UCI-Online

Unique Client Code submissions

2011

User Manual for Web Based Unique Client Code Application (UCI), Currency Derivatives Application (CDS) and Application for Securities Lending and Borrowing (SLB)

The Web based Client Code application has been provided to facilitate trading members to provide details of the clients to the Exchange. This application will facilitate members in providing the unique client information to the Exchange as mandated by Securities and Exchange Board of India.

The following annexure form part of the user manual: -

Annexure	Details
Annexure A	Hardware and Software requirements for Client Code Application
Annexure B	Installation Procedure
Annexure C	Screen Layout
Annexure D	File structure for submission of data in respect of Unique Client Code for Cash, F&O, Currency Derivatives and Securities Lending and Borrowing segment

Annexure A

Hardware and Software requirements for Client Code Application

1. Hardware requirements for Client Code Application

- PI 200 MHz (Higher configurations of PII and PIII preferable)
- 64 MB RAM
- 60MB Disk Space

2. Software requirements for Client Code Application

- Windows NT / Windows XP / Windows 2000
- Internet Explorer 5.0 or 6.0

Annexure B

Installation Procedure

1. Client Machine needs to have Internet explorer (5.0 or 6.0) with JavaScript enabled. Other than this no other installation is required at the client side.
2. The application can be best viewed at 1024 x 768 resolutions.

Annexure C

Screen Layout

Login Screen:

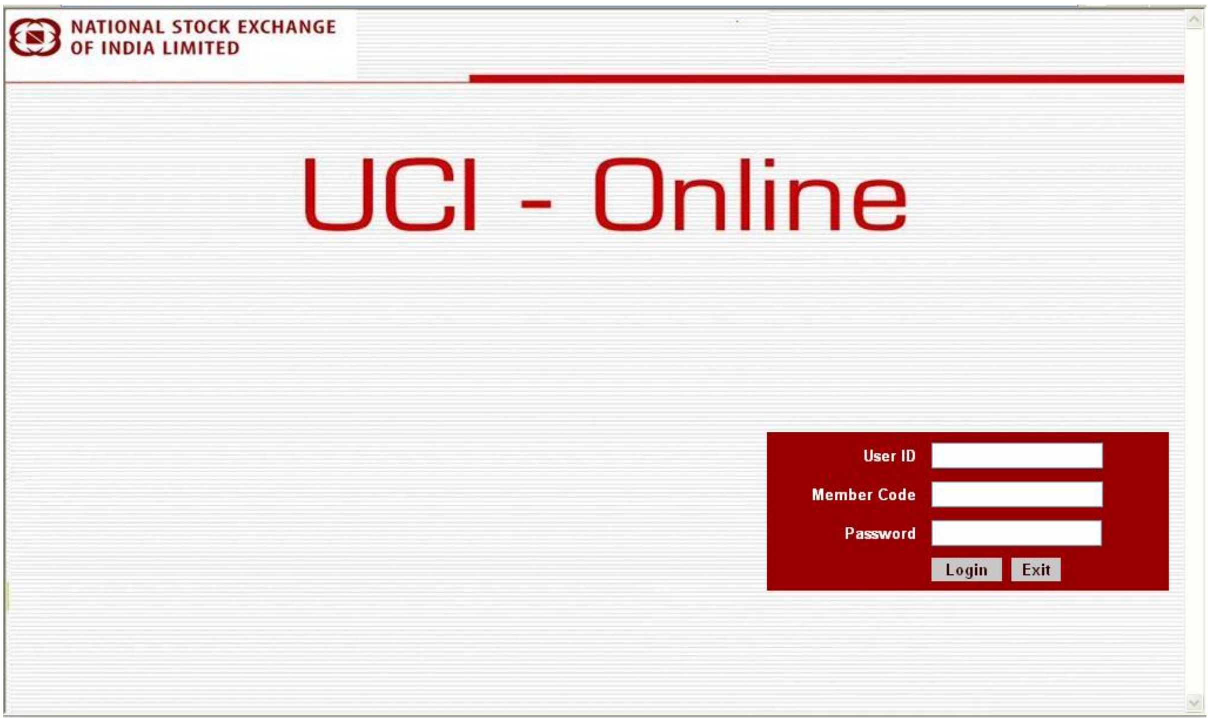


Fig. C.i

On opening the URL https://www.connect2nse.com/UCI, the login screen appears to the user. The user is required to enter:

1. User Id
2. Member code
3. Password.

Members are required to enter their 5-digit Trading Member Code as Member Code and the given password for first time logins. For members, trading member code will also be the user Id. On login, member can create one to three users. Users then need to provide user Id and member code for logging in.

Click on 'Login' to continue in the application or 'Exit' to exit the application. In case the user submits wrong entries for three consecutive times, his account will be locked.

In case the user has logged in for the first time, a screen will be displayed to the user to change his password. The new password should be different from old password. The new password and confirm password must necessarily be the same. Thus for all subsequent logins, the same Trading Member Code, User Id and new password must be used. The screen layout is given in Fig. C.ii. below

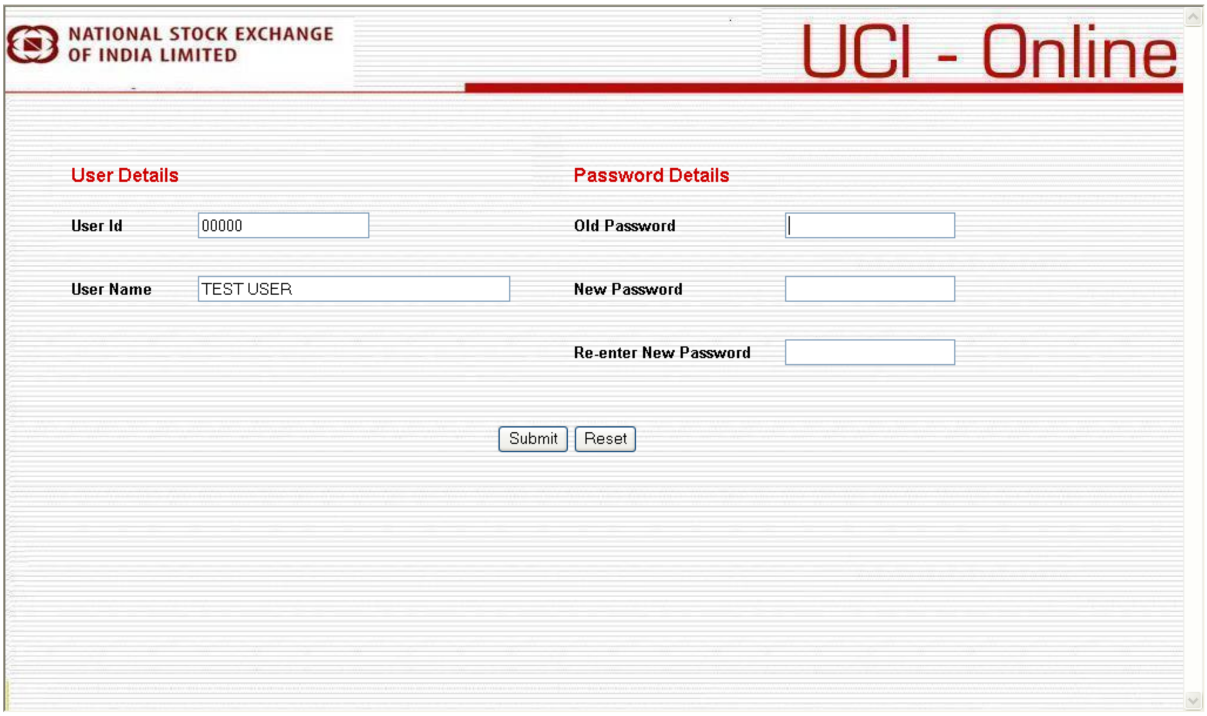


Fig. C.ii.

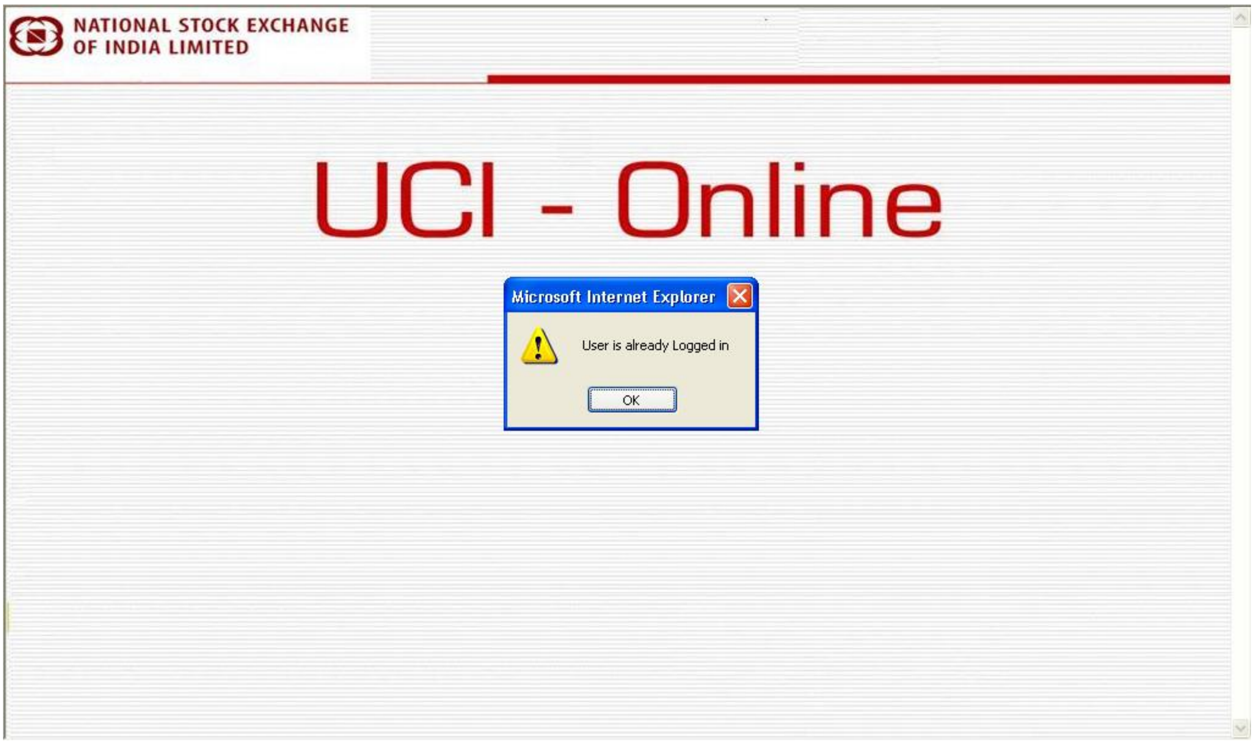


Fig. C.iii.

In case the above error appears, the user is required to exit the application for 10 minutes and then login again.

For all the subsequent logins, the main screen will be displayed containing the various functions of the application. The options available will defer for member's login and user login.

The main screen layout for member's login is given in Fig. C.iv. below.

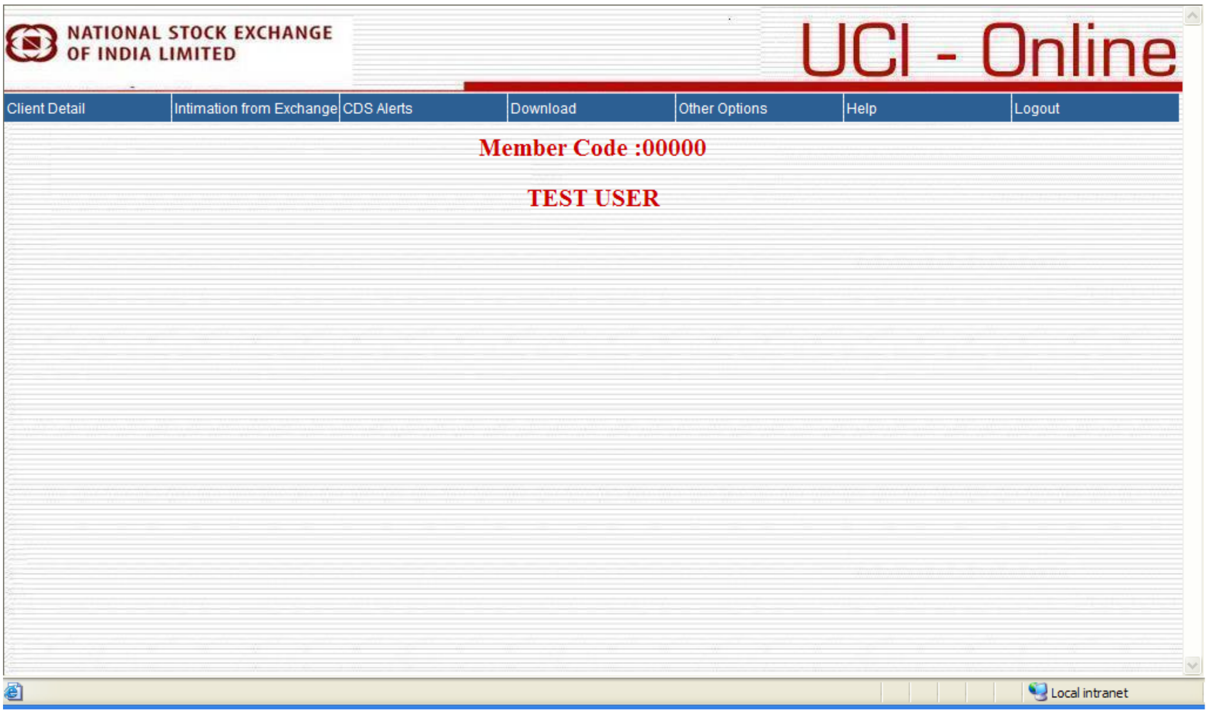


Fig. C.iv.

The main screen layout for user login is given in Fig. C.v. below.

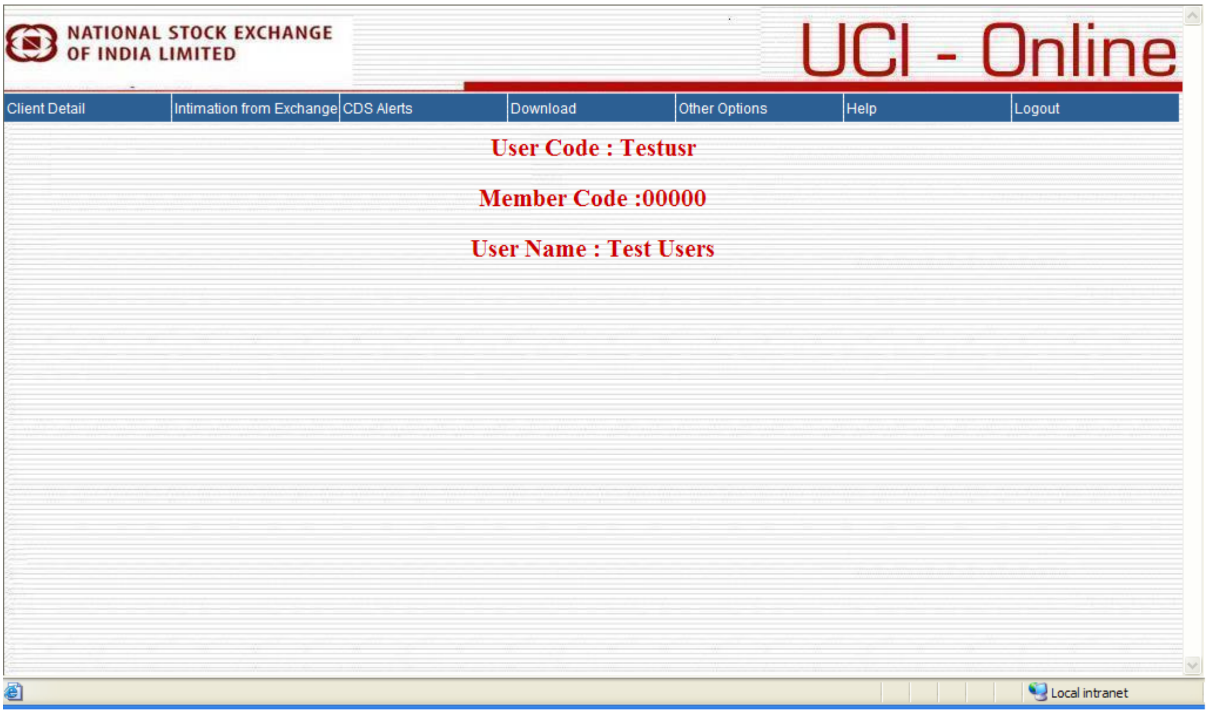


Fig C.v.

The menu options provided for the user are briefly explained below:

1. CLIENT DETAILS

Fig. C.1.

1.1 Insert Details:

Insert screen is displayed when the ‘Insert Details’ menu is clicked. The insert screen allows the user to insert the client details for a client code for any of the Segments (C, F, X, S) or all. If the client code already exists, the record will be updated; else a new record will be created.The screen layout is given in Fig. C.1.1.1 below.

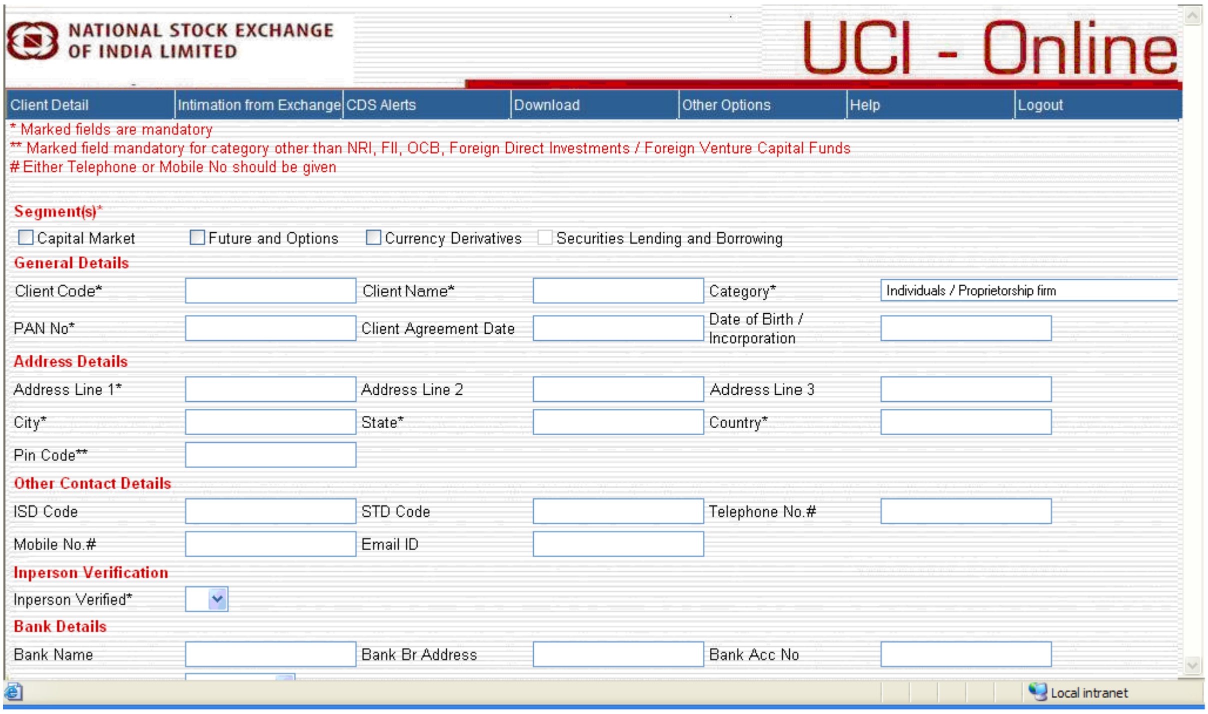


Fig. C.1.1.1

a) **Submit:**

User shall click on ‘Submit’ to submit the data entered. The details entered will be validated and appropriate messages will be displayed for the user wherever needed to get valid entries.

b) **Reset:**

User shall click on ‘Reset’ to clear all the details entered for a client code before submitting the record.

