

# National Stock Exchange of India Limited

## Circular

DEPARTMENT: INSPECTION	
<b>Download Ref No: NSE/INSP/55135</b>	<b>Date: January 05, 2023</b>
<b>Circular Ref. No: 02/2023</b>	

To All Trading Members,

### **Sub: Reporting requirement on Settlement of Running Account of Client's Funds lying with Trading Member (TM)**

This has reference to Exchange circular NSE/INSP/55024 dated December 28, 2022 on Reporting requirement on Settlement of Running Account of Clients' Funds lying with Trading Member (TM) wherein members have been advised to submit the summary of settlement of clients' funds and UCC wise settlement details to the Exchange within the prescribed timelines. Further, as per said circular, members were also informed that an online facility shall be provided by Exchange to all members for submitting aforesaid details regarding settlement of clients' funds.

In view of the above, members are requested to note that the system for submission of the details as mentioned below on quarterly basis for the quarter Jan - March 2023, and thereafter is made available through the member portal.

<b>Sr. No.</b>	<b>Reporting Requirement</b>	<b>Due Date</b>
1.	Submission of summary of settlement of clients' funds	Within 2 Trading Days post settlement date i.e., January 10, 2023
2.	Submission of UCC wise settlement details	Within 10 Trading Days post settlement date i.e., January 20, 2023

User manual for submission of aforesaid details is specified in **Annexure 1**

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

**For and on behalf of  
National Stock Exchange of India Limited**

**Ajinkya Nikam  
Senior Manager – Inspection**

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## National Stock Exchange of India Limited

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

<b>Regional Office</b>	<b>E MAIL ID</b>	<b>CONTACT NO.</b>
Ahmedabad (ARO)	inspectionahm@nse.co.in	079- 49008632
Chennai (CRO)	inspection_cro@nse.co.in	044- 66309915 / 17
Delhi (DRO)	delhi_inspection@nse.co.in	011- 23459127 / 38 / 46
Kolkata (KRO)	inspection_kolkata@nse.co.in	033- 40400411 / 405
Mumbai (WRO)	compliance_wro@nse.co.in	Board Line: 022-25045000 / 022-61928200 Direct Line: 022-25045138 / 022-25045144 Extn: 28144/28138
Central Help Desk	compliance_assistance@nse.co.in	

## National Stock Exchange of India Limited

### Annexure 1

1. Details of Summary of settlement of clients' funds shall be required to enter in the system as mentioned below in point 10 and accordingly, members are requested to note that there is no file to be uploaded for summary of settlement of clients' funds.
2. Member shall upload file for submitting UCC wise settlement details. Reporting format of the same is as under:

Sr. No.	Particulars	Length (Max)	Description
1	Date of Settlement	DD-MM-YYYY	DD-MM-YYYY
2	TM Code	Char (10)	Numeric trading member Code
3	TM PAN	Char (10)	Alpha-numeric trading member PAN
4	Client UCC	Char (20)	Alpha-numeric client code
5	Value of amount retained	Char (20)	Numeric ((in Rs.)
6	Value of amount paid	Char (20)	Numeric (in Rs.)
7	TM Bank account number	Char (20)	Bank account numbers which are reported as Client bank account under enhanced supervision are to be considered for making payments to clients and same must be reported here.
8	TM Bank IFSC	Char (20)	Append Double Quotes ("" ) at the start and end of Bank account number to avoid the auto rounding off e.g. "00123456789012"
9	Client Bank Account Number	Char (20)	Client bank account number Append Double Quotes ("" ) at the start and end of Bank account number to avoid the auto rounding off e.g. "00123456789012"
10	Client Bank IFSC	Char (20)	Client bank account IFSC code

#### Note :

- File 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. Naming convention of file will be PAN\_QS\_DDMMYYYY. Wherein,
  - "PAN" shall be the Member's PAN (Alpha Numeric 10 characters)
  - Date shall be quarter end date. Example:- DDMMYYYY for Q4 of FY 22-23 will be 31032023, DDMMYYYY for Q1 of FY 23-24 will be 30062023 and so on.
  - Batch/Seq No. starts from 01, in case of multiple files to be uploaded of same submission.

