

EPI AND OFS

USER MANUAL

VERSION: 1.0



**NSE CLEARING LTD
EXCHANGE PLAZA,
C-1, BLOCK G,
BANDRA KURLA COMPLEX
BANDRA (E)
MUMBAI 400 051**

RELEASE NOTICE

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1. Introduction

1.1 Purpose

This document explains the functionality available in the system and serves as guideline to users for using the application.

1.2 Scope

The scope of this manual includes the EPI and OFS module in N-MASS.

1.3 Audience

This manual is for use by people who will use the system for carrying out the daily operations.

1.4 Conventions

Not Applicable.

1.5 Abbreviations and acronyms

TABLE 1.0 – ABBREVIATIONS AND ACRONYMS

Acronym & Abbreviations	Full Form
NSEIL	National Stock Exchange India Limited
NCL	NSE Clearing Limited
EPI	Early-Pay in
OFS	Offer for Sell
CM	Capital Market
SLB	Securities Lending and Borrowing
TM	Trading Member
CP	Custodial Participant

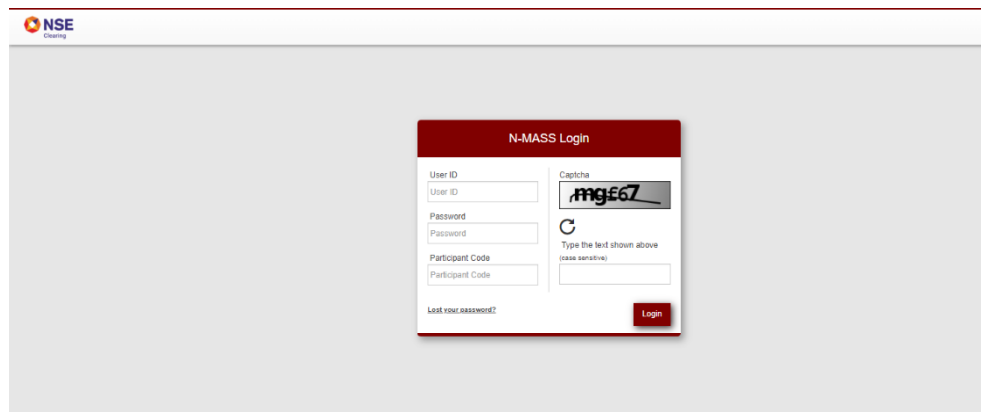
1.6 Definition

Defined Term	Explanation
Early-Pay-in	Funds or securities that is given by the member to the exchange before pay-in date

2. N-MASS page navigation

2.1 Login Page

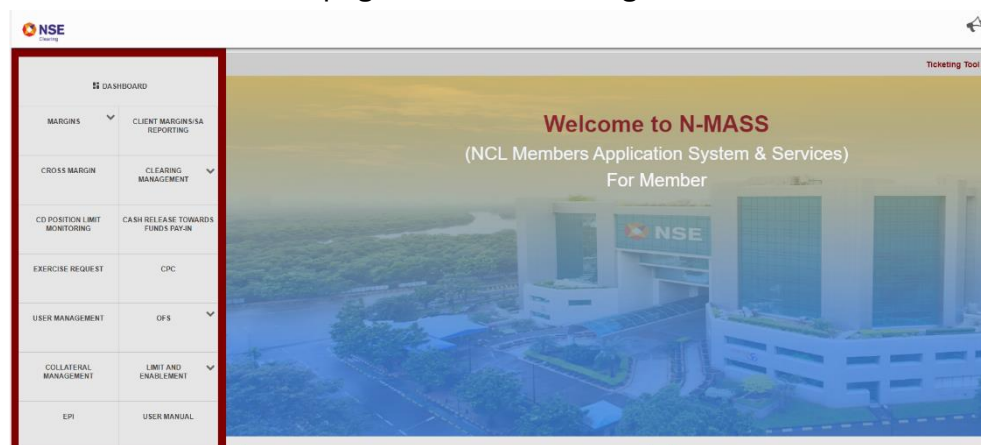
- Members have to login in N-MASS Member Environment by providing valid credentials on below URL: <https://www.connect2nsccl.com/login>.
- N-MASS displays the Login screen as shown below

The image shows the N-MASS Login page. It features a red header with the NSE logo. The main content area is light gray. In the center, there is a white login box with a red border. The box has a title 'N-MASS Login'. Inside, there are four input fields: 'User ID' (labeled 'User ID' and 'User ID'), 'Password' (labeled 'Password' and 'Password'), 'Participant Code' (labeled 'Participant Code' and 'Participant Code'), and a 'Captcha' field. The 'Captcha' field shows a distorted image of the text 'mgE67'. Below the input fields, there is a link 'Lost your password?' and a red 'Login' button.

