

DEPARTMENT: COMPLIANCE

Download Ref No: NCL/CMPL/49764

Date: September 29, 2021

Circular Ref. No: 28/2021

All Members

Sub: Segregation and Monitoring of Collateral at Client Level - Reporting Format

This is further to our circulars NCL/CMPL/49348 dated August 20, 2021 and NCL/CMPL/49640 dated September 17, 2021 on the captioned subject.

In this regard User Manual for uploading Segregated Client Collateral Report is enclosed as Annexure 1 and Procedure to view Collateral data by clients on the website is enclosed as Annexure 2.

Members who are exempted from reporting shall provide declaration on daily basis. (refer Part B of Annexure 1)

Members are requested to note that the provisions of this circular are effective October 01, 2021 i.e. reporting for October 01, 2021 shall be done before 1 PM on October 04, 2021.

Members may please note that reporting shall be applicable for all working days i.e. Monday to Saturday except public holidays.

**For and on behalf of
NSE Clearing Limited**

Compliance Department

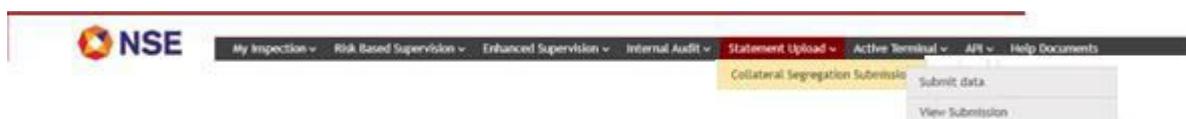
Telephone No	Fax No	Email id
1800 266 0050	022-26598243	compliance@nscl.co.in

Part A –Guidelines for Data Submission

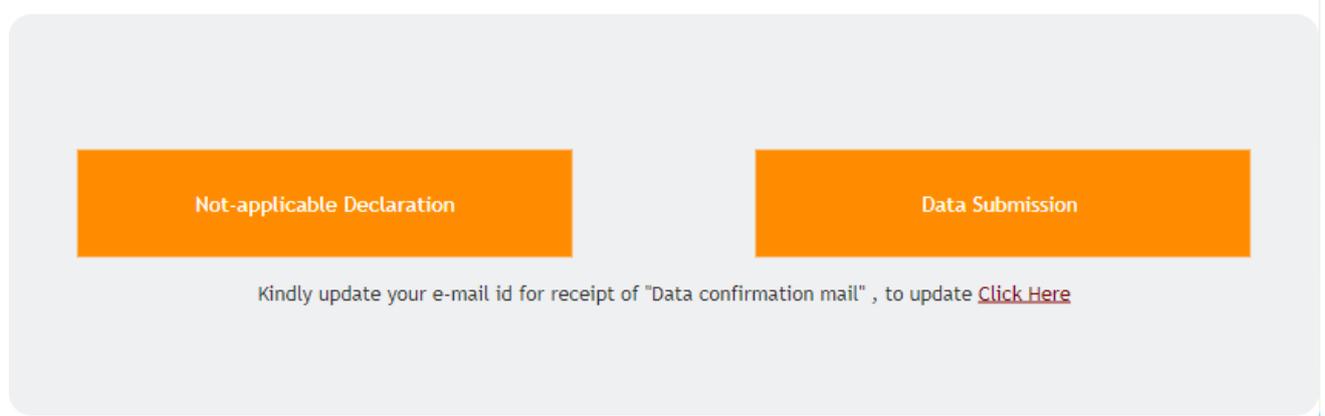
1. The file shall be in csv and zip format only.
2. The file shall be uploaded by the members with column headers.
3. One zip file shall contain one csv file only. Naming convention of zip file shall be same as of the csv file.
4. File size shall not exceed 200 MB.
5. Batch/Seq No. starts from 01, in case of multiple files for a date.
6. If the submission status of a file is 'failure' then file needs to be rectified and uploaded with the same batch number. Even if a single record is rejected in a file then the entire file post rectification needs to be reuploaded.
7. Files uploaded will be processed for validation check. Members are required to check the "View Submissions" window for success/failure status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the entire file with correct data as per the user manual for data submission provided in **Part-B**.

