

VeDAS Implementation	Transfer & Transmission
User Manual – DP	

## 15 Transfer & Transmission

### 15.1 Purpose

This module caters to two functionalities:

**Transfers:** allows moving all or part of a BO's holdings from one DP to another (Transfer) or from one BO account to another account within the same DP or different DPs (Change of ownership). Only the free holding can be transferred.

**Transmissions:** allows moving all of a BO's holdings from one DP to another (Transmission) or from one BO account to another account within the same DP or different DP (Change of ownership). Only the free holding can be transferred.

### 15.2 Modes of Operation

Transfers can be Setup, Inquired, Deleted, and Modified in online and offline modes. Transfers can be Approved and Uploaded only in online mode. Transmissions can be Setup, Inquired and Approved in online mode only. Transmissions cannot be modified.

### 15.3 Access Restrictions

DP can Setup and approve its Transfer and Transmission requests.

## 15.4 Screen Layout

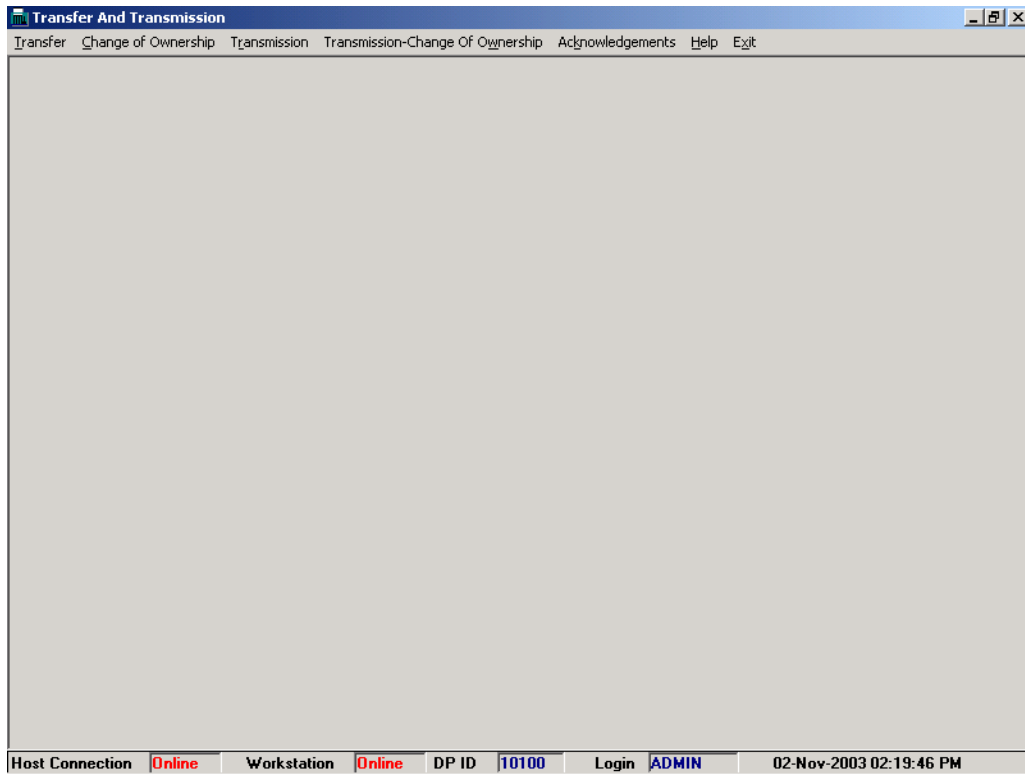


Figure 15.1 Initial Screen for Transfers and Transmission

### 15.4.1 Transfer Setup

#### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Setup > Online	To Setup Transfer Request in Online mode	Alt + T > S > N
Transfer > Setup > Offline	To Setup Transfer Request in Offline mode	Alt + T > S > F