The following key functions can be used in this screen for navigation:

Keys	Functions
Tab	Forward Movement
Enter	Submit Record

1.2 Upload Details:

User shall click on ‘Upload Details’ to upload files to NSE.

User shall select the File to be uploaded by using the “Browse” button. User can also manually enter the path for the file in the box provided on the screen. The user can upload single file containing upto maximum 10,000 records.

The screen layout is given in Fig. C.1.2.1 below.

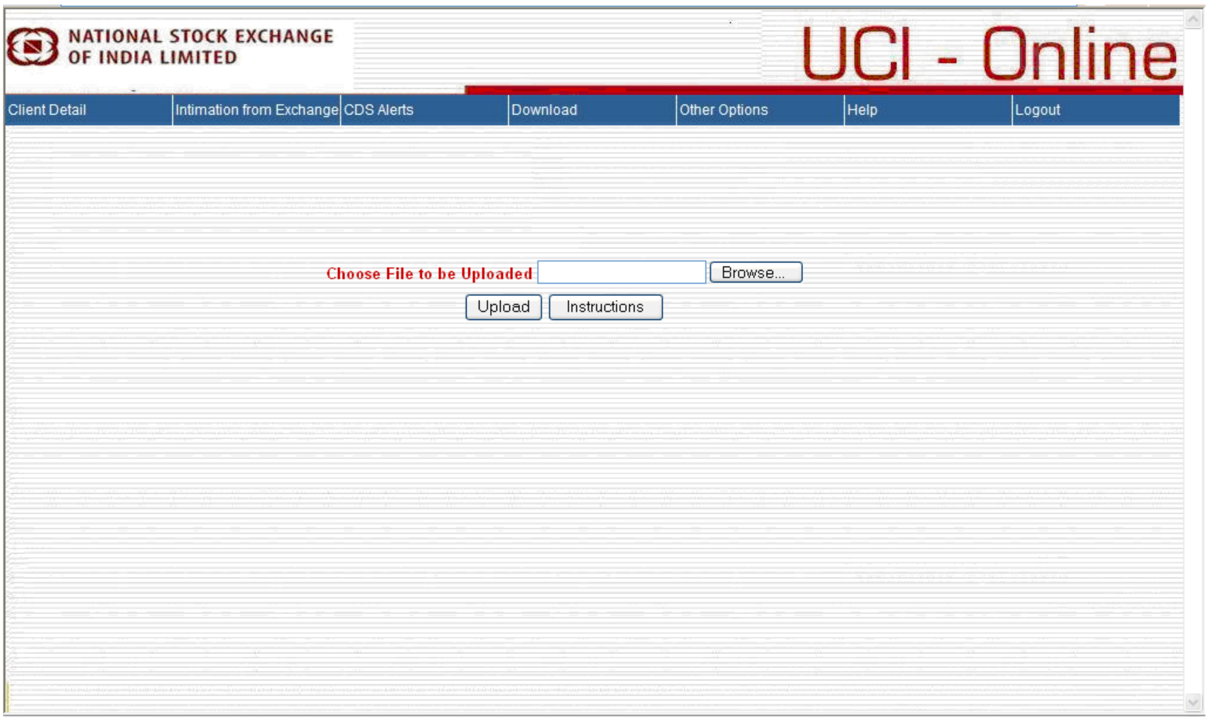


Fig. C.1.2.1

Keys	Functions
Tab	Forward Movement

a) **Upload:**

User shall be allowed to import the file details to NSE database by clicking on this button.

b) **Instructions:**

User shall be provided with guidelines about the file-format that should be followed in order to upload the details to the database successfully by clicking on this button.

If the file format is correct with a valid file name and control record, the file will be loaded and the link to the log file will be given to the user. The user can there after click and view the log file or download the same. If the user wishes to download the file directly, he should right click on the link and select Save Target As.

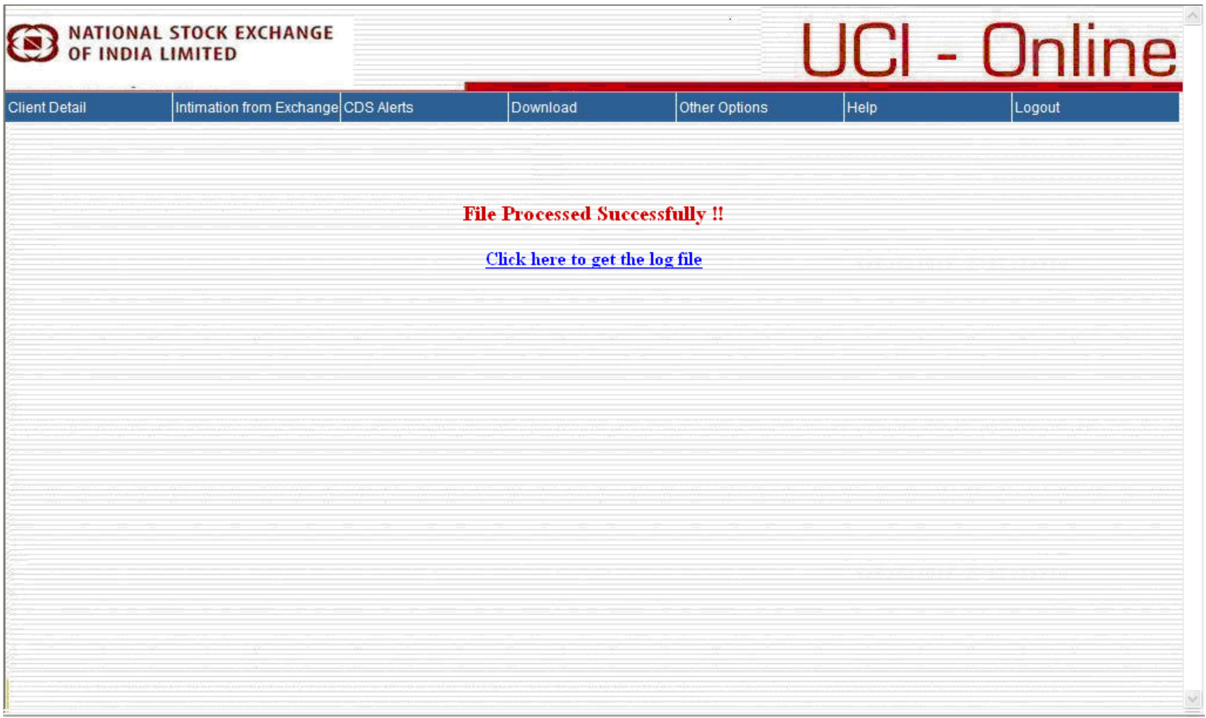


Fig. C 1.2.2

1.3 Query Client

The user can view and modify uploaded records by using Client Query Screen.
Client Query Screen is available in menu Query Client. After clicking on menu Query Client, user will get the following screen as shown in Fig C 1.3.1 below.

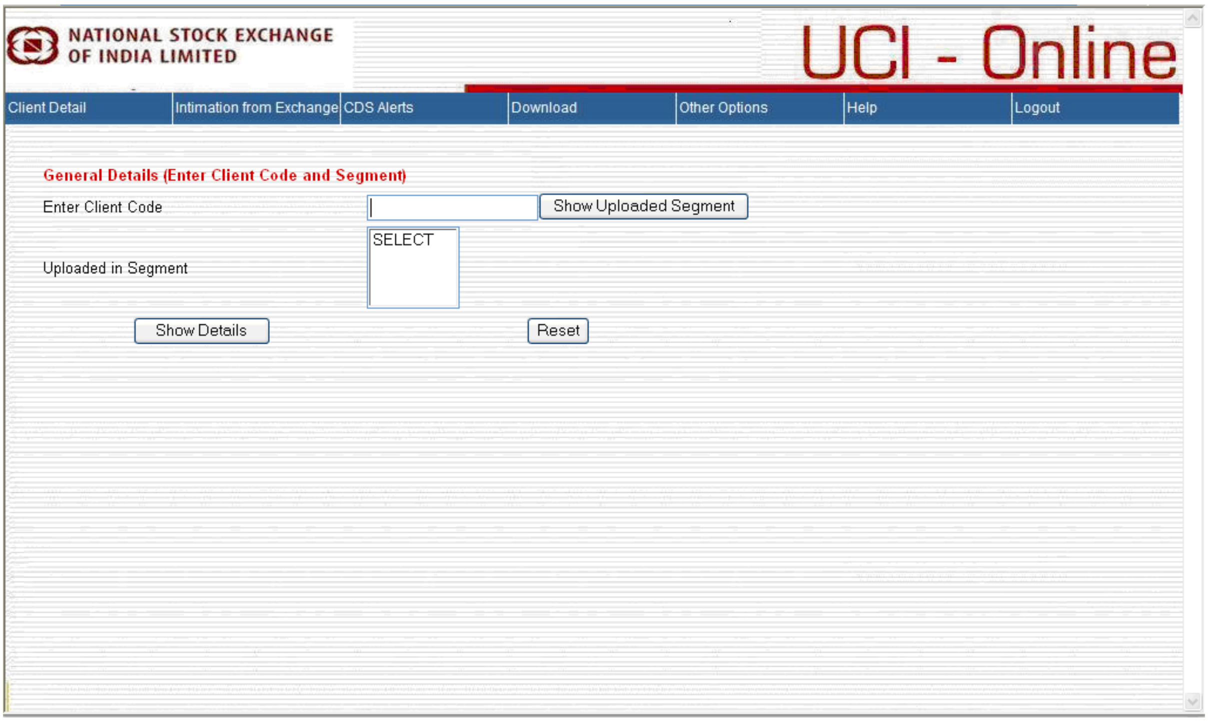


Fig C 1.3.1

User has to insert client code in the field against 'Enter Client Code'.
Then user has to press button 'Show Uploaded Segment'. If the client code exists in NSE Database user will get the segments in which the client code is uploaded i.e. C for Cash, F for Future and Options, X for Currency Derivatives and S for Securities Lending and Borrowing.

If client code does not exist, User will get the error message saying Client Record not found as shown in Fig C.1.3.2.

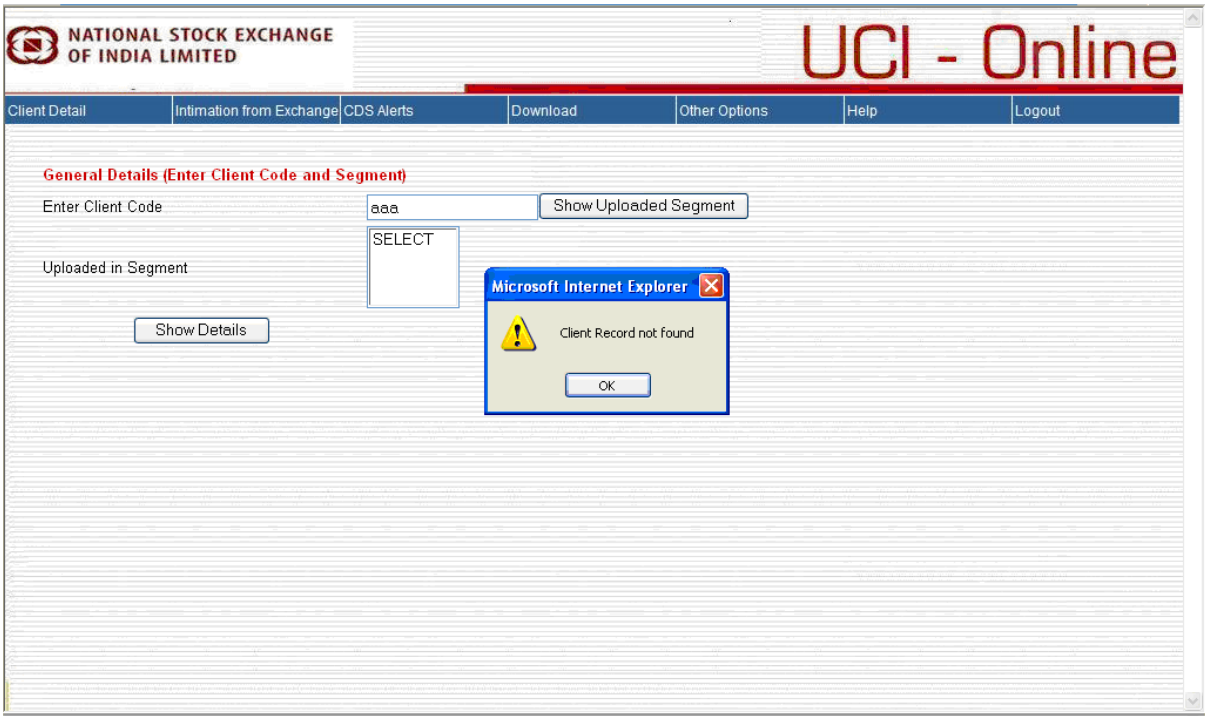


Fig C.1.3.2

If client code exist user will get segments uploaded as shown in Fig C 1.3.3

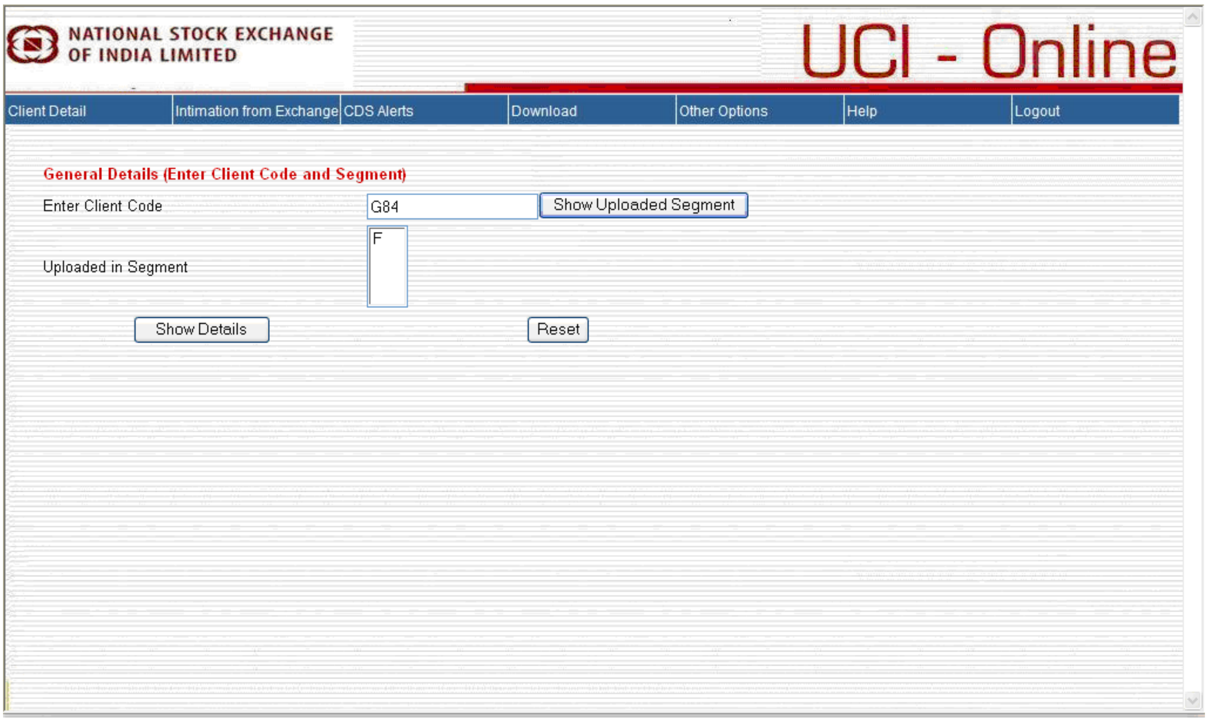


Fig C.1.3.3

After getting Segments in Uploaded in segment field, User has to select Segment and click on Show Details. After which user will be directed to page showing the details of selected client code, segment as shown in Fig C 1.3.4

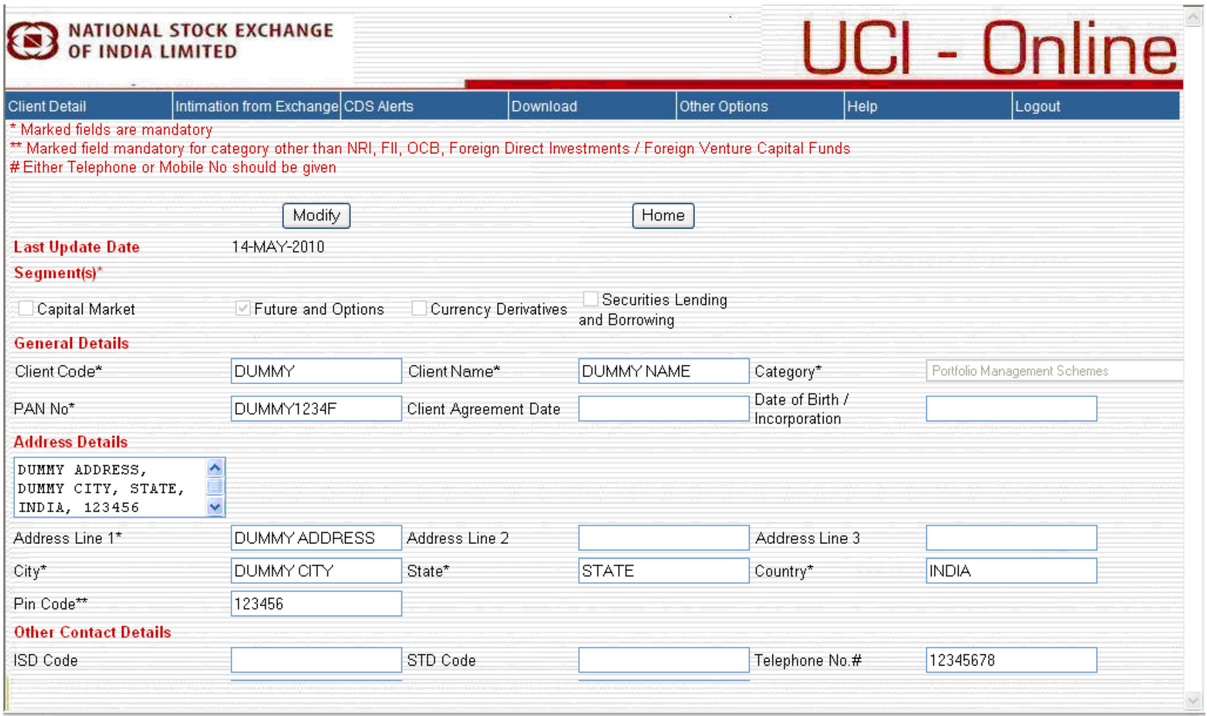


Fig C.1.3.4

If user wishes to modify the record, one can do so by clicking on Modify button. After which all fields will be available for editing.

