CDS e - connect Guideline – Wealth Managers and Custodian Banks

October – 2023

Central Depository Systems (Pvt) Limited

CONVENIENT : DEDICATED : SECURE

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1 CDS E Connect

1.1 Connecting to the CDS E Connect

- Wealth Managers and Custodians shall obtain the E-connect facility by submitting the duly filled CDS 29B form along with a Board resolution.
- Users will need a currently supported Google Chrome or Firefox Web browser.
- The Portal can be accessed through the https://econnect.cse.lk/LoginPageUI.aspx
- Portal access will **ONLY** be available for the users who are authorized by the CDS.

1.2 User Registration

- Usernames and passwords should be obtained from the CDS, by submitting a duly completed CDS 32A form.
- The form should be submitted individually for each user.
- Relevant forms can be downloaded from http://www.cds.lk/cds_forms.php
- Upon verification, that the form is duly completed, the CDS will issue a username and password for the user.

1.3 User Type Privileges

1.3.1 Verify User

1. View only access.
2. Accept the documents and refer them to authorized user for authorization.
3. View & accept the resubmitted records.

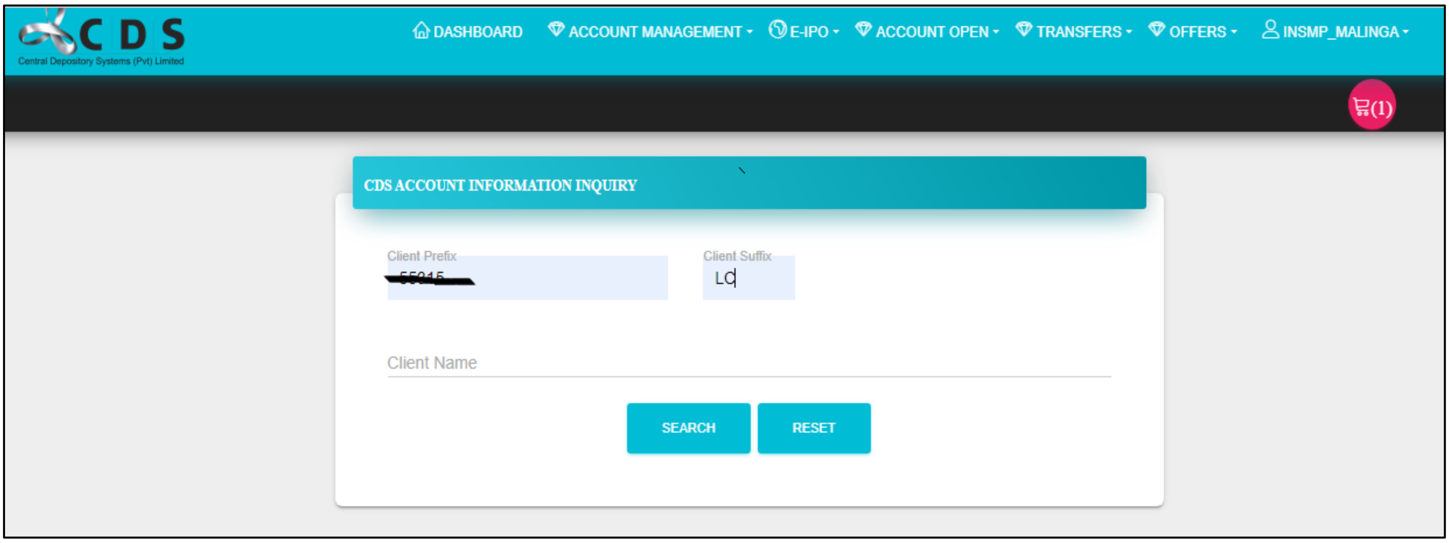
1.3.2 Authorized User

1. View records accepted by verify user.
2. Authorize the records accepted by verify user or return them back to verify user for further action.

2 Features Available for "Verify User"

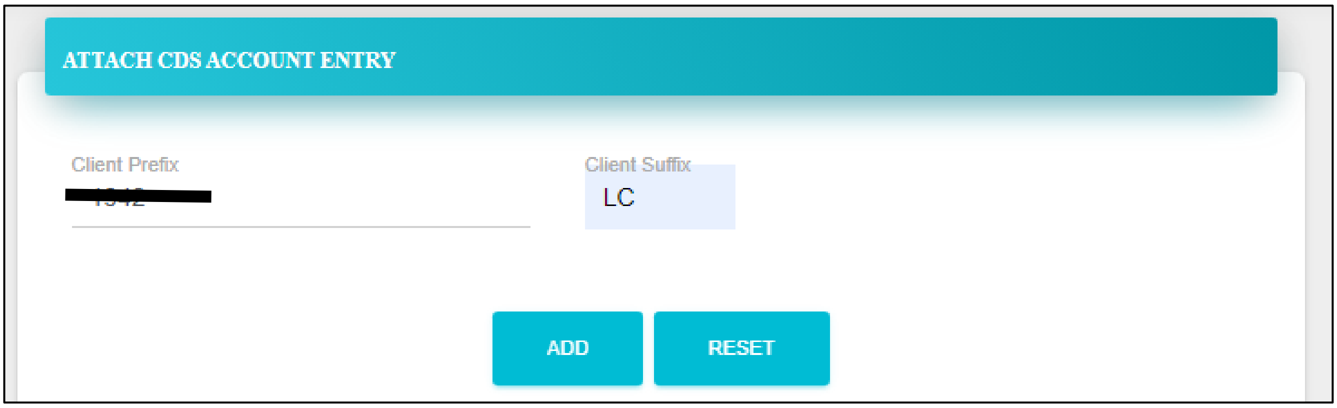
2.1 Add new CDS accounts (clients) to the System

With this feature, users can attach new client accounts into the system where the Custodian banks possess a valid **Power of Attorney** to operate the CDS account.



Go to "**Account Management**" and select "**Attach CDS Accounts**"

Then update the "**Client Prefix and Client Suffix**" in the relevant fields and click "**Add**".



2.2 CDS Account profile

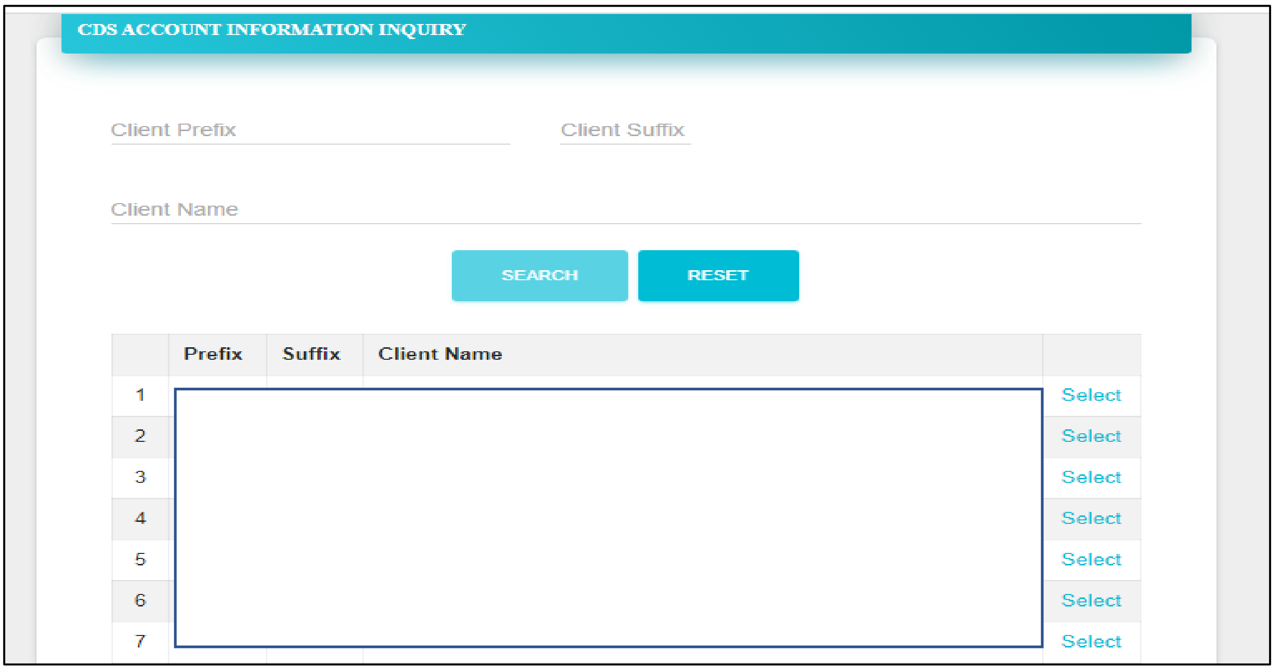
Using this feature, a user can view a detailed profile information of an attached CDS accounts.

Go to "**Account Management**" and select "**CDS Account Profile**"

If the user entered a "**Client Prefix**" and "**Client Suffix**" and run a search, then the user can see the CDS account applicable **only** to that Client Prefix and Client Suffix.

