

**This document is intended for use of NDML KRA registered intermediaries for the purpose of creating operational users in the KRA system.**



**NSDL Database Management Limited**

**NDML – KRA**

**User Guide for NDML KRA**

## 1. Basic System Requirement to Access NDML KRA System

Basic requirement to access KRA site (<https://kra.ndml.in/>) are as below:

- Internet Explorer 6 or 7.
- Java (JRE) setup 6 or higher.
- Login details required as below
  - User id
  - Password
  - Mi ID
  - Login Type-Password

## 2. Login Process

- Intermediary user can access the KRA site using internet at <https://kra.ndml.in/>
- For the purpose of Login, Intermediary user should select 'MI login' from the home page.
- On selection, login screen will be displayed as below

Welcome to  
**Market Intermediary Module** NSDL Database Management Limited

User ID \* :   
Password \* :   
MI ID \* :   
Token PIN :

☐ Remember User ID on this PC

\*Login Type  
☒ USB  
☐ Browser  
☐ Password

☐ Use Virtual Keyboard (Recommended) ShuffleOn  
(For entering Password and Token PIN only)

(	+	^	@	#	*	~	%	\$	&	!	_	)
`	2	0	1	3	9	6	8	5	4	7	-	=
r	w	e	t	q	u	o	i	y	p		}	{
d	f	a	s	g	j	h	l	k	]	[	/	\
c	v	z	x	b	m	n	;	'	:	>	"	<
CAPS LOCK			CLEAR			BACKSPACE			,	?	.	

Login Reset

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- User is required to enter the following details for login
  - User ID
  - Password

- MI ID (This is the market intermediary id under allotted by NDML on registration of the Intermediary)
- Login Type: Select "Password" where login type is Password based.
- Use Virtual Keyboard: As a security feature, user is provided with an option to type the Password/PIN using the Virtual Keypad.
- After entering the above details, click on 'Login' button to login or 'Reset' button to clear the details captured.

### 3. Registration of KYC details

For the purpose of registration, KRA users are given both screen based entry option as well as back office batch file upload option.

#### 3.1 Online Registration:

##### 3.1.1 Capture KYC Registration details

- To capture the KYC details, click on 'Market Intermediary' icon and select the menu 'Online Registration'. Select 'Individual' or 'Non Individual' based upon the category of the KYC application.



- User is shown the "Search" screen which is used to view the status of the KYC applications registered by the MI id.

**Market Intermediary Module** Home | Change Password | Logout

Welcome: GAVMAK Last Login Date: 19-01-2012 MI ID: P2000 MI Name: HDFC BANK LTD Current Date: 19-01-2012

[Home](#)>KYC Application Form(Individual)>Search

Search | [New](#)

\*Indicates Mandatory Fields.

PAN :	<input type="text"/>	UID :	<input type="text"/>
Date From :	<input type="text"/> / <input type="text"/> / <input type="text"/> dd/mm/yyyy	Date To:	<input type="text"/> / <input type="text"/> / <input type="text"/> dd/mm/yyyy
Application Status:	-- Please Select --	Application Request Id :	<input type="text"/>

**Search** **Clear**

- To capture KYC details of the Client, click on the “New” option. Following Screen will be displayed
- The registration screen is divided into following tabs/sections
  - Identity Details
  - Address Details
  - Other Details
  - Document Status
- User is required to capture the details tab wise. Fields marked with ‘\*’ are mandatory. To save and move to the next tab, click on ‘Save and Next’ button.
- On saving the Identity Details tab, Instruction Id will be generated and displayed and the status of the Request will be ‘Partially Capture’.

### 3.1.2 Identity Details

Welcome: GAVMAK Last Login Date: 19-01-2012 MI ID: P2000 MI Name: HDFC BANK LTD Current Date: 19-01-2012

[Home](#)>KYC Application Form(Individual)>New

[Search](#) | [New](#)

