NCDEX
Pragati ka Solid Exchange

NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange
Circular No.   : NCDEX/MEMBERSHIP- 013/2023
Date   : March 20, 2023
Subject   : Mandating 'Nominee flag' in the Unique Client Code

This is with reference to Exchange Circular nos. NCDEX/COMPLIANCE-012/2022 dated February 25, 2022 and NCDEX/MEMBERSHIP-007/2023 dated February 06, 2023 on Nomination for Eligible Trading and Demat Accounts wherein Members were informed that the timelines to provide choice of nominations for all existing eligible trading and demat account holders had been extended to March 31, 2023 and in case the choice of nomination is not provided by March 31, 2023, their trading account would be frozen.

Basis the aforementioned circulars, Members are hereby, once again, advised to obtain choice of Nomination from all their clients and update the same in the UCC database on or before March 31, 2023, failing which they shall not be allowed to trade on the Exchange platform.

Further, Exchange will mandate the nominee field in the UCC screen, in bulk upload file format and the revised screen for capturing the UCC details will be implemented with effect from March 22, 2023 end of day onwards.

All members are advised to consider the updated file format for bulk upload of UCC enclosed as **Annexure I** from March 22, 2023 onwards.

All the members are requested to take note of the same and ensure compliance.

For and on behalf of
National Commodity & Derivatives Exchange Limited

Bhavna Kariwala
Assistant Vice President
Membership

Encl.: Annexure I

For further information / clarifications, please contact
1. Customer Service Group on toll free number: 1800 26 62339
2. Customer Service Group by e-mail to : askus@ncdex.com

Annexure I

File format for Bulk Upload of UCC details

Note: Maximum number of records allowed per file is 199 and validations for bulk upload file will be same as per pervious bulk upload format

The file name is the same as per existing format - TMID_CLI_DDMMYYYY.T01

CONTROL RECORD STRUCTURE

Sr.No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
1	Record Type	CHAR (2)	Mandatory	Value = '10'
2	Member Type	CHAR (1)	Mandatory	Value = 'M'
3	Member Code	CHAR (5)	Mandatory	Trading Member Code
4	Member Name	CHAR (80)	Mandatory	Trading Member Name
5	Date	CHAR (8)	Mandatory	Format is DDMMYYYY. Shall be same as the file name
6	Batch Number	NUMBER (2)	Mandatory	Should start with 01 and have value till 99. Shall be same as in the file name
7	Total No. of Records	NUMBER (7)	Mandatory	Total number of detailed records

DETAIL RECORD STRUCTURE

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
1.	Record Type	CHAR (2)	Mandatory	'20' to indicate primary client '30' to indicate Partners / Directors / Trustee / Secretary /Karta details '40' to indicate HUF Co-Parcener
2.	Client Name	CHAR (60)	Mandatory	Client Name must be entered. Only alphabets and spaces are allowed. Once given cannot be modified.
3.	Client Code	CHAR (10)	Mandatory	Client Code must be unique as entered by member at the time of placing the order. Special characters not allowed. Once given cannot be modified.

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION	
4.	Client Constitution	CHAR (10)	Mandatory	For Record Type 20, Valid values are:	
				Individual	01
				Partnership	02
				HUF	03
				Pvt. Limited Cos.	04
				Limited Cos.	05
				Co-operatives	07
				LLP	08
				Trust	09
				Sole Proprietor	11
				Association of Persons (AOP)	12
				Artificial Judicial Person	13
				One person Company	14
				For Record Type 30 and Parent Constitution 'HUF', valid values are: Individual – 01 Once given cannot be modified.	
5.	Client Category	CHAR (10)	Mandatory	Client Category (Individual) Valid values are:	
				Physical Commodity Trader	01
				Processor/Miller	02
				Retail – Individual	03
				Farmer	04
				Mutual Fund	05
				Portfolio Managers	06
				Foreign Portfolio Investor-1	07
				Foreign Portfolio Investor-2	08
				Foreign Portfolio Investor-3	09
				High Networth Individuals	10
				Client Category (non – individual) Valid values are:	
				Physical Commodity Trader	01
				Processor/Miller	02
				Retail-corporate	03
				Farmer Producer Organizations (FPO)	04
				Mutual Fund	05
				Portfolio Managers	06
				Foreign Portfolio Investor-1	07
				Foreign Portfolio Investor-2	08
				Foreign Portfolio Investor-3	09
				Non-Banking Financial Company (NBFC)	10
				Statutory Bodies	11
				Depository receipts (DR)	12
				Merchant Bankers	13
				Defense Establishments	14

