

| | |
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9 Freeze & Suspension

9.1 Purpose

Freeze is performed on ISIN balances held within a BO account at a particular date. Freeze represents encumbrance on a balance or part of a balance within a BO ISIN. DP may request to freeze balances for a particular BO ID-ISIN account. This request is transferred to the Issuer for confirmation through VeDAS.

Freeze request can be of two types:

- Temporary Freeze Request
- Permanent Freeze Request

It is possible to set up multiple Full Freezes on the same BO-ISIN. The release of Frozen balance to Free balance occurs when the last Freeze Request is released.

Suspension is the process of deactivating some or all aspects of the account's operation and applies to the whole account as well as all balances contained therein.

DP is able to suspend a particular BO ID or BO ID-ISIN account for Debits/Credits or Both.

9.2 Modes of Operation

Freeze Setup/ Inquiry/ Modification/ Deletion/ Release and viewing Acknowledgements can be performed in an online mode. Temporary Freeze have an expiry date and they are released at the start of the day of expiry date + 1.

Suspension Setup/ Inquiry/ Modification/ Deletion and viewing Acknowledgements can be performed in an online mode.

9.3 Access Restrictions

Authorised users of DP can handle Freeze and Suspension for BOs belonging to it.

9.4 Screen Layout

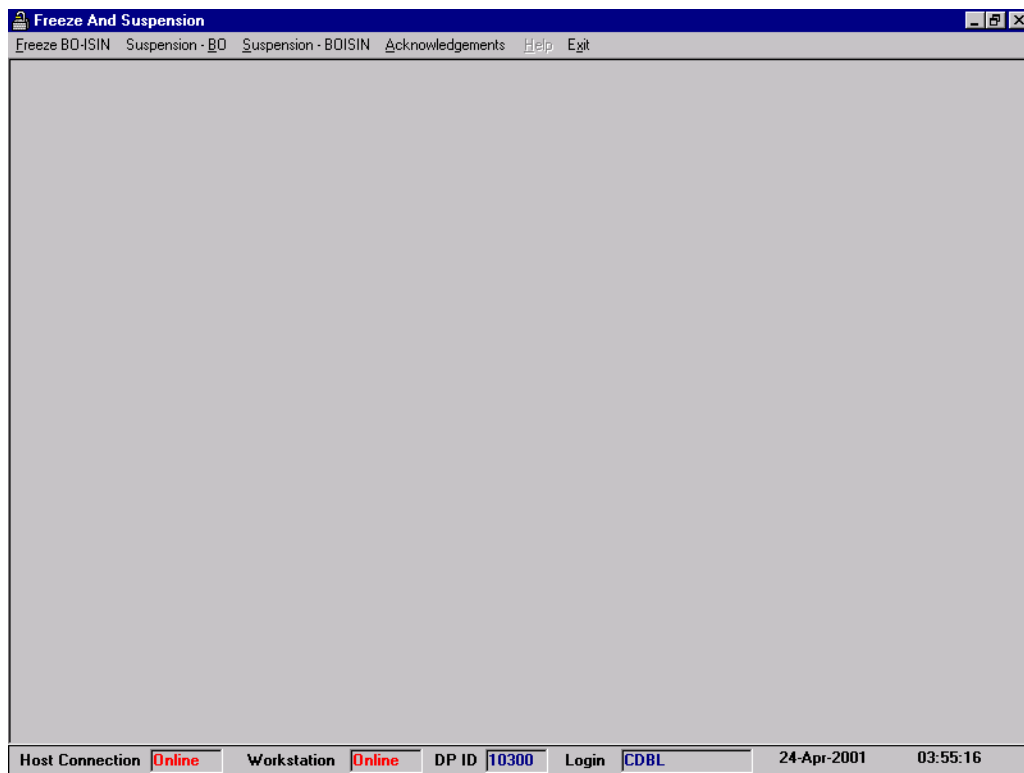


Figure 9.1. Initial Screen For Freeze and Suspension

Activation Options

| Menu Name | Purpose | Hot Key |
|----------------------|---|---------|
| Freeze BO-ISIN | To invoke Freeze for BO-ISIN A/c | Alt + F |
| Suspension – BO | To invoke BO Suspension | Alt + B |
| Suspension – BO ISIN | To invoke BO-ISIN A/c Suspension | Alt + S |
| Acknowledgements | To view list of Acknowledgements | Alt + A |
| Help | To invoke help file for Freeze and Suspension | Alt + H |
| Exit | To exit from Freeze and Suspension | Alt + x |

