

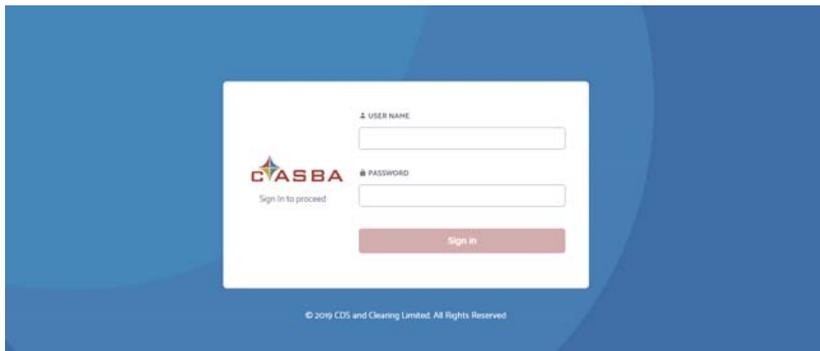
CASBA Manual

C-ASBA application is a centralized web application designed for primary market in Nepalese Securities Market. The application allows ASBA member banks to register customers and collect application from the investors applied for the IPO/RIGHTS/FPO issued by the companies. ASBA member banks can generate the reports for the application received in the system and provide the required upload able file to block the required amount of fund in their bank account of the respective customers.

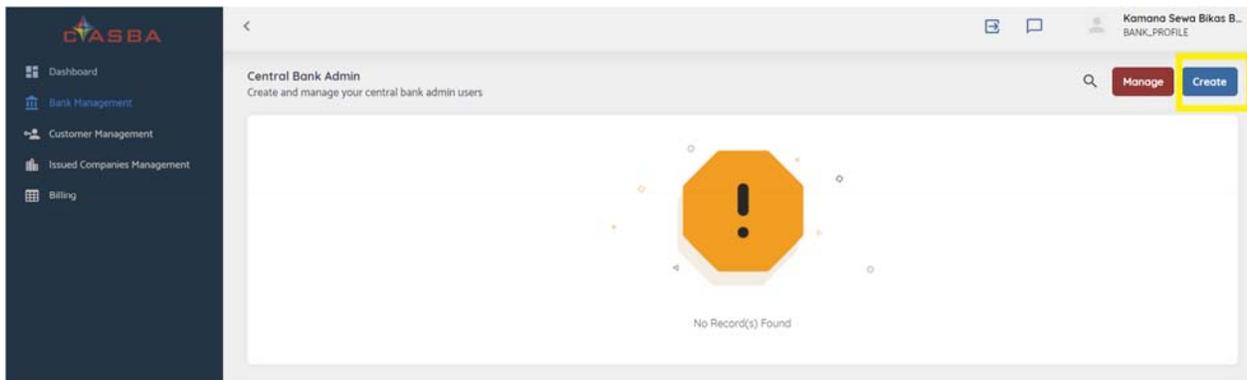
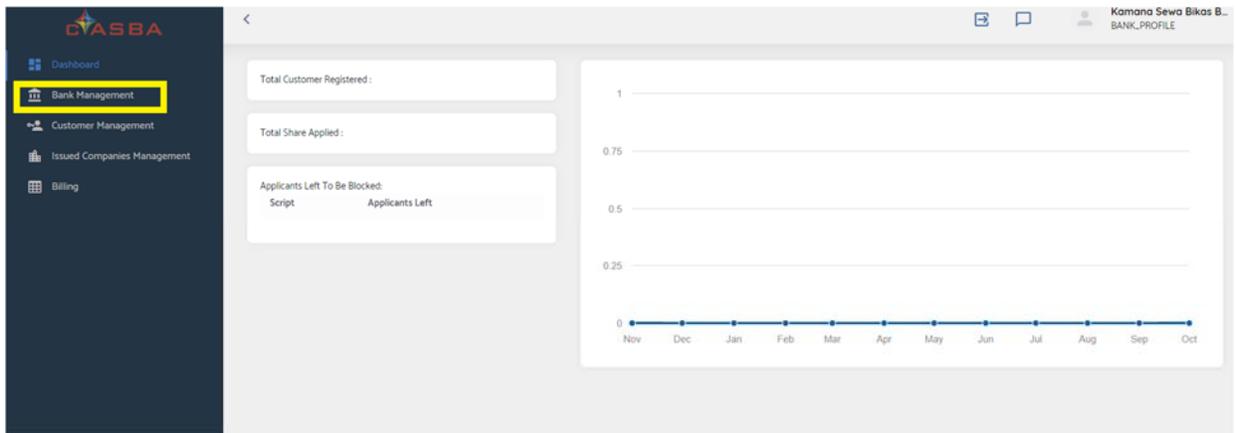
Bank users needs to follow the following steps to work on C-ASBA application.

User Registration (Bank Users)

- ❖ CDSC provides a master user for each of the C-ASBA registered Banks. To login the system using master user provided by CDSC, please visit <https://172.16.0.138> (<https://casba.cdsc.com.np>).



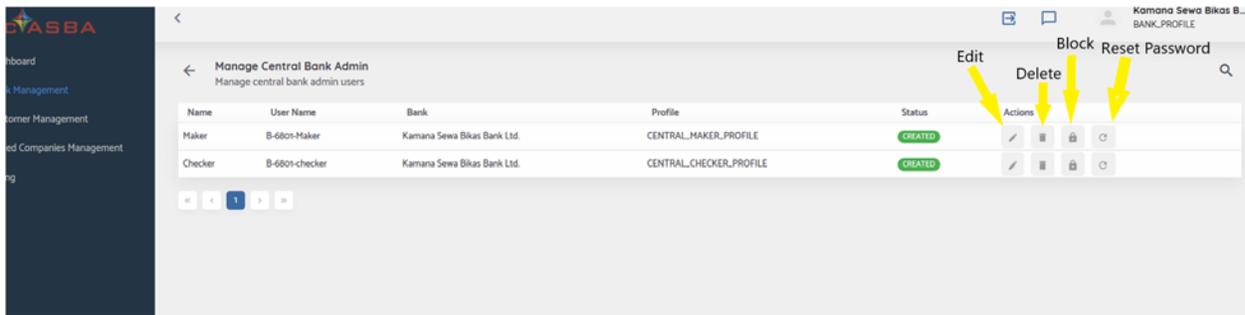
- ❖ Once you login to the system, you need to create Central Users for C-ASBA operation. There are two types of users called
 1. Central_Maker
 2. Central_CheckerAt least one user needs to be created for each profile. To create Central users, follow the following steps:
 - Click on Bank management menu as highlighted in the below screenshot.