- Enter Username, Password, Participant Code and Captcha in the relevant fields
- Click on login button
- After 3 unsuccessful attempts, user will get disabled.

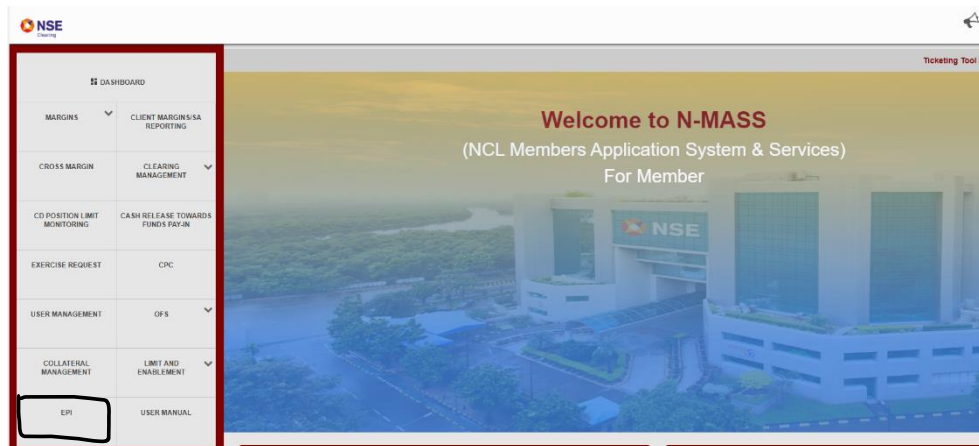
2.2 Landing Page

- This will be the default page on successful login.



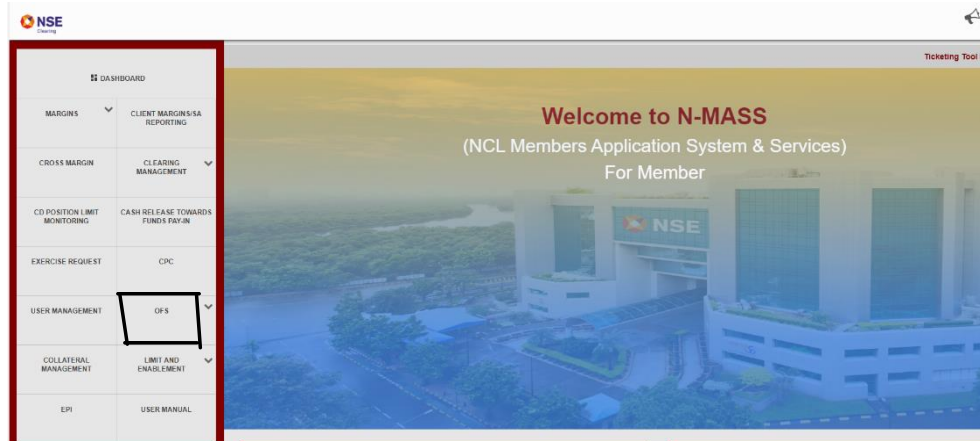
2.3 EPI Page

- Click on 'EPI' menu



2.4 OFS Page

- Click on 'OFS' menu



3. Role and Access Management

3.1 Role Management for OFS Service

- New service 'OFS' has been introduced.
- Existing 'Clearing Management - OFS' will be shifted under 'OFS' service.
- Existing role menu mapping of Clearing Management OFS will be intact, and the same group of users will be able to access the new 'OFS' service.
- For new users, super admin needs to create or modify roles for assignment of OFS service.
- User can provide the read/ write menu level access for OFS service.
- Eligible members in OFS will be able to access the OFS service.