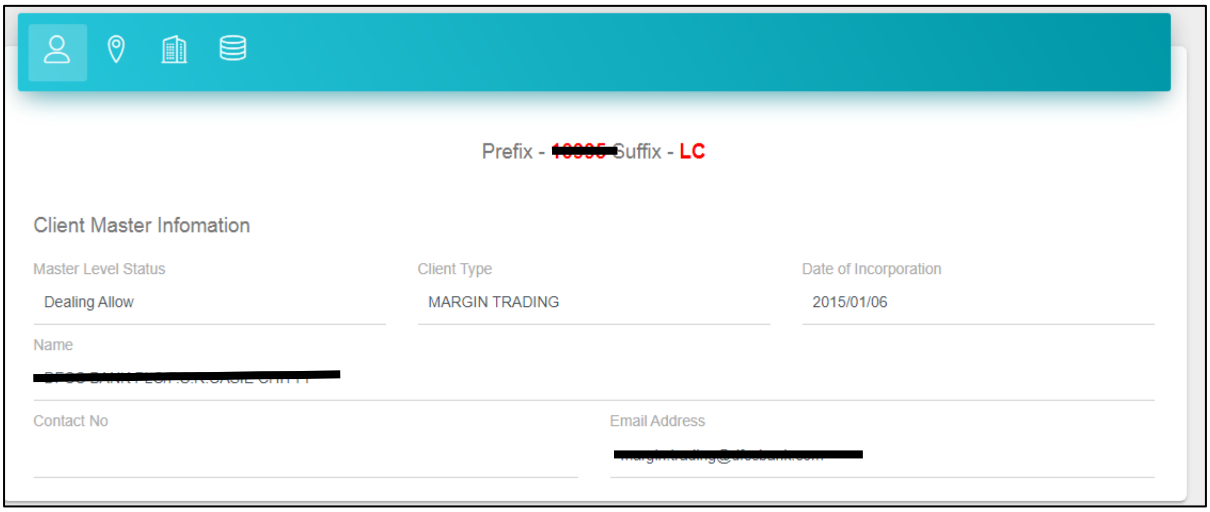
External

If the user does a general search without entering any Client Prefix and Client Suffix, then the user can see all the CDS account attached into the system and from the list the user can select the needed account.

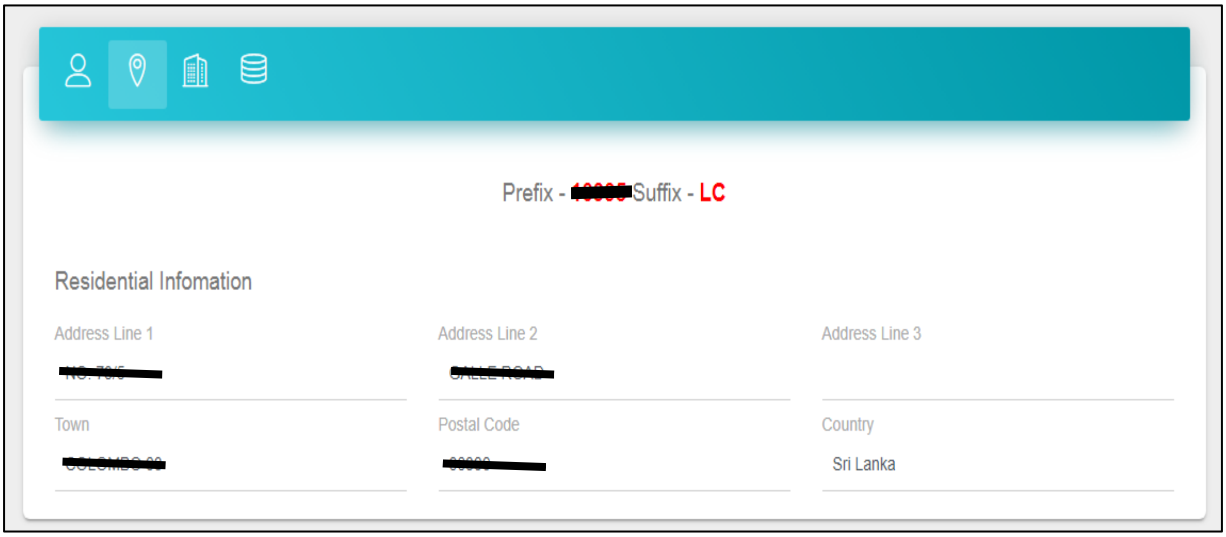


After “Select” a client account, the following 4 tabs can be viewed by the user.

- Master Information of the client



- Residential Information



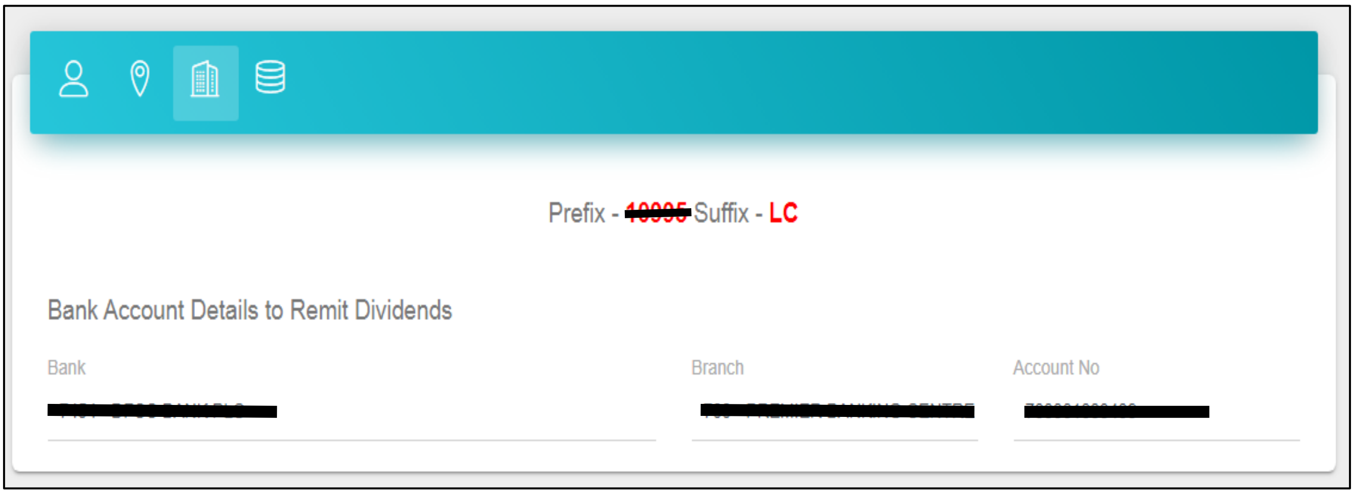
Prefix - [redacted] Suffix - LC

Residential Infomation

Address Line 1	Address Line 2	Address Line 3
[redacted]	[redacted]	

Town	Postal Code	Country
[redacted]	[redacted]	Sri Lanka

- Bank Account Details

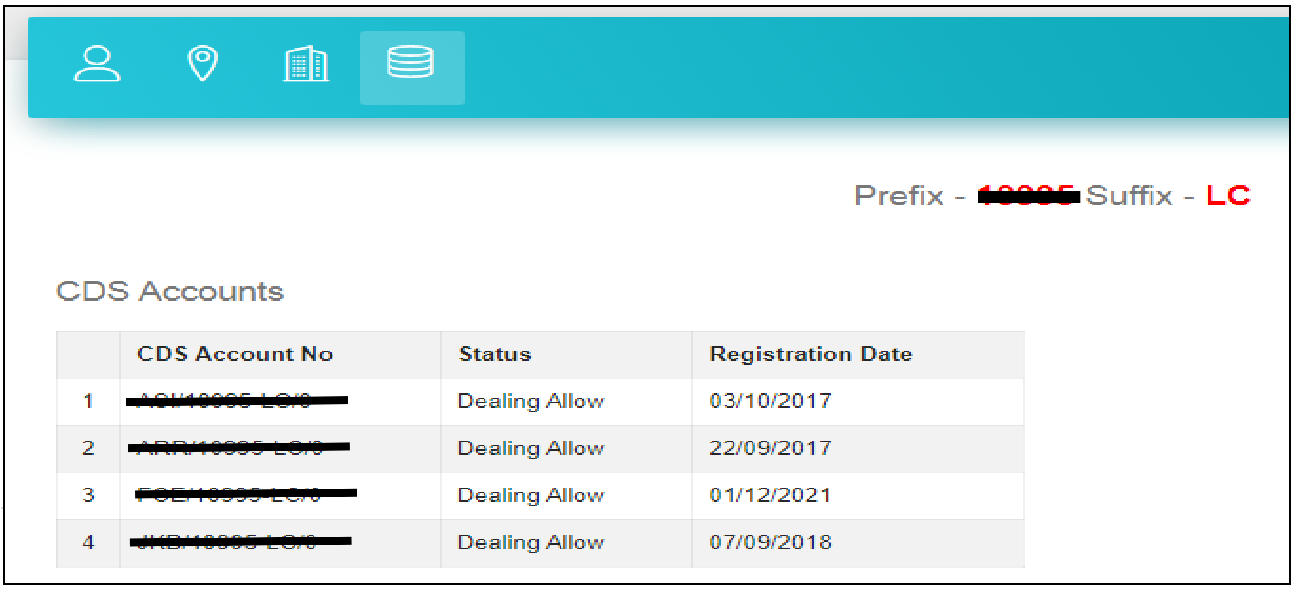


Prefix - [redacted] Suffix - LC

Bank Account Details to Remit Dividends

Bank	Branch	Account No
[redacted]	[redacted]	[redacted]

- CDS Account Registered



Prefix - [redacted] Suffix - LC

CDS Accounts

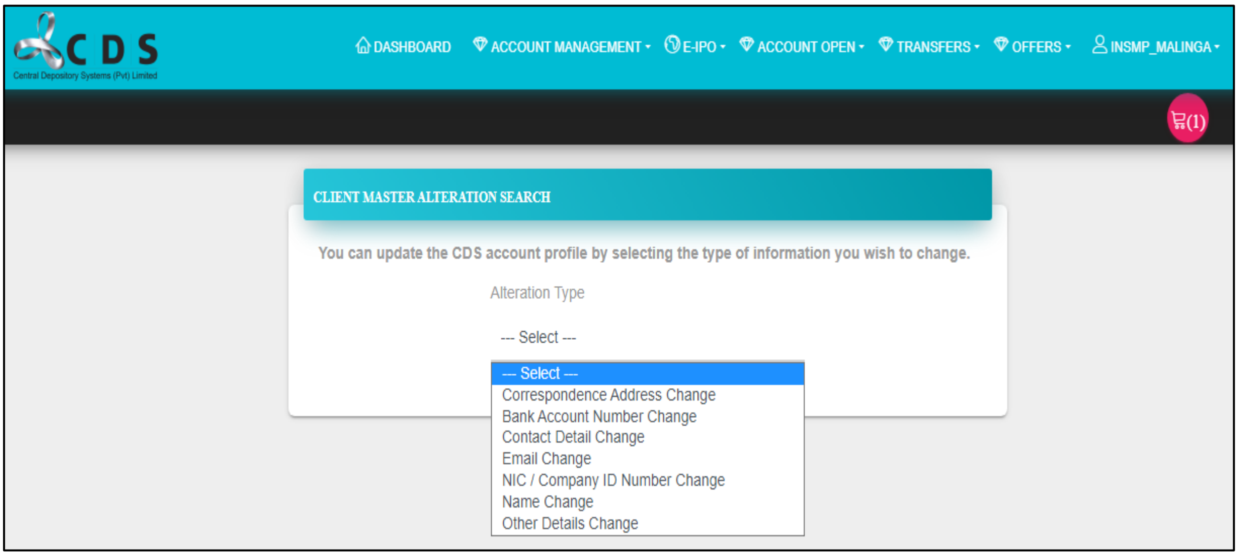
	CDS Account No	Status	Registration Date
1	[redacted]	Dealing Allow	03/10/2017
2	[redacted]	Dealing Allow	22/09/2017
3	[redacted]	Dealing Allow	01/12/2021
4	[redacted]	Dealing Allow	07/09/2018

2.3 Update Account Profile

Using this feature, users can update/change any information in the client profile.

