

**Identity Verification with the Department for
Registration of Persons for the CDS Online
Account Opening Process**

**CDS – Guideline
(DRP)**

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**Identity verification with the Department for Registration of Persons for the CDS
Online Account Opening Process**

Verification of identity (verification against the original document) when onboarding non-face-to-face individual customers (natural persons) using the electronic interface provided by the Department for Registration of Persons (hereinafter referred to as DRP) has come into force **December 30, 2020** as per the FIU Guidelines.

<http://fiusrilanka.gov.lk/docs/Guidelines/2020/Guideline-03-2020.pdf>

Non-face-to-face interactions are considered to occur remotely, meaning the parties are not in the same physical location and conduct activities by digital or other non-physically presence.

The verification of identity with the DRP takes place only with the consent of the holder of the National Identity Card (NIC). This has been included under the general declarations in the online account opening application as follows.

1 General Declaration

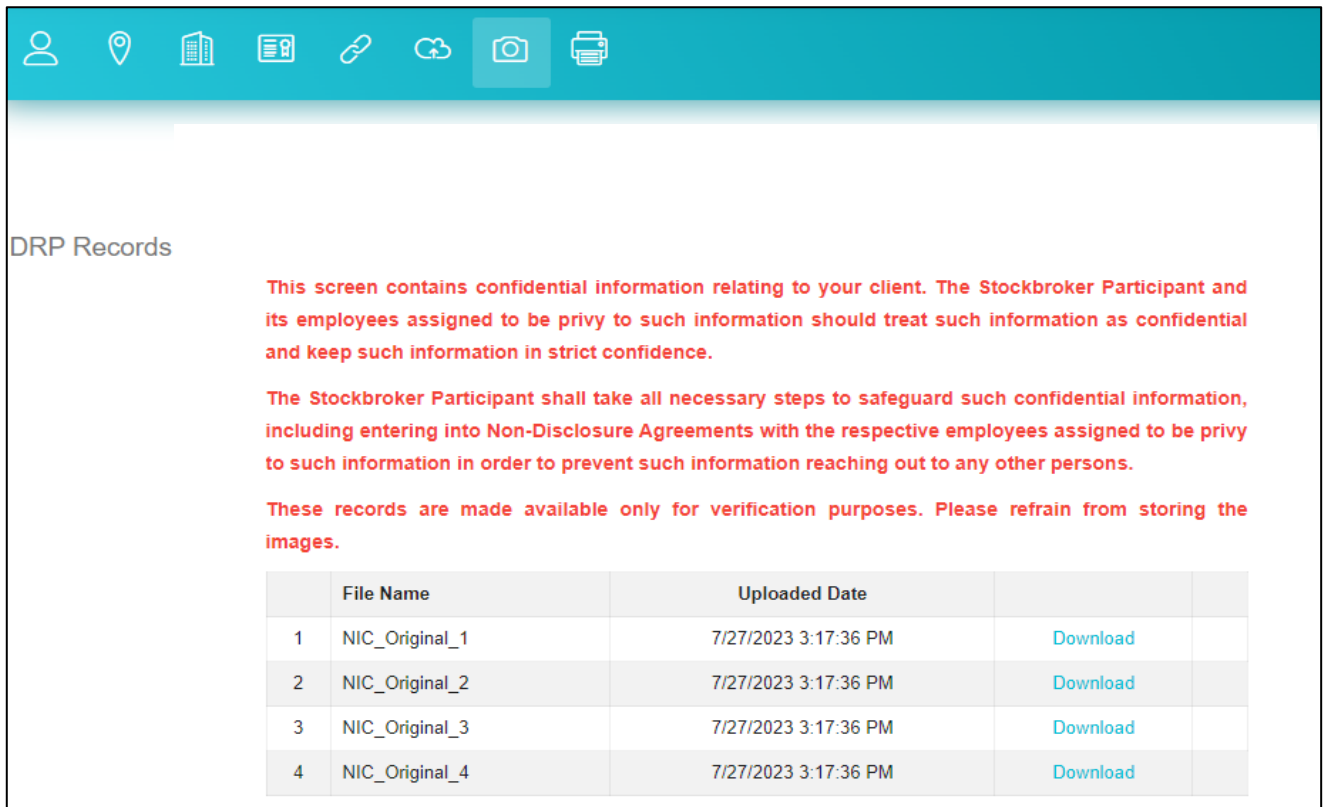
I give consent to and irrevocably permit CDS and my Stockbroker Participant through which my CDS Account is maintained, to verify with the Department for Registration of Persons and/or any third party/authority, the Know Your Customer information concerning me, including the particulars contained in my National Identity Card.