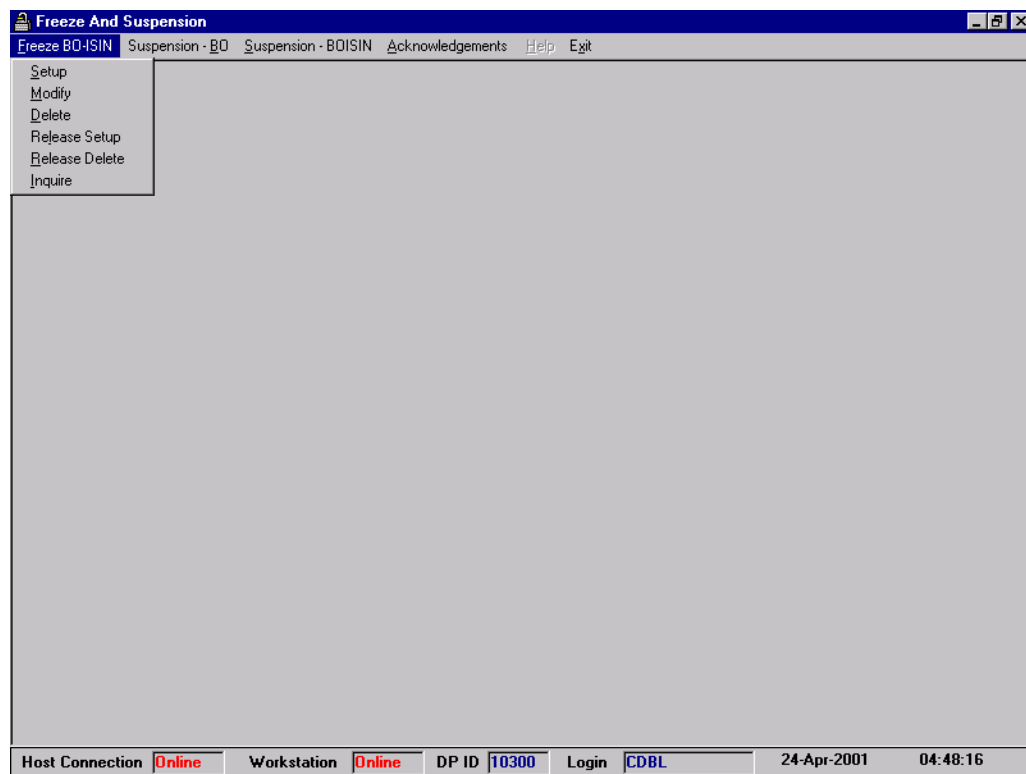


Figure 9.2. Menu Screen For Freeze BO-ISIN

Activation Options

| Menu Name | Purpose | Hot Key |
|----------------|----------------------------------|---------|
| Setup | To Setup Freeze BO-ISIN Request | Alt + S |
| Modify | To Modify Freeze BO-ISIN Request | Alt + M |
| Delete | To Delete Freeze BO-ISIN Request | Alt + D |
| Release Setup | To Setup Freeze Release Request | Alt + L |
| Release Delete | To Delete Freeze Release Request | Alt + R |
| Inquire | To Inquire Freeze Request | Alt + I |

9.4.1 Freeze Setup

The BO ISIN A/c to be Frozen should exist and should not be closed. In case of Setup of a Partial Freeze, BO-ISIN should not be already Fully Frozen.

Figure 9.3. Freeze BO-ISIN Request Setup Screen

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 |
|-----------------|--|------------|---|
| Freeze Seq. No. | Unique Number that identifies a BO ISIN Freeze Request | A, U,N | Generated on successful Setup of Freeze Request. |
| BO ID | Beneficial Owner ID to be Frozen. | M, Mo | BO should exist in the system. BO should not be closed or requested for closure. |
| ISIN | Identification Code of the security. | M, Mo | ISIN should be Active |

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| Field Name | Description | Field Type | Remarks |
|----------------------|---|------------|---|
| Type | Type of Freeze. | M, Mo | It can be Temporary or Permanent |
| Expiry Date | Business Date on which Freeze request expires. | M, Mo | It is mandatory in case of Temporary Freeze. It should be greater than or equal to the Business Date. Frozen balance is released on SOD of Expiry Date + 1. |
| Quantity Type | Portion of Holdings that are to be Frozen. | M, Mo | It can be Partial or Full |
| Quantity | It is the quantity of holding that is to be Frozen. | M, Mo | It is mandatory in case of Partial Freeze and should be less than the Free Balance In case of Full Freeze the entire Free Balance will be frozen |
| Reason Code | Reason Code for Freezing BO balances. | M, Mo | It is user defined field |
| Description | Description of reason for which BO balances are frozen. | M, Mo | Description is mandatory when reason code is 99. |
| DP Internal Ref. No. | Internal Reference No assigned by DP. | Mo | |
| Setup Date | Business Date of Freeze Request Setup. | M, N | |
| Remarks | Remarks of Freeze Setup. | Mo | |

Buttons Available

| Name | Purpose | Hot Key |
|----------|---|---------|
| Balances | To view all the Balances of BO-ISIN A/c that is to be Frozen. | Alt + B |
| Commit | To Commit the Freeze BO-ISIN Setup operation. | Alt + o |
| Cancel | To Cancel the Setup screen and return to the Initial Screen For Freeze and Suspension | Alt + C |

Freeze And Suspension - [Freeze Request Setup]

Freeze Details

BO ID

BO CODE

Freeze Seq. No.

253

BO ID

1 3 0103 00 0000561 6

SetB07 SetB071

ISIN

SETIN1000004

SET ISIN 1

Type

Temporary

Permanent

Expiry Date

01-Jun-2001

Quantity Type

Partial

Full

Freeze And Suspension

50,000

Reason Code

1

Description

Freeze Setup Successful With Freeze ID 253

DP Internal. Ref. No.

A1287623

Remarks

FOR NON PAYMENT OF

OK

Balances

Commit

Cancel

Host Connection

Online

Workstation

Online

DP ID

10300

Login

CDBL

24-Apr-2001

07:26:00

Figure 9.4. BO-ISIN Freeze Setup Response Screen.

9.4.2 Freeze Request Inquiry

Freeze And Suspension - [Freeze Inquiry - Selection Criteria]

Main Menu

Selection Criteria

☒ Freeze Seq. No.

☐ Group Criteria

Freeze Seq. No.

OK Cancel

Host Connection **Online** Workstation **Online** DP ID **10300** Login **CDBL** 24-Apr-2001 07:28:26

Figure 9.5. Freeze Sequence No. Inquiry Selection Criteria Screen

Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|------------------|---|--|
| Freeze Seq. No. | Freeze Seq. No. | If selected, Freeze Sequence Number should be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID ISIN Freeze Status Setup Date From – To Expiry Date From – To | <p>BO ID must exist in the System. ISIN should exist in the System. Freeze Status – Freeze Request Setup, Freeze Request Rejected, Frozen, Release Request Setup, Released through EOD And Closed By Issuer. If Setup/Expiry Date From is specified, then respective To date is mandatory and vice versa. Setup/Expiry Date To must be greater than Setup/Expiry Date From. At least one criterion must be specified.</p> |

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Buttons Available

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

Freeze And Suspension - [Freeze Inquiry]

Main Menu

Freeze Seq. No. Status

BO ID [SetB07 SetB071](#)

ISIN [SET ISIN 1](#)

Type Expiry Date

Quantity Type Quantity

Reason Code [Frozen Due to Court Order](#)

DP Internal Ref. No. Setup Date

Remarks

Host Connection Workstation DP ID Login 24-Apr-2001 07:28:41

Figure 9.6. Freeze Sequence No. Inquiry Response Screen

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 |
|------------|---|------------|---|
| Status | It indicates the status of the Freeze Request | R, N | It can be Freeze Request Setup, Freeze Request Rejected, Frozen, Release Request Setup, Closed By Issuer, Released Through EOD. |

Buttons Available

| Name | Purpose | Hot Key |
|----------|---|---------|
| Balances | To invoke the screen showing all balances for BO-ISIN | Alt + B |
| Close | To close the Inquiry screen 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. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID all the records for BO ID as well as corresponding BO CODE will be displayed. DP can inquire on records of BO's belonging to it.