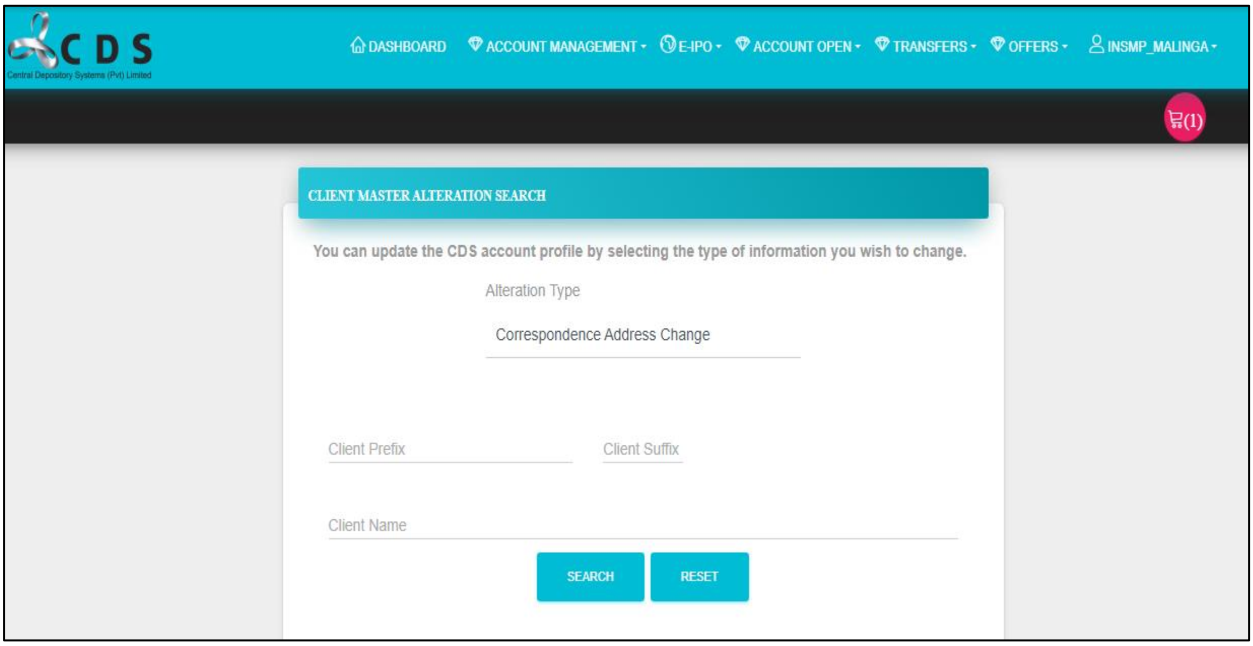
Go to “**Account Management**” and select “**Update Account Profile**”

From the drop-down menu, user need to first select the type of information that need to be changed.

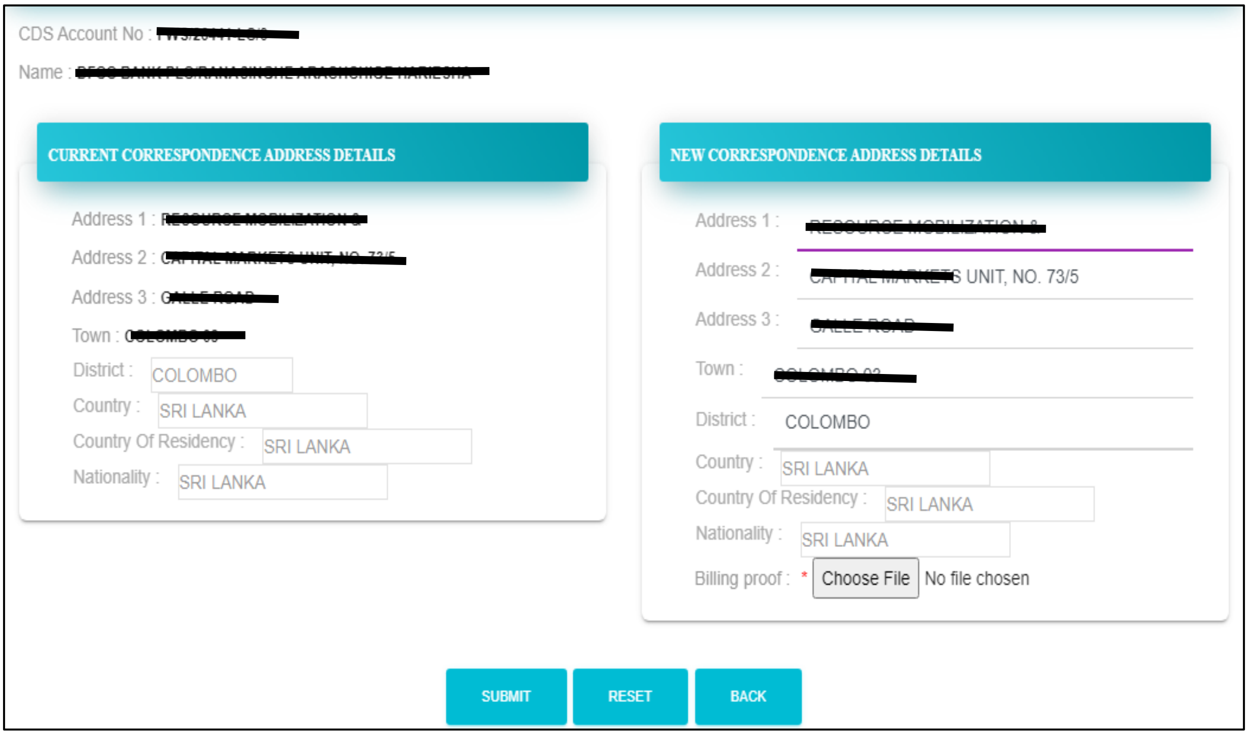


In the below window users can either enter the relevant “**Client Prefix and Client Suffix**” of the relevant client account or do a general search and then select the required client account.

Example – Changing the Correspondence address change



External



In the above, left hand side indicates the existing address of the client within the system and users need to change the required fields from the right-hand side panel and if it is a completely new entry it can be done as well.

Once the user clicks the “Submit” this will automatically lead to the Authorize User of the wealth manager/custodian for the approval and once the Authorize user approve it, then it will direct to the relevant broker for the approval. Once the stockbroker approves it then it will come to the CDS to update the system.

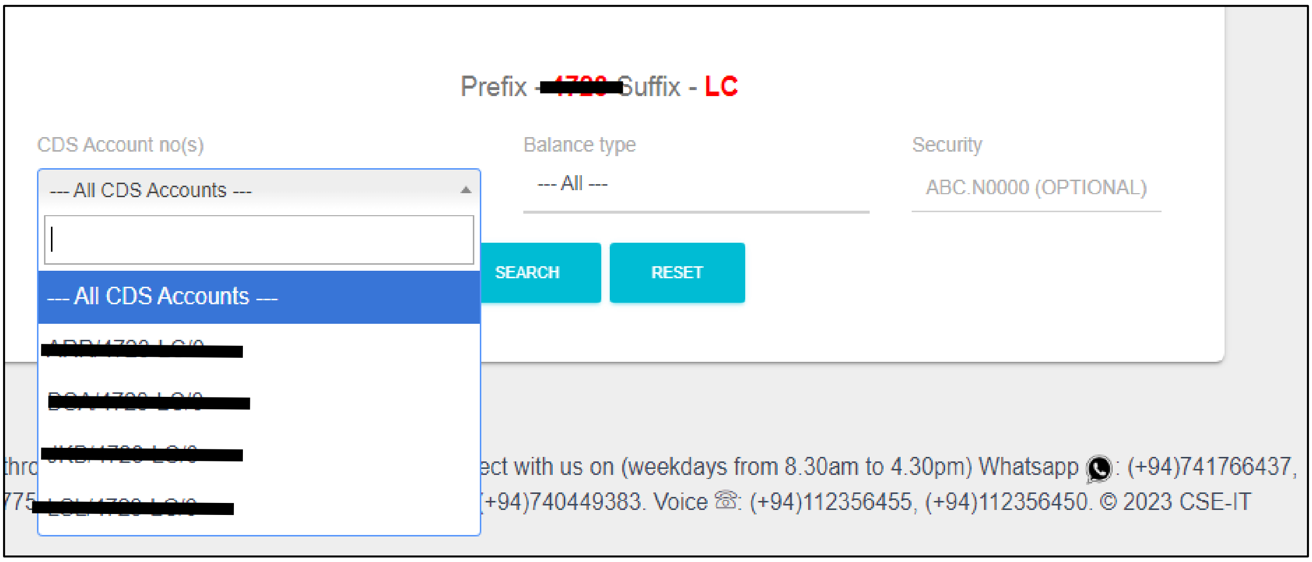
2.4 CDS Account Balance

With this feature, the users can search the available balance of a client account.

