

NSE Clearing Limited

Annexure 1

Part A –Guidelines for Data Submission

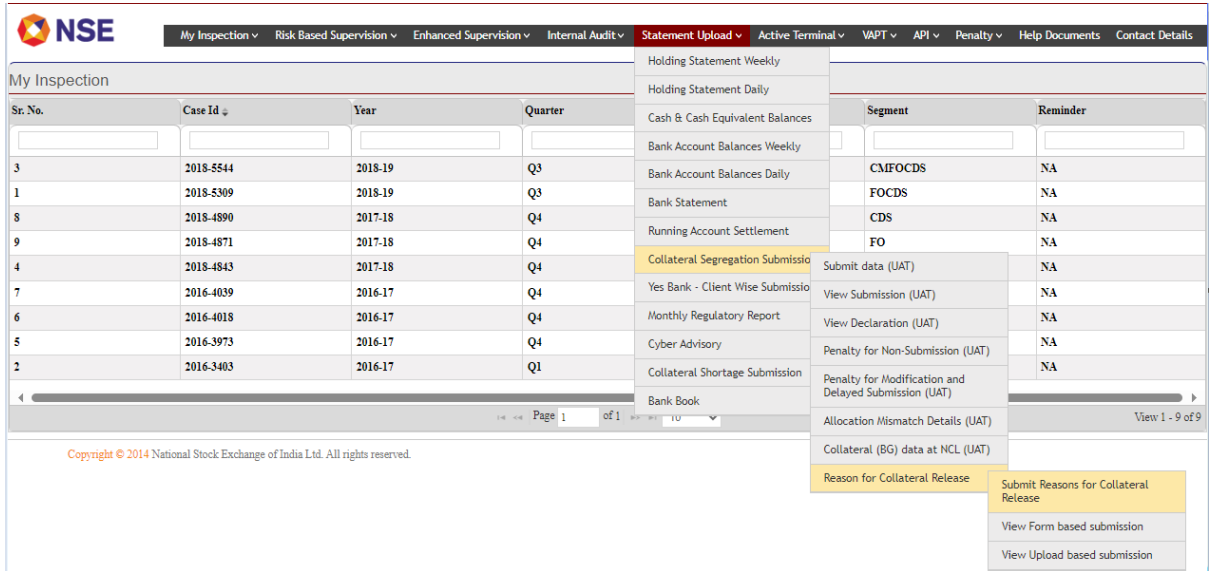
1. The file shall be in csv and zip format only.
2. One zip file shall contain one csv file only. The naming convention CMPAN_DDMMYYYY_SEQNO of zip file shall be same as of .csv file.
3. File size shall not exceed 200 MB.
4. Batch/Seq No. starts from 01, in case of multiple files for a date.
5. If the submission status of a file is 'failure' then file needs to be rectified and uploaded with the same batch number. Even if a single record is rejected in a file, then the entire file post rectification needs to be reuploaded.
6. Files uploaded will be processed for validation check. Members are required to check the "View Upload based submission" window under **Reasons for Collateral Release** for success/failure status of the uploaded file(s). If Member wishes to rectify the data which is successfully uploaded, then the member needs to delete the file first and upload the file again with the same batch number. In case of failure status, members will have to correct the data as per the remarks provided in the file and re-upload the entire file with correct data as per the user manual for data submission provided in **Part-B**.

Part B – User manual for Data Submission

1. Login using following link :- <https://inspection.nseindia.com/MemberPortal/>
2. Navigation: Login on Inspection Portal → Statement Upload → Collateral Segregation Submission → Reason for Collateral Release → Submit Reasons for Collateral Release

Click "Submit Reasons for Collateral Release"