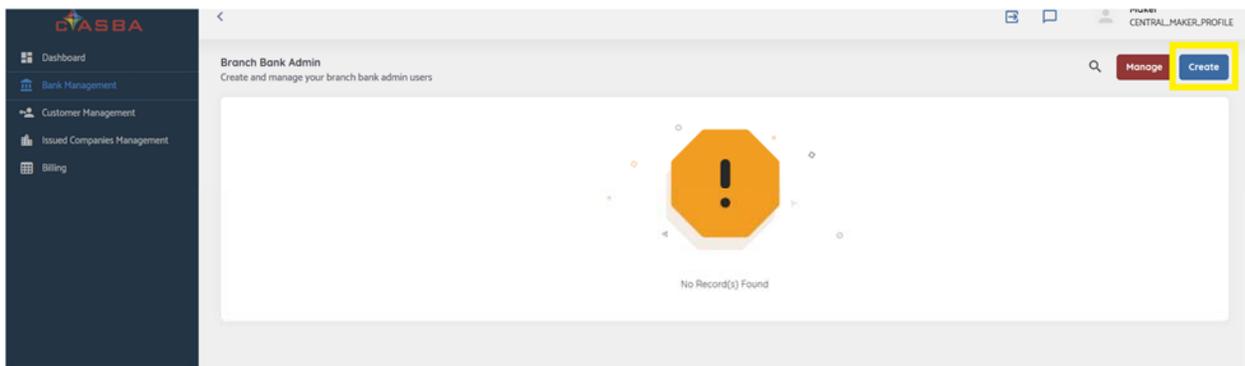
- Click on Create button to create new users.
- Enter all the required information and select appropriate profile for the user. If you wish to set password for the user manually, you can click on “Set Now” icon and enter the password as in below screenshot, in general the system automatically forwards the password to the email address mentioned in the email field.

The screenshot shows the 'Create Central Admin' form. The form has the following fields: NAME (Maker), USERNAME (B-6801- Maker), NEW PASSWORD (masked with dots), CONFIRM PASSWORD (masked with dots), CONTACT NUMBER (123456789), ADDRESS (123456789), and EMAIL (maker@localhost.com). There are 'Create' and 'Reset' buttons. The 'PASSWORD DELIVERY TYPE' section has 'EMAIL' selected and a 'SET NOW' button. The 'PROFILE' dropdown menu is open, showing options: 'Please choose one', 'CENTRAL_MAKER_PROFILE', and 'CENTRAL_CHECKER_PROFILE'.

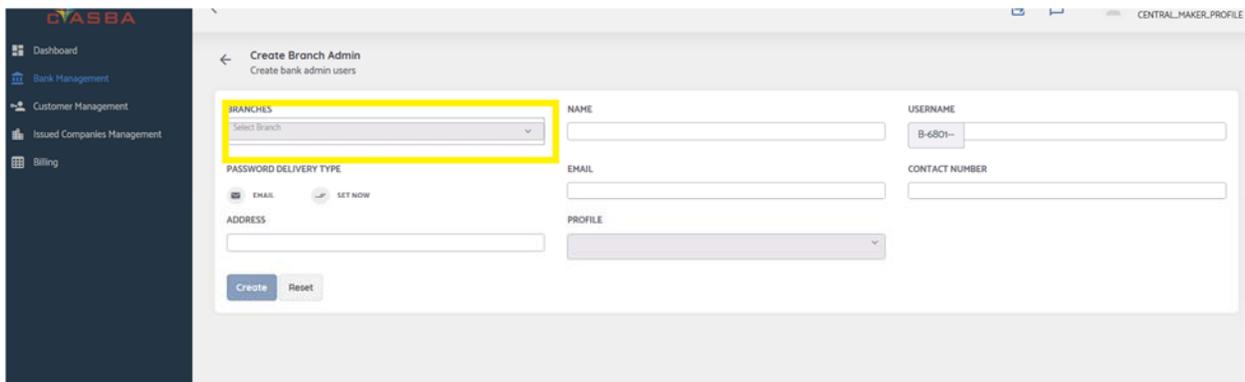
- If you wish to modify the users you have created before, click on the Manage button available in Bank Management Page.



- Master User can Edit, Delete, Block or Reset the password for the Central Admin Users.
- ❖ Central Admin users can create and manage their Branch Users and perform Amount Block/Release Operation.
- ❖ To create Branch Users, login using Central Admin (Maker User) and create users as explained below.
 - Go to Bank Management Page and click on Create button.



- Select required Branch for the user creation and fill up the required information.



- Select required profile for the branch users.
- Remember that each branch needs to have at least one user for each profile.

- To modify users, go to Bank Management page and Click “Manage” Button.
- Central Maker users can Edit, Delete, Block or Reset the password for Branch Users.

❖ Once the branch users are created/Modified from central Maker Users, it needs to be approved by central Checker Users. For the approval process follow the steps as below:

- Login to the application using Central Checker User and go to Bank Management page.
- If there are any pending user creation/modification task pending for approval, then click on Approve button.

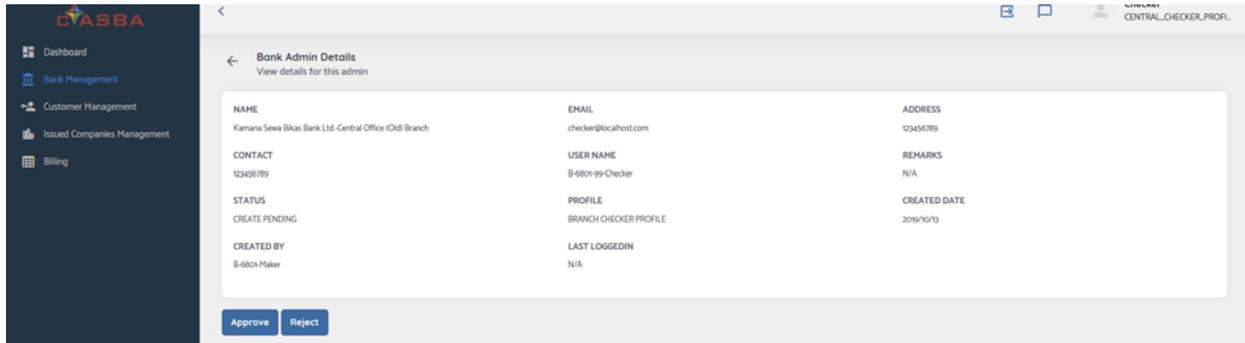
Name	User Name	Bank	Branch	Profile	Status
Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	B-6801-99-maker	Kamana Sewa Bikas Bank Ltd.	Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	BRANCH_MAKER_PROFILE	CREATED
Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	B-6801-99-Checker	Kamana Sewa Bikas Bank Ltd.	Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	BRANCH_CHECKER_PROFILE	CREATE PENDING

- There are multiple tabs available in the page with each type of transaction headings. Check for the requests received for each type of transactions. If the request is to be approved for User creation, a list of users with “CREATE PENDING” status as in the figure below will appear. Likewise, lists of user transaction to be approved for each task can be viewed in respective tab.

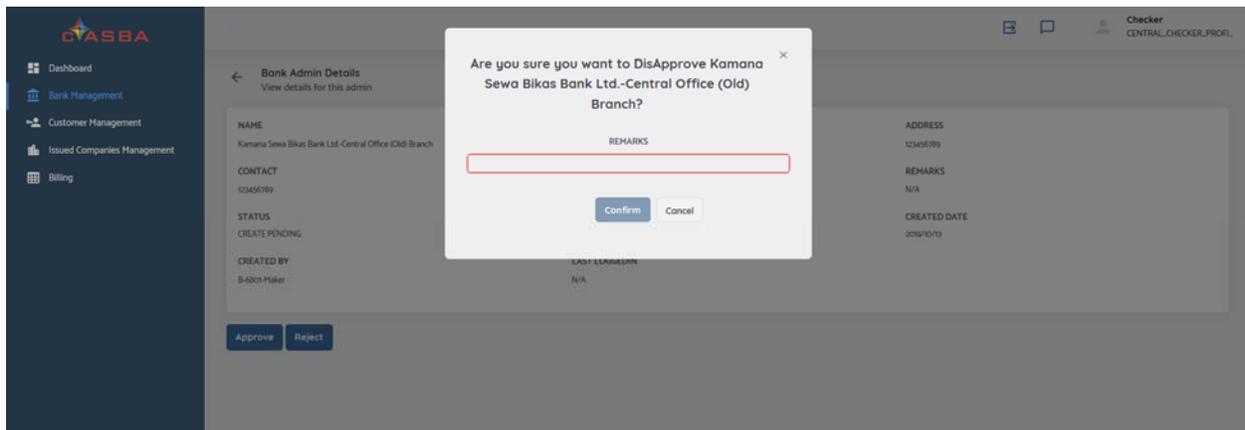
Name	User Name	Bank	Branch	Profile	Status
Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	B-6801-99-Checker	Kamana Sewa Bikas Bank Ltd.	Kamana Sewa Bikas Bank Ltd.-Central Office (Old) Branch	BRANCH_CHECKER_PROFILE	CREATE PENDING

- Click on the list for the approval of the transaction.

