



Operational Guidelines for upload of KYC details of Existing Clients

1. Upload of KYC details to KRA system

NDML KRA has provided multiple options to the Intermediaries to upload the KYC records of existing clients to KRA system. At the time of uploading the KYC records, Intermediaries are required to indicate that the KYC is being registered for existing clients. In such cases mandatory field validations have been relaxed except for Name, PAN, Correspondence Address (Line 1), Pin code and Client Activation Date. The manner in which KYC details can be uploaded is given below:

1.1. Screen Based Data Entry

Intermediary can capture the KYC details of existing clients using the web based front end screen available in KRA login. Intermediary is required to access the Online Registration menu and select the record type as 'Existing Client' for uploading KYC record of existing clients and as 'New Client' for uploading KYC record for new clients. By default, the record type is selected as 'New Client' on the screen and Intermediary is required to change the option as 'Existing Client' in case of existing client record.

Maker User shall digitize the KYC information in the NDML KRA System. Checker user shall verify the data captured by the maker and upon his/her satisfaction will Verify/Release the request. On Verify/Release of request by Checker, 'Acknowledgement Number' will be generated. Intermediary shall mention the Acknowledgement Number on the physical KYC documents being forwarded to KRA.



1.2. Back office batch interface with NDML KRA System

Facility is also provided to upload the data through back office generated file as per NDML KRA specified file format. Intermediaries are advised to refer NDML circular 'NDML 2012-Policy-0014-Revision in Upload and Download File Formats' dated June 12, 2012. The bulk file can be uploaded through the existing link for 'File based Registration' and has to be bulk verified and released to KRA. Response file indicating the status of uploaded records will be generated on upload.

1.3. Upload using Client Master Details File

This facility is available for Participants of NSDL. NSDL has provided utility for extracting Client Master details from DPM System for onward upload into NDML KRA System. Refer NSDL Circular No. NSDL/POLICY/2012/0062 dated June 13, 2012.

Intermediary shall extract Client Master details and convert the same as per KRA specified file format using the Conversion Utility. The Conversion Utility is available at NDML KRA website (<https://kra.ndml.in/>) → Downloads→Utilities→Conversion Utility→Client Master Export of NSDL (Local DPM) to KRA Upload Format for Existing Clients. Participants of NSDL can access NDML KRA from Business Partner Network (WAN) at <https://130.1.1.141/kra-web>.

The Conversion Utility for new clients has also been revised. Intermediaries are advised to use the new conversion utility for the new clients. The conversion utility is available at NDML KRA website (<https://kra.ndml.in/>) → Downloads→Utilities→Conversion Utility→Client Master Export of NSDL (Local DPM) to KRA Upload Format for New Clients.

Intermediary shall upload the converted file through the existing link for 'File based Registration'. Response file indicating the status of uploaded records will be generated on upload.

It may be noted that for existing clients, if Intermediary has obtained KYC documents in accordance with SEBI Circular MIRSD/SE/Cir- 21/2011 dated October 05, 2011, Intermediary shall upload the KYC under record type 'New Client'.



2. Dispatch of KYC documents to NDML KRA

Once KYC records are uploaded (verified/released) by the Intermediary, KRA shall validate whether the PAN uploaded by the Intermediary is available with the other KRAs. If PAN is already registered with any of the other KRAs, NDML KRA shall reject the KYC record and update the status of the KYC record as 'Rejected by KRA'. Intermediary shall verify the status of the KYC record uploaded, prior to sending the physical KYC forms to NDML KRA. The status of the KYC record should be 'Pending with KRA'. Intermediary shall not forward the KYC documents for records that are rejected by NDML KRA on account of KYC record available with other KRA. Facility is provided to the Intermediary to generate control sheet report from KRA system which contains the list of acknowledgement numbers for KYC records uploaded during the specified date and for which physical KYC documents are required to be sent to NDML KRA. Further, Intermediary is advised to send the KYC records of existing clients separately and should not combine the same with documents for new clients.