	☐	OFS	
	☐	CLEARING MANAGEMENT	
	☐	Bid Confirmation	☒ Read ☐ Write
	☐	Bid Inquiry	☒ Read
	☐	Export All	☒ Read
	☐	OFS FUNDS PAY-IN	
	☐	Funds Utilization Report	☒ Read ☐ Write
	☐	OFS Funds	
	☐	Funds Request	☒ Read ☐ Write
	☐	FUNDS EPI TM LIMIT	☒ Read ☐ Write
	☐	COLLATERAL TM LIMIT	☒ Read ☐ Write

3.2 Role Management for EPI Service

- New service 'EPI' has been introduced.
- To assign EPI service super admin needs to create or modify the roles.
- User can provide the read/ write menu level access for EPI service.
- Eligible members in FO/CM/SLB will be able to access this service.

	☒	EPI	
	☒	EPI Securities	☐ Read ☒ Write
	☒	EPI Funds	
	☒	Funds Request	☒ Read ☐ Write
	☒	Allocation	☒ Read ☐ Write
	☐	Full Payin	☒ Read ☐ Write

3.3 Access management based on the Member Type

Sr.No	Menu Name	Service and Menu	Mem Type
	OFS	New Service	Existing OFS role CM – SCM, CMTM and Custody
1	Clearing Management	Existing Menu	Existing OFS role
2	OFS FUNDS PAY-IN	New Menu	CM – SCM, CMTM and Custody
2.1	Funds Utilization Report	New Menu	CM – SCM, CMTM and Custody

2.2	OFS Funds	New Menu	CM – SCM, CMTM and Custody
2.2.1	Funds Request	New Menu	CM – SCM, CMTM and Custody
2.2.2	FUNDS EPI TM LIMIT	New Menu	CM – CMTM
2.2.3	COLLATERAL TM LIMIT	New Menu	CM – CMTM
	EPI	New Service	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody SLB - SCM and Custody
1	EPI Securities	New Menu	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody SLB - SCM and Custody
2	EPI Funds	New Menu	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody SLB - SCM and Custody
2.1	Funds Request	New Menu	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody
2.2	Allocation	New Menu	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody
2.3	Full Payin	New Menu	FO - SCM, PCM, CMTM CM - SCM, CMTM and Custody

4. EPI Module

4.1 SECURITIES EPI:

Using this option, Member may upload a file for client level early pay-in of securities.

- EPI file upload process:
 - Log on to N-MASS.
 - Click the EPI->Securities EPI File Upload menu

Click the Browse button to browse for the desired file and after selection of the appropriate file Click on Upload to upload the file

- File nomenclature -
 - CM: CLNTEPI_YYYYMMDD.Tnn
 - DEBT: CLNTEPI_R_YYYYMMDD.Tnnn
 - SLB (First Leg): CLNTEPI_L_YYYYMMDD.Tnn
 - SLB (Reverse Leg): CLNTEPI_S_YYYYMMDD.Tnn
 Where,
 - YYYYMMDD = Current Business Date
 - nn = Batch No. (01 to 99)
 - nnn = Batch No. (001 to 999)
- Batch number shall be unique number. This batch no will be sequential (incremental) for the day. A separate sequence will be followed for respective file. However, there are no validation for the unique batch number.

4.2 FUNDS EPI:

Using this option, member can provide EPI of funds and allocate the EPI to a clients at security-symbol-settlement type and settlement number level.

- **FUND REQUEST:** Member shall use this interface to provide EPI of funds request for a specific settlement type and settlement number at member level.

