Annexure A

Guidelines for Cash & Cash Equivalent Balances

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

Revised format of Cash & Cash Equivalent Balances:

Trading member PAN	Date	Unique Client Code	Client PAN	Client Name	MTF/ NON MTF Indicator	Financial Ledger balance-A	Financial Ledger balance (clear)-B	Peak Financial Ledger Balance (clear)-C	Financial Ledger Balance-MCX	Financial Ledger Balance-NCDEX	Financial Ledger Balance-ICEX

Bank Guarantee (BG)	Fixed deposit receipt (FDR)	Government of India Securities (GSEC)	Gilt funds	Credit entry in ledger in lieu of EPI	Pool Account	Uncleared Cheques	Value of Commodities	Last settlement date	ES Information Type	Value

Sr. No.	Field Name	Length (Max)	Description
1	Trading member PAN	Char (10)	Alpha-numeric trading member PAN
2	Date	DD-MM-YYYY	DD-MM-YYYY Note: Date of holding the cash/cash equivalent collaterals
3	Unique Client Code	Char (20)	Alpha-numeric client code NA Note: "OWN" to be mentioned in case of proprietary balances
4	Client PAN	Char (10)	Alpha-numeric Client PAN NA
5	Client Name	Char (100)	Alpha-numeric Client Name NA
6	MTF/ NON MTF Indicator	Char (07)	Values shall be either of the following: NON MTF MTF NA

			Note: NON MTF means all other segments other than MTF (like CM, FO, CD, CO, SLB, MFSS and DEBT)
7	Financial Ledger balance-A	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: 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) NA Note: Net across all segments & Exchanges. Financial ledger balance, after adjusting for open bills (open bills contain 'value of credit entry posted in client ledger in lieu of successful EPI to CC') of the client, un-cleared cheques deposited or issued and the margin obligations/requirement posted in the client ledger, if any.
9	Peak Financial Ledger Balance (Clear)-C	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Highest net credit balance across all segments & Exchanges during the day. However, in case there is clear debit balance (across all segments & Exchanges) through-out the day then report lowest net debit balance. Financial ledger balance, after adjusting/reversal for open bills (open bills also contain 'value of credit entry posted in client ledger in lieu of successful EPI to CC') of the client, un-cleared cheques deposited or issued and the margin obligations posted in the client ledger, if any
10	Financial Ledger Balance-MCX	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Net balance of MCX ledger
11	Financial Ledger Balance-NCDEX	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Net balance of NCDEX ledger
12	Financial Ledger Balance-ICEX	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Net balance of ICEX ledger
13	Bank Guarantee (BG)	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA
14	Fixed deposit receipt (FDR)	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA
15	Government of India Securities	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: GSEC value after appropriate haircut
16	Gilt funds	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Gilt funds value after appropriate haircut
17	Credit entry in ledger in lieu of EPI	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA

			Note: Value of credit entry posted in client ledger in lieu of successful EPI to CC, which is considered/eligible for margin at EOD.
18	Pool Account	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Value of the securities, which are sold and available in the Pool account at EOD, which is considered for margin
19	Uncleared Cheques	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Value of cheques received from the clients, which are not cleared at EOD.
20	Value of Commodities	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA Note: Commodity value after appropriate haircut
21	Last settlement date	DD-MM-YYYY	Last settlement date of the respective client. NA Note: In case settlement is not applicable then member may write "NA"
22	ES Information Type	Char (16)	Value shall be any of the following NA TOTAL CR BALANCE TOTAL DR BALANCE NON FUNDED BG TOTAL CR MARGIN FREE COLL AT CM
23	Value	Number (20)	Value in Rs. (Decimals shall be allowed upto 3 digits) NA

Note:

i. **Column 22 and 23**: Both these columns are pertaining to weekly monitoring of client fund data (Annexure A of Exchange Circular MSE/INSP/9042 dated May 27, 2020). Out of 12 points, member needs to submit information of below mentioned 5 points in the column 22 and 23 of this submission:

Relevant point no. in Monitoring of client fund reporting under Enhanced supervision	Point Name	ES Information Type (Column no. 22)	Value (Column no. 23)
4	Total Credit Balance of all clients*	TOTAL CR BALANCE	Amount in Rs.
5	Total debit balance of all clients*	TOTAL DR BALANCE	Amount in Rs.
8	Value of Non funded portion of the Bank Guarantee	NON FUNDED BG	Amount in Rs.
10	Margin utilized for positions of Credit Balance Clients	TOTAL CR MARGIN	Amount in Rs.
12	Free/unblocked Collateral deposited with Clearing Member	FREE COLL AT CM	Amount in Rs.