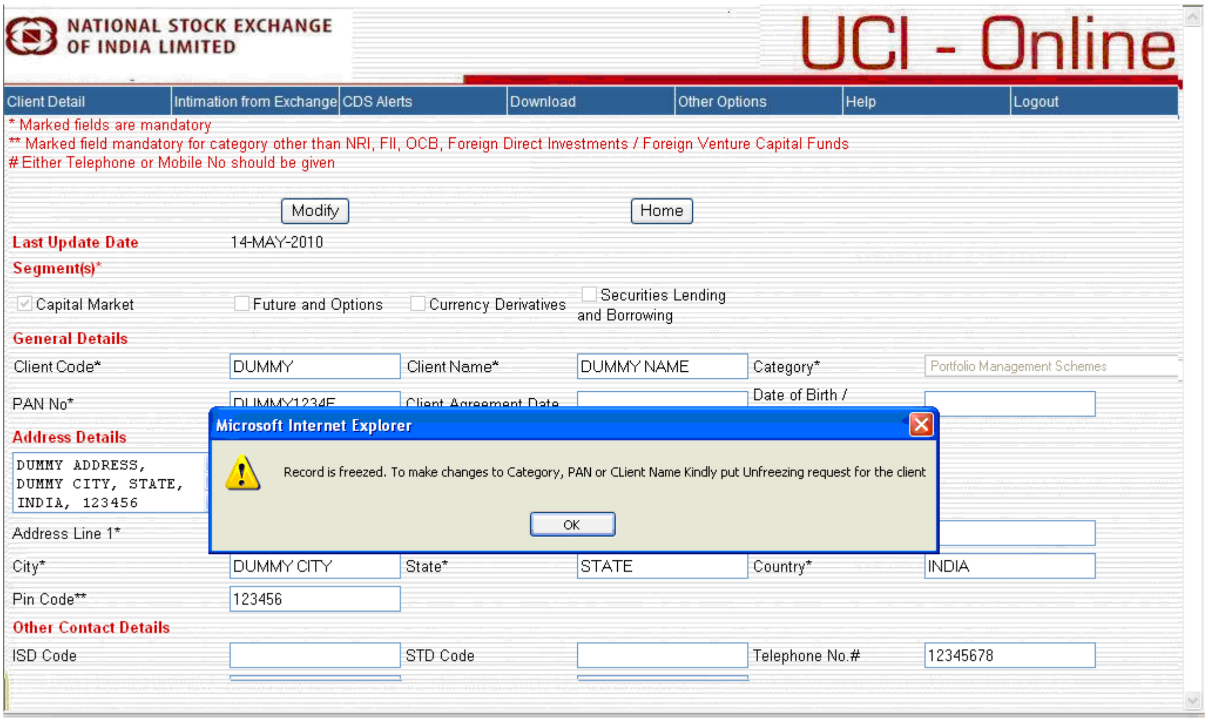


Fig C.1.3.5

If the above screen appears, it means that the record for that particular Client Code is freezed. In case if the trading member wants to modify the Name, Pan or category details of the client, the trading member has to send an unfreezing request through other option>unfreezing request>new request mentioning the reason for un freezing.

If a client code exists only for one segment either C, F, X or S, User will get an additional option of creating the similar record with segment for which details does not exist i.e. If client code exist only for cash segment, user will be able to create record will similar details in F & O segment, Currency Derivatives, Securities Lending and Borrowing and vice versa.

Once the user is done with all the changes in client details, user has to click on submit button to submit the record. After submission user will get the confirmation whether record is uploaded successfully or not as shown in Fig C.1.3.6

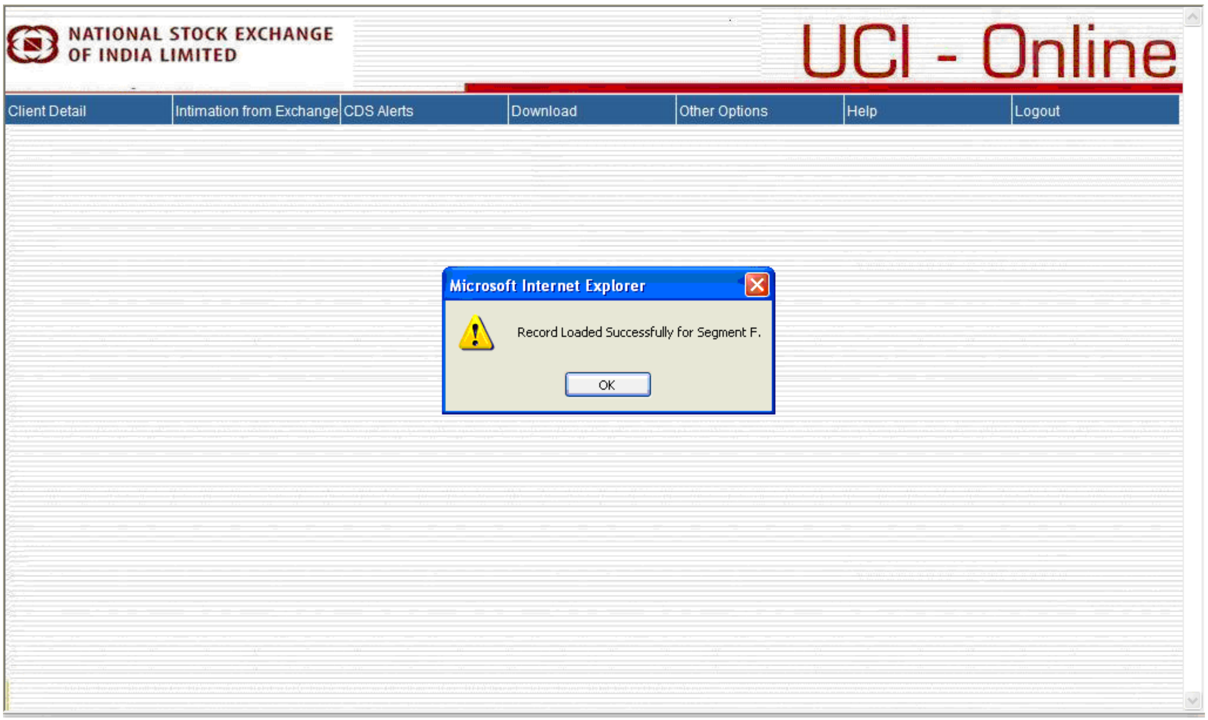


Fig C.1.3.6

If user do not wish to modify record submit record, user should press button Home to go back to Client Query Screen Page.

2. INTIMATION FROM EXCHANGE

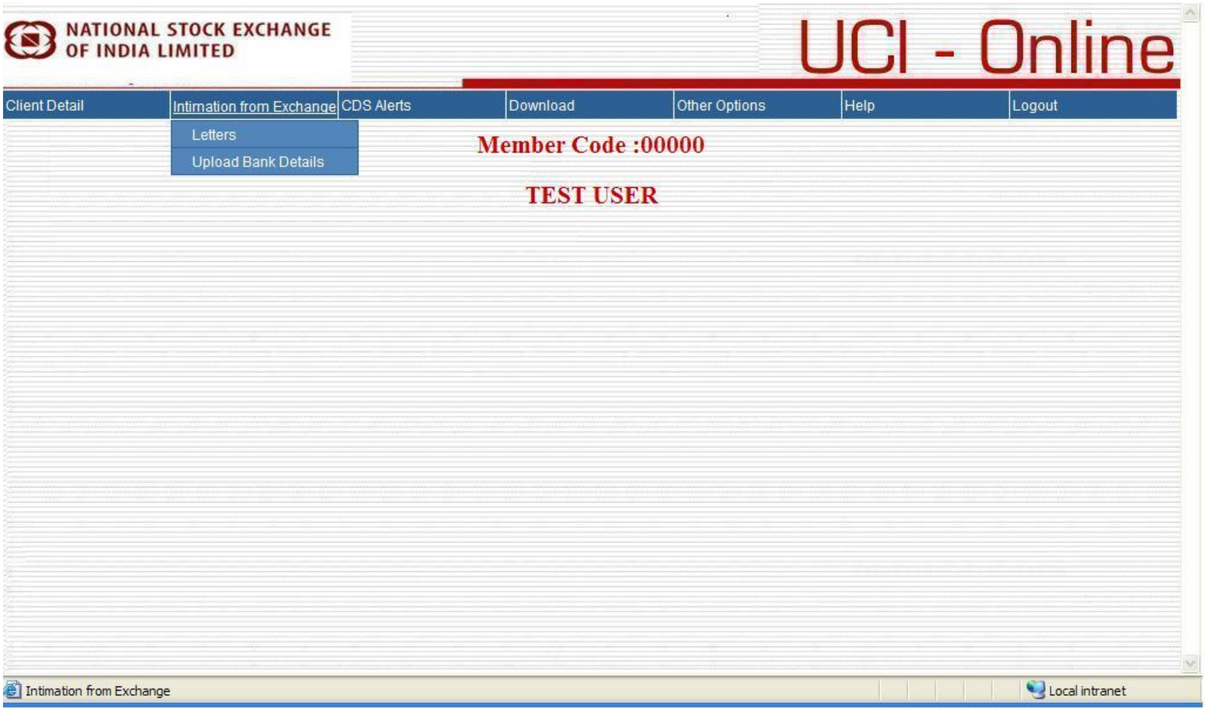


Fig C.2.1

2.1 Letters

This sub tab will contains letters for following categories

- Letters intimating members about entities debarred by SEBI and registered with them
- Letters seeking bank account details of the clients
- Letters seeking KYCs of the clients
- Advice letters

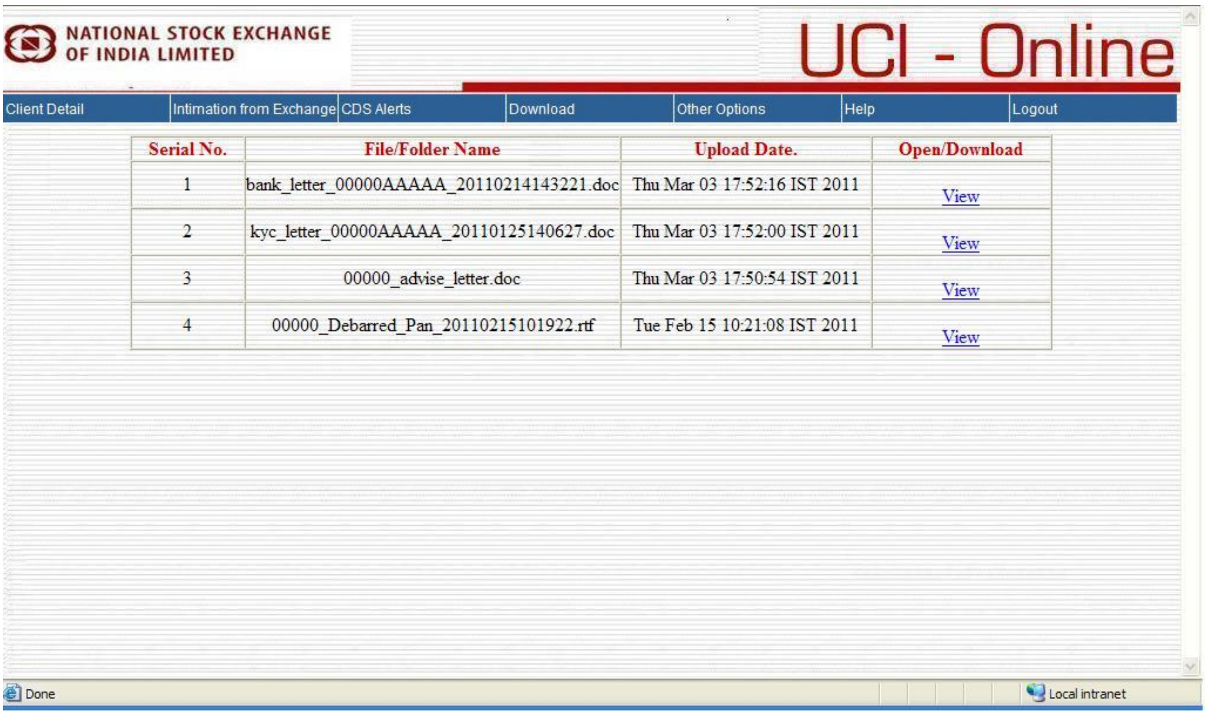


Fig C.2.1.1

2.2 Upload Bank Details

Through this sub menu the members are required to upload the bank accounts details as requested by the exchange.

The screen layout is given in Fig. C.2.2.1 below

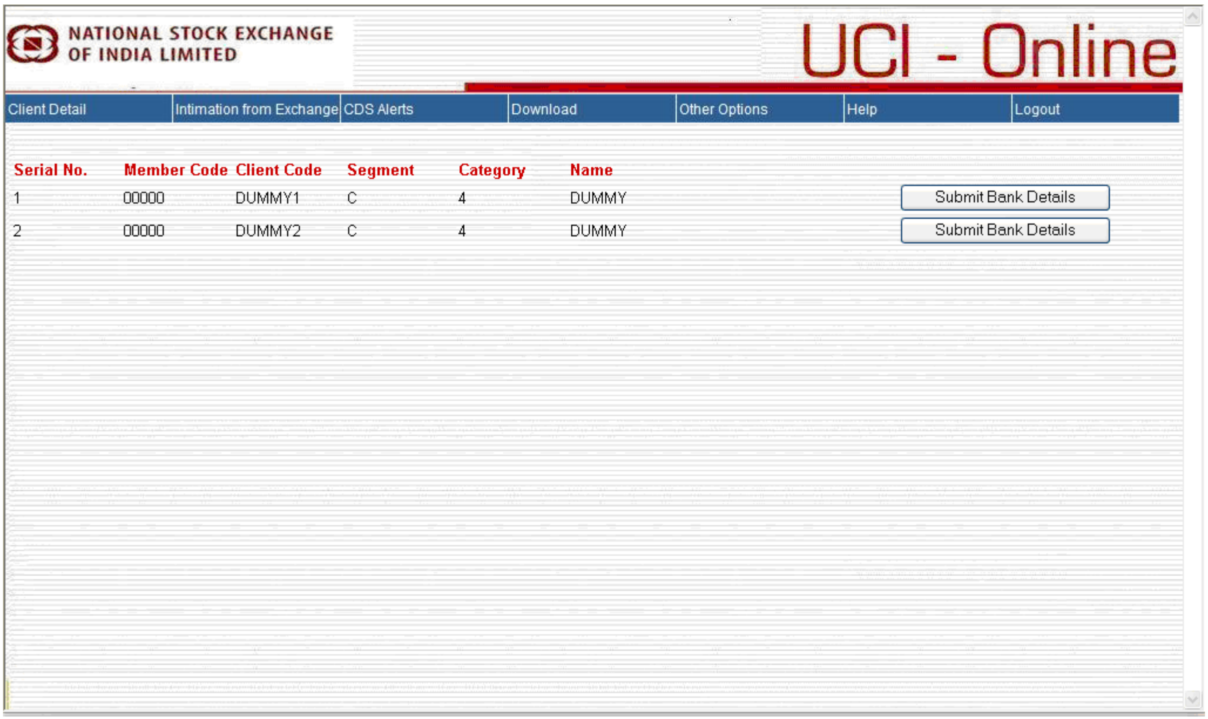


Fig C.2.2.1.

For Given details user has to click on "Submit Bank Details" to submit details.

The screen layout is given in Fig. C.2.2.2. below

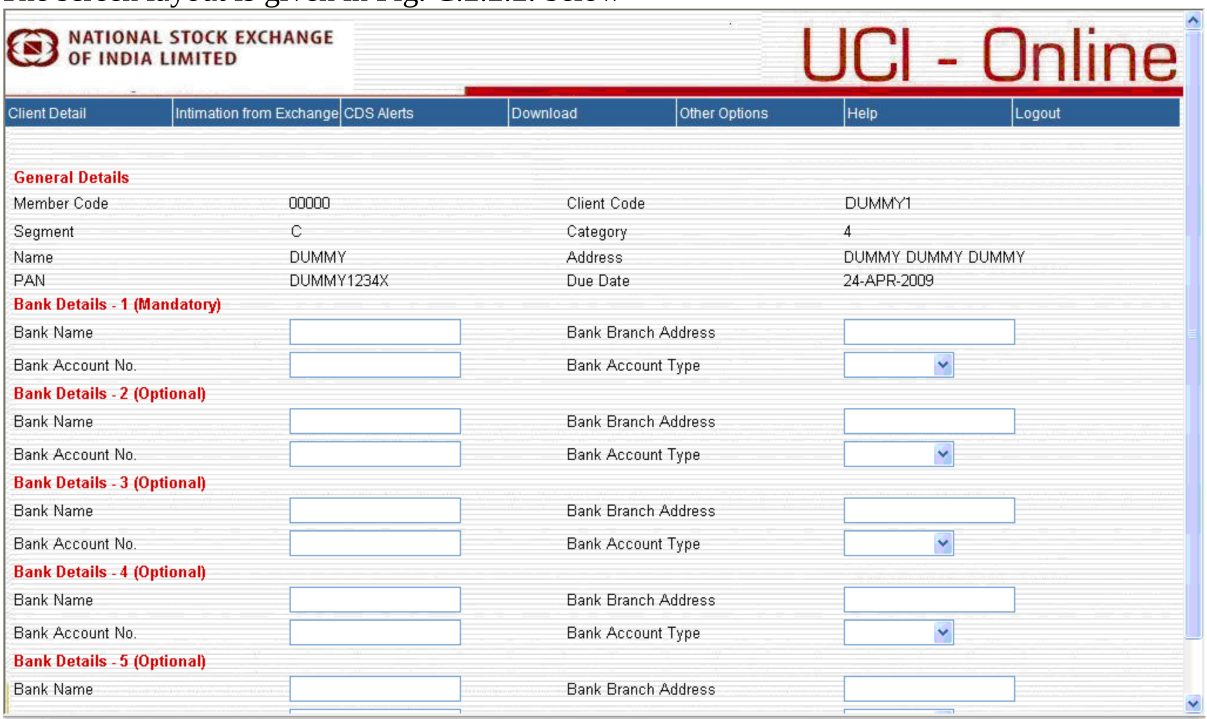


Fig C.2.2.2.

