

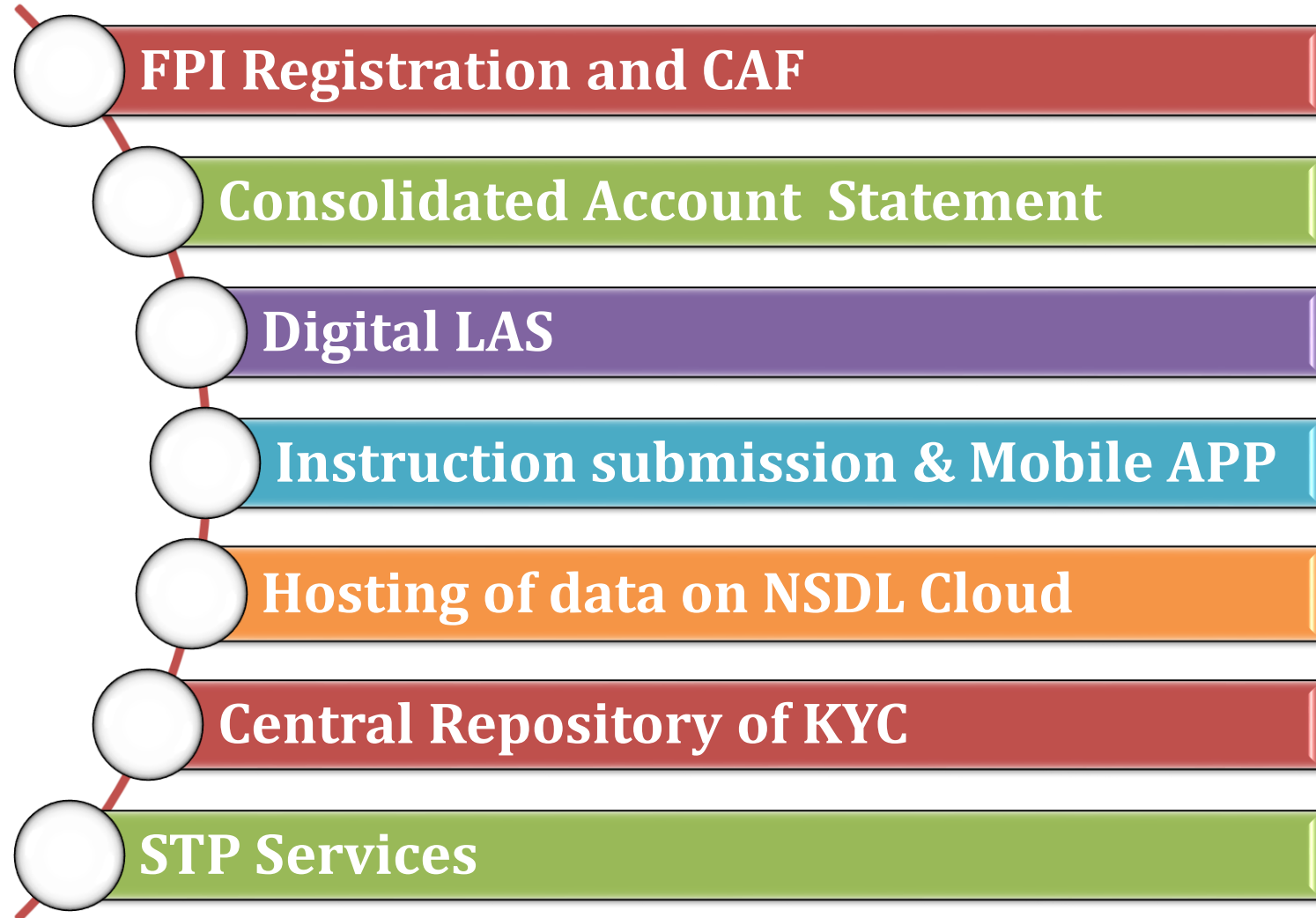
Depository Based Digitalization of Services for Financial Markets

