

## Annexure-6

### 1. Bulk Upload File Format

#### a) Bulk Upload Order Entry File Format- Demat Mode (Comma separated file [csv] without header)

| S.No | Field Name           | Character Alpha / Numeric | Mandatory / non-Mandatory | Remarks                                                                                         |
|------|----------------------|---------------------------|---------------------------|-------------------------------------------------------------------------------------------------|
| 1    | Symbol               | AlphaNumeric 12           | Mandatory                 |                                                                                                 |
| 2    | Series               | AlphaNumeric 2            | Mandatory                 |                                                                                                 |
| 3    | Sub Category         | AlphaNumeric 5            | Mandatory                 |                                                                                                 |
| 4    | Application Amount   | Numeric 15                | Mandatory                 |                                                                                                 |
| 5    | DP Name              | Char 4                    | Mandatory                 | NSDL/CDSL                                                                                       |
| 6    | DP ID                | AlphaNumeric 8            | Non Mandatory             | Mandatory in case of NSDL                                                                       |
| 7    | Ben ID               | AlphaNumeric 16           | Mandatory                 | NSDL (8) & CDSL (16)                                                                            |
| 8    | PAN No               | AlphaNumeric 10           | Mandatory                 |                                                                                                 |
| 9    | ARN No               | AlphaNumeric 16           | Mandatory                 | ARN-XXXXXXXX                                                                                    |
| 10   | Advisory / Execution | Char 1                    | Mandatory                 | A-Advisory; E-Execution                                                                         |
| 11   | EUIN No              | AlphaNumeric 16           | Non Mandatory             | Mandatory in case of Advisory                                                                   |
| 12   | Sub Broker Code      | AlphaNumeric 16           | Non Mandatory             |                                                                                                 |
| 13   | Reference Number     | AlphaNumeric 16           | Non Mandatory             |                                                                                                 |
| 14   | Order Number         | Numeric 16                |                           | BID ID<br>Put 0 or blank in case of fresh order ( will be replaced by order number in out file) |
| 15   | Activity Type        | Char 1                    | Mandatory                 | N-New entry<br>M-Modification<br>D-Deletion                                                     |

**b) Bulk Upload Order Entry Success File**

| <b>S. No</b> | <b>Field Name</b>    | <b>Character Alpha / Numeric</b> | <b>Mandatory / non-Mandatory</b> | <b>Remarks</b>                                                                                  |
|--------------|----------------------|----------------------------------|----------------------------------|-------------------------------------------------------------------------------------------------|
| 1            | Symbol               | AlphaNumeric 12                  | Mandatory                        |                                                                                                 |
| 2            | Series               | AlphaNumeric 2                   | Mandatory                        |                                                                                                 |
| 3            | Sub Category         | AlphaNumeric 5                   | Mandatory                        |                                                                                                 |
| 4            | Bid Amount           | Numeric 15                       | Mandatory                        |                                                                                                 |
| 5            | DP Name              | Char 4                           | Mandatory                        | NSDL/CDSL                                                                                       |
| 6            | DP ID                | AlphaNumeric 8                   | Non Mandatory                    | Mandatory in case of NSDL                                                                       |
| 7            | Ben ID               | AlphaNumeric 16                  | Mandatory                        | NSDL (8) & CDSL (16)                                                                            |
| 8            | PAN No               | AlphaNumeric 10                  | Mandatory                        |                                                                                                 |
| 9            | ARN No               | AlphaNumeric 16                  | Mandatory                        | ARN-XXXXXXXX                                                                                    |
| 10           | Advisory / Execution | Char 1                           | Mandatory                        | A-Advisory; E-Execution                                                                         |
| 11           | EUIN No              | AlphaNumeric 16                  | Non Mandatory                    | Mandatory in case of Advisory                                                                   |
| 12           | Sub Broker Code      | AlphaNumeric 16                  | Non Mandatory                    |                                                                                                 |
| 13           | Reference Number     | AlphaNumeric 16                  | Non Mandatory                    |                                                                                                 |
| 14           | Order Number         | Numeric 16                       |                                  | BID ID<br>Put 0 or blank in case of fresh order ( will be replaced by order number in out file) |
| 15           | Activity Type        | Char 1                           | Mandatory                        | N-New entry<br>M-Modification<br>D-Deletion                                                     |
| 16           | Application Number   | AlphaNumeric 16                  | Mandatory                        | Auto generated                                                                                  |
| 17           | User                 | AlphaNumeric 30                  | Mandatory                        | Will be the login id                                                                            |

