

Part A – Guidelines for Data Submission

Nomenclature (File Name)	PAN_HS_DDMMYYYY_BATCH NO PAN_NH_DDMMYYYY_BATCH NO Explanation: “PAN” shall be the Member’s PAN (Alpha Numeric 10 characters) Date shall be end of the reporting week (i.e. Saturday) Batch/Seq No. starts from 01, in case of multiple files of same week
Frequency of Reporting	Weekly basis { A single file for all days of the week (Monday to Saturday)}
Last day of Submission	Members have to submit the data for all calendar days of the week except Sunday on or before the next four trading days of subsequent week.

1. Clarification w.r.t. Holding statement file:

Member PAN	Date	Member's Demat Account No.	Member Account Type	Unique Client Code (UCC)	Client Name	Client PAN	ISIN Code	Security Type	Pledged Balance (Qty.)	Free Balance (Qty.)	Total (Qty.)	Action

- Member(s) have to submit Holding Statement as per following format in CSV:

Sr.No.	Field Name	Length (Max)	Description
1	Member PAN	Char (10)	Alpha Numeric Member PAN
2	Date	DD-MM-YYYY	-
3	Member's Demat Account No.	Char (16)	Demat Account Number in 16 digit Alpha-numeric Note: In case of CDSL account number, append Double Quotes ("") at the start and end of Demat account number to avoid the auto rounding off Eg. "1234567890123456".
4	Member Account Type	Char (12)	Value shall be any of the following: CLNTBENE OWN POOL

			TM COLL CM COLL EPI CLNTBENE-MTF TM COLL-MTF
5	Unique Client Code (UCC)	Char (20)	Alpha Numeric Client code
6	Client Name	Char (100)	Alpha Numeric Client Name
7	Client PAN	Char (10)	Alpha Numeric Client PAN
8	ISIN Code	Char (12)	Alpha Numeric ISIN Code
9	Security Type	Char (4)	Security type shall be either of following: EQ MF BOND DEBT PREF IDR WT
10	Pledged Balance (Qty.)	Number (20)	Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
11	Free Balance (Qty.)	Number (20)	Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits.
12	Total (Qty.)	Number (20)	Quantity of securities in Numeric form. Decimals shall be allowed upto 3 digits. Total of column No. 10 & 11
13	Action*	Char (1)	A U D

* 'A' will be default option available in the column while making the submission. In case of any revision in quantity of the already submitted data or deletion of any records, Members shall upload the file with incremental data and shall mention 'U' for the updated records in the said action column or 'D' for the deleted records.

2. **Clarification w.r.t. Nil Holding file:**

- With respect to dormant or active clients with nil holdings, Members shall be required to upload a separate file to the Exchange (with nomenclature PAN_NH_DDMMYYYY_BATCH NO). The file format is mentioned below:

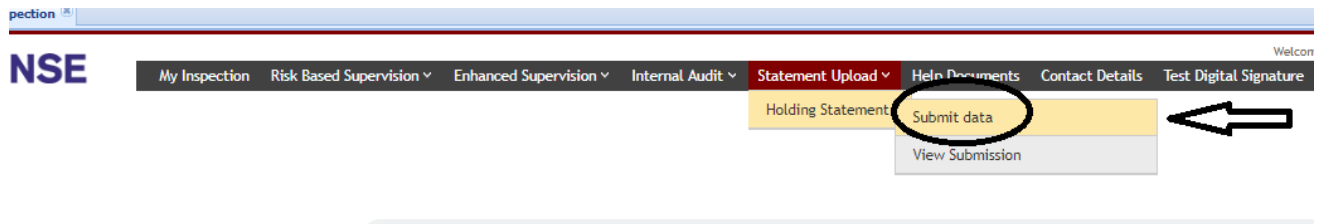
Member PAN	Date	Unique Client Code (UCC)	Client PAN

Sr.No.	Field Name	Length (Max)	Description
1	Member PAN	Char (10)	Alpha Numeric Member PAN
2	Date	DD-MM-YYYY	-
3	Unique Client Code (UCC)	Char (20)	Alpha Numeric Client code
4	Client PAN	Char (10)	Alpha Numeric Client PAN

