

Annexure-A

Part A – Guidelines for Data Submission

Nomenclature (File Name) for Client Level Cash & Cash Equivalent Balances	PAN_CE_DDMMYYYY_BATCH NO Explanation: “PAN” shall be the Member’s PAN (Alpha Numeric 10 characters) Date shall be end of the reporting week (i.e. Saturday) Batch/Seq No. starts from 01, in case of multiple files of same week
Nomenclature (File Name) for Bank Account Balances	PAN_BA_DDMMYYYY Explanation: “PAN” shall be the Member’s PAN (Alpha Numeric 10 characters). Date shall be end of the reporting week (i.e. Saturday).
Frequency of Reporting	Weekly basis {A single file for all days of the week (Monday to Saturday)}
Last day of Submission	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.

I. Clarification w.r.t. Client Level Cash & Cash Equivalent Balances:

Trading member PAN	Date	Unique Client Code	Client PAN	Client Name	Segment Indicator	Financial Ledger balance-A	Financial Ledger balance (clear)-B	Bank Guarantee (BG)	Fixed deposit receipt (FDR)	Government of India Securities (GSEC)	Gilt funds	Last settlement date

Sr. No.	Field Name	Length (Max)	Description
1	Trading member PAN	Char (10)	Alpha-numeric trading member PAN
2	Date	DD-MM-YYYY	Date of holding the cash/cash equivalent collaterals
3	Unique Client Code	Char (20)	Alpha-numeric client code “TM Code” to be mentioned in case of proprietary balances
4	Client PAN	Char (10)	Alpha-numeric Client PAN
5	Client Name	Char (100)	Alpha-numeric Client Name
6	Segment Indicator	Char (07)	Values shall be either of the following: - NON MTF - MTF

			NON MTF means all other segments other than MTF (like CM, FO, CD, CO, SLB and DEBT)
7	Financial Ledger balance-A	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits Net across all segments & Exchanges. As per the financial ledger of the client.
8	Financial Ledger balance (clear)-B	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits Net across all segments & Exchanges. Financial ledger balance, after adjusting for open bills of the client, un-cleared cheques deposited or issued and the margin obligations.
9	Bank Guarantee (BG)	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
10	Fixed deposit receipt (FDR)	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
11	Government of India Securities	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
12	Gilt funds	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
13	Last settlement date	DD-MM-YYYY	Last settlement date of the respective client. In case settlement is not applicable then member may write "NA"

II. Clarification w.r.t. reporting of Bank account balances:

Bank Account No.	IFSC	Bank Account Type	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY

Sr. No.	Field Name	Length (Max)	Description
1	Bank Account No.		'Bank Account No.' shall be populated by the system as per the reporting done by member under Enhanced supervision. In case of any new account is opened by the member then member is required to report first in Enhanced supervision.
2	IFSC		'IFSC' shall be populated by system as per the reporting done by member under Enhanced supervision
3	Bank Account Type		'Bank Account Type' shall be populated by system as per the reporting done by member under Enhanced supervision
4	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits First date of the week i.e Monday date
5	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits

			Second date of the week i.e Tuesday date
6	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits Third date of the week i.e Wednesday date
7	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits Fourth date of the week i.e Thursday date
8	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits Fifth date of the week i.e Friday date
9	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits Sixth date of the week i.e Saturday date

- Both above mentioned files shall be in csv and zip format. One zip file shall contain one csv file only. Naming convention of zip file shall be same as of the csv file.
- In case of success file, Members will not be able to upload another file with the same nomenclature.
- Files uploaded will be processed for validation check. Members are required to check the “View Submissions” window for success/failure status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the file with correct data.
- In case of non-applicability, a separate system for submission of a one-time declaration has been provided. However, as and when, member become eligible for submissions, they will have to submit the data as per the requirements.

Part B – User manual for Client Level Cash & Cash Equivalent Balances Submission

1. Details of UAT access are as under:

URL: <https://www.devconnect2nse.com/MemberPortal/>

User id: ApiUser<5 digit member code> (For example, if member code is 12345 then User id will be 'ApiUser12345')

Member Code: Your respective Member code (5 digit)

Password: Abcd@1234

After login, from the above mentioned credentials, members will have to change the password and re-login with new password.