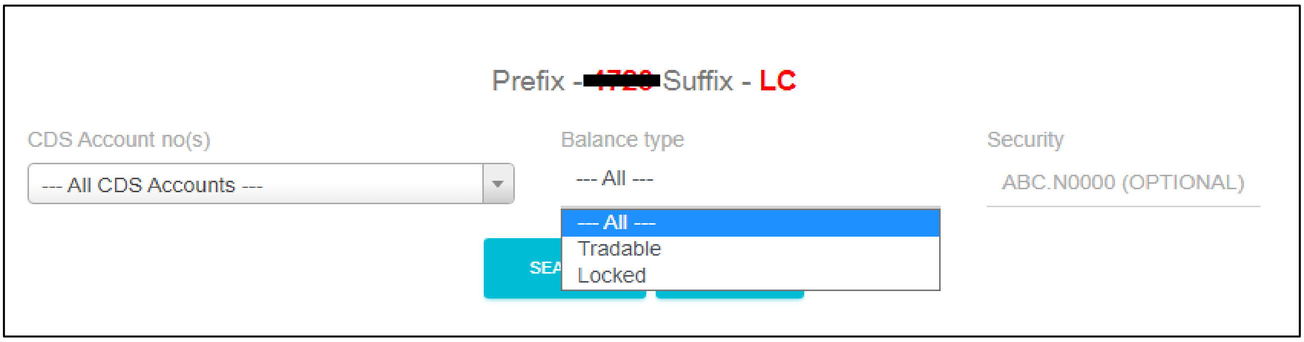
In this window users can either enter the relevant “**Client Prefix and Client Suffix**” of the relevant client account or do a general search and then select the required client account.

User can search selecting the **relevant CDS Account Number** or **All CDS accounts** under the client.

If the user needs to search the balance of a specific “**Security**”, then the user can type the required security and continue the search.



Based on the requirement user can select balance type required.

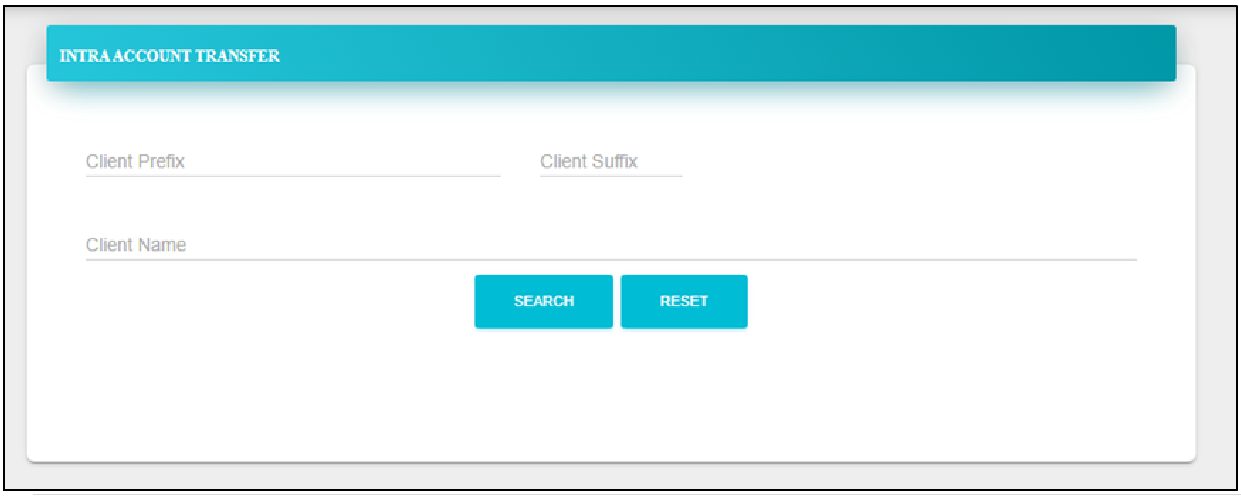


2.5 Intra Account Transfer

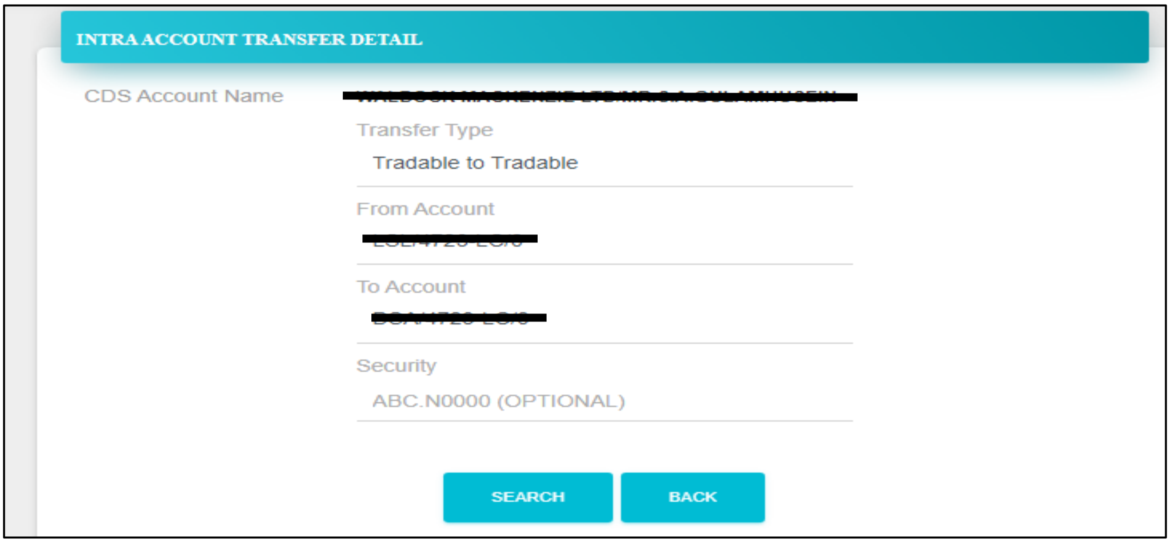
Using this feature users can transfer securities of the client accounts from one broker to another.

Go to "**Account Management**" and select "**Transfer Securities**"

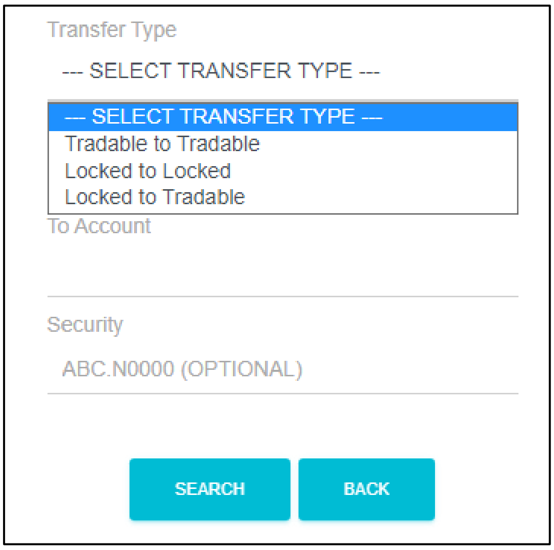
In this window users can either enter the relevant "Client Prefix and Client Suffix" of the relevant client account or do a general search and then select the required client account.



Users need to update each field as required and submit



In here users need to select the "Transfer Type" from the drop-down menu available.



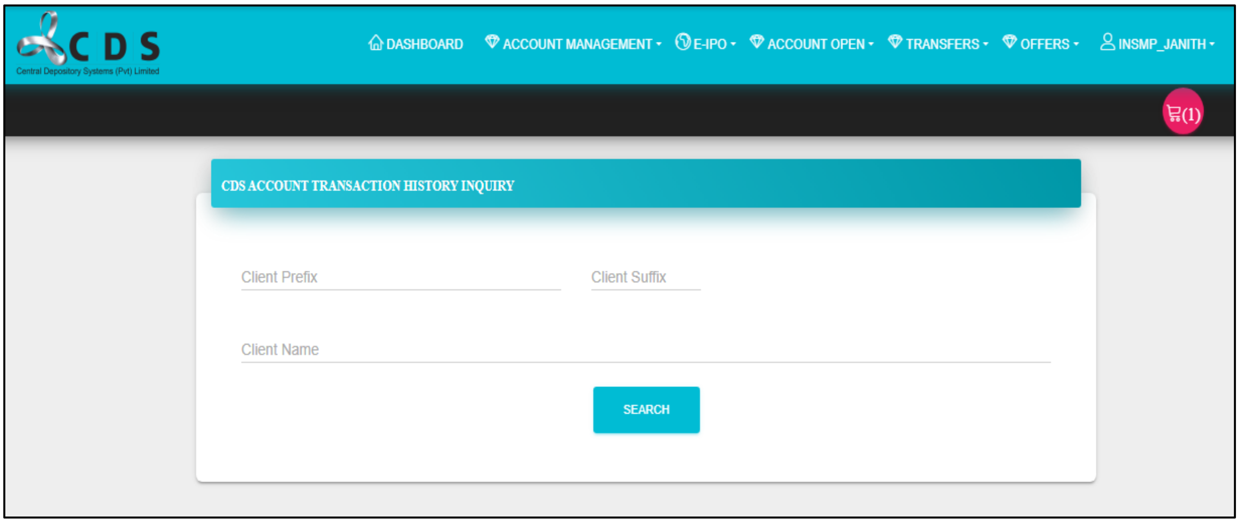
Once the user clicks the "**Submit**" this will automatically lead to the Authorized User of the wealth manager/custodian for the approval and once the Authorized user approves it, then it will direct to the relevant brokers for the approval. Once the stockbroker approves it then it will come to the CDS to update the system.