21. General Declarations

- a. I represent and warrant that I am not acting on behalf of or for the benefit of anyone else.**
- b. I agree to these Terms and Conditions and to be bound by CDS Rules and applicable Rules of the Colombo Stock Exchange, in terms of which my CDS Account will be operated.**
- c. I understand that irrespective of the method of opening my CDS Account, I will be a CDS Account Holder having a CDS Account maintained in CDS and for all other intends and purposes I shall have all the rights and obligations that are attached to any other person having a CDS Account maintained in CDS.**
- d. I give consent to and irrevocably permit CDS and my Stockbroker Participant through which my CDS Account is maintained, to verify with the Department for Registration of Persons and/or any third party/authority, the Know Your Customer information concerning me, including the particulars contained in my National Identity Card.**

When the applicant submits the online application via the CSE Mobile App, the application will be queued for the DRP verification.

The DRP system will extract images of the NIC details available. The tab named “**DRP Records**” in the online account opening application, will indicate all the records available with the DRP system.



Information of certain Identity cards issued **from 01.01.2007 to 28.02.2014** has been computerized and issuance of National Identity Cards by a computerized system was initiated **after 28.02.2014** by the DRP.

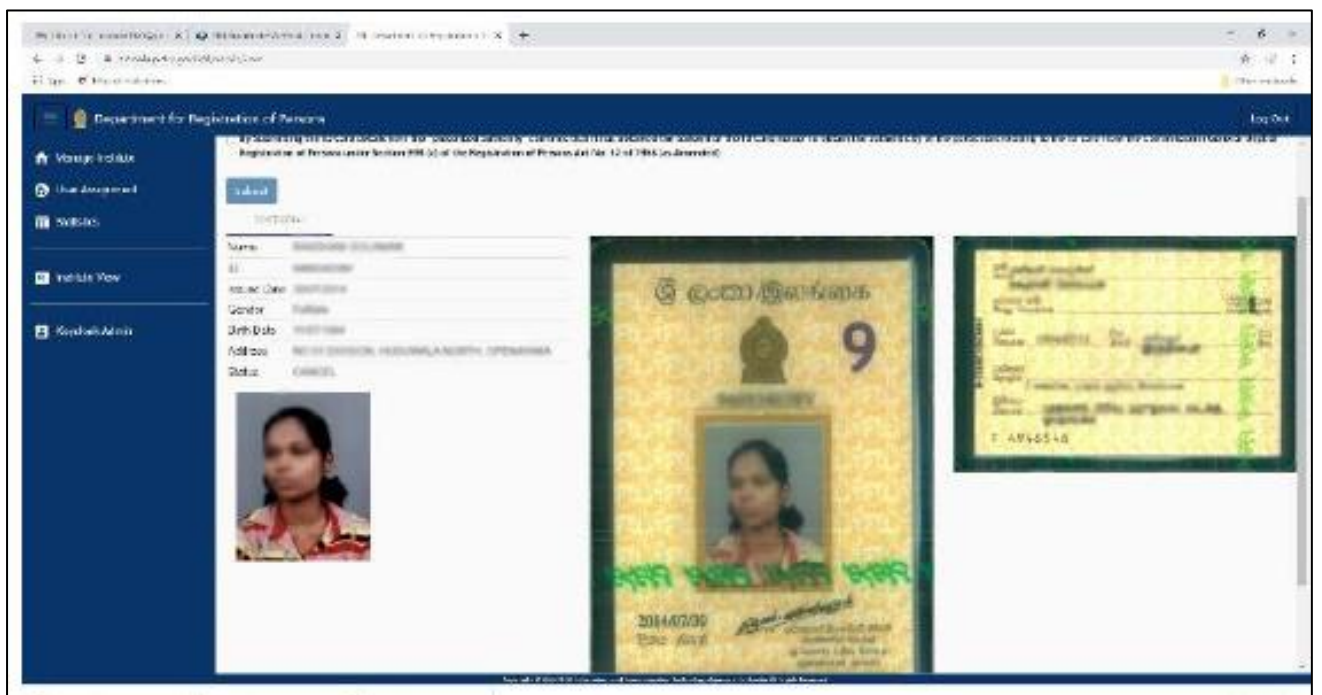
2 NIC Records Types

The types of NIC records maintained by the Department are as follows. (Please note that all the screenshots were extracted from the guideline shared by the **Department for Registration of Persons of Sri Lanka**)

01) Computer Records

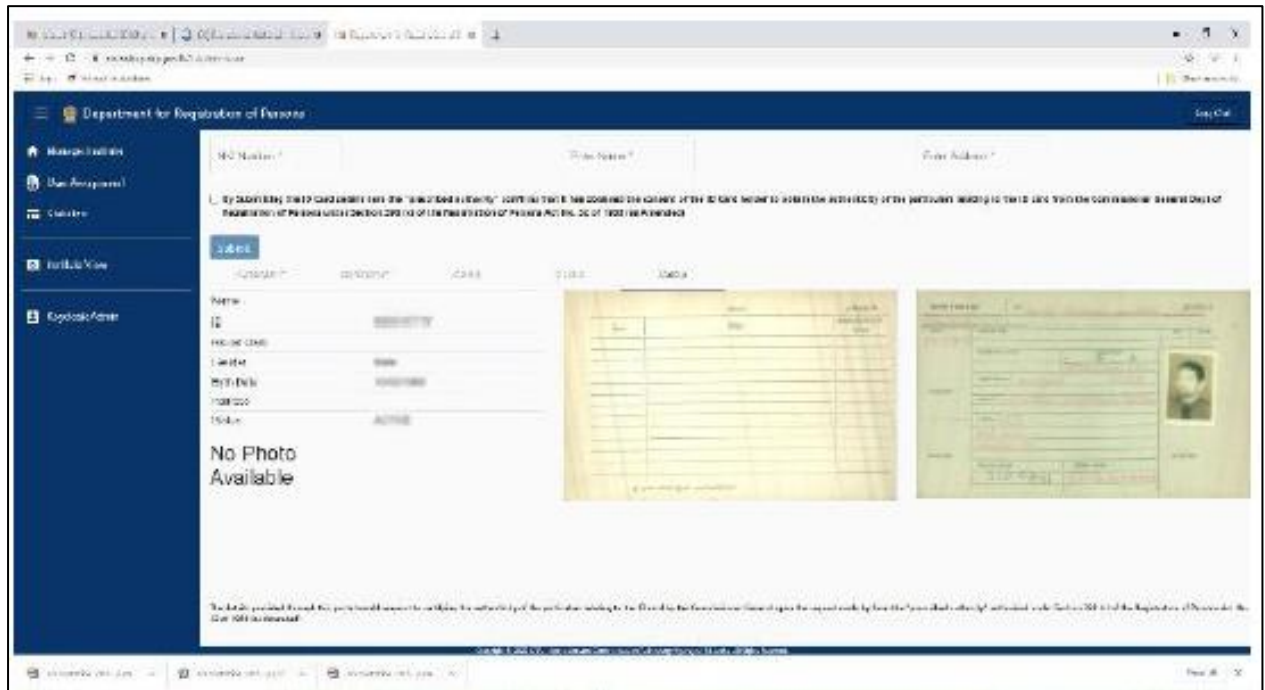


02) A scanned copy of the identity card



03) Index

Indexes of certain identity cards issued during the period **from year 1972**, the year in which the Department was formed, to **01.01.2007** were scanned and included into the computer system of the Department as index images.