3. CDS ALERTS

Client Level Position Limit

The client level position limit as prescribed in the Report of the RBI-SEBI Standing Technical Committee shall be applicable where the gross open position of the client across all contracts exceeds 6% of the total open interest or 10 million USD, whichever is higher.The client level gross open position would be computed on the basis of PAN across all members. Wherever the prescribed limits are crossed, alerts would be disseminated to the respective Trading Members or Clearing members.

Trading Member Level Position Limit

The trading member position limit shall be higher of 15% of the total open interest or 50 million USD. However, the position limit for a Trading Member, which is a bank, shall be higher of 15% of the total open interest or 100 million USD.Client and Trading Member level position limits applicable for the next trading day shall be made available to members on the Exchange website (www.nseindia.com).

Information to be provided to the Exchange upon breach of above positions limits

When the abovementioned position limits are breached, the Trading Members or Clearing members shall be required to upload information pertaining to the nature of position held, position in the underlying, positions held by related entities etc. through the CDS_Online application. On breach of the abovementioned position limits, the Trading Member / Clearing Member should ensure that open positions are not increased and the positions are brought down within permissible limits.

Alerts for client level position at 3% of gross open position

In addition, the Exchange would disseminate alerts through CDS_Online application wherever the gross open position of the client across all members (on the basis of PAN) across all contracts exceeds 3% of the total open interest.

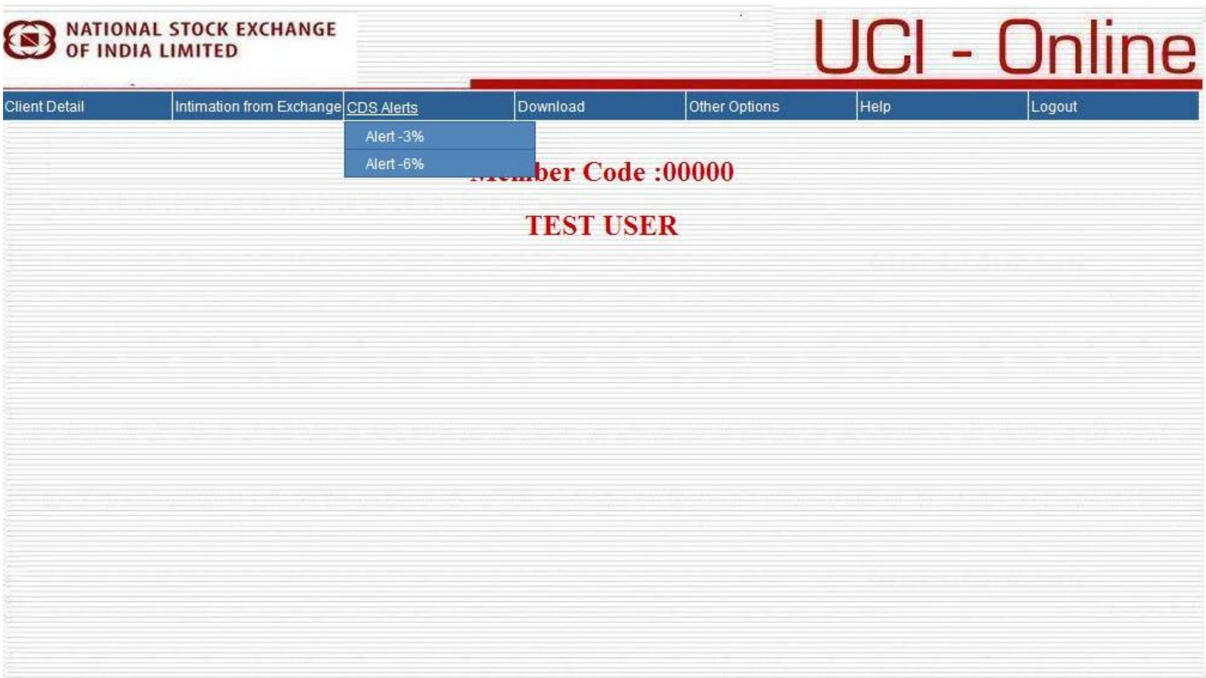


Fig C.3.

3.1 Alerts – 3%:

The Screen Layout of 3% alert is given in Fig C3.1.1. below

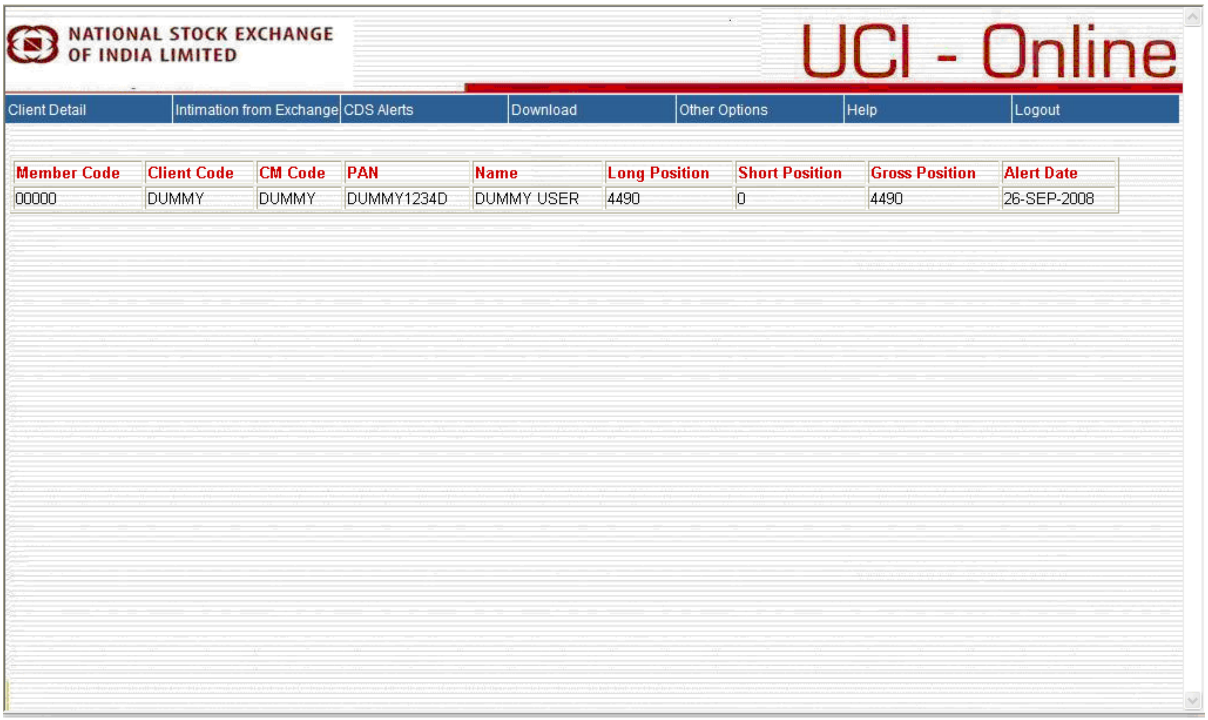


Fig C.3.1.1.

3.2 Alerts – 6%:

The Screen Layout of 6% alert is given in Fig C.3.2.1.below

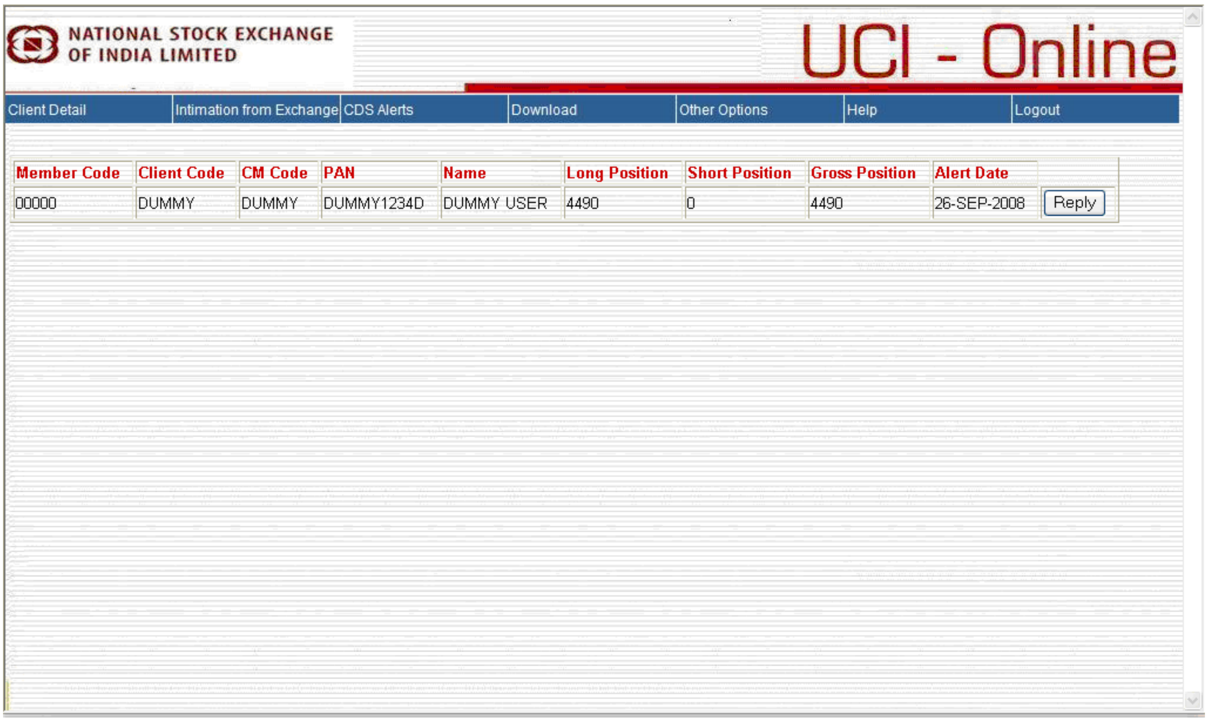


Fig C.3.2.1.

Members can give reply to the alert by clicking on reply. Reply Screen is shown below in Fig

C.3.2.2.

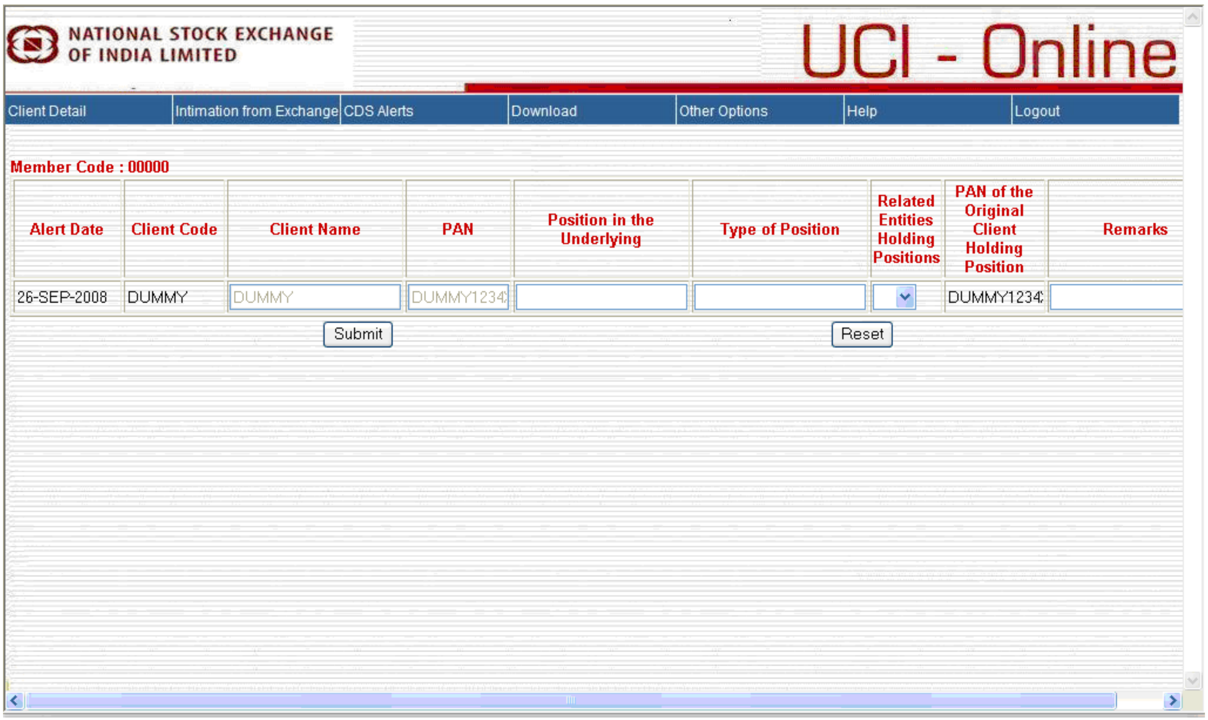


Fig C.3.2.2.

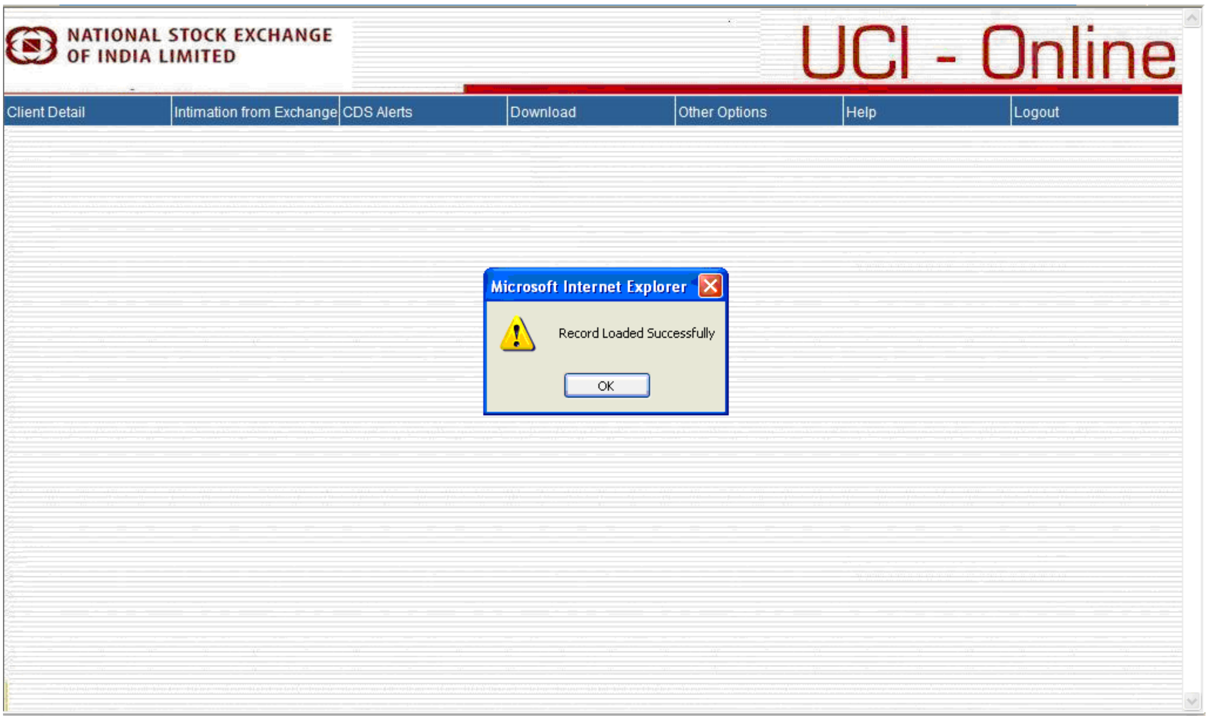


Fig C.3.2.3.

4. DOWNLOAD:

Fig C.4.

4.1 Last Three Days Uploaded

Client data can be generated for records uploaded in last 3 days through insert details and upload details.

4.2 Full File

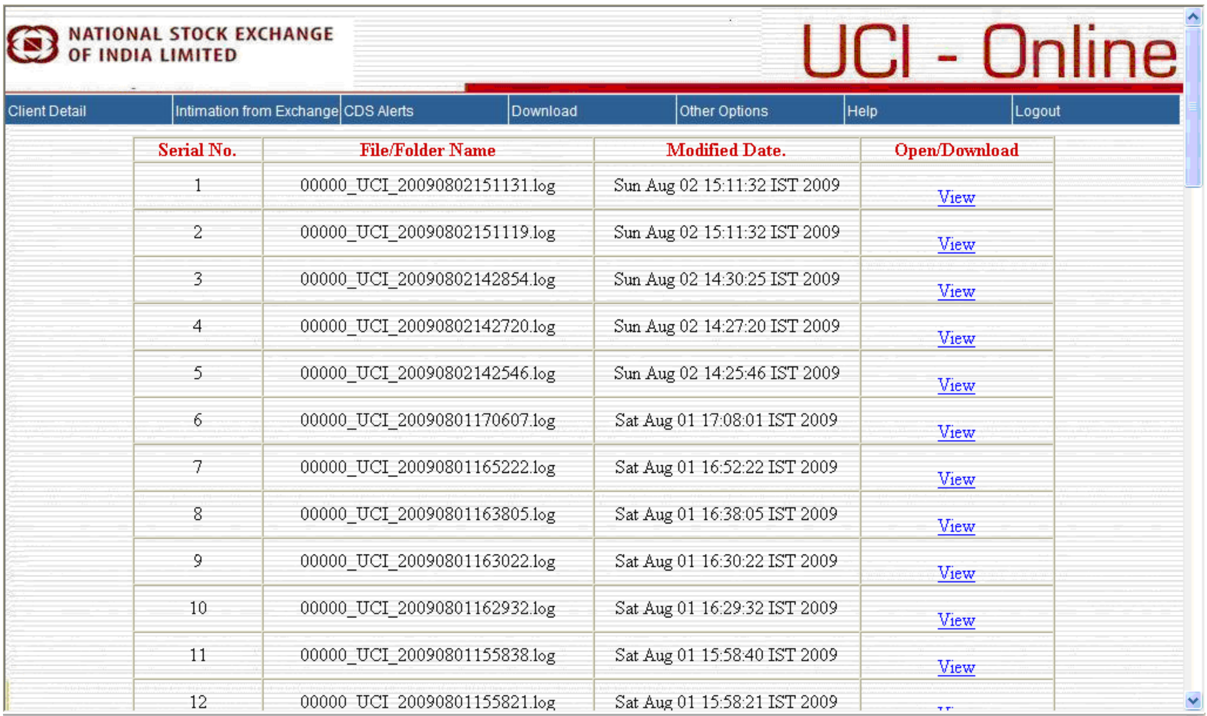
The member can place request for full data of client codes uploaded by them with the exchange till date through "Request" option. The same shall be available under "View Full File'' option on the next working day.

