

NSE Clearing Limited

(Formerly known as National Securities Clearing Corporation Limited)

DEPARTMENT : FUTURES AND OPTIONS SEGMENT	
Download Ref No : NCL/CMPT/39558	Date : November 30, 2018
Circular Ref. No : 150/2018	

All Members

Sub: Reporting of details of securities Pay-in / Pay-out shortages by Members

Further to circular ref. NCL/CMPT/39322 dated November 02, 2018, members are requested to note the file upload location in the format specified as per Annexure I.

Further the members may note the below:

- 1) The file is to be uploaded only in case of securities Pay-in / Pay-out shortages (including internal shortages).
- 2) The circular is not applicable for Professional clearing members in F&O segment.
- 3) Members may upload the file in respective segment or in any one of the segments as a single file.
- 4) In case of F&O segment, Trading Members (TMs) clearing trades through other clearing members are required to report details of securities pay-in / pay-out shortages (including internal shortages) for their clients. TMs clearing trades through own clearing member (self- clearing members), need to report the security shortages as applicable to TMs.
- 5) Members need to ensure the correctness of details of client UCC in UCI database.
- 6) The files in the specified format shall be uploaded by the members to the clearing corporation till S+5 working day basis, where 'S' is the settlement date for the respective settlement.
- 7) For every valid file uploaded by member, return file shall be generated with the indication of the success/rejection of the file and the records. This shall be purely a validation of the correctness of the file format.

- 8) In case members intend to modify the data in a file, which has been already submitted to Clearing Corporation, the member would be having an opportunity to submit the revised file after carrying out the modifications before the cut off date.
- 9) Members will have to submit all the files in a running sequence of batch numbers across segments. If members fail to submit an earlier batch file then the subsequent batches will not be processed. However, if the earlier file was completely rejected, the same batch number should be used for the subsequent corrected file.
- 10) Clearing Corporation shall consider the data provided by the members as final and correct and shall not be responsible for any incorrect data provided by the members. Members shall be fully responsible for any erroneous data provided to Clearing Corporation.

For and on behalf of
NSE Clearing Limited
(Formerly known as National Securities Clearing Corporation Limited)

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