

# 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](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.

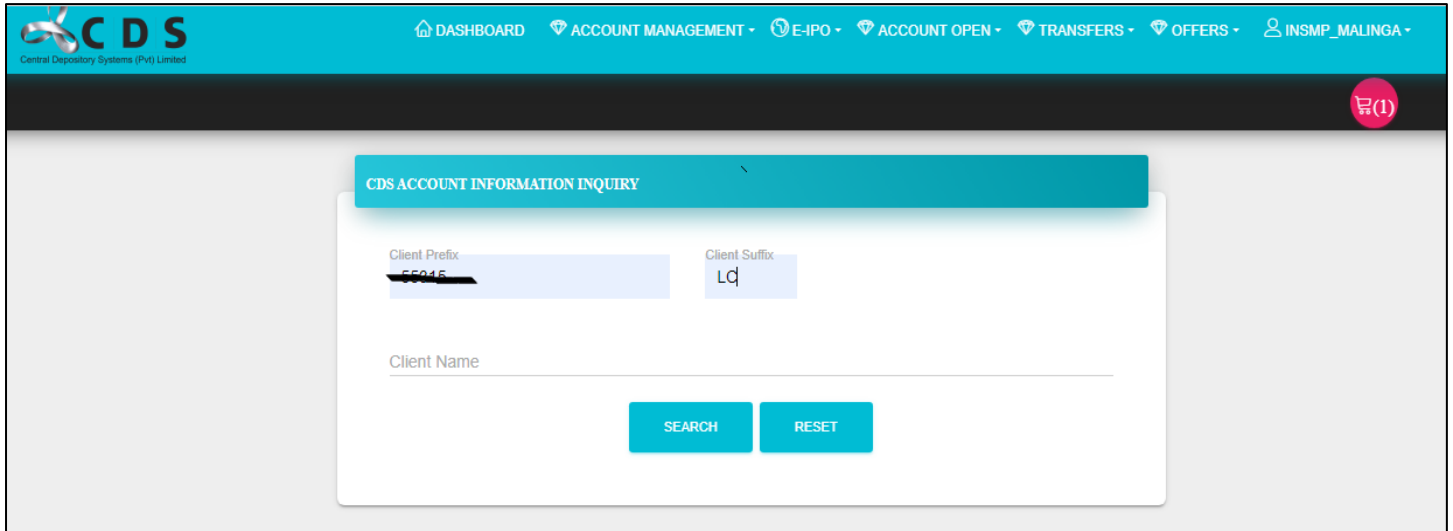
### 1.3.2 Authorized User

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

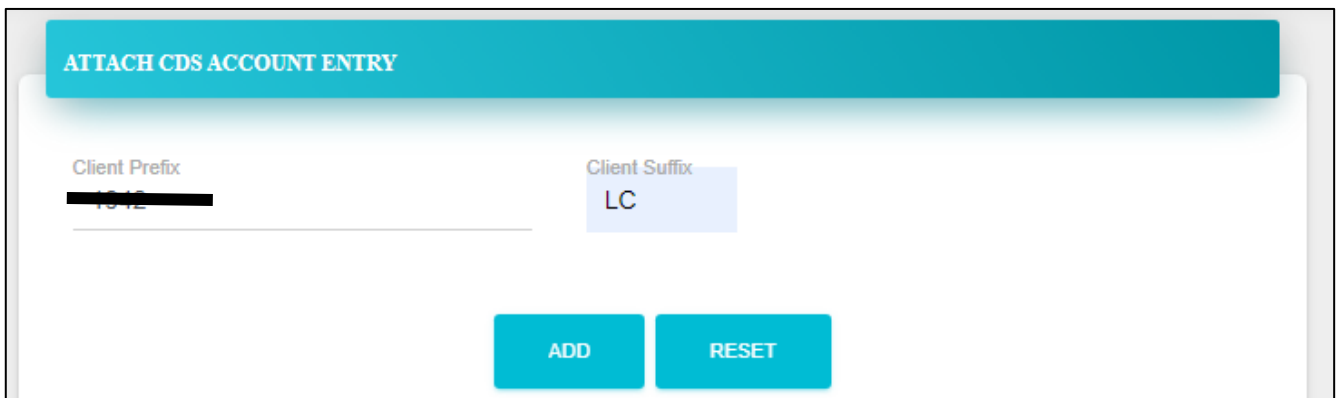
With this feature, users can attach new client accounts into the system where the Custodian banks possess a valid **Power of Attorney** to operate the CDS account.



The screenshot shows the 'CDS ACCOUNT INFORMATION INQUIRY' form. It features a teal header with the CDS logo and navigation links: DASHBOARD, ACCOUNT MANAGEMENT, E-IPO, ACCOUNT OPEN, TRANSFERS, OFFERS, and INSMPLMALINGA. A red notification icon with the number '1' is in the top right. The form has three input fields: 'Client Prefix' with the value '55045', 'Client Suffix' with the value 'LQ', and 'Client Name' which is empty. Below the fields are two teal buttons labeled 'SEARCH' and 'RESET'.

Go to “**Account Management**” and select “**Attach CDS Accounts**”

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



The screenshot shows the 'ATTACH CDS ACCOUNT ENTRY' form. It has a teal header with the title. Below the header are two input fields: 'Client Prefix' with the value '1842' and 'Client Suffix' with the value 'LC'. At the bottom of the form are two teal buttons labeled 'ADD' and 'RESET'.

### 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.

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.