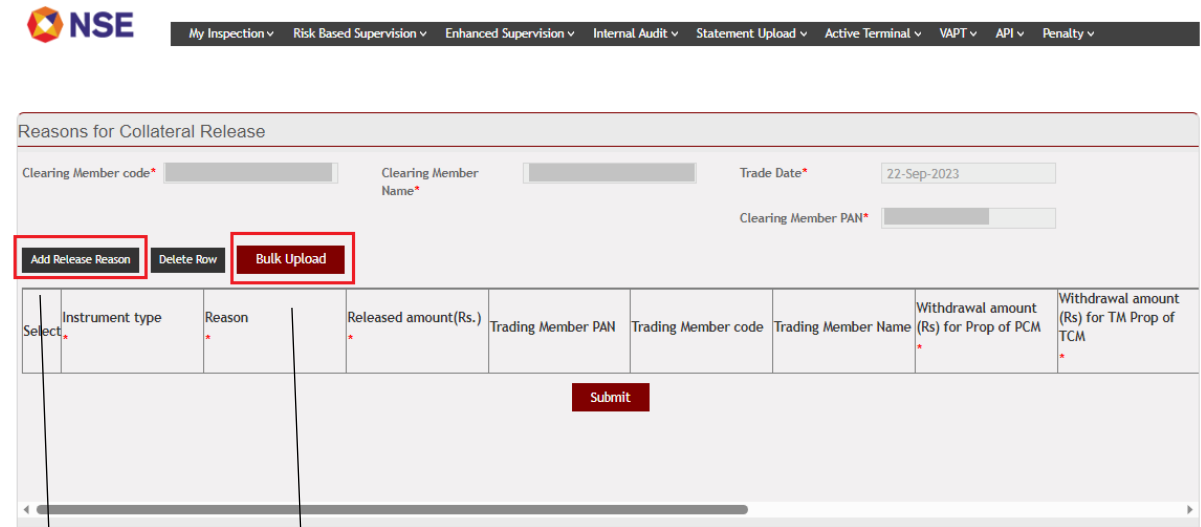
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The screenshot shows the NSE Clearing portal interface. The 'My Inspection' table lists various inspection records. The 'Statement Upload' dropdown menu is open, showing options like 'Holding Statement Weekly', 'Holding Statement Daily', 'Cash & Cash Equivalent Balances', 'Bank Account Balances Weekly', 'Bank Account Balances Daily', 'Bank Statement', 'Running Account Settlement', 'Collateral Segregation Submission', 'Yes Bank - Client Wise Submission', 'Monthly Regulatory Report', 'Cyber Advisory', 'Collateral Shortage Submission', and 'Bank Book'. The 'Collateral Segregation Submission' option is highlighted, and its sub-menu is visible, showing options like 'Submit data (UAT)', 'View Submission (UAT)', 'View Declaration (UAT)', 'Penalty for Non-Submission (UAT)', 'Penalty for Modification and Delayed Submission (UAT)', 'Allocation Mismatch Details (UAT)', 'Collateral (BG) data at NCL (UAT)', and 'Reason for Collateral Release'.

Sr. No.	Case Id	Year	Quarter
3	2018-5544	2018-19	Q3
1	2018-5309	2018-19	Q3
8	2018-4890	2017-18	Q4
9	2018-4871	2017-18	Q4
4	2018-4843	2017-18	Q4
7	2016-4039	2016-17	Q4
6	2016-4018	2016-17	Q4
5	2016-3973	2016-17	Q4
2	2016-3403	2016-17	Q1

- After clicking on “Submit Reasons for Collateral Release” the following screen shall be displayed with two options – Add Release Reasons (for Form based submissions) and Bulk Upload (for File based submissions)



The screenshot shows the 'Reasons for Collateral Release' form. The form includes fields for 'Clearing Member code*', 'Clearing Member Name*', 'Trade Date*' (22-Sep-2023), and 'Clearing Member PAN*'. Below these fields are two buttons: 'Add Release Reason' and 'Bulk Upload'. The 'Add Release Reason' button is highlighted with a red box. Below the buttons is a table with columns: 'Select', 'Instrument type', 'Reason', 'Released amount (Rs.)', 'Trading Member PAN', 'Trading Member code', 'Trading Member Name', 'Withdrawal amount (Rs) for Prop of PCM', and 'Withdrawal amount (Rs) for TM Prop of TCM'. A 'Submit' button is located below the table.

