

Operating Instructions: Additional process

Order Entry:

Lumpsum Purchase Transactions: Payment mode as OTM

- Facility is provided in Manual Entry Page, Bulk Upload, IML and API to the members to enter the approved NACH/ENACH/Emandate id for Lumpsum orders.
- Members who wish to initiate the payment against the lumpsum purchase orders through OTM mode directly, may provide the Mandate Id during the order entry.
- In case the mandate as mentioned in the order is not approved, the system shall show an error as 'Mandate not approved'.
- In case the mandate id mentioned in the order is incorrect or not mapped to the client, then system shall show an error as 'Mandate ID does not exists'.
- If the details are correct, an Email and SMS shall be sent to the client with an authentication link with order details.
- Client will have to select the order for which the payment need to be initiated and approve the same.
- All the records for which the client has authenticated the payment, shall be sent for collection to the respective service providers
- Funds will be debited from the clients account as per the existing TAT and the transaction will be further processed as per the existing process.
- In case the client has not authenticated the payment within the TAT, such orders shall be autocancelled with remarks 'Payment not authenticated'

2 Factor Authentication :

Redemption/Switch/SWP Transactions:

- In case of Demat Redemption and switch, DIS slip shared by client to the depository shall be considered as authentication, hence a separate two factor authorisation from the client shall not be required.
- The Email and Mobile no. as registered in the UCC, shall be shared to the RTA.
- In case of Non-Demat transactions, two factor authentication shall be carried out on the contact details registered with RTA/AMC against the Folio.
- Members who are carrying out 2FA at their end, facility is given to the members in the order upload to mention the Email and Mobile Number on which the OTP for redemption and switch transactions has been sent by them to their respective clients.
- These Email and Mobile, thus received as a part of the order upload, shall be reported to RTA in the transaction feed file.
- RTA shall validate the details of email and mobile with the existing Folio and mismatch, if any, the redemption/switch transaction shall be rejected by the RTA.
- In case of SWP registration authentication shall be carried out for each transaction triggered from the system.

STP/ASTP Registrations :

- In case of Non demat STP registrations, two factor authentication shall be carried out for all transactions which shall be triggered from the system as per the registrations.
- In case of Non-Demat ASTP Registrations, two factor authentication shall be carried out at the registration level.
- Two factor authentication shall be carried out on the contact details registered with RTA/AMC against the Folio.
- In case the client has not authenticated the transactions, the same shall be autocancelled with remarks as 'AUTHENTICATION NOT RECEIVED'
- Members who are carrying out 2FA at their end, facility is given to the members to mention the Email and Mobile Number on which the OTP for STP registration has been sent by them to their respective clients.
- RTA shall validate the details of email and mobile with the existing Folio and mismatch, if any, the redemption/switch transaction shall be rejected by the RTA.

Reports :

The following new reports shall be made available in addition to the existing reports. The reports structures are attached as Annexure I

- Provisional Order
- Order Status
- Allotment Statement
- Redemption Statement
- Client Master Report
- STP Registration Report
- SWP Registration Report
- STP AMC Registration Report