2.6 Transaction History

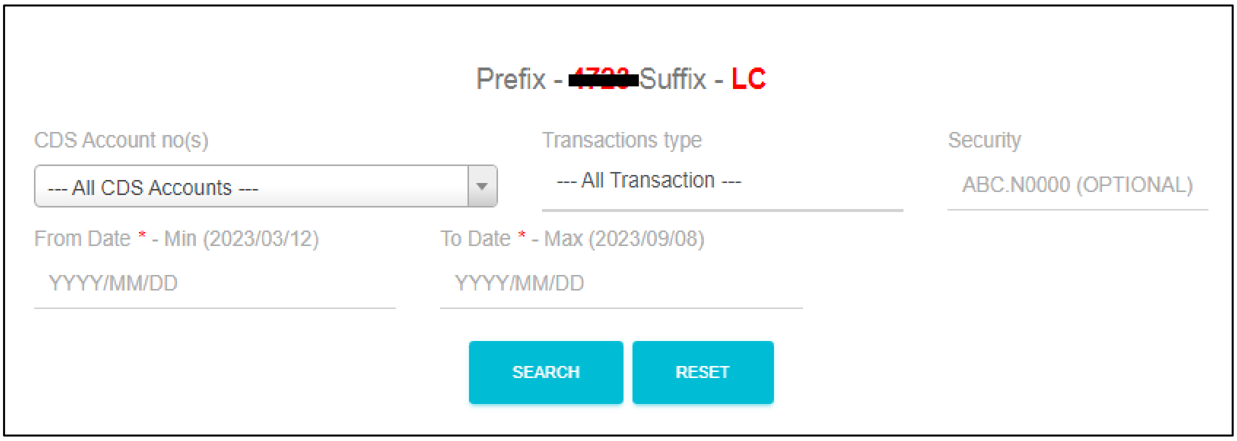
Using this feature users can search up to 180 days of transaction history of a particular client account.

Go to "**Account Management**" and select "**Transaction History**"

In this window users can either enter the relevant "Client Prefix and Client Suffix" of the relevant client account or do a general search and then select the required client account.

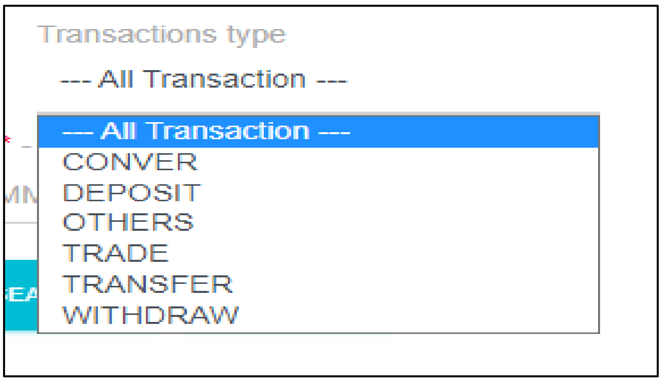


Using the below window users can search the required transaction history information of a client.



This facility allows users to search transaction history of a user account in terms of the following transaction types

- Deposits
- Transfers
- Withdrawals
- Trade
- Conversions

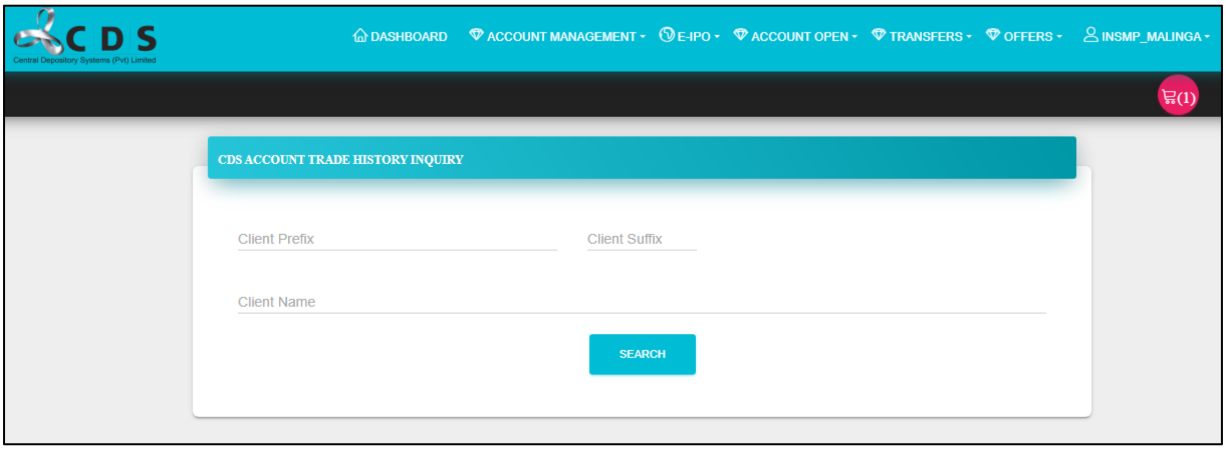


Note: Search information available only up to **180 days**

2.7 Trade History

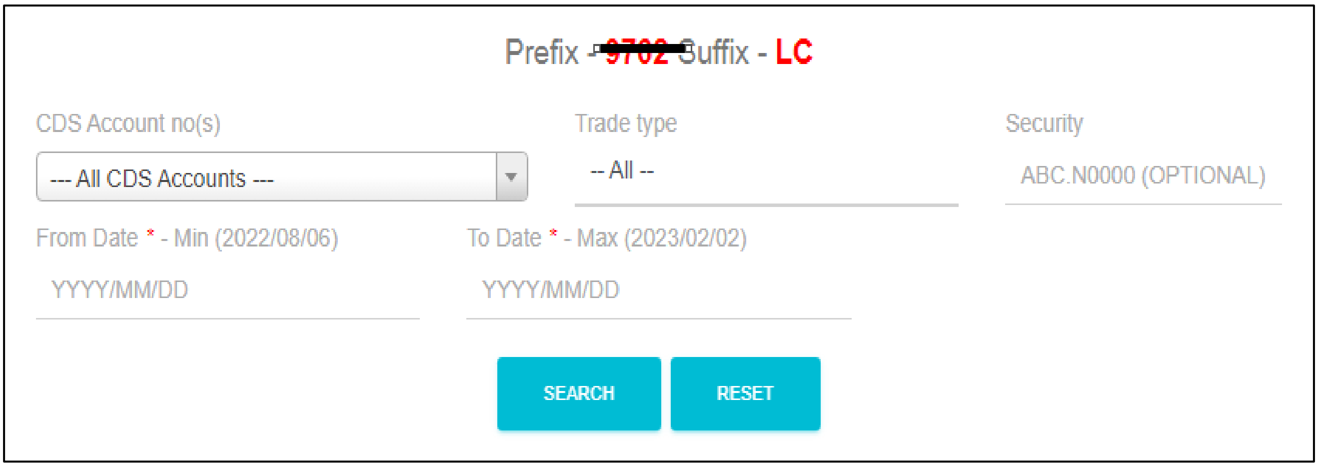
Using this feature, users can view/search trade history (**Only buy or sell**) of a security of the client accounts attached into the system.

Go to "**Account Management**" and select "**Trade History**"



In this window users can either enter the relevant "Client Prefix and Client Suffix" of the relevant client account or do a general search and then select the required client account.

Using the below screen, users can search the required trade history information of a client by selecting the CDS Account number, Trade Type (sale or purchase) and the relevant period.

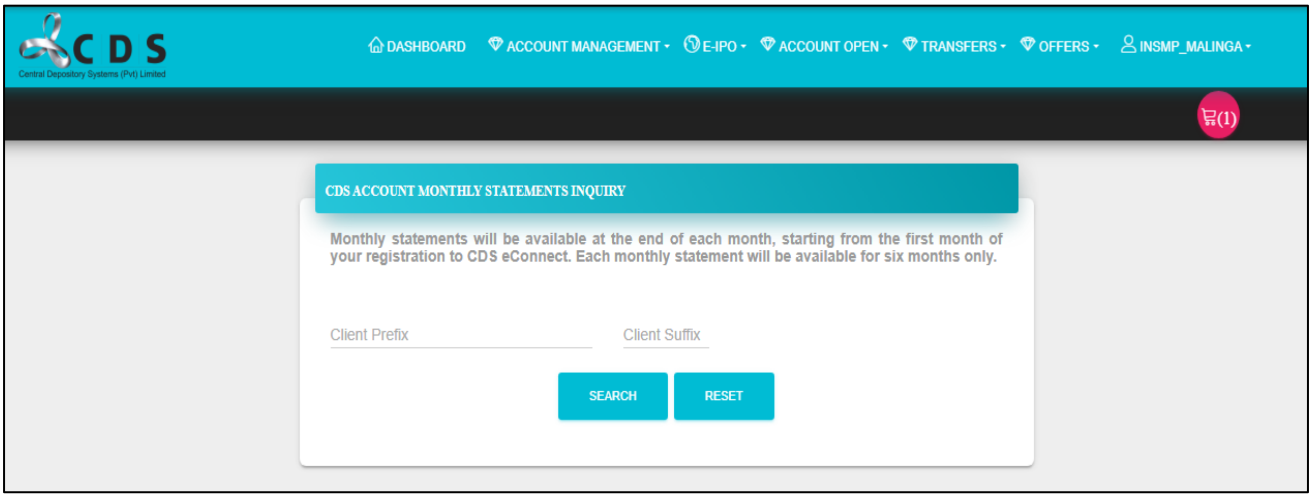


2.8 Monthly Statements

Using this feature, users can view the monthly statements of the client accounts.

Go to "**Account Management**" and select "**Monthly Statements**"

In this window users can either enter the relevant "Client Prefix and Client Suffix" of the relevant client or do a general search and then select the required client account.