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION	
				Government Agency	15
				Alternate Investment Fund (AIF)-Category III	16
				Foreign Direct Investment (FDI)	17
				Foreign Venture Capital Fund (FVCF)	18
				Definition of client categories are attached as Annexure 3	
6.	Whether EFE	CHAR(1)	Mandatory	Valid values are 'Y'= Yes, 'N'=No	
7.	LEI number	NUMBER(20)	Optional	Legal Entity Identification Number Can be entered only if above field is Yes(Y)	
8.	Name of Individual / Promoter / Karta / Trustee	CHAR (60)	Mandatory	Person Name should be in form - Surname First Name & Middle Name Only alphabets and spaces are allowed. once given cannot be modified.	
9.	Gender	CHAR (1)	Optional/Mandatory	Valid values are 'M' = Male, 'F' = Female. Will be mandatory for Record Type '20', '30'& '40' where Client constitution is 01 & 11.	
10.	Marital status	CHAR (1)	Optional/Mandatory	Valid values are 'M' = Married, 'S' = Single Will be mandatory for Record Type '20', '30'& '40' where Client constitution is 01 & 11.	
11.	Residential Status	CHAR (1)	Optional/Mandatory	Valid values are 'I' - Indian 'F'- Foreign National 'N' - Non Resident Will be mandatory for Record Type '20', '30'& '40' where Client constitution is 01 & 11.	

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
12.	Date of Birth	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY. Will be mandatory for Record Type '20', '30'& '40' where Client constitution is 01 & 11.
13.	Age	NUMBER (3)	Optional	Age of Individual /Promoter
14.	Age Proof	CHAR(60)	Optional/Mandatory	Mandatory if record type is 40 and category is 01 and age is <18
15.	Mobile Number	NUMBER (10)	Mandatory	Valid Mobile Number for which client will receive SMS from the Exchange Mandatory for Record Type 20 & 30
16	Relationship with Client (for mobile number)	CHAR (60)	Mandatory	Valid Values for Record Type '20' and Client constitution 01 & 11 and Record Type '30' and Client constitution 01 <table><tr><td>Self</td><td>01</td></tr><tr><td>Spouse</td><td>02</td></tr><tr><td>Dependent children</td><td>03</td></tr><tr><td>Dependent parents</td><td>04</td></tr></table> Valid values for other client constitution are <table><tr><td>Authorised/Contact Person</td><td>05</td></tr></table> Mandatory for Record Type 20 & 30
17	Name of the authorized/contact person(for mobile number)	CHAR (60)	Mandatory	Mandatory for Record Type 20 & 30 except where self is selected
18	Email ID	CHAR (50)	Mandatory	Valid Email Id for which client can register for mail alerts from the Exchange
19	Father's/Guardian's Name	CHAR (60)	Optional	Name of Father of Individual /Promoter Only alphabets and spaces are allowed.
20	Spouse Name	CHAR (60)	Optional	Name of spouse for client constitution 01 & 11s
21	PAN Card Number	CHAR (10)	Mandatory	Valid PAN Card Number. For resident of Sikkim, relevant declaration given as per SEBI is mandatory. For all the other categories PAN is mandatory Mandatory for record type 20 & 30