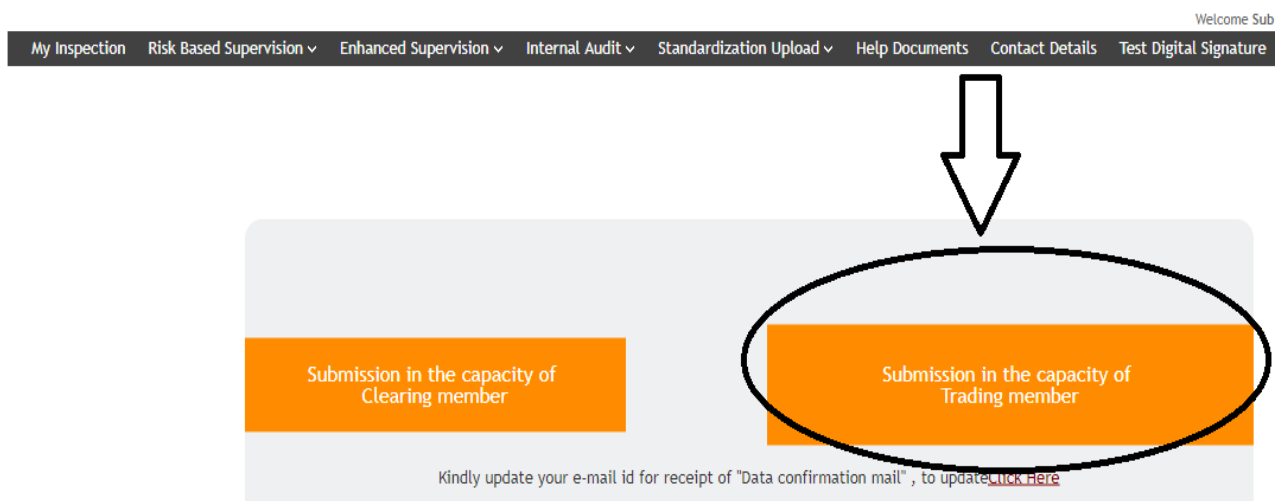
3. Both above mentioned files shall be in csv and zip format. One zip file shall contain one csv file only. Naming convention of zip file shall be same as of the csv file.
4. In case of success file, Members will not be able to upload another file with the same nomenclature.
5. Files uploaded will be 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 file with correct data as per the user manual for data submission provided in **Part-B**.
6. Data file can't be revised after the due date of submission and file with success status shall be considered as final submission.
7. In case of non-applicability, a separate system for submission of a one-time declaration has been provided. However, as and when, member become eligible for submissions, they will have to submit the data as per the requirements.

Part B – User manual for Data Submission

1. Login using following URL
<https://www.connect2nse.com/MemberPortal/>
2. Navigation: Inspection--> Statement Upload--> Holding Statement--> Submit data.
Click “Submit Data”