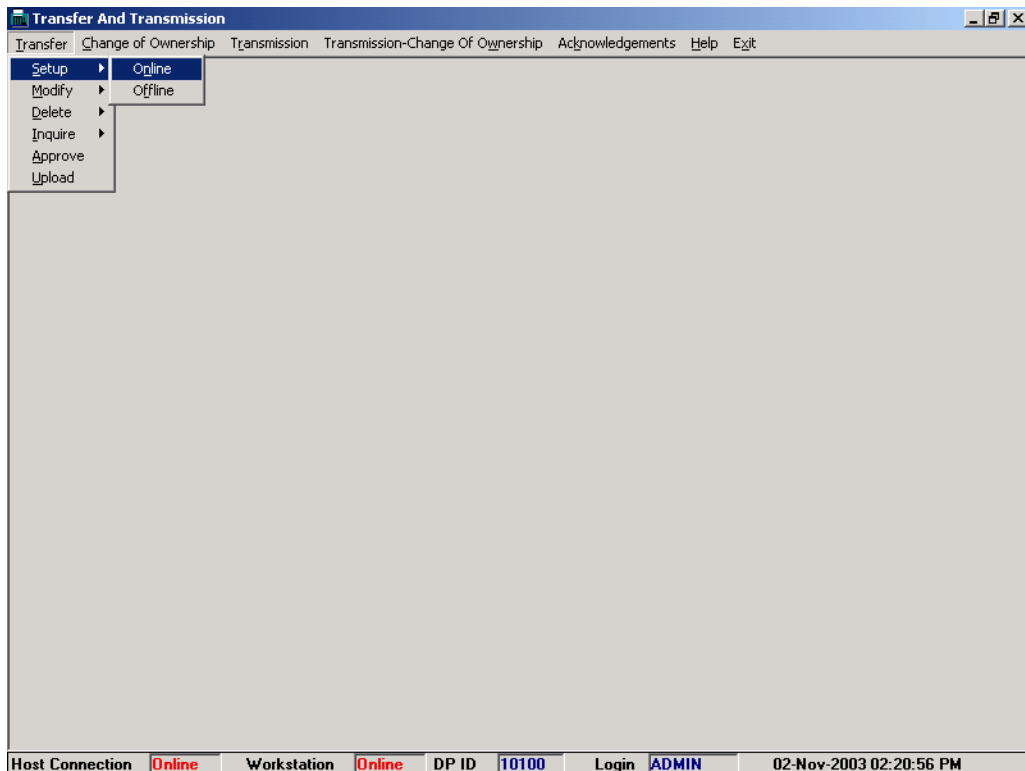


Figure 15.2 Menu Screen for Transfer Request Setup

The screenshot shows the 'Transfer And Transmission - [Transfer of Security - (Setup)- Online]' window. The 'Main Menu' is active. The form contains the following fields and sections:

- ISIN:** BD0627EXSH07, Excelsior Shoes Ltd.
- Transferor Details:**
  - DP ID:** 10100, Vipul Gala
  - BO ID:** 1 2 0101 00 0000118 1, Habibun Nahar Khan
  - Dr. Quantity:** 10
- Int. Ref. No.:** (empty field)
- Setup Date:** 02-Nov-2003
- Transferee Details:**
  - Total Cr. Quantity:** 0
  - Difference:** 0
  - Status:** Not Balanced
- Table:**

BO ID	DP ID	Credit Quantity
- Buttons:** Add, Modify, Delete, View, Commit, Cancel

The status bar at the bottom displays: Host Connection Online, Workstation Online, DP ID 10100, Login ADMIN, and 02-Nov-2003 02:22:46 PM.

Figure 15.3 Transfer Request Setup Screen

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## Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
ISIN	ISIN status should be Active	M, Mo	
DP ID	Transferor Depository Participant ID	R	
BO ID	Transferor Beneficiary Owner ID	M, Mo	
Dr. Quantity	Transferor Quantity	M, Mo	
Int. Ref. No.	Internal Reference Number	Mo	
Setup Date	Transaction Setup Date	R	
Total Cr. Quantity	Total Transferee Quantity	C	
Difference	Transferor Quantity – Total Transferee Quantity	C	
Status	Status	C	

## Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C
Add	To add Transferee Details	Alt + A
Modify	To Modify Transferee Details	Alt + M
Delete	To Delete Transferee Details	Alt + D
View	To View Transferee Details	Alt + V

Figure 15.4 Screen for entering transferee details

### Field List

Field Name	Description	Field Type	Remarks
DP ID	Transferee Depository Participant ID	M, Mo	
BO ID	Transferee BO ID	M, Mo	
Cr. Quantity	Transferee Quantity	M, Mo	

### Buttons Available

Name	Purpose	Hot Key
Ok	To add the transferee details	Alt + O
Cancel	To cancel transferee details entering operation and return to the previous screen	Alt + C

On successful Transfer Request Setup, the Transfer Sequence Number will be generated and displayed to the user and an acknowledgement copy will be generated.

## 15.4.2 Transfer Inquiry

### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Inquiry > Online	To inquire details for Transfer Requests that were set up in Online mode or have been successfully uploaded.	Alt + T > I > N
Transfer > Inquiry > Offline	To inquire details for Transfer Requests which were Setup in Offline mode and have not been uploaded.	Alt + T > I > F

Figure 15.5 Screen for Online Transfer Request Inquiry

### Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transfer Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>BO ID</li> <li>Setup Date From – To</li> <li>Transferor BO / Transferee BO</li> </ul>	<p>If From Date is specified, then To date is mandatory and vice versa.</p> <p>At least one of the criteria has to be chosen to perform a group criteria inquiry</p> <p>If Transferor/Transferee BO ID option button is chosen, then only those records will be displayed where the BO ID entered is the Transferor/Transferee.</p>

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### Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Sl. No	Seq. No	Setup Date	ISIN	Transferor DP ID	Transferor BO ID	Debit Quantity
1	14	08-Sep-2002	TAT000000015	10100	1301010000000142	10
2	16	08-Sep-2002	TAT000000056	10100	1301000000000142	10
3	17	08-Sep-2002	TAT000000056	10100	1301010000000142	20
4	19	09-Sep-2002	TAT000000007	10100	1301010000000118	10
5	20	09-Sep-2002	TAT000000007	10100	1301010000000118	10
6	21	09-Sep-2002	TAT000000007	10100	1301010000000118	10

Figure 15.6 Screen for Online Transfer Group Inquiry

### Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation.	Alt + C

Figure 15.7 Screen for Online Transfer Details Inquiry

### Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

## 15.4.3 Transfer Modify

### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Modify > Online	To modify details for Transfer Requests which were Setup in Online mode or have been successfully uploaded	Alt + T > M > N
Transfer > Modify > Offline	To modify details for Transfer Requests which were Setup in Offline mode and have not been uploaded as yet.	Alt + T > M > F



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## Modify Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Transfer Sequence Number	If selected, the transfer sequence number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>Transferor BO</li> <li>Setup Date From – To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

Only those transfer requests that have not been approved (i.e. Requests with Status as Setup) are available for modification.

## Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry for modify with the selected criteria	Alt + O
Cancel	To cancel the Modify operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. Selecting the same can make detailed inquiry on a specific request.

Figure 15.8 Screen for Online Transfer Request Modify

## 15.4.4 Transfer Delete

### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Delete > Online	To delete details for Transfer Requests which were Setup in Online mode or have been successfully uploaded	Alt + T > D > N
Transfer > Delete > Offline	To delete details for Transfer Requests which were Setup in Offline mode and have not been uploaded	Alt + T > D > F

### Delete Selection Criteria

Refer to Modify Selection Criteria

Only those transfer requests that have not been approved (i.e. Requests with Status as *Setup*) are available for deletion.