Part B – User manual for Data Submission

1. Login using following URL
<https://inspection.nseindia.com/MemberPortal/>
2. Navigation: Inspection--> Statement Upload--> Client Collateral Submission--> Submit data.
Click "Submit data"



3. After clicking the “Submit data” the following screen shall be displayed



4. Clearing Members who are exempted from reporting shall provide declaration on daily basis by clicking on “Not applicable Declaration”.

Declaration

Undertaking Proprietary Trading only

No Client Collateral held at EOD

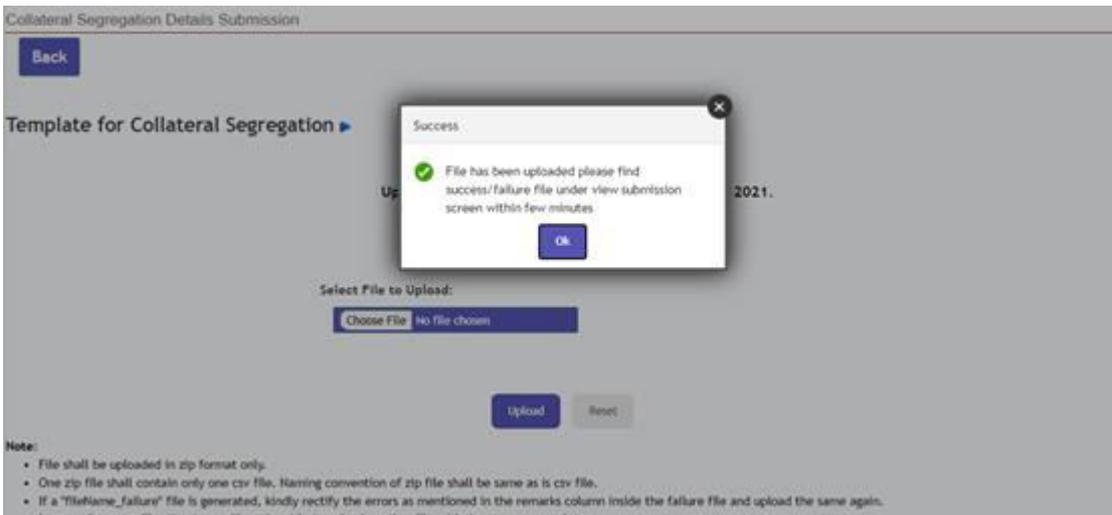
5. Clearing Members who are required to submit the collateral details shall click on “Data Submission”. Upon clicking on “Data Submission” member is required to click on “Submit Details” for the corresponding date for which the data has to be submitted.

Collateral Segregation Details					
	Day	Month	Year	Due date	Link for Submission
	<input type="text"/>				
1	Sep 29, 2021	SEP	2021	Sep 30, 2021	Submit Details
2	Sep 28, 2021	SEP	2021	Sep 29, 2021	Submit Details
3	Sep 27, 2021	SEP	2021	Sep 28, 2021	Submit Details

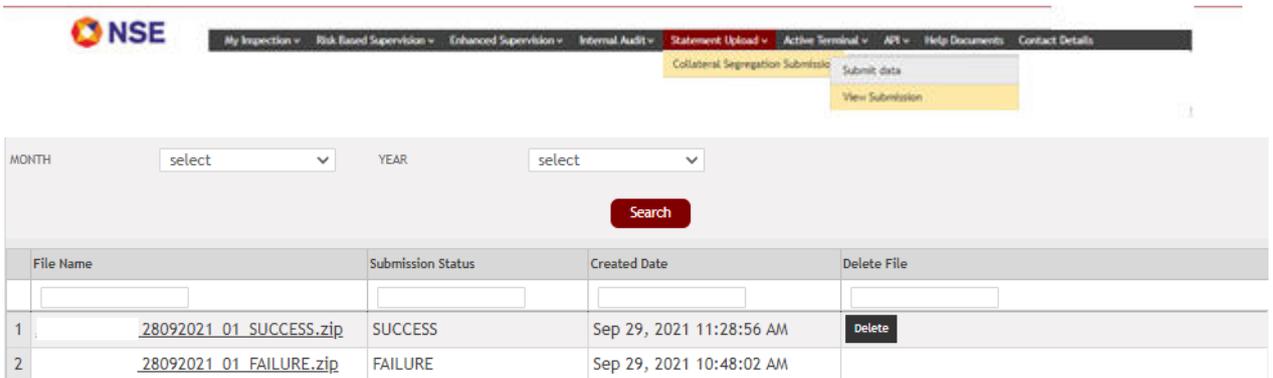
6. Upon clicking on “Submit Details” the member will be prompted to upload the file.