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
22	Pan card Declaration	CHAR (1)	Optional/Mandatory	For resident of Sikkim, relevant declaration given as per SEBI is mandatory.
23	UID	Number (12)	Optional	Valid UID if available. Validation it should not contain all zeros and should be 12 digit and numeric only
24	Date of commencement of business	DATE	Optional/Mandatory	Mandatory except for client constitution 01 ,03 & 11
25	Issuing authority for certificate of registration / incorporation	CHAR (50)	Optional/Mandatory	Mandatory except for client constitution 01 ,03 & 11
26	Passport Number	CHAR (25)	Optional/Mandatory	Passport number
27	Place of Issue of Passport	CHAR (25)	Optional/Mandatory	Place of issue
28	Date of Issue of Passport	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY and should be less than system date.
29	Date of Expiry of Passport	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY and should be greater than system date.
30	Driving License Number	CHAR (25)	Optional/Mandatory	Driving license number
31	Place of issue of Driving License Number	CHAR (25)	Optional/Mandatory	Place of issue
32	Date of Issue of Driving License Number	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY and should be less than system date.
33	Voter ID No	CHAR (25)	Optional/Mandatory	Voter identity number
34	Place of Issue of Voter id number	CHAR (25)	Optional/Mandatory	Place of issue
35	Date of Issue of Voter id number	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY and should be less than system date.
36	Other Identity Proof	CHAR (50)	Optional/Mandatory	Any other identity proof
37	Other Identity issuing authority	CHAR (50)	Optional/Mandatory	Identity proof issuing authority
38	Other Identity date of issue	DATE	Optional/Mandatory	Date format shall be DD-MON-YYYY and should be less than system date.
39	Registration Number of Client	CHAR (25)	Optional	Valid registration number

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
40	Place of Registration	CHAR (25)	Optional	Valid place of registration
41	Date of Registration	DATE	Optional	Valid date of registration Date format shall be DD-MON-YYYY Should be less than system date.
42	Registration Authority	CHAR (25)	Optional	Valid registration authority
43	Office Address 1	CHAR (30)	Optional/Mandatory	Address1 of the client is mandatory except for Client Constitution 01 & 11
44	Office Address 2	CHAR (30)	Optional	Address line 2
45	Office Address 3	CHAR (30)	Optional	Address line 3
46	Office City	CHAR (20)	Optional/Mandatory	Will be mandatory except for Client Constitution 01 & 11
47	Office State	NUMBER (2)	Optional/Mandatory	Refer Annexure 4 for code of State in which Office Address is situated. Mandatory if Office Address is mentioned. Mandatory except for Client Constitution 01 & 11
48	Office Country	CHAR (50)	Optional/Mandatory	Country where office is located. Mandatory except for Client Constitution 01 & 11.
49	Office Pin code	NUMBER (6)	Optional/Mandatory	Mandatory except for Client Constitution 01 & 11.
50	Office Telephone Number	CHAR (50)	Optional	Office telephone number
51	Office email	CHAR (50)	Mandatory	Valid email id for office.
52	Office Fax	CHAR (50)	Optional	Valid fax number for office.
53	Correspondence Address 1	CHAR (30)	Mandatory	Correspondence address line1. Mandatory for all client Constitution. For Client Constitution 01 and 03 it is same as residence address. Mandatory for Record type 20 & 30
54	Correspondence Address 2	CHAR (30)	Optional	Address line 2.
55	Correspondence Address 3	CHAR (30)	Optional	Address line 3
56	Correspondence City	CHAR (25)	Mandatory	Mandatory for all Client Constitution.
57	Correspondence State	NUMBER (2)	Mandatory	Refer Annexure 4 for code of State in which correspondence Address is