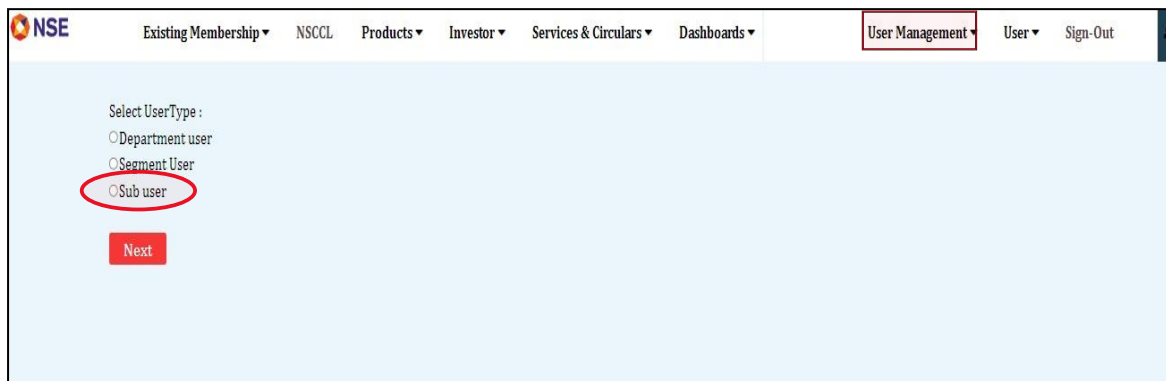
## National Stock Exchange of India Limited

• Upon successful submission of details, Members will not be able to upload another file with the same nomenclature.

3. Members are required to use below URL to login to Member Portal.

**URL - <https://inspection.nseindia.com/MemberPortal/>**

Admin User needs to create/modify sub user login id in Member Portal under user management tab.



# National Stock Exchange of India Limited

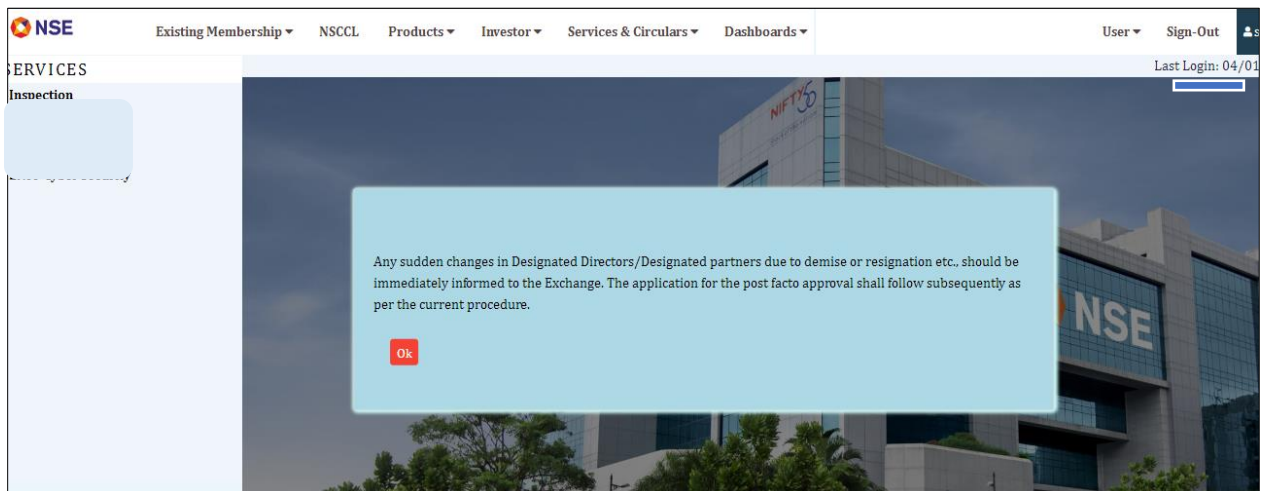
## 4. Enable Inspection tab in Member Portal

Admin user should assign Inspection service to sub user id. Please use below navigation to assign service.

Select services as per below screenshot.

