

Part A – Guidelines for format

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
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.

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

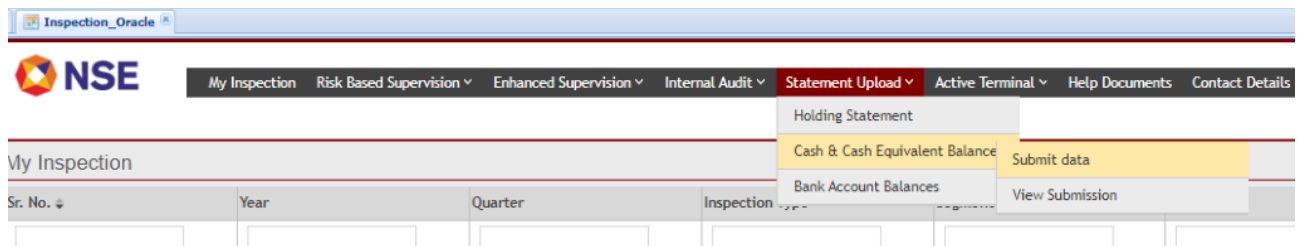
Sr. No.	Field Name	Length (Max)	Description
1	Trading member PAN	Char (10)	Alpha-numeric trading member PAN
2	Date	DD-MM-YYYY	Date of holding the cash/cash equivalent collaterals
3	Unique Client Code	Char (20)	Alpha-numeric client code “TM Code” to be mentioned in case of proprietary balances
4	Client 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"

- File 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 becomes eligible for submissions, they will have to submit the data as per the requirements.

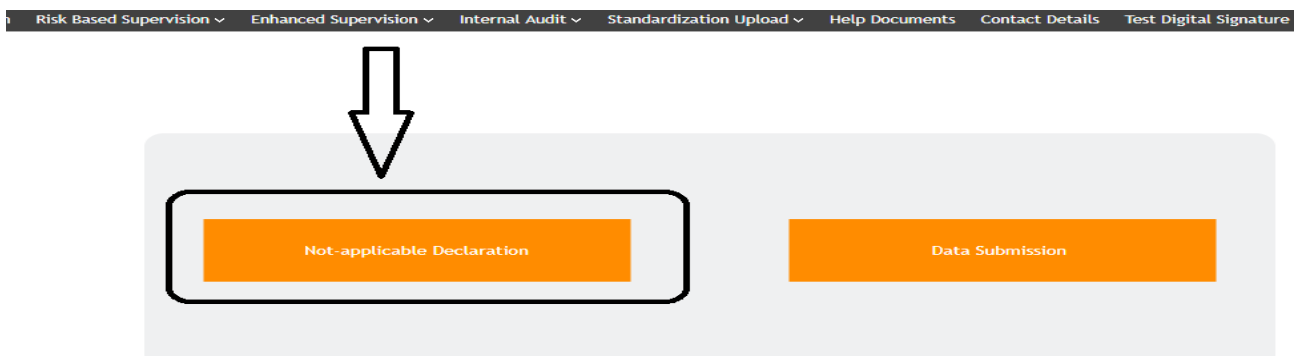
Part B – User manual for Client Level Cash & Cash Equivalent Balances Submission

1. Login using following URL
<https://inspection.nseindia.com/MemberPortal/>
2. Navigation: Inspection --> Statement Upload --> Cash & Cash Equivalent Balances --> Submit data
Click “Submit Data”

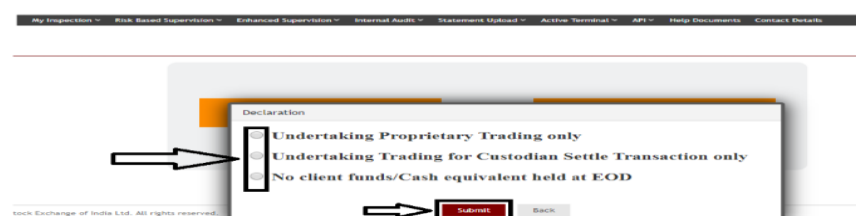


3. After clicking the “Submit Data” button, the next screen will show the two options i.e. “**Not-applicable Declaration**” and “**Data Submission**”.