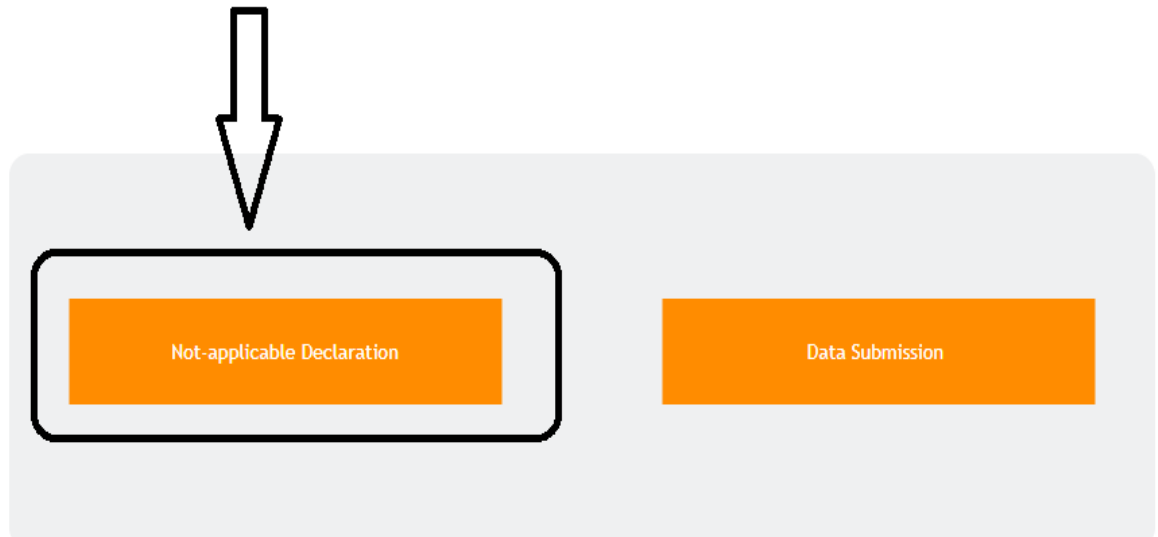


3. Click “Submission in the capacity of Trading member” button and proceed to input the information sought.

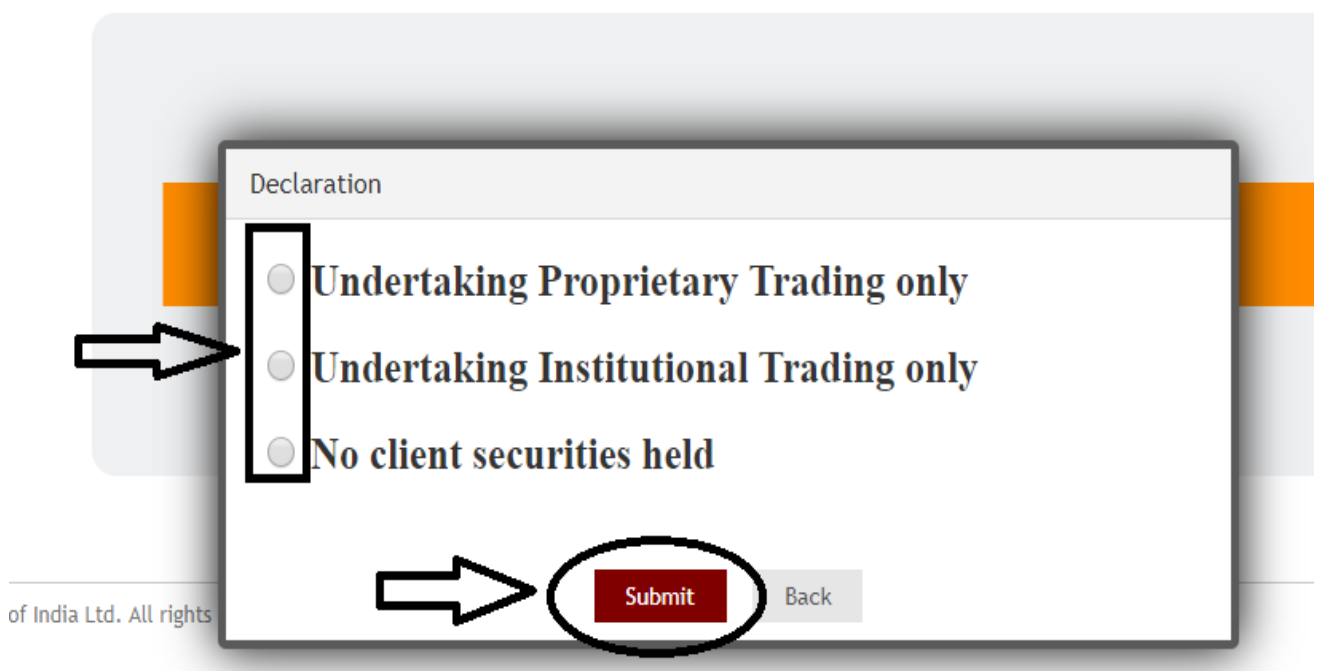


4. After clicking the “Submission in the capacity of Trading member” button, the next screen will show the two options i.e. “**Not-applicable Declaration**” and “**Data Submission**”.