The Funds EPI - Request screen shows the following columns:

- Settlement Type
- Settlement No.
- Clearing Bank
- EPI amount
- EPI amount in words

On clicking “Submit” button, the submitted record will display following details:

- Request Id
- Segment
- Bank
- Settlement Type
- Settlement No.
- EPI Amount
- EPI Amount in words
- Status
- Remarks

REQUEST ID	SEGMENT	BANK	SET TYPE	SET NO	EPI AMT	AMOUNT IN WORDS	STATUS	REMARKS
1	C	BANK LTD	M	2024143	8,755.00	Rs. Eight Thousand Seven Hundred Fifty Five Only	Pending	
2	C	BANK LTD	M	2024143	3,647.00	Rs. Three Thousand Six Hundred Forty Seven Only	Pending	
3	C	BANK LTD	M	2024143	10,000.00	Rs. Ten Thousand Only	Pending	
4	C	BANK LTD	M	2024143	9,650.00	Rs. Nine Thousand Six Hundred Fifty Only	Pending	

- ALLOCATION:** Member shall use this interface to allocate the Early Payin of Funds.
 - Log on to N-MASS.
 - Click the EPI->Funds EPI menu.
 - Click the Allocation tab.

Under Allocation tab, 3 tabs will be provided i.e. Add, Modify and File Upload

ALLOCATION - ADD: Member shall use this interface to allocate EPI of funds to a client at security-symbol-settlement type and settlement number level.

This screen shows the following columns:

- a. Settlement Type
- b. Settlement No.
- c. TM/CP Code
- d. Client Code
- e. Symbol
- f. Series
- d. Requested amount
- e. Amount in words

EPI
SECURITIES EPI FUNDS EPI

Add Modify Upload

ADD ALLOCATION

Note :
a) * mandatory fields
b) Click on Save after adding all records

Segment * C Stop Type * M Stop No * 2024142
TM/CP Code * 01234 Client Code * AAA Symbol TCS close Series EQ
Requested Amount * 100000 Amount in Words Rs. One Lakh - Only

Add Submit

On clicking “Add” button, the record will be displayed on screen. On clicking “Submit” button, the added records will actually be saved which will be available for further modification.

ALLOCATION – MODIFY: Member shall use this interface to modify/delete the EPI of funds allocated to a client at security-symbol-settlement type and settlement number level. Allocation done through file upload are also available for modification.

EPI
SECURITIES EPI FUNDS EPI

Add Modify Upload

UPDATE / DELETE REQUEST

Note :
a) Only amount can be modified, to modify other details please delete the record and add new record.

Segment * C Stop Type * M Stop No * 2024142
TM/CP Code Client Code Symbol ENTER SYMBOL Series Select Series

Search Clear

Modify screen contains the following details.

- a. Settlement Type
- b. Settlement No.
- c. TM/CP Code
- d. Client Code
- e. Symbol
- f. Series
- f. Amount
- g. Amount in words

EPI

SECURITIES EPI FUNDS EPI

Add Modify Upload

UPDATE / DELETE REQUEST

Note :
a) Only amount can be modified, to modify other details please delete the record and add new record.

Segment * C Stop Type * M Stop No * 2024143
TM/CP Code Client Code Symbol ENTER SYMBOL Series Select Series Search Clear

SELECT	SR NO	SEGMENT	STP TYPE	STP NO	TM / CP CODE	CLIENT CODE	SYMBOL	SERIES	AMOUNT	AMOUNT IN WORDS
☒	1	C	M	2024143	-	121212	TCS	EQ	100000	Rs. Two Lakh Only

Submit Delete

User will be able to modify as well as delete the records being displayed. On selecting the checkbox and clicking the “Edit” button, user can modify the Amount as shown in the screenshot.

On selecting the checkbox and clicking the “Delete” button, user can delete the selected records.

ALLOCATION – UPLOAD: Member: Member shall use this interface to upload the file to allocate EPI of funds to multiple clients at security-symbol-settlement type and settlement number level.

- Log on to N-MASS.
- Click the EPI->FUNDS EPI->ALLOCATION-> Upload

Click the Browse button to browse for the desired file and after selection of the appropriate file Click on Upload to upload the file

EPI

SECURITIES EPI FUNDS EPI

Add Modify Upload

FILE UPLOAD

Valid file nomenclature : <CLNTEPF_SettlType_SettlNo_YYYYMMDD.Tnn>

Select File : Browse Upload Cancel

File nomenclature -

CLNTEPF_SettlType_SettlNo_YYYYMMDD.Tnn

Where,

YYYYMMDD = Current Business Date

nn = Batch No. (01 to 99)

Batch number shall be unique number. This batch no will be sequential (incremental) for the day. However, there are no validation for the unique batch number.

