



CDSL VENTURES LIMITED

....Exploring New Horizons

KRA COMMUNIQUÉ

CVL/OPS/INTERM/GENRL/12-030

August 11, 2012

KYC STATUS IN CVL-KRA

Intermediaries are advised to refer the SEBI circular dated April 13, 2012 regarding uploading of KYC details of the existing clients.

Intermediaries should note the KYC status and their description in the CVL-KRA system along with the necessary actions to be carried out as provided in **Annexure A**.

A summary report of KYCs entered online/uploaded/fetched by the Intermediary can be viewed in **PAN Status Detail** under the **Utilities** menu after selecting the **Branch Code**, **User**, **Status** and/or the **Activity**. Clicking on **Submit** will enable the user view the details. The report contains various details of the KYC including the following information:

- a. **Fetch Mode** of the KYC (**ENTRY/FETCH**).
- b. **User** who has done the activity.
- c. **KYC Status** along with **Remarks**.

The report can be exported in **Text or XML** Formats by clicking on the relevant button.

The above mentioned status has also been updated in the CVL-KRA File structure available in **File Structures** under the **Downloads** menu.

Queries regarding this communiqué may be addressed to **cvlops@cdslindia.com**.

sd/-
Sanjeev Kate
Compliance Officer



CDSL VENTURES LIMITED

...Exploring New Horizons

KRA COMMUNIQUÉ

Annexure – A

- New KYC entry may be done for clients submitting the Fresh KYC form and its supporting documents if the KYC status is other than those marked by # as indicated below.
- Modifications in KYC data can be entered only if the KYC status is Verified (Status 18, 98 or 998).

Code	Status	Description	Action to be taken by 1 st Intermediary	Action to be taken by the other Intermediary
01#	SUBMITTED	KYC has been recorded with CVL-KRA.	KYC Form and its supporting documents are to be forwarded to KRA.	Fetch KYC.
02#	DOCUMENTS RECEIVED	KYC Documents have been received at CVL-KRA.	No action to be taken.	Fetch KYC.
03#	UNDER VERIFICATION	KYC documents are being scrutinized.	No action to be taken.	Fetch KYC.
04#	HOLD	KYC has been marked for review and/or additional information / supporting documents may have to be obtained to rectify the discrepancies which remain after review.	The intermediary should rectify the discrepancies as provided in the remarks column on the PAN Status detail page.	Fetch KYC.
11	OLD RECORD SUBMITTED	The KYC has been recorded in CVL-KRA as an existing KYC with an intermediary.	KYC form with all supporting documents should be forwarded to KRA.	<ul style="list-style-type: none"> • Fetch KYC. • Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
12	OLD RECORD DOCUMENT RECEIVED	The KYC documents for data recorded as an existing KYC record by an intermediary have been received at CVL-KRA.	No action to be taken.	<ul style="list-style-type: none"> • Fetch KYC. • Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
13	OLD RECORD UNDER VERIFICATION	The KYC documents of existing client data which have been received at CVL-KRA and are being scrutinized.	No action to be taken.	<ul style="list-style-type: none"> • Fetch KYC. • Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.



CDSL VENTURES LIMITED

...Exploring New Horizons

KRA COMMUNIQUÉ

Code	Status	Description	Action to be taken by 1 st Intermediary	Action to be taken by the other Intermediary
14	OLD RECORD ON HOLD	The KYC of existing clients have been marked for review and/or additional information/supporting documents may have to be obtained to rectify the discrepancies which remain after review.	The intermediary should rectify the discrepancies as provided in the remarks column on the PAN Status detail page.	<ul style="list-style-type: none"> Fetch KYC. Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
18	OLD RECORD VERIFIED BY CVLKRA (WITH DOCUMENTATION)	The KYC recorded with CVL-KRA as an existing KYC record has been verified on the basis of physical documentation.	No action to be taken.	<ul style="list-style-type: none"> Fetch KYC. Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
19	OLD RECORD REJECTED BY CVLKRA	The KYC recorded with CVL-KRA as an existing KYC record has been rejected.	<ul style="list-style-type: none"> KYC Form and its supporting documents may be obtained and entered as a New KYC Fetch later. 	<ul style="list-style-type: none"> Old Record to be uploaded. KYC Form and its supporting documents may be obtained and entered as a New KYC
21	OLD RECORD SCANNED COPY RECEIVED	The scanned images of the KYC recorded with CVL-KRA as an existing KYC record have been received at CVL-KRA.	Originals of the same should be sent to KRA as per SEBI by 31/03/2013.	<ul style="list-style-type: none"> Fetch KYC. Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
24	OLD RECORD ON HOLD BY CVLKRA	The KYC recorded in CVL-KRA as an existing KYC is marked for internal review after processing of the KYC.	No action to be taken.	<ul style="list-style-type: none"> Fetch KYC Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
28	OLD RECORD VERIFIED BY CVLKRA ON BASIS OF SCANNED IMAGE/ STAMPED COPY	The old KYC registered with CVL-KRA as an existing KYC record has been verified on the basis of the scanned/stamped documents prior to receipt of the physical documents at CVL-KRA	Originals of the same should be sent to KRA as per the SEBI by 31/03/2013.	<ul style="list-style-type: none"> Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
29	REPLACED DUE TO AVAILABILITY OF COMPLETE DETAILS OF KYC DATA	The New KYC data has been recorded in place of the existing KYC data of the client.	<ul style="list-style-type: none"> The system will reject the earlier record. Fetch KYC if required. 	Fetch KYC.



CDSL VENTURES LIMITED

...Exploring New Horizons

KRA COMMUNIQUÉ

Code	Status	Description	Action to be taken by 1 st Intermediary	Action to be taken by the other Intermediary
44	HOLD BY CVLKRA	The KYC data which has been recorded in CVL-KRA is marked for internal review after processing of the KYC.	No action to be taken.	<ul style="list-style-type: none"> Fetch KYC Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.
98	VERIFIED BY CVLKRA	The KYC is registered with CVL-KRA.	Clients submitting a change/modification in KYC form along with all supporting documents can be entered under Modify KYC.	<ul style="list-style-type: none"> Fetch KYC Clients submitting the New KYC Form with all supporting documents can be entered under Modify KYC.
99	REJECTED BY CVLKRA	The KYC is not verified and is not registered with CVL-KRA.	New KYC with all its supporting documents should be forwarded after entering under New KYC.	New KYC Form with all its supporting documents should be forwarded after entering under New KYC.
199	REJECTED - PRESENT IN NDML	The KYC has been rejected as it has been registered with NDML prior to KYC being recorded in CVL-KRA.	--	--
299	REJECTED - PRESENT IN DOTEX	The KYC has been rejected as it has been registered with DOTEX prior to KYC being recorded in CVL-KRA.	--	--
399	REJECTED - PRESENT IN CAMS	The KYC has been rejected as it has been registered with CAMS prior to the KYC being recorded in CVL-KRA.	--	--
998	MF - VERIFIED BY CVLMF	The MF KYC has passed verification and is registered with CVL-KRA.	--	<ul style="list-style-type: none"> Fetch KYC. Clients submitting the New KYC Form with all supporting documents can be entered under New KYC.