

## FAQ's - Inactive clients

### 1. Why should I make the clients Inactive ?

Kindly refer to Exchange circular Nos. NCDEX/MEMBERSHIP-001/2008/076 dated April 4, 2008, NCDEX/MEMBERSHIP-002/2009/355 dated December 18, 2009 and NCDEX/MEMBERSHIP-002/2010/224 dated August 31, 2010 regarding Inactive Clients' Accounts wherein we have given the definition of Inactive clients. Accordingly, Exchange has now provided a facility where members can mark clients that are not trading for 6 months or more as 'Inactive'.

### 2. Is the 'Inactive' status a new status?

Yes, It is a new status and is denoted by the flag 'S'. It is not to be confused with the records where the flag is "I". Refer table below for clarity.

UCC status	Description	Remarks
I	Incomplete	In case the number of Director / partner / HUF mentioned does not match the number of Director / partner / coparcener records then the client code is treated as ' <b>Incomplete</b> '. Currently in the WEB NCFE system, the same is displayed as 'Inactive'.
S	Inactive	New UCC Status. Should be used to mark the UCC records wherein trade has not happened for six months or more. The WEB NCFE system will display the same as ' <b>Suspended</b> '.

### 3. Currently in NCFE, there are some records displaying status as 'Inactive', what does this mean?

In case the number of Directors / partners / HUF mentioned does not match the number of Directors / partners / coparcener records then the client code is treated as '**Incomplete**'. You are requested to make necessary changes in the child record(s) by entering the correct number of Directors / partners / coparcener records so that it matches the count in the header record. These records will be treated as 'Active' only after the necessary correction has been made.

### 4. I have more than one client to mark as Inactive? Should I use the NCFE screen only?

You may use the bulk upload facility as provided by the Exchange. For more details refer Annexure 1 and 2 of circular NCDEX/TECHNOLOGY-024/2015/393 dated December 22, 2015 for the process and file format respectively.

### 5. Which screen do I use to mark the records as Inactive?

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For single record update, a separate screen 'Suspend – Reactivate Client' under the Client menu has been provided to the Member to make the UCC of the client as Inactive (UCC status 'S'). Member can edit each client through this screen and change the UCC status of the client from Active (UCC status 'A') to Inactive (UCC status 'S') mode. The Member will need to mandatorily enter the reason for keeping the UCC of the client in Inactive mode. A confirmation popup will be displayed with OK and Cancel option.

**6. From where can I get the client Suspension / Reactivation user manual?**

The user manual for inactivating and reactivating clients is present in CommonFTP/Common/NCDEXDocuments/NCFE/UserManual

**7. Using the bulk upload facility, how many records can we upload per file per day ?**

We can upload 99 records per file and total 99 files per day. This means we can upload  $99 * 99$  records i.e. 9,801 records per day.

**8. While using bulk upload facility, we are getting error "File format File Name Is Not Proper"**

File Name : TMID\_CLIENTSTATUS\_DDMMYYYY.TNN  
Eg. 00001\_CLIENTSTATUS\_28122015.T01

Header should 28-Dec-2015,05

Note:- 1<sup>st</sup> letter of the month must be in Capital case, in this case 'D' for December must be in Capital case, remaining letters in small case.

Date must be followed by number of records to be uploaded. In the above case 05 means file contains 5 records.

**9. For Reactivating code (making the client code as active), what is the undertaking to be taken from the client?**

You may refer Circular no. NCDEX/MEMBERSHIP-002/2010/224 dated August 31, 2010 regarding Inactive Clients' Accounts where the format of the undertaking is provided in the Annexure. Once the undertaking is accepted by the member from the client, then the member place a tick on the terms and conditions acceptance window and proceed for reactivating the record.

**10. A client code is showing under 'Name Mismatch' / 'Invalid PAN' due to PAN verification and hence suspended. Can I reactivate the same using this facility ?**

No. The facility has been provided only for those clients that have not traded for more than 6 months and were marked as 'Inactive' and now wish to trade again. To reactivate a record that has been

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suspended due to 'Name Mismatch' / 'Invalid PAN', you will have to enter the correct client name or correct PAN as per IT records and the record would automatically get reactivated.

**11. I want to suspend (mark as Inactive) a client record that has been reactivated recently? Can I do so?**

Yes you can provided the difference between the reactivation date and current date is greater than six months (180 days).

**12. Is there a penalty if I trade in an Inactive (suspended) client code?**

Members are advised not to place orders against client codes that are Inactive (UCC status 'S'). A penalty of Rs. 100/- per client code will be levied on Members found trading in an Inactive UCC client code(s) (UCC status 'S') by the Exchange. Square off trades in any Inactive UCC client codes (UCC status 'S') would also be considered as incremental instances and penalty will be levied accordingly. PAN exception report has been modified accordingly to include trading in Inactive client code(s).

**13. I have deleted a record. Can I reactivate the same?**

No. The facility for activation is available only for those UCC records which have been made 'Inactive' (UCC status 'S'). This facility is NOT available for any of the deleted UCC client codes (UCC status 'D') and any of the incomplete UCC client codes (UCC status 'I').

**14. I have more than one client to mark as Active? Should I use the NCFE screen only?**

You may use the bulk upload facility as provided by the Exchange. For more details refer Annexure 1 and 2 of circular NCDEX/TECHNOLOGY-024/2015/393 dated December 22, 2015 for the process and file format respectively.

**15. I am unable to delete a record after suspending the record (making the record inactive). What should be done?**

Currently the system does not provide for an inactive record to be deleted. You may activate the record and then delete the record.