- Check the details of the users, assigned profile, status, etc. before approving the transaction.

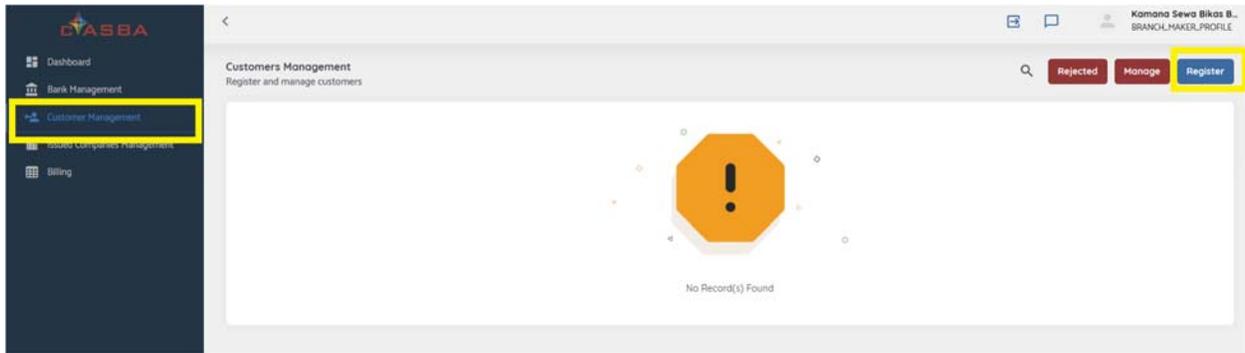


- If the transaction is to be rejected due to some reason, click on reject button, a popup remarks will be displayed. Enter valid remarks and click on confirm button.

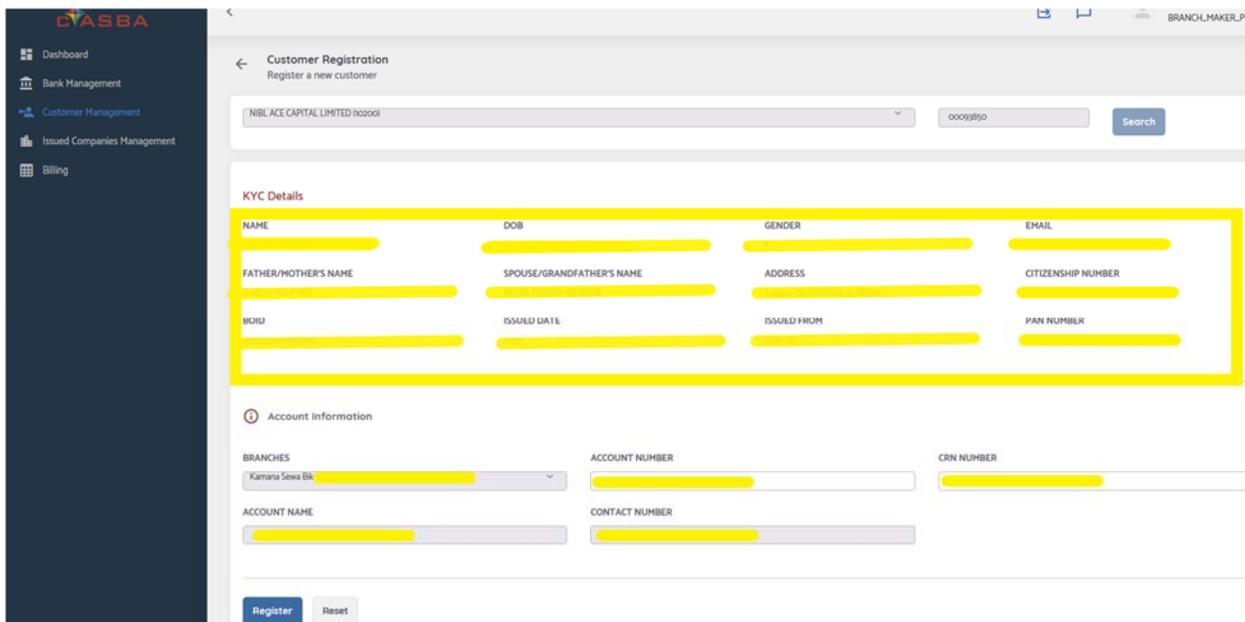


Customer Registration

- ❖ Branch Maker needs to register the customer in C-ASBA system to map Client's BOID with their Bank Accounts. To register the customer in C-ASBA follow the below steps:
 - Login to the system using Branch Maker User.
 - Go to Customer Management Page.
 - Click on Register Button.



- Select the DP from the list as mentioned in C-ASBA registration form and enter the client id. For example, if the customer with BOID: 13010200000XXXXX is to be registered, then select DP ID as NIBL Ace Capital (10200) and put last eight-digit (000XXXXX) numbers of the BOID in the BOID Field.

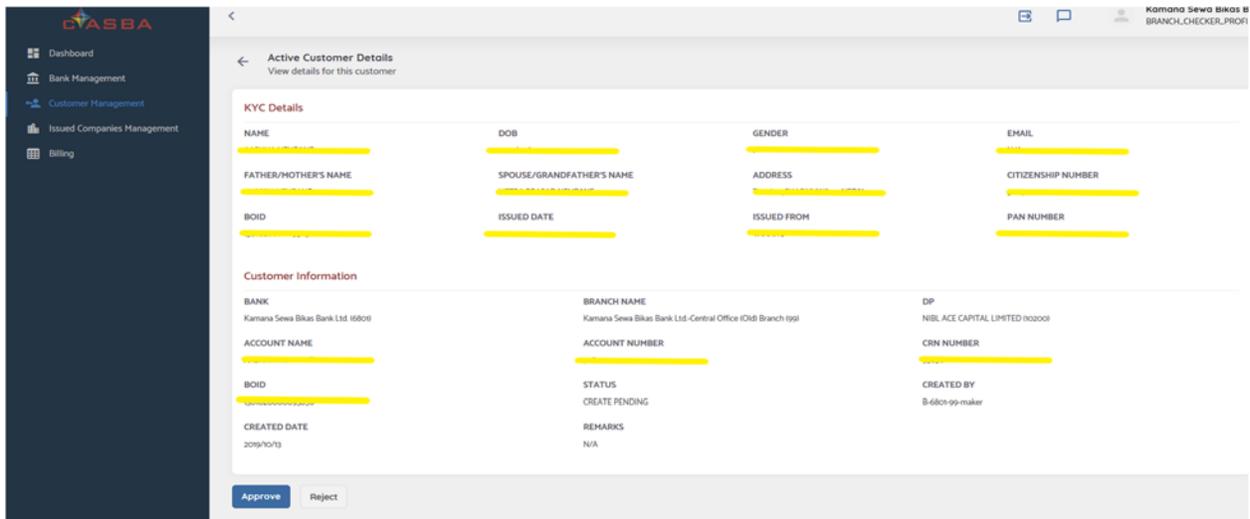


- Application will display KYC details as per the Demat Account available in CDSC database. Please verify these Details with the KYC details of same customer as per the Bank Account. If everything is matched enter the Bank Account number and CRN Number assigned for the Customer in the Account Information Section and Click on Register Button.