Figure 9.7. BO ISIN Freeze Group Inquiry Selection Criteria Screen.

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| OK | To invoke the brief Inquiry for Requests with the selected criteria | Alt + O |
| Cancel | To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension | Alt + C |

Figure 9.8. BO-ISIN Freeze Group Inquiry Response Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Select | To view the details of the Request selected from the grid | Alt + S |
| Cancel | To close the Group Inquiry Response screen and return to the Freeze Inquiry Selection Criteria screen | Alt + C |

9.4.3 Freeze Request Modify

Freeze Request can be modified before Issuer confirms or rejects it.

Modify Selection Criteria

| Selection Option | Fields | Selection Type |
|------------------|---|---|
| Freeze Seq. No. | Freeze Seq. No. | If selected Freeze Sequence No Number should be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID | BO ID must exist in the System |

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| | | |
|--|--|--|
| | <ul style="list-style-type: none"> • ISIN • Freeze Status • Setup Date From – To • Expiry Date From – To | <p>ISIN should exist in the System</p> <p>If Setup/Expiry Date From is specified, then respective To date is mandatory and vice versa.</p> <p>Setup/Expiry Date To must be greater than Setup/Expiry Date From.</p> <p>At least one criterion must be specified.</p> |
|--|--|--|

Freeze And Suspension - [Freeze Request Modify]

Main Menu

☒ BO ID ☐ BO CODE

Freeze Seq. No. Status

BO ID [SetBO7](#) [SetBO71](#)

ISIN [SET ISIN 1](#)

Type ☒ Temporary ☐ Permanent Expiry Date

Quantity Type ☒ Partial ☐ Full Quantity

Reason Code Description

DP Internal Ref. No. Setup Date

Remarks

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 08:46:46

Figure 9.9. BO-ISIN Freeze Request Modify Screen

Buttons Available

| Name | Purpose | Hot Key |
|----------|---|---------|
| Balances | To view all the balances for the entered BO-ISIN | Alt + B |
| Commit | To commit the Modify operation | Alt + o |
| Cancel | To cancel the Modify operation and return to the Selection Criteria for Freeze Inquiry Screen | Alt + C |

9.4.4 Freeze Request Delete

Freeze Request can be deleted before Issuer confirms it.

Delete Selection Criteria

Refer to Modify Selection Criteria

The screenshot shows a software window titled "Freeze And Suspension - [Freeze Delete]". Inside, there's a "Main Menu" bar. The main area contains several input fields and labels:

- Freeze Seq. No.: 253
- Status: Freeze Request Setup
- BO ID: 1 3 0103 00 0000561 6 (with links "SetB07" and "SetB071")
- ISIN: SETIN1000004 (with link "SET ISIN 1")
- Type: Temporary
- Expiry Date: 01-Jun-2001
- Quantity Type: Partial
- Quantity: 20,000
- Reason Code: 1 (with link "Frozen Due to Court Order")
- DP Internal. Ref. No.: A1287623
- Setup Date: 24-Apr-2001
- Remarks: FOR NON PAYMENT OF FEES/DUES

At the bottom right, there are two buttons: "Delete" and "Cancel". The bottom status bar shows: Host Connection: Online, Workstation: Online, DP ID: 10300, Login: CDBL, 24-Apr-2001, 08:14:09.

Figure 9.10. Freeze Request Delete Screen

Buttons Available


| Name | Purpose | Hot Key |
|--------|---|---------|
| Delete | To successfully Delete the Freeze Request | Alt + D |
| Cancel | To cancel the Delete operation and return to the Selection Criteria for Freeze Inquiry Screen | Alt + C |

9.4.5 Freeze Release Setup

Freeze Release Request can be Setup after Issuer accepts the Freeze Setup Request. BO and ISIN should exist and should be operable. Freeze Release Request cannot be Setup once Freeze has expired

Release Selection Criteria

Refer to Modify Selection Criteria



Freeze And Suspension - [Release Request Setup]

Main Menu

Freeze Seq. No. Status

BO ID [SetBO7 SetBO71](#)

ISIN [SET ISIN 1](#)

Type Expiry Date

Quantity Type Quantity

Reason Code [Frozen Due to Court Order](#) Frozen Date

DP Internal Ref. No. Setup Date

Remarks

Host Connection Workstation DP ID Login 24-Apr-2001 08:48:05

Figure 9.11. Freeze Release Setup Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Commit | To commit the transaction | Alt + o |
| Cancel | To cancel the Freeze Release operation and return to the Selection Criteria for Freeze Inquiry Screen | Alt + C |

9.4.6 Freeze Release Delete

Freeze Release Request can be deleted before the Issuer confirms the Freeze Release Request.

