

NSDL Services for Digital Markets

Transforming
Indian Financial
Markets



Agenda

- About NSDL
- Onboarding NSDL as an Issuer
- NSDL e-Voting platform
- Other NSDL Services



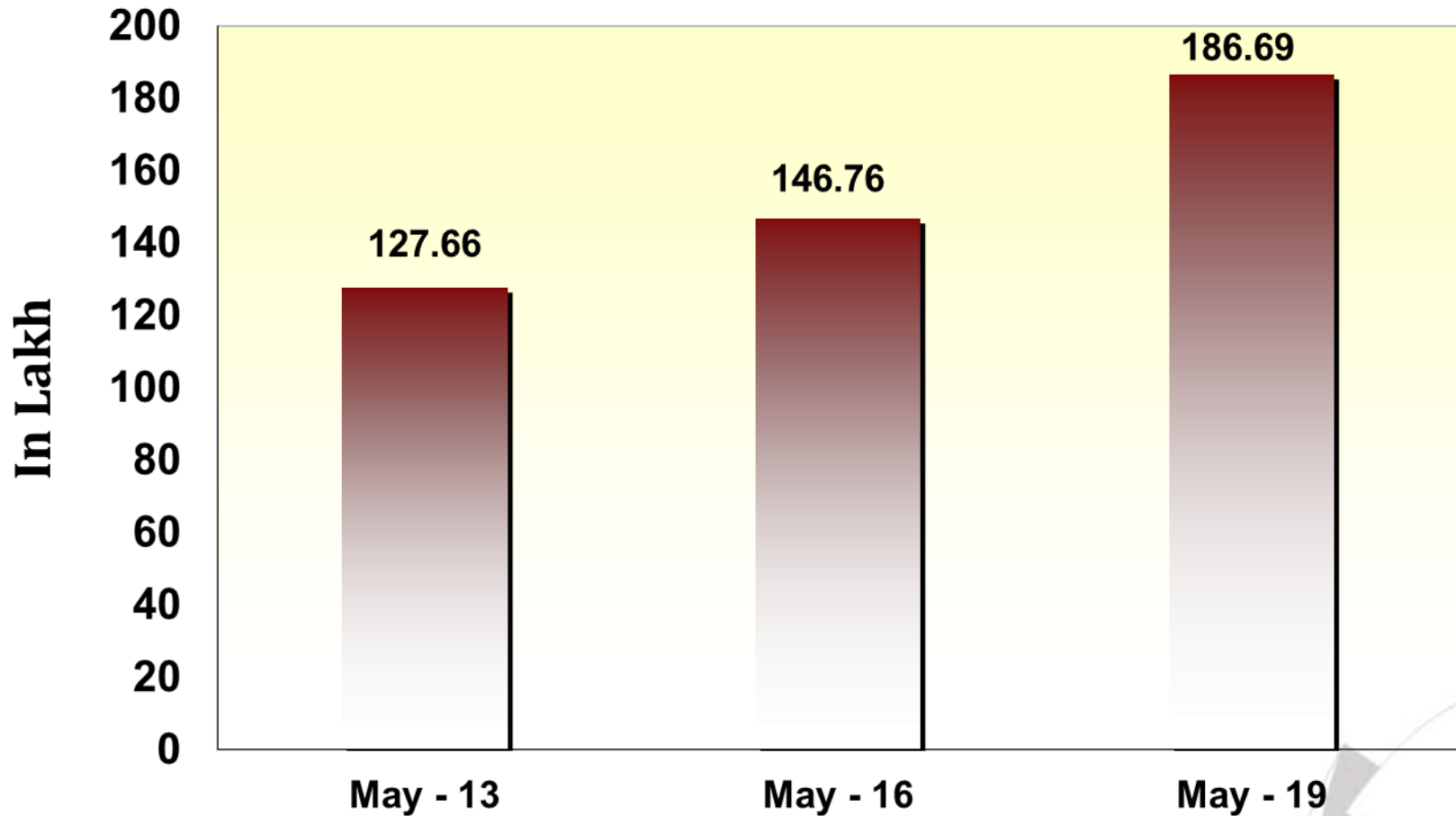
Introduction

- NSDL, one of the largest Depository in the world. It is First and Premier Depository of India.
- NSDL, an important Market Infrastructure Intermediary.
- Unmatched reach in the country for various products and services with the adoption of state of the art technology.