Transfer And Transmission - [Transfer Of Security - (Delete) - Online]

Main Menu

Transfer Seq. No.  Transaction Status

ISIN  ISIN FOR TESTING CA

Transferor Details

DP ID  Vipul Gala

BO ID  AZARUDDING ALIAS PATHAN BABA

Dr. Quantity

Int. Ref. No.  Setup Date

Transferee Details

BO ID	DP ID	Credit Quantity
1201050000004611	10500	50

Host Connection  Workstation  DP ID  Login  02-Nov-2003 02:31:45 PM

Figure 15.9 Screen for Online Transfer Request Delete

### Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Delete operation and return to the previous screen	Alt + C
Delete	To delete the Transfer Request	Alt + D

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## 15.4.5 Transfer Upload

### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Upload	To upload Transfer Requests which were Setup in Offline mode	Alt + T > U

Transfer And Transmission - [Upload Offline Queue]

Main Menu

**Transaction Upload Statistics**

Total Transactions	1
Uploading Transaction	0
Successful	0
Failed	0

Commit Cancel

Host Connection **Online** Workstation **Online** DP ID 10500 Login CDBL 20-Apr-2001 04:34:32

Figure 15.10 Screen for Offline Transfer Request Upload

### Field List

Field Name	Description
Total Transactions	The total number of offline Transfer requests that have not been successfully uploaded
Uploading Transaction	The transaction number being uploaded
Successful	No of transactions successfully uploaded
Failed	No of transactions failed during upload

### Buttons Available

Name	Purpose	Hot Key
Commit	To upload the offline transactions.	Alt + O
Cancel	To cancel the upload operation and return to the previous screen	Alt + C

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## 15.4.6 Transfer Approve

### Activation Options

Menu Name	Purpose	Hot Key
Transfer > Approve	To Approve Transfer Requests.	Alt + T > A

### Approve Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transfer Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>Transferor BO</li> <li>Set up Date From – To</li> </ul>	<p>If From Date is specified, then To date is mandatory and vice versa.</p> <p>At least one of the criteria has to be chosen to perform a group criteria inquiry</p> <p>If Transferor/Transferee BO ID option button is chosen, then only those records will be displayed where the BO ID entered is the Transferor/Transferee.</p>

Only those Transfer requests that have not been approved (i.e. Requests with Status as Setup) are available for approval.

### Buttons Available

Name	Purpose	Hot Key
Ok	To approve the transfer request.	Alt + O
Cancel	To cancel the Approve operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Transfer And Transmission - [Transfer Of Security - (Approve) - Online]

Main Menu

Transfer Seq. No.  Transaction Status

ISIN  [Transfer](#)

Transferor Details

DP ID  [Somnath Sawant](#)

BO ID  [MAHER](#)

Dr. Quantity

Int. Ref. No.  Setup Date

Transferee Details

BO ID	DP ID	Credit Quantity
1301000000000118	10000	10

[View](#)

[Accept](#) [Cancel](#)

Host Connection  Workstation  DP ID  Login  01-Oct-2002 10:09:29

Figure 15.11 Screen for Online Transfer Request Approve

### Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Approve operation and return to the previous screen	Alt + C
Accept	To successfully approve the Transfer Request	Alt + A

## 15.4.7 Change Of Ownership Setup

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Setup > Online	To Setup Change of Ownership Request in Online mode	Alt + C > S > N
Change of Ownership > Setup > Offline	To Setup Change of Ownership Request in Offline mode	Alt + C > S > F

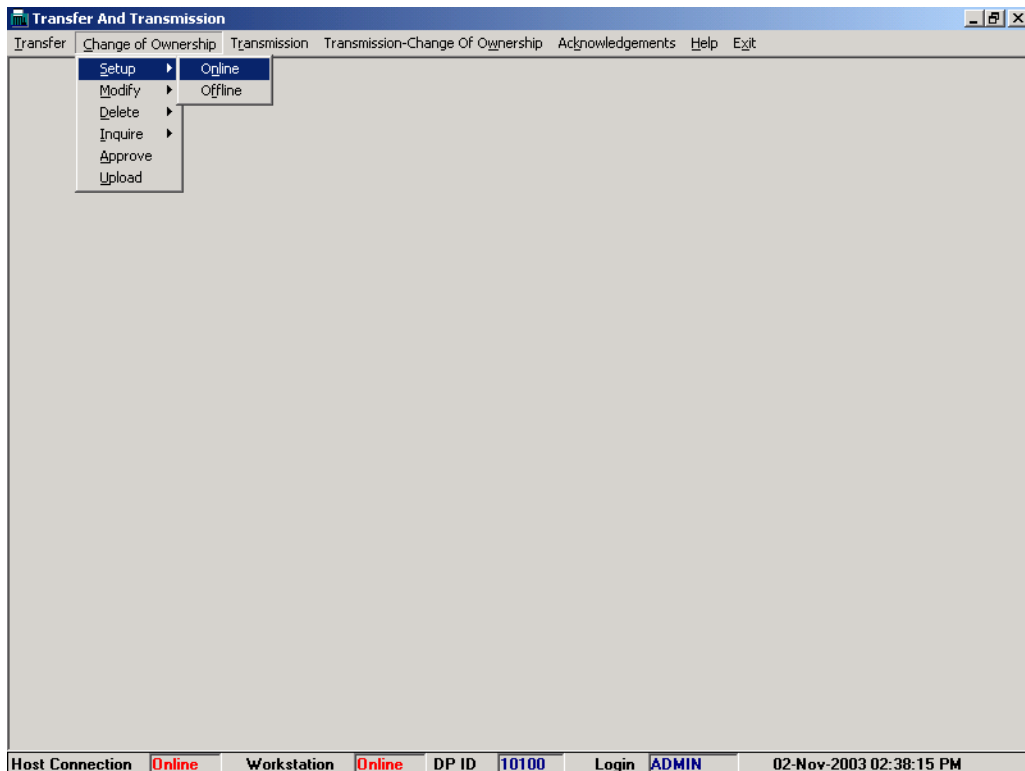


Figure 15.12 Menu Screen for Change of Ownership Request Setup

**Transfer And Transmission - [Change Of Ownership - (Setup)- Online]**

Main Menu

ISIN: BD0627EXSH07 Excelsior Shoes Ltd.