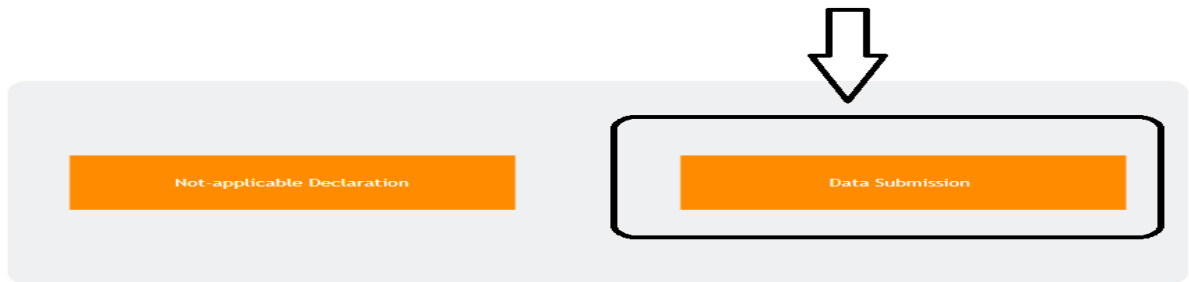
In case trading member is not eligible for submitting the data then member can submit a one-time **Not-applicable Declaration**.



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.



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

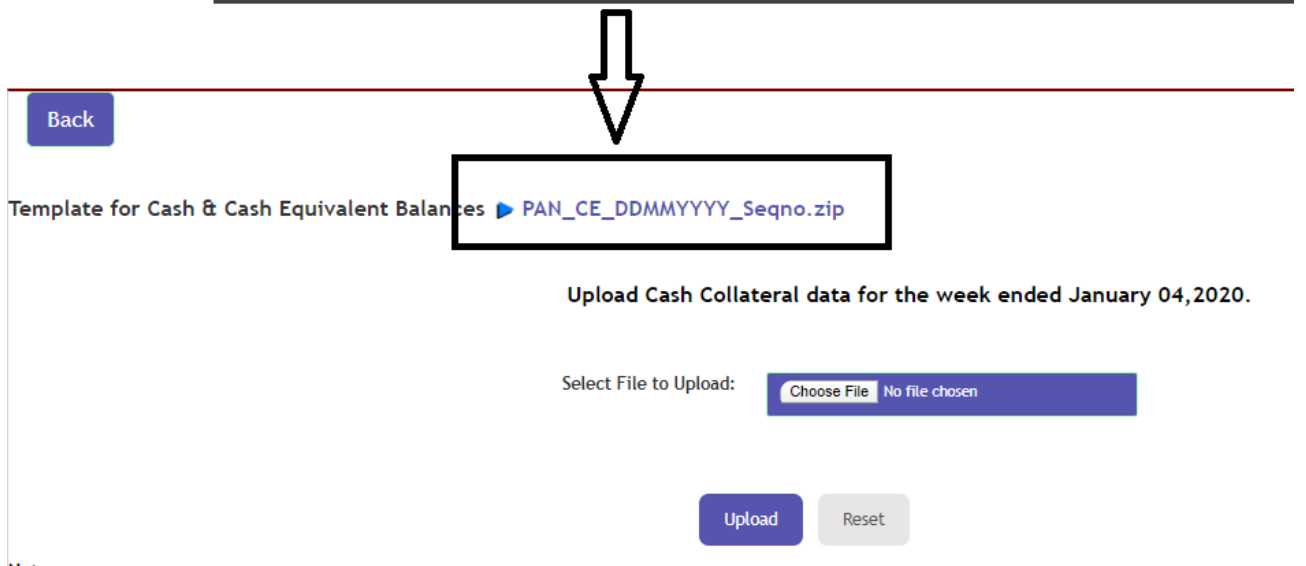


- After clicking on “Data Submission” button the next screen will show the link for the week for which the data has to be submitted. Click “Submit details” against the date to proceed to enter the information sought.



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 zip file of the format will be downloaded.



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

Back

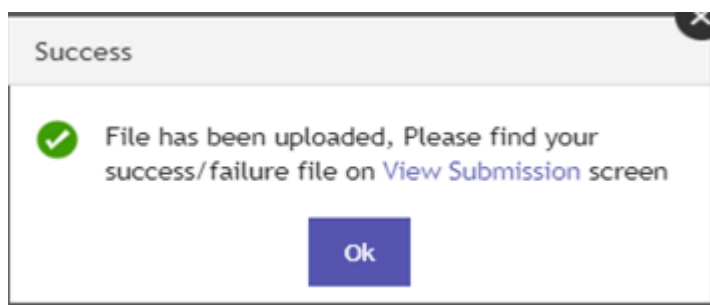
Template for Cash & Cash Equivalent Balances ▶ PAN_CE_DDMMYYYY_Seqno.zip

Upload Cash Collateral data for the week ended January 04, 2020.

Select File to Upload: Choose File No file chosen

Upload Reset

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.

Inspection_Oracle

NSE

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

Statement Upload

Holding Statement

Cash & Cash Equivalent Balance Submit data

Bank Account Balances View Submission

MONTH select YEAR select

Search

File Name	Created Date	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.

NSE

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

MONTH select YEAR select

Search

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	

End of document