**BSE Limited**
**P.J. Tower, Dalal Street, Fort,**
**Mumbai – 400 001**
[www.bseindia.com](www.bseindia.com)

# Web based Location ID Registration User Manual

**Version 8.00**

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# 1. Getting Started with LOGIN

**How can a user login?**

The user needs to be logon to [https://ucc.bseindia.com](https://ucc.bseindia.com)  and the below mentioned screen as shown in Figure 1 is displayed prompting the user to provide the following details mentioned below :

| | | |
|---|---|---|
| **Member Code** | **:** | **Clg. No. of the Member.** |
| **User ID** | **:** | **Clg. No. of the Member. In case of sub-BAT, the sub-BAT ID to be entered.** |
| **Password** | **:** | **Password** |
| **Service** | **:** | **Members** |
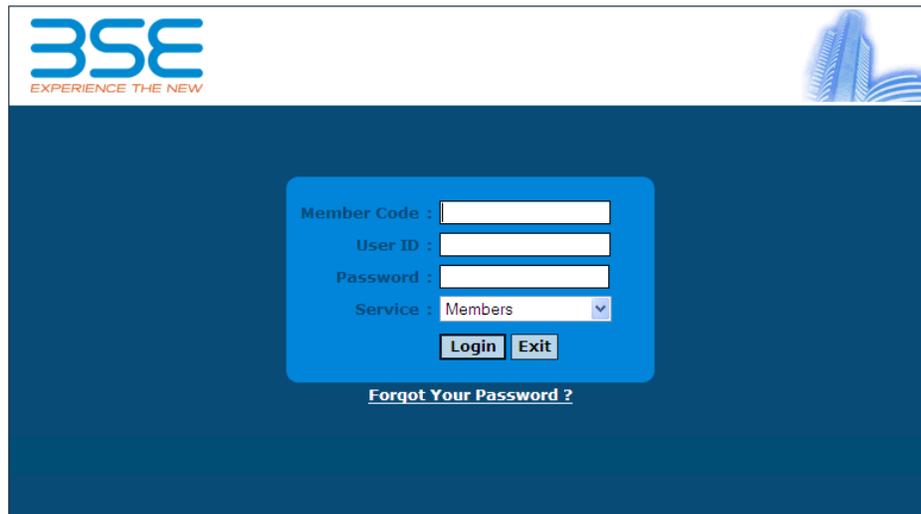


**Figure 1**

## 2. Forgot Password

In case user forgets his/her password, one needs to click on the "Forgot Your Password" link. On clicking the user needs to provide the Broker Code and the Email Id which is registered with the Exchange. The new password will be auto-mailed to the respective Email ID of the user. In case the Email Id does not match with what is registered in the Exchange, the same will be denied.
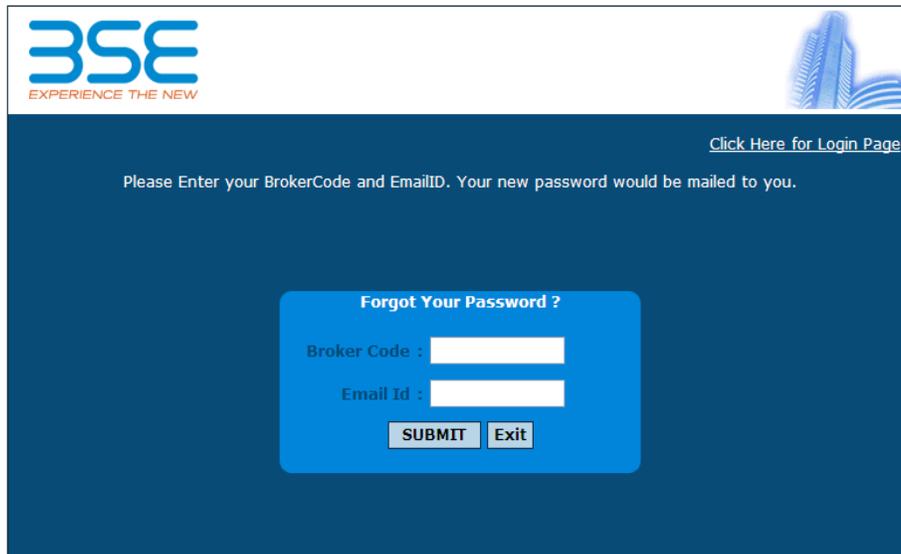


