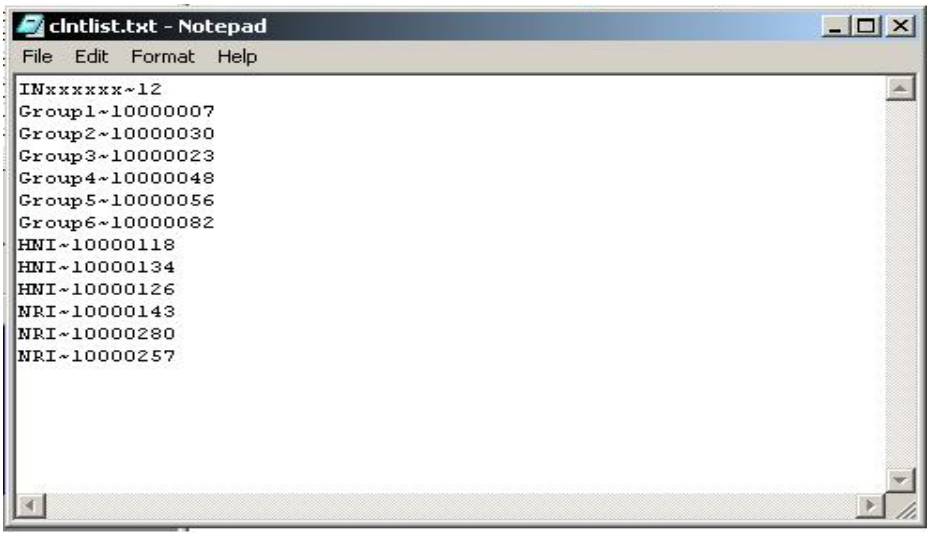
Annexure A

1. **Facility to print Transaction Statement / Statement of Holding by including / excluding specified Clients IDs :**

Facility to print Transaction Statement / Statement of Holding by including / excluding specified Clients IDs is being provided from the front end application of the DPM system. In this regard, Participants are requested to follow the below given procedure:

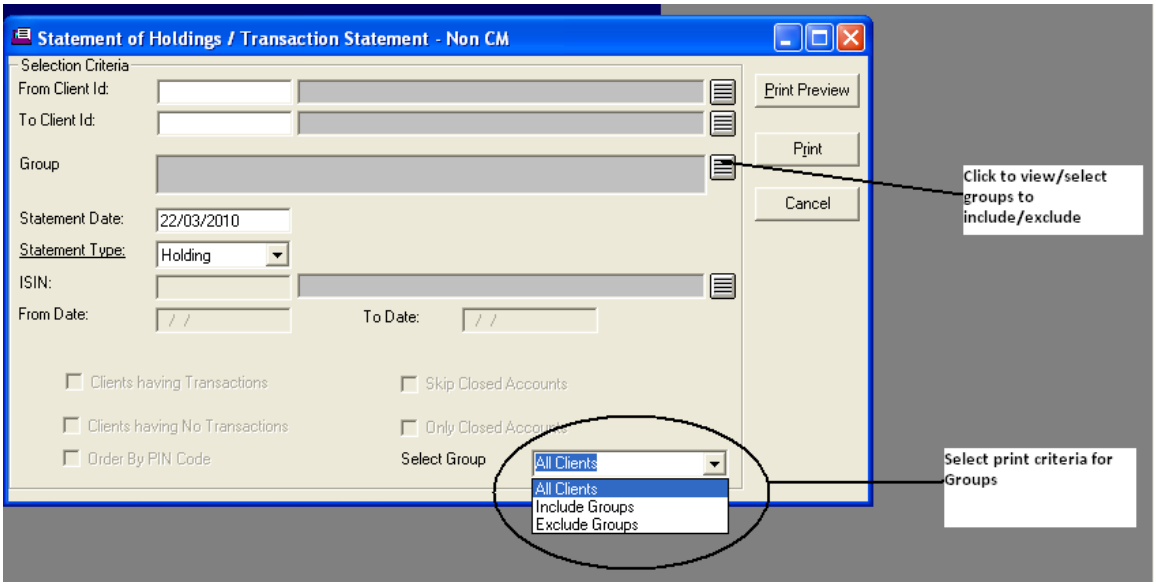
(i) Install the DPM System Version 12.0 CD in DPM server. Upon successful installation, a folder named SOT/SOH would be created in 'C' drive of the DPM server.

(ii) Create group names and corresponding Client IDs in a notepad. The notepad containing the group names and the Client IDs should be separated using tilt (~). The header details of the notepad should contain the DP ID and number of records that are being uploaded. File format in this regard, is enclosed at Annexure B. Sample notepad is exhibited below for your reference:



(iii) Save the notepad in the SOT/SOH folder. The name of the notepad should be **Clntlist.txt** .Double click on the 'Upload_List.bat. Upon doing so, Client details will get uploaded in the DPM server.