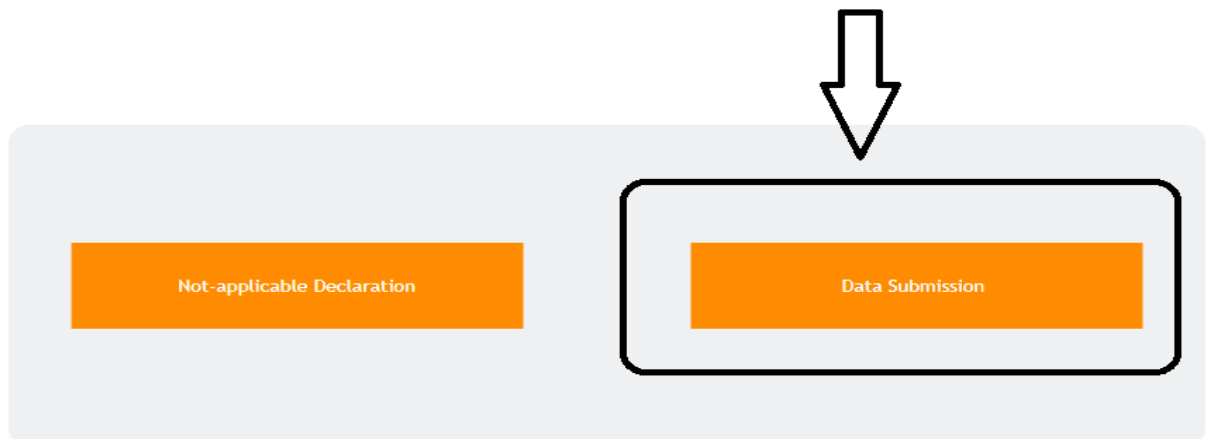
In case trading member is not eligible for submitting the Holding statement data then member should submit a one-time **Not-applicable Declaration**.



5. After clicking the “**Not-applicable Declaration**” button, the next screen will show the 3 options and member can select appropriate applicable option and submit the declaration.



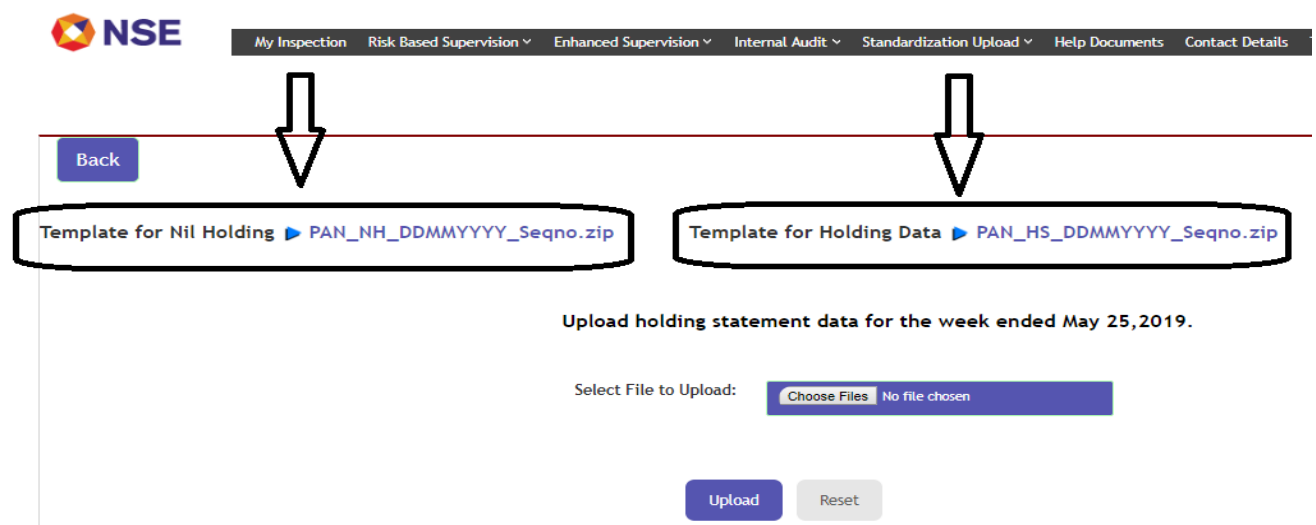
6. In case member is eligible for data submission then member is required to select “Data submission” option.



