

Annexure-B

Part I – Guidelines for Format

Nomenclature (File Name)	TM Code_YesBank “TM code” shall be the 5 digit Member’s code allotted by NSE
Last day of submission	On or before June 09, 2020

Format of the submission

CLEARING MEMBER/TRADING MEMBER PAN	TRANSFER TYPE	ISIN	DP ID - TRANSFEROR	CLIENT ID - TRANSFEROR	ACCOUNT TYPE	SETTLEME NT NO.	SEGMENT INDICATOR	QUANTITY	DP ID - TRANSFeree	CLIENT ID - TRANSFeree	CLIENT NAME	CLIENT UCC	CLIENT PAN

Sr. No.	Field Name	Length (Max)	Description
1	Clearing member/Trading member PAN	Char (10)	Alpha-numeric member PAN
2	Transfer Type	Char (12)	Value shall be any of the following: CM to TM TM to Client Note: In case of transfer from Clearing member to constituents, mention "CM to TM". In case of transfer from Trading member to clients mention "TM to Client".
3	ISIN	Char (12)	Value shall be any of the following: INE528G01027 INE528G01035
4	DP ID - Transferor	Char (08)	DP Id in 8 digit Alpha-numeric. Note: Should be preceded by sufficient zeroes to make it 08 character and append Double Quotes ("") at the start and end of DP Id Eg. “IN123456” & “12345678”
5	Client ID - Transferor	Char (08)	Client id in 8 digit numeric. Note: Should be preceded by sufficient zeroes to make it 08 character and append Double Quotes ("") at the start and end of client Id Eg. “00012345”
6	Account Type	Char (04)	Value shall be any of the following: CUSA OWN POOL COLL EPI MTF Note: Account type to be selected based on the nature of Transferor’s DP account where yes bank share are currently held. All type of Colletral and MTF account mention “COLL” and “MTF” respectively.

7	Settlement No.	Char (12)	Alpha-numeric Note: To be provided in those cases where Transferor DP account is Pool account, EPI and Client Unpaid Securities Account (CUSA). For other cases, value is not required in settlement no. Column.
8	Segment Indicator	Char (03)	Value shall be any of the following: CM FO CD SLB
9	Quantity	Number (20)	Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
10	DP ID - Transferee	Char (08)	DP Id in 8 digit Alpha-numeric. Note: Should be preceded by sufficient zeroes to make it 08 character and append Double Quotes ("") at the start and end of DP Id Eg. "IN123456" & "12345678"
11	Client ID - Transferee	Char (08)	Client id in 8 digit numeric. Note: Should be preceded by sufficient zeroes to make it 08 character and append Double Quotes ("") at the start and end of client Id Eg. "00012345"
12	Client Name	Char (100)	Alpha-numeric Client Name
13	Client UCC	Char (20)	Alpha-numeric client code
14	Client PAN	Char (10)	Alpha-numeric Client PAN

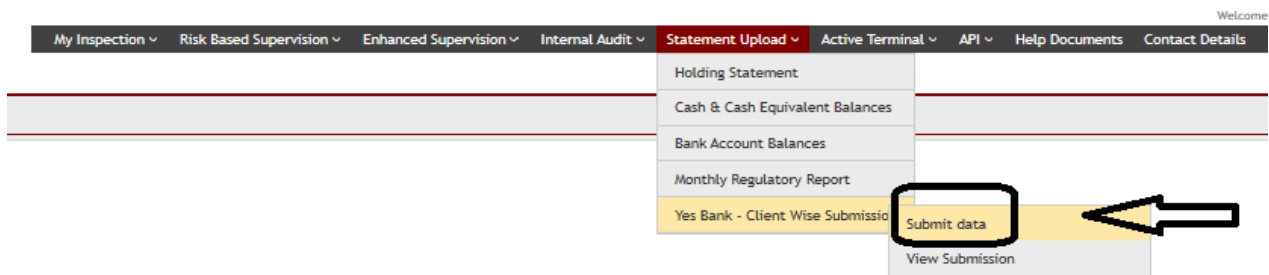
Part II – User manual for Submission

Note: Members are requested to read all below mentioned points before submission.

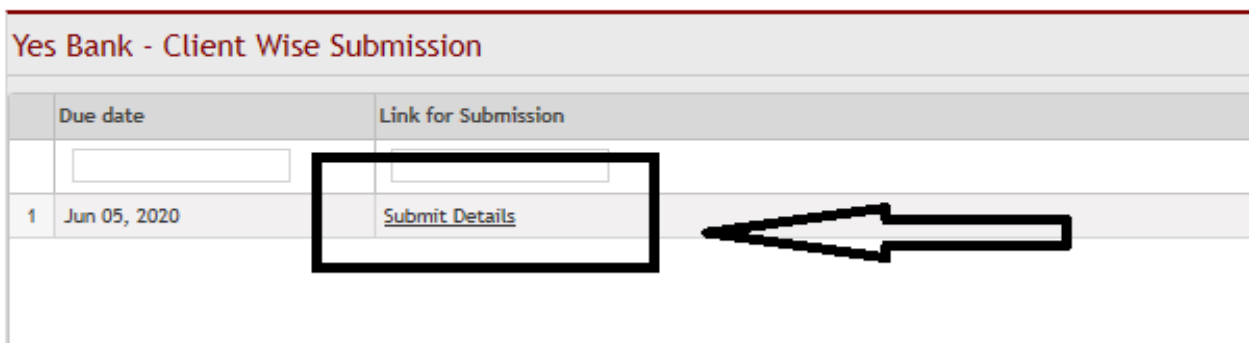
POINTS:

