

User manual for uploading funds and securities balance

Step 1: Trading Member to provide the following information through Member portal/ ENIT

ENIT → Compliance → ISC TM Supervision

A) Trading member details

- Contact person name, Mobile number & Email Id: These details will be sent to the investor for contacting the trading member in case of any discrepancy
- Managing Director/Proprietor/Partner email id: To be used by the Exchange only if required

Master ▾ Compliance ▾ Trade ▾ Welcome

Trading member Supervision

Trading Member Name*		TM Code*	
Contact Person Name*	Enter Contact Person Name	Contact Person Email Id*	Please Enter Contact Person Email Id
Telephone Number*	Enter Telephone Number	Managing Director Email Id*	Enter managing Director Email Id

Step 2: On successful updation of trading member's details, template will be available to download

TM can download this template and upload the client data in extranet

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Trading member Supervision

Trading Member Name*	INDIA INFOLINE LTD.	TM Code*	10975
Contact Person Name*	Enter Contact Person Name	Contact Person Email Id*	Please Enter Contact Person Email Id
Telephone Number*	Enter Telephone Number	Managing Director Email Id*	Enter managing Director Email Id

Download Template file - [ISC_TM_Supervision_Template.xlsx](#)

Step 3: File structure for uploading the data

File name: MMM_YY_NN.xlsx where

MMM	Month
YY	Year
NN	Sequential Number (01,02)

Header Record

Field Name	Structure
Date	MMM-YY
No. of records	Numeric

Detail Record

Field Name	Structure	Description
Client name	Alpha Numeric 100 Characters	Name of the investor
Unique Client Code	Alpha Numeric 20 Characters	Code linked to the PAN details of the respective client
Client PAN no.	Alpha Numeric 10 Characters	PAN no. of the investor
Client Email id	Alpha Numeric 100 Characters	Email Id of the investor
Client mobile number	Numeric 20 Numbers	Mobile number of investor
Fund balance (NSE) (Rs.)	Number (Prefix (+) in case of credit and (-) in case of debit) 20 Numbers	Exchange-wise end of day fund balance as per the client ledger, consolidated across all segments Should be positive number in case of credit balance and negative (-) number in case of debit balance
Net across Exchanges (Rs.)	Number (Prefix (+) in case of credit and (-) in case of debit) 20 Numbers	Net funds payable or receivable by the broker to/from the client across all Exchanges
Total number of ISINs	Numeric 20 Numbers	Sum of ISINs for a client Number or '0' incase of nil balance
Total quantity of securities	Numeric 20 Numbers	Number of securities across all ISINs Number or '0' incase of nil balance

Quantity of securities pledged	Numeric 20 Numbers	For every client, number of securities pledged Number or '0' incase of nil balance
Funds raised (Rs.)	Numeric 17 numbers and 2 decimals	Funds raised from the pledging of such securities Number or '0' incase of nil balance
Last balance settlement date	DD-MMM-YY or "NA" 20 Characters	Date of last settlement done in client's account Date or NA if new client and no settlement undertaken

Step 4: Receipt of client data by the Exchange

- File will be fetched by the Exchange and validated from the last trading day of the month
- Failed records will be sent back to the trading members in folder in extranet to resubmit after correction with nomenclature in sequential number
- Correction remarks will be provided in the failed file

Step 5: Transmission of data to clients

- Email and SMS will be sent to the investors on the email ids and mobile numbers provided by the trading member