**CDS ACCOUNT INFORMATION INQUIRY**

Client Prefix \_\_\_\_\_ Client Suffix \_\_\_\_\_

Client Name \_\_\_\_\_

SEARCH RESET

	Prefix	Suffix	Client Name	
1				Select
2				Select
3				Select
4				Select
5				Select
6				Select
7				Select

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

- Master Information of the client

Prefix - 10005 Suffix - LC

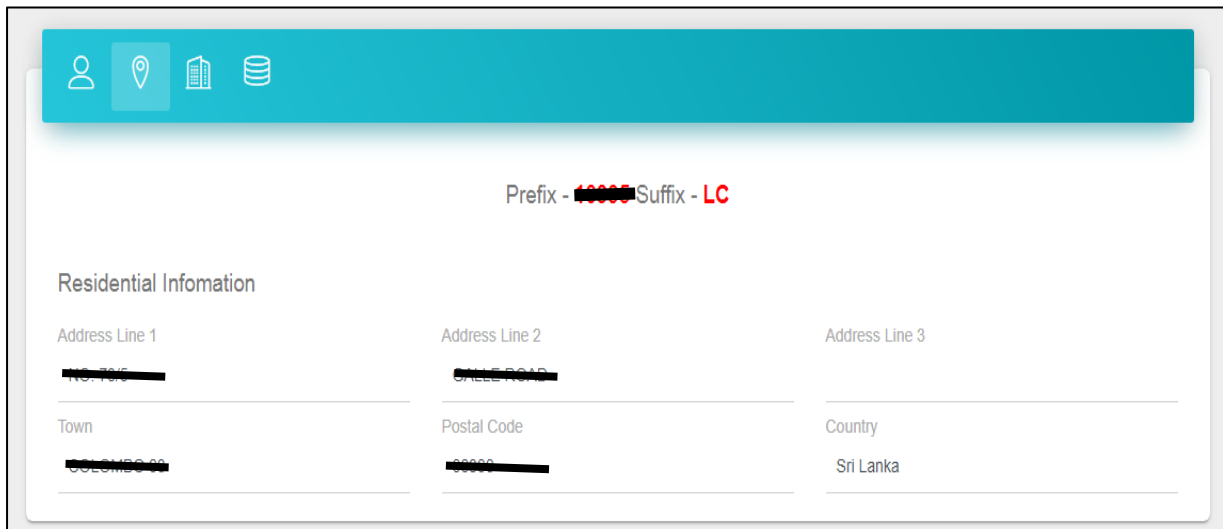
**Client Master Information**

Master Level Status: Dealing Allow      Client Type: MARGIN TRADING      Date of Incorporation: 2015/01/06

Name: [REDACTED]