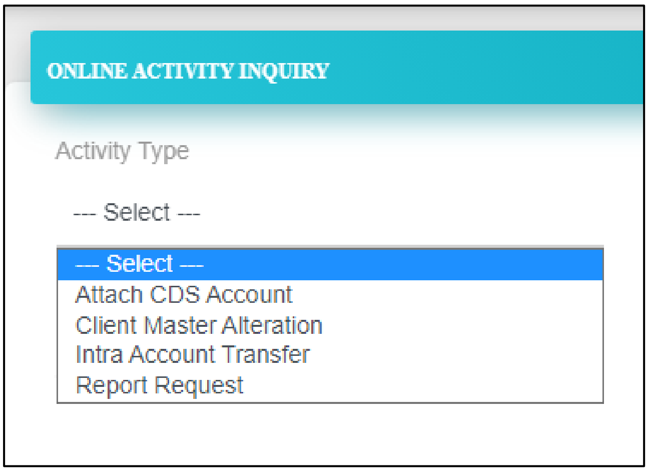


2.9 Online Activity

Using this feature, users can check the current status of activities such as “Masterfile Changes, Intra Transfers, Adding new CDS accounts and Report requests.

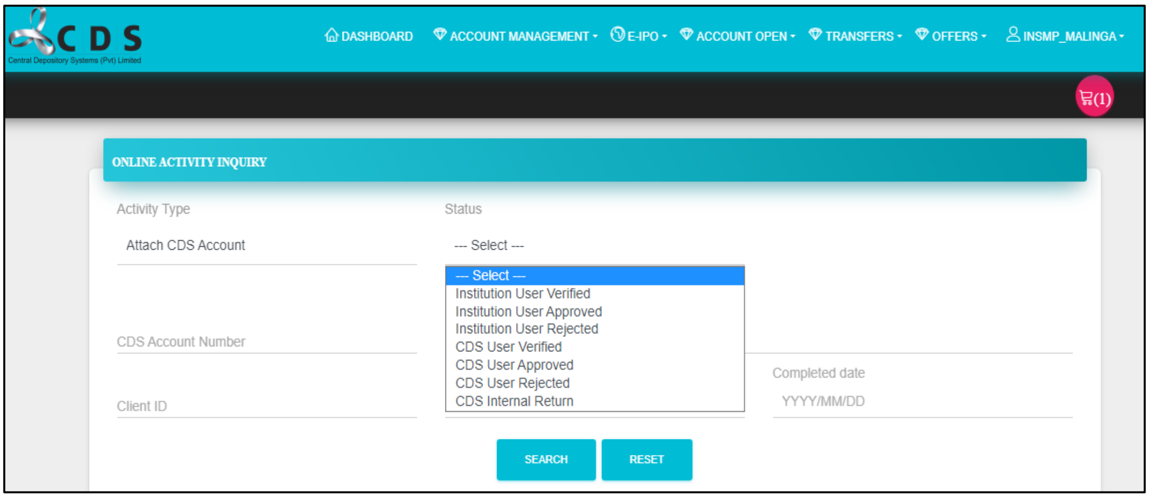
Go to “**Account Management**” and select “**Online Activity**”

In here, users first need to select the relevant “Activity Type” from the drop-down menu



Under each “**Activity Type**” there are several types of “**Status**” are available and based on the requirement users can select and can run a search. Then all the CDS account fallen into the search criteria of “**Activity Type**” and “Select” will display.

Example – “Attach CDS Account”



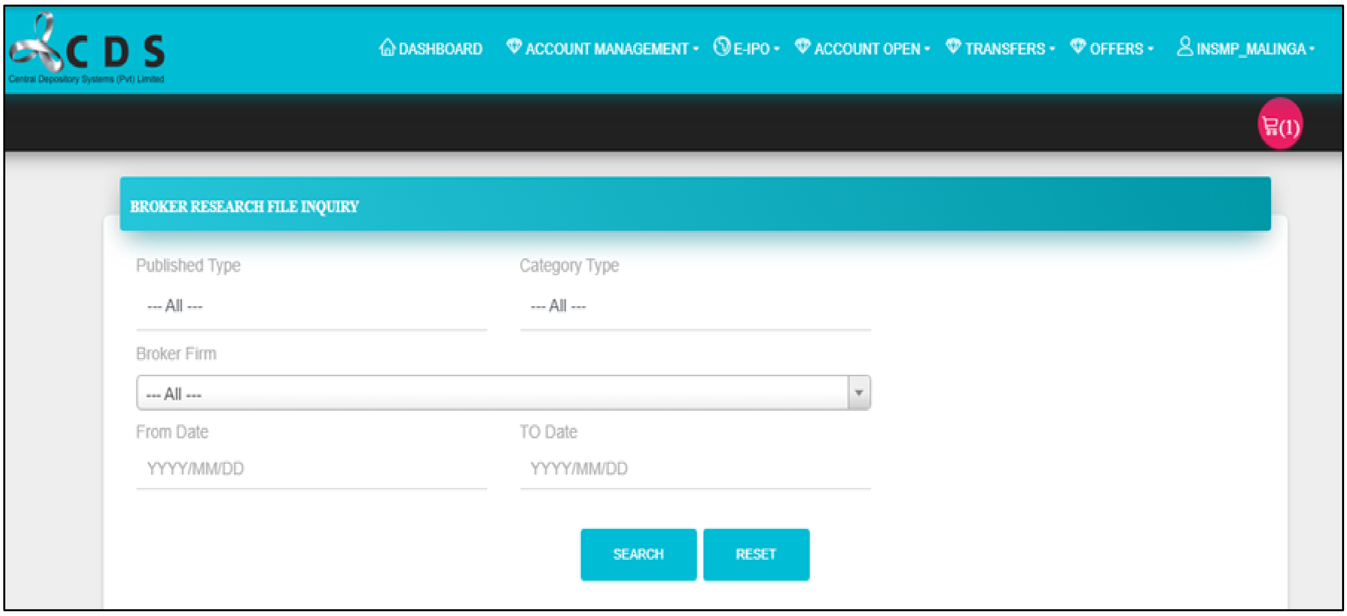
If any case, users required to run a “**Activity Type**” and “**Search**” of a specific client account, users can update any of “**CDS Account Number**”, “**Client ID**”, “**NIC**” or even a specific date range and run a search. Then, only the client accounts fallen into the entered criteria and filters will display.

2.10 Research Paper Inquiry

Using this feature, users can view and download the research materials uploaded by the stockbrokers.

Go to "**Account Management**" and select "**Research Paper Inquiry**"

In this window users required to update each of the fields as required and download the research materials

