

Annexure – B(a)

Guidelines with respect to maintenance and uploading of Holding Statement

Generic File Name	Holding Statement
Nomenclature (File Name)	<p><MEM CODE>_HS_<DDMMYYYY>_<BATCH NO.>.csv</p> <p><i>Explanation:</i> <i>Member Code (5 digit)_HS(Report type- Holding Statement)_DDMMYYYY(Digit format)_Batch No. *(Starting from 01, in case of multiple files of same day)</i></p>
Frequency of Reporting	Day-wise holding data on a weekly basis.
Last day of Submission	The Trading Members shall submit the day-wise Holding Statement data for all calendar days of the reporting week on or before the next four trading days of subsequent week.

Clarifications:

- Member(s) have to submit Holding Statement as per following format in CSV:

Member's Demat Account No.	Member Account Type	Unique Client Code (UCC)	Client Name	Client PAN	ISIN Code	Scrip Name	Security Type	Pledged Balance (Qty.)	Free Balance (Qty.)	Total (Qty.)

- Header should be in the exact format as specified in above format without having any row line space in file to be uploaded.
- The last two columns 'Closing Price' and 'Value' shall not be uploaded by the Members at the time of data submission.

S. No.	Field Name	Length (Max)	Description
1.	Member's Demat Account No.	• Char (16)	• Demat Account Number in 16 digit Alpha-numeric.
2.	Member Account Type	• Char (12)	• Value shall be any of the following: CLNTBENE COLL POOL CM COLL OWN EPI CLNTBENE-MTF (if applicable) COLL-MTF (if applicable)
3.	Unique Client Code (UCC)	• Char (20)	• Alpha Numeric Client code.
4.	Client Name	• Char (100)	• Alpha Numeric Client Name.

S. No.	Field Name	Length (Max)	Description
5.	Client PAN	• Char (10)	• Alpha Numeric Client PAN.
6.	ISIN Code	• Char (12)	• Alpha Numeric ISIN Code.
7.	Scrip Name	• Char (20)	• NSE scrip symbol for securities listed on NSE, if securities are not listed on NSE then BSE scrip code. (Alpha Numeric)
8.	Security Type	• Char (4)	• Security type shall be either of following: EQ MF BOND DEBT PREF IDR WT
9.	Pledged Balance (Qty.)	• Number (20)	• Quantity of securities in Numeric form. • Decimals shall be allowed upto 3 digits.
10.	Free Balance (Qty.)	• Number (20)	• Quantity of securities in Numeric form. • Decimals shall be allowed upto 3 digits.
11.	Total (Qty.)	• Number (20)	• Quantity of securities in Numeric form. • Decimals shall be allowed upto 3 digits. • Total of column No. 9 & 10.

Annexure – B(b)

Guidelines with respect to maintenance of Register of Securities (ROS)

Generic File Name	Register of Securities (ROS)
File format	CSV format

Members have to maintain Register of Securities considering following validation point:

Header Record:

Field Name	Structure
Member Name	<ul style="list-style-type: none">Alpha Numeric
Period	<ul style="list-style-type: none">First Date to Last DateFormat: DDMMYYYY to DDMMYYYY

Detail Record:

S. No.	Fields	Length (Max)	Description
1.	Transaction Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
2.	Execution Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
3.	Exchange	<ul style="list-style-type: none">Char (3)	<ul style="list-style-type: none">Value shall be any of the following: NSE BSE MSE
4.	Segment Type	<ul style="list-style-type: none">Char (3)	<ul style="list-style-type: none">Value shall be any of the following: CM FO
5.	Unique Client Code (UCC)	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
6.	Back Office Client Code	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
7.	Client Name	<ul style="list-style-type: none">Char (100)	<ul style="list-style-type: none">Alpha Numeric Client Name.
8.	Client PAN	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Alpha Numeric Client PAN.
9.	Member Demat Account No. (9A and 9B)	<ul style="list-style-type: none">Char (16)	<ul style="list-style-type: none">Demat Account Number in 16 digit Alpha-numeric (wherever applicable).
10.	Counterparty Demat Account No. (10A and 10B)	<ul style="list-style-type: none">Char (16)	<ul style="list-style-type: none">Demat Account Number in 16 digit Alpha-numeric (wherever applicable).
11.	Settlement No.	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric settlement No.
12.	ISIN Code	<ul style="list-style-type: none">Char (12)	<ul style="list-style-type: none">Alpha Numeric ISIN Code.

S. No.	Fields	Length (Max)	Description
13.	Scrip Name	<ul style="list-style-type: none"> Char (20) 	<ul style="list-style-type: none"> NSE scrip symbol for securities listed on NSE, if securities are not listed on NSE then BSE scrip code. (Alpha Numeric).
14.	Quantity Delivered (Qty.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
15.	Quantity Received (Qty.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
16.	Balance (Qty.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
17.	Pledge / Unpledge (Qty.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
18.	Trf. Ref. No.	<ul style="list-style-type: none"> Char (20) 	<ul style="list-style-type: none"> Alpha Numeric Transfer reference number.
19.	POA Flag	<ul style="list-style-type: none"> Char (3) 	<ul style="list-style-type: none"> Shall be populated with 'Yes' only when, POA is invoked.
20.	Transaction Type	<ul style="list-style-type: none"> Char (7) 	<ul style="list-style-type: none"> Value shall be any of the following: OFF_MKT MKT For pledge/unpledged and corporate action entries, it may be kept blank.
21.	Purpose	<ul style="list-style-type: none"> Char (15) 	<ul style="list-style-type: none"> Value shall be any of the following: Payin Payout Early-Payin Margin-Receipt Margin-Release Pledge Unpledge Corpaction Auction Settlement Internal-Netting Close-out Opening-Balance Closing-Balance