**Transferor Details**

DP ID: 10100 Vipul Gala

BO ID: 1 2 0101 00 0000118 1 Habibun Nahar Khan

Dr. Quantity: 10

SEC. Reason: 2 Account Transfer SEC Approval Date: 01-Nov-2003

Int. Ref. No.: Setup Date: 02-Nov-2003

**Transferee Details**

Total Cr. Quantity: 0

Difference: 0 Status: **Not Balanced**

BO ID	DP ID	Credit Quantity

Add Modify Delete View

Commit Cancel

Host Connection Online Workstation Online DP ID 10100 Login ADMIN 02-Nov-2003 02:36:47 PM

Figure 15.13 Change of Ownership Request Setup Screen

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## Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
ISIN	ISIN status should be Active	M, Mo	
DP ID	Transferor Depository Participant ID	M, Mo	
BO ID	Transferor Beneficiary Owner ID	M, Mo	
Dr. Quantity	Transferor Quantity	M, Mo	
SEC Reason	SEC Reason	M,Mo	
SEC Approval Date	SEC Approval Date	M,Mo	
Int. Ref. No.	Internal Reference Number	Mo	
Setup Date	Transaction Setup Date	R	
Total Cr. Quantity	Total Transferee Quantity	C	
Difference	Transferor Quantity – Total Transferee Quantity	C	
Status	Status	C	

## Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel the Setup operation and return to the previous screen	Alt + C
Add	To add Transferee Details	Alt + A
Modify	To Modify Transferee Details	Alt + M
Delete	To Delete Transferee Details	Alt + D
View	To View Transferee Details	Alt + V

Figure 15.14 Screen for entering Transferee details

### Field List

Field Name	Description	Field Type	Remarks
DP ID	Transferee Depository Participant ID	R	
BO ID	Transferee BO ID	M, Mo	Should belong to the same DP as the transferor BO
Cr. Quantity	Transferee Quantity	M, Mo	
SEC. Reason	SEC Reason	M, Mo	SEC. Reason
SEC Approval Date	SEC Approval Date	M, Mo	SEC Approval Date

### Buttons Available

Name	Purpose	Hot Key
Ok	To add the Transferee details	Alt + O
Cancel	To cancel Transferee details entering operation and return to the previous screen	Alt + C

On successful Setup of Change of Ownership request, the Transfer Sequence No. is generated and displayed to the user and acknowledgement copy is generated.



## 15.4.8 Change of Ownership Inquiry

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Inquiry > Online	To inquire details for Change of Ownership Requests Setup in Online mode or successfully uploaded.	Alt + C > I > N
Change of Ownership > Inquiry > Offline	To inquire details for Change of Ownership Requests which were Setup in Offline mode and have not been uploaded.	Alt + C > I > F

Figure 15.15 Screen for Online Change of Ownership Request Inquiry

### Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transfer Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>Transferor BO ID</li> <li>Setup Date From – To</li> <li>Transferor BO / Transferee BO</li> </ul>	<p>If From Date is specified, then To date is mandatory and vice versa.</p> <p>At least one of the criteria has to be chosen to perform a group criteria inquiry</p> <p>If Transferor/Transferee BO ID option button is chosen, then only those records will be displayed where the BO ID entered is the Transferor/Transferee.</p>

### Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. Selecting the same can make detailed inquiry on a specific request.

Sl. No	Seq. No	Setup Date	ISIN	Transferor DP ID	Transferor BO ID	Debit Quantity
1	1	08-Sep-2002	TAT000000007	10100	1301010000000118	1,000
2	3	08-Sep-2002	TAT000000007	10100	1301010000000142	10
3	4	08-Sep-2002	TAT000000007	10100	1301010000000118	10
4	5	08-Sep-2002	TAT000000007	10100	1301010000000142	10
5	8	08-Sep-2002	TAT000000007	10100	1301010000000118	100
6	9	08-Sep-2002	TAT000000007	10100	1301010000000118	10

Figure 15.16 Screen for Online Change of Ownership Group Inquiry

### Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation.	Alt + C

Figure 15.17 Screen for Online Change of Ownership Details Inquiry

### Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

## 15.4.9 Change of Ownership Modify

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Modify > Online	To modify the details for Change of Ownership requests Setup in Online mode or successfully uploaded	Alt + C > M > N
Change of Ownership > Modify > Offline	To modify the details for Change of Ownership requests which were Setup in Offline mode and have not been uploaded as yet.	Alt + C > M > F

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## Modify Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transfer Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>Transferor BO ID</li> <li>Set up Date From – To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

Only those transfer requests that have not been approved (i.e. Requests with Status as Setup) are available for modification.

## Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry for modify with the selected criteria	Alt + O
Cancel	To cancel the Modify operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Figure 15.18 Screen for Online Transfer Request Modify

## 15.4.10 Change of Ownership Delete

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Delete > Online	To delete details for the Change of Ownership Requests which were Setup in Online mode or Offline Change of Ownership Requests which have been successfully uploaded	Alt + C > D > N
Change of Ownership > Delete > Offline	To delete the Change of Ownership Requests which were Setup in Offline mode and have not been uploaded	Alt + C > D > F

### Delete Selection Criteria

Refer to Modify Selection Criteria

Only those Change of Ownership requests that have not been approved (i.e. Requests with Status as *Setup*) are available for deletion.