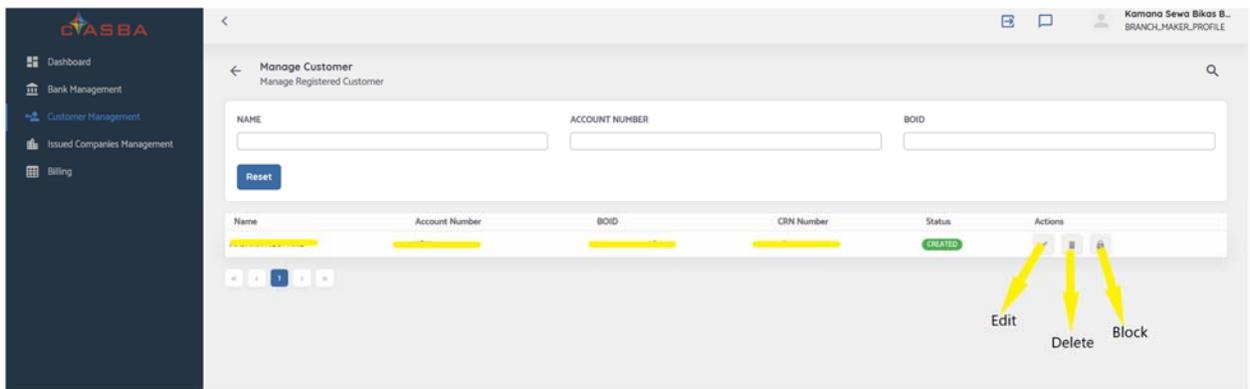
- Once the Customer is registered by Branch Maker user, it needs to be approved by Checker user of same branch. To approve the customer registration request, login to the system using branch checker user and go to customer management page.

Name	Account Number	CRN	Bold	Status
[Redacted]	[Redacted]	[Redacted]	[Redacted]	CREATE PENDING

- If there are any pending transaction for customer registration/ modification click on approve button.
- A page with multiple transaction tab will open. All the pending transaction with each transaction type will be listed in the respective tabs. Click on the transaction list appeared in the page that needs to be approved and verify the details.



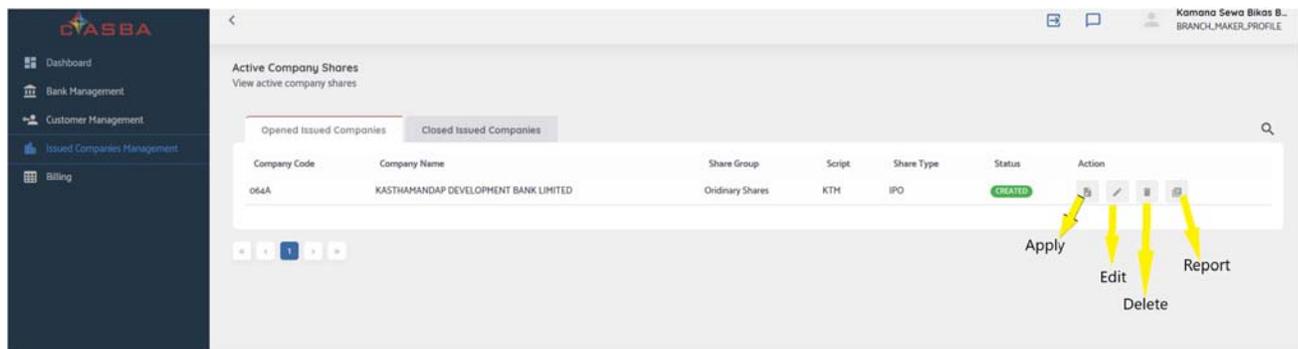
- If every detail is acceptable then click on approve button to approve the client registration request.
- ❖ Customer Registration data can be edited or blocked or deleted any time if needed. To edit/block or delete the customer registration data, follow the following step.
 - Login to the application using branch maker users and go to customer management page.
 - Click on Manage button and select the Customer to be managed. Customer can be searched using their name or account number or BOID by clicking on the search icon.



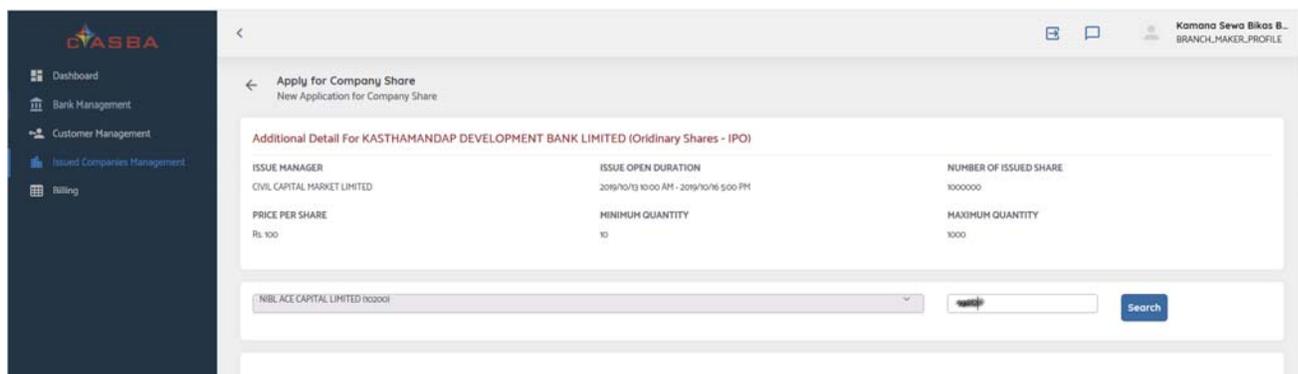
- Once the edit/delete/block request is setup by maker user, it needs to be approved by checker user.
- To approve the transaction login to the system by checker user and go to customer management page. Click on Approve button and go to the respective tab for which transaction the approval is needed.
- To reject the transaction user needs to provide remarks.

Application Collection for the public Issue

- ❖ If any company issues their shares through public issue process, the registered customer will submit the application to apply for the issue. If any registered customer submits the physical application form to the bank branch, the user needs to make an entry for the application. To apply for the issue, follow the below steps:
 - Login to the system using branch maker user.
 - Go to the “Issued Companies Management” page.
 - Click on “Opened Issued Companies” tab.
 - From the list of Opened Issued Companies, select the correct company and click on Apply Button as displayed in below figure.



- Select the DP of the customer as provided in the application form and enter the last 8 digits of the BOID in the BOID field as in the Figure below. Click on the search button.



- Enter the application details as mentioned in the application form and save the application.