Release Delete Selection Criteria

Refer to Modify Selection Criteria

Freeze And Suspension - [Release Request Delete]

Main Menu

Freeze Seq. No. Status

BO ID [SetB07 SetB071](#)

ISIN [SET ISIN 1](#)

Type Expiry Date Release Setup Date

Quantity Type Quantity

Reason Code [Frozen Due to Court Order](#) Frozen Date

DP Internal. Ref. No. Setup Date

Remarks

Host Connection Workstation DP ID Login 24-Apr-2001 08:53:32

Figure 9.12. Freeze Release Request Delete Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Delete | To Delete the Release Request | Alt + D |
| Cancel | To Cancel the Freeze Release Delete operation and return to Selection Criteria for Freeze Inquiry Screen | Alt + C |

9.4.7 BO Suspension Setup

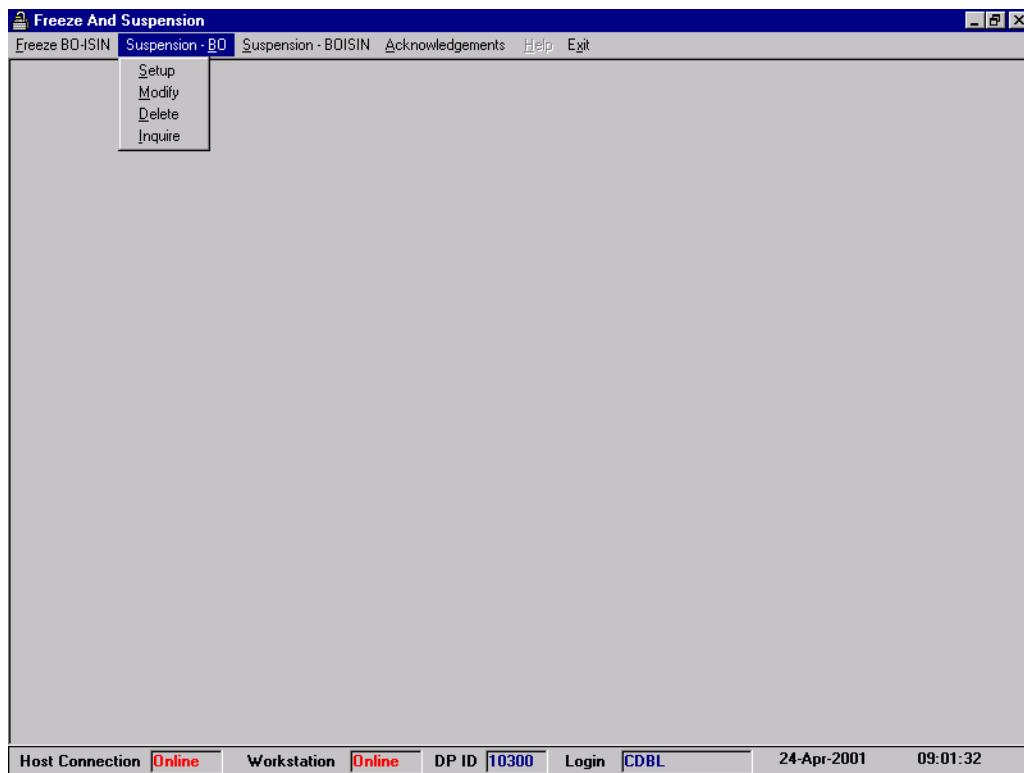


Figure 9.13. Menu Screen for BO Suspension

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------|----------------------------------|---------|
| Setup | To Setup BO Suspension request | Alt + S |
| Modify | To Modify BO Suspension Request | Alt + M |
| Delete | To Delete BO Suspension Request | Alt + D |
| Inquire | To Inquire BO Suspension Request | Alt + I |

Figure 9.14. BO Suspension Request Setup Screen

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 |
|-------------------|---|------------|---|
| Suspension Seq No | Unique Number that identifies a BO Suspension Request | U, A, N | |
| BO ID | Beneficial Owner on which Suspension is to be applied | M, N | BO should exist in the system. BO should be Active. |
| Type | Type of Transaction on which Suspension is to be affected | M, Mo | Suspension Type can be Debit or Credit or Both Debit and Credit |
| Reason Code | Reason Code for Suspending a BO | M, Mo | It is user-defined field. |
| Description | Description of reason for which BO is being Suspended | M, Mo | When reason code is 99, the Description is mandatory |

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| Field Name | Description | Field Type | Remarks |
|----------------------|---|------------|---------|
| DP Internal Ref. No. | Internal Reference Number assigned by DP | Mo | |
| Setup Date | Business Date on which the BO Suspension Request is Setup | R, N | |
| Remarks | Remarks | Mo | |

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Commit | To commit the BO Suspension Setup operation | Alt + o |
| Cancel | To cancel the Setup operation and return to the Initial Screen for Freeze & Suspension | Alt + C |

Freeze And Suspension - [BO Suspension Setup]

Main Menu

Suspension Seq. No. 258

BO ID 1 3 0103 00 0000561 6 SetB07 SetB071

Type 1 DEBIT

Reason Code 1 Description Suspended due to Fraud

DP Internal Ref. No. AD4324234 Setup Date 24-Apr-2001

Remarks SUSPENDED BY XXX COURT

Commit Close

Freeze And Suspension

BO Suspension Setup Successful with Suspension Seq. No 258

OK

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 09:01:10

Figure 9.15. BO Suspension Setup Response Screen

9.4.8 BO Suspension Inquiry

Freeze And Suspension - [Suspension BO Inquiry - Selection Criteria]

Main Menu

Selection Criteria

☒ Suspension Seq. No.

☐ Group Criteria

Suspension Seq. No.

OK Cancel

Host Connection **Online** Workstation **Online** DP ID **10300** Login **CDBL** 24-Apr-2001 09:04:27

Figure 9.16. BO Suspension Inquiry Selection Criteria Screen

Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|---------------------|---|---|
| Suspension Seq. No. | Suspension Seq. No. | If selected, Suspension Sequence Number must be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID Setup Date From – To | BO ID must exist in the System If Setup Date From is specified, then respective To date is mandatory and vice versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion must be specified. |

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Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Ok | To invoke the detailed Inquiry with the selected criteria | Alt + O |
| Cancel | To Cancel the Inquiry operation and return to the Selection Criteria for BO Suspension Inquiry Screen | Alt + C |

The screenshot displays a software window titled "Freeze And Suspension - [BO Suspension Inquire]". Inside, there's a "Main Menu" section with several data entry fields: "Suspension Seq. No." with value 258, "BO ID" with value 1 3 0103 00 0000561 6 and a link "SetB07 SetB071", "Type" with value 1 and label "DEBIT", "Reason Code" with value 1 and label "Suspended due to Fraud", "DP Internal Ref. No." with value AD4324234, "Setup Date" with value 24-Apr-2001, and a "Remarks" field containing "SUSPENDED BY XXX COURT". A "Close" button is located at the bottom right of the menu area. The bottom status bar indicates "Host Connection" is Online, "Workstation" is Online, "DP ID" is 10300, "Login" is CDBL, and the date/time is 24-Apr-2001 09:02:28.

