

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



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

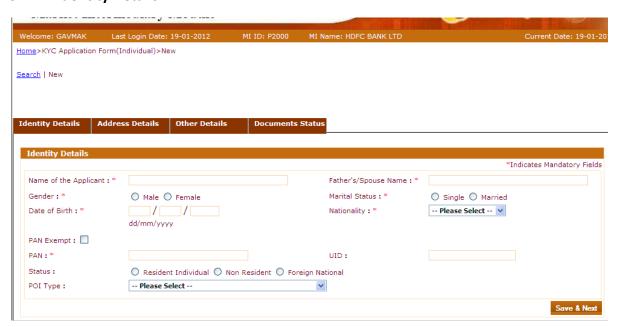


 User is shown the "Search" screen which is used to view the status of the KYC applications registered by the MI id.



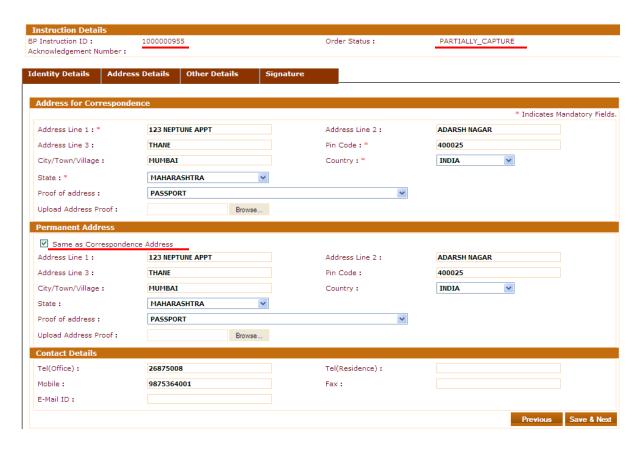
- To capture KYC details of the Client, click on the "New" option. Following Screen will be displayed
- The registration screen is divided into following tabs/sections
 - Identity Details
 - Address Details
 - Other Details
 - Document Status
- User is required to capture the details tab wise. Fields 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



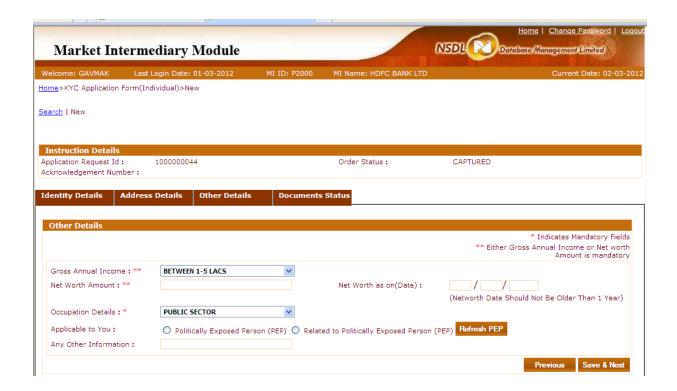
3.1.3 Address Details

Search | New



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

3.1.4 Other details



3.1.5 Document Status



- 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



- 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.



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



3.2.7 Identity Details

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



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

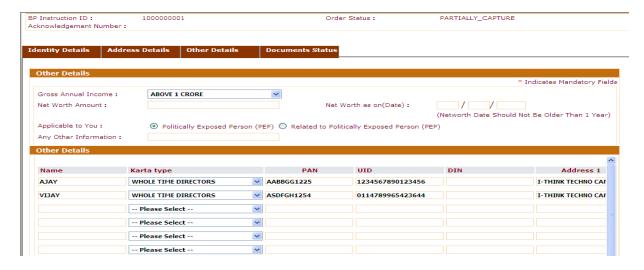
- Instruction Id: It is the transaction id issued to every transaction in the system
- Order Status: Status of the transaction
- Acknowledgment number: It will be generated once the checker authorizes the request. It will be unique for every PAN.

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



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'



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.
- Maintain proof of dispatch of the KYC documents.

Control Sheet

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

SR. No.	Name of Applicant	Acknowledgment Number

Stamp/Signature
Date:

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