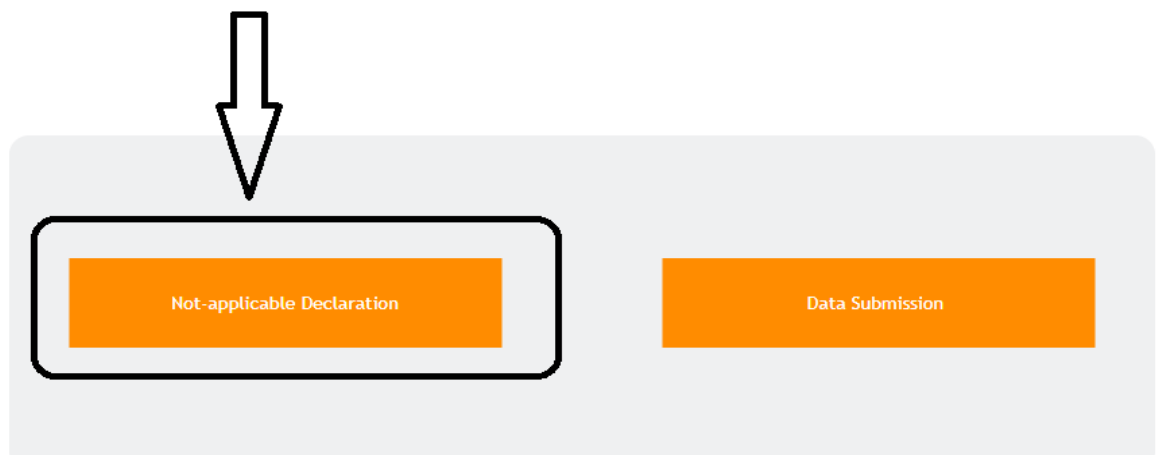
2. Navigation: Inspection_oracle --> Statement Upload --> Cash & Cash Equivalent Balances --> Submit data
Click "Submit Data"

The screenshot shows the NSE Inspection Oracle web application. The top navigation bar includes links for My Inspection, Risk Based Supervision, Enhanced Supervision, Internal Audit, Statement Upload, Active Terminal, Help Documents, and Contact Details. The 'Statement Upload' menu is expanded, showing options for Holding Statement, Cash & Cash Equivalent Balance, and Bank Account Balances. The 'Cash & Cash Equivalent Balance' option is highlighted, and a 'Submit data' button is visible. Below the navigation bar, there is a section for 'My Inspection' with a table containing columns for Sr. No., Year, Quarter, and Inspection. The table is currently empty.

3. After clicking the "Submit Data" button, the next screen will show the two options i.e. "Not-applicable Declaration" and "Data Submission".

In case trading member is not eligible for submitting the data then member can submit a one-time **Not-applicable Declaration**.

The screenshot shows a portion of the NSE web application navigation bar, including links for Risk Based Supervision, Enhanced Supervision, Internal Audit, Standardization Upload, Help Documents, Contact Details, and Test Digital Signature.



4. After clicking the "Not-applicable Declaration" button, the next screen will show the 3 options and member can select appropriate applicable option and submit the declaration.

My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal Help Documents Contact Details

Declaration

☐ No client funds/Cash equivalent held at EOD
 ☐ Undertaking Institutional Trading only
 ☐ Undertaking Proprietary Trading only

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- In case member is eligible for data submission then member is required to select “Data submission” option.

Welcome SubUs

ased Supervision Enhanced Supervision Internal Audit Standardization Upload Help Documents Contact Details Test Digital Signature