Figure 9.17. BO Suspension Sequence No. Inquiry Response Screen

Buttons Available

| Name | Purpose | Hot Key |
|-------|--|---------|
| Close | To close the Inquiry screen and return to the BO Suspension Inquiry Selection Criteria Screen. | Alt + C |

On selecting the Group Criteria Option a list of records that fulfil the given criteria are displayed. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID, records for that BO ID will be displayed.

Figure 9.18.BO Suspension Group Inquiry Selection Criteria Screen.

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| OK | To invoke the brief Inquiry for Request/s with the selected criteria | Alt + O |
| Cancel | To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension | Alt + C |

Figure 9.19. BO Suspension Group Inquiry Response Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Select | To view details of BO Suspension Request selected from the grid | Alt + S |
| Cancel | To close the Group Inquiry Response screen and return to the BO Suspension Group Inquiry Selection Criteria Screen. | Alt + C |

9.4.9 BO Suspension Modify

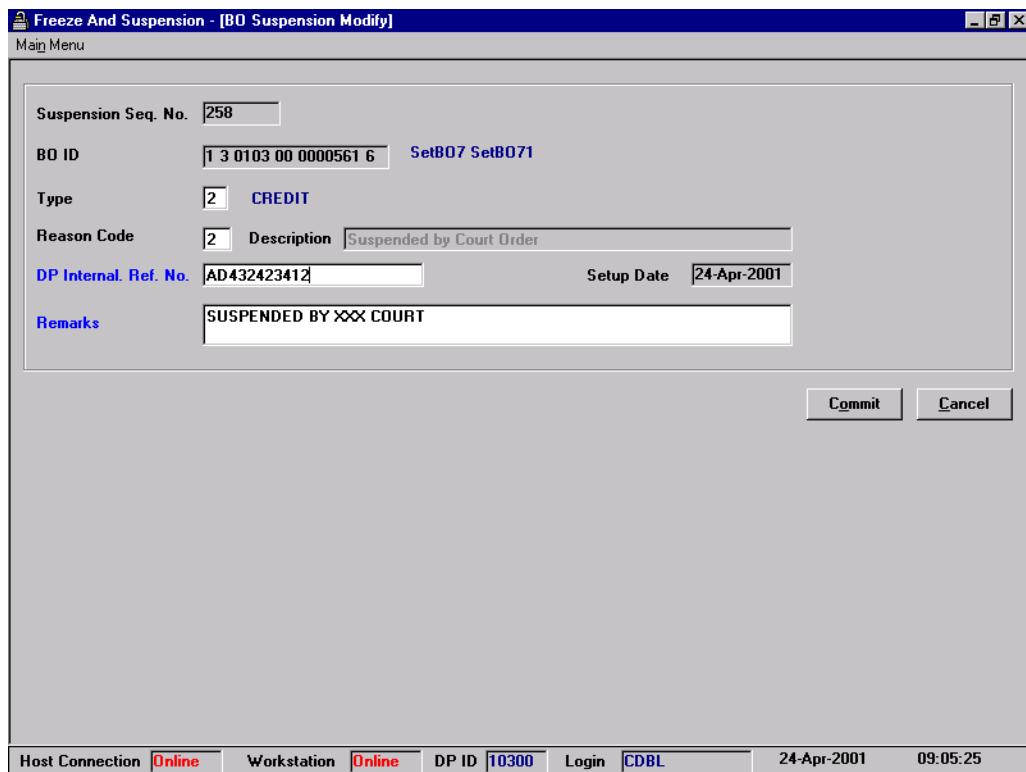
DP can modify Suspension request that is initiated by it.

Modify Selection Criteria

| Selection Option | Fields | Selection Type |
|---------------------|---|---|
| Suspension Seq. No. | Suspension Seq. No. | If selected, Suspension Sequence Number should be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID | BO ID must exist in the System |

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| Selection Option | Fields | Selection Type |
|------------------|--|--|
| | <ul style="list-style-type: none"> Setup Date From – To | <p>If Setup Date From is specified, then respective To date is mandatory and vice versa.</p> <p>Setup Date To must be greater than Setup Date From.</p> <p>Setup Date To cannot be greater than the Business Date</p> <p>At least one criterion must be specified.</p> |



Freeze And Suspension - [BO Suspension Modify]

Main Menu

Suspension Seq. No.

BO ID [SetB07 SetB071](#)

Type [CREDIT](#)

Reason Code Description

DP Internal Ref. No. Setup Date

Remarks

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 09:05:25

Figure 9.20. BO Suspension Request Modify Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Commit | To commit the Modify operation | Alt + o |
| Cancel | To cancel the Modify operation and return to the BO Suspension Inquiry Selection Criteria Screen | Alt + C |