**Identity Details** **Address Details** **Other Details** **Documents Status**

**Identity Details** \*Indicates Mandatory Fields

Name of the Applicant : *	<input type="text"/>	Father's/Spouse Name : *	<input type="text"/>
Gender : *	<input type="radio"/> Male <input type="radio"/> Female	Marital Status : *	<input type="radio"/> Single <input type="radio"/> Married
Date of Birth : *	<input type="text"/> / <input type="text"/> / <input type="text"/> dd/mm/yyyy	Nationality : *	-- Please Select --
PAN Exempt : <input type="checkbox"/>			
PAN : *	<input type="text"/>	UID :	<input type="text"/>
Status :	<input type="radio"/> Resident Individual <input type="radio"/> Non Resident <input type="radio"/> Foreign National		
POI Type :	-- Please Select --		

**Save & Next**

### 3.1.3 Address Details

[Search](#) | [New](#)

Instruction Details			
BP Instruction ID :		1000000955	Order Status :
Acknowledgement Number :		PARTIALLY_CAPTURE	
Identity Details	Address Details	Other Details	Signature

  

Address for Correspondence			
* Indicates Mandatory Fields.			
Address Line 1 : *	123 NEPTUNE APPT	Address Line 2 :	ADARSH NAGAR
Address Line 3 :	THANE	Pin Code : *	400025
City/Town/Village :	MUMBAI	Country : *	INDIA
State : *	MAHARASHTRA		
Proof of address :	PASSPORT		
Upload Address Proof :	<input type="text"/> Browse...		

  

Permanent Address			
<input checked="" type="checkbox"/> Same as Correspondence Address			
Address Line 1 :	123 NEPTUNE APPT	Address Line 2 :	ADARSH NAGAR
Address Line 3 :	THANE	Pin Code :	400025
City/Town/Village :	MUMBAI	Country :	INDIA
State :	MAHARASHTRA		
Proof of address :	PASSPORT		
Upload Address Proof :	<input type="text"/> Browse...		

  

Contact Details			
Tel(Office) :	26875008	Tel(Residence) :	
Mobile :	9875364001	Fax :	
E-Mail ID :			

[Previous](#) [Save & Next](#)

In case permanent address is same as correspondence address, click the “Same as Correspondence Address” option

### 3.1.4 Other details

Market Intermediary Module Home | Change Password | Logout

Welcome: GAVMAK Last Login Date: 01-03-2012 MI ID: P2000 MI Name: HDFC BANK LTD Current Date: 02-03-2012

[Home](#)>KYC Application Form(Individual)>New

[Search](#) | New

---

**Instruction Details**

Application Request Id : 1000000044 Order Status : CAPTURED  
 Acknowledgement Number :

---

**Identity Details** | **Address Details** | **Other Details** | **Documents Status**

---

**Other Details**

\* Indicates Mandatory Fields  
 \*\* Either Gross Annual Income or Net worth Amount is mandatory

Gross Annual Income : \*\* BETWEEN 1-5 LACS  
 Net Worth Amount : \*\*  
 Net Worth as on(Date) :  
 (Networth Date Should Not Be Older Than 1 Year)

Occupation Details : \* PUBLIC SECTOR

Applicable to You : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) [Refresh PEP](#)

Any Other Information :

[Previous](#) [Save & Next](#)

### 3.1.5 Document Status

Market Intermediary Module Home | Change Password | Logout

Welcome: MAK2 Last Login Date: 04-05-2012 MI ID: P1974 MI Name: UBS securities Indian Pvt Ltd Current Date: 07-05-2012

[Home](#)>KYC Application Form(Individual)>New

[Search](#) | New

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**Instruction Details**

Application Request Id : 2000047891 Order Status : CAPTURED  
 Acknowledgement Number :

---

**Identity Details** | **Address Details** | **Other Details** | **Documents Status**

---

**Documents Status**

\*Indicates Mandatory Fields.

Total no. of Supporting documents attached \*\* 2

☒ (Originals verified) True copies of documents received \*\* ☒ (Self-Attested) Self Certified Document copies received \*\*

Declaration Date : \*\* 09 / 04 / 2012 Supporting Documents received Date :  
 Remark 1 Remark 2

[Previous](#) [Save & Submit](#) [Verify & Release](#) [Cancel](#)

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- User is required to capture the Declaration date and Document Received Date and mark the checkbox for 'Original Documents received' and 'Self Attested Documents received'.
- Once completed, user should select "Save and Submit" button. The status of request will change to "Captured".