The member can also place request for client codes created during past 6 months by selecting respective period and segment. Requisite details needs to be submitted through "Request" option. The file will be available under "View Full File" option on the next working day".

4.3 Log files

To view/download the log files, go to **Download -> Log Files**. Details of the file, its size, and modified date will be provided to the user.

The screen layout is given in Fig. C.4.3.1. below.



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

UCI - Online

Client Detail | Intimation from Exchange | CDS Alerts | Download | Other Options | Help | Logout

Serial No.	File/Folder Name	Modified Date.	Open/Download
1	00000_UCI_20090802151131.log	Sun Aug 02 15:11:32 IST 2009	View
2	00000_UCI_20090802151119.log	Sun Aug 02 15:11:32 IST 2009	View
3	00000_UCI_20090802142854.log	Sun Aug 02 14:30:25 IST 2009	View
4	00000_UCI_20090802142720.log	Sun Aug 02 14:27:20 IST 2009	View
5	00000_UCI_20090802142546.log	Sun Aug 02 14:25:46 IST 2009	View
6	00000_UCI_20090801170607.log	Sat Aug 01 17:08:01 IST 2009	View
7	00000_UCI_20090801165222.log	Sat Aug 01 16:52:22 IST 2009	View
8	00000_UCI_20090801163805.log	Sat Aug 01 16:38:05 IST 2009	View
9	00000_UCI_20090801163022.log	Sat Aug 01 16:30:22 IST 2009	View
10	00000_UCI_20090801162932.log	Sat Aug 01 16:29:32 IST 2009	View
11	00000_UCI_20090801155838.log	Sat Aug 01 15:58:40 IST 2009	View
12	00000_UCI_20090801155821.log	Sat Aug 01 15:58:21 IST 2009	

Fig. C.4.3.1.

The user can there after click and view the log file or download the same. If the user wishes to download the file directly, user should right click on the link and select Save Target As.

4.4 View Unique ID for SLB

A file named Participant Code_SLB_UNIQUEID_YYYYMMDD.lst will be generated giving the following information:-

- i) Participant Code
- ii) Client Code
- iii) Client Name
- iv) PAN
- v) UCC allotted by NSCCL/BSE
- vi) Unique ID (to be used for order entry)

The Unique ID (to be used for order entry) mentioned in the above mentioned file is to be used by Participants while placing orders on behalf of their clients under the SLB scheme.

Screen layout is shown in Fig C 4.4.1.

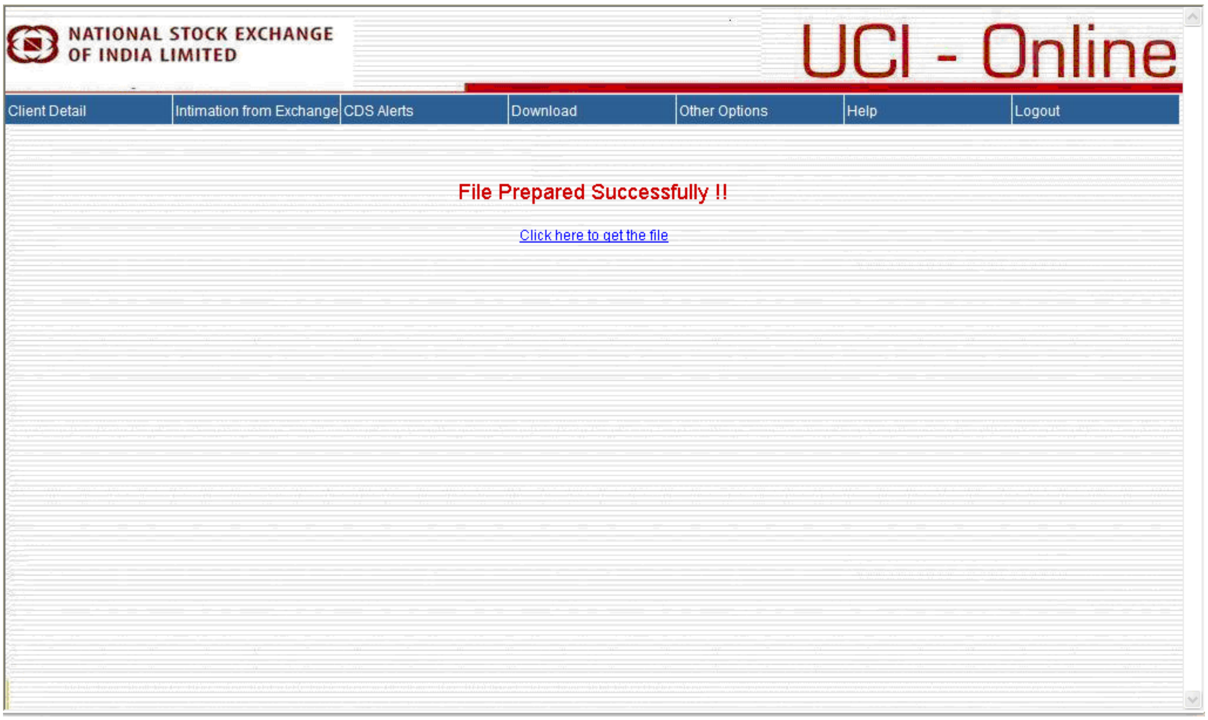


Fig C 4.4.1.

4.5 Debarred Entities Report

The members can download information/report pertaining to SEBI debarred entities for whom details have been uploaded on the basis of PANs provided by SEBI under "Debarred Entities Report" option.

4.6 Incorrect Details

To download Incorrect details file Go to Download > Incorrect Details. Current day file will be available in the option "Current Day" option. In case if the file is not yet uploaded by the Exchange following message will be displayed "Incorrect details file not uploaded for today". Members can download a consolidated list of client codes where PAN uploaded by them is invalid, name is not matching as per Income Tax Web site, incorrect category has been uploaded or name or address uploaded of the client is not proper. In "All Data " option all the earlier records uploaded by the Exchange till yesterday will be available. Members can view the "upload date" field, to know the date of upload by Exchange.

4.7 Non Submission

To download Non submission details file Go to Download > Members can download list of client codes for which non submission charges have been levied

4.8 INP File

To download INP File Go to Download -> INP File. Members can download list of the client codes which have traded without uploading PAN details. Current day file will be available in the option "Current Day" option. In case if the file is not yet uploaded by the Exchange following message will be displayed "INP file not uploaded for today". In "All Data" option all the earlier records uploaded by the Exchange till yesterday will be available. Members can view the "upload date" field, to know the date of upload by Exchange.

4.9 Provisional Pending Code

To facilitate members to upload pending client code details to the Exchange, a provisional file is downloaded containing list of client codes who have traded that day and for which PAN details have not been uploaded. Four files will be downloaded to members at Download > Provisional Pending Code. The first 2 files will contain client codes (without considering client code modifications done) who have traded till 13.15 hrs and 15.30 hrs respectively for which PAN is not uploaded. The third file will contain list of client codes that have traded in CM and F&O seg for which PAN is not uploaded after considering client code modifications done during the day and client details uploaded till 5.00 p.m. The fourth and last file will contain list of client codes that have traded in CM, F&O as well as CDS segment for which PAN is not uploaded after considering client code modifications done during the day and client details uploaded till 5.00 p.m.

5. OTHER OPTIONS

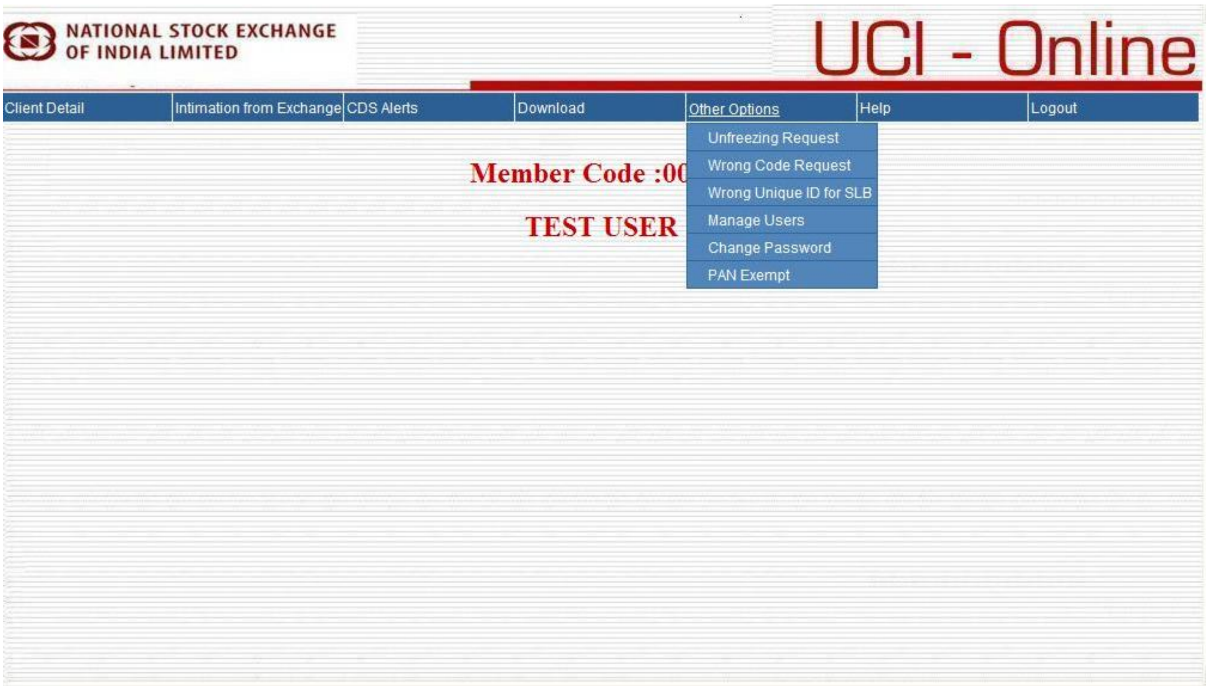


Fig C.5.1.

5.1. Unfreezing Request

5.1.1 New Request option

The user has option to give unfreezing request through New Request option.

The screen layout is given in Fig. C.5.1.1 below.

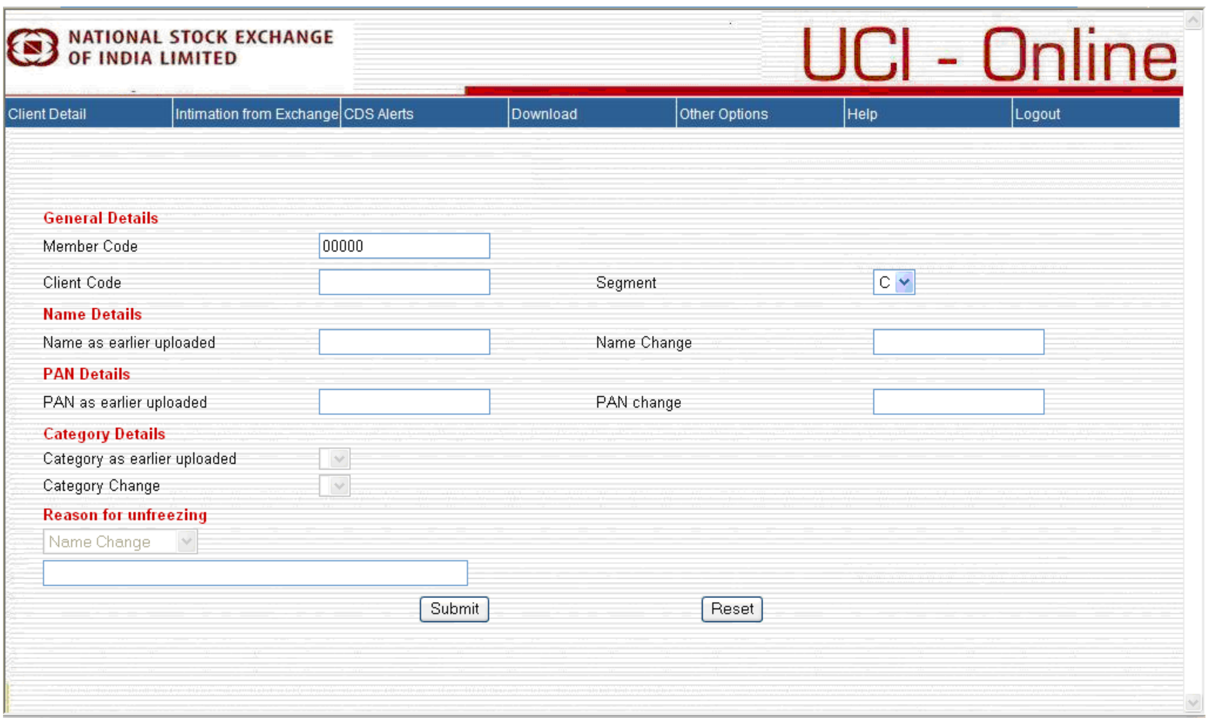


Fig C.5.1.1

User has to fill in the client code and segment. Client Name, PAN and category will be populated automatically. Then user must enter details, which they want to change.

a) **Submit:**

User shall click on ‘Submit’ to submit the data entered. The details entered will be validated and appropriate messages will be displayed for the user wherever needed to get valid entries.

b) **Reset:**

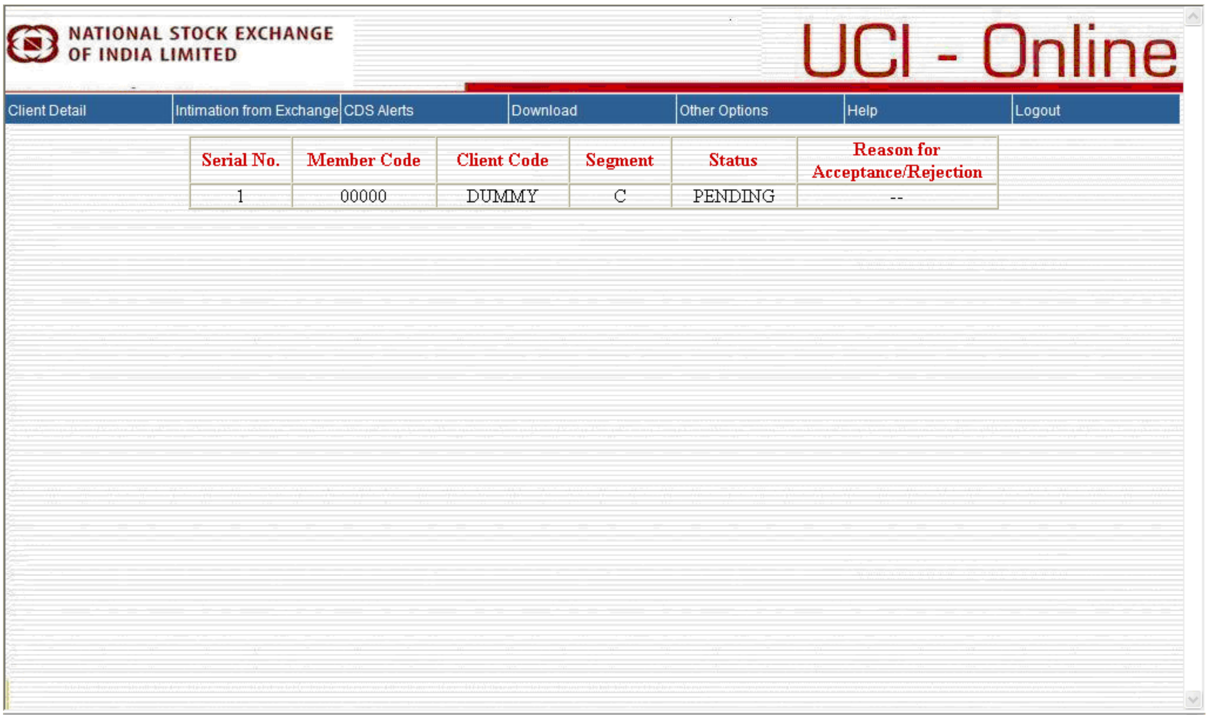
User shall click on ‘Reset’ to clear all the details entered for a client code before submitting the record.

5.1.2 View Status

The User can view status of their unfreezing request,

Go to Other Options -> Unfreezing Request -> View Status

The screen layout is given in Fig. C.5.1.2 below.



Serial No.	Member Code	Client Code	Segment	Status	Reason for Acceptance/Rejection
1	00000	DUMMY	C	PENDING	--

Fig C.5.1.2

In case the unfreezing request is approved by the Exchange, the change in the Name/PAN/Category will be incorporated without the member having to re-upload the client code details to the Exchange. For example, the member had uploaded the client code details with name as ABC Ltd and subsequently the name has changed to XYZ Ltd. In this case when the member gives an unfreezing request for change of name from ABC Ltd to XYZ Ltd, which the Exchange approves, the name change to XYZ Ltd will be incorporated in the database without the member having to re-upload the client code details. The acceptance/rejection of the Name/PAN/category change will be communicated to the member.

5.2 Wrong Code Request

This is an Online Requests Submission facility for members in case they punch a wrong code while trading. The request can be submitted for any past trade-date.

5.2.1 New Request

Member can place a new wrong code request through this screen.Screen layout is as shown below in Fig. C.5.2.1

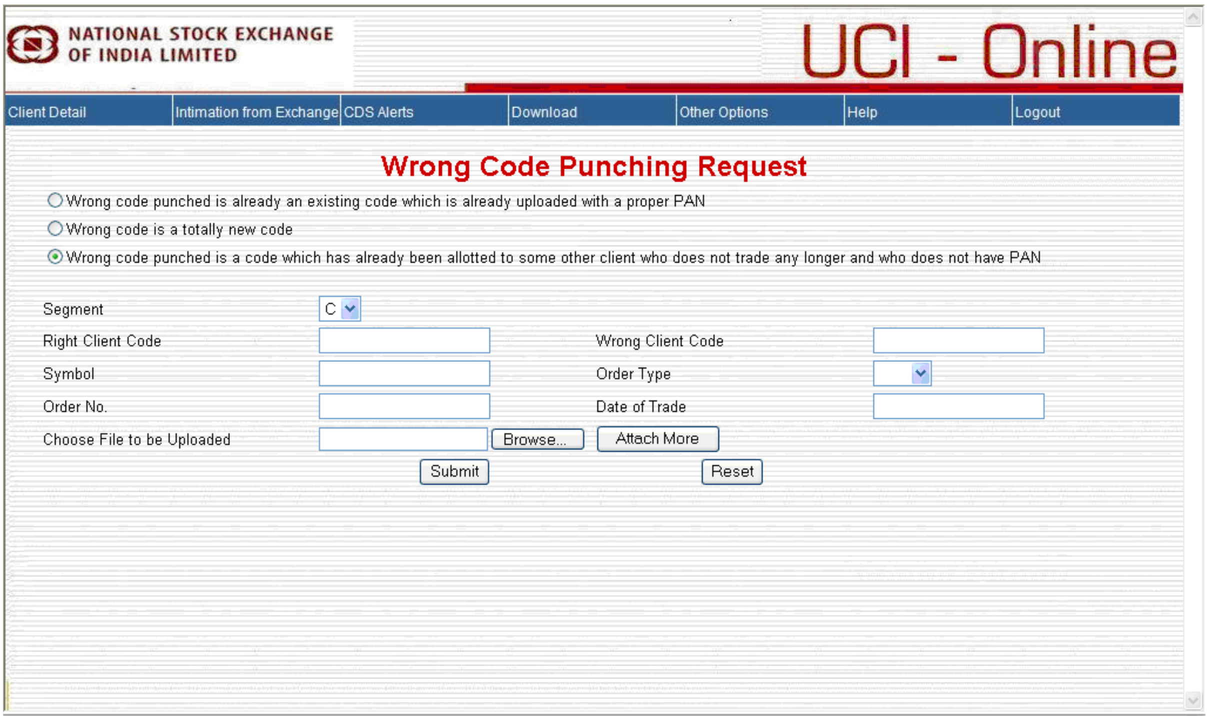


Fig. C.5.3.1

The following three cases can submitted for Wrong code punching by TM

1) Wrong code punched is already an existing code which is already uploaded with a proper PAN.
2) Wrong code is a totally new code.
3) Wrong code punched is a code which has already been allotted to some other client who does not trade any longer and who does not have PAN.