(iv) Group details that have got successfully uploaded in the DPM server can be viewed under the field 'Group' as exhibited below. At the time of printing Transaction Statement / Statement of Holding (SOH), you will have the ability to include / exclude specified group *(containing corresponding Client IDs)*. For this purpose, select the group name(s) from the field 'Group' and required option in 'Select Group'. Further, other selection criteria's viz., 'Clients having Transactions', 'Order by Pin Code' etc., as exhibited below can be used while printing the Transaction Statement / SOH.

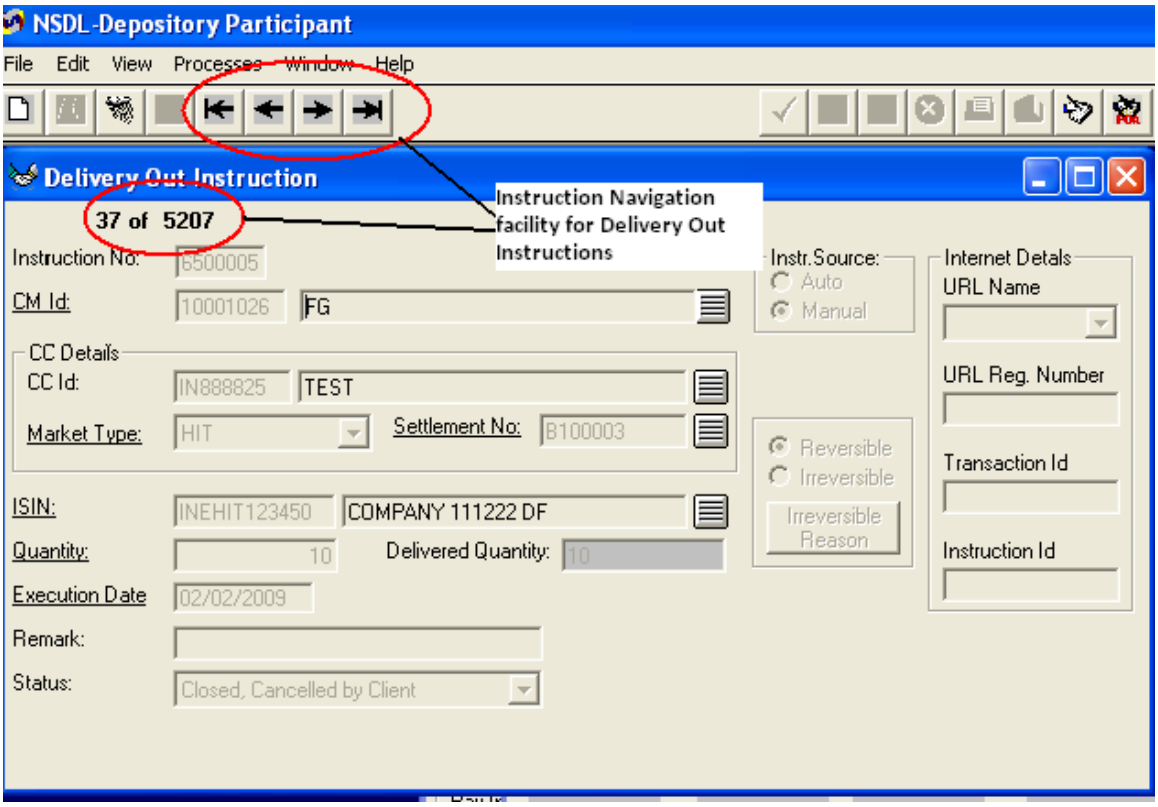


(v) As subsequent records uploaded may overwrite the existing details, the existing notepad may be used to append / delete the records, in case fresh records are required to be created or existing records are to be deleted. Alternatively, prepare a notepad that retains the existing records *(that you wish to retain)* and add / delete the records of your choice in the same notepad. Thereafter, follow the procedure mentioned in point no. (1) (iii).

2. Facility to navigate delivery-out instructions:

Facility to navigate instructions in the delivery-out screen is being provided in the front end application of the DPM System. Upon making a search on any of the available

fields/radio buttons viz., status of the instructions, execution date, CC ID, ISIN etc., the screen would display a grid containing the output i.e., instruction details with respect to the provided input parameters. Upon clicking a specific instruction or on clicking 'OK' button, a navigator would be displayed to facilitate navigation of instructions as exhibited below:



3. **Display of ISINs of Mutual Fund *(activated under security type code 20)* in the transaction statement:**

Post version release, the transaction statement will display the transactions / holdings of ISINs in the following order:

(i) Transactions and balances of non mutual fund based ISINs viz., equity, commodity, debentures, certificate of deposits etc.