KYC Details

NAME	DOB	GENDER	EMAIL
FATHER/MOTHER'S NAME	SPOUSE/GRANDFATHER'S NAME	ADDRESS	CITIZENSHIP NUMBER
BOID	ISSUED DATE	ISSUED FROM	PAN NUMBER

Account Information

ACCOUNT NUMBER	ACCOUNT NAME	BANK	BRANCH
FORM NUMBER	APPLIED KITTA	AMOUNT	CRN

Buttons: Save, Reset

❖ All the application entry made by branch maker needs to be approved by checker every day before the Central Checker initiates the Amount Block process. To Approve the application entry made by branch maker follow the below steps:

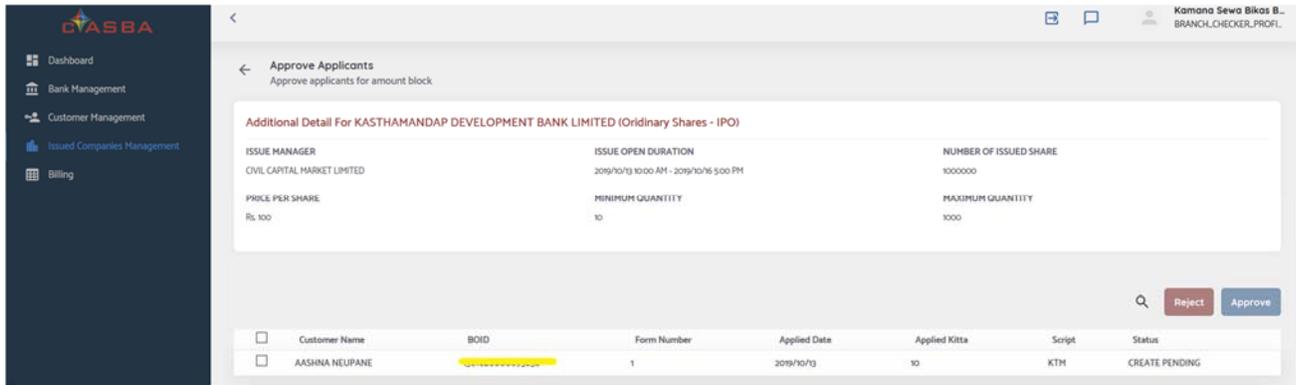
- Login to the system using same branch checker user.
- Go to “Issued Companies Management” page.

Active Company Shares
View active company shares

Opened Issued Companies | Closed Issued Companies

Company Code	Company Name	Share Group	Script	Share Type	Status	Action
064A	KASTHAMANDAP DEVELOPMENT BANK LIMITED	Ordinary Shares	KTH	IPO	CREATED	Approve Deleted Request Check Application Report Approve Application

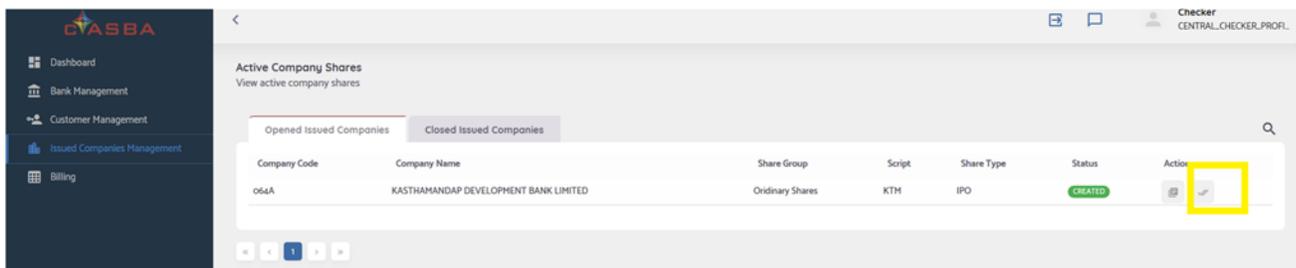
- For each Opened Issued Companies, there are 3 buttons. 1st one is for Approval of Delete Request, 2nd is for checking the application report and the last one is for approving the application entered by maker user of the same branch.
- Click on the 3rd button.
- List of application entered by the maker user that needs to be approved will be listed as in the below figure. Checker users can either approve the application individually or in the batch.



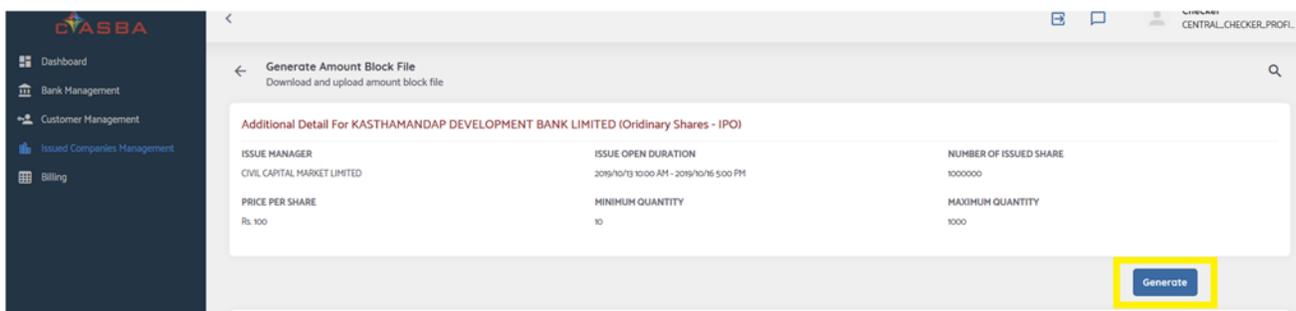
- To approve application, click on the check box in the first column. To select all the application listed in the window, click on the check box available in the top of the list.
- Click on the Approve button to approve the application. If the application needs to be rejected due to mistake entry made by maker users, it can be rejected by clicking on reject button.

Amount Block for the received Application

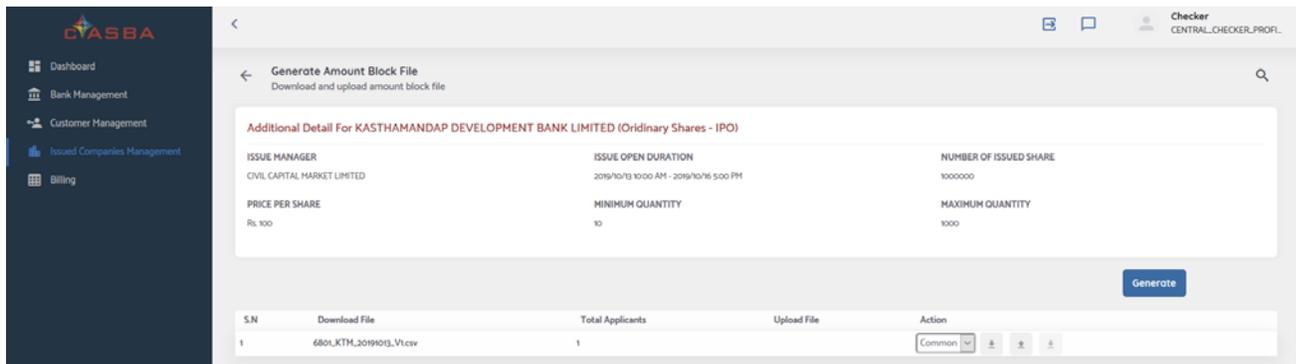
- ❖ Bank's Central Admin User needs to block the amount as per the application received in the system every day. To block amount as per the application received, follow the below steps.
 - Login to the application using Central Admin (Checker) user and go to "Issued Companies Management" page.
 - From the list of issued companies available in both tabs (Opened Issued Companies & Closed Issued Companies) click on the Action button (Generate Amount Block File) as in the below example.