- Every member can submit one file only. Means batch number option for uploading multiple files are not available.
- In case of success file, the submission link will be disabled and thereafter members will not be able to upload another file.
- In case of any error in the submitted file: Member can delete the submitted file **within the due date**. Subsequent to deletion, submission link will again available for submitting the data. Option for deletion is available in "View submission" window.
- File can't be revised after the due date of submission and file with success status shall be considered as final submission.
- In case member is not submitted any data within the due date then it will be construed that member does not hold any Yes bank securities in old ISIN. Member is not required to submit any 'Nil submission' declaration.
- **In case of new ISIN, only those details need to be reported which are under lock-in.**

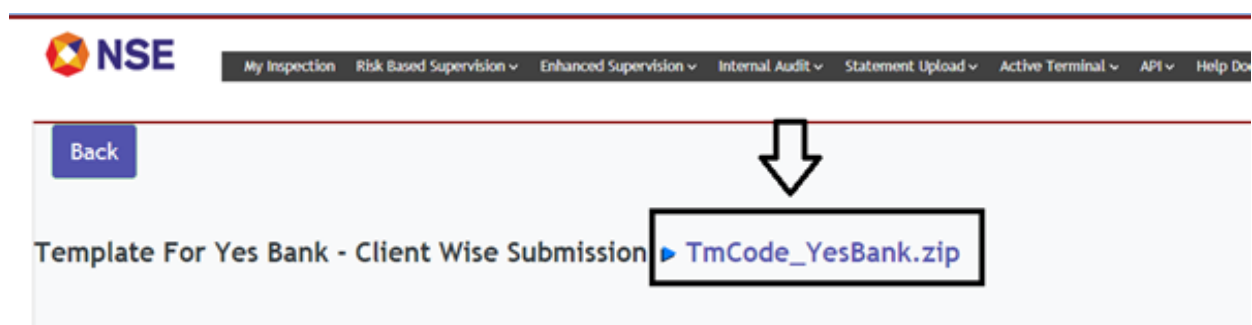
1. Login using following URL
<https://inspection.nseindia.com/MemberPortal/>
2. Navigation: Inspection--> Statement Upload--> Yes Bank Client Wise Submission--> Submit data.
Click “Submit data”



3. After clicking the “Submit data” button, the next screen will show the link for data submission. Click “Submit details” to proceed to enter the information sought.



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



5. Fill the template with data (as per the guidelines provided in Part-A, above) and save the same on your desktop. The file should be saved in the nomenclature provided.
Note: File to be submitted in csv and zip format.

6. First, Member will have to accept the declaration by tick the button and then click on “Choose file” and proceed to submit the record by clicking the “Upload” button.

Template For Yes Bank - Client Wise Submission ▶ TmCode_YesBank.zip

Upload Yes Bank - Client Wise Submission For Day 18, APR 2020.

Declaration: ☒ We confirm that the details submitted herewith including the details of the beneficiary owners accounts is correct and complete further confirm that these transfers are meant to give effect to the transaction undertaken by the clients under our stock broking services.

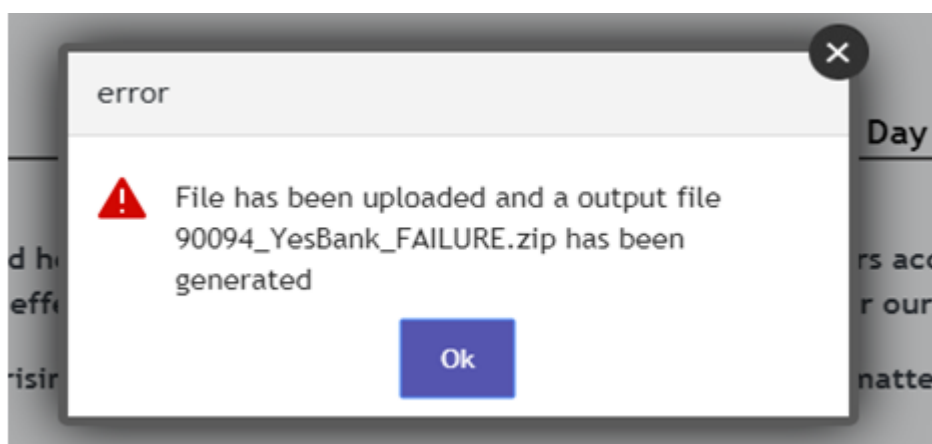
We further confirm that, in the event of any dispute arising out of such transfer, we will amicably resolve the matter's with the client's directly with National Stock Exchange of India Limited.

Select File to Upload: *

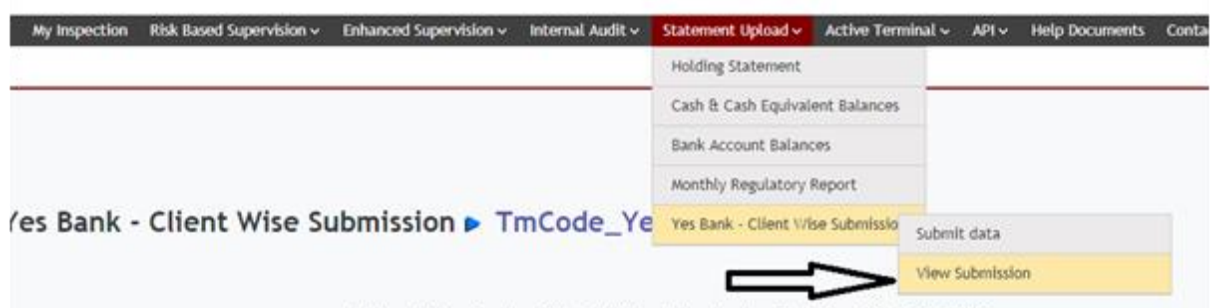
Choose File No file chosen

Upload Reset

7. File uploaded will be processed for validation check and member will receive a pop-up message.



8. 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.



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