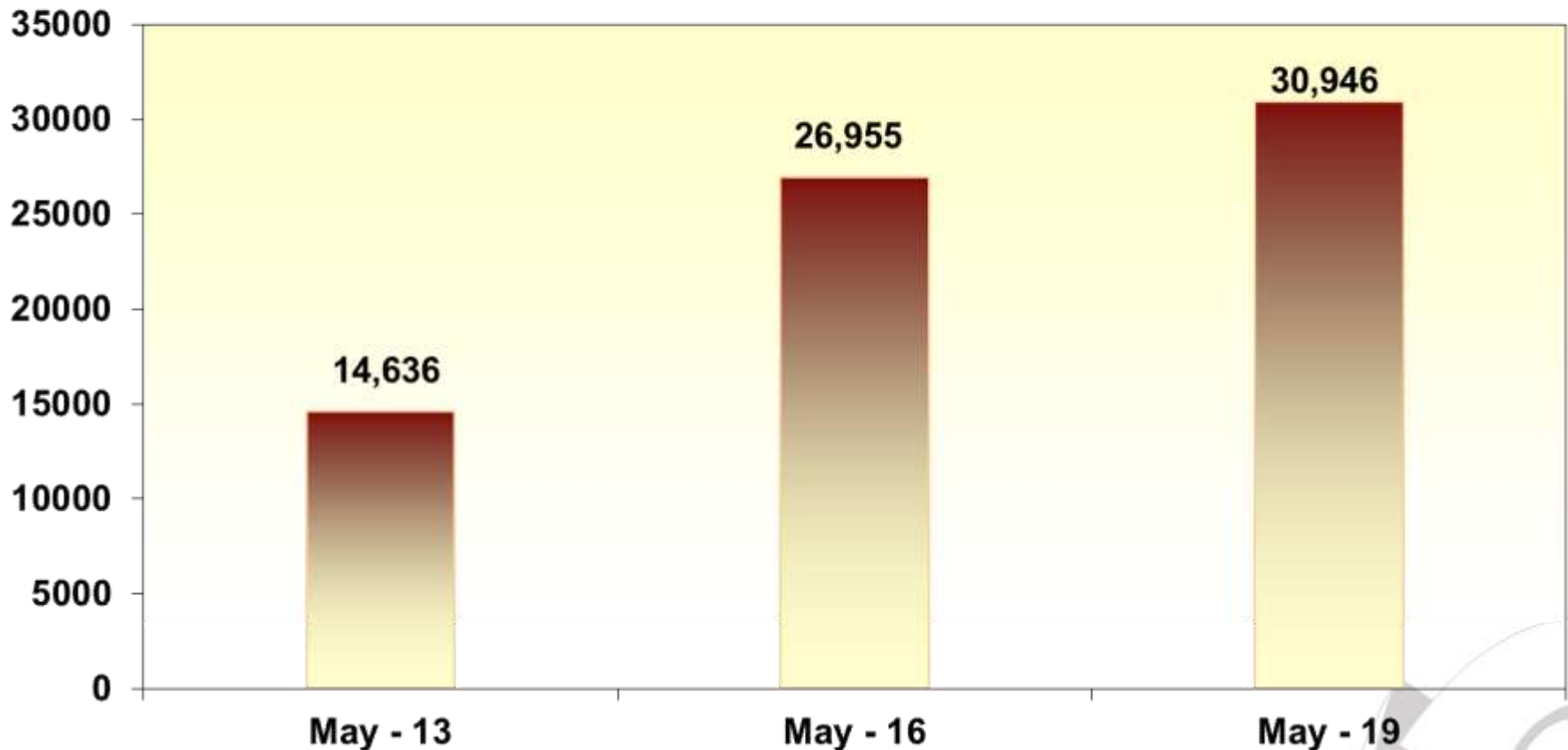
Depository Progress

No. of Investor Accounts



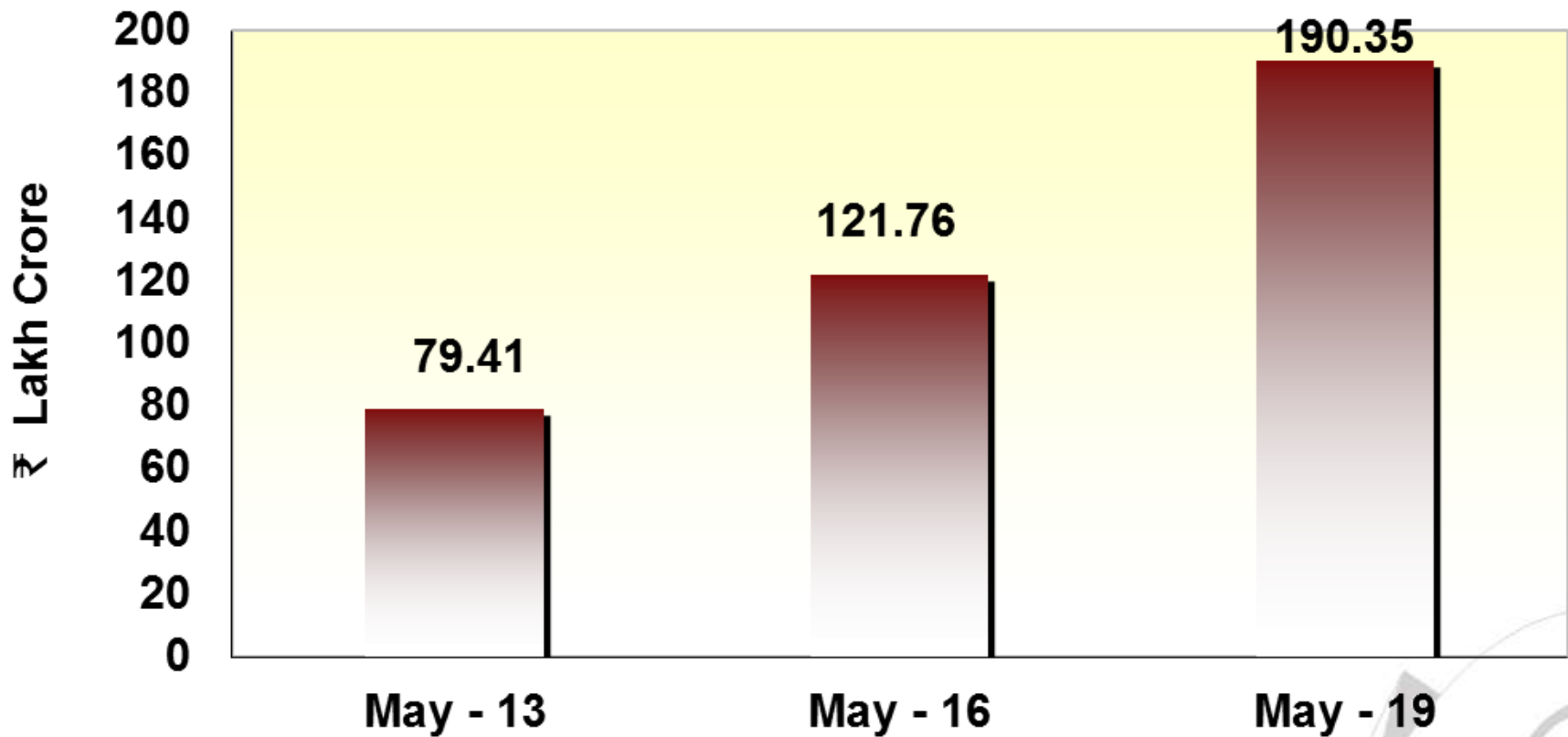
Depository Progress

No. of DP Service Centres



Depository Progress

Demat Value



Some more Facts

- No. of companies joined – **26,364**
- No. of active ISINs – **88,900**
- SEBI as a National Numbering Agency has assigned the responsibility of issuing ISIN to NSDL