**Figure 2**

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# 3. Screen after Login

On successful logon, the user is directed to the main screen as shown in the Figure 3 below wherein new tab "**Location ID Registration**" will be made available to register the Location ID.
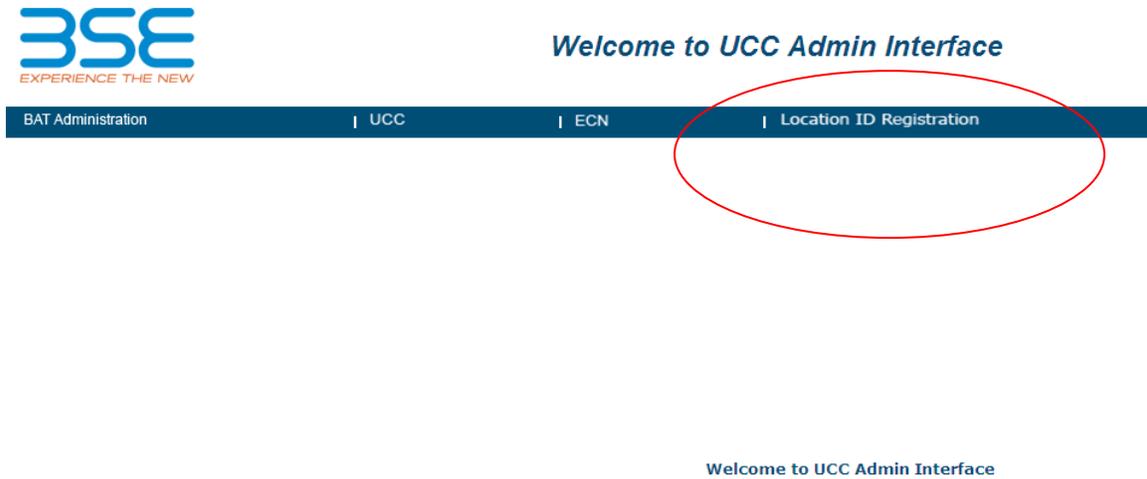


**Figure 3**

# 4. Location ID Registration

For registering the Location ID, the user needs to click on the **"Dealer Registration"** option under the "Location ID Registration" tab. The following options are made available to the user on clicking the same as shown in Figure 4
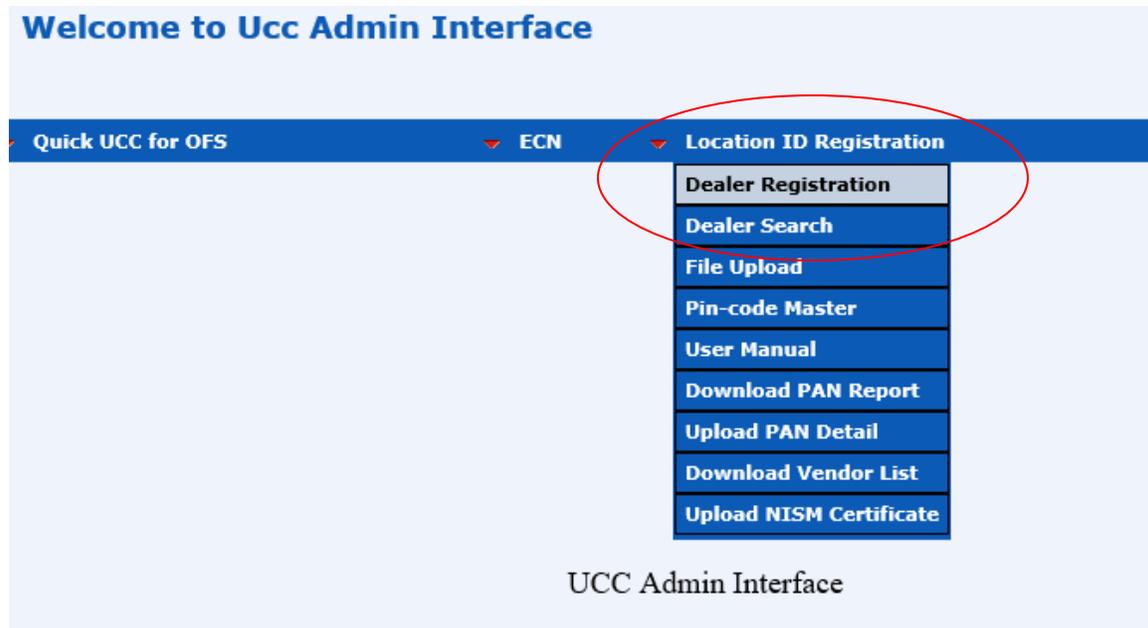