- This request will now be available for “Checker” for verification and release.
- If a User wants to cancel a transaction which is in the “captured” status, he will have to search for that transaction from the “Search” tab on the home screen and select the “Cancel” button on the “Document Status” tab. The transaction will get cancelled and user will be able to put entry for that same PAN again in the system.

### 3.1.6 Verification of Individual KYC details by Checker

- Checker will have to the same procedure as Maker did.
- Checker will have to search for the captured records in the system

**Market Intermediary Module**

Welcome: GAVMAK    Last Login Date: 01-03-2012    MI ID: P2000    MI Name: HDFC BANK LTD    Current Date: 02-03-2012

[Home](#) > KYC Application Form (Individual) > Search

Search | [New](#)

\*Indicates Mandatory Fields.

PAN :     UID :

Date From :  /  /     Date To:  /  /   
 dd/mm/yyyy    dd/mm/yyyy

Application Status:     Application Request Id :

Total Records Found : 1

BP Instruction ID	PAN	UID	Applicant Name	Gender	Status
<a href="#">1000003572</a>	MASPA2554Q		SDFSDF	MALE	CAPTURED

- Checker can also search the transactions on the basis of “BP Instruction ID” or “Date Range” or combination of both.
- Checker will have to select the “BP Instruction ID” and the “Identity Details” tab will get populated.
- Checker will have facility to edit the data in case he finds any discrepancy with what Maker has entered.
- On the last tab “Document Status”, Checker will have to press “Verify and Release” to complete the activity and order status will change to “Sent to other KRA”.
- **Intermediaries should send the KYC forms to KRA once the status is changed to “Pending with KRA”. (this will take around 4 – 5 hrs)**
- **Intermediaries can use the “Control Sheet Report” facility under reports tab for generation of control sheet to be sent with forms to KRA.**

**Market Intermediary Module**

Home | Change Password | Logout

Welcome: MAK2 Last Login Date: 16-05-2012 MI ID: P1974 MI Name: UBS securities Indian Pvt Ltd Current Date: 16-05-2012

Home > KYC Application Form (Individual) > New

Search | New

Instruction Details  
 Application Request Id : 2000051307  
 Acknowledgement Number : 1210229916  
 Order Status : SENT TO OTHER KRA

**Identity Details** | Address Details | Other Details | Documents Status

Identity Details

Name of the Applicant : JANAKKUMAR CHAMPAKLAL VYAS  
 Gender : MALE  
 Date of Birth : 08/08/1954  
 PAN : BAQPR9293C  
 Status : RESIDENT INDIVIDUAL  
 POI Type : PAN

Father's/Spouse Name : CHAMPAKLAL G VYAS  
 Marital Status : MARRIED  
 Nationality : INDIAN

Next

### 3.2 Online registration of Non - Individual KYC details by Maker

To register single KYC details at a time in the system for “Non - Individual” client, select Online Registration > Non Individual

The first screen which a user gets after login is “search screen”. This screen can be used to search the work allotted or pending transactions (Forms where KYC data is yet to completed). Transactions can be searched on the PAN or Date Range or Status or BP Instruction ID or their combination. To enter new registrations select the “New” option

**Market Intermediary Module**

Home | Change Password | Logout

Welcome: GAVMAK Last Login Date: 11-01-2012 MI ID: P2000 MI Name: HDFC BANK LTD Current Date: 12-01-2012

Home > Non Individual KYC Registration > Search

Search | New

PAN :

Date From :  /  /   
dd/mm/yyyy

BP Instruction Id :

Status : -- Please Select --

Date To :  /  /   
dd/mm/yyyy

Search Clear

#### 3.2.7 Identity Details

The first tab is the “Identity Details” tab. User will have to fill all the mandatory (\*) fields



**Market Intermediary Module**

Welcome: GAVMAK    Last Login Date: 11-01-2012    MI ID: P2000    MI Name: HDFC BANK LTD    Current Date: 12-01-2012

[Home](#) > [Non Individual KYC Registration](#) > New

[Search](#) | [New](#)

---

**Instruction Details**

BP Instruction ID : 1000000001    Order Status : PARTIALLY\_CAPTURE

Acknowledgement Number :

---

**Identity Details**    **Address Details**    **Other Details**    **Documents Status**

---

**Identity Details**

\*Indicates Mandatory Fields

Applicant Name : \* SHAREKHAN    Place of Incorporation : MUMBAI

Date of Incorporation : \* 02 03 2003    Date of Commencement : 12 03 2003

dd/mm/yyyy

PAN : \* OIUYE2876T    Registration No.(e.g.CIN) : FHDD12264445AWA1233

Status : PRIVATE LIMITED CO

**Save & Next**

Click “Save & Next” button on filling up all mandatory fields. A pop up window will be displayed for confirmation, select “Ok” and save the details.