Figure 15.19 Screen for Online Change of Ownership Request Delete

### Buttons Available

Name	Purpose	Hot Key
Cancel	To cancel the Delete operation and return to the previous screen	Alt + C
Delete	To delete the Transfer - Change of Ownership Request	Alt + D

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## 15.4.11 Change of Ownership Upload

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Upload	To upload Change of Ownership Requests which were Setup in Offline mode	Alt + C > U

Transfer And Transmission - [Upload Offline Queue]

Main Menu

**Transaction Upload Statistics**

Total Transactions	1
Uploading Transaction	0
Successful	0
Failed	0

Commit Cancel

Host Connection **Online** Workstation **Online** DP ID **10500** Login **CDBL** 20-Apr-2001 05:10:53

Figure 15.20 Screen for Offline Change of Ownership Request Upload

### Field List

Field Name	Description
Total Transactions	The total number of offline Transfer - Change of Ownership requests that have not been successfully uploaded
Uploading transaction	The transaction number being uploaded
Successful	No of transactions successfully uploaded.
Failed	No of uploads failed.

### Buttons Available

Name	Purpose	Hot Key
Commit	To upload the offline transactions.	Alt + O
Cancel	To cancel the upload operation and return to the previous screen	Alt + C

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## 15.4.12 Change of Ownership Approve

### Activation Options

Menu Name	Purpose	Hot Key
Change of Ownership > Approve	To Approve Transfer Requests.	Alt + C > A

### Approve Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transfer Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>ISIN</li> <li>Transferor BO ID</li> <li>Setup Date</li> <li>From – To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

Only those change of ownership requests that have not been approved (i.e. Requests with Status as Setup) are available for approval.

### Buttons Available

Name	Purpose	Hot Key
Accept	To approve the transfer request.	Alt + A
Cancel	To cancel the Approve operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed. Selecting the same can make detailed inquiry on a specific request.

Transfer And Transmission - [Change Of Ownership - (Approve) - Online]

Main Menu

Transfer Seq. No.  Transaction Status

ISIN  [Transfer](#)

Transferor Details

DP ID  [Somnath Sawant](#)

BO ID  [MAHER](#)

Dr. Quantity

SEC. Reason  [REASON 2](#) SEC Approval Date

Int. Ref. No.  Setup Date

Transferee Details

BO ID	DP ID	Credit Quantity
1301010000000142	10100	10

[View](#)

[Accept](#) [Cancel](#)

Host Connection  Workstation  DP ID  Login  01-Oct-2002 10:16:22

Figure 15.21 Screen for Online Change of Ownership Request Approve

## 15.4.13 Transmission Setup

### Activation Options

Menu Name	Purpose	Hot Key
Transmission > Setup	To Setup Transmission Request in Online mode	Alt + R > S



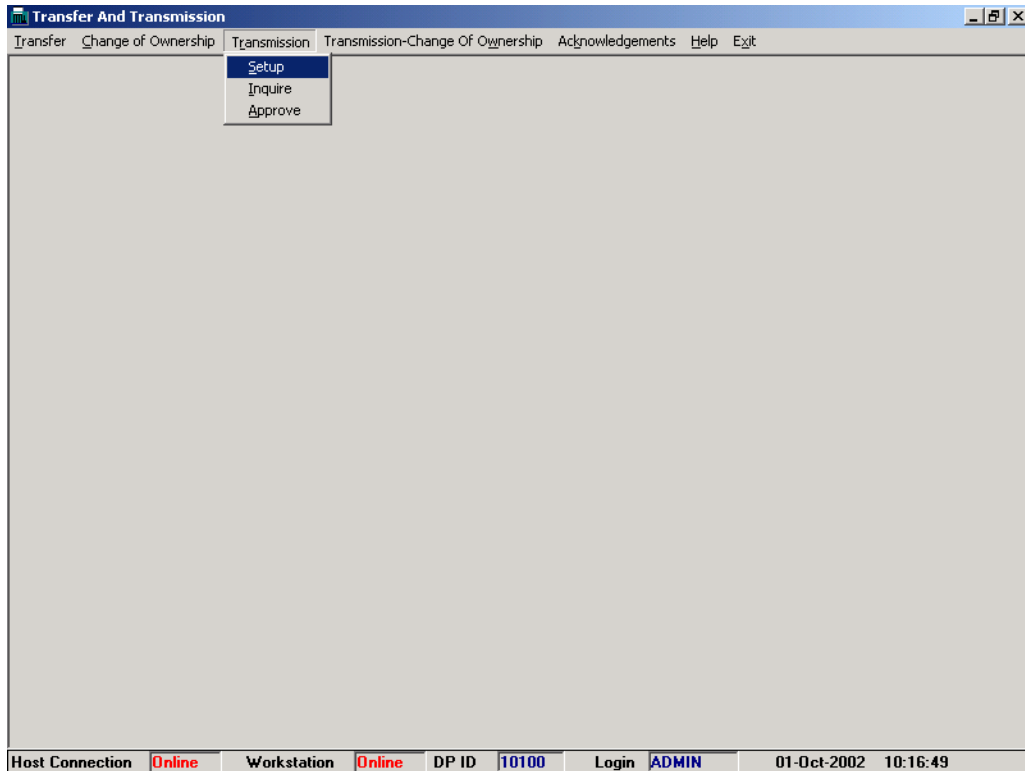


Figure 15.22 Menu Screen for Transmission Request Setup

The screenshot shows the "Transfer And Transmission - [Transmission of Securities - (Setup)]" window. The title bar also includes "Main Menu". The form contains the following sections and fields:

- Transferor Details:**
  - DP ID: 10100 (with name Somnath Sawant)
  - BO ID: 13010100 (with a dropdown arrow)
- Transferee Details:**
  - DP ID: (empty field)
  - BO ID: (empty field with a dropdown arrow)
- Int. Ref. No.:** (empty field)
- Setup Date:** 01-Oct-2002

At the bottom right of the form are "Commit" and "Cancel" buttons. The status bar at the bottom shows: Host Connection Online, Workstation Online, DP ID 10100, Login ADMIN, and date/time 01-Oct-2002 10:17:11.