Return files will be shown on the same screen. The naming convention for return files will be:

<XXXXX>_CLNTEPF_N_XXXXXXXX_YYYYMMDD.Snn

In case the file is accepted (success) then the file extension 'Tnn' will get replaced with 'Snn' and the return file will be available under menu 'Funds EPI->File upload->Files successfully processed'. The return file will have S appended for successful records and R appended for rejected records.

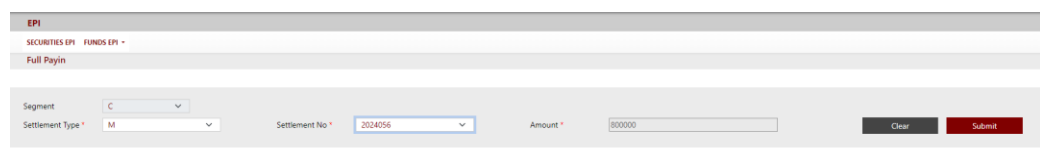
In case the file uploaded by the member gets rejected, then the file extension 'Tnn' will get replaced with 'Rnn' and the return file will be available under menu 'Funds EPI->File upload->Files failed in processing'. The control record in the file will have R appended.

- **FULL PAYIN:** Member shall use this interface to provide full payin of funds request only in 'C' segment for a specific settlement type and settlement number at member level.
 - Log on to N-MASS.
 - Click the EPI-> FUNDS EPI->Full Payin

N-MASS displays the Full Payin amount for confirmation in the screen as shown below.

User shall select settlement no. and settlement type from drop down for which user wants to put full pay-in request.

On selection of settlement no. and settlement type from drop down, amount will get auto populated and it cannot be edited by user.



On click of submit button final confirmation message comes as "Do you want to proceed" and on click of "OK" button , Full Pay in Confirmation Request will go to Bank side.

Depending on the primary bank of member, further Cash confirmation maker and checker will be executed for Full Pay in.

Member can view the status accordingly in Full Pay-in Confirmation Report Screen which is there on same page of Full Pay in confirmation as shown below.

REQUEST ID	SETTLEMENT NO	SETTLEMENT TYPE	AMOUNT (IN RS.)	AMOUNT IN WORDS	STATUS	REMARKS
2024080200003	2024056	M	8,00,000.00	Rs. Eight Lakh Only	PENDING	

If bank has confirmed the amount or request is pending then request for the same settlement number & type cannot be sent again.

There will be cut of time for settlement number and Settlement type placing a request for Full pay-in. After cut-off time, no request can be placed. The entire request placed before the cut off time but not confirmed by bank after cut off time will be treated as cancelled.

On click of clear button settlement no., settlement type and amount fields will get reset.

5. OFS Module

5.1 Funds Utilization Report:

Using this option, Member can view the Funds Utilization Report displaying the Funds addition, Funds confirmed by bank, Funds Utilized and Order details for the OFS of the symbols. Report can also be downloaded in CSV using the download option on the screen. Fund utilization report and Order details are to be downloaded separately. In case if there are more than 5000 client records, the details shall not be displayed on the screen and the details shall be available in file download option.

- Process to navigate to the Funds Utilization Report Menu:
 - Log on to N-MASS.
 - Click the OFS->OFS Funds Pay-In->Funds Utilization Report Menu

SYMBOL	FUNDS TRANSFERRED	FUNDS CONFIRMED BY BANK (IN)	FUNDS DEBITED/AMOUNT (IN)	AMOUNT ON RT CREDIT	AMOUNT ON RT DEBIT	FUNDS AVAILABLE (IN IN)	ORDER DETAILS

Order Details:

ORDER NO	CLIENT CODE	CP CODE	SYMBOL	SERIES	SETTLEMENT TYPE NO.	QTY	PRICE	ORDER STATUS
202407100000109	-	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000110	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000108	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000108	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000127	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000128	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000125	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000133	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000123	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000124	*****	-	TEST37001	RS	2024002	100.00	00.00	Pending
202407100000122	*****	-	TEST37002	RS	2024002	100.00	00.00	Pending

5.2 OFS Funds:

Using this option, Member can provide EPI of funds for OFS, set funds EPI TM limit and TM limit for OFS Collateral.