Contact No: \_\_\_\_\_      Email Address: margintrading@stcc.com.sg

- Residential Information



Prefix - ~~40005~~ Suffix - LC

Residential Information

Address Line 1: ~~NO. 105~~

Address Line 2: ~~SMILE ROAD~~

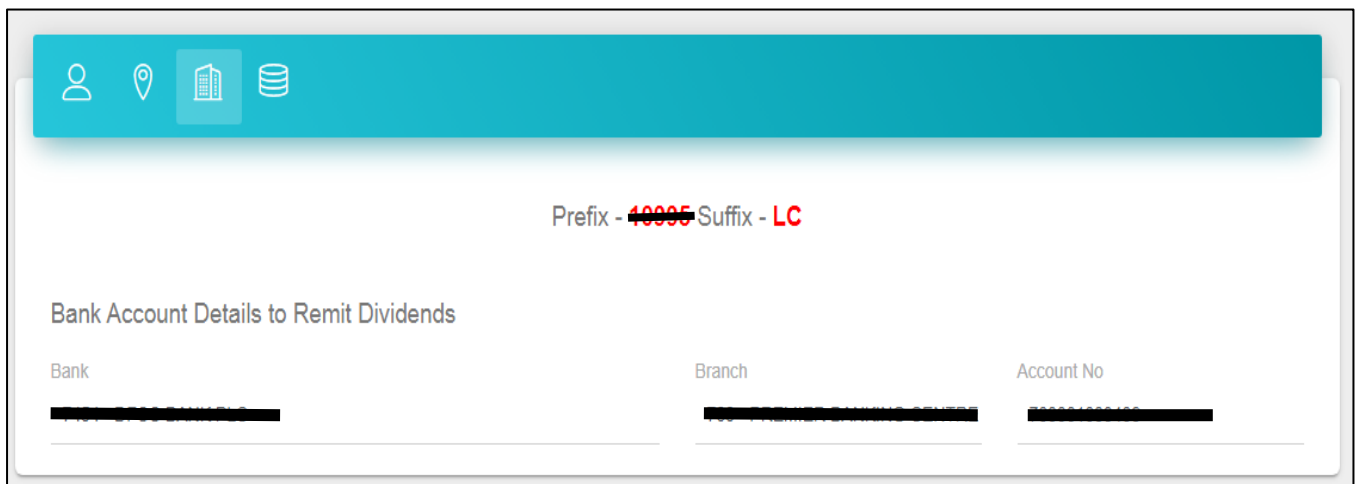
Address Line 3: \_\_\_\_\_

Town: ~~COLOMBO 09~~

Postal Code: ~~10000~~

Country: Sri Lanka

- Bank Account Details



Prefix - ~~40005~~ Suffix - LC

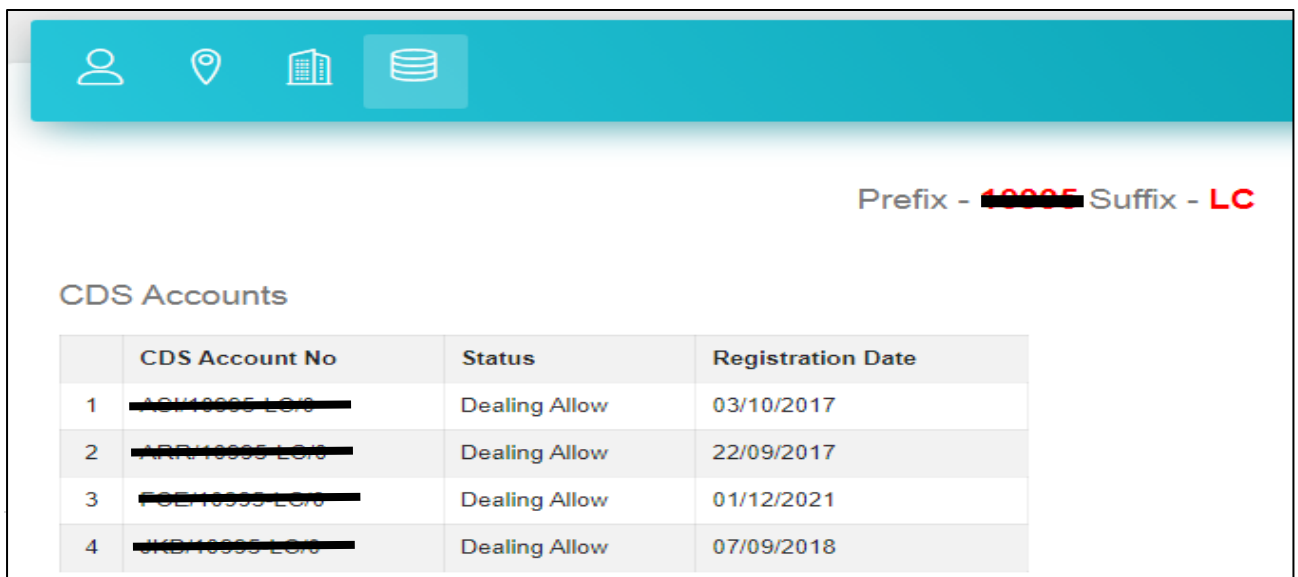
Bank Account Details to Remit Dividends

Bank: ~~Commercial Bank of Ceylon~~

Branch: ~~Colombo 09~~

Account No: ~~10000000000000000000~~

- CDS Account Registered



Prefix - ~~40005~~ Suffix - LC

CDS Accounts

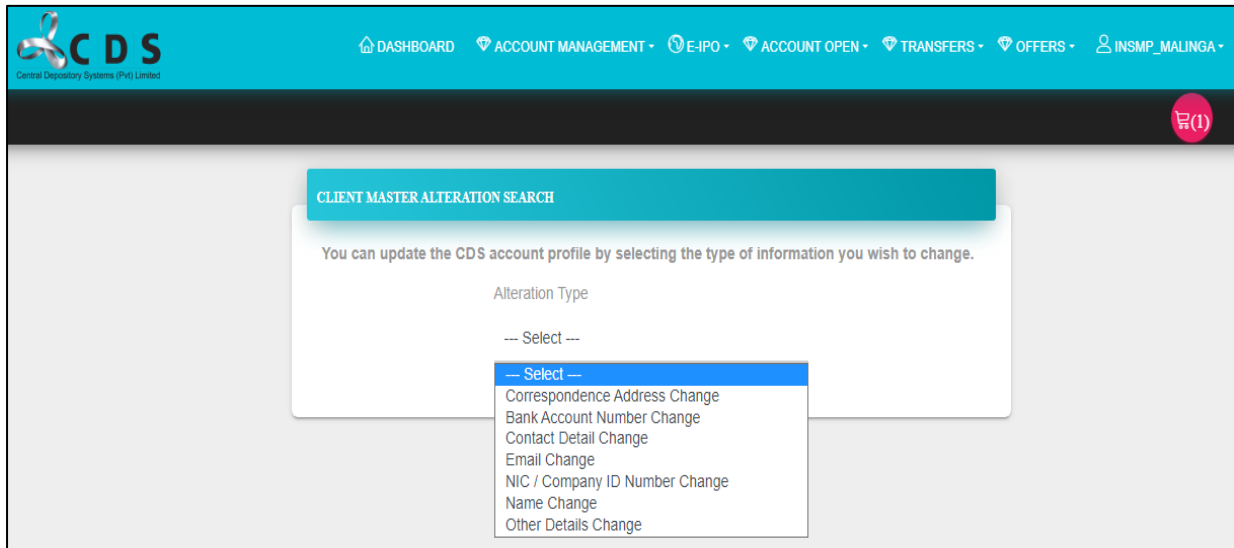
	CDS Account No	Status	Registration Date
1	<del>AGW/40005-LC/0</del>	Dealing Allow	03/10/2017
2	<del>ARR/40005-LC/0</del>	Dealing Allow	22/09/2017
3	<del>FOE/40005-LC/0</del>	Dealing Allow	01/12/2021
4	<del>AKB/40005-LC/0</del>	Dealing Allow	07/09/2018

## 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**”

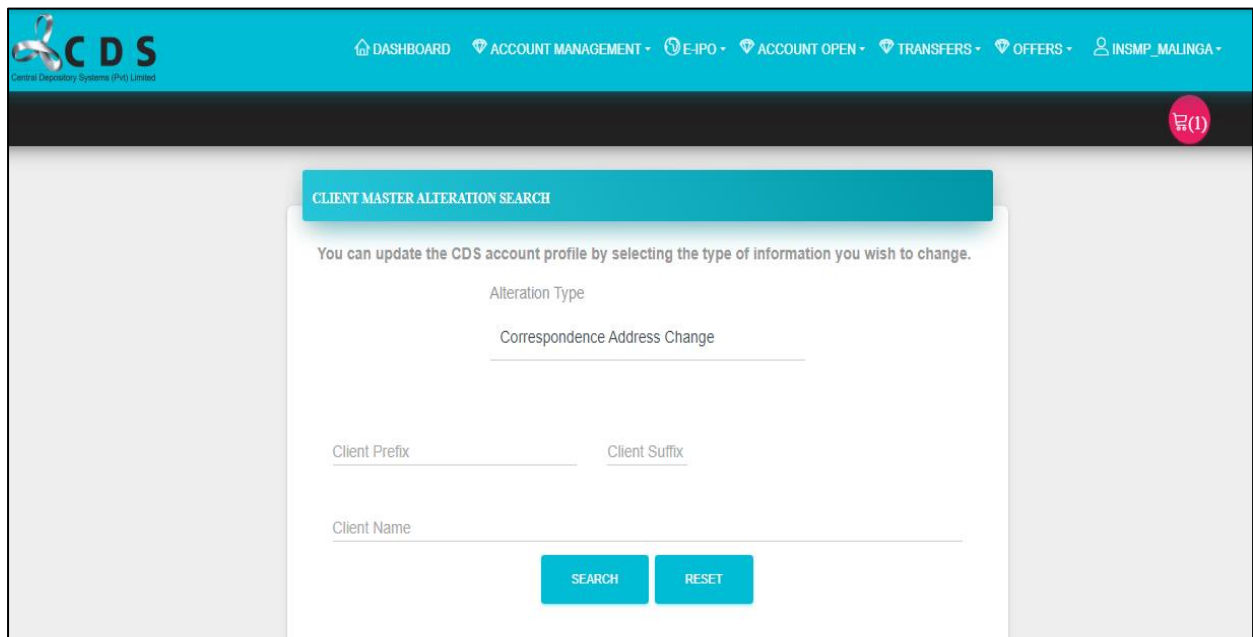
From the drop-down menu, user need to first select the type of information that need to be changed.