Figure 15.23 Transmission Request Setup Screen

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### Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
DP ID	Transferor Depository Participant ID	M, Mo	
BOID	Transferor Beneficiary Owner ID	M, Mo	
DP ID	Transferee Depository Participant ID	M, Mo	
BOID	Transferee Beneficiary Owner ID	M, Mo	
Int. Ref. No.	Internal Reference Number	Mo	
Setup Date	Transaction Setup Date	R	

### Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel Setup operation and return to the previous screen	Alt + C

On successful Setup of Transmission Request , the Transmission Sequence No. is generated and displayed to the user.

## 15.4.14 Transmission Inquiry

### Activation Options

Menu Name	Purpose	Hot Key
Transmission > Inquiry	To inquire details of Transmission Requests Setup	Alt + R > I

Figure 15.24 Screen for Online Transmission Request Inquiry

### Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transmission Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>Transferor BO ID</li> <li>Transferee BO ID</li> <li>Date From To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

### Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Transfer And Transmission - [Transmission Of Securities - (Inquire) - Online]

Main Menu

Transferor BO ID

Transferee BO ID

Setup Date From 01-Oct-2001 To 01-Oct-2002

Seq. No	Transferor DP ID	Transferor BO ID	Transferee DP ID	Transferee BO ID	Status
3	10000	1301000000000482	10100	1301010000000482	Accepted
6	10000	1301000000000142	10100	1301010000000142	Setup
7	10000	1301000000000142	10100	1301010000000142	Setup
8	10000	1301000000000142	10100	1301010000000142	Setup
9	10100	1301010000000142	10000	1301000000000142	Setup
11	10100	1301010000000118	10000	1301000000000118	Setup
12	10100	1301010000000118	10000	1301000000000118	Accepted

Select Cancel

Host Connection Online Workstation Online DP ID 10100 Login ADMIN 01-Oct-2002 10:21:33

Figure 15.25 Screen for Online Transmission Group Inquiry

#### Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + S
Cancel	To cancel the Inquiry operation.	Alt + C

Transfer And Transmission - [Transmission - Inquiry Online]

Main Menu

Transmission Seq. No  Transaction Status **Approved**

**Transferor Details**

DP ID  Jaydeep Sawant

BO ID  [BO FOR TRANSFER 1](#)

**Transferee Details**

DP ID  Somnath Sawant

BO ID  [BO FOR TRANSFER 1](#)

Int. Ref. No.  Setup Date

**Bulk Account Movement Details**

Sr.No.	ISIN	ISIN Description	Quantity	Remarks
1	TAT000000007	Transfer	10000000000	
2	TAT000000056	Tasnim Securities	10000000000	
3	TAT000000064	Sonli	10000000000	
4	TAT000000072	Agrani	10000000000	
5	TAT000000429	TRANSFER	10000000000	

Host Connection **Online** Workstation **Online** DP ID **10100** Login **ADMIN** 01-Oct-2002 10:22:22

Figure 15.26 Screen for Online Transmission Details Inquiry

### Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

## 15.4.15 Transmission Approve

### Activation Options

Menu Name	Purpose	Hot Key
Transmission > Approve	To Approve Transmission Requests.	Alt + R > A

### Approve Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transmission Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>Transferor BO ID</li> <li>Setup Date From – To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

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### Buttons Available

Name	Purpose	Hot Key
Reject	To Reject the transmission request	Alt + R
Accept	To approve the transmission request	Alt + A
Close	To cancel the Approve operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Figure 15.27 Screen for Online Transmission Request Approve

## 15.4.16 Transmission - Change of Ownership Setup

### Activation Options

Menu Name	Purpose	Hot Key
Transmission – Change of Ownership > Setup	To Setup Transmission - Change of Ownership Request in Online mode	Alt + W > S