AECSD Annual Training Seminar, June 2020



Mr. Narayan Venkat
Asst. Vice President, NSDL

NSDL Digital Initiatives



NSDL – Depository Participants



- Clients 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

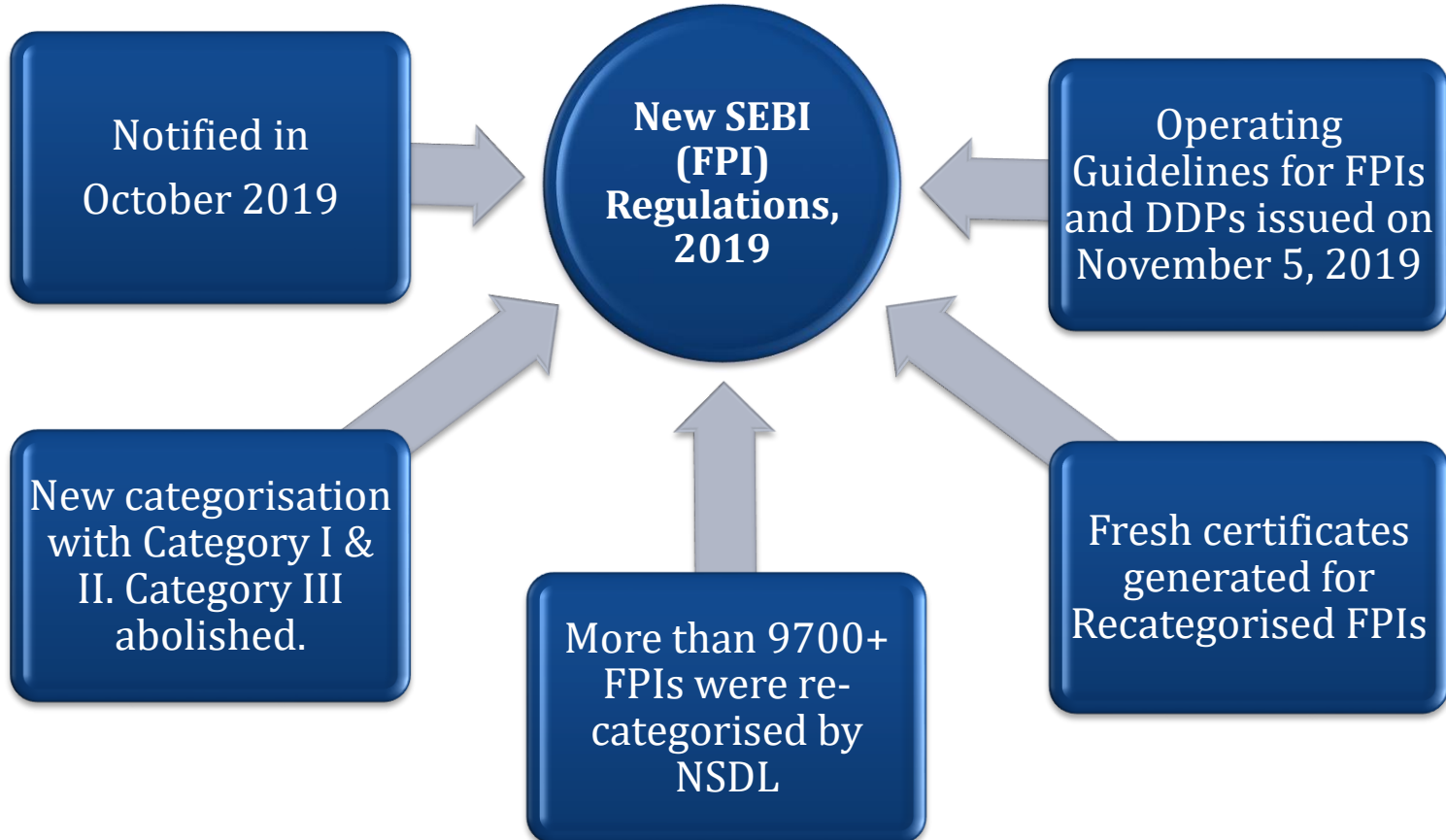
Foreign Portfolio Investor (FPI)



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

Common Application Form



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.