The screenshot shows the CDS web application interface. The top navigation bar includes the CDS logo and menu items: DASHBOARD, ACCOUNT MANAGEMENT, E-IPO, ACCOUNT OPEN, TRANSFERS, OFFERS, and INSMP\_MALINGA. A user profile icon is visible in the top right. The main content area features a form titled "CLIENT MASTER ALTERATION SEARCH". Below the title, a message states: "You can update the CDS account profile by selecting the type of information you wish to change." The form contains a label "Alteration Type" followed by a dropdown menu. The dropdown menu is open, showing the following options: "-- Select --", "Correspondence Address Change", "Bank Account Number Change", "Contact Detail Change", "Email Change", "NIC / Company ID Number Change", "Name Change", and "Other Details Change".

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



The screenshot shows the same CDS web application interface as the previous one. The "CLIENT MASTER ALTERATION SEARCH" form is displayed. The "Alteration Type" dropdown menu is now set to "Correspondence Address Change". Below this, there are input fields for "Client Prefix" and "Client Suffix". At the bottom of the form, there is a "Client Name" input field and two buttons: "SEARCH" and "RESET".

CDS Account No : ██████████  
 Name : ██████████

**CURRENT CORRESPONDENCE ADDRESS DETAILS**

Address 1 : ██████████  
 Address 2 : ██████████  
 Address 3 : ██████████  
 Town : ██████████  
 District : COLOMBO  
 Country : SRI LANKA  
 Country Of Residency : SRI LANKA  
 Nationality : SRI LANKA

**NEW CORRESPONDENCE ADDRESS DETAILS**

Address 1 : ██████████  
 Address 2 : ██████████  
 Address 3 : ██████████  
 Town : ██████████  
 District : COLOMBO  
 Country : SRI LANKA  
 Country Of Residency : SRI LANKA  
 Nationality : SRI LANKA  
 Billing proof : \*  No file chosen

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.



Prefix - ~~1720~~ Suffix - LC

CDS Account no(s) Balance type Security

--- All ---
ABC.N0000 (OPTIONAL)

Contact with us on (weekdays from 8.30am to 4.30pm) Whatsapp 📞: (+94)741766437, (+94)740449383. Voice 📞: (+94)112356455, (+94)112356450. © 2023 CSE-IT

Based on the requirement user can select balance type required.

Prefix - ~~1720~~ Suffix - LC

CDS Account no(s) Balance type Security

--- All ---
ABC.N0000 (OPTIONAL)

### 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.

**INTRA ACCOUNT TRANSFER**

Users need to update each field as required and submit

The screenshot shows a form titled "INTRA ACCOUNT TRANSFER DETAIL". The fields are as follows:

- CDS Account Name: [REDACTED]
- Transfer Type: Tradable to Tradable
- From Account: [REDACTED]
- To Account: [REDACTED]
- Security: ABC.N0000 (OPTIONAL)

At the bottom of the form, there are two buttons: "SEARCH" and "BACK".

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

This image shows a close-up of the "Transfer Type" dropdown menu. The menu is open, displaying the following options:

- Tradable to Tradable
- Locked to Locked
- Locked to Tradable

Below the dropdown menu, the "To Account" and "Security" fields are visible, with the security value being "ABC.N0000 (OPTIONAL)". At the bottom, there are "SEARCH" and "BACK" buttons.

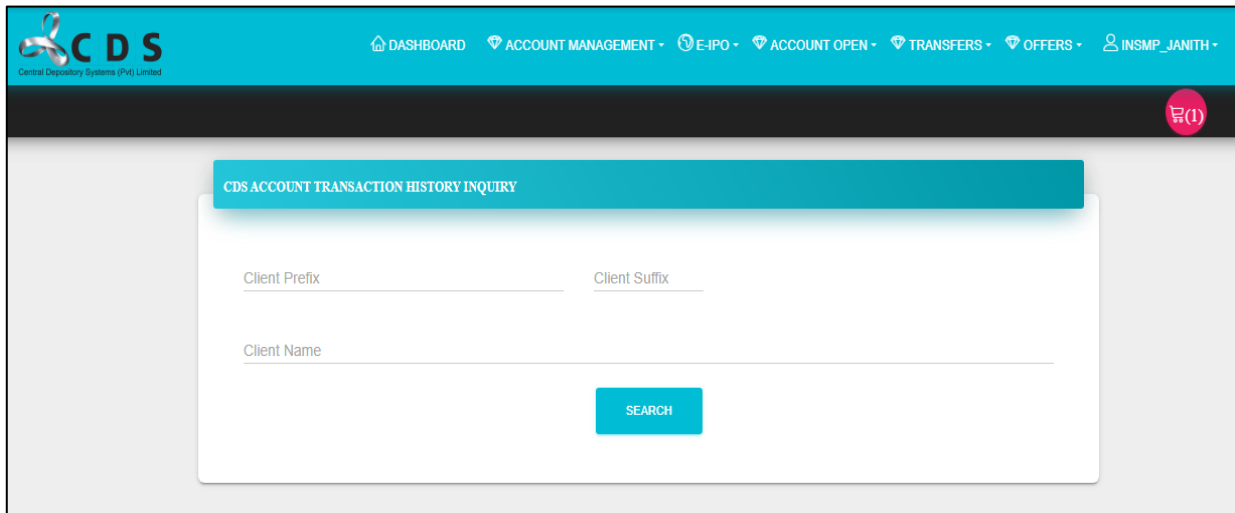
Once the user clicks the “**Submit**” this will automatically lead to the Authorized User of the wealth manager/custodian for the approval and once the Authorized user approves it, then it will direct to the relevant brokers for the approval. Once the stockbroker approves it then it will come to the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