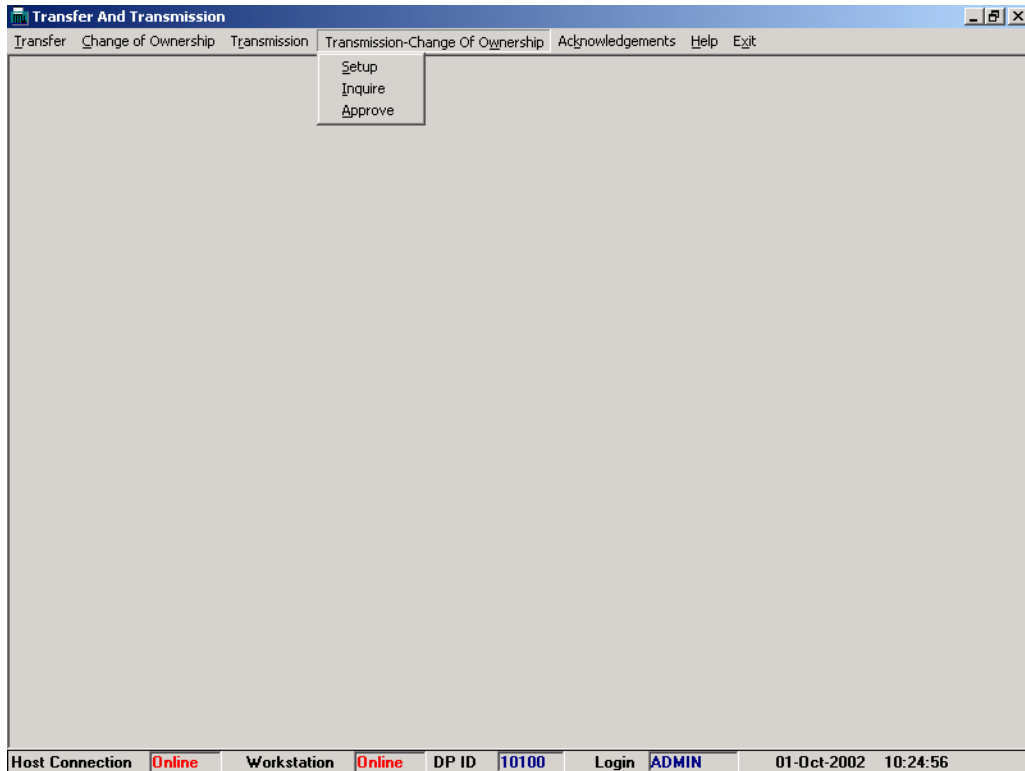


Figure 15.28 Menu Screen for Transmission - Change of Ownership Request Setup

The screenshot shows a window titled "Transfer And Transmission - [Transmission - Change of Ownership of Securities (Setup)]" with a "Main Menu" button. The form contains two sections: "Transferor Details" and "Transferee Details".

**Transferor Details:**

- DP ID: 10100 Somnath Sawant
- BO ID: 1 3 0101 00 0000074 7
- SEC. Reason: 1 REASON CODE 1
- SEC Approval Date: 01-Oct-2002

**Transferee Details:**

- DP ID: 10300 Shailendra Hirlekar
- BO ID: 1201030000001686

**Other Fields:**

- Int. Ref. No. (empty field)
- Setup Date: 01-Oct-2002

At the bottom right, there are "Commit" and "Cancel" buttons. The status bar at the bottom shows: Host Connection Online, Workstation Online, DP ID 10100, Login ADMIN, and the date/time 01-Oct-2002 10:26:20.

Figure 15.29 Transmission - Change of Ownership Request Setup Screen

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## Field List

Field Type: U-Unique, M-Mandatory, A-Auto generated, Mo-Modifiable, N-Non Modifiable, R-Retrieved, C-Calculated

Field Name	Description	Field Type	Remarks
DP ID	Transferor Depository Participant ID	M, Mo	
BOID	Transferor Beneficiary Owner ID	M, Mo	
SEC. Reason	SEC Reason	M, Mo	
SEC Approval Date	SEC Approval Date	M, Mo	
DP ID	Transferee Depository Participant ID	M, Mo	
BOID	Transferee Beneficiary Owner ID	M, Mo	
Int. Ref. No.	Internal Reference Number	Mo	
Setup Date	Transaction Setup Date	R	

## Buttons Available

Name	Purpose	Hot Key
Commit	To commit the transaction details	Alt + O
Cancel	To cancel the Setup operation and return to the previous screen	Alt + C

On successful Transmission - Change of Ownership Request Setup, the Transmission - Sequence No. is generated and displayed to the user.

## 15.4.17 Transmission - Change of Ownership Inquiry

### Activation Options

Menu Name	Purpose	Hot Key
Transmission - Change of Ownership > Inquiry	To inquire details of Transmission - Change of Ownership Requests Setup	Alt + W > I



Figure 15.30 Screen for Online Transmission - Change of Ownership Request Inquiry

### Inquiry Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transmission Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>Transferor BO ID</li> <li>Transferee BO ID</li> <li>Setup Date From - To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

### Buttons Available

Name	Purpose	Hot Key
Ok	To execute the Inquiry with the selected criteria	Alt + O
Cancel	To cancel the Inquiry operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Transfer And Transmission - [Transmission Change Of Ownership Of Securities - (Inquire) - Online]

Main Menu

Transferor BO ID

Transferee BO ID

Setup Date From  To

Seq. No	Transferor DP ID	Transferor BO ID	Transferee DP ID	Transferee BO ID	Status
16	10000	1301000000001064	10100	1301010000000961	Accepted
17	10100	1301010000000996	10100	1301010000000961	Accepted
18	10100	1301010000001005	10100	1301010000000971	Accepted
19	10100	1301010000001013	10100	1301010000000988	Accepted
20	10100	1301010000001021	10000	1301000000000937	Setup
23	10300	1201030000001099	10100	1301010000000961	Accepted
24	10300	1201030000001104	10100	1301010000000988	Accepted

Select Cancel

Host Connection **Online** Workstation **Online** DP ID **10100** Login **ADMIN** 01-Oct-2002 10:27:56

Figure 15.31 Screen for Online Transmission - Change of Ownership Group Inquiry

### Buttons Available

Name	Purpose	Hot Key
Select	To execute the detailed Inquiry with the selected record	Alt + O
Cancel	To cancel the Inquiry operation.	Alt + C

Transfer And Transmission - [Transmission - Inquiry Online]

Main Menu

Transmission Seq. No.  Transaction Status **Approved**

**Transferor Details**

DP ID  Jaydeep Sawant

BO ID   Modi

SEC. Reason  REASON CODE 1 SEC Approval Date

**Transferee Details**

DP ID  Somnath Sawant

BO ID   Vipul

Int. Ref. No.  Setup Date

**Bulk Account Movement Details**

Sr.No.	ISIN	ISIN Description	Quantity	Remarks
1	SET000000001	Settlement Isin 10	55	
2	SETI400000001	Settlement Isin 4	300	
3	SETI500000008	Settlement Isin 5	150	
4	SETI700000004	Settlement Isin 7	Not Transferred	BO ISIN Account Does t