Standing true to our tagline – Technology, Trust & Reach



Technology:

- ✓ NSDL services its investors through innovative products & services.
- ✓ Digitization in Demat Account Opening
- ✓ NSDL is the only organisation to reduce settlement fee from Rs.15 to Rs.5 per debit instruction.
- ✓ NSDL is ISO 27001: 2013 Information Security certified.
- ✓ NSDL is ISO 22301 Business Continuity System certified.
- ✓ NSDL successfully carries out Business Continuity Plans (BCP) frequently.

Trust:

- ✓ Awarded with many projects by Government viz.; Payments Bank, NPS, NAD, NSR, NIR, TIN and many more.
- ✓ Having a custody of more than 186 lakh accounts with more than Rs.190 lakh crore.
- ✓ Working under all Regulators viz.; SEBI, RBI, PFRDA, IRDAI

Standing true to our tagline – Technology, Trust & Reach (contd.)



Reach:

- ✓ Services spread across more than 30,000 DP service centres through more than 1,900 cities/towns across the country.
- ✓ 99.36% of the Presence of demat account holders across the country.
- ✓ PAN card issuance, Allotment of ISIN number, AADHAAR registration, Goods and Services Tax Identification Number (GSTIN), Payments Bank



Transforming lives through NSDL Products & Services

Secure, Online, Transparent, Efficient, Technology Solutions

- **SPEED-e**
- **STEADY**
- **IDeAS**
- **SMS alerts for investors**
- **DIRECT (Direct Ideas REGistration of Client accountT)**
- **Delivery of shares using mobile phones**
- **SPICE**
- **NSDL e-Voting**
- **IndiaBond Info**
- **Foreign Portfolio Investment (FPI) regime**
- **NSDL Mobile App**
- **Consolidated Account Statement (CAS)**
- **Digital Loan Against Securities (LAS)**



Awards and Recognitions

-  **Ranked third in the world by Thomas Murray for value added services**
-  **Awarded the Golden Peacock Award - 2018 for Innovation Management**
-  **Awarded as Central Securities Depository of the Year for 2017 in The Asian Banker Financial Markets Awards 2017**



Issuer Admission at NSDL

Appointment
of R&T Agent

Issuer Joining
at NSDL

Dematerialisation
of Shares



MCA Notification

- Companies (Prospectus and Allotment of Securities) Third Amendment Rules, 2018

- Effective from October 2, 2018

- New Rule 9A: Every unlisted Public Company shall –
 - ✓ Issue the securities only in Demat Form
 - ✓ Facilitate demat of all its existing securities

MCA Notification (contd.)

- Holdings of promoters, directors and KMPs must be dematerialized before any further issuance of securities / buy back / bonus / rights issue by unlisted public company.
- Transfer of securities not allowed in physical form since April 1, 2019.
- Existing shareholders must dematerialize their holdings if they wish to participate in any bonus / rights issue or private placement.

Onboarding NSDL : Documents Required

- Application for admission as Issuer.
- Net worth certificate from a Chartered Accountant as per audited annual report for the last financial year.
- Certified true copy of Board Resolution mentioning authorized signatories and their specimen signature.
- Confirmation letter in a prescribed format from R & T Agent.
- Certified true copies of Memorandum and Articles of Association along with Certificate of Incorporation.
- Certified true copy of Audited annual report for the last financial year.
- Undertaking in a prescribed format if applicant is a private limited company.
- Agreement among Issuer Company, R & T Agent and NSDL.
- Certified true copy of Form PAS – 3 if company has issued equity shares after latest balance sheet.
- Certified true copy of Form SH - 7 If there is any variation in face value of shares or reduction in capital after the last balance sheet date.