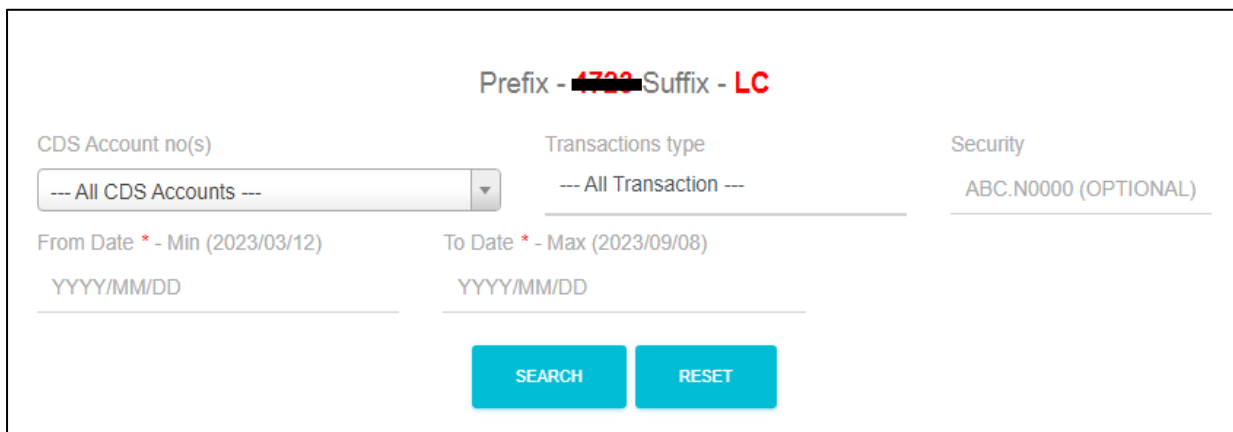
Go to “**Account Management**” and select “**Transaction History**”

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.



The screenshot shows the 'CDS ACCOUNT TRANSACTION HISTORY INQUIRY' form. At the top, there is a navigation bar with the CDS logo and menu items: DASHBOARD, ACCOUNT MANAGEMENT, E-IPO, ACCOUNT OPEN, TRANSFERS, OFFERS, and a user profile for INSMP\_JANITH. The form itself has a teal header with the title. Below the header, there are three input fields: 'Client Prefix', 'Client Suffix', and 'Client Name'. A teal 'SEARCH' button is positioned below the 'Client Name' field.

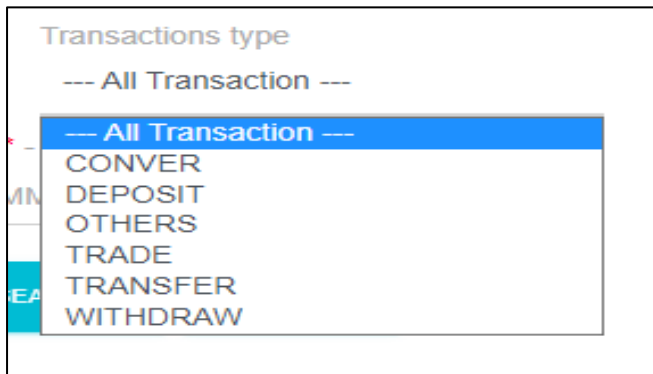
Using the below window users can search the required transaction history information of a client.



The screenshot shows a search form for transaction history. At the top, it displays 'Prefix - ~~4722~~ Suffix - LC'. Below this, there are three main sections: 'CDS Account no(s)' with a dropdown menu showing '--- All CDS Accounts ---', 'Transactions type' with a dropdown menu showing '--- All Transaction ---', and 'Security' with the text 'ABC.N0000 (OPTIONAL)'. There are also two date fields: 'From Date \* - Min (2023/03/12)' and 'To Date \* - Max (2023/09/08)', both with 'YYYY/MM/DD' placeholders. At the bottom, there are two teal buttons: 'SEARCH' and 'RESET'.

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

- Deposits
- Transfers
- Withdrawals
- Trade
- Conversions

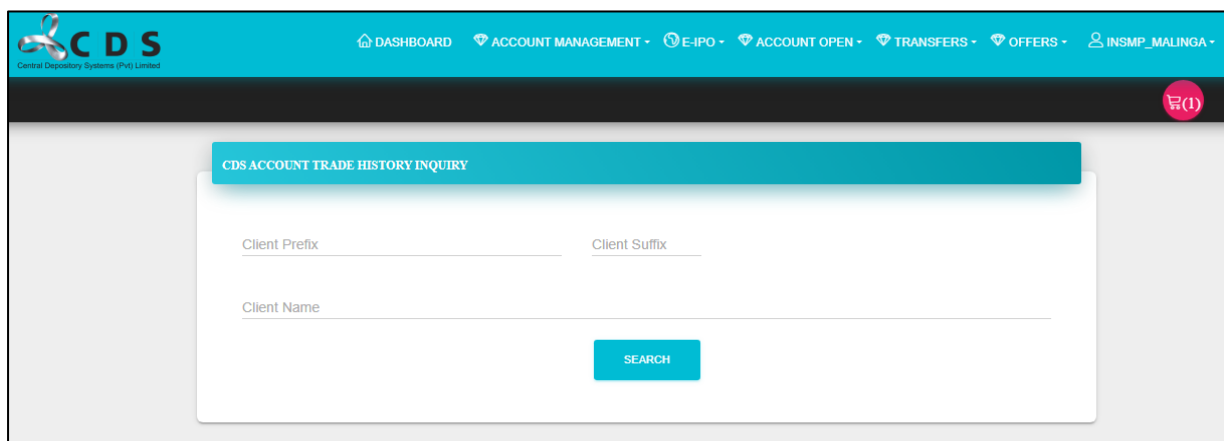


Note: Search information available only up to **180 days**

## 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.

Prefix - ~~9702~~ Suffix - LC

CDS Account no(s)	Trade type	Security
<input type="text" value="-- All CDS Accounts --"/>	<input type="text" value="-- All --"/>	<input type="text" value="ABC.N0000 (OPTIONAL)"/>
From Date * - Min (2022/08/06)	To Date * - Max (2023/02/02)	
<input type="text" value="YYYY/MM/DD"/>	<input type="text" value="YYYY/MM/DD"/>	
<input type="button" value="SEARCH"/> <input type="button" value="RESET"/>		

### 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**”

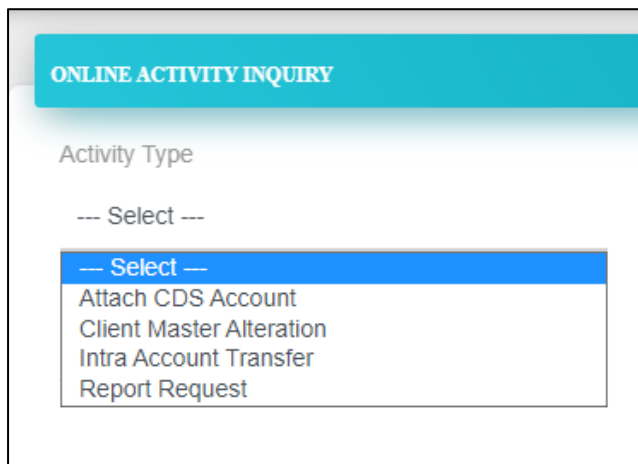
In this window users can either enter the relevant “Client Prefix and Client Suffix” of the relevant client or do a general search and then select the required client account.

