 2014**.

A single route to foreign investors viz., FIIs, Sub Accounts & QFIs under portfolio investment scheme converging it to one class of investor viz., Foreign Portfolio Investor (FPI)

No registration required by FPI at SEBI
FPI Certificate Generation

NSDL has been authorised by SEBI to generate FPI Registration Number and FPI Certificate

✓ The methodology used for generating the number is based on ANNA Standards
✓ 12- digit Alpha Numeric
FPI Statistical Reports

https://www.fpi.nsdl.co.in/

1. Latest
   ✅ The report disseminates FPI investment data for the day (last reported)

2. Current Month
   ✅ The report disseminates FPI investment data for current month

3. Archive
   ✅ The report disseminates FPI investment data reflecting current month, current year and cumulative figures since 1999

4. FPI Investment Details (Calendar Year)

5. FPI Investment Details (Financial Year)

6.Fortnightly Sector-wise FPI Investment Data
   ✅ The report disseminates FPI investment data for each fortnight with sector wise bifurcation
A single and common application form [CAF] for FPI Registration, obtain PAN and KYC for opening bank and demat account. (https://www.fpi.nsdl.co.in/)

Applicant to capture and submit CAF in an electronic manner on NSDL FPI Registration portal and forward the documents to DDP.

DDP to register the FPI application on NSDL FPI Registration portal.

Upon generation of FPI Registration Number/Certificate, DDP shall submit/forward the application on NSDL FPI portal in an online manner to CBDT for obtaining PAN.

CBDT to generate PAN/e-PAN which will be communicated to FPI.
NSDL CAS

- Single account statement held with NSDL and other Depository and units of MFs held in SOA form

- Enables investors to have a consolidated view of his/her financial assets

- Enrich investor experience of managing his/her portfolio effectively
Includes transactions and holdings in investor’s demat account(s).

- Includes Mutual Funds Units held in Statement of account (SOA) form.

- Inclusion of XIRR on mutual fund schemes.

- Inclusion of Fair Market Value pertaining to January 2018 to compute LTCG [For listed equity shares/Equity Oriented funds and ETF Units]

- Details of Multiple Nomination.

- Link of IndiaBond Info on Bond ISIN in eCAS

- Identification of Tax Free Bonds

Visit: https://nsdlcas.nsdl.com
Number of Consolidated Account Statements sent (CAS)

11 % Growth
Compared to last FY

Average of Monthly CAS (excluding half yearly & yearly CAS)
Digital LAS (Loan Against Securities)

- **Self Services**
  - Client Login through net banking and interface with NSDL
  - Anytime, Anywhere Access
  - Customer delight with complete digital experience

- **Instant**
  - Instant Loan
  - Experience seamless end-to-end transaction within few minutes
  - No manual process of sanctioning loan
Welcome TEST USER
Statement of Holding as on: 12-Aug-2015

<table>
<thead>
<tr>
<th>ISIN</th>
<th>Symbol Description</th>
<th>Date</th>
<th>Price/NAV/Par Value</th>
<th>Value in ₹</th>
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<tbody>
<tr>
<td>INE139910105</td>
<td>AGGREASAR LEASING &amp; FINANCE PRIVATE LTD EQ</td>
<td>12-Aug-2015</td>
<td>100.00</td>
<td>1,000.00</td>
</tr>
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<td>INE074691027</td>
<td>COMMVA TECHNOLOGIES LIMITED BHARTI TELESOFT LIMITED</td>
<td>12-Aug-2016</td>
<td>10.00</td>
<td>700.00</td>
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<tr>
<td>INE177010111</td>
<td>NOITV WORLD LTD EQ</td>
<td>12-Aug-2015</td>
<td>10.00</td>
<td>500.00</td>
</tr>
</tbody>
</table>

Total Value of Holdings: ₹ 17,200.00

*Value is based on the price of the equity shares as on 12-Aug-2015*
SPEED-e is a common Internet Infrastructure that enables the DPs to provide depository services to their clients to submit delivery instructions to their participant.
NSDL Cloud

- NSDL Cloud for hosting Participants’ database
- Reduction in Hardware Cost
  (*No need to install server*)
- No Disaster Recovery Site required
  (*No need to have DR*)
- Backup
  (*No need for back-ups*)
- Safe & Secure
  (*No need to setup cyber security measures*)
Features

- All Debit Transfers, Credits for IPO, sub-division and bonus, Failed instructions, Overdue instructions, Change of mobile number and address, change of nominees / power of attorney

- More than 80% of the NSDL demat accounts are covered with SMS alert facility.

- 60 million (6 crore messages) sms alerts sent were sent last year.

- 84% of the SMS are delivered in less than 10 seconds to investors directly.
SEBI circular on Uniform Know Your Client (KYC) requirements for the Securities Markets.

NSDL’s subsidiary NDML is a KYC Registration Agency (repository of KYC)

Market Participants to perform KYC/due diligence of Client

Opening / modification of KYC

Upload documents / API interface with NDML-KRA
STeADY is a facility which enables the brokers to deliver/submit contract notes to custodians/ fund managers electronically by transmitting digitally signed trade information with encryption. It further enables fund managers to enrich the contract note and convert it into instructions (settlement) for the custodian.

STeADY is mandatory for Institutional Investors i.e. Mutual Funds, Insurance Companies, PMS, Banks etc

Equity and F&O related trades are processed

More than 3.2 million contract notes and 2.48 billion trade details are exchanged on STeADY platform during 2019
Thank you