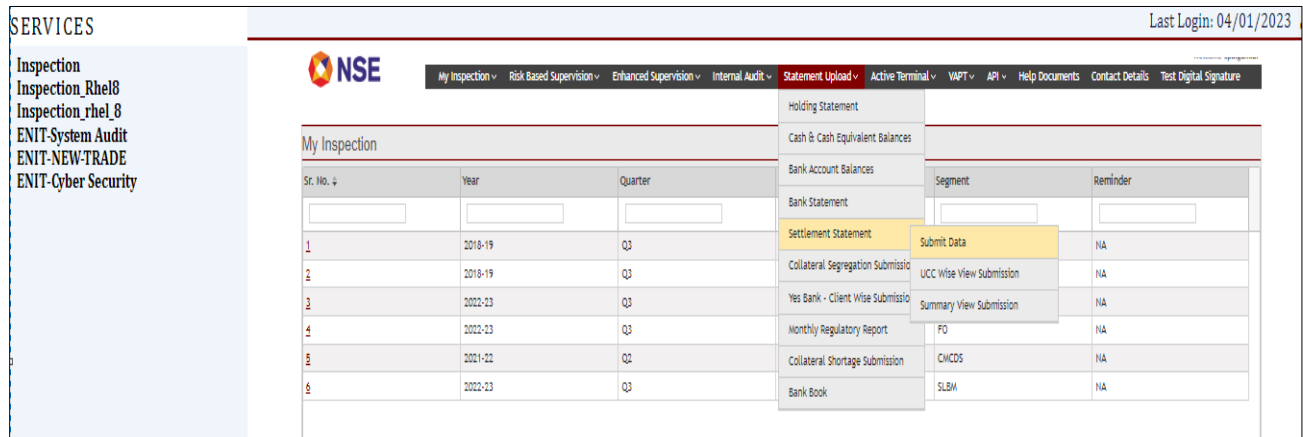
ENITHalfYearly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT_Portal_Old	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-circulars	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-common	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_dnld	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_upld	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INSPECTION-CLEARING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INSPECTION-INTERNAL AUDIT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspectn_Bnchmrkng_Api	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Oracle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Oracle_IA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Rhel8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_bank_recon	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_rhel_8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSE Investor Centre	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSE-ASSIST	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UCI-Online	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UCI-Online DEV	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 5. After log-in, please read the message displayed on the screen and click 'Ok'. Further, click on 'Inspection' tab under "Services".



# National Stock Exchange of India Limited

6. Click on Inspection ->Statement Upload->Settlement Statement ->Submit Data



SERVICES Last Login: 04/01/2023

Inspection  
 Inspection\_Rhel8  
 Inspection\_rhel\_8  
 ENIT-System Audit  
 ENIT-NEW-TRADE  
 ENIT-Cyber Security

**NSE** My Inspection Risk Based Supervision Enhanced Supervision Internal Audit **Statement Upload** Active Terminal VAPT API Help Documents Contact Details Test Digital Signature

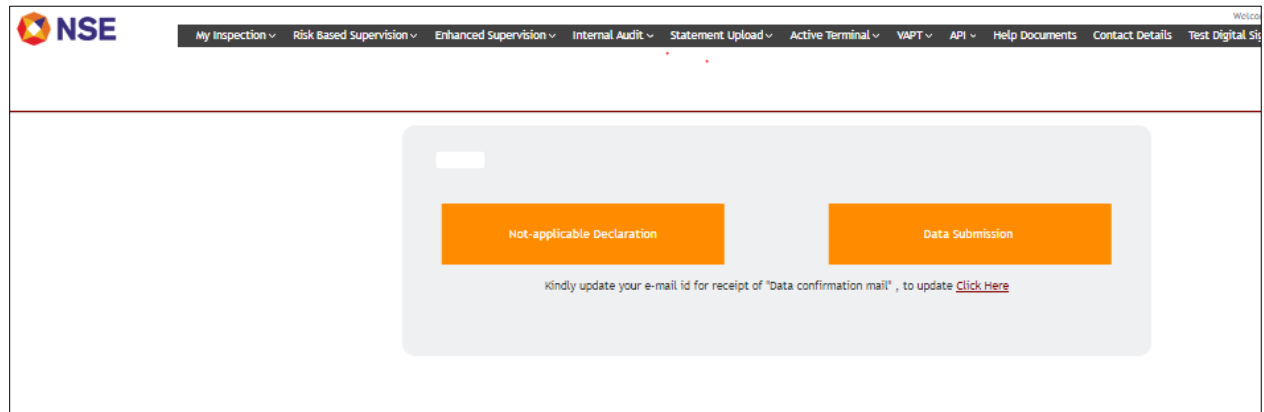
My Inspection

Sr. No. ↓	Year	Quarter	Segment	Reminder
1	2018-19	Q3		NA
2	2018-19	Q3		NA
3	2022-23	Q3		NA
4	2022-23	Q3	FO	NA
5	2021-22	Q2	CMCDS	NA
6	2022-23	Q3	SLBM	NA