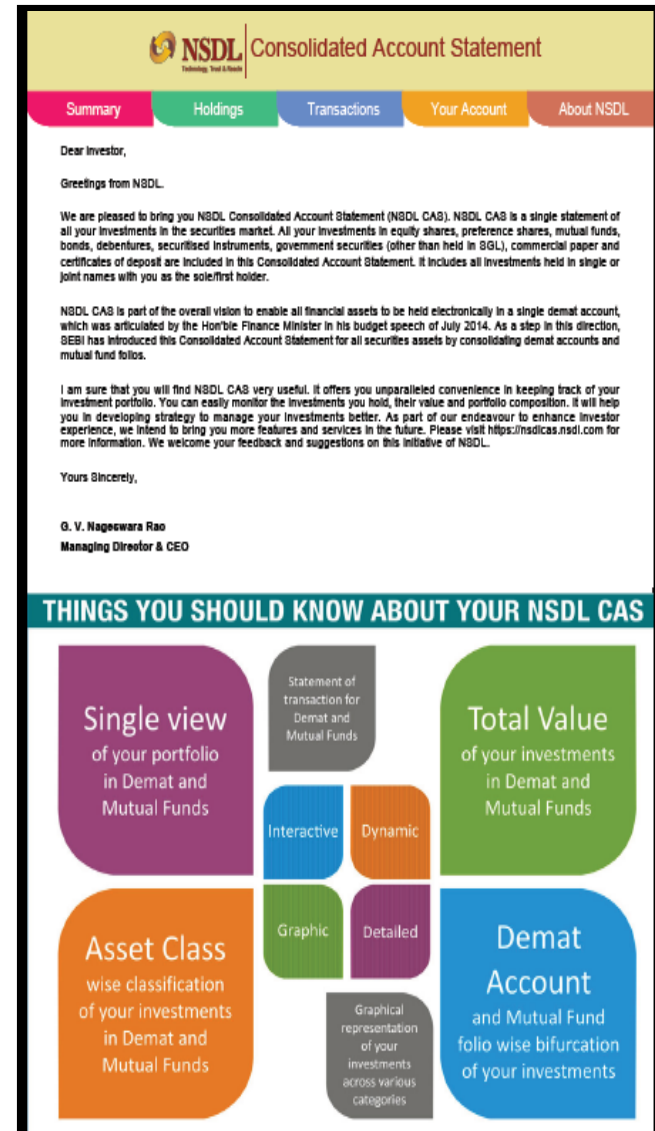
DDP to register the FPI application on NSDL FPI Registration portal.

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.