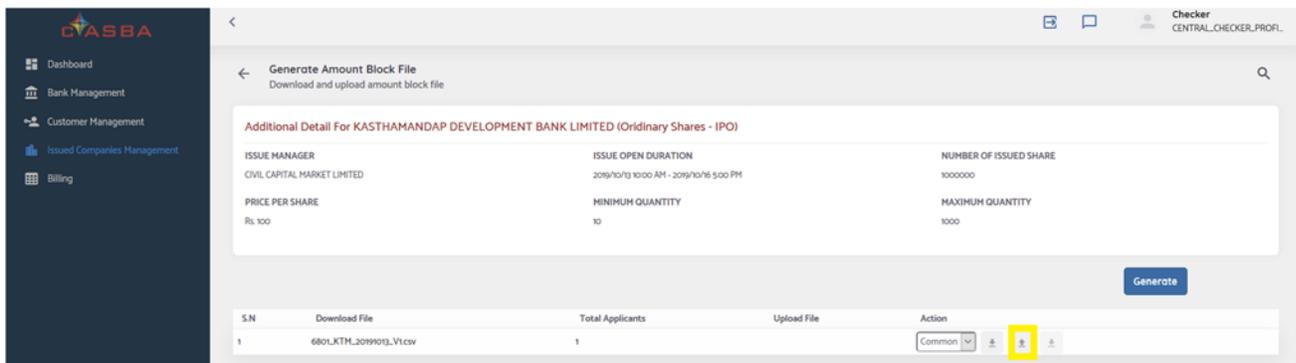
- Click on Generate button as displayed in the figure below:



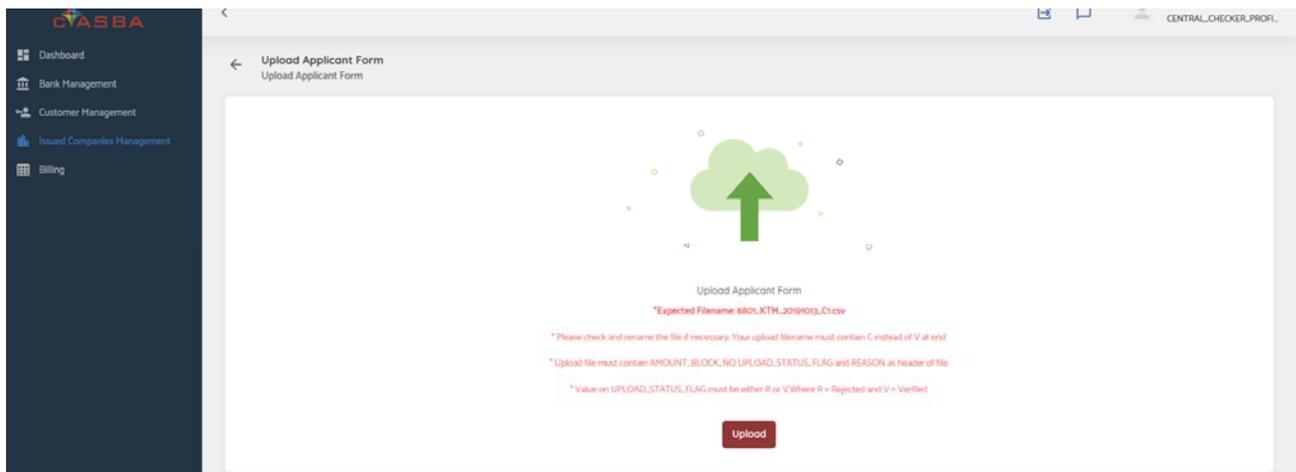
- Once the file is generated download the file as per the required format (General/Flex).



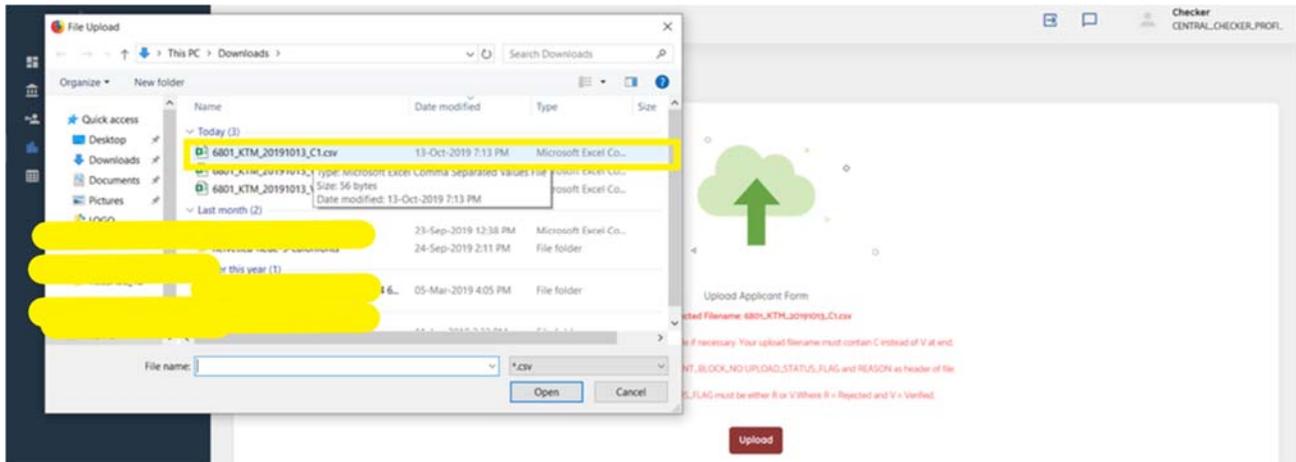
- Upload the file to the CBS System and generate the response report.
- ❖ Once the amount is blocked as per the application report, upload the response report to the application. To upload the response file, follow the below steps.
 - Go to the same page where the block amount file was generated.
 - Click on Upload button as shown in the below figure.



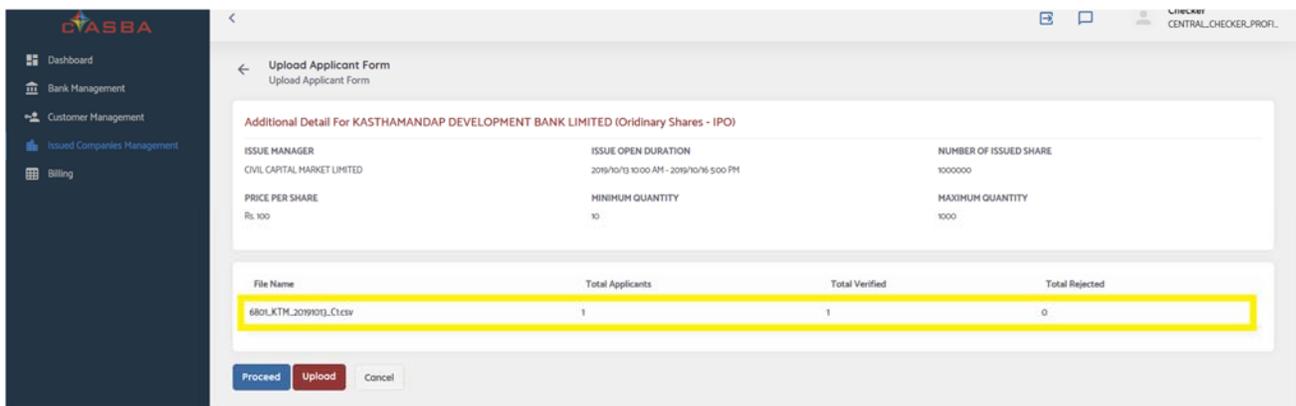
- Click on the upload button available in the page.