(ii) Transactions and balances of mutual fund based ISINs *(activated under security type code 20)*.

(iii) Holdings of non mutual fund based ISINs *(example given above)* where no transactions have been executed.

(iv) Holdings of mutual fund based ISINs *(activated under security type code 20)* where no transactions have been executed.

4. *.out and *.prn files to also display the date and time for DPM transaction import:

Currently, upon uploading the batches into DPM server through DPM transaction import, '.out' file *(response file)* and '.prn' file *[(details of rejected records (if any)]*, are generated. The file names of '.out' and '.prn' file are same as uploaded in the DPM server. Post version release, date and time will also be displayed along with the file name on '.out' and '.prn' files for files uploaded through DPM transaction import. The display format would be 'filename_yyyymmddhhmmss'. Example; if the batch file *(generated from the back office and uploaded in the DPM Server)* is named as batch1.txt, the '.out' file and '.prn' file generated will be named as 'batch1_20100303215320.out' and 'batch1_20100303215320.prn' respectively.

The date and time displayed on the file will facilitate in distinguishing the batches uploaded at various intervals and avoid overwriting of the previous '.out' and '.prn' file in case the name of the batch file uploaded is identical.

Impact on Back office : Yes.

5. Facility to validate PAN structure of Body-Corporate and Trust Accounts :

Facility to validate PAN structure for Client Types viz., Body-Corporate and Trust accounts is being provided. Following validations will be carried out at the time of opening Body Corporate / Trust accounts or modifying the demographic details in these accounts:

- Length of PAN should be of 10 characters.
- First five and the tenth character of PAN should be capital letter (between 'A' to Z').

- Fourth character should be a capital letter ‘C’ in case of Body-Corporate account and ‘T’ in case of Trust account.
- Sixth to Ninth characters should be numeric (between '0' and '9').

(i) Operating DPM System through front end application :

(a) At the time of opening new accounts for Client types viz., Body-Corporate / Trust in the Client Maintenance Module, a warning message will be displayed if PAN captured in these accounts are having invalid PAN structure. Similar warning message will also be displayed while modifying PAN in the existing Body-Corporate / Trust account or modifying demographic details / any other details in these accounts such as bank account name, number etc., and such accounts have invalid PAN structure.

(b) Warning messages will be displayed at both stages i.e., Capture as well as Verify & Release in the Client Creation and Client Modification Screen if the account has an invalid PAN structure.

(c) Participants may either modify PAN or override the warning and continue to capture / verify & release the instruction.

(ii) Back office Interface with the DPM Server:

a) PAN structure validation will be implemented in following Back Office interfaces :
   (i) Client Master Creation Import
   (ii) Client Modification Import
   (iii) PAN and PAN Flag modification Import

b) In case of invalid PAN structure, a warning message will be generated in the error file *(i.e. ‘.prn’ file)* for every invalid PAN structure in Client account. However, no record will be rejected for this reason.

c) Participant may update the invalid PAN or cancel these records through front end application of the DPM System before releasing the instructions in the DPM System. Warning message will also be displayed while verifying and releasing instructions from front end application of DPM System. There will be no such warning message generated for bulk Verify & Release of Client Creation / modification or PAN modification requests.

6. Enhancement of Overdue Delivery Out Report :

Overdue Delivery-Out (DO) Report provided in Version Release 10 *(refer Circular No. NSDL/POLICY/2009/0090 dated October 1, 2009)* is being further enhanced. Features enhanced in the report are given below:

