

NSE Clearing Limited

Circular

DEPARTMENT: COMPLIANCE

Download Ref No: NCL/CMPL/63029

Date: July 22, 2024

Circular Ref. No: 28/2024

To All Members

Sub: Reminder for Submission of Associate details by Clearing Members

This is with reference to NCL Circular No. NCL/CMPL/62689 dated June 28, 2024 for submission of Associate Details.

In view of the above members who have not uploaded the associate details till date, are reminded to submit details of Associates on immediate basis. Further for successful submission members may refer to the FAQs attached with this circular.

In case of non-submission of data or discrepancies in data submission, Clearing Corporation reserves the right to take Regulatory Action on the Members.

The members are required to take note of the above and comply.

**For and on behalf of
NSE Clearing Limited**

**Jinal Shah
Associate Vice President**

FAQ for circular No. NCL/CMPL/62689 dated June 28, 2024

1. Who are required to file the Associate details as per the Circular NCL/CMPL/62689 dated June 28, 2024

All members are required to submit the details of associate as required under SEBI Circular No SEBI/HO/MRD/MRD-PoD-3/P/CIR/2024/65 dated May 29, 2024

2. What is the definition of Associates?

Further, for this purpose, 'associate' shall have the same meaning as defined under Regulation 2 (b) of Securities Contracts (Regulation) (Stock Exchanges And Clearing Corporations) Regulations, 2018..

3. The file name format?

Primary Member Code_ASSOC_DDMMYY.csv

4. Is it required to file the data for which there are no Associates details?

The entities which doesn't have any Associates or Group companies have to fill in the following files of the CSV file Viz:

Member Code	Member Name	Member PAN

Balance fields can be left blank

5. Values in the file format as prescribed in the Circular.

As per the format prescribed by the circular, if there is any field in which there are no values to be filled then it should be kept as Blank. Not to write NIL, NA or Zero in the field.

6. Do's and Don'ts while entering the data in file?

Do's:

- File format should be same.
- Compliance Officer details should be in One line only.
- All headers should be in One line only.
- Recheck your ISIN & Symbol Combination.
- Fill in 5-digit member code and in case of Zero (0) in code, please covert it from GENERAL to TEXT in taskbar.

Don'ts:

- Do not write NIL or NA or ZERO if values are not available for any column.
- Do not enter any other sign like Coma, Hyphen,Slash,Line etc. in Compliance Officer details
- Do not write any details in (“).
- Do not write any details in brackets () or enter any symbols with Associate name details like Hyphen, percentage, straight line etc.
- Do not change file format.