Not-applicable Declaration

Data Submission

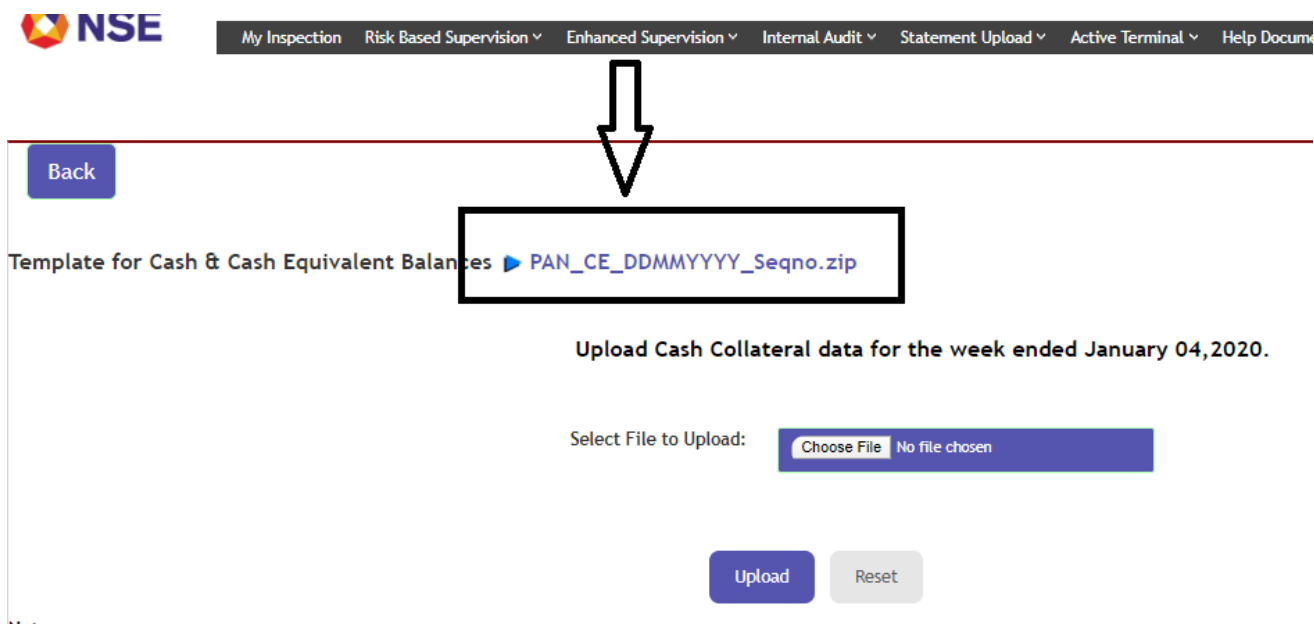
- After clicking on “Data Submission” button the next screen will show the link for the week for which the data has to be submitted. Click “Submit details” against the date to proceed to enter the information sought.

NSE

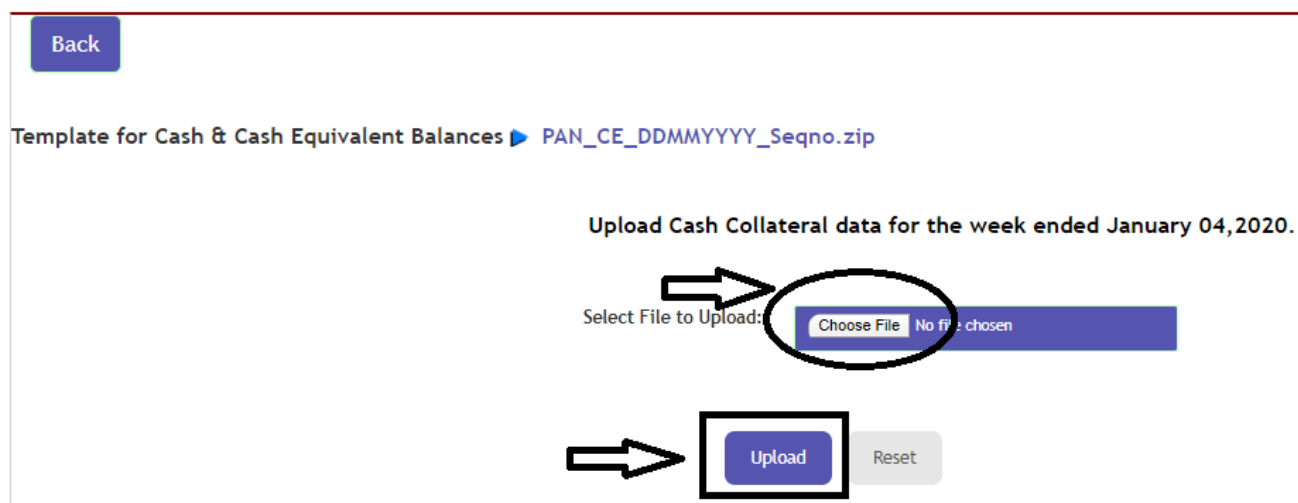
My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal Help Documents Contact D

