
NATIONAL COMMODITY CLEARING LIMITED

Circular to all Members of the Clearing Corporation

Circular No. : NCCL/COMPLIANCE-011/2021

Date : October 01, 2021

Subject : Submission of Collateral at Client Level

This is further to our circular no. NCCL/COMPLIANCE-009/2021 dated August 23, 2021 on Segregation and Monitoring of Collateral at Client Level - Reporting Format and circular no. NCCL/COMPLIANCE-010/2021 dated September 20, 2021 on Segregation and Monitoring of Collateral at Client Level - Change in Reporting Format and Frequently Asked Questions.

In this regard, Clearing Members are requested to upload the above submissions in prescribed format on Web Extranet – in the 'COLLATERALUPLOAD' folder in the 'UPLOAD' tab. The guidelines for data submission is enclosed as Annexure 1. The procedure to view Collateral data by clients on the website is enclosed as Annexure 2.

Clearing Members are requested to note that the provisions of this circular are effective October 01, 2021 i.e. reporting for October 01, 2021 shall have to be done from October 04, 2021 before 1 PM.

Please note that NCCL reserves the right to initiate appropriate actions including disciplinary against such Clearing Members where there is delay/non-submission/modification/incorrect submission of data.

For and on behalf of
National Commodity Clearing Limited

Sylvia Fernandez.
Assistant Vice President

For further information / clarifications, please contact

1. Customer Service Group on toll free number: 1800 266 6007
2. Customer Service Group by e-mail to : contactus@nccl.co.in

Annexure 1

1. The file shall be in csv and zip format only.
2. The file shall be uploaded by the members with column headers. The headers should be exactly same as given in circular no. NCCL/COMPLIANCE-010/2021 dated September 20, 2021
3. One zip file shall contain one csv file only. Naming convention of zip file shall be same as of the csv file. The csv file itself needs to be converted into zip file.
4. File size shall not exceed 500 MB.
5. Batch/Seq No. starts from 01, in case of multiple files for a date.
6. If the file is not successfully uploaded then file needs to be rectified and uploaded with the different batch number.
7. Files uploaded will be processed for validation check. Clearing Members are required to check the "COLLATERALFOLDER " for success/error status of the uploaded file(s). In case of failure status, members have to correct the data as per the remarks provided in the file and re-upload the entire file with correct data promptly.
8. If Clearing Member wishes to add new records / modify the data which is successfully uploaded then the member may upload new records / upload only those records for which modification is required with with different batch number.
9. For columns 10 to 51, in case there are fields where no value is available, such fields must be populated with 0 (zero).
10. No special characters shall be allowed in any field.

Annexure 2

The module for clients to view their collateral details have been provided on the Exchange website. Clients are required to create their login using the "**trade verification**" module available under the website menu "**Investors**". After creation of login id, clients are also required to get their UCC details verified & registered using the "**Trade/Collateral Registration**" option. UCC verification & registration is a one time process. After registration of the UCC, the clients can view their collateral report using the option "**view collateral**".

Clients may also note that they can register details of multiple trading accounts (UCC) they may have with multiple trading members, using the "**Trade/Collateral Registration**" option.

The data for the last 5 trading days would be available on the said website module. The data displayed is as reported by the Clearing/Trading Member. Collaterals placed with Trading Member/Clearing Member in one form may be passed on by the Trading Member to Clearing Member or Clearing Member to NCCL in any other permitted form. Further, it may be noted that the data will appear in the collateral report only after the clearing member has reported the same to the Exchange/Clearing Corporation. Any delay in the reporting process can delay the availability of the collateral report on the website.