

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

Download Ref No: NSE/ISC/49106

Date: July 29, 2021

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To All Members,

Revised file format for upload of new client codes in the UCC system of the Exchange

This is in continuation to our circular No. NSE/ISC/49094 dated July 28, 2021 wherein it was mentioned that for all new clients, trading members are required to upload the 6 KYC attributes and their custodian details (wherever applicable) w.e.f. August 01, 2021. In this regard the revised upload file format incorporating the custodian details is provided as **Annexure - 1**.

The trading members are requested to note that the Custodian details along with Custodian Participant Code is mandatory for Institutional clients (client categories: 6, 7, 8, 9, 12, 16, 22, 23 & 24) and for non-institutional clients, it is optional. However, if the trades of the non-institutional client are settled through Custodian, the same shall become mandatory.

Further, in order to facilitate trading members, the Exchange will continue to download Provisional Pending Codes (PPC) files containing records of UCCs not uploaded in the UCC system of the Exchange. However, as mentioned in our circular dated July 28, 2021, in case the UCCs is/are not uploaded by the trading member / not approved by the Exchange in the UCC system prior to execution of trade, the trading member shall be liable for penalty @ Rs.10,000/- per code per day till the same is uploaded and approved in the UCC system of the Exchange and any other disciplinary action that the Exchange may deem fit.

Trading Members are advised to take note and comply with the above guidelines.

For and on behalf of
National Stock Exchange of India Limited

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