Cash & Cash Equivalent Balances					
					Sample Guideline
Week	Month	Year	Due date	Link for Submission	
1	Week ended as on 04-Jan-2020	JAN	2020	Jan 09, 2020	Submit Details
2	Week ended as on 11-Jan-2020	JAN	2020	Jan 16, 2020	Submit Details

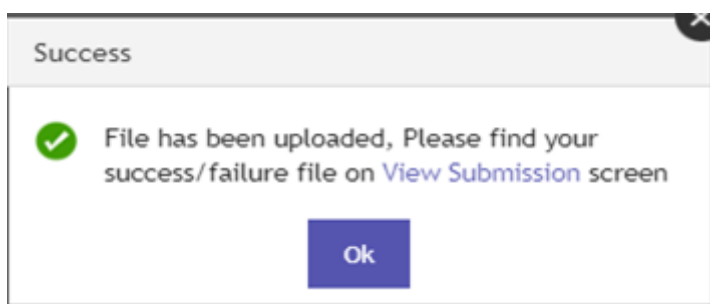
- After clicking on “Submit Details” button the next screen will show the link for the format. Click on the link of the format and a CSV file of the format will be downloaded.



8. Fill the sought data (as per the guidelines provided by Exchange) in the downloaded file. File should be submitted in the required nomenclature provided.
9. Click on “Choose file” and proceed to submit the record by clicking the “Upload” button.



10. Files uploaded will be processed for validation check.



11. Members are required to check the “View Submissions” window for success/failure status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the file with correct data.

The screenshot shows the NSE Inspection Oracle web application. The top navigation bar includes links for 'My Inspection', 'Risk Based Supervision', 'Enhanced Supervision', 'Internal Audit', 'Statement Upload', 'Active Terminal', 'Help Documents', and 'Contact Details'. The 'Statement Upload' dropdown menu is open, showing options: 'Holding Statement', 'Cash & Cash Equivalent Balance', 'Bank Account Balances', 'Submit data', and 'View Submission'. The 'View Submission' option is highlighted with a red box, and a red arrow points to it. Below the menu, there are dropdowns for 'MONTH' and 'YEAR', a 'Search' button, and a table with columns 'File Name', 'Created Date', and 'Delete File'.

12. **Deletion of Submitted Data:** In case of any error in the submitted data, member can delete the success file within the due date of the respective week. However delete facility shall not be available after due date.

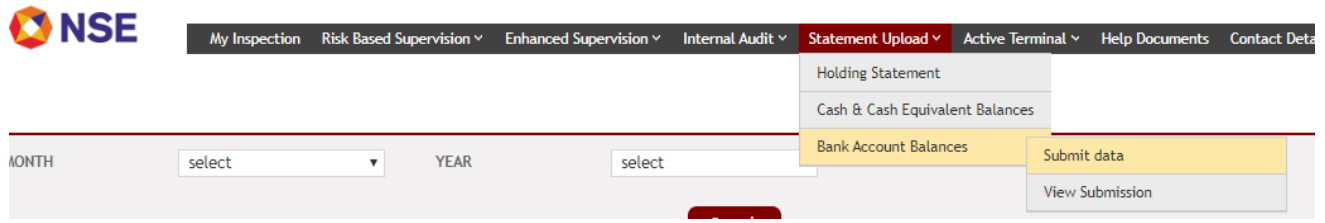
Navigation: Inspection_oracle --> Statement Upload --> Cash & Cash Equivalent Balances --> View submission

The screenshot shows the 'View Submission' page in the NSE Inspection Oracle web application. It displays a table with columns 'File Name', 'Created Date', and 'Delete File'. The first row of the table is highlighted, and the 'Delete File' column contains a 'Delete' button, which is highlighted with a red box. A red arrow points to the 'Delete' button. The table contains the following data:

	File Name	Created Date	Delete File
1	ABCDE1234F_CE_04012020_01_SUCCESS.zip	Mar 18, 2020 7:17:57 PM	Delete
2	ABCDE1234G_CE_06072019_02_SUCCESS.zip	Mar 12, 2020 3:55:02 PM	

