**CDSL VENTURES LTD**

CHECK LIST FOR ONBOARDING

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| --- | --- | --- |
| SR No. | Details Of Documents to be submitted | Status |
| 1 | Master Creation Form |  |
| 2 | Agreement Between CVL & Issuer Company |  |
| 3 | Tariff sheet to be attached to agreement-Schedule 2  |  |
| 4 | Board Resolution in Suggested Format For Joining CVL as RTA along with List of Authorised Signatory |  |

**Applicable for Companies with physical folios**

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| --- | --- | --- | --- | --- | --- |
| Sr.No. | Document Type | Document Sr. No. | Missing Ranges | Date/period | Remarks |
| From | To | From | To | from | To |  |
| 1 |  |  |  |  |  |  |  |  |

While handing over the documents and the data,the following shall be listed in the above format.

1. Specimen signatures of the physical shareholders (Two separate files i.e. live/Nil folios)
2. Transfer deeds duly transferred
3. Pending transfer deeds alongwith share certificates, received for transfer (on cut-off-date)
4. Demat/remat request forms for already demated/remated shares
5. Pending cases for demat/remat, if any on cut-off-date
6. Register of stop transfers, name correction, transmission,duplicate consolidation/splits/c .
7. Register of power of attorney cases and their specimen signatures
8. Memorandum of articles & board resolutions for corporate bodies
9. Register and file of mandate cases.
10. File of indemnity bonds received for duplicate share certificates .
11. File of stop transfer cases letter/co urt injunction
12. Return of allotment register (latest ROM given to client for filing)
13. Allottee register for all issues (public/rights)
14. Bank schedules
15. Bulk/ucp registers for all share cert ificates dispatched .
16. Register of members
17. Paid/unpaid list for refund/dividend (all years)
18. Paid/unpaid list for allotment/call money
19. Reconciliation of refund/dividend accounts
20. Paid stubs allotment/call money
21. Correspondence with shareholders
22. File of legal cases/court/cons umer forum
23. Files of SEBI/Stock exchange /EOW/MCA related correspondences.
24. Undelivered postal articles (share certificates/refund/dividend warrants)
25. Allottee books
26. Non-allottee books
27. Latest audit certificates by PCS for capital reconciliation/annual return/47-c audit.
28. Copies of Master creation forms for corporate actions done post IPO.
29. List of abeyance cases if any.

**Computer Data**

1. Name master (Folio master) with detail code list.
2. Certificate master, distinctive numbers along with capital history
3. Transaction files (transfer/demat/remat/name deletion/consolidation) from the day one.
4. Allottee/non-allottee data (public/rights)
5. Dividend files (all years) including dividend data transferred to IEPF
6. Latest Paid/unpaid dividend/refund reconciliation files
7. Allotment/call money paid/unpaid files
8. Signature scanned data, if any (compatible to our system.jpg or .tif)
9. Benpos and history file of NSDL & CDSL for previous period.
10. Data of Distinctive number uploaded in either of the depositories
11. Data of promoter's information uploaded on NSDL/CDSL for continual disclosure
12. Files of continual disclosure submitted with stock exchanges.
13. Any other data that may be relevant for take over.

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