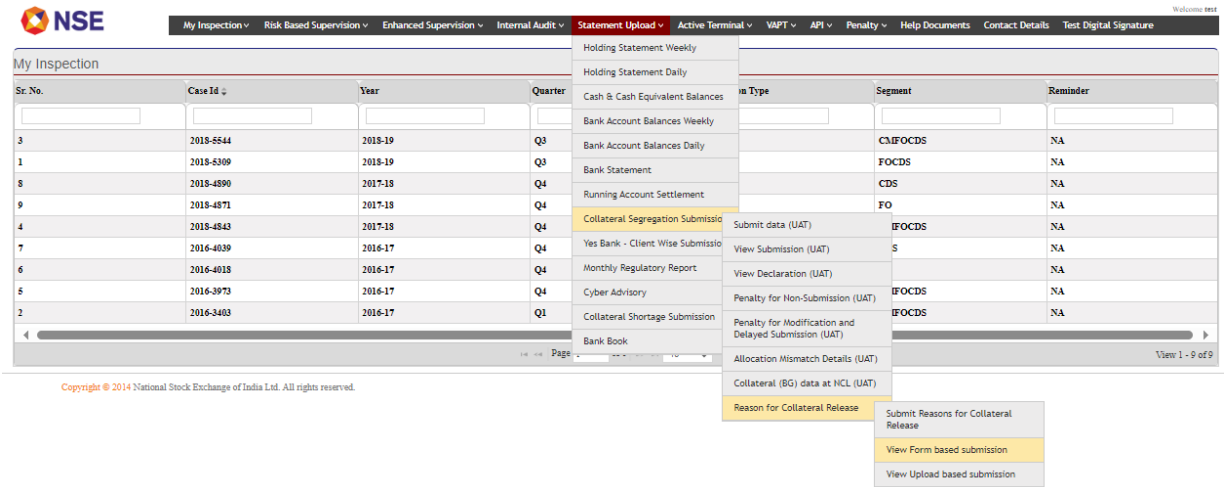
Form based

Upload based

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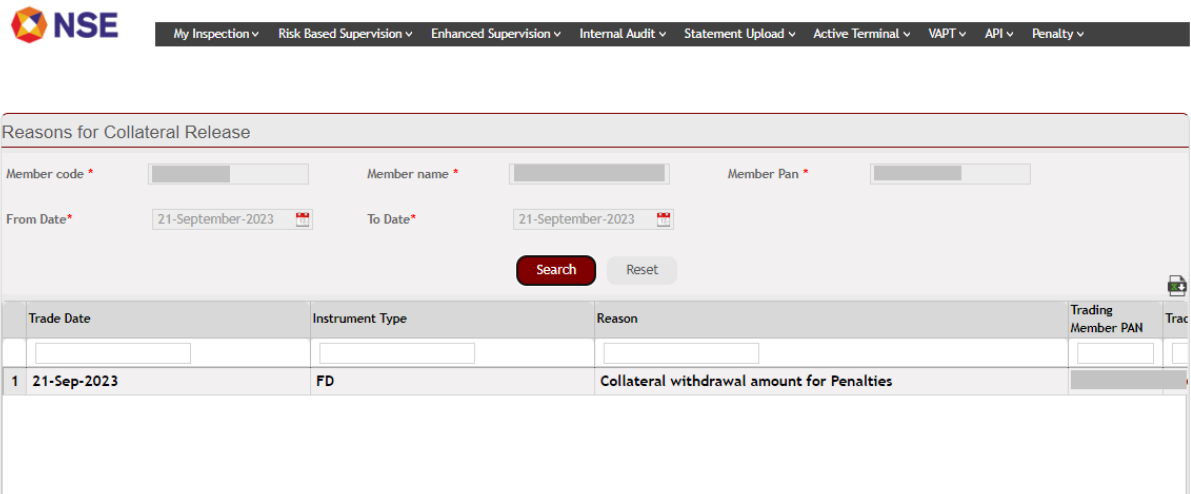
- Members are required to click on “View Form based submission” option under **Reasons for Collateral Release** for viewing submissions made through form.