5.2.2 View Status

Member can view the status of wrong code request submitted through this screen.
Screen Layout is as shown in Fig. C.5.3.2

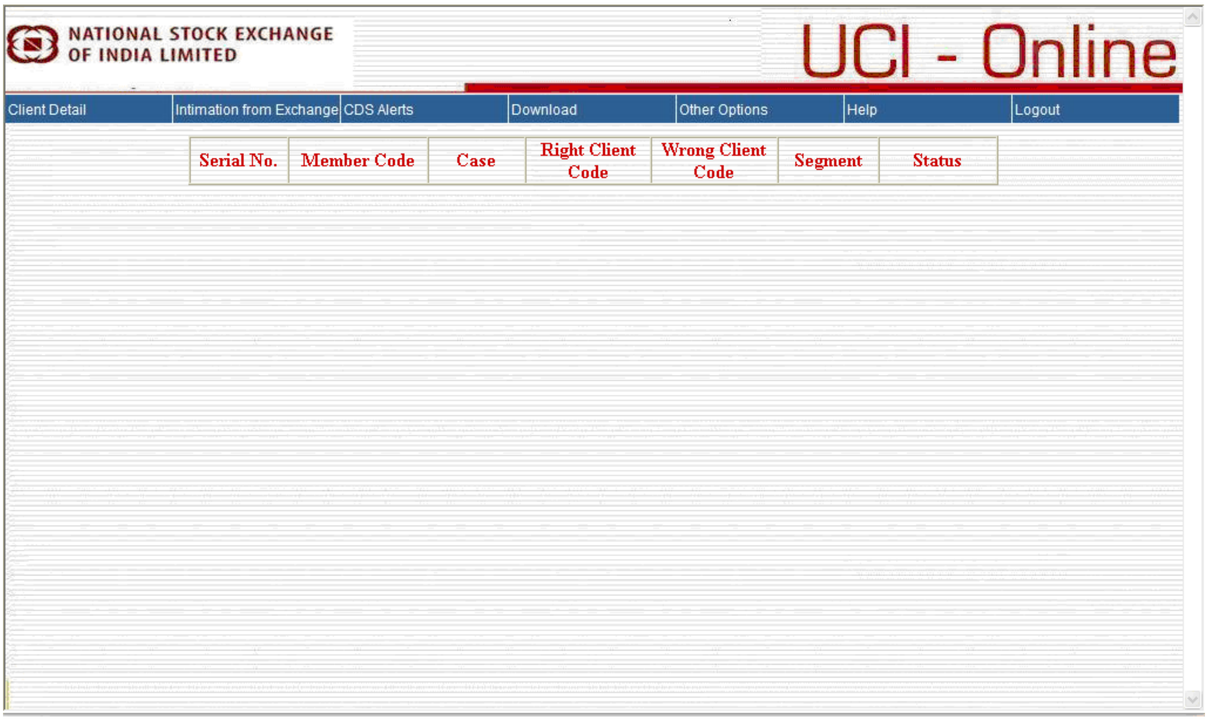


Fig. C.5.3.2

5.3 Wrong Unique Id for SLB:

In case if a participant has entered wrong unique ID while trading the same can be intimated to Exchange by this facility.

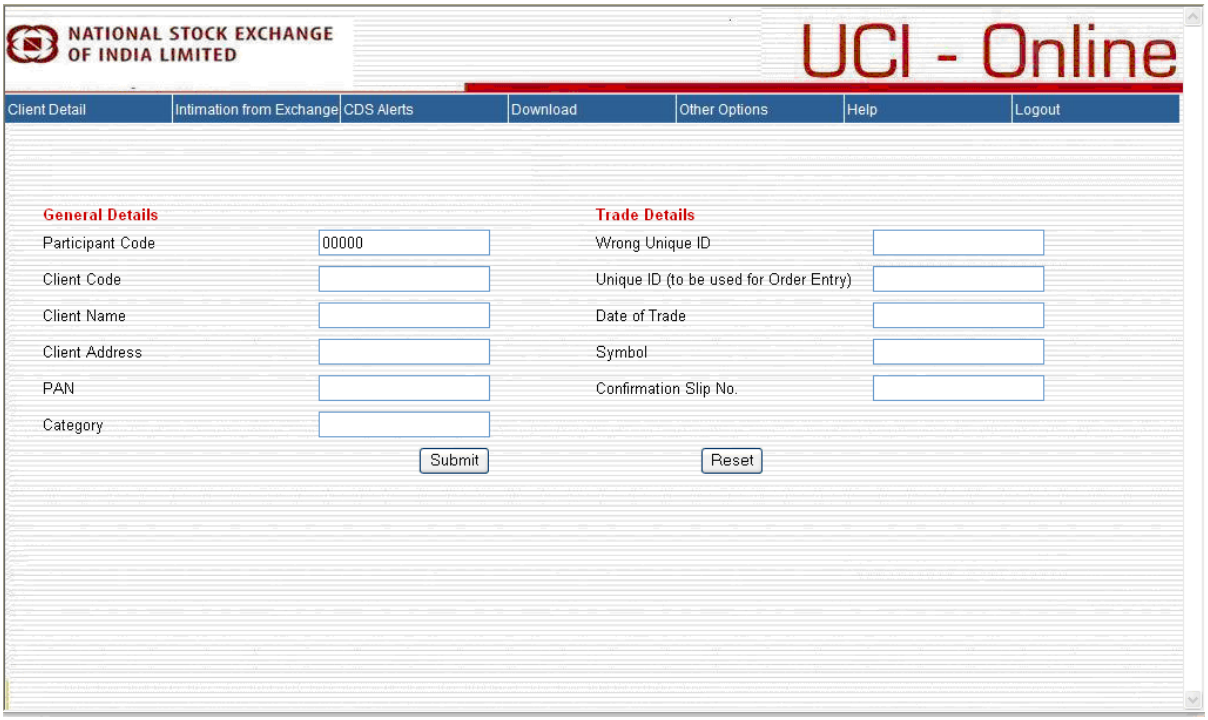


Fig C.5.3.1.

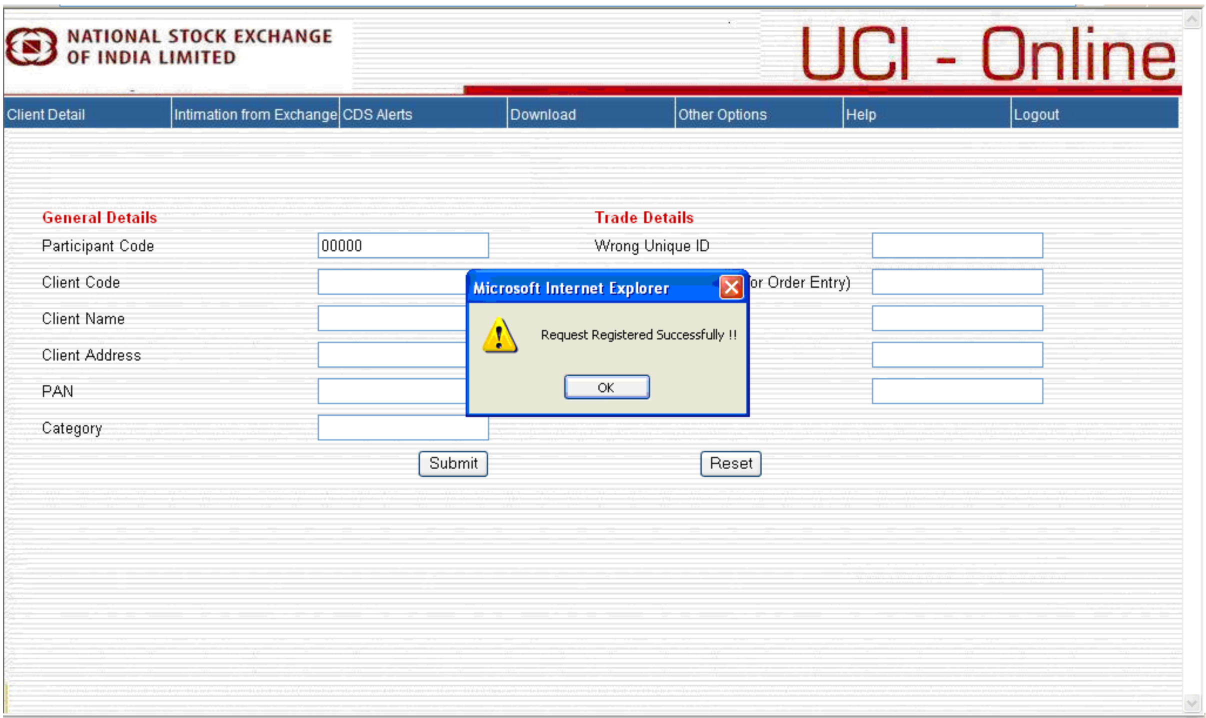


Fig C.5.3.2.

5.4 Manage Users:

User shall click on 'Manage Users' for keeping an account of the users under him through the functionalities provided to them

The screen layout is given in Fig. C.5.4.1 below.

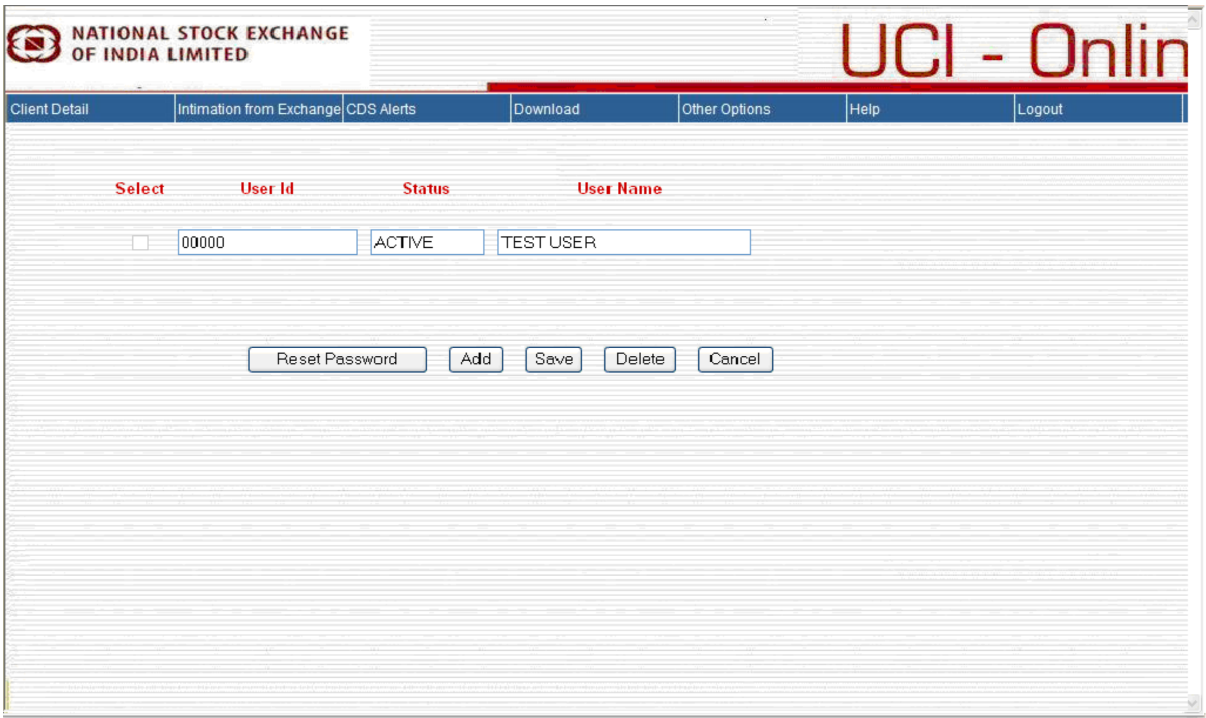


Fig. C.5.4.1

a) **Reset Password**
The member will be able to reset password of any of his users.

b) **Add**
The member will be able to add maximum 3 user entries under him

c) **Save**
The member will be able to add and save users under him.

d) **Delete**
The member will be able to delete users under him

The default password is "password" for first time login.

The member will have to check the entries to use the above options else appropriate message will be displayed to him for the same.

5.5 Change Password:

The user has an option to change the password to access the application.

The screen layout is given in Fig. C.5.5.1 below.

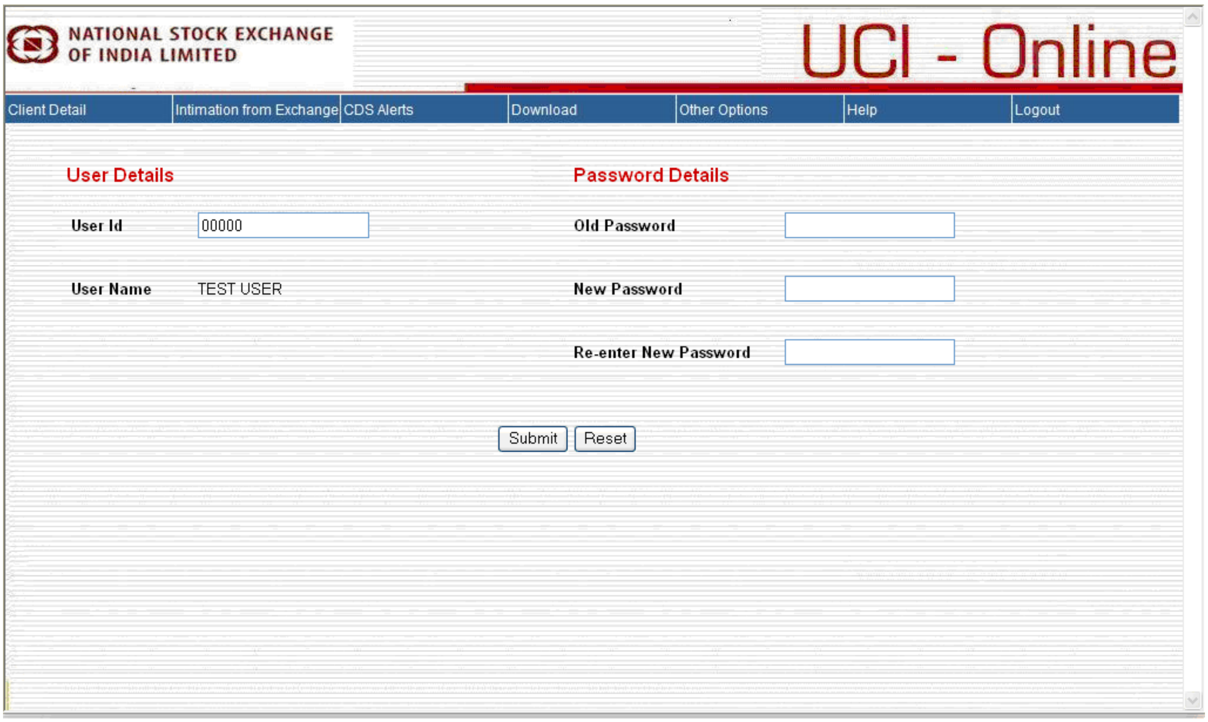


Fig. C.5.5.1

5.6 PAN Exempt:

This is an Online document submission facility for members to submit document proof in case of clients appearing in the PAN_EXEMPT category. For more details of PAN_EXEMPT category please refer NSE/INVG/2008/10921 dated July 01, 2008 & NSE/INVG/2006/8288 dated December 27, 2006. Member is required to upload PAN as PAN_EXEMPT through insert details or upload details successfully and then attach the proof type through this facility.

5.6.1 New Submission:

Member can submit the proof type for PAN_EXEMPT client through this screen. This facility shall allow the member to upload the proof type only for the type for which the client details have been provided for.

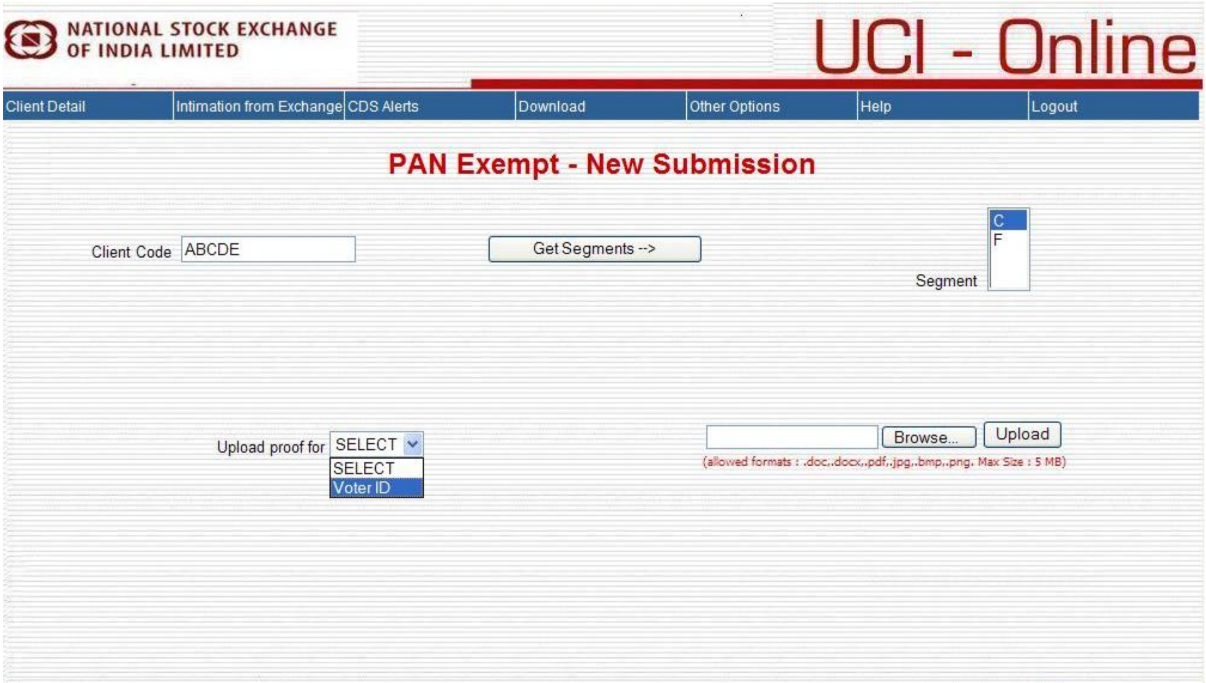


Fig. C.5.6.1.