Annexure – B(c)

Guidelines with respect to maintenance of Bank Book

Generic File Name	Bank Book
File format	CSV format

Members have to maintain Bank Book considering following validation point:

Header Record:

Field Name	Structure
Member Name	<ul style="list-style-type: none">Alphanumeric
Period	<ul style="list-style-type: none">First Date to Last DateFormat: DDMMYYYY to DDMMYYYY
Account Name and number	<ul style="list-style-type: none">Bank Name and Account Number
Account Type and Exchange:	<ul style="list-style-type: none">Account Type shall be either of Client/Settlement/Own.Segment Type shall be: CM/FO/CDS/DEBT

Detail Record:

S. No.	Fields	Length (Max)	Description
1.	Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
2.	Value Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
3.	Account Name	<ul style="list-style-type: none">Char (100)	<ul style="list-style-type: none">Alpha Numeric Account name.
4.	Bank Account No.	<ul style="list-style-type: none">Char (30)	<ul style="list-style-type: none">Alpha Numeric Bank account number.
5.	Unique Client Code (UCC)	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
6.	Back Office Client Code	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
7.	Client PAN	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Alpha Numeric Client PAN.
8.	Narration	<ul style="list-style-type: none">Char (50)	<ul style="list-style-type: none">Alpha Numeric narration.
9.	Voucher No.	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric voucher No.
10.	Settlement No.	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric settlement No.
11.	Reference Number (Chq No/RTGS Ref No./NEFT Ref No./ Any payment gateway Ref No./ Internal Reference No.)	<ul style="list-style-type: none">Char (30)	<ul style="list-style-type: none">Alpha Numeric Reference number.
12.	Payment (Rs.)	<ul style="list-style-type: none">Number (20)	<ul style="list-style-type: none">Amount in Numeric form.Decimals shall be allowed upto 2 digits.

S. No.	Fields	Length (Max)	Description
13.	Receipt (Rs.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Amount in Numeric form. Decimals shall be allowed upto 2 digits.
14.	Balance (Rs.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Amount in Numeric form. Decimals shall be allowed upto 2 digits.
15.	Purpose	<ul style="list-style-type: none"> Char (25) 	<ul style="list-style-type: none"> Value shall be any of the following: Payin Payout Receipt-Client Payment-Client Settlement-Payment Charges-Recovery Own-A/c Third-Party Margin-Payment Margin-Release FDR-Created FDR-Released Cheque-Reversal Inter-Client-Bank Auction-close-out Opening-Balance Closing-Balance Others (Please specify the transaction type if it is not falling in any one of the above)

Annexure – B(d)

Guidelines with respect to maintenance of Client Fund Ledger

Generic File Name	Client Fund Ledger
File format	CSV format

Members have to maintain Client Fund Ledger considering following validation point:

Header Record:

Field Name	Structure
Member Name	<ul style="list-style-type: none">Alpha Numeric
Period	<ul style="list-style-type: none">First Date to Last DateFormat: DDMMYYYY to DDMMYYYY

Detail Record:

S. No.	Fields	Length (Max)	Description
1.	Unique Client Code (UCC)	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
2.	Back Office Client Code	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric client code.
3.	Client Name	<ul style="list-style-type: none">Char (100)	<ul style="list-style-type: none">Alpha Numeric Client Name.
4.	Client PAN	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Alpha Numeric Client PAN.
5.	Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
6.	Settlement Date	<ul style="list-style-type: none">Char (10)	<ul style="list-style-type: none">Format: DD-MM-YYYY
7.	Exchange	<ul style="list-style-type: none">Char (3)	<ul style="list-style-type: none">Value shall be any of the following: NSE BSE MSE
8.	Segment Type	<ul style="list-style-type: none">Char (3)	<ul style="list-style-type: none">Value shall be any of the following: CM FO CDS
9.	Settlement No.	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric settlement No.
10.	Bill/Chq No.	<ul style="list-style-type: none">Char (20)	<ul style="list-style-type: none">Alpha Numeric Bill/Chq No.

S. No.	Fields	Length (Max)	Description
11.	Transaction Type	<ul style="list-style-type: none"> Char (20) 	<ul style="list-style-type: none"> Value shall be any of the following: Receipt Payment Settlement-Payment JV Margin Bill Dr Note Cr Note
12.	Particulars / Narration	<ul style="list-style-type: none"> Char (50) 	<ul style="list-style-type: none"> Alpha Numeric narration.
13.	Voucher No.	<ul style="list-style-type: none"> Char (20) 	<ul style="list-style-type: none"> Alpha Numeric voucher No.
14.	Debit (Rs.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Amount in Numeric form. Decimals shall be allowed upto 2 digits.
15.	Credit (Rs.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Amount in Numeric form. Decimals shall be allowed upto 2 digits.
16.	Balance (Rs.)	<ul style="list-style-type: none"> Number (20) 	<ul style="list-style-type: none"> Amount in Numeric form. Decimals shall be allowed upto 2 digits.