7. After clicking on “Data Submission” button the next screen will show the link for the week for which the data has to be submitted. Click “Submit details” against the date to proceed to enter the information sought.

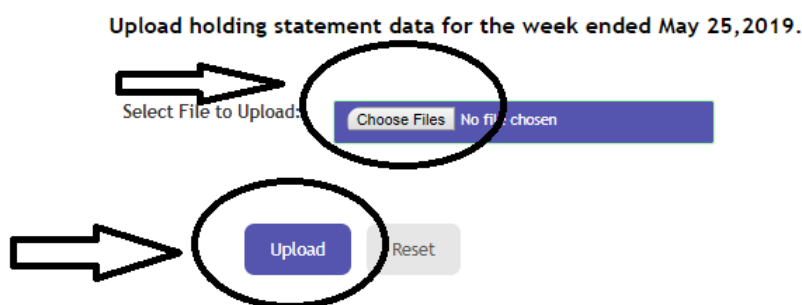
Holding Statement - Trading				
Week #	Month	Year	Due date	Link for Submission
1	Week ended as on 01-Jun-2019	JUN	2019	Jun 07, 2019
				Submit Details

8. After clicking on “Submit Details” button the next screen will show the link for both the formats (Submission for Nil holding and Data holding). Click the link of the respective format and a CSV file of the respective format will be downloaded.

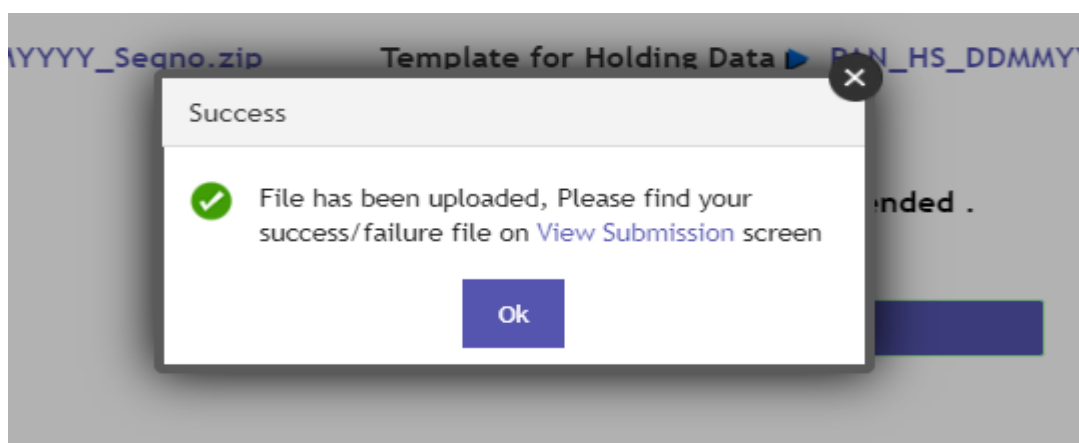


9. Fill the relevant template with data (as per the guidelines provided in Annexure-A) and save the same on your desktop. The file should be saved in the nomenclature provided. The nomenclature should contain your PAN and the date. The date shall be of the Saturday of the respective week.
10. Click on “Choose file” and proceed to submit the record by clicking the “Upload” button.