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
				situated. Mandatory for all Client Constitution
58	Correspondence Country	CHAR (50)	Mandatory	Mandatory for all Client Constitution.
59	Correspondence Pin code	NUMBER (6)	Mandatory	Mandatory for all Client Constitution.
60	Correspondence Telephone Number	CHAR (50)	Optional	Optional for all Client Constitution
61	Correspondence email	CHAR (50)	Mandatory	Valid email Id.
62	Correspondence Fax	CHAR (50)	Optional	Valid fax number.
63	Permanent Address 1	CHAR (50)	Mandatory	Mandatory for all Client Constitution and record type 20 & 30
64	Permanent Address 2	CHAR (50)	Optional	Address line 2
65	Permanent Address 3	CHAR (50)	Optional	Address line 3
66	Permanent Address City	CHAR (25)	Mandatory	Mandatory for all Client Constitution and record type 20 & 30
67	Permanent Address State	NUMBER (2)	Mandatory	Mandatory for all Client Constitution and record type 20 & 30
68	Permanent Address Country	CHAR (50)	Mandatory	Mandatory for all Client Constitution and record type 20 & 30
69	Permanent Address Pin code	NUMBER (6)	Mandatory	Mandatory for all Client Constitution and record type 20 & 30
70	Permanent Address Telephone Number	CHAR (50)	Optional	Optional for all Client Constitution
71	Permanent Address Mobile Number	CHAR (10)	Optional	Optional for all Client Constitution
72	Permanent Address Email id	CHAR (50)	Mandatory	Valid email Id.
73	Permanent Address Fax	CHAR (50)	Optional	Valid fax number.
74	Correspondence address proof code	NUMBER (2)	Mandatory	Refer Annexure 5 for code of correspondence address proof Mandatory for record Type 20 & 30
75	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
76	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
77	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
78	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
79	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
80	CProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
81	Office address proof code	NUMBER (2)	Optional/Mandatory	Refer Annexure 5 for code of correspondence address proof Mandatory except for Client Constitution 01 & 11 and record type 20 & 30
82	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
83	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
84	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
85	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
86	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
87	OProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
88	Permanent Address - proof of address code	NUMBER (2)	Mandatory	Refer Annexure 5 for code of Permanent address proof and mandatory for record type 20 & 30
89	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
90	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
91	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
92	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
93	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
94	PProofDetails	CHAR (50)	Optional/Mandatory	values will be according to address proof code, in the same sequence as specified in Annexure 6
95	Number of banks	Number(1)	Mandatory	Valid values are 1, 2, 3 & 4 Enter number of banks maximum upto 4 Mandatory for record type 20
96	Bank Name 1	CHAR (50)	Mandatory	The main bank through which the client carries out operations with the trading member
97	Bank Branch Address 1	CHAR (120)	Mandatory	The bank branch address in which the client account is operated
98	Bank Account Type 1	CHAR (15)	Mandatory	Valid Values are: - <table><tr><td>Savings account</td><td>10</td></tr><tr><td>Current account</td><td>11</td></tr><tr><td>Overdraft account</td><td>12</td></tr><tr><td>Others</td><td>99</td></tr></table>
99	Bank Account Number 1	CHAR (25)	Mandatory	Bank Account number
100	Bank MICR Number 1	NUMBER(9)	Mandatory	Bank MICR Number
101	Bank IFSC code 1	CHAR (15)	Mandatory	Bank IFSC code
102	Bank Name 2	CHAR (50)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details
103	Bank Branch Address 2	CHAR (120)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
104	Bank Account Type 2	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details
105	Bank Account Number 2	CHAR (25)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details
106	Bank MICR Number 2	NUMBER(9)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details
107	Bank IFSC code 2	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =2 Acceptable value is same as Bank 1 details
108	Bank Name 3	CHAR (50)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
109	Bank Branch Address 3	CHAR (120)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
110	Bank Account Type 3	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
111	Bank Account Number 3	CHAR (25)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
112	Bank MICR Number 3	NUMBER(9)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
113	Bank IFSC code 3	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =3 Acceptable value is same as Bank 1 details
114	Bank Name 4	CHAR (50)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details
115	Bank Branch Address 4	CHAR (120)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details
116	Bank Account Type 4	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
117	Bank Account Number 4	CHAR (25)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details
118	Bank MICR Number 4	NUMBER(9)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details
119	Bank IFSC code 4	CHAR (15)	Optional/Mandatory	Will be mandatory if Number of bank =4 Acceptable value is same as Bank 1 details
120	Depository Id(NSDL)	CHAR (25)	Optional	Depository ID
121	Depository Name(NSDL)	CHAR (25)	Optional	Name of the depository in which the client has a beneficial owner account
122	Beneficial Owner Account Number (NSDL)	CHAR (25)	Optional	NSDL account number
123	Depository Participant Name NSDL	CHAR (50)	Optional	Participant name at NSDL
124	Depository Id(CDSL)	CHAR (25)	Optional	Depository ID
125	Depository Name(CDSL)	CHAR (25)	Optional	Name of the depository in which the client has a beneficial owner account
126	Beneficial Owner Account Number(CDSL)	CHAR (25)	Optional	CDSL account number
127	Depository Participant Name CDSL	CHAR (50)	Optional	Participant name at CDSL
128	DIN	CHAR (25)	Optional	Director Identification number. Applicable only if the record type is 30 and the client constitution is 01
129	DPIN	CHAR (25)	Optional	Designated Partner Identification Number. Applicable only if the record type is 30 and the client constitution is 01
130	Gross Annual income as on	DATE	Mandatory	Should be less than last 12 months. Date format shall be DD-MON-YYYY. Mandatory for record type 20 and all constitution
131	Gross Annual Income Details	CHAR(02)	Mandatory	Refer Annexure 7 for code value for income.