Dropdown Menu Items:

- Holding Statement
- Cash & Cash Equivalent Balances
- Bank Account Balances
- Bank Statement
- Settlement Statement**
  - Submit Data**
  - UCC Wise View Submission
  - Summary View Submission
- Collateral Segregation Submissio
- Yes Bank - Client Wise Submissio
- Monthly Regulatory Report
- Collateral Shortage Submission
- Bank Book

7. On clicking on 'Submit Data', two tabs are further displayed.



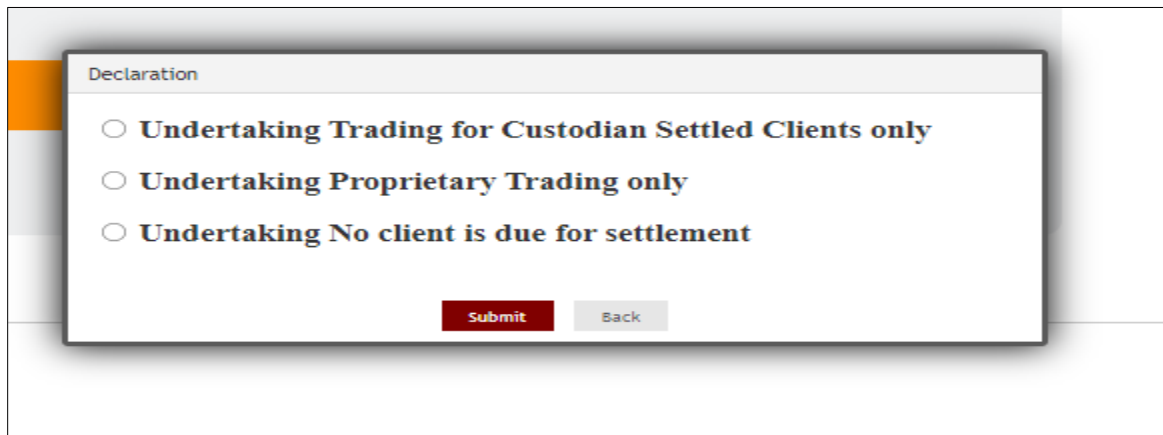
**NSE** My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal VAPT API Help Documents Contact Details Test Digital Sign

Not-applicable Declaration      Data Submission

Kindly update your e-mail id for receipt of "Data confirmation mail" , to update [Click Here](#)

## National Stock Exchange of India Limited

8. If settlement is not applicable, then Click on Not applicable Declaration and select the appropriate reason from the options mentioned in the below screen shot-



