

National Stock Exchange Of India Limited**Department : INVESTOR SERVICES CELL**

Download Ref No: NSE/ISC/ 40305

Date : February 25, 2019

Circular Ref. No: 01/2019

To All Members

Mandatory fields in Unique Client Code (UCC) information provided to Exchange

As per SEBI Circular SMDRP/Policy/Cir-39/2001 dated July 18, 2001 all trading members are required to assign Unique Client Codes (UCC) for all the clients while trading on the Exchange platform. The trading members collect and upload their client details on 'UCI Online' system of the Exchange. In this regard, trading members are requested to note that the following fields have been made mandatory:

- As per circular NSE/INVG/21588 dated August 31, 2012, Exchange has provided a facility to all the Trading Members to define their client status as "Active" or "Inactive" on 'UCI Online' through member portal. Exchange has now made this field mandatory. In view of the same, Members shall be required to verify their client status and **mandatorily** update the correct status for all existing clients as well as new clients.
- In cases where the investor is exempt from PAN, currently it is mandatory to provide 'PAN_EXEMPT' in the PAN field and Trading Members are also mandatorily required to upload the supporting documents in proof of the PAN exempt status on 'UCI Online'. For all 'PAN EXEMPT' cases, providing Depository details have now been made mandatory. Hence, the field 'Depository details-1' have to be mandatorily uploaded by the trading member on 'UCI Online' for all new as well as existing clients where PAN is mentioned as 'PAN_EXMEPT'.
- Trading members shall be required to **mandatorily** upload PAN details for all 'PRO' (Proprietary account) codes. For this purpose, the trading member code shall be mentioned as Unique Client Code (UCC) and the valid PAN of the trading member shall be provided.

The above mentioned changes will be made available on UCI online w. e. f. February 26, 2019.

The revised file format indicating the above fields as mandatory for uploading UCC is enclosed herewith as Annexure A.

For and on behalf of
National Stock Exchange of India Limited

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