Navigation: Statement Upload → Collateral Segregation Submission → Reason for Collateral Release → View Form based submission



The screenshot shows the NSE Clearing portal interface. The top navigation bar includes options like My Inspection, Risk Based Supervision, Enhanced Supervision, Internal Audit, Statement Upload, Active Terminal, VAPT, API, Penalty, Help Documents, Contact Details, and Test Digital Signature. The main content area displays a table of inspection records. A dropdown menu is open under the 'Statement Upload' tab, showing various submission types. The 'Reason for Collateral Release' option is highlighted, and a sub-menu is visible with options: Submit Reasons for Collateral Release, View Form based submission (highlighted), and View Upload based submission.

- On clicking on “View Form based submission” the following screen shall be displayed.

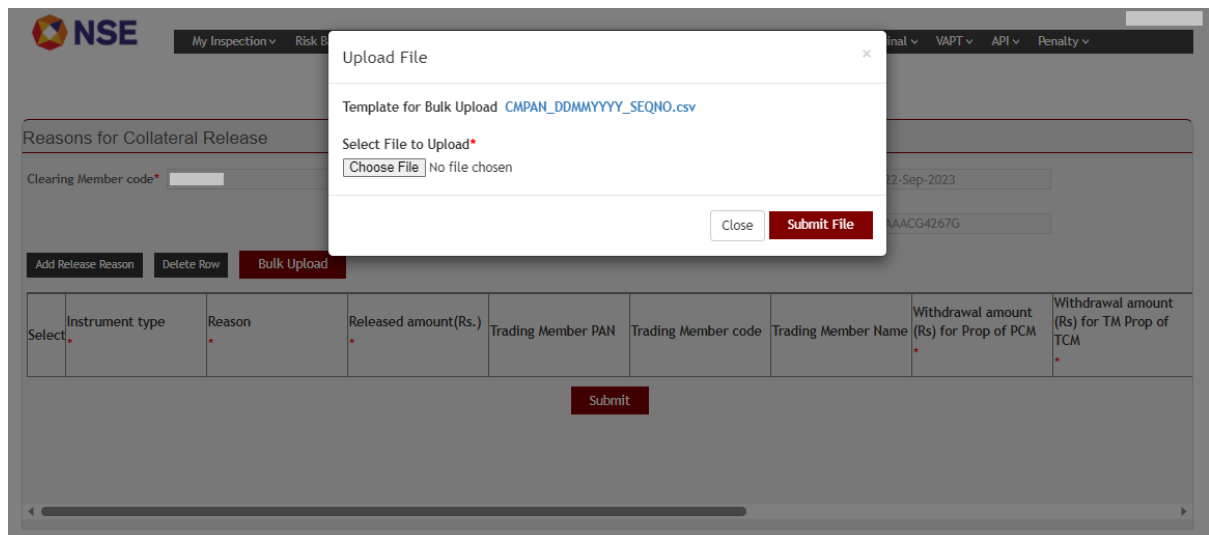


The screenshot shows the 'Reasons for Collateral Release' form. It includes fields for Member code, Member name, Member Pan, From Date, and To Date. A Search button is present. Below the form, a table displays the results of the search.

Trade Date	Instrument Type	Reason	Trading Member PAN	Trac
21-Sep-2023	FD	Collateral withdrawal amount for Penalties		