5.6.2 View Status

Member can view the status of proof type for PAN_EXEMPT through this screen.

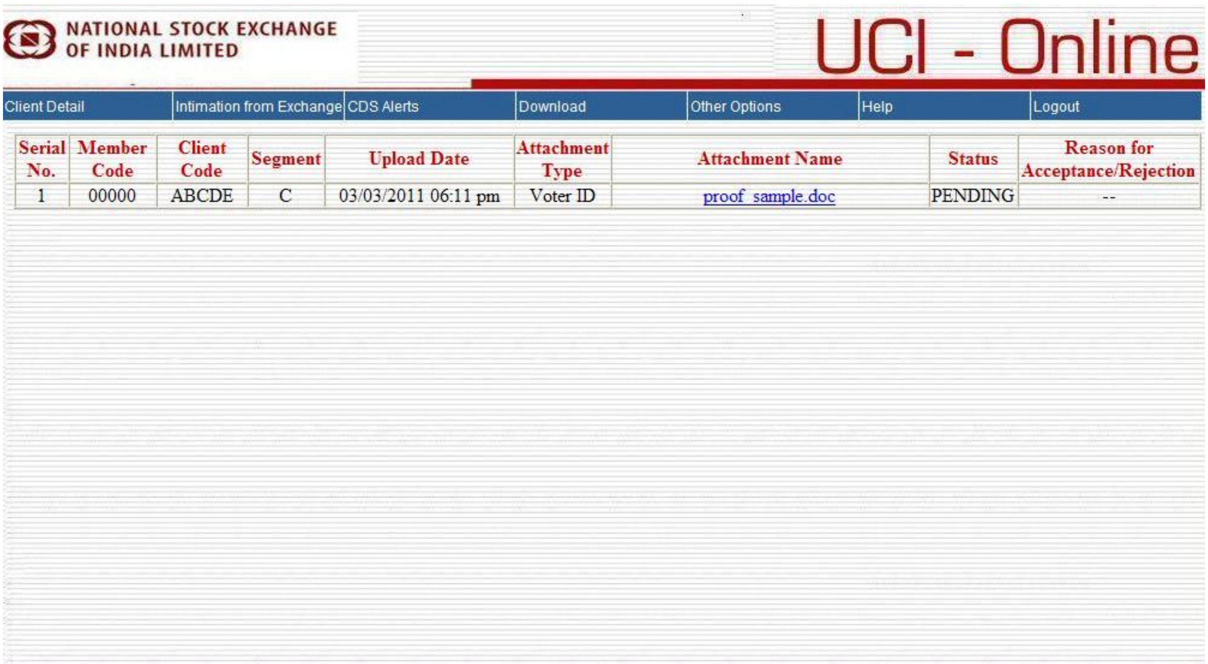


Fig. C.5.6.2.

Annexure D

File structure for Capital Market (C) and F&O (F) segment

File Name : UCI_YYYYMMDD.Tnn
File Format : Pipe Delimited file

UCI : File type
YYYYMMDD : Business Date
T : File Indicator (for data file being submitted by the member)
nn : Batch number (is a running sequence number) – valid values 01 to 99.

Control Record Format:

Field	Length	Mandatory / Optional	Description
Record Type	CHAR (2)	Mandatory	Value = 10
Member Type	CHAR (1)	Mandatory	Value = 'M'
Member Code	CHAR (5)	Mandatory	Trading Member Code.
Date	CHAR (8)	Mandatory	Format: DDMMYYYY. Shall be same as in the file name.
Batch Number	Number (2)	Mandatory	Value to start with 01. Shall be same as in the file name.
Total No. of Records	Number (5)	Mandatory	Total number of Detail Records

Detail Record Format for UCI:

Field	Length	Minimum Length	Mandatory / Optional	Description
Segment	Char (1)	Char (1)	Mandatory	Valid values are: C - Capital Market Segment F - Futures and Options Segment
Client Code	Char (10)	Char (1)	Mandatory	Client Code must be unique as entered by member at the time of placing the order.
Client Name	Char (150)	Char (2)	Mandatory	Name of the Client must be in full-surname, first name, middle name. Client Name should not contain all numbers or special characters.

Category	Char (2)	Char(1)	Mandatory	Valid values are: - Individual/Proprietorship firms - 1 Partnership Firm - 2 HUF - 3 Public & Private Companies / Bodies Corporate - 4 Trust / Society - 5 Mutual Fund – 6 Domestic Financial Institutions (Other than Banks & Insurance) - 7 Bank - 8 Insurance - 9 Statutory Bodies - 10 NRI- 11 FII - 12 OCB –13 Foreign Direct Investments (FDI) / Foreign Venture Capital Funds (VC) – 14 PMS clients – 15 New Pension System (NPS) - 16
Pan	Char (10)	Char(10)	Mandatory	Pan is mandatory for all clients. Pan shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.
Client Email Id	Char(60)	Char(5)	Optional	Email Id of the Client. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Client Address 1	Char(255)	Char(5)	Mandatory	Client Address 1 should be provided for the particular client. It should not contain all numbers or special characters.
Client Address 2	Char(255)	Char(3)	Optional	Client Address 2 may be provided for the particular client. It should not contain all numbers or special characters.
Client Address 3	Char(255)	Char(3)	Optional	Client Address 3 may be provided for the particular client. Client Address 3 should not contain all numbers or special characters.
City	Char(50)	Char(3)	Mandatory	Client Address – City should be provided for the particular client. It should not contain all numbers or special characters.
State	Char(50)	Char(3)	Mandatory	Client Address – State should be provided for the particular client. It should not contain all numbers or special characters.

Country	Char(50)	Char(3)	Mandatory	Client Address – Country should be provided for the particular client. It should not contain all numbers or special characters.
Pin code	Char(10) / Number(6)	-	Optional / Mandatory	Pin code should not contain all zeros. It should not contain special characters Pin code is mandatory for categories (1,2,3,4,5,6,7,8,9,10,15,16). In these cases pin code shall be of 6 numbers. Also it should not contain alphabets. In case of client categories (11, 12, 13, 14), Pin code can contain only alpha-numeric and can be maximum of 10 characters. It should not contain all alphabets.
ISD code	Number(14)	Number (2)	Optional	ISD code of the client telephone number is to be given. It should contain only numbers.
STD code	Number(10)	Number (2)	Optional	STD code of the client telephone number is given. It should contain only numbers. It should not contain an alphabet or all zeros.
Telephone Number	CHAR (60)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If mobile number is not given, then Telephone number is mandatory. It should not contain all alphabets or zeros. Telephone No. can contain special characters (, - ( ) / space)
Mobile number	Char(10)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If Telephone number is not given, then Mobile number is mandatory. It should not contain all alphabets, zeros or special characters.
Date of Birth / Incorporation	DATE	-	Optional	In case of category 1 & 11, member may specify the date of birth. And in case of other categories member may specify Date of Incorporation. Date format shall be DD-MON-YYYY.
Client Agreement Date	DATE	-	Optional	Member may specify the date of execution of the member constituent agreement with the client. Date format shall be DD-MON-YYYY.

Registration No. of Client	CHAR (25)	Char(5)	Optional / Mandatory	Registration Details is optional for all the categories other than Individual & NRI. (For categories Individual & NRI Registration Details cannot be provided). Registration No. is mandatory if any of Registering Authority or Place of Registration or Date of Registration is mentioned. It should not contain all alphabets, zeros or special characters.
Registering Authority	CHAR (60)	Char(3)	Optional / Mandatory	Registering Authority is mandatory if any of Registration No. or Place of Registration or Date of Registration is mentioned. It should not contain all numbers or special characters.
Place of Registration	CHAR (25)	Char(3)	Optional / Mandatory	Place of Registration is mandatory if any of Registration No. or Registering Authority or Date of Registration is mentioned It should not contain all numbers or special characters.
Date of Registration	DATE	-	Optional / Mandatory	Date of Registration is mandatory if any of Registration No. or Registering Authority or Place of Registration is mentioned. Date format shall be DD-MON-YYYY.
Bank Name	CHAR (60)	Char(3)	Optional / Mandatory	Bank Name is mandatory if Bank Branch Address or Bank Account Type or Bank Account No. is mentioned. It should not contain all numbers or special characters. For this purpose, the main Bank through which the client carries out operations with the trading member shall be given.
Bank Branch Address	CHAR (255)	3 words	Optional / Mandatory	Bank Branch Address is mandatory if Bank Name or Bank Account Type or Bank Account No. is mentioned. Space, hyphen, and comma cannot be the first character It should not contain all numbers or special characters. The Bank Branch address in which the client account is operated shall be given.

Bank Account Type	CHAR (2)	Char(2)	Optional / Mandatory	Bank Account Type is mandatory if Bank Name or Bank Branch Address or Bank Account No. is mentioned. Valid Values are: - Savings -10 Current -11 Others – 99
Bank Account No.	CHAR (25)	-	Optional / Mandatory	Bank Account No. is mandatory if Bank Name or Bank Branch Address or Bank Account Type is mentioned It should not contain all alphabets, zeros or special characters.
Depository ID	CHAR (25)	Char(8)	Optional / Mandatory	Depository ID is mandatory if Depository Name or Beneficial Owner Account No. is mentioned. It should not contain all alphabets, zeros or special characters.
Depository Name	CHAR (4)	-	Optional / Mandatory	Depository Name is mandatory Depository ID or Beneficial Owner Account No. is mentioned. The member shall specify the name of the depository in which the client has a beneficial owner account. Valid values are: - NSDL CDSL
Beneficial Owner Account No.	CHAR (16)	-	Optional / Mandatory	Beneficial Owner Account No. Depository ID or Depository Name is mentioned. It should not contain all alphabets, zeros or special characters.
Proof Type	Char(1)	Char(1)	Optional / Mandatory	Proof type is allowed only when PAN of the client is mentioned as 'PAN_EXEMPT'. It is mandatory for 'PAN_EXEMPT' cases. Valid Values for Proof type are: Mapin Id – 1 Passport – 2 Voter Id – 3 Driving License – 4 Ration Card –5 Registration Details – 6 In case of Ration card details Bank and Depository details are mandatory.

Proof Number	Char(25)	-	Optional / Mandatory	Proof number is allowed and mandatory if PAN of the client is 'PAN_EXEMPT' and Proof type, Issue place of proof, Issue date of proof is provided. It should not contain all alphabets, zeros or special characters. **If Proof type – 1** Proof number should be 9 characters and alpha-numeric. **If Proof type other than 1** Proof number should be minimum 5 characters long.
Issue Place of Proof	Char(100)	Char(3)	Optional / Mandatory	Issue Place of Proof is allowed and mandatory if PAN of the client is 'PAN_EXEMPT' and 'Proof type 2, 3, 4, 5, 6' or proof no, Issue Date of proof is provided. Issue Place of Proof is not allowed for Proof type 1. It should not contain all numbers or special characters.
Issue Date of Proof	DATE	-	Optional / Mandatory	Issue Date of Proof is allowed and mandatory if 'Proof type 2, 3, 4, 5, 6' or proof no, Issue place of proof is provided or PAN of the cleint is 'PAN_EXEMPT'. Issue Date of Proof is not allowed for Proof type 1.
Name of contact Person 1	Char(100)	Char(2)	Optional / Mandatory	Name of the First Contact Person is mandatory if Category type is 2,3,4,5 or designation, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.

Designation of contact Person 1	Char(60)	Char(2)	Optional / Mandatory	Designation of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the client. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 1	Char(10)	Char(10)	Optional	PAN of the First Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.
Address of contact Person 1	Char(255)	3 words	Optional / Mandatory	Address of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, designation, PAN, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 1	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 1 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 1	Char(60)	Char(5)	Optional	Email Id of the First Contact Person is optional. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.

Name of contact Person 2	Char(100)	Char(2)	Optional / Mandatory	Name of the second Contact Person is optional. Name of the second Contact person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 2	Char(60)	Char(2)	Optional / Mandatory	Designation of the second Contact Person of the second Contact Person is optional Designation of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 2	Char(10)	Char(10)	Optional	PAN of the second Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.
Address of contact Person 2	Char(255)	3 words	Optional / Mandatory	Address of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.

Contact of contact Person 2	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 2 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 2	Char(60)	Char(5)	Optional	Email Id of the second Contact Person is optional. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Name of contact Person 3	Char(100)	Char(2)	Optional / Mandatory	Name of the third Contact Person is optional. Name of the third Contact Person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 3	Char(60)	Char(2)	Optional / Mandatory	Designation of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 3	Char(10)	Char(10)	Optional	PAN of the third Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.

Address of contact Person 3	Char(255)	3 words	Optional / Mandatory	Address of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 3	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 3 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 3	Char(60)	Char(5)	Optional	Email Id of the third Contact Person is optional. Email Id of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, address, telephone no of the third contact person is provided. It should contain ‘@’ & ‘.’ but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Inperson Verification	Char(1)	Char(1)	Mandatory	Inperson verification is mandatory for the client. It can be ‘Y’ or ‘N’ but cannot be left blank.
Flag	Char(1)	Char(1)	Mandatory	Valid value E to denote end of record

Detail Record Format for CDS:

File Name : UCI_YYYYMMDD.Tnn
File Format : Pipe Delimited file

UCI : File type
YYYYMMDD : Business Date
T : File Indicator (for data file being submitted by the member)
nn : Batch number (is a running sequence number) – valid values 01 to 99.

Control Record Format:

Field	Length	Mandatory / Optional	Description

Record Type	CHAR(2)	Mandatory	Value = 10
Member Type	CHAR(1)	Mandatory	Value = 'M'
Member Code	CHAR(5)	Mandatory	Trading Member Code.
Date	CHAR(8)	Mandatory	Format: DDMMYYYY. Shall be same as in the file name.
Batch Number	Number(2)	Mandatory	Value to start with 01. Shall be same as in the file name.
Total No. of Records	Number(5)	Mandatory	Total number of Detail Records

Field	**Length**	**Minimum Length**	**Mandatory / Optional**	**Description**
Segment	Char (1)	Char (1)	Mandatory	Valid values are: X- Currency Derivative
Client Code	Char (10)	Char (1)	Mandatory	Client Code must be unique as entered by member at the time of placing the order.
Client Name	Char (150)	Char (2)	Mandatory	Name of the Client must be in full- surname, first name, middle name. Client Name should not contain all numbers or special characters.
Category	Char (2)	Char(1)	Mandatory	Valid values are: - Individual/Proprietorship firm - 1 Partnership Firm - 2 HUF - 3 Public & Private Companies / Bodies Corporate - 4 Trust / Society - 5 Mutual Fund – 6 Domestic Financial Institutions (Other than Banks & Insurance) - 7 Bank - 8 Insurance - 9 Statutory Bodies – 10 FII – 12 New Pension System (NPS) - 16
Pan	Char (10)	Char(10)	Mandatory	Pan is mandatory for all clients. Pan shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.
Client Email Id	Char(60)	Char(5)	Optional	Email Id of the Client. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Client Address 1	Char(255)	Char(5)	Mandatory	Client Address 1 should be provided for the particular client. It should not contain all numbers or special characters.

Client Address 2	Char(255)	Char(3)	Optional	Client Address 2 may be provided for the particular client. It should not contain all numbers or special characters.
Client Address 3	Char(255)	Char(3)	Optional	Client Address 3 may be provided for the particular client. Client Address 3 should not contain all numbers or special characters.
City	Char(50)	Char(3)	Mandatory	Client Address – City should be provided for the particular client. It should not contain all numbers or special characters.
State	Char(50)	Char(3)	Mandatory	Client Address – State should be provided for the particular client. It should not contain all numbers or special characters.
Country	Char(50)	Char(3)	Mandatory	Client Address – Country should be provided for the particular client. It should not contain all numbers or special characters.
Pin code	Char(10) / Number(6)	-	Optional / Mandatory	Pin code should not contain all zeros. It should not contain special characters Pin code is mandatory for categories (1,2,3,4,5,6,7,8,9,10,16). In these cases pin code shall be of 6 numbers. Also it should not contain alphabets. In case of client category 12, Pin code can contain only alpha-numeric and can be maximum of 10 characters. It should not contain all alphabets.
ISD code	Number(14)	Number (2)	Optional	ISD code of the client telephone number is given. It should contain only numbers.
STD code	Number(10)	Number (2)	Optional	STD code of the client telephone number is given. It should contain only numbers. It should not contain an alphabet or all zeros.
Telephone Number	CHAR (60)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If mobile number is not given, then Telephone number is mandatory. It should not contain all alphabets or zeros. Telephone No. can contain special characters (, - ( ) / space)

Mobile number	Char(10)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If Telephone number is not given, then Mobile number is mandatory. It should not contain all alphabets, zeros or special characters.
Date of Birth / Incorporation	DATE	-	Optional	In case of category 1 & 11, member may specify the date of birth. And in case of other categories member may specify Date of Incorporation. Date format shall be DD-MON-YYYY.
Client Agreement Date	DATE	-	Optional	Member may specify the date of execution of the member constituent agreement with the client. Date format shall be DD-MON-YYYY.
Registration No. of Client	CHAR (25)	Char(5)	Optional / Mandatory	Registration Details is optional for all the categories other than Individual & NRI. (For categories Individual & NRI Registration Details cannot be provided). Registration No. is mandatory if any of Registering Authority or Place of Registration or Date of Registration is mentioned. It should not contain all alphabets, zeros or special characters.
Registering Authority	CHAR (60)	Char(3)	Optional / Mandatory	Registering Authority is mandatory if any of Registration No. or Place of Registration or Date of Registration is mentioned. It should not contain all numbers or special characters.
Place of Registration	CHAR (25)	Char(3)	Optional / Mandatory	Place of Registration is mandatory if any of Registration No. or Registering Authority or Date of Registration is mentioned It should not contain all numbers or special characters.
Date of Registration	DATE	-	Optional / Mandatory	Date of Registration is mandatory if any of Registration No. or Registering Authority or Place of Registration is mentioned. Date format shall be DD-MON-YYYY.