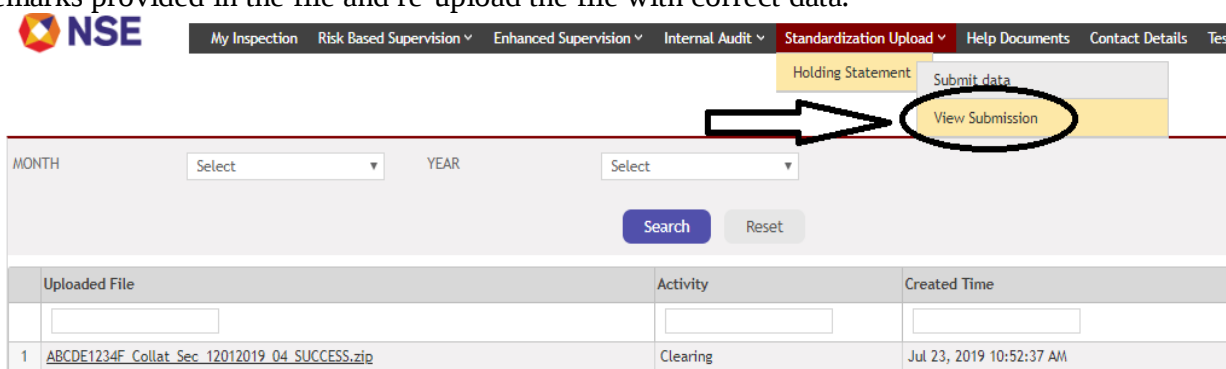
Nil Holding ▶ PAN_NH_DDMMYYYY_Seqno.zip Template for Holding Data ▶ PAN_HS_DDMMYYYY_Seqno.zip



11. Files uploaded will be processed for validation check.



12. 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 correct data.



OTHER POINTS:

A. REVISION IN QUANTITY OF SUBMITTED DATA (For quantity change only)

At the time of initial submission, the file shall be uploaded with Action tag - “A”. In case of a discrepancy in the **quantity**, Member can upload a revised file with fresh batch/Seq no. along with the revised quantity and Action tag - “U”.

Note:

- Member is required to submit a file for only those records where member want to revise the quantity with “U” action. Guidelines for file submission shall remain same as mentioned above.
- Only quantity shall be changed in case of data submitted with “U” action. All other field remain constant as submitted earlier with “A” action.
- Data submitted with “U” action shall be replaced corresponding “A” records and shall be considered as final data.
- Data updation/revision can be done within the **due date** only.

B. DELETION OF SUBMITTED DATA

In case of any change in submitted data, **other than Quantity**, the relevant records which is already uploaded with “A” Action tag have to be deleted. For this purpose, Member can upload a revised file with fresh batch/Seq no. along with the relevant records which needs to be deleted with Action tag- ‘D’.

Note:

- Member is required to submit a file for those records which member wants to delete with “D” action. Guidelines for file submission shall remain same as mentioned above.
- Data deletion can be done within the **due date** only.

Member can check the status of the revised file submission (with Action Tag-“U” & deleted records (with Action Tag-“D”) viewed by clicking on the “View Submission” link.

C. DISCREPANCY IN SUBMITTED DATA

In case the guidelines for submitting the revised file (with Action Tag-“U”) or for deleting the records (with Action Tag-“D”) are not followed, system will send an auto mail after the due date (next trading day after the due date) of the respective week to the respective members for correction of the discrepant data. The Discrepant File can be viewed by clicking on the “View Submission” link on the next trading day after the due date.

Discrepant File can be viewed by clicking on the “View Submission” link.

Navigation: Inspection--> Statement Upload--> Holding Statement--> View Submission.
Click “View Submission”

MONTH YEAR

Uploaded File	Activity	Created Time
1 ABCDE1234F HS 18052019 DISCREPANCY.zip	Trading	Jun 19, 2019 6:00:19 PM

- After clicking on the above mentioned link a CSV file will be downloaded
- Member shall check the reason for the discrepancy and proceed to submit the data with correct data/action. Guidelines for file submission shall remain same as mentioned above.
- In this case, member is required to submit file for only those discrepant records which are coming in the discrepancy file.
- Member can correct the discrepancy records on the same date (i.e. next trading day after the due date
- In case revised submission in not made with correct data, the Discrepant record shall not be considered.

D. VIEW SUBMISSIONS

You can view your previous submissions by clicking on the “View Submission” link

Navigation: Inspection--> Statement Upload--> Holding Statement--> View Submission.

Click “View Submission”



[My Inspection](#)
[Risk Based Supervision](#)
[Enhanced Supervision](#)
[Internal Audit](#)
[Standardization Upload](#)
[Help Documents](#)
[Contact Details](#)
[Test](#)

Holding Statement

MONTH YEAR

Uploaded File	Activity	Created Time
1 ABCDE1234F Collat. Sec 12012019 04 SUCCESS.zip	Clearing	Jul 23, 2019 10:52:37 AM

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