<https://issuer.nsd.com>

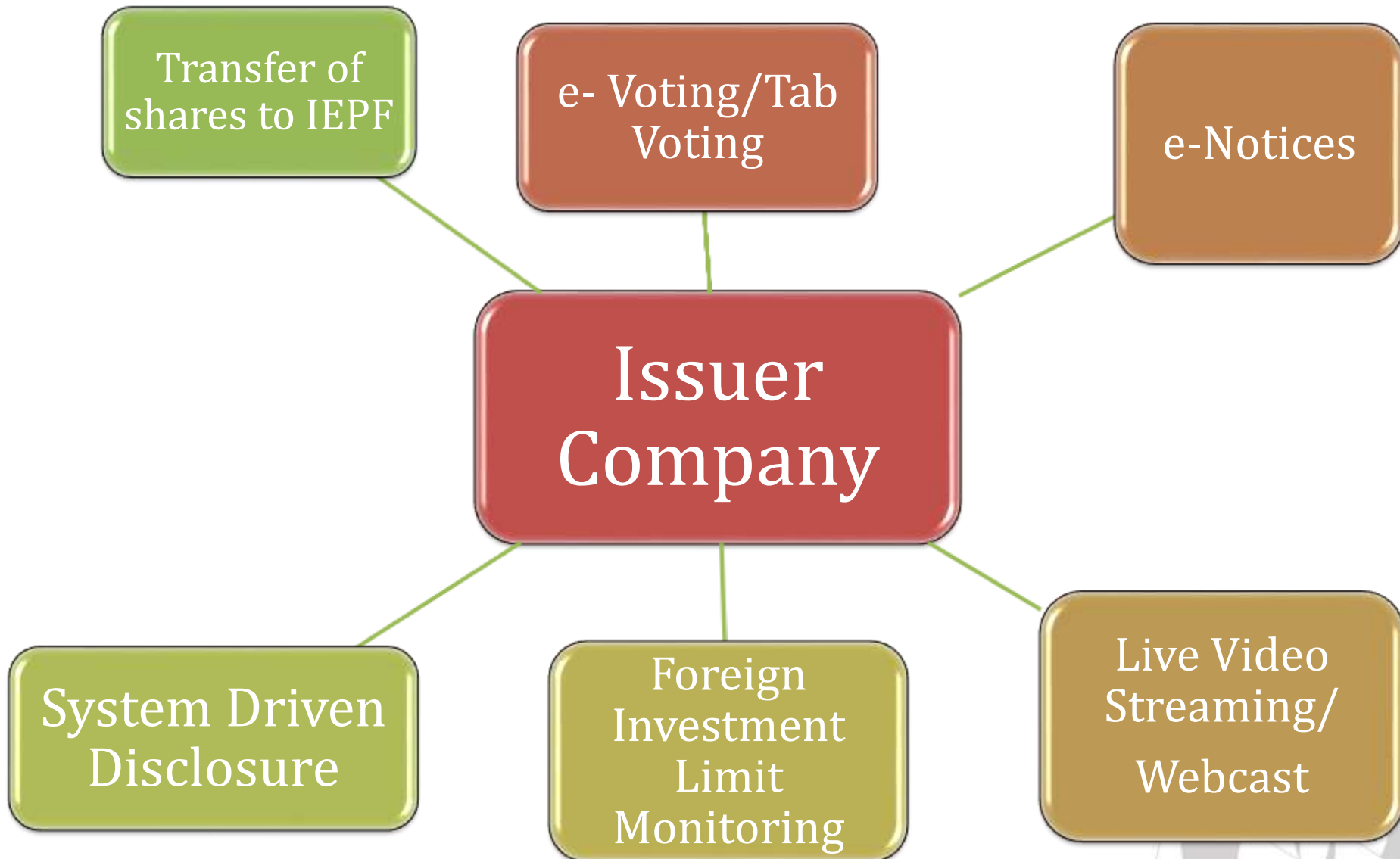


Fee

- Joining fee - ₹ 15,000
- Annual custody fees @ ₹ 11 per folio, subject to minimum amount as mentioned below:

Nominal Value of Securities Admitted (₹)	Amount (₹)
Up to 2.5 Crore	5,000
Above 2.5 Crore and up to 5 Crore	9,000
Above 5 Crore and upto 10 Crore	22,500
Above 10 Crore and upto 20 Crore	45,000
Above 20 Crore	75,000

Offerings for Issuers



➤ Remote e-Voting

- ✓ Postal ballots
- ✓ General Meetings
- ✓ Shareholders Director's Elections of Banks
- ✓ Court Convened Meetings
- ✓ Elections for Clubs, Associations etc.