## 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**”

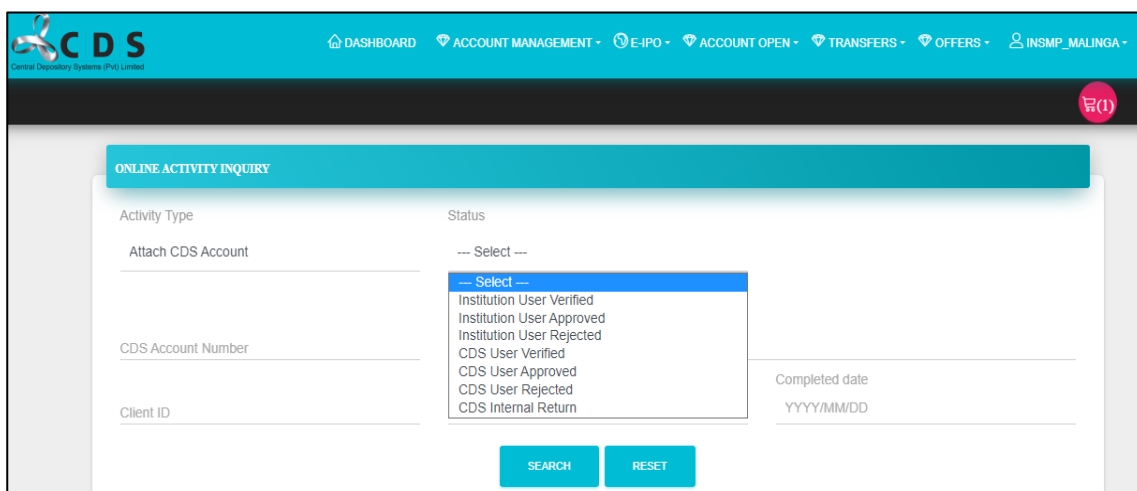
In here, users first need to select the relevant “Activity Type” from the drop-down menu



The screenshot shows a form titled "ONLINE ACTIVITY INQUIRY". It features a label "Activity Type" followed by a dropdown menu. The dropdown menu is open, showing the following options: "-- Select --", "Attach CDS Account", "Client Master Alteration", "Intra Account Transfer", and "Report Request".

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”



The screenshot shows the "ONLINE ACTIVITY INQUIRY" form with the "Activity Type" dropdown set to "Attach CDS Account". The "Status" dropdown menu is open, showing the following options: "-- Select --", "Institution User Verified", "Institution User Approved", "Institution User Rejected", "CDS User Verified", "CDS User Approved", "CDS User Rejected", and "CDS Internal Return". The form also includes input fields for "CDS Account Number", "Client ID", and "Completed date" (with a placeholder "YYYY/MM/DD"). There are "SEARCH" and "RESET" buttons at the bottom.

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

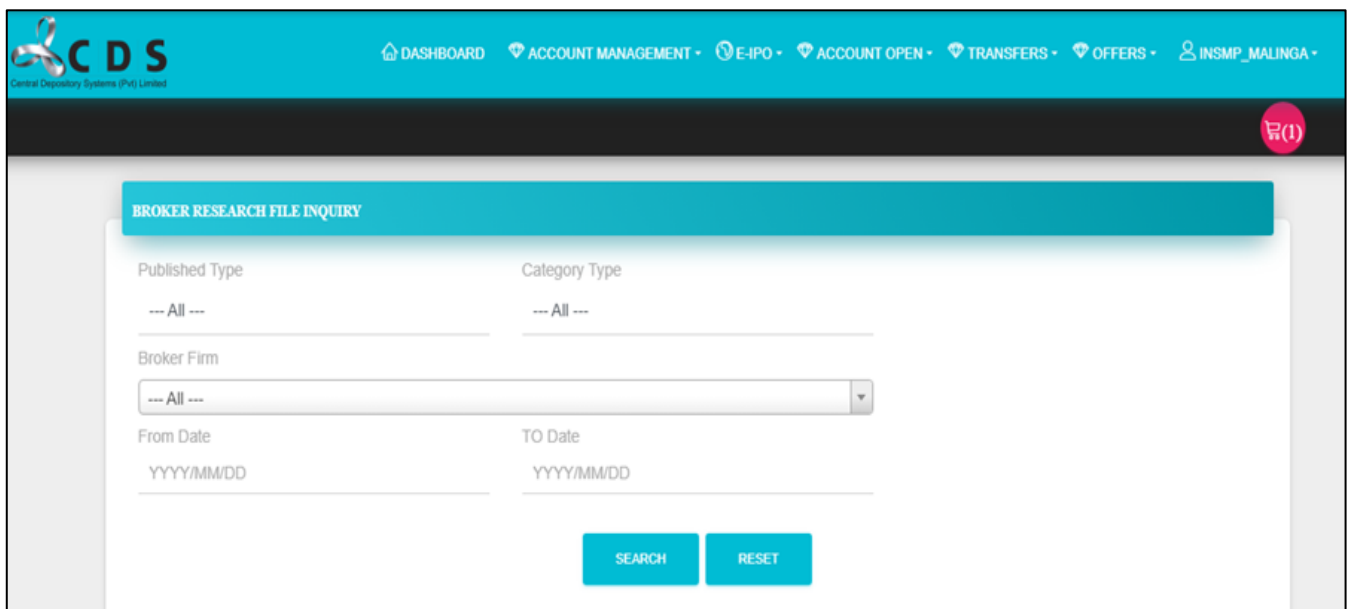
range and run a search. Then, only the client accounts fallen into the entered criteria and filters will display.

