

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

Download Ref No: NSE/INSP/48396

Date: May 25, 2021

Circular Ref. No: 28/2021

To All Trading Members,

Sub: Bank Statements Submission

Members' attention is drawn to Exchange circulars bearing reference no. NSE/INSP/46822 and NSE/INSP/46930 dated December 28, 2020 and January 06, 2021 respectively wherein members were advised to submit Undertaking/Authorization to Exchange to access the information/statements pertaining to all bank accounts, maintained by members, opened/reported to the Exchange from time to time, from Banks or through a financial technology solution provider authorized by the Exchange.

In this regard, Exchange has been coordinating with the banks listed out in attached **Annexure A** to receive information/statements pertaining to all bank accounts maintained by the trading members.

Exchange has decided to introduce weekly submission of Bank Statement by members to Exchange for all bank accounts maintained with Banks other than listed out in **Annexure A**. Members are advised to submit the bank statements for all calendar days of the week except Sunday on or before the next four trading days of subsequent week. The first submission of bank statement shall have to be made for the week ending on **June 05, 2021** due date of which will be **June 10, 2021** and for each week thereafter.

The guidelines of the aforesaid submission are enclosed as **Annexure B** for reference.

Further, Exchange is pleased to provide a mock facility to all the members for testing the new system from May 25, 2021. Path for accessing the system is as under:

- URL: <https://uat.connect2nsccl.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@12345678

The procedure for submitting the information through the Inspection module in the UAT portal during the mock testing is enclosed as **Annexure-C**. All Members are requested to use this facility to ensure preparedness to meet this requirement.

All Members are advised to take note of the above and comply.

For and on behalf of**National Stock Exchange of India Limited****Naresh Sawana****Senior Manager-Inspection**

In case of any clarifications, Members may contact below offices

Regional Office	E Mail ID
Ahmedabad (ARO)	inspectionahm@nse.co.in
Chennai (CRO)	inspection_cro@nse.co.in
Delhi (DRO)	delhi_inspection@nse.co.in
Kolkata (KRO)	Inspection_kolkata@nse.co.in
Mumbai (WRO)	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in

Annexure-A**List of Banks**

SL No.	Name of the Bank
1	HDFC Bank
2	Bank of India
3	Citibank India
4	Kotak Mahindra Bank
5	Union Bank of India
6	Yes Bank
7	ICICI Bank
8	IDBI Bank
9	Standard Chartered Bank
10	IndusInd Bank
11	The Hongkong and Shanghai Banking Corporation Limited
12	J.P. Morgan Chase Bank
13	State Bank of India
14	Canara Bank
15	Axis Bank

Annexure-B

Guidelines for Bank Account Submissions

1. Members who are maintaining client and settlement bank accounts with the Banks other than listed out in Annexure A are eligible to submit the said submission.
2. Bank Statements shall be uploaded for all client & settlement bank accounts declared under Enhanced Supervision to Exchange opened with other than the Banks listed out in Annexure A.
3. Submission files shall be a zip file only which shall contain bank statement in only PDF format for each applicable Bank account. Nomenclature of main zip file and PDF file therein shall be as under

Nomenclature (File Name) of Zip file	MemCode_DDMMYYYY_SEQNo Explanation: Memcode shall be five digits member code (Numeric 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) of Bank Statement PDF file of each Bank account number	MemCode_BankAccountNo_DDMMYYYY_SEQ No Explanation: Memcode shall be five digits member code (Numeric characters) Bank Account No shall be account number of respective bank account disclosed to Exchange under enhanced supervision submission. Date shall be end of the reporting week (i.e. Saturday) Batch/Seq No. starts from 01, in case of multiple files of same bank account number.
Frequency of Reporting	Weekly basis
Last day of Submission	Members have to submit the Bank Statements for a respective week period (i.e. Monday to Saturday) on or before the next four trading days of subsequent week.