**Declaration**

**Undertaking Trading for Custodian Settled Clients only**

**Undertaking Proprietary Trading only**

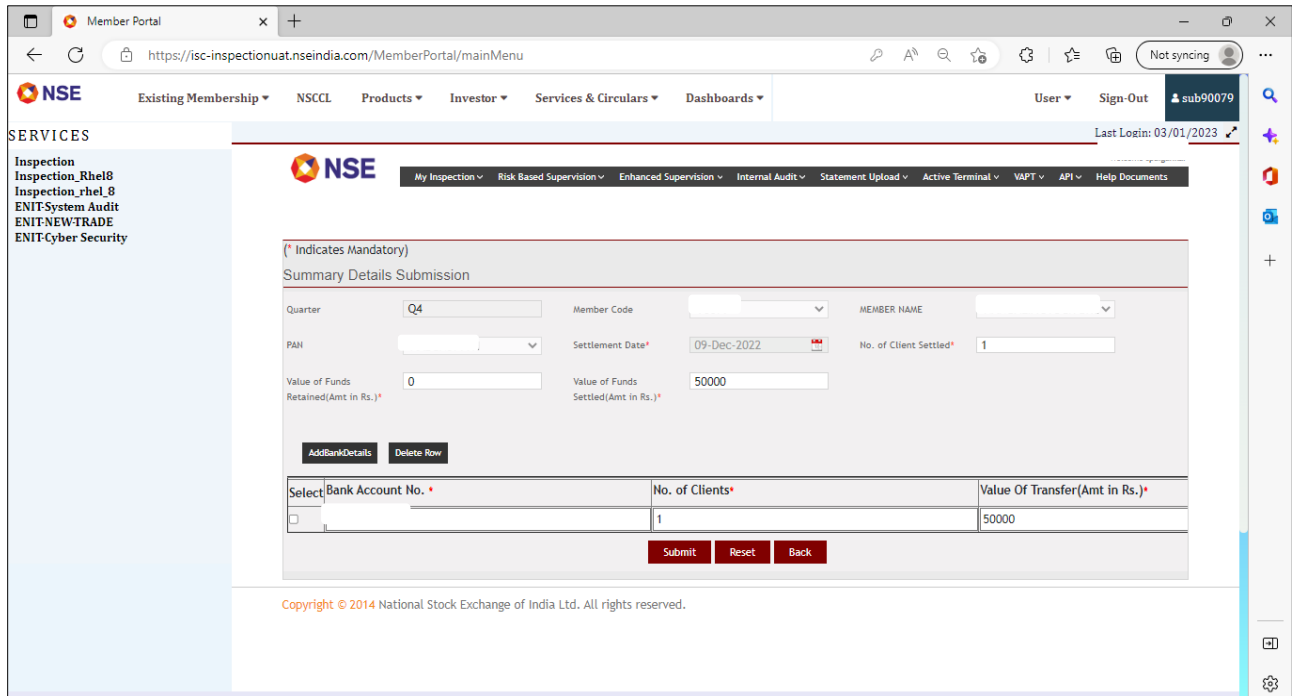
**Undertaking No client is due for settlement**

9. If Settlement is applicable, then click on “Data Submission”. For Data Submission, select “Submit Summary Details” for submitting Summary of settlement of client funds.

Running Account Settlement					
Quarter	Month	Year	Link for Summary	Link for Submission	
1	Settlement details for Q4 of FY 2022-23 as on January 06, 2023	DEC	2022	<a href="#">Submit Summary Details</a>	<a href="#">Submit UCC Wise Details</a>

## National Stock Exchange of India Limited

10. Under “Summary Details Submission”, enter required summary of settlement of client funds. For addition of multiple bank transfer details member can use “AddBankdetails” option and can specify details from which bank account funds were transferred to clients. Then click on “Submit”.



Member Portal

https://isc-inspectionuat.nseindia.com/MemberPortal/mainMenu

NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards

User Sign-Out sub90079

Not syncing

SERVICES

Inspection  
Inspection\_Rhel8  
Inspection\_rhel\_8  
EMIT-System Audit  
EMIT-NEW-TRADE  
EMIT-Cyber Security

NSE

My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal VAPT API Help Documents

(\* Indicates Mandatory)

Summary Details Submission

Quarter: Q4 Member Code: MEMBER NAME:

PAN: Settlement Date\*: 09-Dec-2022 No. of Client Settled\*: 1

Value of Funds Retained(Amt in Rs.):\* 0 Value of Funds Settled(Amt in Rs.):\* 50000