## 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



The screenshot shows the CDS (Central Depository Systems) web interface. The top navigation bar includes links for DASHBOARD, ACCOUNT MANAGEMENT, E-IPO, ACCOUNT OPEN, TRANSFERS, OFFERS, and a user profile for INSMP\_MALINGA. The main content area is titled "BROKER RESEARCH FILE INQUIRY" and contains the following fields:

- Published Type: --- All ---
- Category Type: --- All ---
- Broker Firm: --- All --- (dropdown menu)
- From Date: YYYY/MM/DD
- TO Date: YYYY/MM/DD

At the bottom of the form are two buttons: SEARCH and RESET.

## 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 \* Main Type \*

--- Select --- --- Select ---

Sub Type \* Participant Type \*

\_\_\_\_\_

Output Type \* Request Type \*

\_\_\_\_\_ --- Select ---

**REQUEST REPORTS**

Company Accounts \* Main Type \*

--- Select --- --- Select ---

Sub Type \* Participant Type \*

--- Select ---

Ledger transactions

Duplicate monthly statements

Portfolios

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

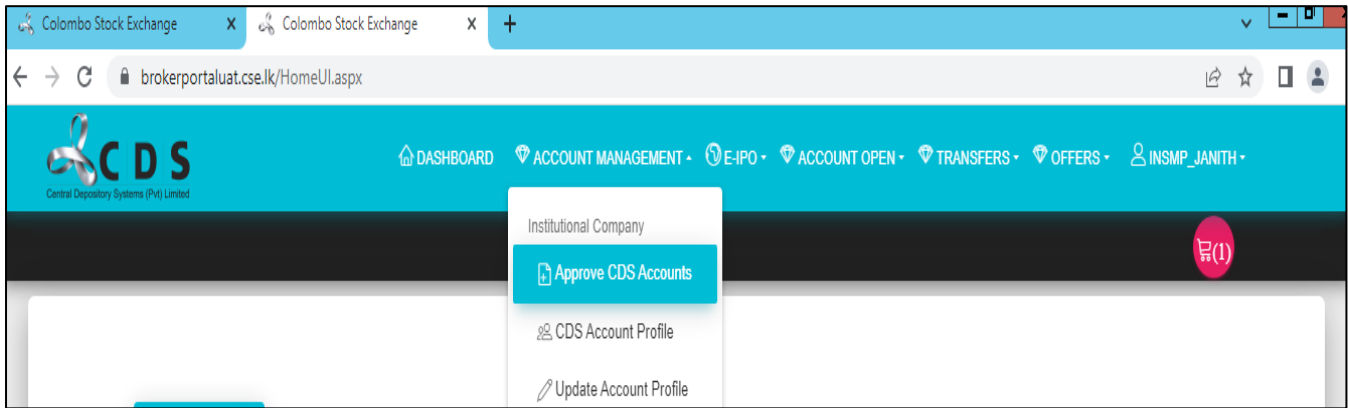


### 3 Features available for “Authorized User”

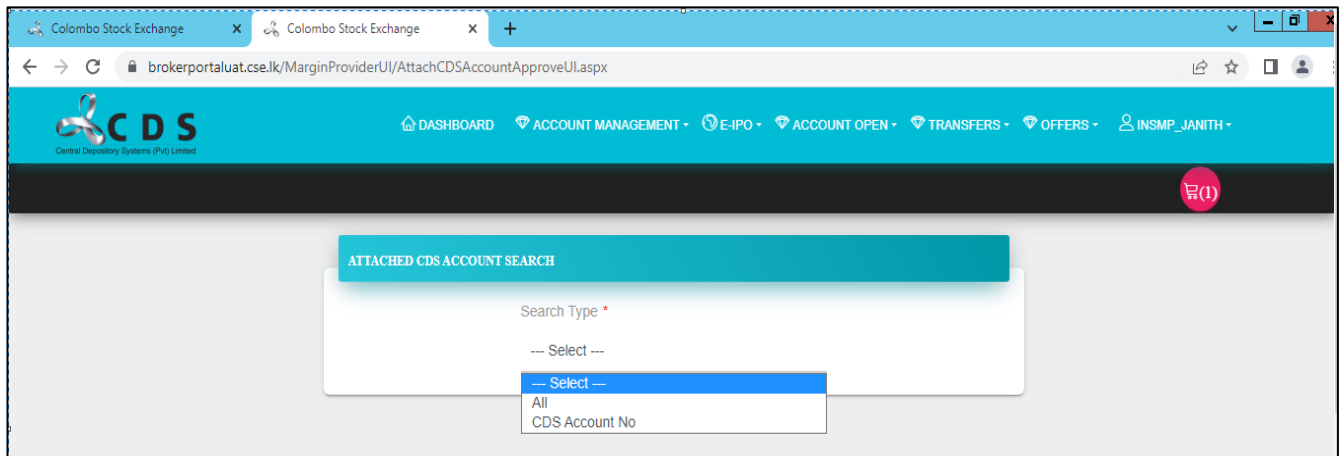
#### 3.1 Approve a new account addition

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

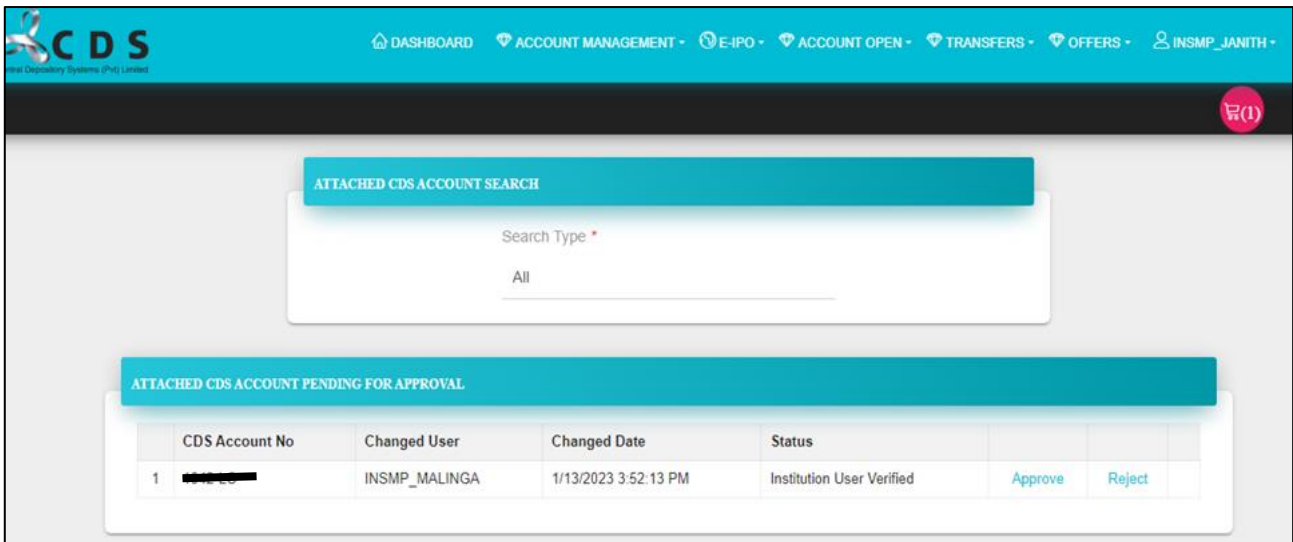
Go to “Account Management” and select “Approve CDS Account”