3. Bank statement shall be in PDF format only and should be generated/received from Banking System or Banks only.
4. After uploading Bank statement first time, member shall ensure to upload Bank Statement in the same format as uploaded previously unless there is change made by the Bank in the format of Bank Statement.
5. In case of success file, members will not be able to upload another file with the same nomenclature.
6. **Deletion of Submitted Data:** In case of any error in the submitted data, members can delete the success file within the due date of the respective week. However, delete facility shall not be available after due date.
7. Data file can't be revised after the due date of submission and file with success status shall be considered as final submission.
8. Members carrying out only proprietary trading and/or only trading for Custodian Settled clients will have to give a onetime declaration through the system. A separate tab "Not-applicable Declaration"

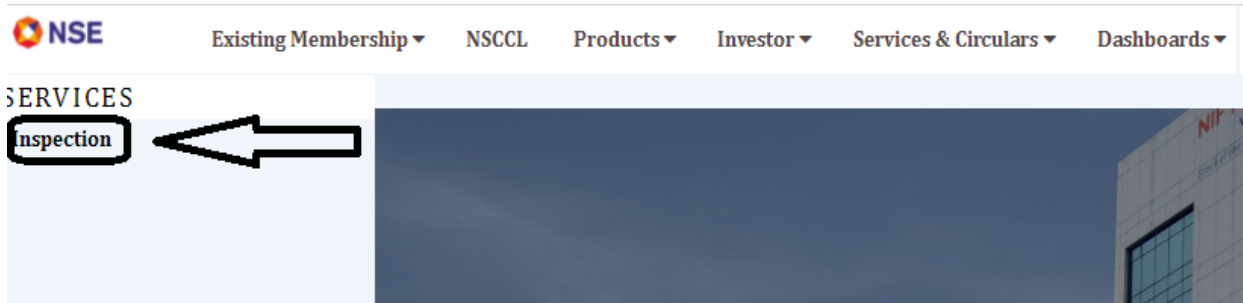
for submission of a one-time declaration has been provided. However, as and when, members become eligible for submission, they will have to submit the data as per the requirements.

9. Member shall not upload duplicate records of any Bank Statement. Further, after submitting the non-applicability declaration, system shall send an email to the respective member.
10. In case there are no transactions carried out by member or Bank in applicable week period in any particular Bank account number and accordingly, there has been no change in running balance of such bank account in last submitted statement then member may upload same statement uploaded in last submission for current applicable submission also.
11. Members are requested to ensure that mere uploading zip files shall not be considered as successful submission. After uploading Bank Statement of all applicable Bank accounts, members need to click on “Final Submit” tab in system. After clicking on “Final Submit”, if no failure file is generated, then submission for applicable week shall be treated as complete.

Annexure-C

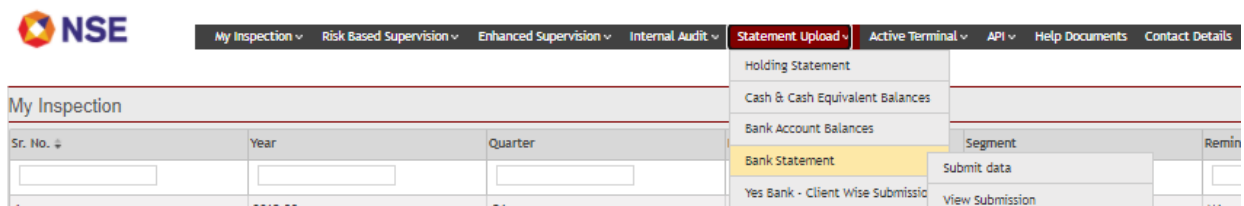
User Manual for Mock testing

- After login, from the above mentioned credentials, member is required to select 'Inspection' tab.



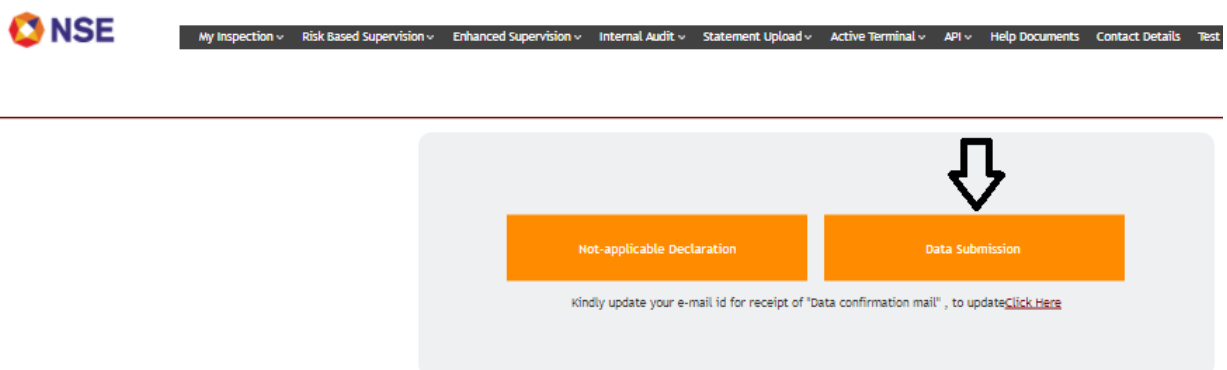
- Bank Statement Submission Navigation:** Inspection --> Statement Upload --> Bank Statement --> Submit data-->Upload Zip files-->Final Submit

Click "Submit Data".