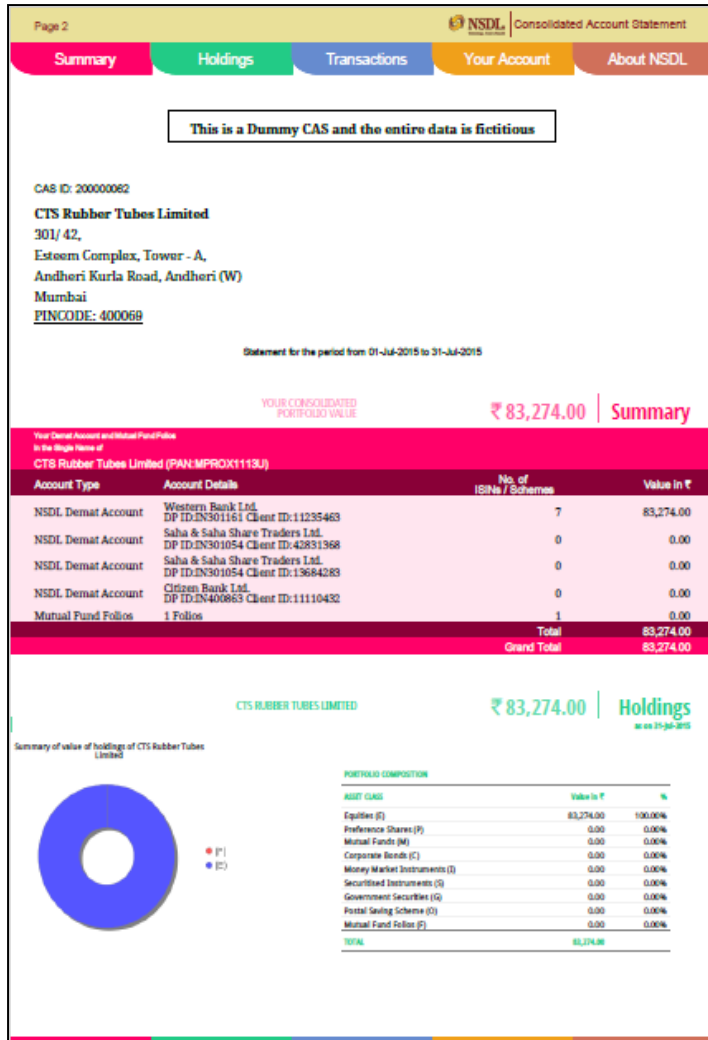
NSDL CAS

- 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



The screenshot displays the NSDL Consolidated Account Statement (CAS) interface. At the top, the NSDL logo and tagline "Technology, Trust & Reach" are visible. Below the header, there are navigation tabs for "Summary", "Holdings", "Transactions", "Your Account", and "About NSDL". The main content area includes a greeting to the investor, a brief introduction to the NSDL CAS, and a statement from the Managing Director & CEO, G. V. Nagewara Rao. A prominent banner at the bottom reads "THINGS YOU SHOULD KNOW ABOUT YOUR NSDL CAS". Below this banner, several key features are highlighted in colored boxes: "Single view of your portfolio in Demat and Mutual Funds", "Total Value of your investments in Demat and Mutual Funds", "Asset Class wise classification of your investments in Demat and Mutual Funds", and "Demat Account and Mutual Fund folio wise bifurcation of your investments". Additional features like "Interactive", "Dynamic", "Graphic", and "Detailed" are also mentioned.