Figure 4

## 4.1. Dealer Registration

A user can register new Location ID using this option. A click on this option will redirect the user to an **Add New Registration** screen as shown in the Figure 5 below.

| Add New Registration | | |
|---|---|---|
| **User Type** — TWS | **Office Details** | |
| **Algo/ Non Algo** — ○ Non Algo  ○ Algo | Office Pin Code* | |
| **Connection Type** — Non-Internet | Office State* | |
| **Location ID** | Office City* — --Please Select City-- | |
| Pin Code* | Area Name* | |
| TWS/Branch Id* | Office Address* | |
| User ID* | | |
| Prog Trd* | | |
| Vendor Code* | | |
| **User Details** | Nature of Office — Branch | |
| First Name* | Email ID | |
| Middle Name | Phone/Fax No | |
| Last Name* | Mobile No | |
| Pin Code* | **Other Details** | |
| State* | Connection Mode — Lan | |
| City* — --Please Select City-- | Active Terminal — Active | |
| Area Name* | RelationShip with approved user using TWS/ETI — Authorised Person | |
| Address* | SEBI.Reg.No | |
| | Mapin No | |
| | **Segments*** | |
| | Cash ☐ | Equity Derivative ☐ |
| PAN NO.* | Commodity ☐ | Currency Derivative ☐ |
| Date of Birth* yyyy-mm-dd | EGR ☐ | |
| | Submit  Clear | |

**Figure 5**

Those fields marked with **RED** asterisk (**\***) are all mandatory fields. To register new Location ID, following steps are given below:

**Step 1**: The user needs to select either "TWS", "ETI" ("IML" replaced with "ETI") or "BOLTPLUS" option from the drop-down.

> If the user selects User Type as **"TWS"** then;

- The connection type and Algo/NonAlgo is always disabled showing connection type as 'Non-Internet' and the user needs to enter the Pin Code and the TWS/ETI ID ("IML" replaced with "ETI") only. The User-Id will automatically be populated with the value entered in the TWS/ETI ID ("IML" replaced with "ETI") and the Program Trading value will be 0 and the Vendor Code will be default 99.

- The UserId, Prog. Trading and Vendor Code is automatically filled in by the system.

- The Pin code selected is automatically populated in the Office Pin Code along with the Office City and Office State also.

If the user selects User Type as **"ETI" ("IML" replaced with "ETI")** then the connection type and Algo/NonAlgo will enable and showing connection type with two options, i.e., Internet, Non-Internet and Hand-held Device.

- Exchange Alloted Trading ID will be displayed with the value range from 201 to 99999.

- If the user selects Internet, the system automatically enters Pin code (as 111111), TWS/ETI ID ("IML" replaced with "ETI") (as 1111), UserId as (111), Program Trading and Vendor Code can be selected from the drop down.

- If the user selects Non-Internet, the user needs to input the Pin Code, TWS/ETI ID ("IML" replaced with "ETI"), User ID. Program Trading and Vendor Code.

- If the user selects Hand-held Device, the system automatically enters Pin code (as 555555), TWS/ETI ID ("IML" replaced with "ETI") (as 5555), Userid as (555), Program Trading can be selected either 1 or 5 and Vendor Code can be selected from the drop down.

- The Pin code entered is automatically populated in the Office Pin code along with the Office City and Office State.

If the user selects User Type as **"BOLTPLUS"→ Non- Internet**: -

- Exchange Alloted Trading ID will be displayed with the value range from 201 to 99999.

- The connection type and Algo/NonAlgo is always disabled showing connection type as 'Non-Internet' and the user needs to enter the Pin Code, TWS/ETI ID ("IML" replaced with "ETI") and User ID only. The Program Trading value will be 0 and the Vendor Code will be default 98.

- The Prog. Trading and Vendor Code is automatically filled in by the system.

- The Pin code selected is automatically populated in the Office Pin Code along with the Office City and Office State also.

If the user selects User Type as **"BOLTPLUS"→ Internet**: -

- Algo/NonAlgo will always disable, and Exchange Alloted Trading ID will be displayed with the value range from 201 to 99999.