**c) Bulk Upload Order Entry Error File**

| <b>S. No</b> | <b>Field Name</b>    | <b>Character Alpha / Numeric</b> | <b>Mandatory / non-Mandatory</b> | <b>Remarks</b>                                                                                  |
|--------------|----------------------|----------------------------------|----------------------------------|-------------------------------------------------------------------------------------------------|
| 1            | Symbol               | AlphaNumeric 12                  | Mandatory                        |                                                                                                 |
| 2            | Series               | AlphaNumeric 2                   | Mandatory                        |                                                                                                 |
| 3            | Sub Category         | AlphaNumeric 5                   | Mandatory                        |                                                                                                 |
| 4            | Bid Amount           | Numeric 15                       | Mandatory                        |                                                                                                 |
| 5            | DP Name              | Char 4                           | Mandatory                        | NSDL/CDSL                                                                                       |
| 6            | DP ID                | AlphaNumeric 8                   | Non Mandatory                    | Mandatory in case of NSDL                                                                       |
| 7            | Ben ID               | AlphaNumeric 16                  | Mandatory                        | NSDL (8) & CDSL (16)                                                                            |
| 8            | PAN No               | AlphaNumeric 10                  | Mandatory                        |                                                                                                 |
| 9            | ARN No               | AlphaNumeric 16                  | Mandatory                        | ARN-XXXXXXXX                                                                                    |
| 10           | Advisory / Execution | Char 1                           | Mandatory                        | A-Advisory; E-Execution                                                                         |
| 11           | EUIN No              | AlphaNumeric 16                  | Non Mandatory                    | Mandatory in case of Advisory                                                                   |
| 12           | Sub Broker Code      | AlphaNumeric 16                  | Non Mandatory                    |                                                                                                 |
| 13           | Reference Number     | AlphaNumeric 16                  | Non Mandatory                    |                                                                                                 |
| 14           | Order Number         | Numeric 16                       |                                  | BID ID<br>Put 0 or blank in case of fresh order ( will be replaced by order number in out file) |
| 15           | Activity Type        | Char 1                           | Mandatory                        | N-New entry<br>M-Modification<br>D-Deletion                                                     |
| 16           | Application Number   | AlphaNumeric 16                  | Non Mandatory                    | Auto generated                                                                                  |
| 17           | User                 | AlphaNumeric 30                  | Mandatory                        | Will be the login id                                                                            |
| 18           | Error message        | AlphaNumeric 100                 | Mandatory                        |                                                                                                 |

## 2. Funds Pay In Report for members - T Day

| File Nomenclature: ETF_FPIN_<TM_CODE>_DDMMYYYY.CSV |               |  |
|----------------------------------------------------|---------------|--|
| Sr. No.                                            | Field Name    |  |
| 1                                                  | Serial Number |  |
| 2                                                  | Member type   |  |
| 3                                                  | Member code   |  |
| 4                                                  | Symbol        |  |
| 5                                                  | Bid Number    |  |
| 6                                                  | Amount        |  |

### 3. Status of the valid bids entered on T day for Members

| File Nomenclature: <MEMCODE>_BIDS_<DDMMYYYY>.CSV |                           |                                                                                                          |
|--------------------------------------------------|---------------------------|----------------------------------------------------------------------------------------------------------|
|                                                  |                           |                                                                                                          |
| Sr. No.                                          | Field Name                | Field type                                                                                               |
| 1                                                | Record Type               | 10                                                                                                       |
| 2                                                | Date                      | DD-MON-YYYY                                                                                              |
| 3                                                | Sum of Application Amount |                                                                                                          |
| 4                                                | Number of records         |                                                                                                          |
| <b>Detail Record</b>                             |                           |                                                                                                          |
| 1                                                | Record Type               | 20                                                                                                       |
| 2                                                | Date                      | DD-MON-YYYY                                                                                              |
| 3                                                | Order Number              | YYYYMMDDXXXXXXXXXX                                                                                       |
| 4                                                | TM Code                   |                                                                                                          |
| 5                                                | Symbol                    |                                                                                                          |
| 6                                                | Series                    | GR                                                                                                       |
| 7                                                | Application Amount        |                                                                                                          |
| 8                                                | PAN No of First Holder    |                                                                                                          |
| 9                                                | Depository Name           | NSDL/CDSL                                                                                                |
| 10                                               | DP ID                     | Alphanumeric (Only in case of NSDL)                                                                      |
| 11                                               | Beneficiary ID            |                                                                                                          |
| 12                                               | Category                  | QIB/NII/RETAIL/HUFNII/NRINII/HUFRET/NRIRET                                                               |
| 13                                               | Sub Category              | IND, NRI, HUF, CO, NOH, OTH                                                                              |
| 14                                               | ARN No                    | ARN-XXXXXX                                                                                               |
| 15                                               | Sub Broker Code           |                                                                                                          |
| 16                                               | Advisory/Execution        | Advisory/Execution                                                                                       |
| 17                                               | EUIN No                   |                                                                                                          |
| 18                                               | NCL Status                | S/ W/ R                                                                                                  |
| 19                                               | Remarks                   | S: Funds Received/Confirmed<br>W: Bid withdrawn by the Participant<br>R: Bid rejected for funds shortage |

