

NSE Clearing Limited

(Formerly known as National Securities Clearing Corporation Limited)

DEPARTMENT:	
Download Ref No : NCL/COMP/41500	Date : July 03, 2019
Circular Ref. No : 0197/2019	

All Members/PCM,

Sub: Reporting of Trading Member-wise, client-wise Collateral details by Clearing Members - Revised

Attention of all Clearing members is drawn towards NSE Clearing circular NCL/COMP/41068 dated May 20, 2019 which required upload of Trading Member-wise collateral details by Clearing Member.

In furtherance to the same it is to be noted that Clearing Members shall also report details of collaterals deposited with them by the Custodian participants.

Accordingly, clearing members are requested to note the revised annexures for reporting of collateral details.

All other provisions of the circular remain unchanged.

**For and on behalf of
NSE Clearing Limited**

**Nisha Pillai
Chief Manager**

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Annexure 1
File Nomenclature: <CMPAN>_Collat_Sec_ddmmyyyy.nn

Where

CMPAN is the reporting Clearing member's PAN (10 digit)

ddmmyyyy is end of reporting week i.e. Saturday in ddmmyyyy format

nn = incremental batch no

File format: CSV

Clearing Member ID (Assigned by CC)	Clearing Member PAN	Holding Date	Clearing Member's Demat Account No.	Clearing Member Account Type	Trading member/ Custodian Participant name	Trading member/ Custodian Participant PAN	Client UCC	Client PAN	ISIN	Security Type	Total Quantity	Action
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File description:

Sr no.	Field Name	Length	Description
1	Clearing Member ID (Assigned by CC)	Char (6)	Alpha Numeric Clearing Member ID
2	Clearing Member PAN	Char (10)	Alpha-numeric clearing member PAN
3	Holding Date	DATE	Date of holding in demat account Expected sample value : DD-MM-YYYY
4	Clearing Member's Demat Account No.	Char (16)	Demat account Number in 16 digit Alpha-numeric
5	Clearing Member Account Type	Char (7)	Clearing member collateral account Value shall be: CM COLL
6	Trading member/Custodian Participant name	Char (100)	Alpha Numeric Client Name
7	Trading member/Custodian Participant PAN	Char (10)	Alpha-numeric trading member PAN
8	Client UCC	Char (12)	Client UCC. In case of Custodian participant, Client UCC shall be "NA"
9	Client PAN	Char (10)	Alpha-numeric Client PAN. In case of Custodian participant, Client PAN shall be "NA"
10	ISIN	Char (12)	Alpha-numeric ISIN code
11	Security type	Char (4)	Security type shall be either of following: EQ MF

			BOND DEBT PREF IDR WT GOVT.SEC FOR SOVEREIGN SEC
12	Total Quantity	Number (20)	Quantity of securities – Total quantity of security given by the Trading member in Numeric form Decimals shall be allowed upto 3 digits
13	Action	Char (1)	Refer point (e) below: Expected sample value: A D U

- Members have to submit the data for all calendar days of the week except Sunday on or before the next four trading days of subsequent week. For example, data for the week from April 01, 2019 (Monday) to April 06, 2019 (Saturday) shall be submitted by April 11, 2019 (Thursday).
- In order to bring in uniformity and ensure upload of a single file for all the dates (Monday to Saturday) in a week the file naming convention shall be CM_Collat_Sec_ddmmyyyy.nn wherein date shall be end of the reporting week (i.e. Saturday)
- The Holding statement has to be maintained & submitted scrip-wise for all the demat accounts where clearing member is holding trading member securities in collateral account.
- Clearing Members have to report holding data of all collateral securities kept in each demat account reported including Equity, MF units, Bond, Debentures, Pref. Share, Indian Depository Receipts (IDR), Warrants, etc., whether suspended or not under the heading 'Security Type'.

Security type	Report Values
Equity	EQ
MF units	MF
Bond	BOND
Debentures	DEBT
Pref. Share	PREF
Indian Depository Receipts	IDR
Warrants	WT
Government Securities	GSEC
Foreign Sovereign Securities	FSS

- The format shall incorporate an additional column "Action" indicating any revision in the report submitted. "A" will be default option available in the column while making the submission. In case of any revision, Members shall only upload the file with incremental data and shall mention 'D' for deleted records and 'U' for updated records in the said additional column.

Annexure 2

File Nomenclature: <CMPAN>_Collat_details_ddmmyyyy.nn

Where

CMPAN is the reporting Clearing member's PAN (10 digit)

ddmmyyyy is end of reporting week i.e. Saturday in ddmmyyyy format

nn = incremental batch no

File format: CSV

Clearing Member ID (Assigned by CC)	Clearing Member PAN	Date	Trading member/Custodian Participant name	Trading member /Custodian Participant PAN	Cash	BG	FDR	Securities (Total value of Securities in Rs)	Action
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File description:

Sr no.	Field Name	Length	Description
1	Clearing Member ID (Assigned by CC)	Char (6)	Alpha Numeric Clearing Member ID
2	Clearing Member PAN	Char (10)	Alpha-numeric clearing member PAN
3	Date	DATE	Date of holding the collaterals Expected sample value : DD-MM-YYYY
4	Trading member/Custodian Participant name	Char (100)	Alpha Numeric Trading member/ Custodian Participant Name
5	Trading member /Custodian Participant PAN	Char (10)	Alpha-numeric trading member/ Custodian Participant PAN
6	Cash	Number (20)	Value in Rs.
7	Bank Guarantee (BG)	Number (20)	Value in Rs.
8	Fixed deposit receipt (FDR)	Number (20)	Value in Rs.
9	Securities (Total Value of Securities in Rs.)	Number (20,3)	Value of securities – Total value of securities given by the Trading member in Numeric form Decimals shall be allowed upto 3 digits
10	Action	Char (1)	Refer point (a) below: Expected sample value: A D U

- f) The format shall incorporate an additional column "Action" indicating any revision in the report submitted. "A" will be default option available in the column while making the submission. In case of any revision, Members shall only upload the file with incremental data and shall mention 'D' for deleted records and 'U' for updated records in the said additional column.

