

National Stock Exchange Of India Limited**Department :**

Download Ref No: NSE/INSP/43926

Date : March 23, 2020

Circular Ref. No: 19/2020

To All Trading Members,

Sub: Reporting of Client Level Cash & Cash Equivalent Balances and Bank Account Balances

Member's attention is drawn to Exchange circular NSE/INSP/43486 dated February 10, 2020 regarding proposed submission of the following data /details:-

1. Day-wise upload of Client Level Cash & Cash Equivalent Balances on a weekly basis for all calendar days of that week except Sunday (**i.e. Monday to Saturday**);
2. Day-wise upload of bank Balances (as per the bank statement) of all bank accounts on a weekly basis for all the calendar days of that week except Sunday (**i.e. Monday to Saturday**)

The aforesaid data / details shall be required to be submitted on or before the next four trading days of subsequent week. In view of the same, Exchange is pleased to provide a mock facility to all the members for testing the new system and formats. Path for accessing the system is 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

The procedure for submitting the information through the Inspection module in the Member portal during the mock testing is enclosed as **Annexure-A** of this circular. All Members are requested to use this facility, train their staff on the same and ensure preparedness to meet this requirement. Exchange will issue appropriate communication in due course regarding commencement of the submissions in live environment.

Further, Members are requested to take note of the below:

- Members have to submit "Client Level Cash & Cash Equivalent Balances" data on a consolidated basis across all Exchanges. The data shall be prepared & submitted for all the clients irrespective of the Exchange on which the clients are trading and the same shall be reported to all the exchanges.

- For dormant clients whose PAN is not available or PAN exempt cases (e.g. Sikkim clients), the following dummy PAN can be mentioned in the client PAN column :

Particulars	Dummy PAN to be used
For dormant clients whose PAN is not available	ABCDE1234F
PAN exempt cases	NNNNN1111N

- Members shall not be required to upload data for clients with zero cash & cash equivalent balances and have not traded in last 12 months.
- The requirement for aforementioned submissions are applicable to all Trading Members, except for those who are carrying out only proprietary trading and/or only trading for institutional clients. Members carrying out only proprietary trading and/or only trading for institutional clients will have to give a one-time declaration through the system. The guidelines for applicability of Members for reporting is enclosed as **Annexure B**.

All members are advised to take note of the same

For and on behalf of

National Stock Exchange of India Limited

Srijith Menon

Chief Manager-Inspection

Enclosed: **Annexure A and B**

In case of any clarifications, Members may contact our below offices:

Regional Office	CONTACT NO.	E MAIL ID
Ahmedabad (ARO)	079-49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915/17	inspection_cro@nse.co.in
Delhi (DRO)	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai(WRO)	022-25045264/259/224	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	