*Total credit/debit balance of clients should match with the aggregate client wise credit/debit balance reported in column 8.

ii. "NA" value shall be accepted in the columns no. 3 to 23. Please refer below mentioned examples in this regard:

Example-1: While submitting data towards cash and cash eq. (column 1 to 21) then member needs to write "NA" in column no. 22 and 23.

TRADING MEMBER PAN	DATE	UNIQUE CLIENT CODE	CLIENT PAN	CLIENT NAME	MTF/ NON MTF INDICATOR	FINANCIAL LEDGER BALANCE-A	FINANCIAL LEDGER BALANCE (CLEAR)-B	PEAK FINANCIAL LEDGER BALANCE-C	FINANCIAL LEDGER BALANCE-MCX	FINANCIAL LEDGER BALANCE-NCDEX	FINANCIAL LEDGER BALANCE-ICEX	BANK GUARANTEE (BG)	FIXED DEPOSIT RECEIPT (FDR)	GOVERNMENT OF INDIA SECURITIES (GSEC)	GILT FUNDS	Early payin of shares (EPI)	Pool Account	Uncleared Cheques	Value of Commodities	LAST SETTLEMENT DATE	ES INFORMATION TYPE	Value
ABCDE1234M	20-11-2020	31001	ABCDE1234M	ABCDE	NON MTF	500	500	9	100	100	100	100	100	100	100	100	100	100	100	03-09-2020	NA	NA

Example 2: While submitting data towards monitoring of client fund (column 22 and 23) then member needs to write "NA" in column no. 3 to 21

TRADING MEMBER PAN	DATE	UNIQUE CLIENT CODE	CLIENT PAN	CLIENT NAME	MTF/ NON MTF INDICATOR	FINANCIAL LEDGER BALANCE-A	FINANCIAL LEDGER BALANCE (CLEAR)-B	PEAK FINANCIAL LEDGER BALANCE-C	FINANCIAL LEDGER BALANCE-MCX	FINANCIAL LEDGER BALANCE-NCDEX	FINANCIAL LEDGER BALANCE-ICEX	BANK GUARANTEE (BG)	FIXED DEPOSIT RECEIPT (FDR)	GOVERNMENT OF INDIA SECURITIES (GSEC)	GILT FUNDS	Early payin of shares (EPI)	Pool Account	Uncleared Cheques	Value of Commodities	LAST SETTLEMENT DATE	ES INFORMATION TYPE	Value
ABCDE1234M	07-11-2020	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	TOTAL CR BALANCE	5000
ABCDE1234M	07-11-2020	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	TOTAL DR BALANCE	-1000

- All Debit ledger balances shall be reported with –ve sign.
- 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.
- In case of success file, Members will not be able to upload another file with the same nomenclature.
- **Deletion of Submitted Data:** In case of any error in the submitted data, member can delete the success file within the due date of the respective week. However delete facility shall not be available after due date.
- Data file can't be revised after the due date of submission and file with success status shall be considered as final submission.
- In case of non-applicability, a separate system for submission of a one-time declaration has been provided. However, as and when, members become eligible for submission, they will have to submit the data as per the requirements.
- Member shall not upload duplicate/multiple records of the same client.
  Client active in MTF and NON MTF (column 6): Maximum two rows/entries (one for MTF and second for NON MTF) shall be reported of a particular client for a particular day.

  Client active either in NON MTF or MTF (column 6) only: Only single rows/entries (for MTF or NON MTF) shall be reported of a particular client for a particular day.

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