Then select the required “Search Type”

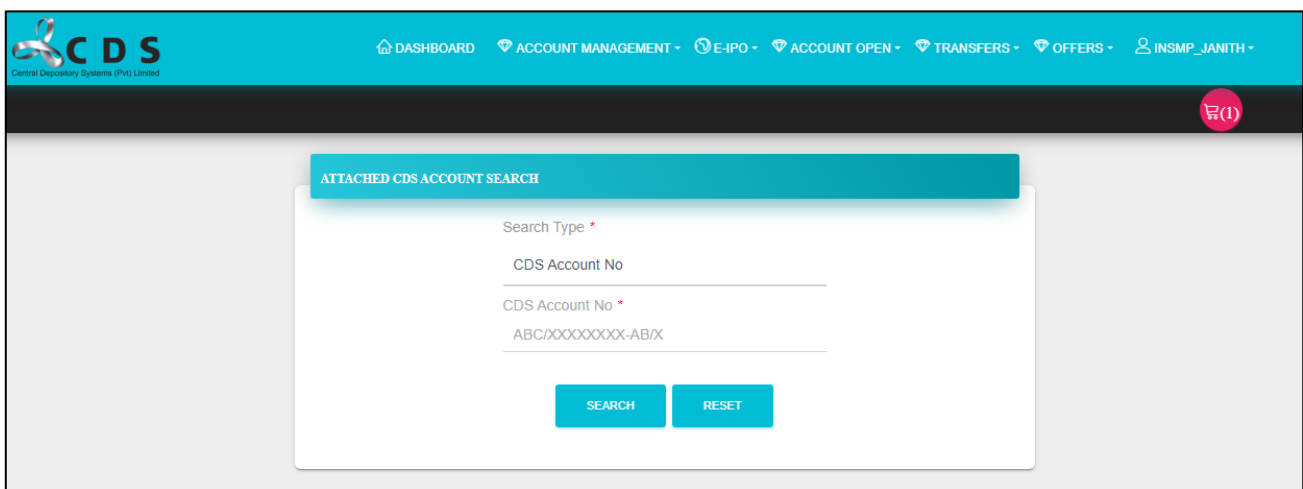


If the user selects “All”, then this will show all the CDS accounts attached which are pending for approval from the authorized user.



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.

	CDS Account No	Name	Alteration Type	Entered User	Enter Date	Changed User	Cha
1	[REDACTED]	WALDOCK MACKENZIE LIMITED MR. J. PRASADH	Bank Account Number Change	INSMP_MALINGA	2022/12/27	INSMP_MALINGA	202

Then the user can either “Accept or Reject” the update request accordingly and “Submit”.

CDS Account No: [REDACTED]  
 Name: WALDOCK MACKENZIE LIMITED MR. J. PRASADH  
 Company Name: WALDOCK MACKENZIE LTD  
 Contact Name: J. PRASADH  
 Contact Number: - Mobile Number: - Email: [REDACTED]

**Bank Account Number Change**

CURRENT BANK DETAILS		NEW BANK DETAILS	
Bank Name :		Bank Name :	7010 - BANK OF CEYLON
Branch Name :		Branch Name :	001 - City Office
Account No :		Account No :	[REDACTED]

Upload Document Name		
1	First client who submitted the MF change through E-connect - 28-06-2021.pdf	<a href="#">Download</a>

**Accept**     **Reject**

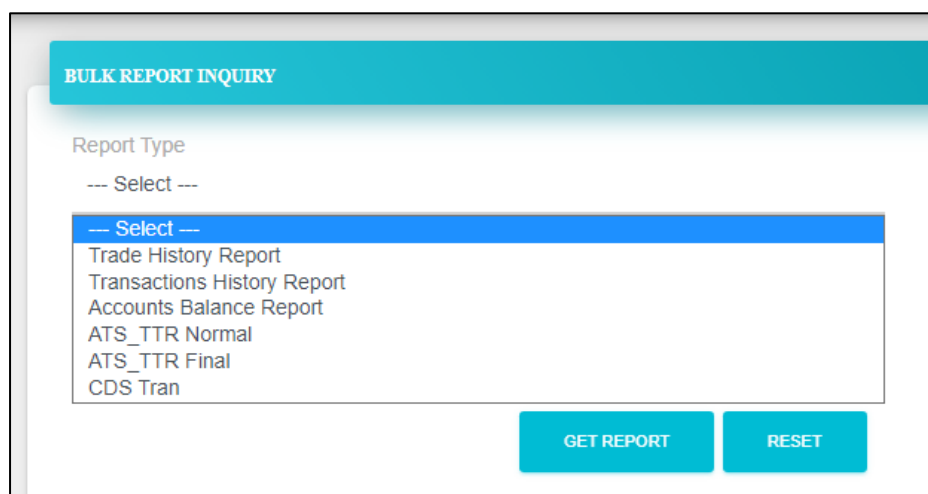
## 4 Value Added Reports

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.



The screenshot shows a web interface titled "BULK REPORT INQUIRY". It features a "Report Type" dropdown menu with the following options: Trade History Report, Transactions History Report, Accounts Balance Report, ATS\_TTR Normal, ATS\_TTR Final, and CDS Tran. Below the dropdown are two buttons: "GET REPORT" and "RESET".

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