- The Pincode, TWS/ETI ID ("IML" replaced with "ETI") and Userid values will be '111111','1111','111' respectively, program Trading value will be 0 and the Vendor Code will be default 98.

- The Prog. Trading and Vendor Code is automatically filled in by the system.

- The Pin code selected is automatically populated in the Office Pin Code along with the Office City and Office State also.

Step 2 :   All the other fields need to be entered by the user. All the fields marked with Red Asterisk are mandatory fields

Step 3:   Once all the fields are properly entered, the user needs to click on the "Submit" button to register the same.

If user checked only Cash (Equity) segment, then on submit the system will pop-up confirmation box as **"Dealer Added Successfully...Do you want to upload NISM for Equity"** as shown in Figure 6 below and when user click on OK button user is redirected to **Upload NISM Certificate** page.

If user checked either of Equity Derivative, Commodity or Currency Derivative segment, then on submit the system gives pop-up as **"Dealer Added Successfully, please add and upload NISM certificate"** as shown in Figure 7 below and after click on OK button user is redirected to **Upload NISM Certificate** page.

If user checked only EGR segment, then on submit system will give pop-up as **"Dealer Added Successfully"** as shown in Figure 8 below. Press OK to add another Location ID.

Figure 6

**Figure 7**

**Figure 8**

## 4.2. Dealer Search

The user has the option to search or modify or download the Location ID details by accessing the "Search/Modify/Download" option as given in the screen shot below at Figure 9.
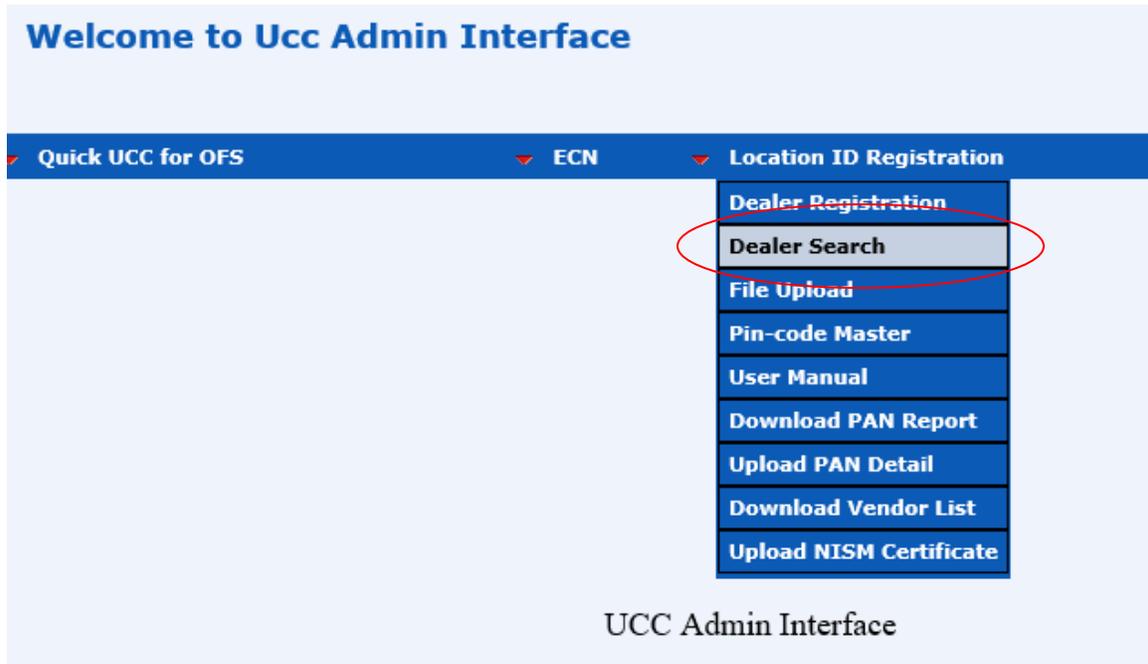


**Figure 9**

The "Search/Modify/Download" gives the user option to search the record based on criteria, modify the record and also download the record based on the search criteria. The below mentioned screen shot at Figure 10 gives details of the various search criteria on which the can access the records.



Figure 10

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It should be noted that the search criteria is based only for a single "Office State". The various criteria include, based on "Active Terminal" (whether Active / De-active), based on Program Trading, Nature of Office.