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION
				Mandatory for record type 20 and all constitution
132	Net-worth as on	DATE	Optional /Mandatory	Should be less than last 12 months. Date format shall be DD-MON-YYYY. Mandatory for all except for client constitution is 01 & 11 and record type 20
133	Net-worth	NUMBER(25)	Optional /Mandatory	Mandatory if net worth date is mentioned. Mandatory for all except for client constitution is 01 & 11 and record type 20
134	Political Affiliation	CHAR (02)	Optional /Mandatory	Refer Annexure 8for code value for political affiliation. Mandatory for record type 20 & 30 for client constitution is 01 & 11
135	CP code	ALPHANUMERIC (10)	Optional	
136	In person Verification	CHAR (1)	Mandatory	Valid values are: 'Y'= Yes, 'N'= No and 'NA'= Not applicable
137	Nominee flag	CHAR (1)	<mark>Mandatory</mark>	Nominee flag indicating nominee 'Y' for yes or 'N' for no.
138	Detail Record Status	CHAR (1)	Mandatory	Valid values are: I - if fresh record to be Inserted in database. M - If existing record to be modified
139	Client with any other TM	CHAR (1)	Optional	Valid values are: Y - Client has an account with another trading Member. N - Client does not have an account with another trading member.
140	Number of Partners/Directors/ Karta	NUMBER (2)	Optional/Mandatory	Applicable only if record type is "20" and Client constitution except 01 &11 Value should be between 2 and 20 for all client constitution except 1 in case of client constitution 14 (One Person Company)

Sr No	FIELD	LENGTH	MANDATORY/OPTIONAL	DESCRIPTION	
141	CIN no	ALPHANUMERIC (21)	Mandatory	Mandatory for client constitution – 04,05 & 14	
142	Designation of contact person	CHAR (10)	Optional	Valid values are:	
				Whole time Director	01
				Partner	02
				Karta	03
				Trustee/Member	04
				Compliance officer	05
143	Name of Karta	CHAR (60)	Optional/Mandatory	Mandatory for Record Type 40	
144	Delete Flag	CHAR (1)	Mandatory	Either A or D. For all types of Clients A for Active. D for Deleted.	
145	Flag	CHAR (1)	Mandatory	Valid value E to denote end of record.	

Annexure 2
List of existing fields removed:

Sr. No.	Particulars
1.	Nationality
2.	Other Nationality
3.	Occupation
4.	Occupation others
5.	National Exchange Name1
6.	Date of Consent for trading
7.	National Exchange Name2
8.	Date of Consent for trading
9.	National Exchange Name3
10.	Date of Consent for trading
11.	National Exchange Name4
12.	Date of Consent for trading
13.	National Exchange Name5
14.	Date of Consent for trading
15.	Wrong client code flag
16.	Alert Registration

Annexure 3
Description for Client Categories

Category Code	Client Category	Description
01	Physical Commodity Trader	Traders who trade in physical market such as Stockiest, Cash & Carry participants, Wholesalers, Importers, Exporters etc.
02	Processor/ Miller	Involved in Processing of commodities such as Dal & Flour millers, Sugar millers, Oil processors
03	Retail-corporate/Retail Individual	Clients who does not fall in any category
04	Farmer Producer Organizations (FPO) /Farmer	FPO / Farmers consists of collectivization of Producers especially small and marginal farmers
10	Non-Banking Financial Company (NBFC)	Companies (not classified as banks) who provide loans. Lnt fs, DHFL
11	Statutory Bodies	Body which derives its power from the law. Muncipal corporations etc.
12	Depository receipts (DR)	A depositary receipt (DR) is a negotiable financial instrument issued by a bank to represent a foreign company's publicly traded securities.
13	Merchant Bankers	Merchant bank is a company that deals mostly in international finance, business loans for companies and underwriting. These banks are experts in international trade, which makes them specialists in dealing with multinational corporations. These banks does not cater to general public
14	Defense Establishments	Establishments like ministry of defence, eg DRDO
15	Government Agency	A government or state agency, sometimes an appointed commission, is a permanent or semi-permanent organization in the machinery of government that is responsible for the oversight and administration of specific functions,
16	Alternate Investment Fund (AIF)-Category III	Alternative Investment Funds such as hedge funds or funds which trade with a view to make short term returns or such other funds which are open ended and for which no specific incentives or concessions are given by the government or any other Regulator.

