

## Annexure 1

**File Nomenclature:** <CMPAN>\_Collat\_Sec\_ddmmyyyy.nn

Where

CMPAN is the reporting Clearing member's PAN (10 digit)

ddmmyyyy is end of reporting week i.e. Saturday in ddmmyyyy format

nn = incremental batch no

**File format: CSV**

Clearing Member ID (Assigned by CC)	Clearing Member PAN	Holding Date	Clearing Member's Demat Account No.	Clearing Member Account Type	Trading member Name	Trading member PAN	Client UC C	Client PAN	IS IN	Security Type	Total Quantity	Action
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**File description:**

Sr no.	Field Name	Length	Description
1	Clearing Member ID (Assigned by CC)	Char (6)	Alpha Numeric Clearing Member ID
2	Clearing Member PAN	Char (10)	Alpha-numeric clearing member PAN
3	Holding Date	DATE	Date of holding in demat account  Expected sample value :  DD-MM-YYYY
4	Clearing Member's Demat Account No.	Char (16)	Demat account Number in 16 digit Alpha-numeric
5	Clearing Member Member Account Type	Char (7)	Clearing member collateral account  Value shall be:  CM COLL

6	Trading member name	Char (100)	Alpha Numeric Client Name
7	Trading member PAN	Char (10)	Alpha-numeric trading member PAN
8	Client UCC	Char (12)	Client UCC
9	Client PAN	Char (10)	Alpha-numeric Client PAN
10	ISIN	Char (12)	Alpha-numeric ISIN code
11	Security type	Char (4)	<p>Security type shall be either of following:</p> <p>EQ</p> <p>MF</p> <p>BOND</p> <p>DEBT</p> <p>PREF</p> <p>IDR</p> <p>WT</p> <p>GOVT.SEC</p> <p>FOR SOVEREIGN SEC</p>
12	Total Quantity	Number (20)	<p>Quantity of securities – Total quantity of security given by the Trading member in Numeric form</p> <p>Decimals shall be allowed upto 3 digits</p>
13	Action	Char (1)	<p>Refer point (e) below:</p> <p>Expected sample value:</p> <p>A</p> <p>D</p> <p>U</p>

- a) 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. For example, data for the week from April 01, 2019 (Monday) to April 06, 2019 (Saturday) shall be submitted by April 11, 2019 (Thursday).
- b) In order to bring in uniformity and ensure upload of a single file for all the dates (Monday to Saturday) in a week the file naming convention shall be CM\_Collat\_Sec\_ddmmyyyy.nn wherein date shall be end of the reporting week (i.e. Saturday)
- c) The Holding statement has to be maintained & submitted scrip-wise for all the demat accounts where clearing member is holding trading member securities in collateral account.
- d) Clearing Members have to report holding data of all collateral securities kept in each demat account reported including Equity, MF units, Bond, Debentures, Pref. Share, Indian Depository Receipts (IDR), Warrants, etc., whether suspended or not under the heading 'Security Type'.

<b>Security type</b>	<b>Report Values</b>
Equity	EQ
MF units	MF
Bond	BOND
Debentures	DEBT
Pref. Share	PREF
Indian Depository Receipts	IDR
Warrants	WT
Government Securities	GSEC
Foreign Sovereign Securities	FSS

- e) The format shall incorporate an additional column "Action" indicating any revision in the report submitted. "A" will be default option available in the column while making the submission. In case of any revision, Members shall only upload the file with incremental data and shall mention 'D' for deleted records and 'U' for updated records in the said additional column.