If the user does not give any search criteria, the system will show all the records registered under the user as on that day. The user needs to click on **"Search"** button to retrieve the records as per the search criteria as shown in the Figure 11 below.



| **Search/Modify/Download** | | | | | | |
|---|---|---|---|---|---|---|
| LOCATION ID | | | | | | |
| ACTIVE TERMINAL | Select All | | | | | |
| PROGRAM TRADING | Select All | | | | | |
| NATURE OF OFFICE | Select All | | | | | |
| OFFICE STATE | GUJARAT | | | | | |
| OFFICE CITY | Select All | | | | | |
| OFFICE AREA | Select All | | | | | |

Search   Download

| **Records** | | | | | | |
|---|---|---|---|---|---|---|
| USER TYPE | LOCATION ID | OFF CITY | OFF STATE | NATURE OF OFFICE | STATUS | DELETED_DATE |
| TWS | 380006-0900-900-0-99 | AHMEDABAD | GUJARAT | Branch | Active | Modify |
| TWS | 380006-0700-700-0-99 | AHMEDABAD | GUJARAT | Branch | Active | Modify |
| TWS | 380006-0210-210-0-99 | AHMEDABAD | GUJARAT | Branch | Active | Modify |
| IML | 111111-1111-111-0-02 | VALSAD | GUJARAT | Branch | Active | Modify |

**Figure 11**

The records once retrieved can be modified by clicking on the **"Modify"** button which restores the record to be modified on the screen. The user needs to update the relevant field and click on the "Modify" button to apply the modifications.

If user checked only Cash (Equity) segment, then on submit the system will pop-up confirmation box as **"Dealer Modified Successfully...Do you want to upload NISM for Equity."** as shown in Figure 12 below.

If user checked either of Equity Derivative, Commodity or Currency Derivative segment, then on submit the system gives pop-up as **"Dealer Modified Successfully, please add and upload NISM certificate"** as shown in Figure 13 below.

If user checked only EGR segment, then on submit system will give pop-up as **"Dealer Modified Successfully"** as shown in Figure 14 below.

**Figure 12**

**Figure 13**

**Figure 14**

The users can also download the records based on the search criteria's as a pipe separated text file. In order to download the records, the users' needs to first search the records as shown in Figure 11 and once the records are retrieved from the search criteria, the user needs to click on the "Download" button to download the records. The file so downloaded is in the same format as that of the upload file format. In case users want to do bulk modification, they can download the records and then update the first field to 'M' (modify) from 'i' (ignore), do the necessary changes and upload the same file again to the system.

For those who have deleted the record/locationid details out of oversight, the same can be downloaded from the system using the "Dealer Search" option and selecting the search criteria under the "Active Terminal" option as "Deleted". Once after this the user needs to click the "Search" button to display the records that are deleted. In order to generate the batch upload file, the user needs to select the "Download" button which will download the file in the same format as that of the upload file format. The user needs to change the first field from 'i' to 'A' (to add the record) and Active Terminal field to 'Y' from 'D' and reupload using the 'File Upload' option.

## 4.3. File Upload

The system also allows the user to do a batch upload to the system if the flat file is generated from the users' back-office directly. The flat file so generated should be in the format specified by BSE and should be pipe ("|") separated. In order to do a file upload, the user needs to click on the "Location ID Registration"->" **File Upload**" option as given in the Figure 15 below:



