

## Annexure A

| S. No. | Common reasons of incorrect reporting of data towards submission made for Segregation and Monitoring of Collateral at Client level  |
|--------|---|
| 1      | Duplicate records are uploaded in the segregation submission.   |
| 2      | Multiple files with same records are uploaded by member to CM/CC.   |
| 3      | Same ledger balance for a client is reported to all clearing corporations for each segment instead of reporting respective segment wise ledger balance to respective CC.  |
| 4      | Same ledger balance of commodity segment of client is reported to all commodity clearing corporations e.g. same and combined ledger balance of NCDEX and MCX commodity segment is reported to clearing corporation NCCL and MCXCCL.   |
| 5      | Financial ledger balance of client in column number 10,11 and 12 for <b>NON-MTF indicator</b> is reported without including value of cash collateral collected from client for MTF position. However, member should report financial ledger balance of client in <b>NON-MTF indicator with inclusion of</b> cash collateral collected from client for MTF position.   |
| 6      | Financial Ledger balance of client in column number 10,11 and 12 for <b>MTF indicator</b> is reported with inclusion of value of cash collateral collected from client for MTF position. However, member should report financial ledger balance of client in <b>MTF indicator without inclusion of</b> cash collateral collected from client for MTF position.  |
| 7      | Data is not reported for certain clients by member.   |
| 8      | Data is reported incorrectly under various columns named as “Financial Ledger balance-A”, “Financial Ledger balance (clear)-B”, “Peak Financial Ledger, Balance (Clear)-C”, “Value of CC approved Commodities”, “Credit entry in ledger in lieu of EPI for clients /TM Pro”, “Pool Account for clients / TM Pro”, “Cash Collateral for MTF positions”. Please refer column number 10,11,12,18,20,21 and 65 of notice no. 20221027-46 dated October 27, 2022 while reporting data.   |
| 9      | Value of Funded portion and non funded portion of BG are incorrectly reported in columns named as “Bank Guarantee (BG) Funded portion retained with CM”, “Bank Guarantee (BG) Non funded portion retained with CM”, “Bank Guarantee (BG) Funded portion placed with CC”, “Bank Guarantee (BG) Non funded portion placed with CC”. Please refer column number 59,60, 61 and 62 of notice no. 20221027-46 dated October 27, 2022 while reporting data.  |
| 10     | The amount of funds released on account of running account settlement of client on settlement date as per BSE notice no. 20220727-48 dated July 27, 2022 and debited from bank account on next day of settlement date is not reported by member in the segregation submission under column number 63 ‘Settlement Amount’.<br>Further, as per the guidelines of clearing corporations, values are required to be reported under column ‘Settlement Amount’ in the submission made for the next working day immediate after running account settlement date. However same is reported by member in the segregation submission made for running account settlement date. |
| 11     | Funded value of BG is reported under non funded value column or vice-versa.   |