This service directly certifies computerized information available in the DRP pertaining to the number of the Identity Card applied for, by the online methodology. Following results can be received and it is expected to take decisions based on such results. The DRP only provides a guideline on the conclusions to be arrived at, on the nature of information presented. Those guidelines are as follows:

3 Conclusions to be made by the user based on verified personal data

This service directly certifies computerized information available in the Department pertaining to the number of the Identity Card applied for, by online methodology. Following results can be received there and it is expected to take decisions for the prescribed authority based on such results. Prescribed authorities are responsible for the decisions so taken and the **Department will only provide a guideline** on the conclusions to be arrived at on the nature of information presented.

Those guidelines are as follows:

| S/No | Result | Conclusion to be arrived at by the relevant authority | Further action to be taken by the relevant authority |
|------|---|---|--|
| 01. | A computer record with respect to the submitted National Identity Card (NIC) Number, a scanned copy of the NIC and the relevant Photograph | An acceptable personal record | Eligible for the service |
| 02. | A computer record with respect to the submitted NIC Number and a scanned copy of the NIC (without relevant Photograph) | An acceptable personal record | Eligible for the service |
| 03. | A computer record with respect to the submitted NIC Number (Without a scanned copy of the NIC and relevant Photograph) | An acceptable personal record | Eligible for the service and subsequently, direct the beneficiary to DRP, with NIC and original Birth certificate, to get the NIC scanned into the system. |
| 04. | More than one computer record with respect to the submitted NIC Number consisting of similar personal information | An acceptable personal record | Eligible for the service |
| 05. | One index or scanned copy of NIC with respect to the submitted NIC Number | An acceptable personal record | Eligible for the service |
| 06. | Two or more indexes or scanned copies of the NIC, with respect to the submitted NIC Number, consisting of personal information of the same person. | An acceptable personal record | Eligible for the service |
| 07. | A computer record, with respect to the submitted NIC Number, with one or more cancelled records | An acceptable personal record | Eligible for the service |
| 08. | One index with more than one computer records, with respect to the submitted NIC Number, through which, the identity of same person could get confirmed | An acceptable personal record | Eligible for the service |
| 09. | Two or more computer records/ indexes, with respect to the submitted NIC Number, consisting of personal information of different persons | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |

| | | | |
|-----|---|--|--|
| 10. | One index or more than one index, with respect to the submitted NIC Number, with personal information through which, the identity of same person could not be confirmed | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |
| 11. | Submitted Identity Card Number is incorrect. No records found | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |
| 12. | Submitted Identity Card Number is incorrect. A cancelled record available. | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |
| 13. | Submitted Identity Card Number is incorrect. A non-cancelled record available. | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |
| 14. | Beneficiary has cancelled computer record /index, with respect to the submitted NIC Number | Identity of the person cannot be confirmed | Inform beneficiary to get the NIC amended with a new application through Grama Niladhari |
| 15. | No record available with respect to the submitted NIC Number | Identity of the person cannot be confirmed | Verify information by emailing copies of the Birth Certificate and Identity Card, with respect to the submitted NIC Number, to Number Verification Division of DRP |
| 16. | Submitted NIC Number is a Blacklisted NIC number | Identity of the person cannot be confirmed | Inform beneficiary to be present at the legal Division of DRP |

- ❖ If results **1-8** indicated in the above table are derived, the Participant can proceed with the online account opening application.
- ❖ If results **9-16** indicated in table are derived, please take the actions accordingly as instructed in the respective “**Further action to be taken**” column.