**Welcome to Ucc Admin Interface**

Quick UCC for OFS          ECN          Location ID Registration

Dealer Registration
Dealer Search
File Upload
Pin-code Master
User Manual
Download PAN Report
Upload PAN Detail
Download Vendor List
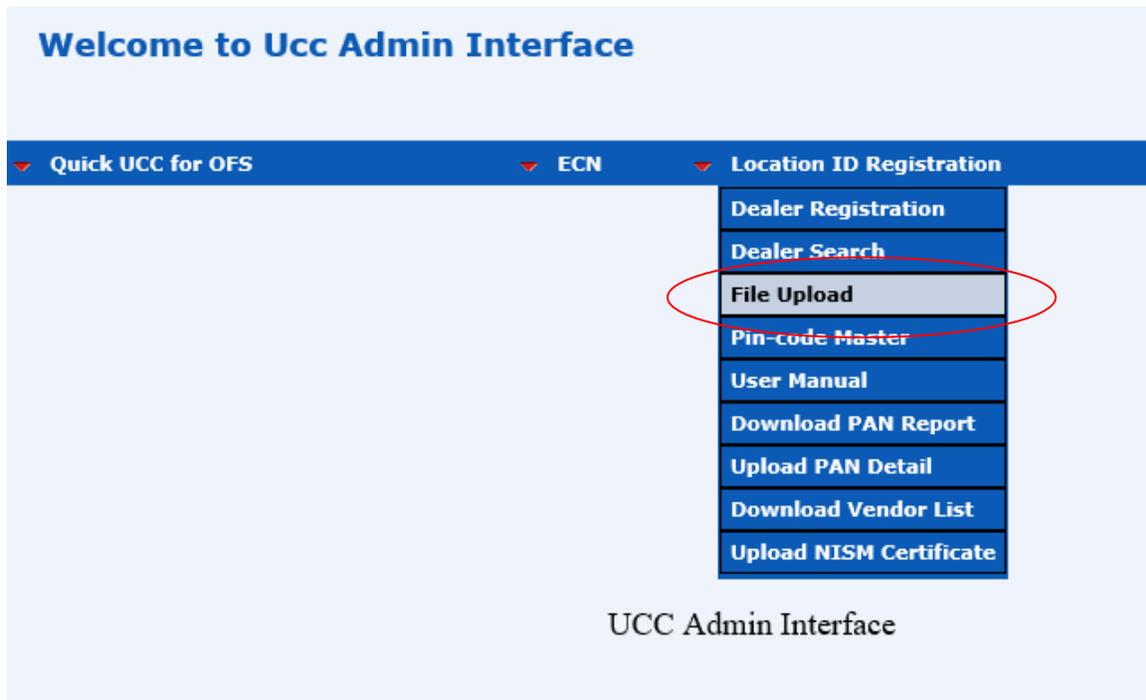Upload NISM Certificate

UCC Admin Interface

**Figure 15**

To upload dealer registration batch file, user needs to click on upload button of Dealer Registration File Upload window as shown in Figure 16.
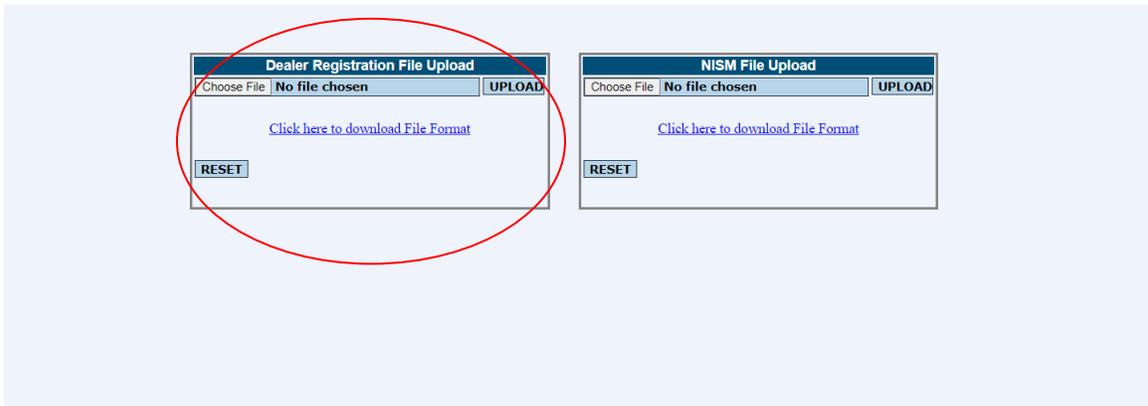
**Figure 16**