7. Files uploaded will be processed for validation check.



8. Members are required to check the “View Submissions” window for success/failure status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the file with same batch number with correct data.



9. If Member wishes to rectify the data which is successfully uploaded, then the member needs to delete the file first and upload the file again with the same batch number.

MONTH	select	YEAR	select	
<input type="button" value="Search"/>				
File Name	Submission Status	Created Date	Delete File	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1	_28092021_01_SUCCESS.zip	SUCCESS	Sep 29, 2021 11:28:56 AM	<input type="button" value="Delete"/> ←
2	_28092021_01_FAILURE.zip	FAILURE	Sep 29, 2021 10:48:02 AM	

End of document

Procedure to view collateral data by clients

1. Clients can register on the following URL for viewing the collateral information

<https://investorhelpline.nseindia.com/ClientCollateral/welcomeCLUser>

View Client Collateral Details

With a view to providing visibility of client-wise collateral and in compliance with SEBI circular no. SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated July 20, 2021, NSE Clearing has provided a web portal facility to allow clients to view their disaggregated collateral placed with Member and as reported by their registered Trading Member /Clearing Member.

Members are expected to submit the collateral details as on end of business on a given day (say T) before the cut-off time on next working day (T+1). Thus, the collateral details as reported by the Member for the registered client would be available for viewing after the cut-off time.

Investors are requested to ensure that their email address and mobile number are updated by their Trading Members in UCI System of the Exchange, as the same would be validated at the time of user registration to view the collateral details.

The Clients registered on this portal will be able to view collateral details for previous 5 trading days.

Clients may note that collaterals placed with Trading Member/Clearing Member in one form (e.g. cash) may have been passed on by the Trading Member to Clearing Member or by the Clearing Member to the Clearing Corporation (NSE Clearing Limited) in any other form (e.g. fixed deposit).

Clients may note that collateral data that is being displayed is pertaining to the Clearing Member dealings with NCL.

Username :

Password :

New user? [Sign Up](#)

2. Client shall signup on the website by clicking on “Sign Up” on the website. On clicking the “Sign Up” option the below screen will be displayed. Client shall be successfully registered if the ‘PAN – Email – Mobile’ combination is available in UCI System of the Exchange.

Clients are requested to ensure that their email address and mobile number are updated by their Trading Members in UCI System of the Exchange, as the same would be validated at the time of user registration to view the collateral details.

Client Collateral Registration

Initials*	<input type="text" value="Select"/>
First Name*	<input type="text"/>
Middle Name	<input type="text"/>
Last Name*	<input type="text"/>
Date of Birth* (dd-mm-yyyy)	<input type="text"/>
Email ID*	<input type="text"/>
Confirm Email ID*	<input type="text"/>
PAN*	<input type="text"/>
Mobile Number*	<input type="text"/>
Address*	<input type="text"/>
City*	<input type="text"/>
State*	<input type="text"/>
Country*	<input type="text" value="Select"/>
Pin code*	<input type="text"/>
Password*	<input type="text"/>
Confirm Password*	<input type="text"/>

Note:
* Marked field are mandatory.

3. After clicking "Submit" on the registration page, client will receive the OTP through SMS and email.

SMS Registration

You are requested to put the code received through SMS / email on the mobile number / email id registered for the successful registration of this facility.

Enter SMS Code
<input type="text"/>
<input type="button" value="Submit"/> <input type="button" value="Reset"/>

4. After submitting the OTP, client will receive a link on email for completion of registration.

An email is sent to you on your email ID.

Please click on the link in the mail to complete registration.

5. Once the client clicks on the link the following message will be displayed.

Congratulations! You have been successfully registered.

You can now view your collateral detail by [logging in](#).

Your email id is your username.

6. Client can login in the Client Collateral Module to view collateral details.
7. Client will be able to view the Collateral details across all the trading members under which the client is registered. The data displayed is as reported by the Clearing/Trading Member.
8. Collaterals placed with Trading Member/Clearing Member in one form may be passed on by the Trading Member to Clearing Member or Clearing Member to NSE Clearing Limited in any other form.
9. At any given point in time last 5 trading days data shall be available.

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