- Rename the upload file as mentioned and select the file and upload it.



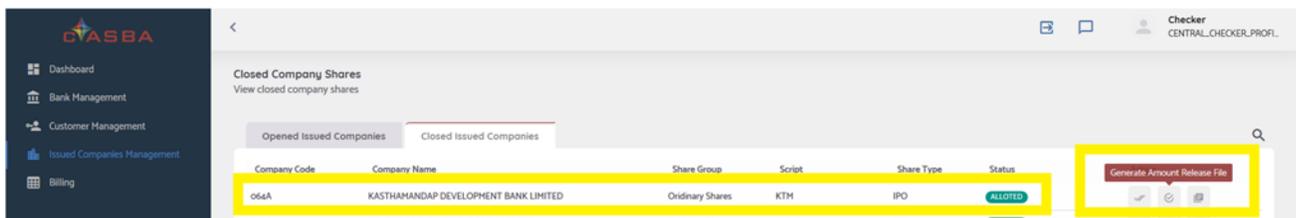
- Check the summary information displayed in the page (Total Number of Application, Total Verified Application, Total Rejected Application).



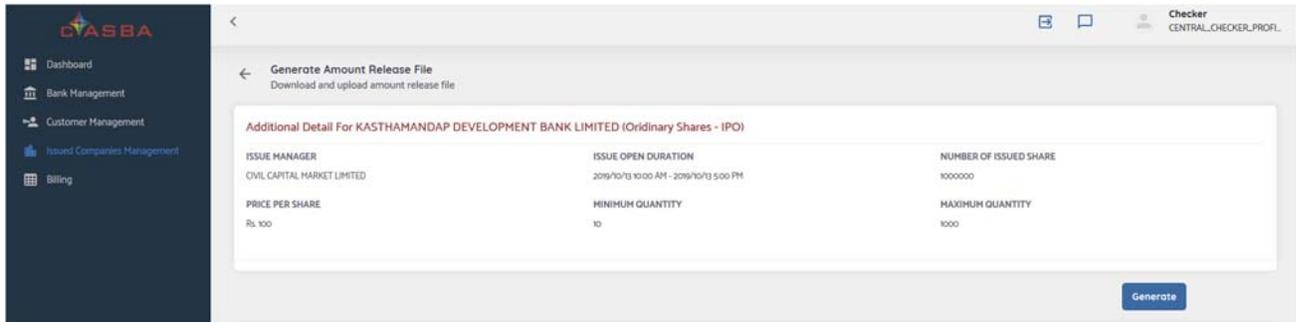
- If the information is correct, click on the proceed button.
- Amount block report confirmation report uploaded successfully.

Amount Release for Allotted Application

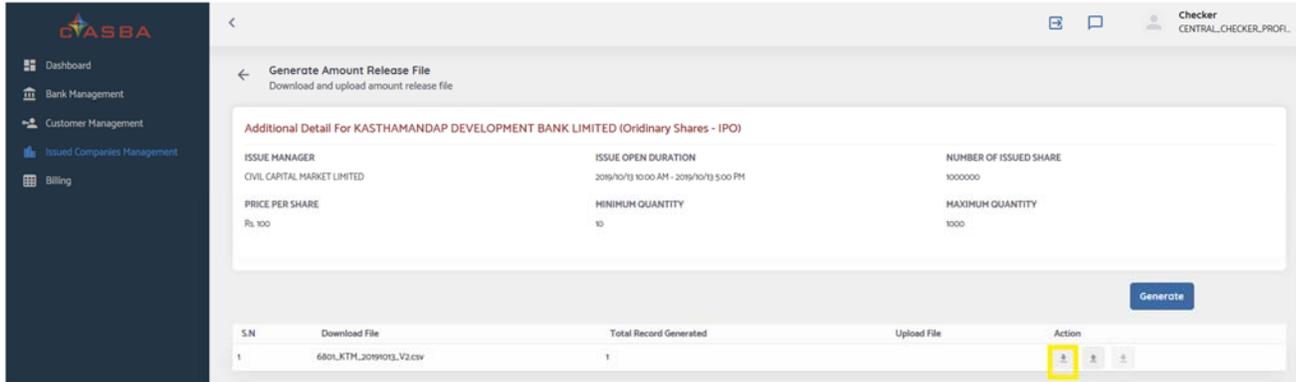
- ❖ Once the allotment process is complete, Central Admin User (Checker) needs to Release/Debit the Blocked amount from the Customer's bank Account.
- ❖ To Release/Debit Amount from the customer's bank account follow the below steps:
 - Login to the C-ASBA application using central checker user and go to Issued Companies Management Page.
 - Go to Closed Issued Companies tab as in the figure shown below:



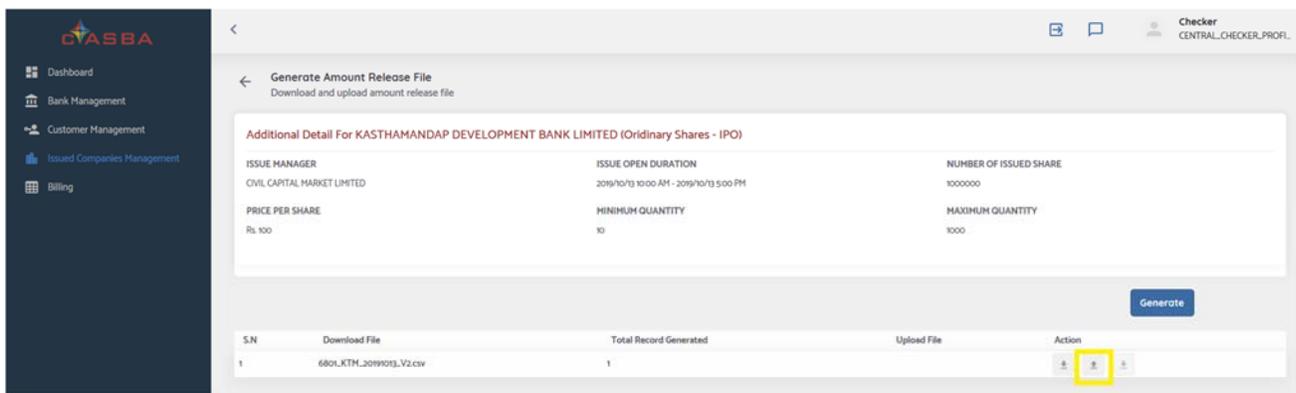
- Select the Company with the status “Allotted” and click on “Generate Amount Release File” Button.