### 3.2.8 Address Details

The next tab is “Address Details” tab. On address tab user will also see

- Instruction Id: It is the transaction id issued to every transaction in the system
- Order Status: Status of the transaction
- Acknowledgment number: It will be generated once the checker authorizes the request. It will be unique for every PAN.

User will have to fill all the mandatory (\*) fields and other details if applicable as follows

In case permanent address is same as correspondence address, click the “Same as Correspondence Address” option

### 3.2.9 Other Details

User will have to fill all the mandatory (\*) fields and other details if applicable as follows

BP Instruction ID : 1000000001		Order Status : PARTIALLY_CAPTURE	
Acknowledgement Number :			

  

<b>Identity Details</b>	<b>Address Details</b>	<b>Other Details</b>	<b>Documents Status</b>
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**Other Details** \* Indicates Mandatory Fields

Gross Annual Income : ABOVE 1 CRORE

Net Worth Amount :  Net Worth as on(Date) :  /  /   
(Networth Date Should Not Be Older Than 1 Year)

Applicable to You : ☒ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

Any Other Information :

  

Name	Karta type	PAN	UID	DIN	Address 1
AJAY	WHOLE TIME DIRECTORS	AABGGG1225	1234567890123456		I-THINK TECHNO CAI
VIJAY	WHOLE TIME DIRECTORS	ASDFGH1254	0114789965423644		I-THINK TECHNO CAI
	-- Please Select --				
	-- Please Select --				
	-- Please Select --				
	-- Please Select --				

### 3.2.10 Document Status

User will have to fill all mandatory (\*) fields and other details if applicable and select “Save & Next” button. A pop up window will be displayed for confirmation, select “Ok” and save the details. On click of save the “Status” of the application will be changed from “partially captured” to “capture”. Now the request will be available to “checker” to verify and release.

### 3.2.11 Verification of Individual KYC details by Checker

- Checker will have to perform the same activities as Maker did. Checker will have to search for the captured records in the system
- Checker will have facility to edit the data in case he finds any discrepancy with what Maker has entered.
- If Checker makes any changes in the data entered, he will compulsorily have to select the “Save & Next” tab to go to the other tab otherwise changes made will not be saved.
- On the last tab “Document Status”, Checker will have to press “Verify and Release” to complete the activity and order status will change to “Sent to other KRA”

## 4. Delivery of KYC documents to NDML KRA

### 4.1 Instructions to be followed by Intermediaries

- After the KYC Application Form and the stipulated documents as per SEBI prescribed guidelines are received from the Clients including recording of in-person verification

details on the KYC Application Form and are properly verified and complete in all respects, the details mentioned on KYC Application Form must be entered/uploaded on the KRA System.

- The Acknowledgement number generated on entering/uploading of KYC data must be mentioned on the respective KYC application form
- Intermediary will download the control sheet report from option- Reports-control sheet Based on the data upload date range

### Steps for generation of control sheet-

- Select the radio button 'control sheet'
- Enter the from date & to date based on the KYC records upload date
- Click on view report
- For exporting details in to excel click on button 'Export to CSV'

Home | [Change Password](#) | [Logout](#)

NSDL

Database Management Limited

Market Intermediary Module

Welcome: ASHISHN

Last Login Date: 15-10-2012

MI ID: P2057

MI Name: HDFC Bank Limited

Current Date: 15-10-2012

REPORTS :

From Date :

15 / 10 / 2012

To Date :

15 / 10 / 2012

☒ Control Sheet

☐ Control Sheet (modification)

