

Annexure- Quarterly Submission – Process Guide

The facility for providing quarterly submission by trading members has been made available on the Member Surveillance Dashboard (MSD). For details regarding accessing of MSD, trading members may refer to NSE circular no. NSE/SURV/44477 dated May 27, 2020, pertaining to Member Surveillance Dashboard.

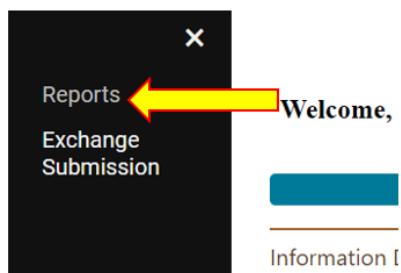
The quarterly submission shall be enabled on MSD starting from the 1st date from the end of the quarter. Trading members are required to make the submission within 15 days from the end of the quarter.

For the purpose of submission and extraction of reports, two tabs have been provided i.e.

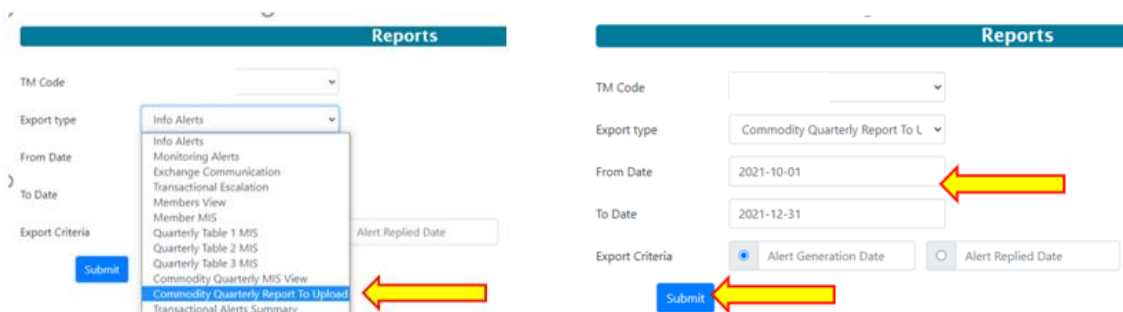
- (i) Reports.
- (ii) Exchange Submission.

Steps to download Commodity Quarterly file:

1.1 Trading members can get the prefilled reporting csv file from the Reports tab.



1.2 Select **Export type** > Commodity Quarterly Report To Upload> Select the relevant Quarter Date: i.e. *Quarter start date to Quarter end date (e.g. Jan 01 to March 31, 2022)* > Click on Submit > File will get downloaded: Commodity Quarterly Report to Upload.csv.

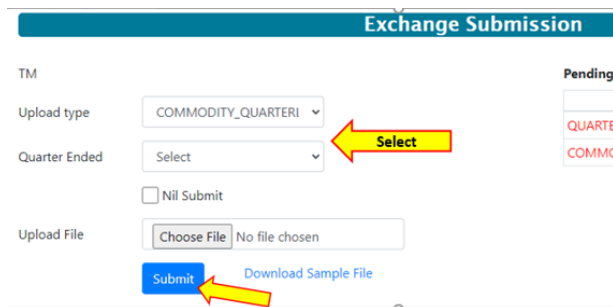


2. Exchange Submission:

2.1 The prefilled reporting csv file (i.e. Com_qtr_rpt_upld.csv) generated from the Reports tab shall be submitted by the trading members as per the below steps:

2.2 Trading members need to click on 'Exchange Submission' tab on the homepage.

2.3 On clicking the tab 'Exchange Submission,' the below page shall open.



The screenshot shows the 'Exchange Submission' form. It includes a 'TM' label, an 'Upload type' dropdown menu with 'COMMODITY_QUARTERLY' selected, a 'Quarter Ended' dropdown menu with 'Select' chosen, a 'Nil Submit' checkbox, an 'Upload File' section with a 'Choose File' button and 'No file chosen' text, and a 'Submit' button. A yellow arrow points to the 'Select' option in the 'Quarter Ended' dropdown, and another yellow arrow points to the 'Submit' button. On the right, there is a 'Pending' section with a table showing 'QUARTER' and 'COMMODITY'.

2.4 Select Upload Type "Commodity_Quarterly_Upload".

2.5 'Quarter Ended' shall provide details of the quarter for which the trading member intends to make submission.

2.6 The prefilled report generated through Report tab shall be uploaded here.

2.7 In case the trading member wishes to make NIL submission, the member shall check the 'Nil Submit' checkbox and click on submit.

2.8 In case the trading member wishes to edit/ modify the count in the prefilled generated report (Com_qtr_rpt_upld.csv), the trading member shall make the necessary changes and upload the same. Accordingly, the flag for 'System generated' field in the upload file shall be changed from 'Y' to 'N'. Flag for 'System generated' field in case of no changes made shall be 'Y'. Sample file format for the same has been provided in 'Download Sample File'.

2.9 While uploading the file, trading members may please take a note of the following validations:

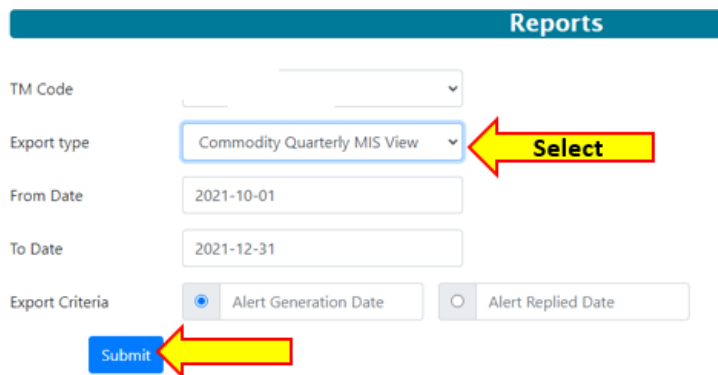
- 2.9.1 System generated field in the upload file shall be changed from 'Y' to 'N' in case of changes made in prefilled generated report (Com_qtr_rpt_upld.csv).
- 2.9.2 Only csv files can be uploaded.

- 2.9.3 No cell can be blank.
- 2.9.4 Date format shall be ddmmmyyy.
- 2.9.5 'Alerts referred to Exchange' should be $\leq$ 'No. of alerts under process at the beginning of quarter' + 'No. of new alerts generated in the quarter'.
- 2.9.6 'No. of alerts pending / under process at the end of quarter' should be = 'No. of alerts under process at the beginning of quarter' + 'No. of new alerts generated in the quarter' - 'No. of alerts Verified & closed in the quarter'.
- 2.9.7 'No. of alerts under process at the beginning of quarter' should be = 'No. of alerts pending / under process as per the previous quarter'.

3. **Reports:**

3.1 The details uploaded can be extracted by clicking on the tab 'Reports'.

3.2 'Reports' page will open.



The screenshot shows the 'Reports' page with the following fields and controls:

- TM Code:** A dropdown menu.
- Export type:** A dropdown menu with 'Commodity Quarterly MIS View' selected. A yellow arrow labeled 'Select' points to this dropdown.
- From Date:** A text box containing '2021-10-01'.
- To Date:** A text box containing '2021-12-31'.
- Export Criteria:** Two radio buttons: 'Alert Generation Date' (selected) and 'Alert Replied Date'.
- Submit:** A blue button. A yellow arrow points to this button.

3.3 The 'Commodity Quarterly MIS View' tab provides a list of reports that can be extracted.

3.4 Trading members need to select from and to date and click on Submit.

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