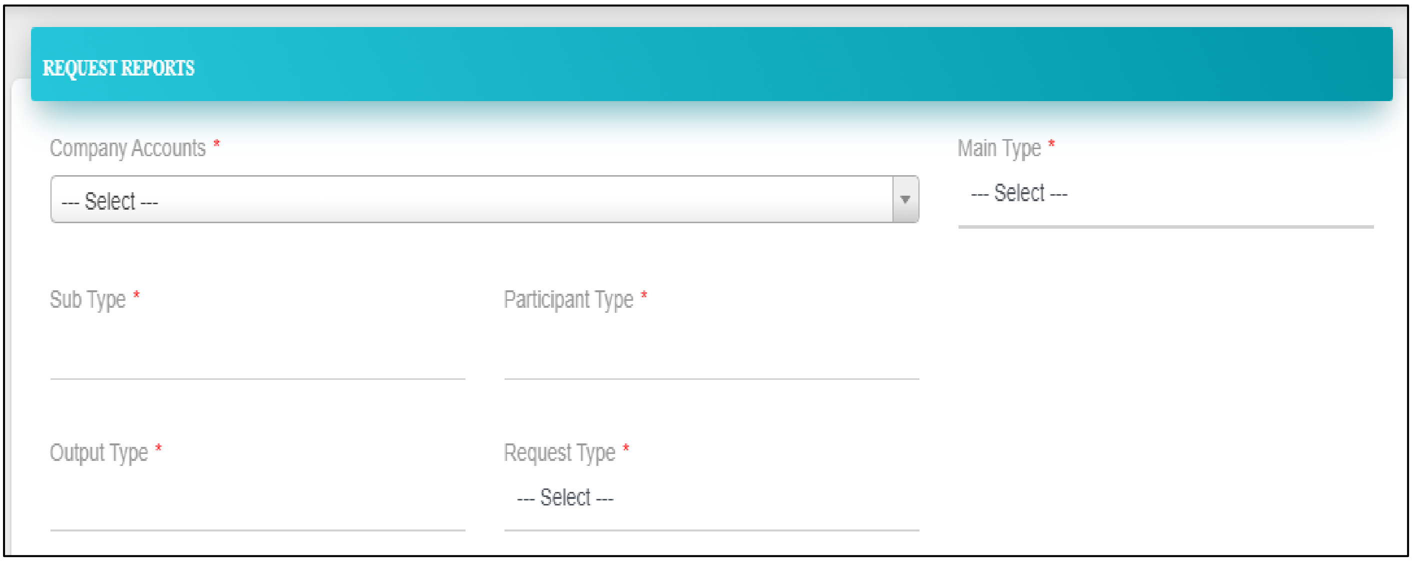


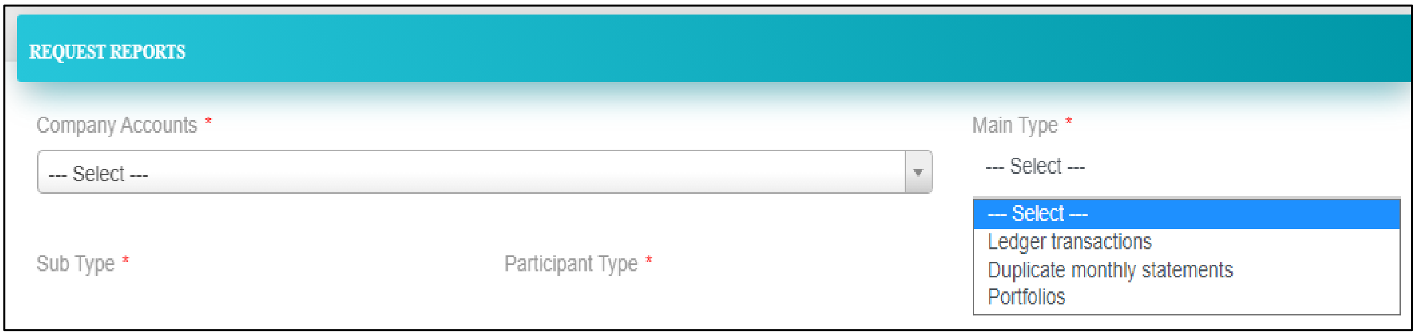
2.11 Requests for Report

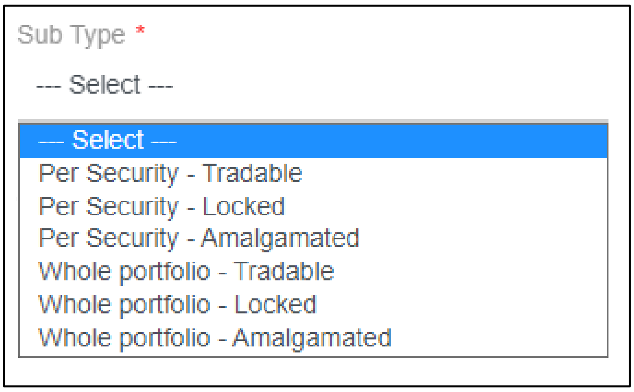
Using this feature, users can request various reports which are beyond **180 days** from CDS. There is a payment need to be done by the requestee and once the CDS received both the report request and the payment, CDS will process the report request and upload it the system. Then the requestee can download the reports from the system.

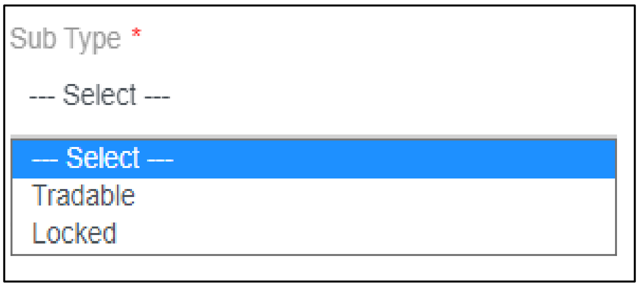
Go to "**Account Management**" and select "**Research Paper Inquiry**"

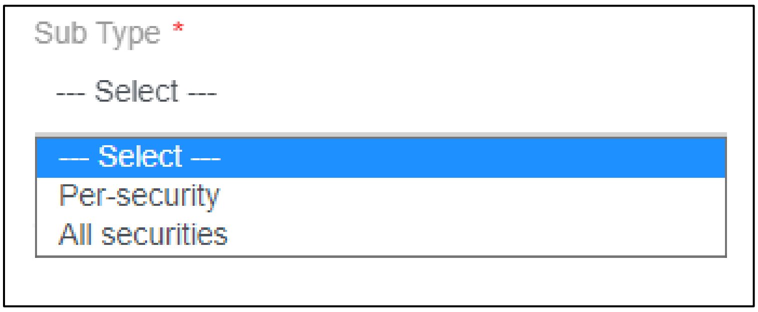
From the drop-down list, users required to select the applicable account and the types of reports they wished to request from the drop-down menus available.


REQUEST REPORTS
Company Accounts *
--- Select ---
Main Type *
--- Select ---
Sub Type *
Participant Type *
Output Type *
Request Type *
--- Select ---


REQUEST REPORTS
Company Accounts *
--- Select ---
Main Type *
--- Select ---
--- Select ---
Ledger transactions
Duplicate monthly statements
Portfolios
Sub Type *
Participant Type *


Sub Type *
--- Select ---
--- Select ---
Per Security - Tradable
Per Security - Locked
Per Security - Amalgamated
Whole portfolio - Tradable
Whole portfolio - Locked
Whole portfolio - Amalgamated


Sub Type *
--- Select ---
--- Select ---
Tradable
Locked

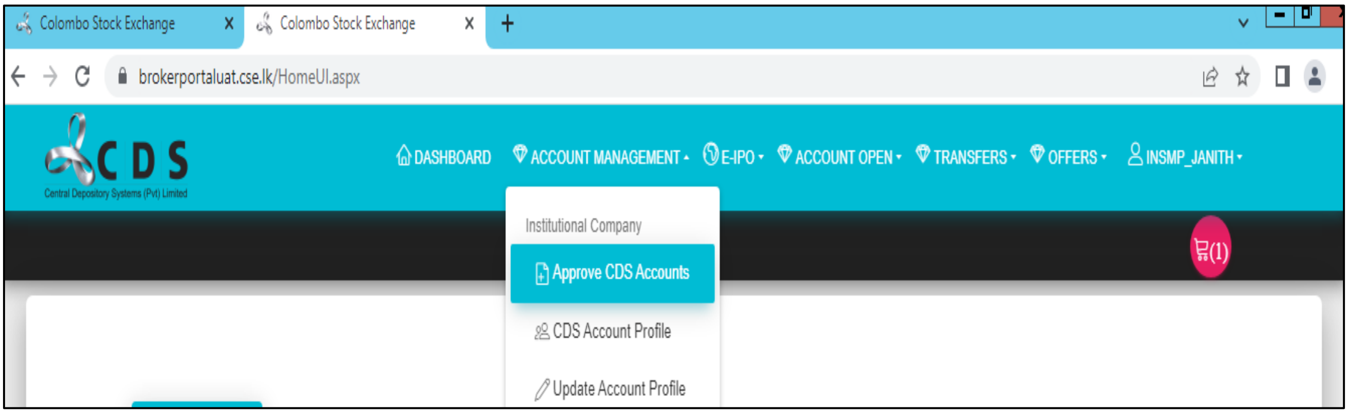

Sub Type *
--- Select ---
--- Select ---
Per-security
All securities

3 Features available for "Authorized User"

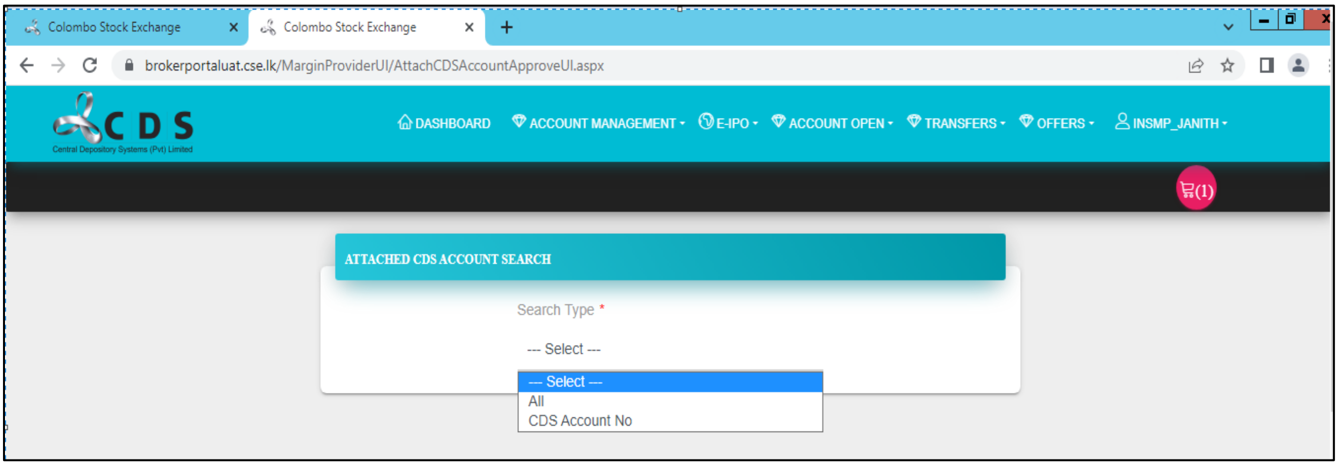
3.1 Approve a new account addition

Using this feature, user can authorize the added (attached) new clients accounts into the system.

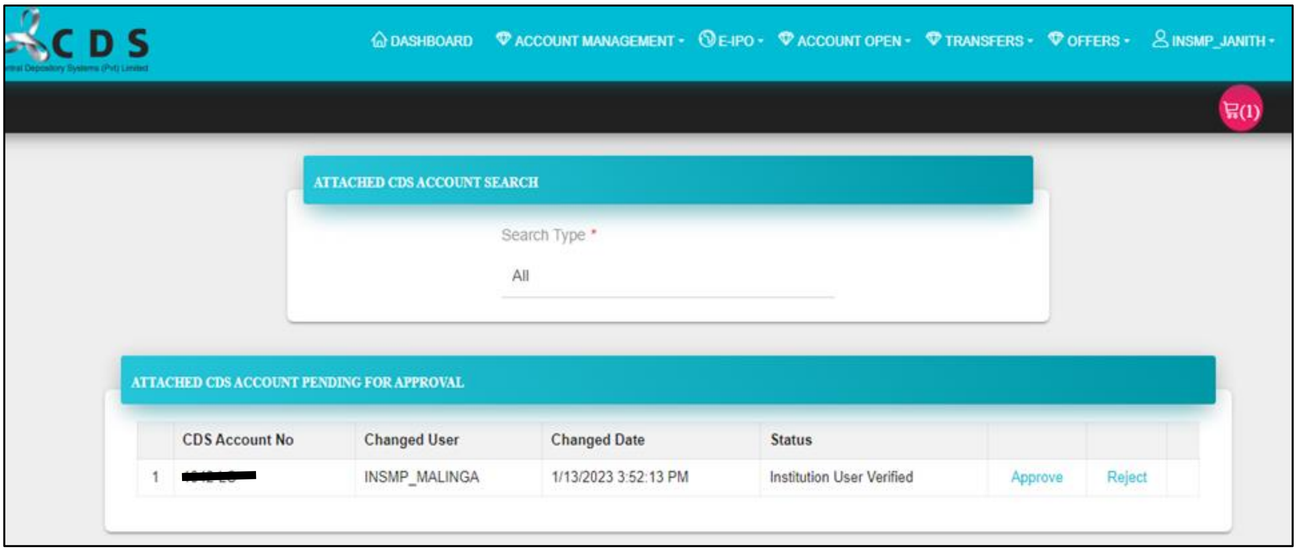
Go to "**Account Management**" and select "**Approve CDS Account**"