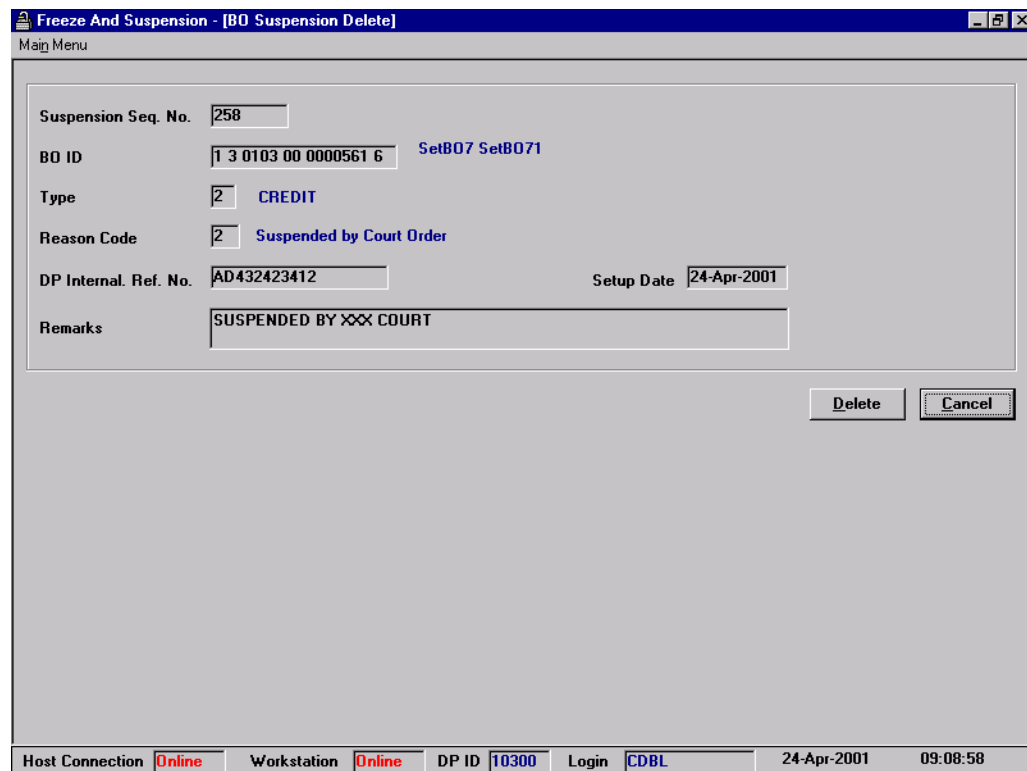
| | |
|----------------------|-----------------------|
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9.4.10 BO Suspension Delete

DP can delete request that is initiated by it.

Delete Selection Criteria

Refer to Modify Selection Criteria



Freeze And Suspension - [BO Suspension Delete]

Main Menu

Suspension Seq. No.

BO ID [SetB07 SetB071](#)

Type [CREDIT](#)

Reason Code [Suspended by Court Order](#)

DP Internal Ref. No. Setup Date

Remarks

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 09:08:58

Figure 9.21. BO Suspension Request Delete Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Delete | To Delete the Suspension Request | Alt + D |
| Cancel | To cancel the Delete operation and return to the BO Suspension Inquiry Selection Criteria Screen | Alt + C |

9.4.11 BO ISIN Suspension Setup

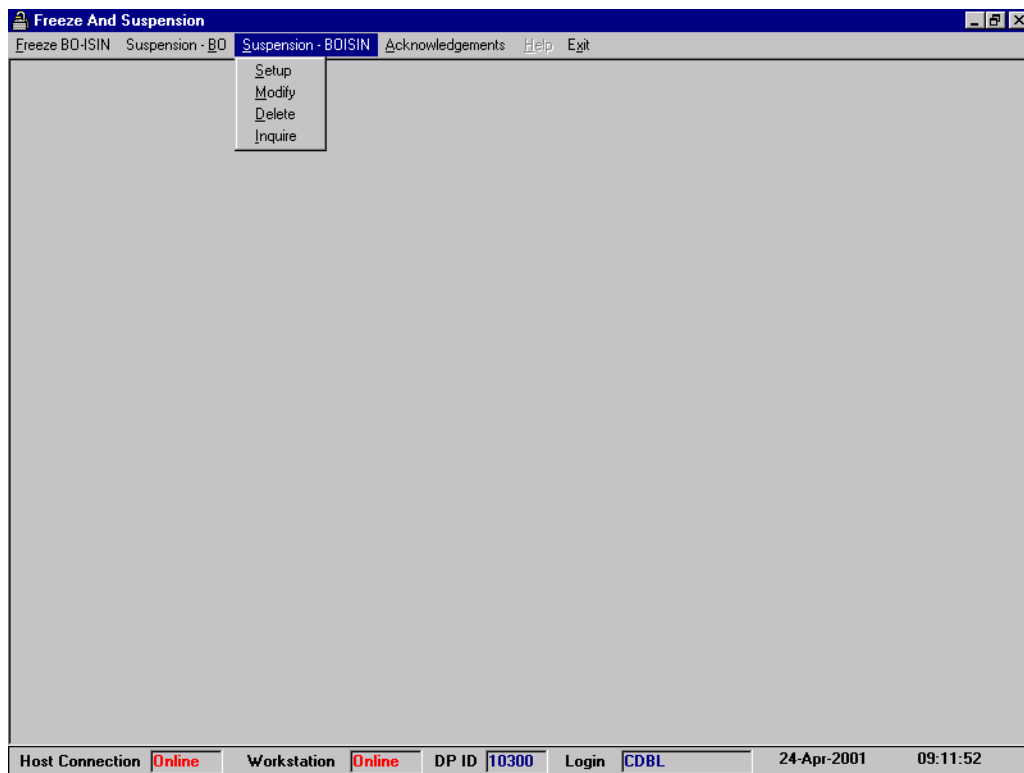


Figure 9.22. Menu Screen for BO ISIN Suspension

Activation Options

| Menu Name | Purpose | Hot Key |
|-----------|---------------------------------------|---------|
| Setup | To Setup BO-ISIN Suspension Request | Alt + S |
| Modify | To Modify BO-ISIN Suspension Request | Alt + M |
| Delete | To Delete BO-ISIN Suspension Request | Alt + D |
| Inquire | To Inquire BO-ISIN Suspension Request | Alt + I |

Figure 9.23. BO-ISIN Suspension Request Setup Screen

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 |
|---------------------|--|------------|--|
| Suspension Seq. No. | Unique Number that identifies a BO ISIN Suspension Request | U, A, N | |
| BO ID | Beneficial Owner on which Suspension is to be applied | M | BO should exist in the system. BO Status should be active. |
| ISIN | Security Code on which BO ISIN Suspension is to be applied | M | BO ISIN should exist. BO ISIN Status should be Active. |
| Type | Type of Transaction on which Suspension is to be affected | M, Mo | It can be Debit, Credit or Both Debit and Credit |
| Reason Code | Reason Code for Suspending a BO | M, Mo | It is user defined |

| | |
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| Field Name | Description | Field Type | Remarks |
|----------------------|--|------------|--|
| Description | Description of reason for which BO is being Suspended | M, Mo | When reason code is 99, the Description is mandatory |
| DP Internal Ref. No. | Internal Reference Number assigned by DP | Mo | |
| Setup Date | Business Date on which the BO-ISIN Suspension Request is Setup | R, N | |
| Remarks | Remarks | Mo | |