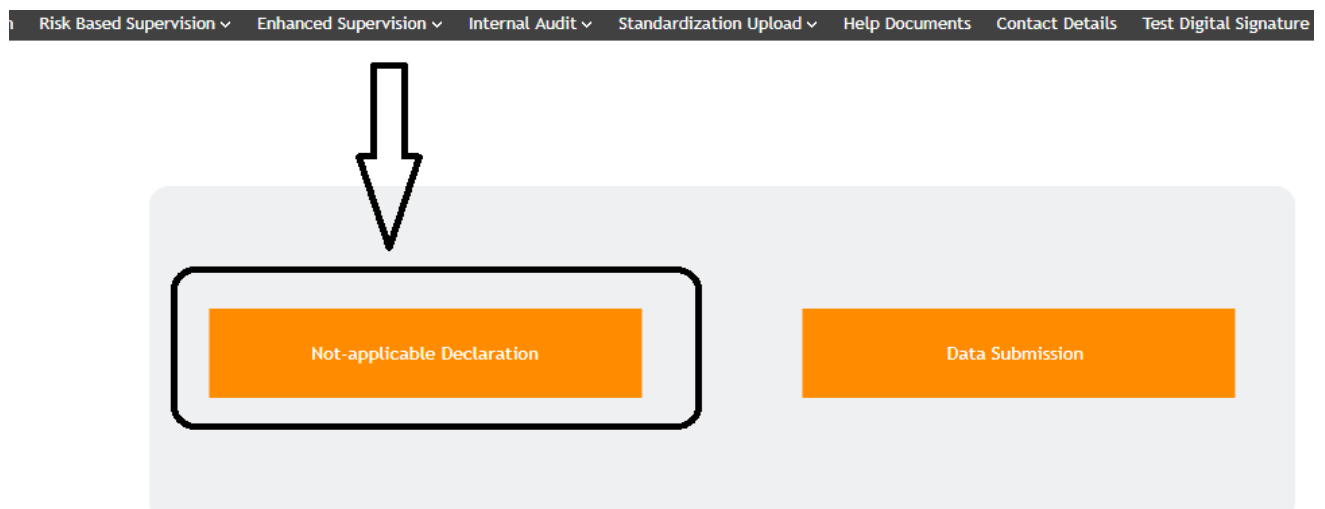
Part C – User manual for Bank Account Balances

1. Navigation: Inspection_oracle --> Statement Upload --> Bank Account Balances --> Submit data
Click “Submit Data”

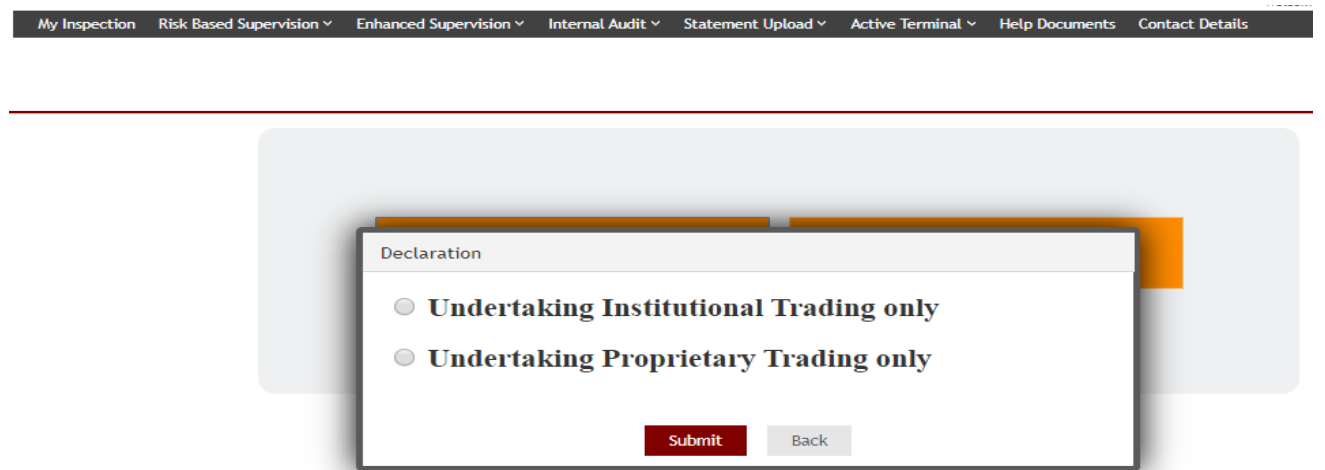


2. After clicking the “Submit Data” button, the next screen will show the two options i.e. “**Not-applicable Declaration**” and “**Data Submission**”.