NSDL Consolidated Account Statement

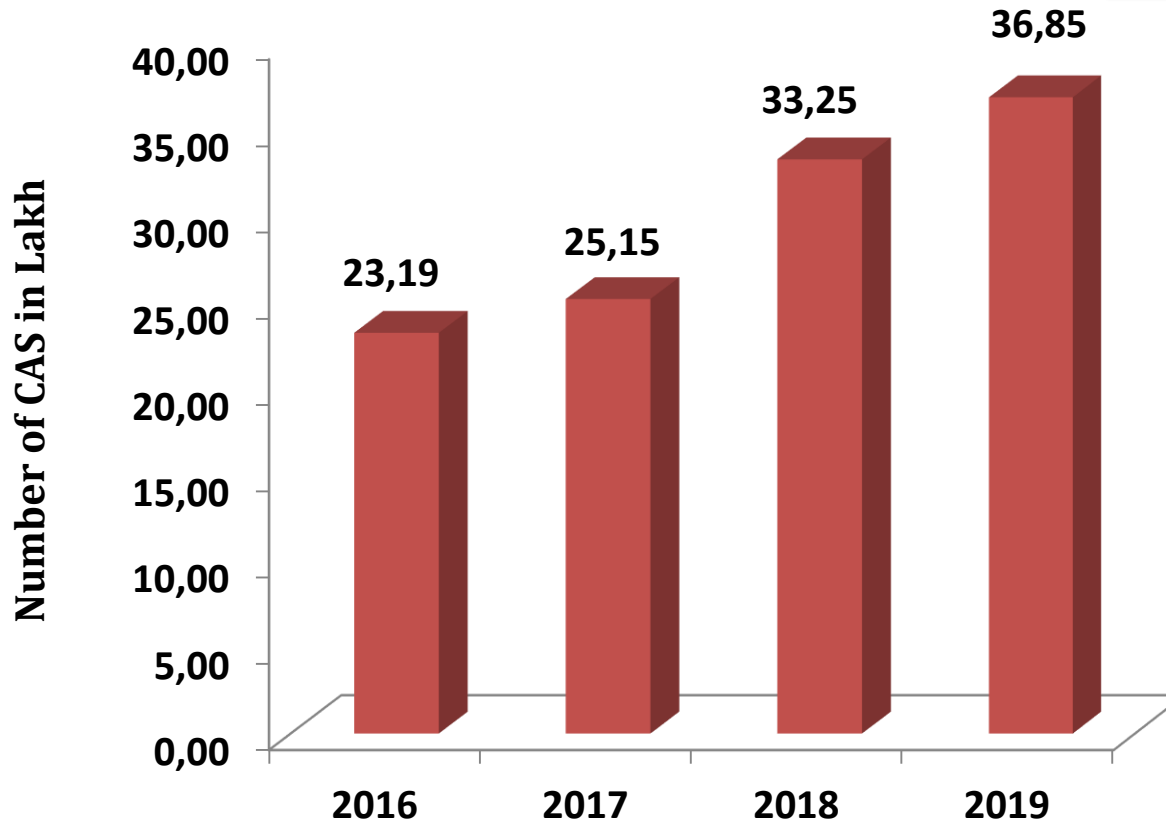


- Includes transactions and holdings in investor's demat account(s).
- Includes Mutual Funds Units held in Statement of account (SOA) form.
- Inclusion of XIRR on mutual fund schemes.
- Inclusion of Fair Market Value pertaining to January 2018 to compute LTCG [For listed equity shares/Equity Oriented 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)



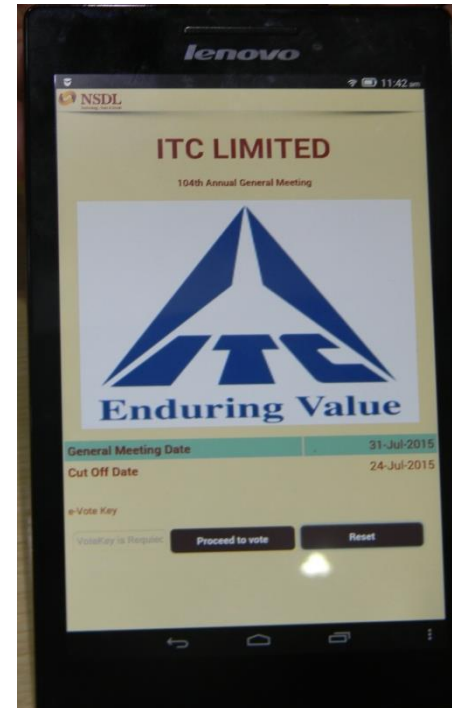
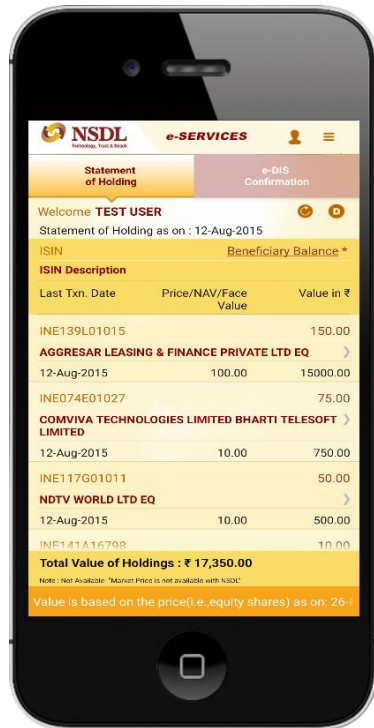
❑ Self Services