Category Code	Client Category	Description
17	Foreign Direct Investment (FDI)	Foreign direct investment (FDI) is an investment made by a firm or individual in one country into business interests located in another country
18	Foreign Venture Capital Fund (FVCF)	A Foreign Venture Capital Investor (FVCI) is an investor incorporated or established outside India who can invest either in a Domestic Venture Capital Fund or a Venture Capital Undertaking (Domestic Unlisted Company). Foreign equity player or Foreign Venture can also invest in India directly under FDI Scheme. SEBI has given certain benefits to the investors who are registered as an FVCI.

Annexure 4
State Code list:

STATE_CODE	STATE_NAME
01	Arunachal Pradesh
02	Assam
03	Andhra Pradesh
04	Andaman & Nicobar
05	Bihar
06	Chandigarh
07	Chhatisgarh
08	Delhi
09	Daman & Diu
10	Nagar Haveli
11	Gujarat
12	Goa
13	Himachal Pradesh
14	Haryana
15	Jammu & Kashmir
16	Jharkhand
17	Karnataka
18	Kerala
19	Lakshadweep
20	Manipur
21	Mizoram
22	Meghalaya
23	Madhya Pradesh
24	Maharashtra
25	Nagaland
26	Orissa
27	Punjab
28	Pondicherry
29	Rajasthan
30	Sikkim
31	Tripura
32	Tamil Nadu
33	Uttaranchal

34	Uttar Pradesh
35	West Bengal
36	Telangana

Annexure 5
Address proof code

Address proof Code	Name of Address Proof
01	Passport
02	Voters Identity Card
03	Driving License
04	Ration Card
05	Registered Lease
06	Sale Agreement of Residence
07	Flat Maintenance bill
08	Insurance Copy
09	Telephone bill
10	Electricity bill
11	Gas bill
12	Bank Account Statement
13	Depository Details
14	Others

Annexure 6 - Details of Address Proof

Name of document submitted as address proof	Details of the address proof need to be captured
Passport	Passport no
	Place of issue
	Date of issue
	Date of expiry
Voters Identity Card	Voter id
	Place of issue
	Date of issue
Driving License	License no
	Date of issue
	Place of issue
Ration Card	Ration card no
	Date of issue
	Place of issue
Registered Lease	Lease Registration No.
	Place of Lease registration
	Date of lease registration
Sale Agreement of Residence	Sale Agreement Registration No.
	Place of Sale Agreement registration
	Sale Agreement Registration Date
Flat Maintenance bill	Flat Maintenance bill no
	Co-operative Society Name
	Flat Maintenance bill date
Insurance Copy	Insurance company name
	Insurance Policy no.
	Insurance Policy premium date
Telephone bill	Service provider
	Consumer no
	Date of bill
Electricity bill	Service provider
	Consumer no
	Date of bill
Gas bill	Gas service provider
	Gas consumer number
	Gas Bill date
Bank Account Statement	Bank name
	Bank branch address
	Bank account no.
	Bank account type
	Bank account statement date

Name of document submitted as address proof	Details of the address proof need to be captured
Depository Details	NSDL Depository ID
	NSDL Beneficiary Account no
	CDSL Depository ID
	CDSL Beneficiary Account no
Others	Other proof
	Issuing authority
	Issuing date

Annexure 7
Gross Annual Income Details Code

01	Below Rs 1 Lac
02	1-5 Lac
03	5-10 Lac
04	10-25 Lac
05	25 Lacs-1 crore
06	Above 1 crore

Annexure 8
Political Affiliation Code

01	Politically Exposed Person (PEP)
02	Related to a Politically Exposed Person (RPEP)
03	Not a Politically Exposed Person (NPEP)