4 Information on Coordinating Officers

Information of Coordinating Officers in the Department of Registration of Persons to be contacted in case of issues arisen in the service of providing personal data by online methodology is as follows.

For legal issues pertaining to Identity Cards:

Head of the Branch–Legal Division

Telephone No.- 0112 862449

E-mail- sa_legal@drp.lk

For issues pertaining to Identity Card information:

Head of the Branch–Number Verification Division

Telephone No.- 0115 226164

E-mail- sa_du@drp.lk

A major responsibility of the users of the e connect (CDS Participants) is **to use Personal data received by this service only for the agreed purposes and should in no way, be kept stored.**

DRP Records

This screen contains confidential information relating to your client. The Stockbroker Participant and its employees assigned to be privy to such information should treat such information as confidential and keep such information in strict confidence.

The Stockbroker Participant shall take all necessary steps to safeguard such confidential information, including entering into Non-Disclosure Agreements with the respective employees assigned to be privy to such information in order to prevent such information reaching out to any other persons.

These records are made available only for verification purposes. Please refrain from storing the images.

| | File Name | Uploaded Date | | |
|---|----------------|-----------------------|--------------------------|--|
| 1 | NIC_Original_1 | 10/2/2023 12:35:15 PM | Download | |
| 2 | NIC_Original_2 | 10/2/2023 12:35:15 PM | Download | |
| 3 | NIC_Original_3 | 10/2/2023 12:35:15 PM | Download | |
| 4 | NIC_Original_4 | 10/4/2023 2:50:48 PM | Download | |
| 5 | NIC_Original_5 | 10/4/2023 2:50:48 PM | Download | |
| 6 | NIC_Original_6 | 10/4/2023 2:50:49 PM | Download | |

Is KYC Checked

Due to any reason between 9-16 indicated in the above table, if the broker required to return the application back to the investor, then the broker required to “✓” the option Re – checking the NIC from the DRP system.

The screenshot shows a web application interface with a sidebar on the left and a main content area on the right. The sidebar contains the following sections:

- Client Search**
 - Existing Prefix: _____
 - Master File Status: _____
 - Broker Level S: _____
- Client not identified in the UN Sancti**
- Broker Decision**
 - Return To Investor
 - Acco

The main content area displays a list of reasons for return, each with an unchecked checkbox:

- One or more cancelled records exist. Please refer to the Number verification Division of DRP
- Different personal information pertaining to the NIC. Please refer to the Number verification Division of DRP with a new application through the Grama Niladhari
- An incorrect NIC no. Please refer to the Number verification Division of DRP with a new application through the Grama Niladhari
- Others

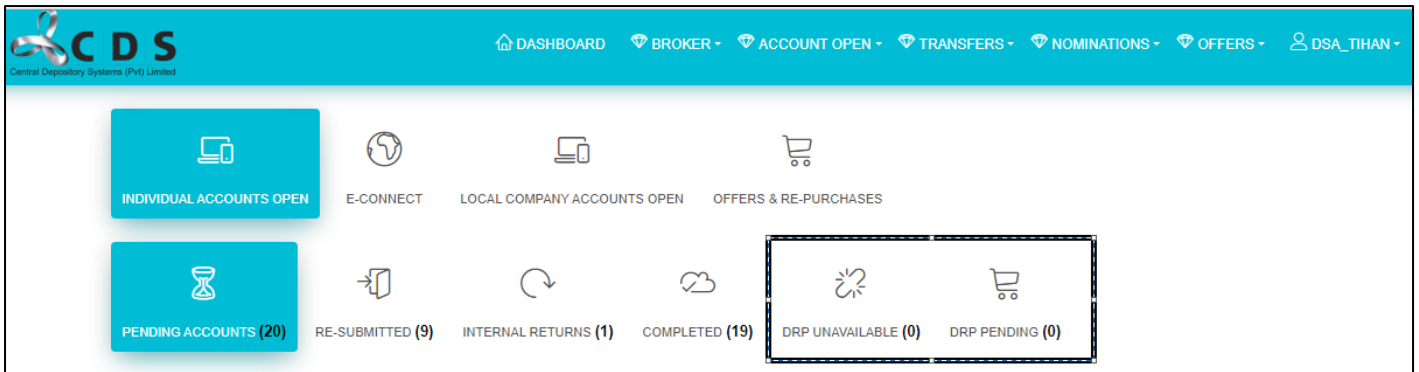
The option **Re-check the NIC from Department for Registration of Persons System.** is highlighted with a red box. At the bottom right, there are two buttons: **RETURN** (in a blue box) and **CLOSE** (in a grey box).

