

User Manual for uploading funds and securities balance

Trading member to provide the following information through Member portal

1. Select 'ISC TM Supervision' in Member Portal.

Trading member (TM) 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
- If trading member does not want to edit/change the details appearing on the below page, they can click on skip

Welcome

NSE | NSE Investor Centre (NICE)

TM Supervision | Download Files | File Upload Log

Trading member Supervision

Trading Member Name*	KOTAK SECURITIES LTD.	TM Code*	08081
Contact Person Name*	" onfocus="alert(1)" autofocus="	Contact Person Email Id*	svaz@nse.co.in
Telephone Number*	1234561	Managing Director Email Id*	Nnagdev@nse.co.in
Mobile Number*	2333434343	Last modified on	2018-02-06 15:29:01

2. On successful submission of trading member's details, trading member will be redirected to file upload page where template file will be available for download.
3. **There are 2 templates available. One with columns pertaining to Commodity derivatives segment and one without the same i.e existing format. TM can download the template and upload the client data on the same page by selecting the month and year for which data has to be uploaded and by clicking the radio buttons provided for 'Commodity segment applicable'.**

The screenshot shows a web browser window with the title 'ISC TM Supervision'. The page has a navigation bar with 'TM Supervision', 'Download Files', and 'File Upload Log'. The main heading is 'Upload of Clients Funds and Securities balances'. Below this, there are links to download template files: 'Download Template file - ISC_TM_Supervision_Template_withCommodity.zip' and 'Download Template file - ISC_TM_Supervision_Template_withoutCommodity.zip'. A form section includes a 'Month' dropdown menu, a 'No data to Submit' checkbox, a 'Select File to Upload' field with a 'Browse...' button, and radio buttons for 'Commodity Segment Applicable' (Yes/Not Applicable). There are 'Upload' and 'Reset' buttons. A 'Note' section at the bottom provides instructions for file upload and validation.

Note:

1. Upload zip file containing 2 .CSV files, one for consolidated data and one for break-up data.
2. On upload, either the failure file will show directly on the screen which means that the file has failed the basic field validations OR the message 'File has been uploaded, please find your success/failure download screen after approximately 15 mins' will be displayed which means the breakup file data is being validated with the consolidated file.
3. In the failure file shown on screen, check both the files for error and re-upload once corrected.
4. If the message is received, please check in download files tab after about 15 minutes.
5. In case failure file is received in download files tab, check the consolidated file for mismatch of ISIN count.
6. In case of success file, please download a copy and store as the data will be available only for a month. You will not be able to upload another file with the same nomenclature if the file is a success file

4. If TM clicks 'Yes' for 'Commodity Segment Applicable', the data being uploaded is to be in format provided in template 'ISC_TM_Supervision_Template_withCommodity.zip'. If TM clicks 'Not Applicable' the data being uploaded is to be in format provided in template 'ISC_TM_Supervision_Template_withoutCommodity.zip'.
5. On upload of file, system will check for basic validations. If there are any errors in the file, system will throw failure file as output on the same page.
6. If the basic validations are correct, the file will get uploaded for further validations.
7. The system will then validate both the files and the output file will be available under 'Download Files' tab.
8. In case of failure file, TM has to correct and upload the file again.

File structure for uploading the data

Two separate files will be required to be uploaded for consolidated data and details of the figures provided in consolidated data.

Both the files should be of file type as .csv file and compressed in one zip.

Zip name: <Member Code>_MMM_YY_NN.zip where

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

Every zip must have 2 files only, one consolidated and one break up file.

The nomenclature of both the files would be as follows:

- a. For Consolidated file (the file with all the clients summarized data)
<Member Code>_MMM_YY_C_NN.csv
- b. For Breakup File (the file with details ISIN wise)
<Member Code>_MMM_YY_B_NN.csv

Where,

C	Stands for Consolidated
B	Stands for Break-up
MMM	Month
YY	Year
NN	Sequential Number (01, 02, ...)

Header Record for Consolidated File:

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

Details record: Consolidated File with Commodity segment details (Existing consolidated file with addition of **three columns** pertaining to Commodity segment.)

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 investor
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)	Net funds payable or receivable by the broker to/from the client across all Exchanges

	20 Numbers	
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
Total number of ISINs pledged	Numeric 20 Numbers	Sum of ISINs pledged for a client 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
Total number of Commodities	Numeric 20 Numbers	Number of commodities Number or '0' incase of nil balance
Total number commodities Pledge	Numeric 20 Numbers	For every client, number of commodities pledged Number or '0' incase of nil balance
Fund Raised- Commodities (Rs.)	Numeric 17 numbers and 2 decimals	Funds raised from the pledging of such commodities 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

Detail Record: Break up File

Field Name	Structure	Description
Unique Client Code	Alpha Numeric 20 Characters	Code linked to the PAN details of the respective investor
ISIN	Alpha Numeric 12 Characters	Alpha Numeric 20 Characters
Name of the Securities	Alpha Numeric 100 Characters	Name of the company whose security is held by investor
Quantity of securities ISIN wise	Numeric 20 Numbers	Number of securities of the particular ISIN Number or '0' incase of nil balance
Quantity of securities	Numeric 20 Numbers	Number of securities of the particular ISIN Number or '0' incase of nil balance

pledged ISIN wise		
Funds raised from Pledging ISIN wise (Rs.)	Numeric 17 numbers and 2 decimals	Funds raised from the pledging of such securities Number or '0' incase of nil balance

Note: There is no change in Break-up file