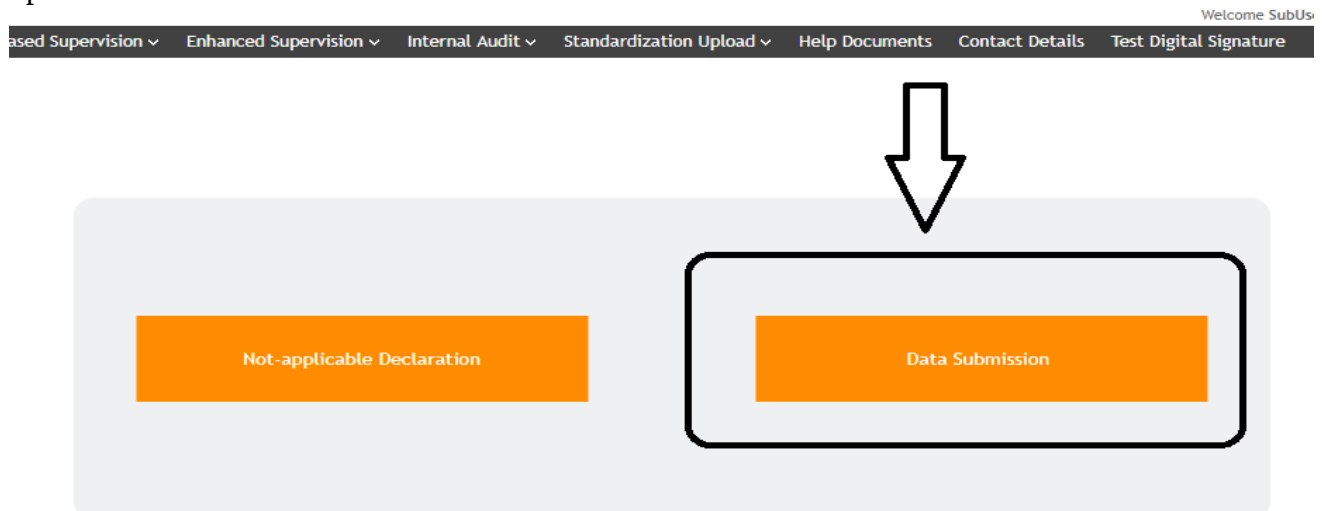
In case trading member is not eligible for submitting the data then member can submit a one-time **Not-applicable Declaration**.



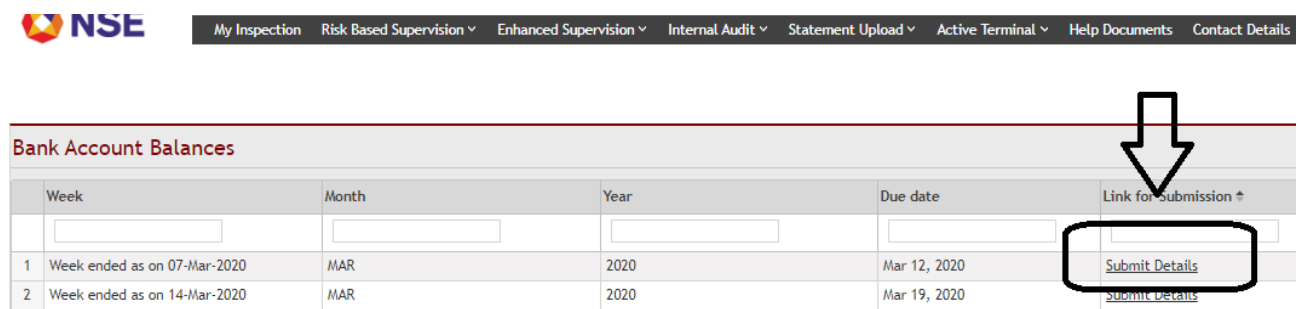
3. After clicking the “**Not-applicable Declaration**” button, the next screen will show the 2 options and member can select appropriate applicable option and submit the declaration.