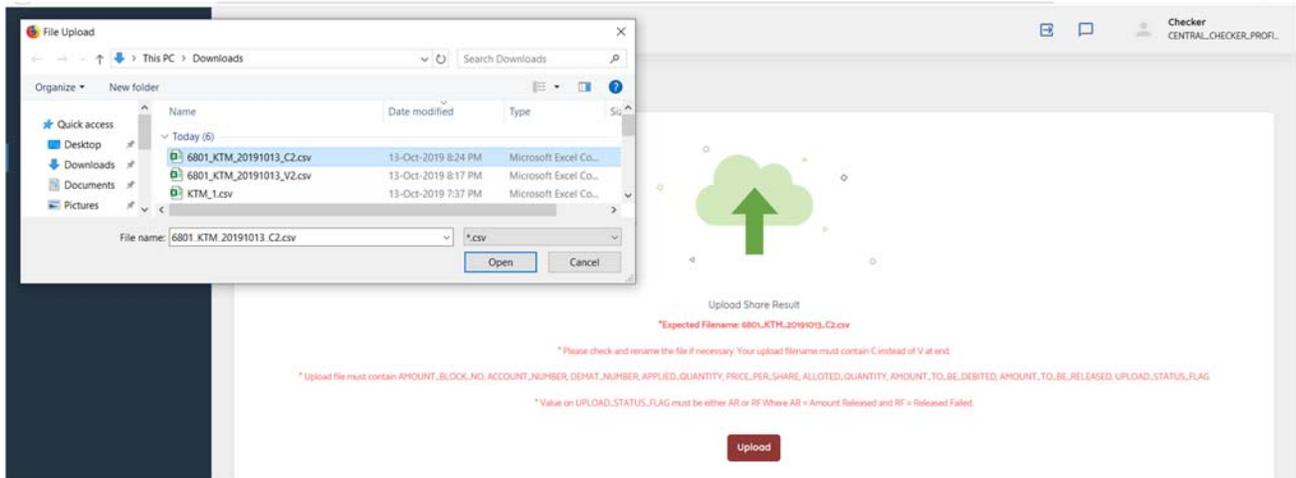
- Click on the Generate Button to generate amount release file.
- Once the file is generated, download the file and upload to the CBS System to release/Debit the amount. To download the file, click on download button.



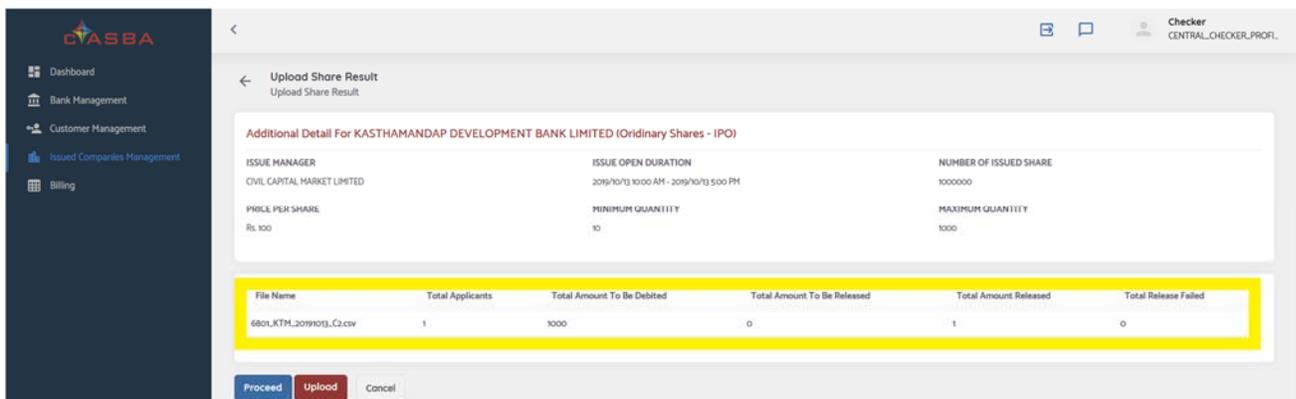
- Once the file is uploaded to the CBS system and amount is released/Debited as per the report, generate the response report as per the prescribed format and upload the same to the C-ASBA System.
- To upload the file, click on the upload button as in the figure below.



- Select the file generated from CBS system through the list and Click on Upload button.



- Check the summary report as in figure below after uploading the file.



- Click on Proceed button if everything seems ok.

File Format for CBS and C-ASBA

- ❖ Please refer to the File format below for the required File that needs to be generated from CBS system.

File Format (Common) for Amount Block Report Generated from C-ASBA

AMOUNT_BLOCK_NO	APPLICATION_NAME	ACCOUNT_NO	DEMAT_NUMBER	UNIT_OF_SHARE_TO_PURCHASE	PRICE_PER_UNIT	TOTAL_AMOUNT	FORM_SERIAL_NUMBER	BRANCH	REMARK	UPLOAD_STATUS_FLAG	REASON
CDS91	AASHNA NEUPANE	93850	1301020000093850	10	100	1000	1	1	ASBAKTM1301020000093850	U	

File Format (Flex) for Amount Block Report Generated from C-ASBA

SOURCE_CODE	BRANCH	ACCOUNT_NO	AMOUNT_BLOCK_NO	TOTAL_AMOUNT	EFFECTIVE_DATE	EXPIRY_DATE	REMARK	UPLOAD_STATUS_FLAG	REASON
CADAMBLK	1	93850	CDS91	1000	10/18/2019	10/18/2019	ASBAKTM1301020000093850	U	

- ❖ The details shown above will be generated from C-ASBA during Block Amount File generation.
- ❖ Central Admin Users need to download the file and upload it to the CBS system.

File Format for the response file of Amount Report to be uploaded in C-ASBA

AMOUNT_BLOCK_NO	UPLOAD_STATUS_FLAG	REASON
CDS91	V	

- ❖ Response file for the same file generated before should be as in the above table.
- ❖ If the amount block is done successfully Upload_Status_Flag should be “V”.
- ❖ If the amount block is not done, then the application should be marked as Rejected. For the same purpose, Upload_Status_Flag should be “R” and There must be Reason for each Rejected Record.

Note: Reason Feature is newly added in the new version of C-ASBA

File Format for Amount Release Report Generated from C-ASBA

AMOUNT_BLOCK_NO	APPLICATION_NAME	ACCOUNT_NO	DEMAT_NUMBER	APPLIED_QUANTITY	PRICE_PER_SHARE	ALLOTTED_QUANTITY	AMOUNT_TO_BE_DEBITED	AMOUNT_TO_BE_RELEASED	TOTAL_AMOUNT	FORM_SERIAL_NUMBER	BRANCH	REMARK	UPLOAD_STATUS_FLAG
CDS91	AASHNA NEUPA NE	93850	130102000093850	10	100	10	1000	0	1000	1	1	ASBAKTM1 301020000 093850	U

- ❖ The details shown above will be generated from C-ASBA during Amount Release/Debit File generation.
- ❖ Central Admin Users need to download the file and upload it to the CBS system.

File Format for Response file of Amount Release Report to be uploaded in C-ASBA

AMOUNT_BLOCK_NO	ACCOUNT_NO	DEMAT_NUMBER	APPLIED_QUANTITY	PRICE_PER_SHARE	ALLOTTED_QUANTITY	AMOUNT_TO_BE_DEBITED	AMOUNT_TO_BE_RELEASED	TOTAL_AMOUNT	UPLOAD_STATUS_FLAG
CDS91	93850	130102000093850	10	100	10	1000	0	1000	AR

- ❖ Response file for the same file generated before should be as in the above table.
- ❖ If the amount release/debit is done successfully Upload_Status_Flag should be "AR".
- ❖ Otherwise use the Upload_Status_Flag as "RF".