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

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 "Upload Zip Files" against the date to proceed to enter the information sought.

Bank Statement Details

	Week	Month	Year	Due date	Link for Upload	Link for Submission *	Output File
1	Week ended as on 13-Feb-2021	FEB	2021	Feb 18, 2021	Upload Zip Files	Final Submit	
2	Week ended as on 20-Feb-2021	FEB	2021	Feb 25, 2021	Upload Zip Files	Final Submit	
3	Week ended as on 27-Feb-2021	FEB	2021	Mar 04, 2021	Upload Zip Files	Final Submit	
4	Week ended as on 06-Mar-2021	MAR	2021	Mar 11, 2021	Upload Zip Files	Final Submit	
5	Week ended as on 13-Mar-2021	MAR	2021	Mar 18, 2021	Upload Zip Files	Final Submit	
6	Week ended as on 20-Mar-2021	MAR	2021	Mar 25, 2021	Upload Zip Files	Final Submit	
7	Week ended as on 27-Mar-2021	MAR	2021	Apr 01, 2021	Upload Zip Files	Final Submit	

- After clicking on “Upload Zip Files” member will be directed to the submission page. On the submission page, member will need to download a template file (.csv) from the link file which will contain a list of all the applicable Bank Accounts (Client Bank & Settlement Bank Accounts) for which the member has to submit the statements.

[Back](#)

Template for Bank Account Balances

[MEMCODE_DDMYYYYY_SEQNO.ZIP](#)

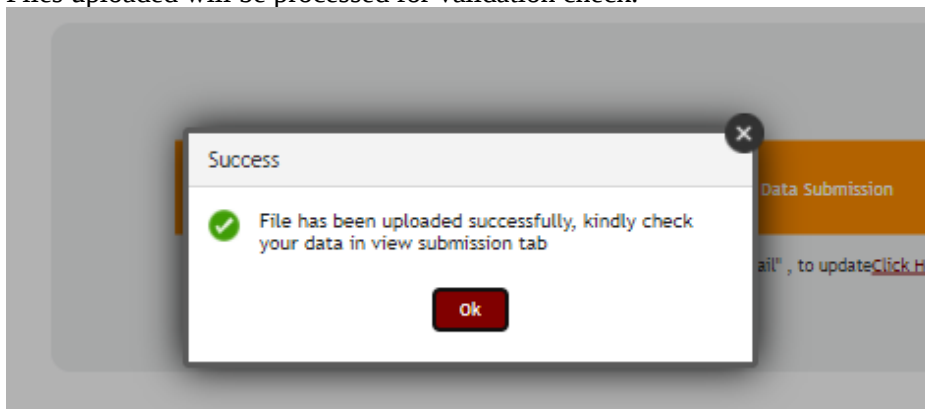
Upload for Bank Account Balances for the week ended February 13, 202

Select File to Upload:

[Choose File](#) No file chosen

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

- Click on “Choose file” and proceed to submit the Zipped PDF file by clicking the “Upload” button.
- 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.
- Once Bank Statement of all applicable Bank accounts are uploaded, click on “**Final Submit**” against date. If Bank Statement of all applicable Bank accounts are not uploaded then failure CSV file shall be generated. Member shall upload all pending Bank Statement listed out in failure file and click on “Final

Submit". After clicking "Final Submit", the submission for applicable week shall be completed if no failure file is generated.



My Inspection v Risk Based Supervision v Enhanced Supervision v Internal Audit v Statement Upload v Active Terminal v API v Help Documents Contact Details Test Digital Signature



Bank Statement Details

	Week	Month	Year	Due date	Link for Upload	Link for Submission ±	Output File
1	Week ended as on 27-Feb-2021	FEB	2021	Mar 04, 2021	Upload Zip Files	Final Submit	
2	Week ended as on 06-Mar-2021	MAR	2021	Mar 11, 2021	Upload Zip Files	Final Submit	

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