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Commit | To commit the BO-ISIN Suspension Setup Request | Alt + o |
| Cancel | To cancel the Setup screen and return to the Initial Screen For Freeze and Suspension | Alt + C |

Figure 9.24. BO-ISIN Suspension Setup Response Screen

9.4.12 BO-ISIN Suspension Inquiry

Figure 9.25. BO-ISIN Suspension Sequence No. Inquiry Selection Criteria Screen

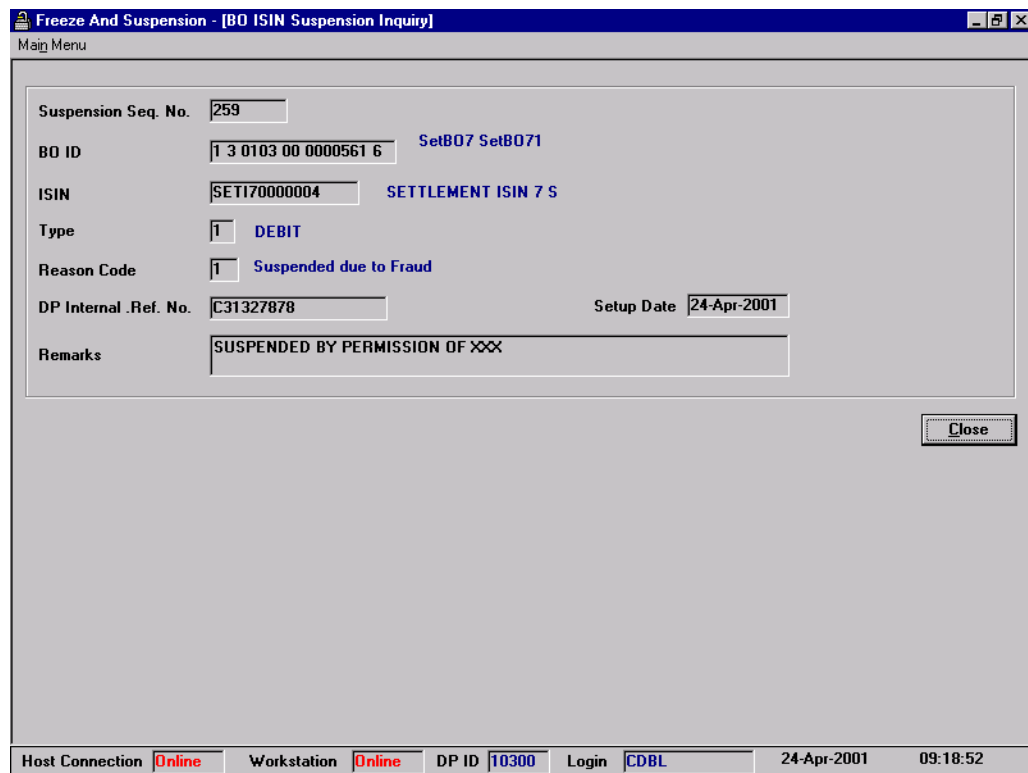
Inquiry Selection Criteria

| Selection Option | Fields | Selection Type |
|---------------------|---|---|
| Suspension Seq. No. | Suspension Seq. No. | If selected, Suspension Sequence Number should be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID ISIN Setup Date From – To | <p>BO ID should exist in the System</p> <p>ISIN should exist in the system</p> <p>If Setup Date From is specified, then respective To date is mandatory and vice versa.</p> <p>Setup Date To must be greater than Setup Date From.</p> <p>Setup Date To cannot be greater than the Business Date</p> <p>At least one criterion must be specified.</p> |

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Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| OK | To view the details pertaining to the Request with the selected criteria | Alt + O |
| Cancel | To Cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension | Alt + C |



Freeze And Suspension - [BO ISIN Suspension Inquiry]

Main Menu

Suspension Seq. No. 259

BO ID 1 3 0103 00 0000561 6 SetB07 SetB071

ISIN SET170000004 SETTLEMENT ISIN 7 S

Type 1 DEBIT

Reason Code 1 Suspended due to Fraud

DP Internal Ref. No. C31327878 Setup Date 24-Apr-2001

Remarks SUSPENDED BY PERMISSION OF XXX

Close

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 09:18:52

Figure 9.26. BO-ISIN Suspension Sequence No. Inquiry Response Screen

Buttons Available

| Name | Purpose | Hot Key |
|-------|---|---------|
| Close | To Close the Inquiry Response screen and return to the BO-ISIN Suspension Sequence No. Inquiry Selection Criteria Screen. | Alt + C |

On selecting the Group Criteria Option, a list of records that fulfil the given criteria are displayed. Detailed inquiry can be made on a specific request by selecting the same. On entering BO ID, records for that BO ID as well as corresponding BO Code will be displayed.

Figure 9.27. BO-ISIN Suspension Group Inquiry Selection Criteria Screen.

