

## ANNEXURES

### Annexure 3.1

#### Designated Clearing banks

Sr.no	Clearing Bank	Address	Contact Person & Numbers
1.	Axis Bank Ltd.	Capital Market Division, Jeevan Prakash Building, Sir P.M. Road, Fort, Mumbai – 400 001	Mr. Sunil Sharma Asst. Vice President Tel: 66107250/51 Mobile: 9869663870 Fax: 66107284/85
2.	Bank of India Ltd.	Stock Exchange Branch, P.J.Towers, Dalal Street, Fort, Mumbai – 400 001	Mr. R. S. Nair Dy. General Manager Tel: 22722400, 22721787 Mobile: 9820520744 Fax: 22721782  Mr Dhapodkar Senior Manager Tel: 22722396 Fax: 22721784/22721788
3.	Canara Bank Ltd.	NSE Branch, Varma Chambers, 1st Floor 11 Homji Street, Fort, Mumbai – 400 001	Mr. Partha Sarathy Chief Manager Tel: 22693157, 22675702, 22658291 Fax: 22670033  Mr K.Y Mallya Senior Manager Tel: 22633006 Fax: 22675650
4.	Citibank N.A.	Citigroup Global Services, Infinity Towers, 1st Floor, A Wing, Behind Toyota Showroom, Malad (W), Mumbai – 400 064	Mr Ganesh Ramanathan Vice President Tel No:40015640  Mr. Rajarshi Chakraborty Asst Vice President Tel. No.: 40015652 Mobile: 9820753469  Mr. KVP Satish Chandra Asst Vice President Tel. No.: 40015192 Mobile: 9820787010
5.	The Hongkong &	52/60,	Mr. Ritesh Jain

	Shanghai Banking Corporation Ltd.	M G Road, Fort, Mumbai – 400 001	Vice President Head- PCM- Payment Operations Tel: 67115841 Fax : 66536004  Mr. Shaleen Mahar Sr. Relationship Manager Non Bank Financial Institutions Tel: 22681175, 24980000 Mobile: 9820333047 Fax : 22734388
6.	ICICI Bank Ltd.	Capital Market Division, Mafatlal Chambers, 'B' wing, 3rd Floor, N.M. Joshi Marg, Lower Parel (East), Mumbai – 400 013	Ms. Hemanshi Shah Mobile: 9833988770  Mr. Devendra N Chandavarkar Chief Manager Tel: 66672085 Fax: 66661430
7.	HDFC Bank Ltd.	2nd Floor, Trade World "A" Wing, Kamala Mills Lower Parel (W) Mumbai – 400 013	Mr. Shailesh Sukhthankar Head- Capital & Commodity Market Business Tel: 24988484 Extn 3334 Mobile: 9323651640  Mr. Chetan A. Shah Business Head - Capital Market Business Tel: 24988484 Extn 3538 Mobile: 9322902935  Mr. Ashish Agarwal Dy Vice President-Capital Market Business Tel: 24988484 Extn 3565 Mobile: 9323469162 Fax : 022-40804711
8.	IDBI Bank Ltd.	Block no 82/83 Road no 7, Street no 15 MIDC, Andheri East Mumbai – 400 093	N.R. Viswanadhan Product head- Capital Market Tel: 66552259 Mob: 9833651064

			Mr. Ajay Thakur / Mr. Santosh Asst Manager Tel: 66977910 Mobile: 9967222102
9.	IndusInd Bank Ltd.	Sonawalla Building 57, Mumbai Samachar Marg Fort Mumbai – 400 001	Mr. Pradeep Bhawe VP & Branch Head Tel: 66347722  Mr. Yogesh Adke Asst. Vice President Tel : 66366589 Fax: 66366590
10.	Kotak Mahindra Bank Ltd.	Unit no.35, 3rd Floor Navsari Building Dr. D.N. Road Fort Mumbai – 400 001	Mr. Rajiv Gurnani Sr. Vice President-FIG Tel: 66596375 Board: 66596103 Fax: 22817527  Mr. Prasad Ramaswamy Associate VP - Operations Tel: 66153045/66153065 Fax: 66159050
11.	Standard Chartered Bank	5th floor, Forbes Building Charanjeet Rai Marg Fort Mumbai – 400 001	Sachin Shah Director (Financial institution) Tel: 66372359 Mobile: 9833477800  Mr. Girish Bhatia Associate Director Tel: 66314285 Mobile: 9820622748
12.	Union Bank of India	Capital Market Cell Mumbai Samachar Marg Branch 66/80, Mumbai Samachar Marg Fort, Mumbai – 400 023	Mr. R.S. Majithia Asst. General Manager Tel: 22629303 Fax: 22642742  Mr. Girishchandra Kashyap Sr Manager Tel : 22629335
13.	State Bank Of India	Mumbai Main Branch 1st floor International Banking Division Mumbai Samachar Marg Mumbai – 400 023	Ms. Vidya Krishnan Asst. General Manager Mobile : 9821078386  Ms. Supriya Kulkarni