Then select the required "Search Type"

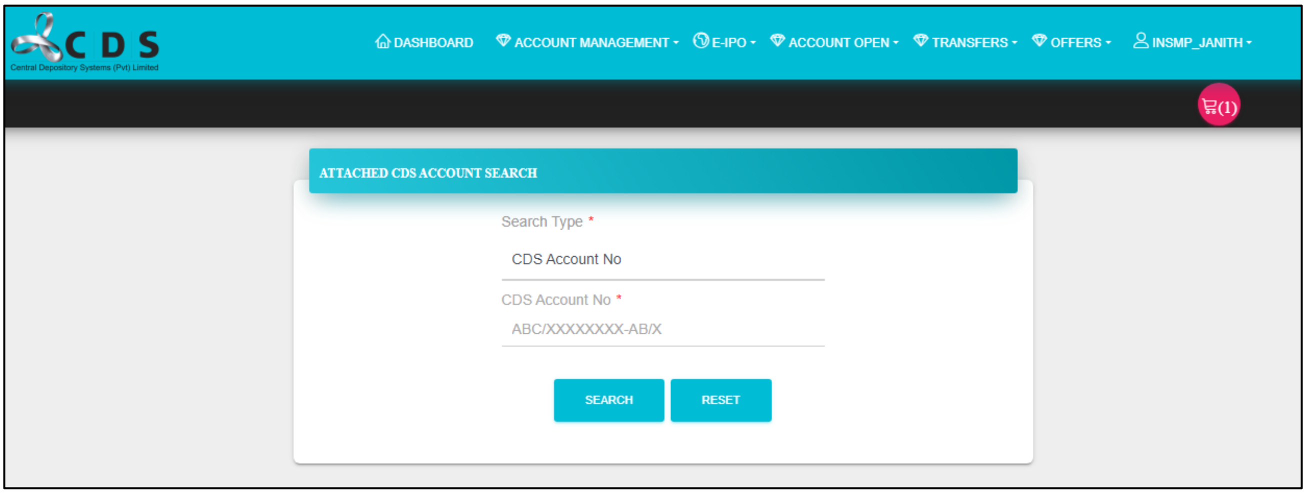


If the user selects "**All**", then this will show all the CDS accounts attached which are pending for approval from the authorized user.



Then User can select the required CDS account and "**Approve**" or "**Reject**" it.

If User select "**CDS Account No**", the user can enter the required CDS account Number and run a search.

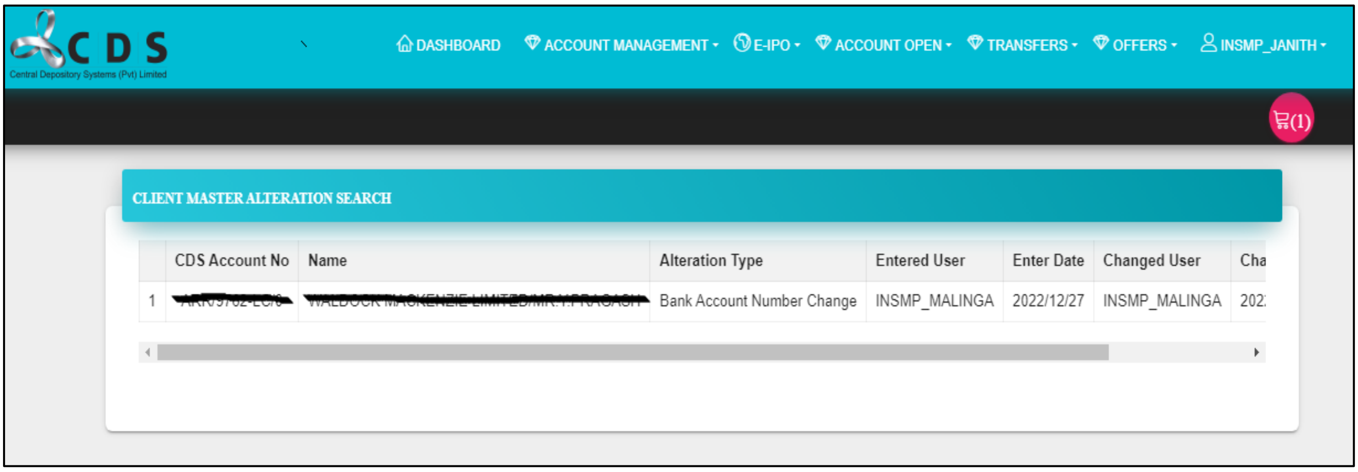


3.2 Update Account Profile (Authorizing)

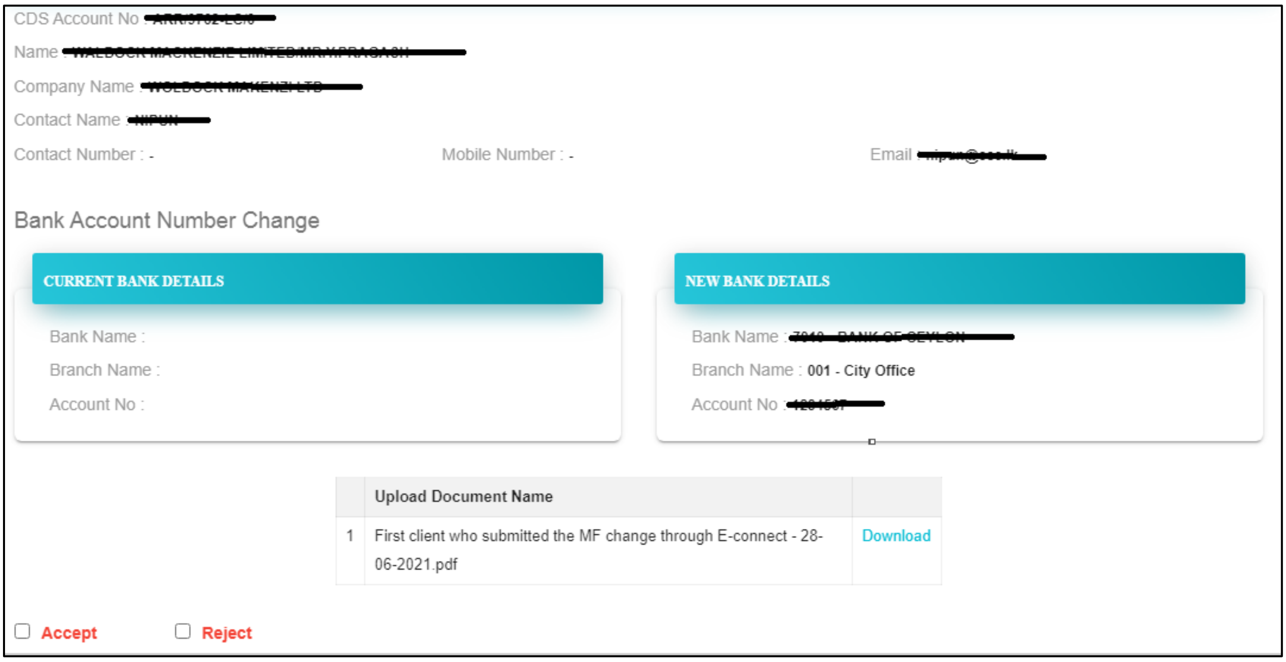
Using this feature user can authorized the changes /updates done to the client profiles by the verify user.

Go to "**Account Management**" and select "**Update Account Profile**"

User can select the relevant account from the list.



Then the user can either "**Accept or Reject**" the update request accordingly and "**Submit**".



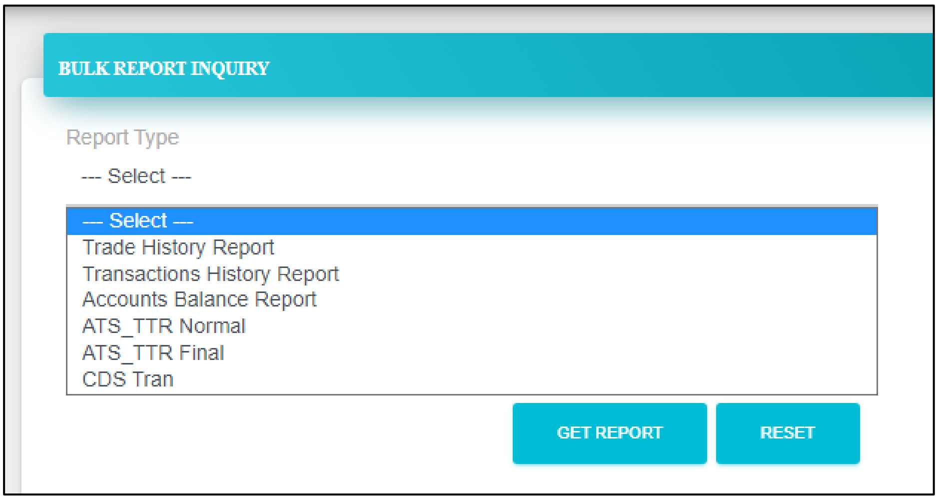
4 Value Added Reports

As a value addition service to the wealth managers and custodians who are subscribed into the e connect, the CDS has given the access to the below value-added reports through the e connect.

Report Name	Report Output Type	
	Text	CSV
ATS TTR Final	✓	✓
ATS TTR Normal	✓	✓
CDS Tran	✓	✓
CDS Account Balance (Locked & Tradable)		✓
Transaction History		✓
Trade History		✓

Go to “**Reports**” and select “**Bulk Reports**”

Select the required report type from the drop-down menu.



Under each report type filled the relevant fields accordingly and to generate the report click “**Get Report**”. To Download the report, click “**Export**”