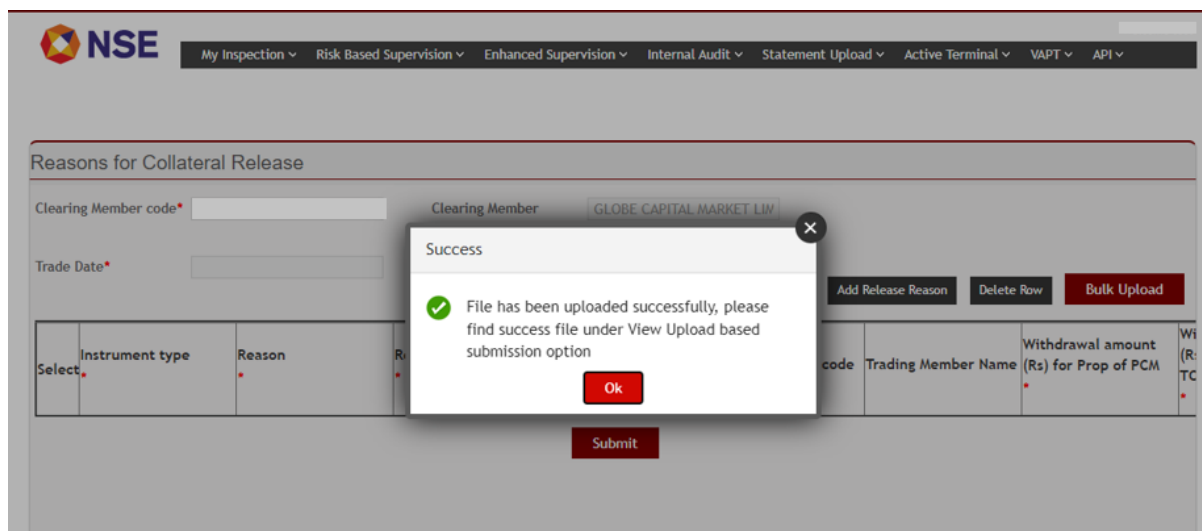
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6. In order to submit collateral release reasons through Upload option, click on “Bulk Upload” button, the following screen shall be displayed.
7. After clicking on “Choose File” under **Upload File** menu the member will be prompted to upload the file as shown in the screen below.



The screenshot shows the NSE Clearing web application. A modal window titled "Upload File" is open, displaying the text "Template for Bulk Upload: CMPAN_DDMYYYYY_SEQNO.csv" and a "Select File to Upload" section with a "Choose File" button and the text "No file chosen". Below the modal, the "Reasons for Collateral Release" form is visible, featuring a "Clearing Member code" field, a "Trade Date" field, and a table with columns: Select, Instrument type, Reason, Released amount (Rs.), Trading Member PAN, Trading Member code, Trading Member Name, Withdrawal amount (Rs) for Prop of PCM, and Withdrawal amount (Rs) for TM Prop of TCM. Buttons for "Add Release Reason", "Delete Row", "Bulk Upload", and "Submit" are present.

8. Confirmation on successful upload will be visible as per the screen below: -

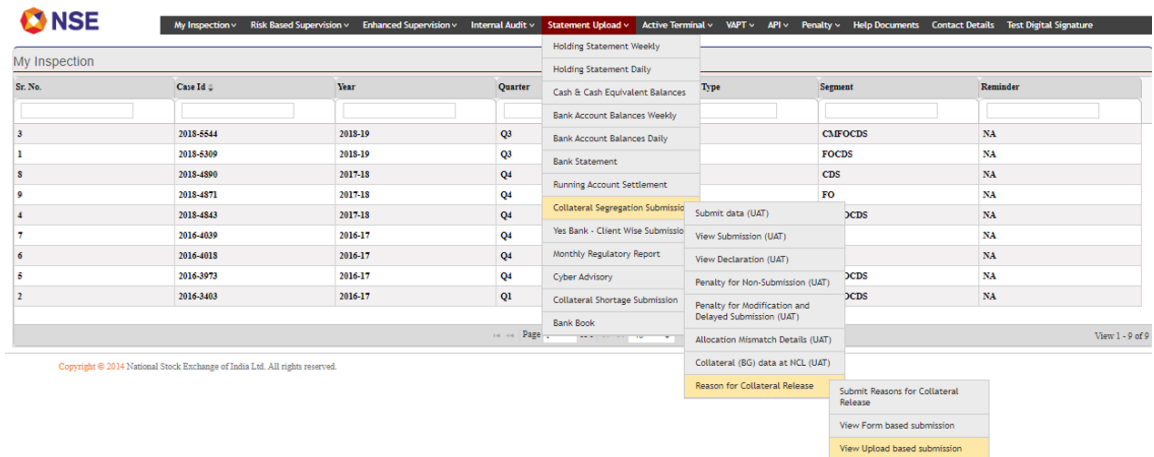


The screenshot shows the NSE Clearing web application with a "Success" modal window. The modal contains a green checkmark icon and the text: "File has been uploaded successfully, please find success file under View Upload based submission option". The background form, "Reasons for Collateral Release", now shows the "Clearing Member" field populated with "GLOBE CAPITAL MARKET LIW". The "Trade Date" field is empty. The table and buttons remain the same as in the previous screenshot.