#### 4. Allotment report for Members

| File Nomenclature: <MEMCODE>_ALLT_<SYMBOL>_<DDMMYYYY>.CSV |                           |                                            |
|-----------------------------------------------------------|---------------------------|--------------------------------------------|
|                                                           |                           |                                            |
| Sr. No.                                                   | Field Name                | Field type                                 |
| 1                                                         | Record Type               | 10                                         |
| 2                                                         | Date                      | DD-MON-YYYY                                |
| 3                                                         | Sum of Application Amount |                                            |
| 4                                                         | Number of records         |                                            |
| <b>Detail Record</b>                                      |                           |                                            |
| 1                                                         | Record Type               | 20                                         |
| 2                                                         | Date                      | DD-MON-YYYY                                |
| 3                                                         | Order Number              | YYYYMMDDXXXXXXXXXX                         |
| 4                                                         | TM Code                   |                                            |
| 5                                                         | Symbol                    |                                            |
| 6                                                         | Series                    | GR                                         |
| 7                                                         | Application Amount        |                                            |
| 8                                                         | PAN No of First Holder    | Alphanumeric                               |
| 9                                                         | Depository Name           | NSDL/CDSL                                  |
| 10                                                        | DP ID                     | Alphanumeric (Only in case of NSDL)        |
| 11                                                        | Beneficiary ID            |                                            |
| 12                                                        | Category                  | QIB/NII/RETAIL/HUFNII/NRINII/HUFRET/NRIRET |
| 13                                                        | Sub Category              | IND, NRI, HUF, CO, NOH, OTH                |
| 14                                                        | ARN No                    | ARN-XXXXXX                                 |
| 15                                                        | Sub Broker Code           | Free Text                                  |
| 16                                                        | Advisory/Execution        | Advisory/Execution                         |
| 17                                                        | EUIN No                   | Alphanumeric                               |
| 18                                                        | Allotted Units            |                                            |
| 19                                                        | Allotted Amount           |                                            |

## 5. Refund report for members

| Member wise Report for Refund                             |                           |                                     |
|-----------------------------------------------------------|---------------------------|-------------------------------------|
| File Nomenclature: <MEMCODE>_RFND_<SYMBOL>_<DDMMYYYY>.CSV |                           |                                     |
| Control Record:                                           |                           |                                     |
| Sr. No.                                                   | Field Name                | Field type                          |
| 1                                                         | Record Type               | 10                                  |
| 2                                                         | Date                      | DD-MON-YYYY                         |
| 3                                                         | Sum of Application Amount |                                     |
| 4                                                         | Number of records         |                                     |
| Detail Record                                             |                           |                                     |
| 1                                                         | Record Type               | 20                                  |
| 2                                                         | Date                      | DD-MON-YYYY                         |
| 3                                                         | Order Number              | YYYYMMDDXXXXXXXXXX                  |
| 4                                                         | TM Code                   |                                     |
| 5                                                         | Symbol                    |                                     |
| 6                                                         | Series                    | GR                                  |
| 7                                                         | Application Amount        |                                     |
| 8                                                         | PAN No of First Holder    | Alphanumeric                        |
| 9                                                         | Depository Name           | NSDL/CDSL                           |
| 10                                                        | DP ID                     | Alphanumeric (Only in case of NSDL) |
| 11                                                        | Beneficiary ID            |                                     |
| 12                                                        | Category                  |                                     |
| 13                                                        | Sub Category              |                                     |
| 14                                                        | ARN No                    | ARN-XXXXXX                          |
| 15                                                        | Sub Broker Code           | Free Text                           |
| 16                                                        | Advisory/Execution        | Advisory/Execution                  |
| 17                                                        | EUIN No                   | Alphanumeric                        |
| 18                                                        | Refund Amount             | Numeric                             |