Companies (Management and Administration) Amendment Rules, 2015

- Every listed company and a company having 1000 or more shareholders must provide facility of e-Voting.
- The same remote e-Voting may be used at the venue of general meetings. Companies are required to provide voting options either electronically or in physical mode at the venue of the general meeting.

- Formal agreement with NSDL for availing e-voting service.
- Company may authorise RTA to upload data, create voting cycle etc. on its behalf.
- Company to intimate details of scrutinizer.



Using NSDL e-Voting Service – Company / RTA

- Create e-Voting Event Number (EVEN).
- Register shareholders for dispatch of notice.
- View/Modify EVEN Cycle.



Using NSDL e-Voting Service – Scrutinizer

- View e-Voting Cycle.
- View member details (like names, folios, no. of shares held) who have cast votes through remote e-voting but not the manner in which they have cast their votes.
- Unblock/ Download the votes cast through remote e-voting.
- Download the POA Resolution details.



NSDL Tablet e-Voting Service

➤ Full range of managed services :

- ✓ Installation of Wi-Fi connectivity at the venue
- ✓ Tablets installed with the e-voting application
- ✓ Facilitators and Technicians at venue



NSDL Live Web Cast

- Mandatory for top 100 listed companies w.e.f. April 1, 2019.
- Shareholder can view 'live' general meeting proceedings from various locations through secure login.
- Log report from NSDL at the end of the event.
- Customized service package from NSDL to suit company's specific needs.



Salient Features of NSDL e-Voting Service

- Majority of the shareholders familiar with NSDL system.
- STQC Certified secured system.
- Company, RTA and Scrutinizer access through digital signature.
- User ID and password for each shareholder.
- NSDL maintains IP address Logs.
- Facility to shareholders to print details of vote.



Salient Features of NSDL e-Voting Service (contd.)

- Single sign-on facility with IDEAS facility of NSDL.
- Integration with other websites.
- Reminder emails at periodic intervals.
- Facility to Custodians/Mutual Funds.
- Nominal cost of around Rs.1 per shareholder.



Other Services

- FPI Registration <https://www.fpi.nsdl.co.in/>
- India Bond Info portal
<https://www.indiabondinfo.nsdl.com/>
- Repository for Bond Trades
- Holding monitoring for designated employees
- Consolidated Account Statement

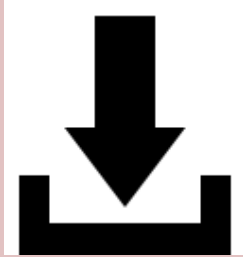


Claiming Unclaimed Shares and Dividends

- All dividends and shares which remain unpaid or unclaimed for seven consecutive years, are transferred by respective companies to Investor Education and Protection Fund Authority
- IEPF Authority is a statutory body, constituted under the provisions of Companies Act, 2013
- Investor or his representative need to submit claim to IEPF Authority to receive unpaid dividend and/or unclaimed shares

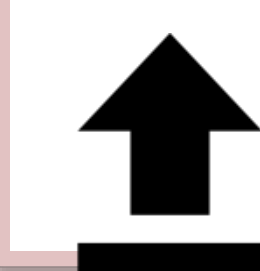


How to Claim



STEP 1
Download form IEPF-5

www.iepf.gov.in



STEP 2
Upload form

- A. Submit form on the upload link
- B. Save the 'Acknowledgement' and 'SRN'



