

**National Stock Exchange Of India Limited****Department : Inspection**

Download Ref No: NSE/INSP/43486

Date : February 10, 2020

Circular Ref. No: 05/2020

To All Trading Members,

**Sub: Reporting of Client Level Cash & Cash Equivalent Balances and Bank Account Balances**

This has reference to the SEBI circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016 on Enhanced supervision of Stock Brokers wherein members were required to report client fund and securities balances on monthly basis.

With a view to enhance the level of monitoring and considering the prohibition on pledging of client securities for raising funds, the format & the mode of submission is being revised. Therefore, it has been decided in consultation with SEBI and other Stock Exchanges to introduce weekly submission of day wise Client Level Cash/Cash Equivalent Balances and day wise reporting of Bank balances w.e.f **April 2020**.

The formats of the aforesaid submissions are enclosed herewith as **Annexure A and B** for reference. Members are advised to make necessary developments at their end and ensure preparedness to comply with the requirement.

A mock facility will be provided by the Exchange in due course to test the system. The relevant details of the mock facility and other details will be communicated through separate circular(s) by the Exchange.

On successful implementation of aforementioned reporting of the Cash/Cash Equivalent Balances and on account of the existing weekly reporting of client wise ISIN balances (Holding statement), the current upload of monthly client wise fund & securities balances (under the provision of SEBI circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016) shall be discontinued. Exchange will issue appropriate communication in this regard.

All members are advised to take note of the above and comply.

**For and on behalf of****National Stock Exchange of India Limited****Srijith Menon****Chief Manager-Inspection****Annexure – A and B**

In case of any clarifications, Members may contact our below offices:

<b>Regional Office</b>	<b>CONTACT NO.</b>	<b>E MAIL ID</b>
Ahmedabad (ARO)	079-49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915/17	inspection_cro@nse.co.in
Delhi (DRO)	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai(WRO)	022-25045259/217/264 or 022-61928200 Extn: 28264/28259	compliance_wro@nse.co.in
Central Help Desk		compliance_assistance@nse.co.in

## Annexure A

### Format for reporting of Client Level Cash & Cash Equivalent Balances

Trading member PAN	Date	Unique Client Code	Client PAN	Client Name	Segment Indicator	Financial Ledger balance-A	Financial Ledger balance (clear)-B	Bank Guarantee (BG)	Fixed deposit receipt (FDR)	Government of India Securities (GSEC)	Gilt funds	Last settlement date

Note: Member(s) have to submit Client level fund balances in CSV:

Sr. No.	Field Name	Length (Max)	Description
1	Trading member PAN	Char (10)	Alpha-numeric trading member PAN
2	Date	DD-MM-YYYY	Date of holding the cash/cash equivalent collaterals
3	Unique Client Code	Char (20)	Alpha-numeric client code "TM Code" to be mentioned in case of proprietary balances
4	Client PAN	Char (10)	Alpha-numeric Client PAN
5	Client Name	Char (100)	Alpha-numeric Client Name
6	Segment Indicator	Char (04)	Values shall be either of the following: NON MTF MTF NON MTF means all other segments other than MTF (like CM, FO, CD, CO, SLB and DEBT)
7	Financial Ledger balance-A	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits Net across all segments & Exchanges. As per the financial ledger of the client.
8	Financial Ledger balance (clear)-B	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits Net across all segments & Exchanges. Financial ledger balance, after adjusting for open bills of the client, un-cleared cheques deposited or issued and the margin obligations.
9	Bank Guarantee (BG)	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
10	Fixed deposit receipt (FDR)	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
11	Government of India Securities	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
12	Gilt funds	Number (20)	Value in Rs. Decimals shall be allowed upto 3 digits
13	Last settlement date	DD-MM-YYYY	Last settlement date of the respective client. In case settlement is not applicable then member may write "NA"

## Annexure B

### Format for reporting of Bank Account Balances

Bank Account No.	IFSC	Bank Account Type	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY

Note: Member(s) have to submit Bank Account fund balances in CSV:

Sr. No.	Field Name	Length (Max)	Description
1	Bank Account No.		'Bank Account No.' shall be populated by the system as per the reporting done by member under Enhanced supervision. In case of any new account is opened by the member then member is required to report first in Enhanced supervision.
2	IFSC		'IFSC' shall be populated by system as per the reporting done by member under Enhanced supervision
3	Bank Account Type		'Bank Account Type' shall be populated by system as per the reporting done by member under Enhanced supervision
4	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  First date of the week i.e Monday date
5	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  Second date of the week i.e Tuesday date
6	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  Third date of the week i.e Wednesday date
7	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  Fourth date of the week i.e Thursday date
8	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  Fifth date of the week i.e Friday date
9	DD-MM-YYYY	Number (20)	Value in Rs. (as per Bank Statement) Decimals shall be allowed upto 3 digits  Sixth date of the week i.e Saturday date