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

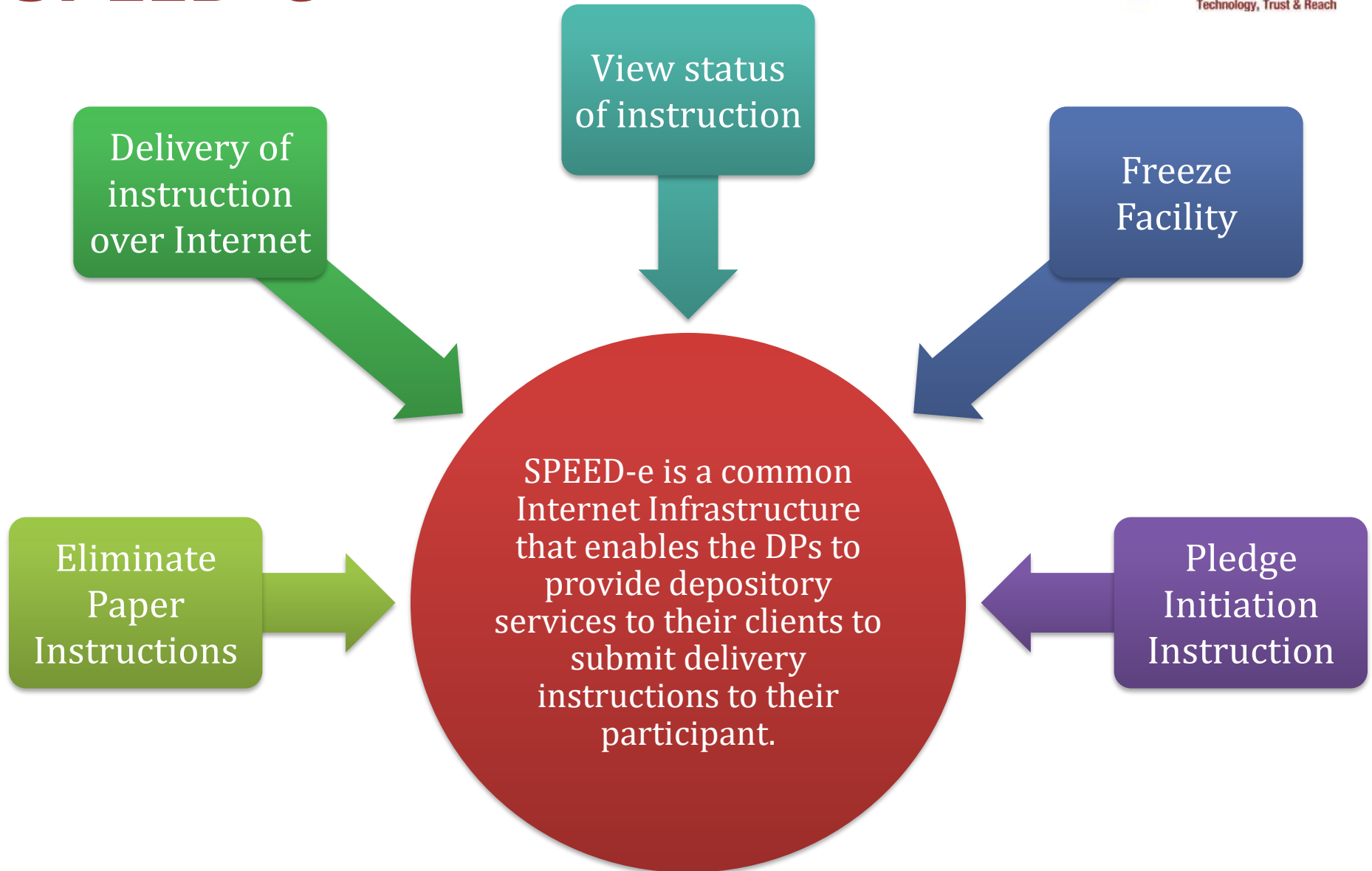
❑ Instant

- Instant Loan
- Experience seamless end-to-end transaction within few minutes
- No manual process of sanctioning loan

NSDL Mobile APP



SPEED-e



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)

SMS Alert facility



❖ 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

STP Services - STeADY

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