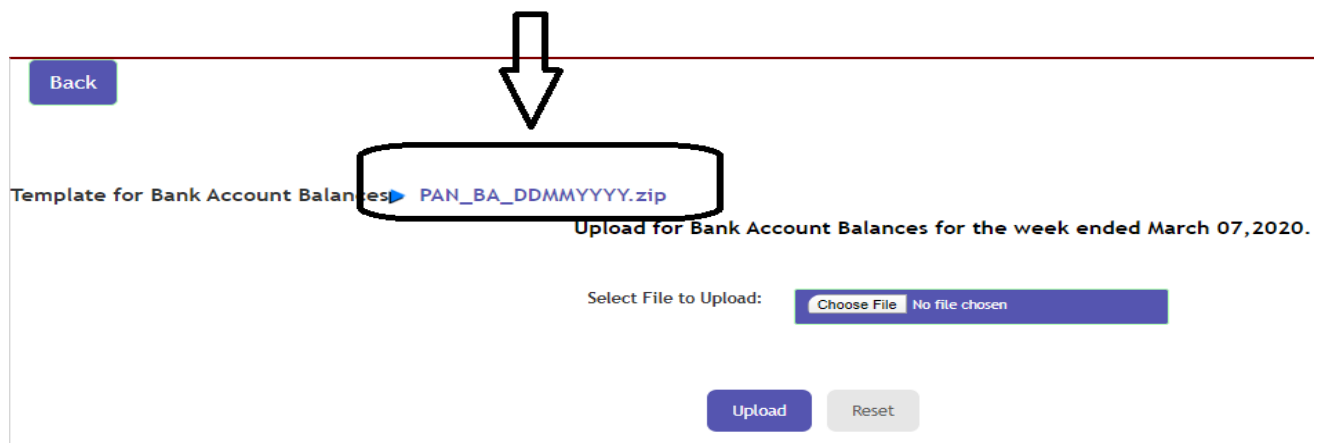
4. In case member is eligible for data submission then member is required to select “Data submission” option.



5. After clicking on “Data Submission” button the next screen will show the link for the week for which the data has to be submitted. Click “Submit details” against the date to proceed to enter the information sought.



6. After clicking on “Submit Details” button the next screen will show the link for the format. Click on the link of the format and a CSV file of the format will be downloaded.



7. Fill the sought data (as per the guidelines provided by Exchange) in the downloaded file. File should be submitted in the required nomenclature provided.

8. Click on “Choose file” and proceed to submit the record by clicking the “Upload” button.

Back

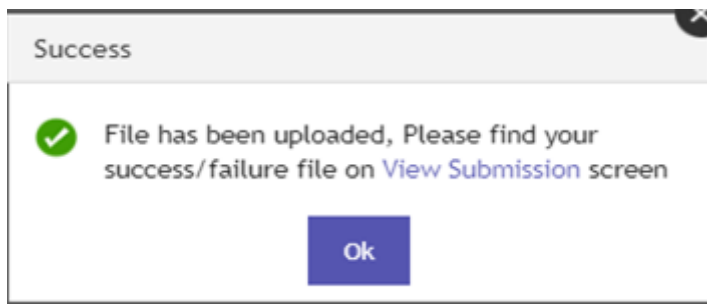
Template for Bank Account Balances [PAN_BA_DDMYYYYY.zip](#)

Upload for Bank Account Balances for the week ended March 07,2020.

Select File to Upload: [Choose File](#) No file chosen

[Upload](#) [Reset](#)

9. Files uploaded will be processed for validation check.



10. Members are required to check the “View Submissions” window for success/failure status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the file with correct data.

Inspection_Oracle

NSE

My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal Help Documents Contact Details

Holding Statement

Cash & Cash Equivalent Balance

Bank Account Balances

Submit data

View Submission

MONTH select YEAR select

Search

File Name	Created Date	Delete File

11. **Deletion of Submitted Data:** In case of any error in the submitted data, member can delete the success file within the due date of the respective week. However delete facility shall not be available after due date.

Navigation: Inspection_oracle --> Statement Upload --> Cash & Cash Equivalent Balances --> View submission