Host Connection **Online** Workstation **Online** DP ID **10100** Login **ADMIN** 01-Oct-2002 10:29:23

Figure 15.32 Screen for Online Transmission - Change of Ownership Details Inquiry

### Buttons Available

Name	Purpose	Hot Key
Close	To return to the previous screen	Alt + C

## 15.4.18 Transmission - Change of Ownership Approve

### Activation Options

Menu Name	Purpose	Hot Key
Transmission - Change of Ownership > Approve	To Approve Transmission - Change of Ownership Requests.	Alt + W > A

### Approve Selection Criteria

Selection Option	Fields	Selection Type
Seq No.	Seq No.	If selected, the Transmission - Change of Ownership Sequence Number needs to be specified
Group Criteria	<ul style="list-style-type: none"> <li>Transferor BO ID</li> <li>Date From To</li> </ul>	If From Date is specified, then To date is mandatory and vice versa. At least one of the criteria has to be chosen to perform a group criteria inquiry

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### Buttons Available

Name	Purpose	Hot Key
Reject	To Reject transmission request	Alt + R
Accept	To Accept transmission request	Alt + A
Close	To cancel the Approve operation and return to the previous screen	Alt + C

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. On selecting a record, the detailed inquiry on that specific request is displayed.

Figure 15.33 Screen for Online Transmission - Change of Ownership Request Approve

## 15.4.19 Acknowledgements (Transfer & Transmission)

### Activation Options

Menu Name	Purpose	Hot Key
Acknowledgements	To view the acknowledgements	Alt + K

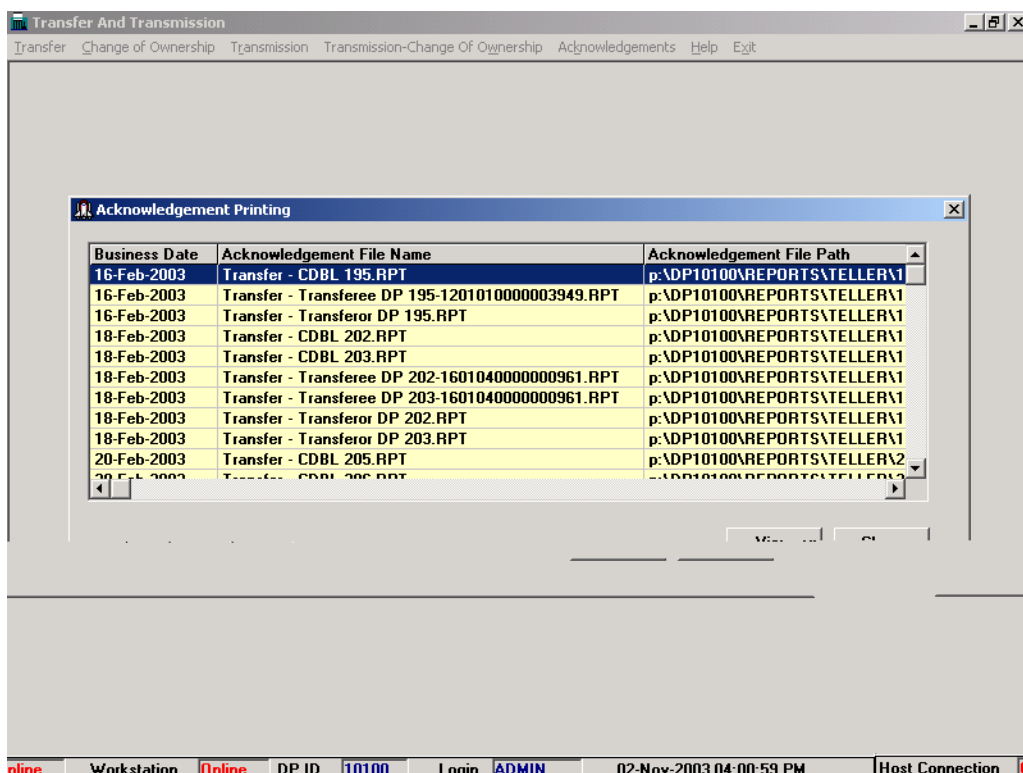


Figure 15.34 Screen for Viewing Acknowledgements

### Buttons Available

Name	Purpose	Hot Key
View	To View the selected acknowledgement.	Alt + V
Close	To close the window and return to the previous screen	Alt + C

## 15.5 Acknowledgements/Reports Available

### List of Acknowledgements

Acknowledgement Name	Availability
Transfer Setup	On successful Transfer/ Change of Ownership request setup or on successful Upload of Offline Transfer/ Change of Ownership requests
Transmission	On successful Transmission/ Transmission-Change of Ownership request approval
Failed Upload	On failure while uploading an offline transfer request

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### List of Reports

Report Name	Type	Availability
Transfer of Securities (Transferor DP) (DP38)	Default	EOD of Transfer Approval date
Transfer of Securities (Transferee DP) (DP81)	Default	EOD of Transfer Approval date
Transfer Of Securities (Change Of Ownership) -- Transferor DP (DP40)	Default	EOD of Transfer (Change Of Ownership) Approval date
Transfer Of Securities (Change Of Ownership) -- Transferee DP (DP98)	Default	EOD of Transfer (Change Of Ownership) Approval date
Transmission Of Securities (Transferor DP) (DP39)	Default	EOD of Transmission Approval date
Transmission Of Securities (Transferee DP) (DP41)	Default	EOD of Transmission Approval date
Transfer And Transmission Maintenance Log (DP58)	Default	EOD of Transfer/Change of Ownership modification/deletion