Bank Name	CHAR (60)	Char(3)	Optional / Mandatory	Bank Name is mandatory if Bank Branch Address or Bank Account Type or Bank Account No. is mentioned. It should not contain all numbers or special characters. For this purpose, the main Bank through which the client carries out operations with the trading member shall be given.
Bank Branch Address	CHAR (255)	3 words	Optional / Mandatory	Bank Branch Address is mandatory if Bank Name or Bank Account Type or Bank Account No. is mentioned. Space, hyphen, and comma cannot be the first character It should not contain all numbers or special characters. The Bank Branch address in which the client account is operated shall be given.
Bank Account Type	CHAR (2)	Char(2)	Optional / Mandatory	Bank Account Type is mandatory if Bank Name or Bank Branch Address or Bank Account No. is mentioned. Valid Values are: - Savings -10 Current -11 Others – 99
Bank Account No.	CHAR (25)	-	Optional / Mandatory	Bank Account No. is mandatory if Bank Name or Bank Branch Address or Bank Account Type is mentioned It should not contain all alphabets, zeros or special characters.
Proof Type	Char(1)	Char(1)	Optional / Mandatory	Proof type is allowed only when PAN of the client is mentioned as 'PAN_EXEMPT'. It is mandatory for 'PAN_EXEMPT' cases. Valid Values for Proof type are: Mapin Id – 1 Passport – 2 Voter Id – 3 Driving License – 4 Ration Card –5 Registration Details – 6 In case of Ration card details Bank and Depository details are mandatory.

Proof Number	Char(25)	-	Optional / Mandatory	Proof number is allowed and mandatory if Proof type, Issue place of proof, Issue date of proof is provided or PAN of the client is 'PAN_EXEMPT'. It should not contain all alphabets, zeros or special characters. **If Proof type – 1** Proof number should be 9 characters and alpha-numeric. **If Proof type other than 1** Proof number should be minimum 5 characters long.
Issue Place of Proof	Char(100)	Char(3)	Optional / Mandatory	Issue Place of Proof is allowed and mandatory if 'Proof type 2, 3, 4, 5, 6' or proof no, Issue Date of proof is provided or PAN of the client is 'PAN_EXEMPT'. Issue Place of Proof is not allowed for Proof type 1. It should not contain all numbers or special characters.
Issue Date of Proof	DATE	-	Optional / Mandatory	Issue Date of Proof is allowed and mandatory if 'Proof type 2, 3, 4, 5, 6' or proof no, Issue place of proof is provided or PAN of the client is 'PAN_EXEMPT'. Issue Date of Proof is not allowed for Proof type 1.
Name of contact Person 1	Char(100)	Char(2)	Optional / Mandatory	Name of the First Contact Person is mandatory if Category type is 2,3,4,5 or designation, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.

Designation of contact Person 1	Char(60)	Char(2)	Optional / Mandatory	Designation of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the client. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 1	Char(10)	Char(10)	Optional	PAN of the First Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.
Address of contact Person 1	Char(255)	3 words	Optional / Mandatory	Address of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, designation, PAN, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 1	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 1 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 1	Char(60)	Char(5)	Optional	Email Id of the First Contact Person is optional. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.

Name of contact Person 2	Char(100)	Char(2)	Optional / Mandatory	Name of the second Contact Person is optional. Name of the second Contact person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 2	Char(60)	Char(2)	Optional / Mandatory	Designation of the second Contact Person is optional Designation of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : Category Designation 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary. It should not contain all numbers or special characters.
PAN of contact Person 2	Char(10)	Char(10)	Optional	PAN of the second Contact Person is optional. PAN shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.
Address of contact Person 2	Char(255)	3 words	Optional / Mandatory	Address of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Telephone no. of contact Person 2	Char(60)	Char(5)	Optional	Telephone no of the second Contact Person is optional

Email Id of contact Person 2	Char(60)	Char(5)	Optional	Email Id of the second Contact Person is optional. It should contain ‘@’ & ‘.’ but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Name of contact Person 3	Char(100)	Char(2)	Optional / Mandatory	Name of the third Contact Person is optional. Name of the third Contact Person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 3	Char(60)	Char(2)	Optional / Mandatory	Designation of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : Category Designation 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary. It should not contain all numbers or special characters.
PAN of contact Person 3	Char(10)	Char(10)	Optional	PAN of the third Contact Person is optional. PAN shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.

Address of contact Person 3	Char(255)	Char(3)	Optional / Mandatory	Address of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 3	Char(60)	Char(5)	Optional	Telephone no of the third Contact Person is optional.
Email Id of contact Person 3	Char(60)	Char(5)	Optional	Email Id of the third Contact Person is optional. Email Id of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, address, telephone no of the third contact person is provided. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
In person Verification	Char(1)	Char(1)	Mandatory	In person verification is mandatory for the client. It can be 'Y' or 'N' but cannot be left blank.
Flag	Char(1)	Char(1)	Mandatory	Valid value E to denote end of record

Detail Record Format for SLB:

File Name : UCI_YYYYMMDD.Tnn
File Format : Pipe Delimited file

UCI : File type
YYYYMMDD : Business Date
T : File Indicator (for data file being submitted by the member)
nn : Batch number (is a running sequence number) – valid values 01 to 99.

Control Record Format:

Field	Length	Mandatory / Optional	Description
Record Type	CHAR(2)	Mandatory	Value = 10
Participant Type	CHAR(1)	Mandatory	Value = 'M'
Participant Code	CHAR(5)	Mandatory	Participant Code.
Date	CHAR(8)	Mandatory	Format: DDMMYYYY.

Batch Number	Number(2)	Mandatory	Value to start with 01. Shall be same as in the file name.
Total No. of Records	Number(5)	Mandatory	Total number of Detail Records

Field	Length	Minimum Length	Mandatory/ Optional	Description
Segment	Char (1)	Char (1)	Mandatory	Valid values are: S – Securities Lending and Borrowing
Client Code	Char (10)	Char (1)	Mandatory	Uniqueness of the client code should be maintained by the Participant The participant should note that this client code is for back office purpose and should **NOT** be used while entering orders in SLB system.
Client Name	Char (150)	Char (2)	Mandatory	Name of the Client must be in full- surname, first name, middle name. Client Name should not contain all numbers or special characters.
Category	Char (2)	Char(1)	Mandatory	Valid values are: - Individual/proprietorship firm - 1 Partnership Firm - 2 HUF - 3 Public & Private Companies / Bodies Corporate - 4 Trust / Society - 5 Mutual Fund – 6 Domestic Financial Institutions (Other than Banks & Insurance) - 7 Bank - 8 Insurance - 9 Statutory Bodies - 10 NRI- 11 FII - 12 OCB –13 Foreign Direct Investments (FDI) / Foreign Venture Capital Funds (VC) – 14 PMS clients – 15 New Pension System (NPS) - 16
Pan	Char (10)	Char(10)	Mandatory	Pan is mandatory for all clients. Pan shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.

Client Email Id	Char(60)	Char(5)	Optional	Email Id of the Client. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Client Address 1	Char(255)	Char(5)	Mandatory	Client Address 1 should be provided for the particular client. It should not contain all numbers or special characters.
Client Address 2	Char(255)	Char(3)	Optional	Client Address 2 may be provided for the particular client. It should not contain all numbers or special characters.
Client Address 3	Char(255)	Char(3)	Optional	Client Address 3 may be provided for the particular client. Client Address 3 should not contain all numbers or special characters.
City	Char(50)	Char(3)	Mandatory	Client Address – City should be provided for the particular client. It should not contain all numbers or special characters.
State	Char(50)	Char(3)	Mandatory	Client Address – State should be provided for the particular client. It should not contain all numbers or special characters.
Country	Char(50)	Char(3)	Mandatory	Client Address – Country should be provided for the particular client. It should not contain all numbers or special characters.
Pin code	Char(10) / Number(6)	-	Optional / Mandatory	Pin code should not contain all zeros. It should not contain special characters Pin code is mandatory for categories (1,2,3,4,5,6,7,8,9,10,15,16). In these cases pin code shall be of 6 numbers. Also it should not contain alphabets. In case of client categories (11, 12, 13, 14), Pin code can contain only alpha-numeric and can be maximum of 10 characters. It should not contain all alphabets.
ISD code	Number(14)	Number(2)	Optional	ISD code of the client telephone number is given. It should contain only numbers.

STD code	Number(10)	Number(2)	Optional	STD code of the client telephone number is given. It should contain only numbers. It should not contain an alphabet or all zeros.
Telephone Number	CHAR (60)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If mobile number is not given, then Telephone number is mandatory. It should not contain all alphabets or zeros. Telephone No. can contain special characters (, - ( ) / space)
Mobile number	Char(10)	Char(5)	Optional / Mandatory	Out of the Telephone number or mobile number, one of the two is to be mentioned. If Telephone number is not given, then Mobile number is mandatory. It should not contain all alphabets, zeros or special characters.
Date of Birth / Incorporation	DATE	-	Optional	In case of category 1 & 11, member may specify the date of birth. And in case of other categories member may specify Date of Incorporation. Date format shall be DD-MON-YYYY.
Client Agreement Date	DATE	-	Mandatory	Member may specify the date of execution of the member constituent agreement with the client. Date format shall be DD-MON-YYYY.
Registration No. of Client	CHAR (25)	Char(5)	Optional / Mandatory	Registration Details is optional for all the categories other than Individual & NRI. (For categories Individual & NRI Registration Details cannot be provided). Registration No. is mandatory if any of Registering Authority or Place of Registration or Date of Registration is mentioned. It should not contain all alphabets, zeros or special characters.
Registering Authority	CHAR (60)	Char(3)	Optional / Mandatory	Registering Authority is mandatory if any of Registration No. or Place of Registration or Date of Registration is mentioned. It should not contain all numbers or special characters.

Place of Registration	CHAR (25)	Char(3)	Optional / Mandatory	Place of Registration is mandatory if any of Registration No. or Registering Authority or Date of Registration is mentioned It should not contain all numbers or special characters.
Date of Registration	DATE	-	Optional / Mandatory	Date of Registration is mandatory if any of Registration No. or Registering Authority or Place of Registration is mentioned. Date format shall be DD-MON-YYYY.
Bank Name	CHAR (60)	Char(3)	Optional / Mandatory	Bank Name is mandatory if Bank Branch Address or Bank Account Type or Bank Account No. is mentioned. It should not contain all numbers or special characters. For this purpose, the main Bank through which the client carries out operations with the trading member shall be given.
Bank Branch Address	CHAR (255)	3 words	Optional / Mandatory	Bank Branch Address is mandatory if Bank Name or Bank Account Type or Bank Account No. is mentioned. Space, hyphen, and comma cannot be the first character It should not contain all numbers or special characters. The Bank Branch address in which the client account is operated shall be given.
Bank Account Type	CHAR (2)	Char(2)	Optional / Mandatory	Bank Account Type is mandatory if Bank Name or Bank Branch Address or Bank Account No. is mentioned. Valid Values are: - Savings -10 Current -11 Others – 99
Bank Account No.	CHAR (25)	-	Optional / Mandatory	Bank Account No. is mandatory if Bank Name or Bank Branch Address or Bank Account Type is mentioned It should not contain all alphabets, zeros or special characters.
Depository ID	CHAR (25)	8	Optional / Mandatory	Depository ID is mandatory if Depository Name or Beneficial Owner Account No. is mentioned. It should not contain all alphabets, zeros or special characters.

Depository Name	CHAR (4)	-	Optional / Mandatory	Depository Name is mandatory Depository ID or Beneficial Owner Account No. is mentioned. The member shall specify the name of the depository in which the client has a beneficial owner account. Valid values are: - NSDL CDSL
Beneficial Owner Account No.	CHAR (16)	-	Optional / Mandatory	Beneficial Owner Account No. Depository ID or Depository Name is mentioned. It should not contain all alphabets, zeros or special characters.
Proof Type	Char(1)	Char(1)	Optional / Mandatory	Proof type is allowed only when PAN of the client is mentioned as 'PAN_EXEMPT'. It is mandatory for 'PAN_EXEMPT' cases. Valid Values for Proof type are: Mapin Id – 1 Passport – 2 Voter Id – 3 Driving License – 4 Ration Card –5 Registration Details – 6 In case of Ration card details Bank and Depository details are mandatory.
Proof Number	Char(25)	-	Optional / Mandatory	Proof number is allowed and mandatory if Proof type, Issue place of proof, Issue date of proof is provided or PAN of the client is 'PAN_EXEMPT'. It should not contain all alphabets, zeros or special characters. **If Proof type – 1** Proof number should be 9 characters and alpha-numeric. **If Proof type other than 1** Proof number should be minimum 5 characters long.
Issue Place of Proof	Char(100)	Char(3)	Optional / Mandatory	Issue Place of Proof is allowed and mandatory if 'Proof type 2, 3, 4, 5, 6' or proof no, Issue Date of proof is provided or PAN of the client is 'PAN_EXEMPT'. Issue Place of Proof is not allowed for Proof type 1. It should not contain all numbers or special characters.

Issue Date of Proof	DATE	-	Optional / Mandatory	Issue Date of Proof is allowed and mandatory if 'Proof type 2, 3, 4, 5, 6' or proof no, Issue place of proof is provided or PAN of the client is 'PAN_EXEMPT'. Issue Date of Proof is not allowed for Proof type 1.
Name of contact Person 1	Char(100)	Char(2)	Optional / Mandatory	Name of the First Contact Person is mandatory if Category type is 2,3,4,5 or designation, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 1	Char(60)	Char(2)	Optional / Mandatory	Designation of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, PAN, address, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the client. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 1	Char(10)	Char(10)	Optional	PAN of the First Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numeric and the last alphabet.
Address of contact Person 1	Char(255)	3 words	Optional / Mandatory	Address of the First Contact Person is mandatory if Category type is 2,3,4,5 or name, designation, PAN, telephone no, email id of the first, second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.

Contact of contact Person 1	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 1 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 1	Char(60)	Char(5)	Optional	Email Id of the First Contact Person is optional. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Name of contact Person 2	Char(100)	Char(2)	Optional / Mandatory	Name of the second Contact Person is optional. Name of the second Contact person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 2	Char(60)	Char(2)	Optional / Mandatory	Designation of the second Contact Person of the second Contact Person is optional Designation of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.
PAN of contact Person 2	Char(10)	Char(10)	Optional	PAN of the second Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.

Address of contact Person 2	Char(255)	3 words	Optional / Mandatory	Address of the second Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the second or third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 2	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 2 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 2	Char(60)	Char(5)	Optional	Email Id of the second Contact Person is optional. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Name of contact Person 3	Char(100)	Char(2)	Optional / Mandatory	Name of the third Contact Person is optional. Name of the third Contact Person is mandatory if Category type is 2,3,4,5 and designation, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. It should not contain all numbers or special characters.
Designation of contact Person 3	Char(60)	Char(2)	Optional / Mandatory	Designation of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, PAN, address, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given. Designation is predefined for the category type : **Category** **Designation** 2 PARTNER 3 KARTA 5 TRUSTEE Designation for category 4 is not predefined and is to be given by the trading member. For example Director, Managing Director, Chairman, Company Secretary, etc. It should not contain all numbers or special characters.

PAN of contact Person 3	Char(10)	Char(10)	Optional	PAN of the third Contact Person is optional. Pan No. shall be 10 characters and shall have first 5 alphabets, next 4 numerics and the last alphabet.
Address of contact Person 3	Char(255)	3 words	Optional / Mandatory	Address of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, telephone no, email id of the third contact person is provided. If Category type is 3, then Only first contact person details can be given It should not contain all numbers or special characters.
Contact of contact Person 3	Char(60)	Char(5)	Optional	Telephone no of the Contact Person 3 is optional. It should not contain all alphabets or zeros.
Email Id of contact Person 3	Char(60)	Char(5)	Optional	Email Id of the third Contact Person is optional. Email Id of the third Contact Person is mandatory if Category type is 2,3,4,5 and name, designation, PAN, address, telephone no of the third contact person is provided. It should contain '@' & '.' but should not begin with or placed adjacent to each other. It should not contain all numbers or special characters.
Inperson Verification	Char(1)	Char(1)	Mandatory	Inperson verification is mandatory for the client. It can be 'Y' or 'N' but cannot be left blank.
Unique **C**lient **C**ode (UCC) allotted by NSCCL/BSE	Char (10)	Char(10)	Optional / Mandatory	For all institutional clients (that is FIIs, Mutual Funds, Domestic Financial Institutions, Banks, Insurance Companies etc), Participants have to mandatorily upload **U**nique **C**lient **C**ode (**UCC**) allotted by NSCCL/BSE along with PAN. The first 6 characters of this field will be alphabets and next 4 would be numbers.
Flag	Char(1)	Char(1)	Mandatory	Valid value E to denote end of record

NOTES:

1) For all the Field details, pipe (‘|’) is not allowed and Space cannot be the first character in the details.
2) Client Name and Client Address 1, 2 or 3 should not be same.
3) Client Name, first contact person, second contact person or third contact person should not be same.
4) Client PAN, first contact person PAN, second contact person PAN or third contact person PAN should not be same.
5) At least one of the two, Telephone number or Mobile number is necessary to be provided.
6) If Bank Details are provided, then all the field details - Bank name, Bank Branch Address, Bank Account type and Bank Account number should be provided.
7) If Depository Details are provided, then all the field details – Depository Id, Depository Name and Beneficial account number should be provided
8) If Registration Details are provided, then the entire field details – Registration no, Registration Authority, Place of Registration and Date of Registration should be provided.
9) For Category 2, 4 and 5, At least one contact person details should be provided.
10) For Category 3, Only First Contact person details can be provided.
11) If proof type - 5 (Ration Card) is provided, then Bank and Beneficiary account details should be provided.
12) First contact person name and address should not be same.
13) Second contact person name and address should not be same.
14) Third contact person name and address should not be same.
15) Once the PAN uploaded is verified with the income tax, the Trading Members is not allowed to modify Pan or Client Name or category. If the TM wants to modify PAN or Client Name or Category they will have to give unfreezing request.
16) Cases where PAN is exempted, PAN_EXEMPT should be mentioned in the Pan field and other details shall be provided according to the category of the client. Mandatory fields for PAN_EXEMPT are as follows.

Category Code	Category Name	Mandatory Fields
1	Individual/Proprietorship firm	At least one of Mapin ID or Passport Details or Driving License Details or Voter ID Details or Ration Card Details (Ration Card Details shall be with Bank Details & Depository Details)
2	Partnership Firm	At least one of Mapin ID or Registration Details
3	HUF	Mapin ID
4	Public & Private Companies / Bodies Corporate	At least one of Mapin ID or Registration Details
5	Trust / Society	At least one of Mapin ID or Registration Details
6	Mutual Fund	At least one of Mapin ID or Registration Details
7	Domestic Financial Institutions (Other than Banks & Insurance)	At least one of Mapin ID or Registration Details
8	Bank	At least one of Mapin ID or Registration Details
9	Insurance	At least one of Mapin ID or Registration Details
10	Statutory Bodies	At least one of Mapin ID or Registration Details
11	NRI	At least one of Mapin ID or Passport Details
12	FII	At least one of Mapin ID or Registration Details
13	OCB	At least one of Mapin ID or Registration Details

14	FDI/FVC	At least one of Mapin ID or Registration Details
15	PMS	At least one of Mapin ID or Registration Details