When the broker “✓” the option, once the investor re - submit the application to the broker, then the application once again will go through the DRP verification process and recheck with DRP data base.

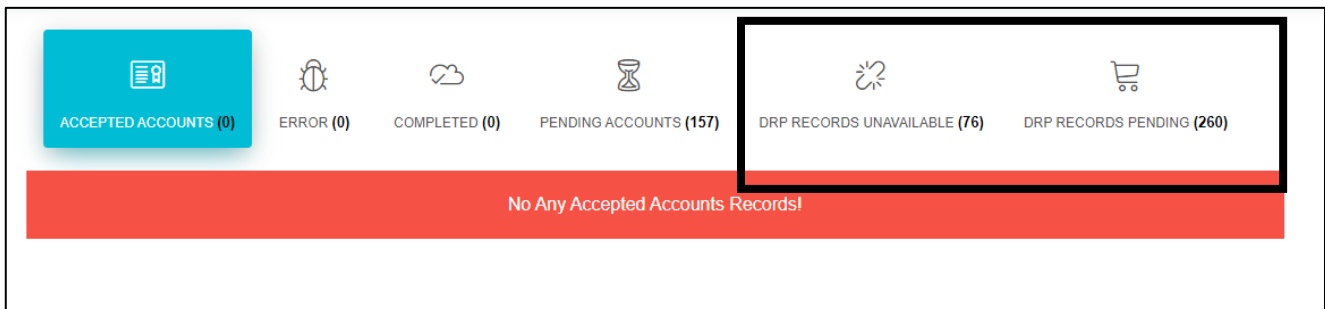
5 Accessing to DRP Records – Stockbrokers

The verify user of the broker firm can access to the pending DRP records and to the DRP records which are unavailable through the **Dashboard** of the CDS e connect by selecting either “DRP Records Unavailable” or “DRP Recordings Pending” accordingly.

Verify User’s Screen



Authorize User’s Screen -



Account Inquiry Screen

Stockbrokers have access to three [3] search types at the account opening request inquiry search screen named “**DRP Records Unavailable, DRP Records Pending and DRP Records Errors.**”

ACCOUNT OPENING REQUEST INQUIRY SEARCH

Mobile No _____ NIC _____ Email _____

Name _____ Submitted Date _____ Search Type
YYYY/MM/DD

Reference No _____ CDS Account Number _____

Broker Firm
--- Select ---

SEARCH RESET

--- Select ---
Incomplete Applications
Pending Accounts
Accepted Accounts
Returned
Re-Submitted
Internal Return
Authorized
Parked
Completed
Error
Already Registered
Rejected
DRP Records Unavailable
DRP Records Pending
DRP Records Errors

DRP Records Unavailable

This means that there are **no records available** in the DRP system for the applicant’s NIC. In this scenario, the stockbroker must adhere to the instruction given in the above table (scenario No 15) and instruct their client to act accordingly.

DRP Records Pending

This means records have not been checked yet and it will be processed shortly.

DRP Records Errors

An error may occur if there is a missing/incomplete detail with regards to name, NIC number or address in the online application submitted.

6 Reference

- 01) “Online Methodology for Certifying Information Pertaining to National Identity Cards”
by Department for Registration of Persons, Suhurupaya, Sri Subhuthipura Road,
Battaramulla, Sri Lanka.