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| OK | To view the brief Inquiry for Request/s having the selected criteria | Alt + O |
| Cancel | To cancel the Inquiry operation and return to the Initial Screen For Freeze and Suspension | Alt + C |

Figure 9.28. BO-ISIN Suspension Group Inquiry Response Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Select | To view details of Request selected from the grid | Alt + S |
| Cancel | To close the Group Inquiry Response screen and return to the BO-ISIN Suspension Group Inquiry Selection Criteria Screen. | Alt + C |

9.4.13 BO-ISIN Suspension Modify

Modify Selection Criteria

| Selection Option | Fields | Selection Type |
|---------------------|---|---|
| Suspension Seq. No. | Suspension Seq. No. | If selected, Suspension Sequence Number should be specified |
| Group Criteria | <ul style="list-style-type: none"> BO ID ISIN Setup Date | BO ID should exist in the System ISIN should exist in the System If Setup Date From is specified, then respective To date is mandatory and vice |

| | |
|----------------------|-----------------------|
| VeDAS Implementation | Freeze And Suspension |
| User Manual - DP | |

| Selection Option | Fields | Selection Type |
|------------------|-----------|--|
| | From – To | versa. Setup Date To must be greater than Setup Date From. Setup Date To cannot be greater than the Business Date At least one criterion should be specified. |

Figure 9.29. BO-ISIN Suspension Request Modify Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|---|---------|
| Commit | To commit the BO-ISIN Suspension Modify operation | Alt + o |
| Cancel | To cancel the BO-ISIN Suspension Modify operation and return to the BO-ISIN Suspension Inquiry Selection Criteria Screen. | Alt + C |

9.4.14 BO-ISIN Suspension Delete

Delete Selection Criteria

Refer to Modify Selection Criteria

Freeze And Suspension - [BO ISIN Suspension Delete]

Main Menu

Suspension Seq. No.

BO ID [SetB07 SetB071](#)

ISIN [SETTLEMENT ISIN 7 S](#)

Type [DEBIT](#)

Reason Code [Suspended due to Fraud](#)

DP Internal .Ref. No. Setup Date

Remarks

Host Connection Online Workstation Online DP ID 10300 Login CDBL 24-Apr-2001 09:22:45

Figure 9.30. BO-ISIN Request Delete Screen

Buttons Available

| Name | Purpose | Hot Key |
|--------|--|---------|
| Delete | To Delete the BO-ISIN Suspension Request | Alt + D |
| Cancel | To cancel the Delete operation and return to the BO-ISIN Suspension Inquiry Selection Criteria Screen. | Alt + C |

9.4.15 Acknowledgement

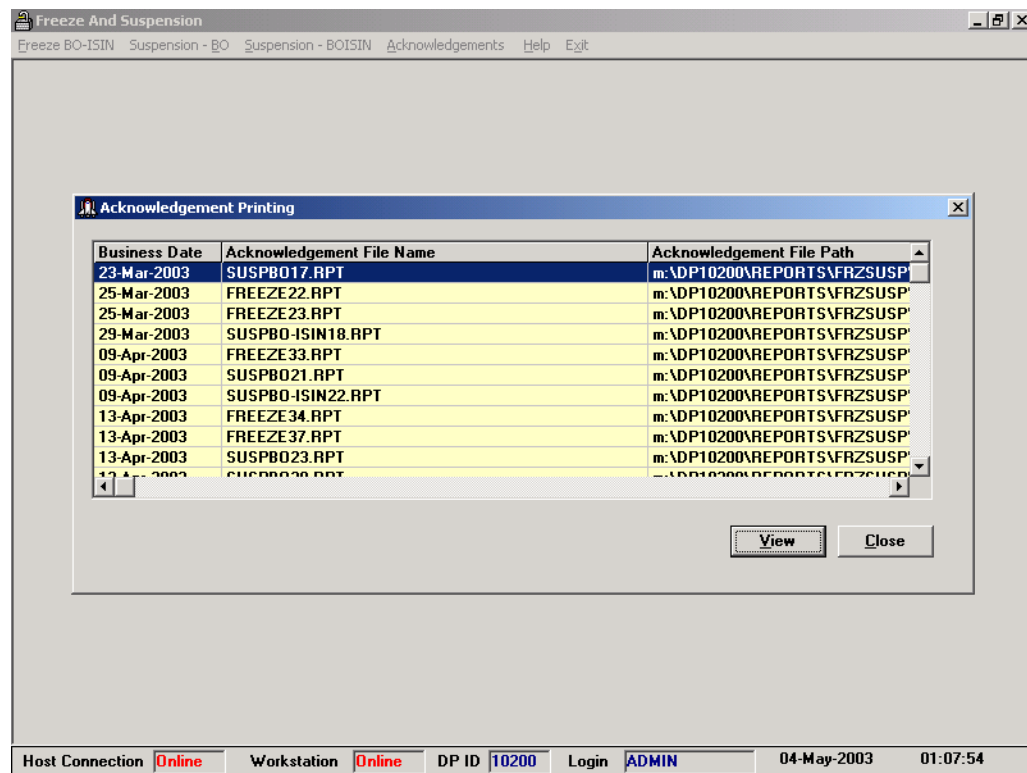


Figure 9.31. Screen For Acknowledgement

Buttons Available

| Name | Purpose | Hot Key |
|-------|---|---------|
| View | To view the Acknowledgements | Alt + V |
| Close | To close the Acknowledgements screen and return to the Initial Screen For Freeze and Suspension | Alt + C |

9.5 Acknowledgements/Reports Available

List of Acknowledgements

| Acknowledgement Name | Availability |
|--------------------------------------|---|
| Freeze Request Setup Acknowledgement | On successful Setup of a Freeze Request |

| Acknowledgement Name | Availability |
|--|---|
| BO Suspension Setup Acknowledgement | On successful Setup of a BO Suspension Request |
| BO-ISIN Suspension Setup Acknowledgement | On successful Setup of a BO-ISIN Suspension Request |

List of Reports

| Report Name | Type | Availability |
|--|---------|--|
| Freeze Setup Today (DP11) | Default | EOD of the Freeze Request Setup Date |
| Freeze Confirmed/Rejected Today (DP60) | Default | EOD of the Freeze Confirmation/Rejection Date |
| Clearing Accounts Frozen or Suspended Today (DP67) | Default | EOD of the Freeze Confirmation Date or Suspension Setup Date |
| Freeze Released Today (DP25) | Default | EOD of the Freeze Release Date |
| BO Suspension Setup Today (DP15) | Default | EOD of the successful BO Suspension Setup Date |
| BO ISIN Suspension Setup (DP17) | Default | EOD of the successful BO-ISIN Suspension Setup Date |