☐ KYC Status

-- Please Select --

View Report

Sr No	Ack Number	PAN	Applicant Name	Current Status	Date Of Status Change	Verify/Release Date	Old/New Record
1	1235881340	BFHZY9521A	AJAY KUMAR SAMIRSDFSDF	PENDING WITH KRA	15/10/2012	15/10/2012	New
2	1235881362	BGFGY9504C	AJAY KUMAR SAMIRSDFSDF	PENDING WITH KRA	15/10/2012	15/10/2012	New
3	1235881373	BHGFY9524D	AJAY KUMAR SAMIRSDFSDF	PENDING WITH KRA	15/10/2012	15/10/2012	New
4	1235881384	PGHHY9524E	AJAY KUMAR SAMIRSDFSDF	PENDING WITH KRA	15/10/2012	15/10/2012	New
5	1235881395	NRYID7685P	PARALE GURUNATH PURSHOTTAM	PENDING WITH KRA	15/10/2012	15/10/2012	New
6	1235881419	NYBGD2271G	RAMESH BABULAL VARDHAN	PENDING WITH KRA	15/10/2012	15/10/2012	New
7	1235881420	NYRUD9821G	BHARAT NATHALAL TRIVEDI	PENDING WITH KRA	15/10/2012	15/10/2012	New
8	1235881431	NYHWD5051M	RAMRAJ SAHEBRAM HALWAI	PENDING WITH KRA	15/10/2012	15/10/2012	New
9	1235881442	NYHOD1727J	TRISHUL TRADERS PVT LTD	PENDING WITH KRA	15/10/2012	15/10/2012	New
10	1235881475	PRIYA11111R	PRIYA	PENDING WITH KRA	15/10/2012	15/10/2012	New
11	1235881486	SAMIR11111S	SAMIR	PENDING WITH KRA	15/10/2012	15/10/2012	New
12	1235881497	KAVIT11111S	KAVITA	PENDING WITH KRA	15/10/2012	15/10/2012	Old

Export To CSV

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Current Date : 15-10-2012

*Note - Control sheet is generated for all the KYC record uploaded by Intermediary for all branches. Branch user will find the required PAN details from the complete list for the generation of control sheet.*

- The documents to be sent to KRA (*i.e. KYC Application Form, supporting KYC documents, etc*) and the documents to be retained with the Intermediary (*i.e. Account Opening Form, agreement, etc.*) must be segregated.
- The documents to be sent to KRA must be bunched together Applicant wise
- For each Applicant, the documents must be kept in the following order:
  - a. KYC Application Form
  - b. Proof of Identity (*one or multiple*)
  - c. Proof of Address (*one or multiple*)
  - d. Any other documents
- The KYC Application Forms alongwith the supporting documents must be bundled in lots. Each lot must contain maximum 50 forms. E.g. if the number of forms to be sent to KRA are 145, prepare three lots of 50, 50 and 45 forms each. If the number of forms to be sent to KRA are 30, prepare one lot of 30 forms.
- Each lot of the application forms being forwarded is supported by a 'Control Sheet'. Format of Control Sheet is enclosed below.
- The Control Sheet must be placed on top of each lot.
- The KYC documents should be properly secured to avoid any damage to the documents during transit.
- The documents are to be delivered to NDML KRA at the below mentioned address

**NDML KYC Registration Agency**

**Central Processing Centre**

C/O Printography Systems (India) Pvt. Ltd.

13-D, Kurla Industrial Estate,

Narayan Nagar, Nari Seva Sadan Rd,

Next to Hero Honda Service Centre

Ghatkopar West,

Mumbai 400 086

- Email the soft copy of details of application forms being dispatched (Control Sheet) to [dispatch.kra@nsdl.co.in](mailto:dispatch.kra@nsdl.co.in).
- Maintain proof of dispatch of the KYC documents.

## Control Sheet

<b>Name of the Intermediary</b>	
<b>Intermediary ID (issued by NDML KRA)</b>	
<b>Number of Forms attached</b>	
<b>Dispatch Date</b>	
<b>Name of the Delivery Agent / Courier</b>	
<b>Dispatch Reference Number</b>	

<b>SR. No.</b>	<b>Name of Applicant</b>	<b>Acknowledgment Number</b>

**Stamp/Signature**

**Date:**

<b>For NDML KRA Internal Use:</b>	
<b>Receipt Date/Stamp</b>	
<b>No of Forms Received</b>	
<b>Remarks</b>	