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- Members are required to check the status of the uploaded file(s) under “View Upload based submission” option under Reasons for Collateral Release.

Navigation: Statement Upload → Collateral Segregation Submission → Reason for Collateral Release → View Upload based submission



The screenshot displays the NSE Clearing portal interface. The top navigation bar includes links for My Inspection, Risk Based Supervision, Enhanced Supervision, Internal Audit, Statement Upload (highlighted), Active Terminal, VAPT, API, Penalty, Help Documents, Contact Details, and Test Digital Signature. Below the navigation bar, the 'My Inspection' section shows a table with columns: Sr. No., Case Id, Year, Quarter, and a list of inspection items. The table lists various submissions such as Holding Statement Weekly, Cash & Cash Equivalent Balances, Bank Account Balances Weekly, Bank Account Balances Daily, Bank Statement, Running Account Settlement, Collateral Segregation Submission, Yes Bank - Client Wise Submission, Monthly Regulatory Report, Cyber Advisory, Collateral Shortage Submission, Bank Book, Allocation Mismatch Details (UAT), Collateral (BG) data at NCL (UAT), and Reason for Collateral Release. The 'Reason for Collateral Release' dropdown menu is open, showing options: Submit Reasons for Collateral Release, View Form based submission, and View Upload based submission (highlighted).

Sr. No.	Case Id	Year	Quarter	Inspection Item	Type	Segment	Reminder
3	2018-5544	2018-19	Q3	Bank Account Balances Weekly			
1	2018-5309	2018-19	Q3	Bank Account Balances Daily		CM/FOCDS	NA
8	2018-4890	2017-18	Q4	Bank Statement		FOCDS	NA
9	2018-4871	2017-18	Q4	Running Account Settlement		CDS	NA
4	2018-4543	2017-18	Q4	Collateral Segregation Submission		FO	NA
7	2016-4039	2016-17	Q4	Yes Bank - Client Wise Submission	Submit data (UAT)	CDS	NA
6	2016-4013	2016-17	Q4	Monthly Regulatory Report	View Submission (UAT)		NA
5	2016-3973	2016-17	Q4	Cyber Advisory	View Declaration (UAT)		NA
2	2016-3403	2016-17	Q1	Collateral Shortage Submission	Penalty for Non-Submission (UAT)	CDS	NA
					Penalty for Modification and Delayed Submission (UAT)		
				Bank Book	Allocation Mismatch Details (UAT)		
					Collateral (BG) data at NCL (UAT)		
					Reason for Collateral Release		

Reason for Collateral Release options:

- Submit Reasons for Collateral Release
- View Form based submission
- View Upload based submission

- Upon clicking on “View Upload based submission” the following screen shall be displayed, files uploaded with Failure and Success status will be visible on the screen

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as shown below: -



[My Inspection](#) [Risk Based Supervision](#) [Enhanced Supervision](#) [Internal Audit](#) [Statement Upload](#) [Active Terminal](#) [VAPT](#) [API](#) [Penalty](#) [Help Documents](#) [Contact Details](#)

Reasons for Collateral Release Bulk Upload

Member code *

Member name *

Member Pan *

Upload Result

SELECT

From Date *

21-September-2023

To Date *

22-September-2023

Search

Reset

	File Name	Submission Status	Created Date
1	21092023_01_SUCCESS.zip	SUCCESS	Sep 21, 2023 11:35:50 AM
2	21092023_01_FAILURE.zip	FAILURE	Sep 21, 2023 11:33:41 AM

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