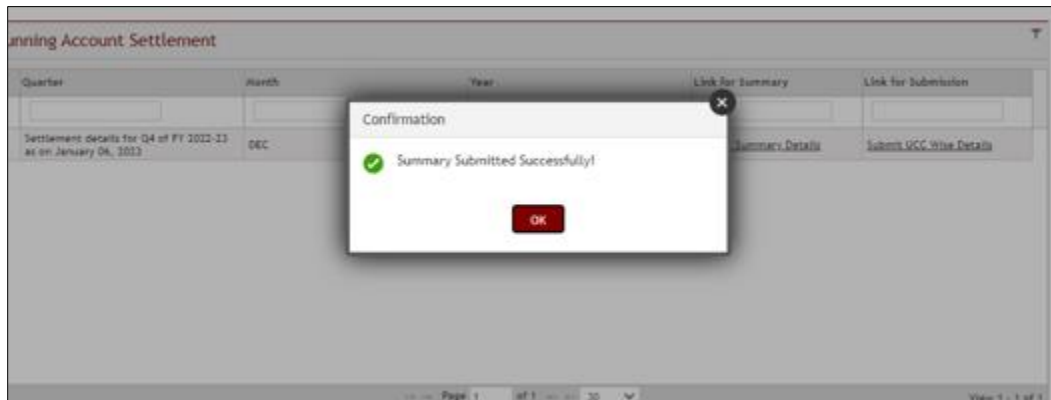
AddBankDetails Delete Row

Select Bank Account No. *	No. of Clients*	Value Of Transfer(Amt in Rs.)*
	1	50000

Submit Reset Back

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11. Once summary details are submitted successfully, confirmation message shall be displayed on the screen. Click on “OK”.



Summary Submitted Successfully!

OK

Confirmation

Quarter Month Year Link for Summary Link for Submission

Settlement details for Q4 of FY 2022-23 as on January 06, 2023 DEC Summary Details Submit QCC Wise Details

Page 1 of 30 View 1 - 1 of 1



## National Stock Exchange of India Limited

12. Once summary details are submitted successfully. Member will be enabled to submit the UCC wise settlement details. Click on “submit UCC wise Details”.

Running Account Settlement				
Quarter	Month	Year	Link for Summary	Link for Submission
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Settlement details for Q4 of FY 2022-23 as on January 06, 2023	DEC	2022	<a href="#">Submit Summary Details</a> <a href="#">Submit UCC Wise Details</a>

13. The template for submission of UCC wise settlement details are provided in the screen. Click on PAN\_QS\_DDMMYYYY\_SeqNo.zip and download the template.

Click on choose file and then upload the UCC wise settlement details.

**Template for Settlement Statement UCC Wise Submission** [▶ PAN\\_QS\\_DDMMYYYY\\_SeqNo.zip](#)

Upload Settlement details for Q4 of FY 2022-23 as on January 06, 2023

Select File to Upload:

**Note:**

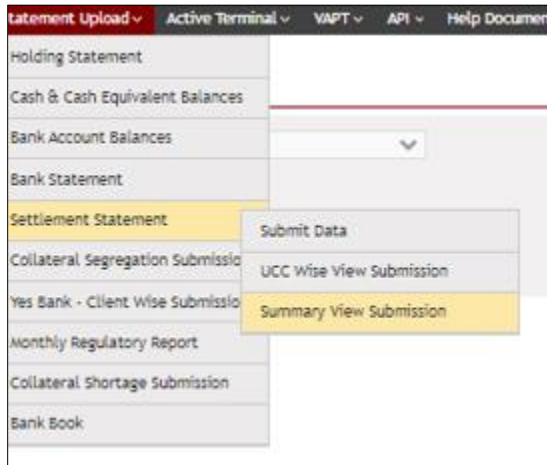
- File shall be uploaded in zip format only.
- One zip file shall contain only one csv file. Naming convention of zip file shall be same as is csv file.
- If a "fileName\_failure" file is generated, kindly rectify the errors as mentioned in the remarks column inside the failure file and upload the same again.
- In case of success file, Members will not be able to upload another file with the same nomenclature.

14. Upon submission of UCC wise settlement details, Success/failure files can be viewed using below path.

**UCC wise details:** Statement upload->Settlement Statement->UCC wise view submission

**Summary Details:** Statement upload->Settlement Statement->Summary view submission

# National Stock Exchange of India Limited



**Files submitted to Exchange can be viewed in below submission screen:**

MONTH	<input type="text" value="select"/>	YEAR	<input type="text" value="select"/>	<input type="button" value="Search"/>
File Name	<input type="text"/>	Created Date	<input type="text"/>	

Summary Submission MIS					
Quarter	<input type="text" value="SELECT"/>	Member Code	<input type="text" value="0000"/>	MEMBER ID	<input type="text" value="0000"/>
MEMBER NAME	<input type="text" value="MEMBER NAME"/>			<input type="button" value="Search"/>	<input type="button" value="Reset"/>

**\*\*\*End of Document\*\*\***