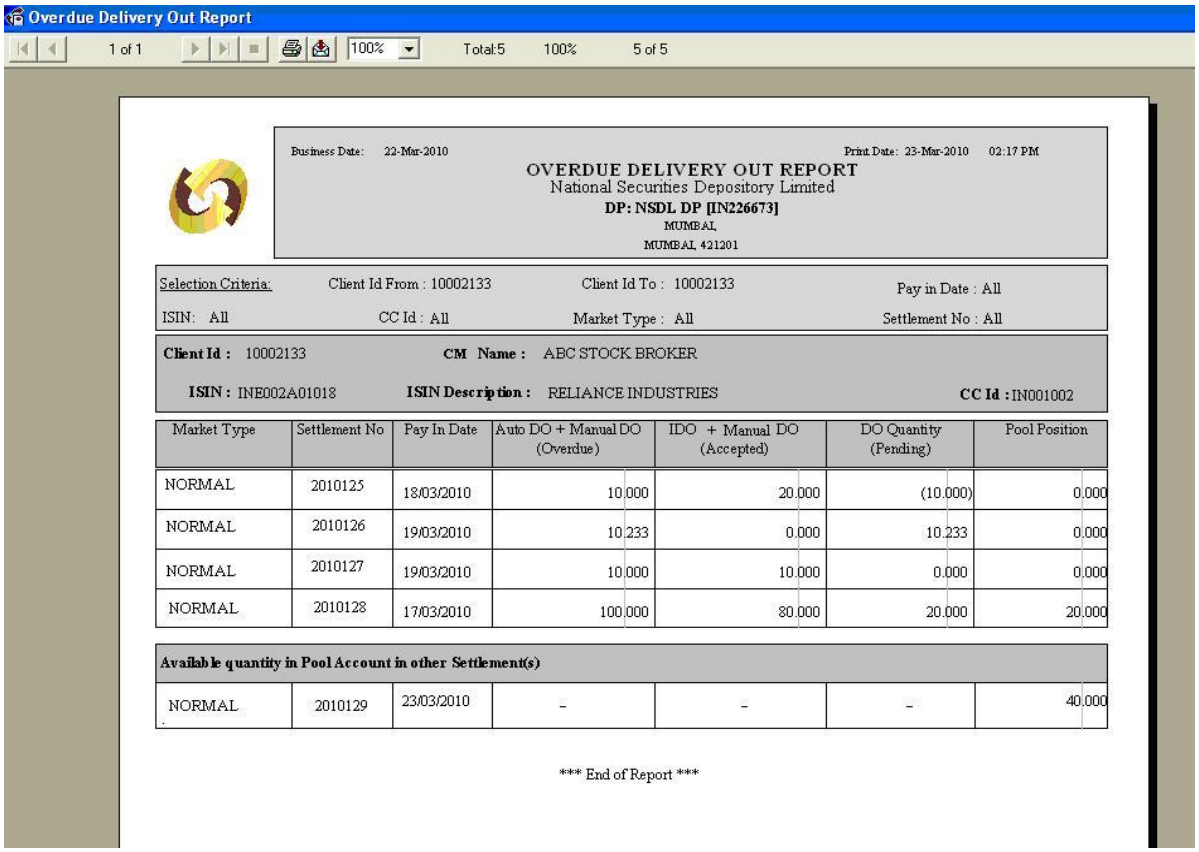
(i) The report would be generated if the Auto DO or the manual DO instructions for specified ISIN(s), settlement number(s) and market type(s) are in status 'Overdue at DM'.

(ii) The pending DO quantity would be displayed after considering Irreversible DO and manual DO instructions that are in status 'Accepted by NSDL'.

(iii) In addition to the existing criteria, ISIN would also be input criteria for generating the report.

(iv) Securities position lying in the pool account in other settlement number(s) would also be displayed in the report.

Screen shot of the report is displayed below:



Overdue Delivery Out Report

1 of 1 | 100% | Total:5 | 100% | 5 of 5

Business Date: 22-Mar-2010 Print Date: 23-Mar-2010 02:17 PM

OVERDUE DELIVERY OUT REPORT
National Securities Depository Limited
DP: NSDL DP [IN226673]
MUMBAI
MUMBAI 421201

Selection Criteria: Client Id From : 10002133 Client Id To : 10002133 Pay in Date : All
ISIN: All CC Id : All Market Type : All Settlement No : All

Client Id : 10002133 **CM Name :** ABC STOCK BROKER
ISIN : INE002A01018 **ISIN Description :** RELIANCE INDUSTRIES **CC Id :** IN001002

Market Type	Settlement No	Pay In Date	Auto DO + Manual DO (Overdue)	IDO + Manual DO (Accepted)	DO Quantity (Pending)	Pool Position
NORMAL	2010125	18/03/2010	10.000	20.000	(10.000)	0.000
NORMAL	2010126	19/03/2010	10.233	0.000	10.233	0.000
NORMAL	2010127	19/03/2010	10.000	10.000	0.000	0.000
NORMAL	2010128	17/03/2010	100.000	80.000	20.000	20.000

Available quantity in Pool Account in other Settlement(s)

NORMAL	2010129	23/03/2010	-	-	-	40.000

*** End of Report ***

7) Alert in respect of account where PAN flag(s) is not enabled:

At the time of activating Client accounts through front end application of DPM System or batch upload, if the PAN flag(s) of the account holder(s) is not enabled, the DPM System would display / generate warning message in the form of alert. Alert would be flashed in the screen in case Client accounts are activated from the front end application of DPM System. Further, '.prn' file would be generated in case Client accounts are activated through batch upload.