

# AFSF 2019 Knowledge Sharing Workshop

## “Core Services”

Presented by

# Central Depository Services (India) Limited

Bangkok, Thailand  
November 13-14, 2019



SMS Alerts Related  
to Transactions



Electronic Access to  
Securities Information



Electronic Access To Securities  
Information and Execution of  
Secured Transaction

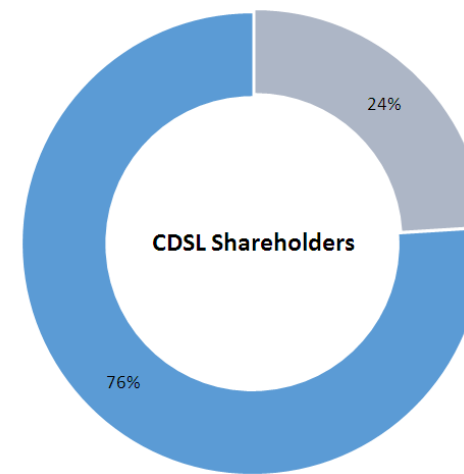


## ‘CDSL: The only listed Depository in Asia and one of the two in the world’

**Operational Year:** 1999

**Headquarters:** Mumbai, India

**Listed on:** 30 June 2017



■ BSE

■ Public Shareholders

# Core Services – Mutual Funds

*Mutual Funds Units can be held in Demat or SOA (Statement of Account form)*

## **Destatementization (Destat)**

- *Conversion of mutual fund units held in physical form i.e. statement form into electronic form*

## **Restatementization (Restat)**

- *Conversion of mutual fund units held in demat form back into physical form*



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# Core Services – Mutual Funds

## Transfer

- *Transfer is the process by which investor can transfer MF units to another demat account*

## Freeze

- *Investor can freeze the MF units in his demat account by giving instruction through DP*



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# Core Services – Mutual Funds

## Transmission

- *Transmission is the process by which all securities including MF units of a deceased account holder are transferred to the account of his legal heirs / nominee*

## Pledge

- *If an investor takes loan against MF units owned by him, then said units are pledged in favor of the lender (Pledgee). The borrower is called 'Pledgor' and the lender is called 'Pledgee'*



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# Core Services – Mutual Funds

## MF Subscription

- *Through Normal Subscription by purchasing directly from the fund or through an authorized broker, often through an online platform.*
- *Through Exchange Platform*



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# Core Services – Mutual Funds

## MF Subscription Through Exchange Platform

- *MF Unit Purchase Order is placed on exchange through members of Exchanges or MFDs registered with Exchange*
- *Obligation reports are provided to Members*
- *Based on NAV for the day, Investor needs to make payment*
- *Fund Confirmation provided to RTA*
- *RTA makes allotment of units in demat account of Investor through member of Exchanges*



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# Core Services – Mutual Funds

## MF Redemption

- *BO submits Redemption Request Form to DP*
- *DP ensures bank details are available in the demat account*
- *Quantity / Amount / All option*
- *Redemption request setup till 03:00 p.m. on a working day – same day NAV, else next working day's NAV*
- *Report is downloaded to RTA, confirmation and payment to investors*



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# Value Added Services

## Switch-In Switch-Out

- *Switch Master Details*
- *Switch Request Form to DP*
- *Options: Quantity or All*
- *Request initiated till 03:00 p.m. same day NAV*
- *Request initiated after 03:00 p.m. next day's NAV*



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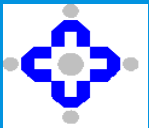


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# Value Added Services

## Consolidated Account Statement (CAS)

- *A single monthly / half yearly Consolidated Account Statement*
- *Requirement of MF holdings with at least one AMC*
- *A single account statement irrespective of holdings in multiple AMCs in physical or demat mode / multiple demat accounts giving details of all security assets*



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# Value Added Services

## Consolidated Account Statement (CAS)

- *Details displayed are MF units held, NAV, Valuation and Expense Ratio*
- *A choice to investor*
- *Information from all RTAs and depositories*
- *Facility of download of CAS through CDSL website*



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# Value Added Services

## Transaction Feed to AMCs through RTAs

- *Details of transactions executed in all open ended schemes*
- *To derive beneficiary position of investors due to transfer of MF units*
- *Help AMCs / RTAs to keep their records updated and reconciled*
- *Facility of online generation of report*
- *Default report during End of Day (EOD)*



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# Value Added Services

## BenPos to AMCs through RTAs

- *Every Friday and Month End*
- *Details of investors having Mutual Fund units in demat account maintained with CDSL*
- *Help AMCs / RTAs to keep their records updated and reconciled with Transaction Feeds*
- *Required while distributing dividend payout / reinvestment of units*



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# Value Added Services

- **Online access to Investors – easi/easiest**
- **e-Locker**
- **eDOTS (Electronic Dispatch of Transaction Statements)**
- **SMART (SMS Alerts Related to Transactions)**
- **Go Green Service**
- **e-Voting**



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# Thank You



SMS Alerts Related  
to Transactions



Electronic Access to  
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Information and Execution of  
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