- Process to navigate to the OFS Funds Menu:
 - Log on to N-MASS.
 - Click the OFS->OFS Funds Pay-In->OFS Funds->Funds Request

User shall select settlement no., settlement type, bank and enter EPI Amount to put OFS EPI Funds Pay-In request.

On click of submit button, OFS Funds EPI Request will go to Bank side.

Depending on the primary bank of member, further Cash confirmation maker and checker will be executed for OFS Funds EPI.

Member can view the status accordingly on enquiry section of OFS Funds EPI Request Screen.

- **Funds Request:** Members shall use this interface to request fund addition for OFS EPI.

The OFS - Funds Request screen shows the following columns:

- Settlement Type
- Settlement No.
- Clearing Bank
- EPI amount
- Amount in words

On clicking “Submit” button, the submitted record will display following details:

- Request Id
- Segment
- Bank
- Settlement Type
- Settlement No.
- EPI Amount
- Amount in words
- Status
- Remarks

Funds Enquiry								
REQUEST ID	SEGMENT	BANK	STP TYPE	STP NO	EPI AMT	AMOUNT IN WORDS	STATUS	REMARKS
1	C	BANK LTD	H	2024552	500000	Rs. Five Lakh Only	Pending	
2	C	BANK LTD	H	2024552	5000	Rs. Five Thousand Only	Pending	

- **Funds EPI TM Limit:** Members shall use this interface to allocate Funds EPI at TM level.

- Log on to N-MASS.
- Click the OFS->OFS Funds Pay-In->OFS Funds->Funds EPI TM Limit

User shall select settlement no., settlement type and enter TM code and Amount to put Funds EPI TM Limit.

On click of submit button, the record gets saved.

Only amount for the saved record can be edited. Amount edited should only be more than the existing amount.

The OFS - Funds EPI TM Limit screen shows the following columns:

- Settlement Type
- Settlement No.
- TM Code
- Amount
- Amount in words

On clicking “Submit” button, the submitted record will display following details:

- Settlement Type
- Settlement No.
- TM Code
- Amount
- Amount in words

SELECT	STP TYPE	STP NO	TM CODE	AMOUNT	AMOUNT IN WORDS
☐	H	2024552		10000	Rs. Ten Thousand Only

- Collateral TM Limit:** Members shall use this interface to set limit for OFS collateral at TM level.
 - Log on to N-MASS.
 - Click the OFS->OFS Funds Pay-In->OFS Funds->Collateral TM Limit

User shall enter TM code and Amount to put Collateral TM Limit.

On click of submit button, the record gets saved.

Only amount for the saved record can be edited. Amount edited should only be more than the existing amount.

The Collateral TM Limit screen shows the following columns:

- a. TM Code
- b. Amount
- c. Amount in words

The screenshot shows the 'Collateral TM Limit' screen. At the top, there's a header with 'OFS' and 'FUNDS UTILIZATION REPORT - OFFERINGS -'. Below this, the title 'Collateral TM Limit' is displayed. A 'Note' section contains two points: 'a) * mandatory fields' and 'b) Click on Submit to save or update'. There are three input fields: 'TM Code *' (with a dropdown arrow), 'Amount *' (with a value of '0.0001'), and 'Amount in Words' (with a value of 'Rs. Sixty Five Thousand Eight Hundred Seventy One Only'). A 'Submit' button is located to the right of the 'Amount in Words' field. At the bottom left, it says 'Available Limit : Rs.5000000'.

On clicking “Submit” button, the submitted record will display following details:

- a. Settlement Type
- b. Settlement No.
- c. TM Code
- d. Amount
- e. Amount in words

The screenshot shows the 'Collateral TM Limit' screen after submission. The 'Available Limit' is now 'Rs.4750000'. Below the input fields, there is a table with the following columns: 'SELECT', 'TM CODE', 'AMOUNT', and 'AMOUNT IN WORDS'. The table contains one record with 'SELECT' as a checkbox, 'TM CODE' as 'L', 'AMOUNT' as '250000', and 'AMOUNT IN WORDS' as 'Rs. Two Lakh Fifty Thousand Only'. An 'Edit' button is located below the table.