			Manager Tel: 22651363  Mr. P.N. Raut Dy. Manager Tel: 22644411, 22644972 Mobile: 9870498672  Mr. Sathish Babu Dy Manager Mobile: 9870498671
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### Annexure 3.2

**Format -Letter to be submitted by participant to bank for operation of clearing A/c**  
To be given on the participants letterhead / signed by the authorised signatory and stamped)

Date:

From:

[Participant Name and address]

To:

[Designated clearing bank and address]

Dear Sir / Madam,

Sub: Operation of Clearing Bank for National Securities Clearing Corporation Limited (NSCCL).

Ref: Our Clearing Bank Account No:\_\_\_\_\_ with [Clearing Bank name and address]

With reference to the above, we note that:

1. National Stock Exchange of India Ltd. has formed National Securities Clearing Corporation Limited (NSCCL) as a wholly owned subsidiary to undertake clearing and settlement activity for its participants. NSCCL has established a clearing and settlement system, whereby its participants will be able to undertake the clearing and settlement of deals admitted in the Mutual Fund Service System.
2. The bank has been nominated / appointed as a Clearing Bank for the purpose of Clearing and Settlement by NSCCL.

3. As per the Byelaws, Rules and Regulations of NSCCL, the participant shall authorise the Clearing Bank to access their clearing account for debiting & crediting their accounts as per the instructions received from NSCCL from time to time.

4. Having due regard to the above, we hereby irrevocably authorise the Clearing bank to debit and credit our above referred clearing bank account from time to time as per the instructions received from NSCCL. Further, we authorise the Clearing Bank to report balances and other information relating to this account to NSCCL as may be required by NSCCL from time to time. This irrevocable undertaking will be with immediate effect.

5. We further hereby undertake to abide by such other or further guidelines / instructions as may be communicated / decided by NSCCL.

Yours faithfully,

Authorised Signatory  
Designation

#### **Annexure 5.1**

#### **Funds confirmation file to Participants from NSCCL**

**File Name - <Seg Code>\_<Memcode>\_SOBG\_<ddmmyyyy>.csv**

**File Location- MFSS/ M<Members Folder>/Reports/Dnld**

**File details –**

Order Date

Settlement Date

Settlement Type

Settlement No

Trading Member Code

Client code

Depository ID

DP Client ID

Order number

Order Indicator ('S' for Subscription)

Symbol

Series

Amount (Rs.)

## **Annexure 5.2**

### **Funds confirmation file from Participants to NSCCL**

**File Name - <Seg Code>\_<Memcode>\_COBG\_<ddmmyyyy>\_<Batch No.>.csv**

**File Location- MFSS/ M<Members Folder>/Reports/Upld**

#### **File details –**

Order Date

Settlement Date

Settlement Type

Settlement No

Trading Member Code

Client code

Depository ID

DP Client ID

Order number

Order Indicator ('S' for Subscription)

Symbol

Series

Amount (Rs.)

Confirmation flag (Y/N)

### **Annexure 5.3**

#### **Funds confirmation return file to Participants from NSCCL**

**File Name - <Seg Code>\_<Memcode>\_CROBG\_<ddmmyyyy>\_<Batch No.>.csv**

**File Location- MFSS/ M<Members Folder>/Reports/Dnld**

#### **File details –**

Order Date

Settlement Date

Settlement Type

Settlement No

Trading Member Code

Client code

Depository ID

DP Client ID

Order number

Order Indicator ('S' for Subscription)

Symbol

Series

Amount (Rs.)

Confirmation flag (Y/N)

Status ('S' for Successful & 'R' for Rejected)

Reason for rejected orders

### **Annexure 5.4**

#### **Daily Funds Report**

**File Name - <Seg Code>\_<Memcode>\_DFND\_<ddmmyyyy>.csv**

**File Location- MFSS/ M<Members Folder>/Reports/Dnld**

**File details –**

Summary Txn No

Segment Indicator

Bank Txns Received Date

Transaction Code

Transaction Description

Debit/Credit

Due Amount (Rs.)

Amount Received (Rs.)

Short Amount (Rs.)

**Annexure 6.1**

**Security wise Demat Delivery Statement (DFDS)**

**Security wise Demat Delivery Statement (DFDS)**

**File Name - <Seg Code>\_<Memcode>\_DFDS\_<ddmmyyyy>.csv**

**File Location- MFSS/ M<Members Folder>/Reports/Dnld**

**File details –**

Settlement Type

Settlement No

Security Symbol

Security Series

Security ISIN

Client Code



Quantity Delivered

Depository ID

DP Client ID

Transaction No