STEP 3
Printing the form

Take a print of the form submitted

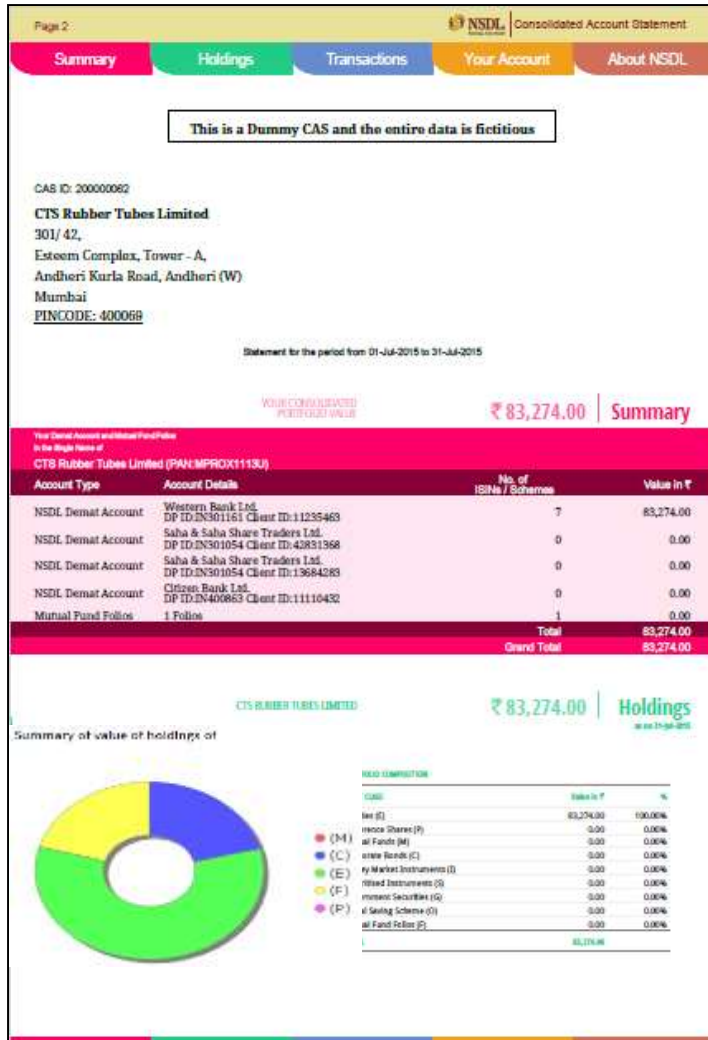


STEP 4
Submit the form

Submit printed form and other documents to the 'Nodal officer' of the company at its registered office

After verification of the claim, refunds will be transferred to Aadhaar linked bank account of the claimant through electronic transfer or to demat account of claimant.

NSDL Consolidated Account Statement



- Includes transactions and holdings in investor's demat account(s).
- Includes Mutual Funds Units held in Statement of account (SOA) form.
- Consolidated view of his/her financial assets.
- Provides insight into his/her portfolio across various asset classes.
- Better decision making, simplified monitoring, rich analysis of portfolio etc.
- Available on email as well as in physical form.
- e-CAS is email version of NSDL CAS.

Visit : <https://nsdlcas.nsdl.com>

Investor Centric NSDL e-Services

SPEED-e	NSDL's internet facility to enable users to submit instructions online
IDeAS*	<ul style="list-style-type: none">• Access your Demat Account Anytime, Anywhere• View transactions and holdings along with valuations
NSDL Mobile App*	<ul style="list-style-type: none">• Access your Demat Account Anytime, Anywhere on mobile• View holdings along with valuations
NAD	National Academic Depository To hold academic records of students in digital form

* No charges for demat account holders

NSDL Newsletter for Investors

The Financial Kaleidoscope

Subscribe at <https://nsdl.co.in/e-newsletter.php>

Visit www.nsdl.co.in



Opportunities with NSDL



1. NSDL recognises the competency of Company Secretaries. Many qualified CS are working with NSDL in various departments.
2. Practicing CS may undertake internal audit work of Depository Participants. NSDL arranges training programs for conducting audit.
3. Practicing CS may undertake internal audit work for depository related operations of Issuer companies / their RTAs. NSDL arranges training programs fore conducting audit.





Thank You