On clicking the File Upload option, the user is navigated to a separate window which prompts the user to browse the file from the specific location as shown in Figure 17 below.
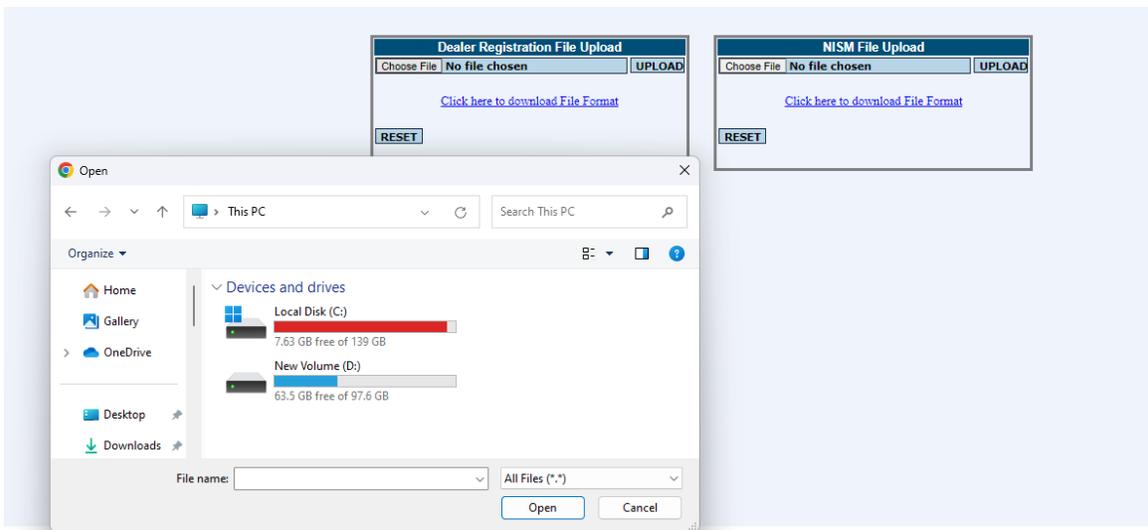


**Figure 17**

The user needs to select the appropriate file and click on the "**UPLOAD**" button in order to upload the same in the system.

In case the file uploaded has encountered an error, the same is displayed as an error and the user is able to download the error file by clicking on the link "Download Error File" in order to know what error has encountered in the file and rectify the same, which is seen in the screen shot shown in Figure 18 below.
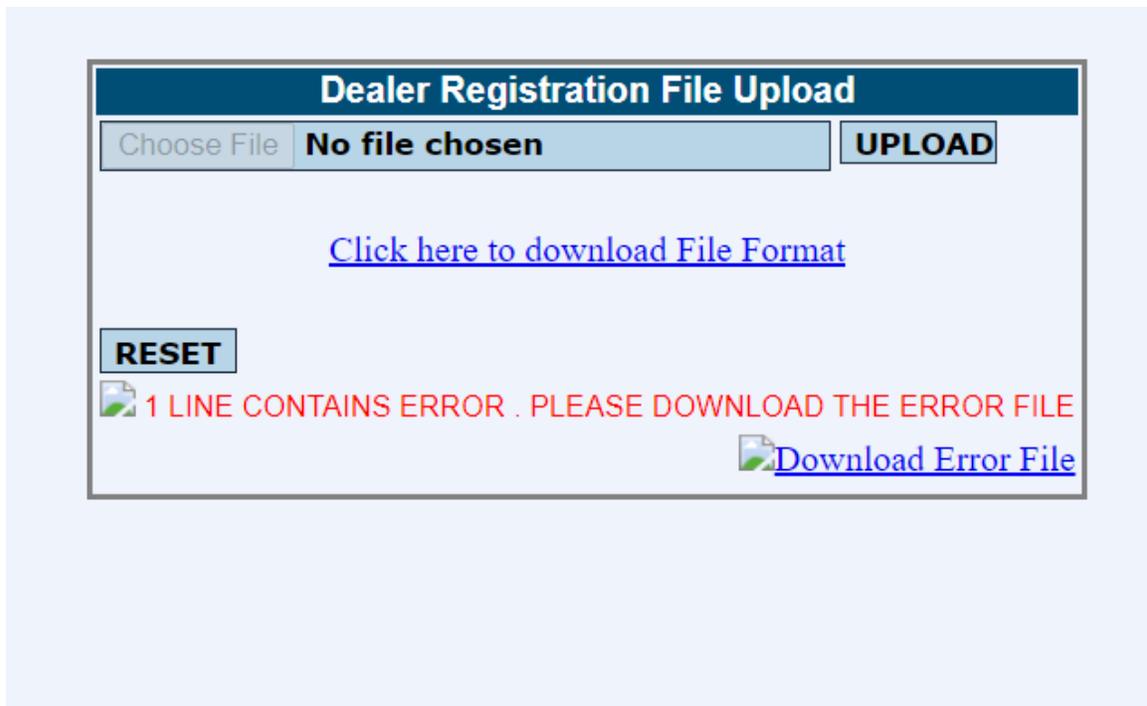
**Figure 18**

The error file so downloaded is in the same format of the upload file, but the ERROR text is displayed towards the last column of the row after the "~" sign as in given below.

```
0~(Error:INCORRECT COMBINATION  OF RESIDENTIAL PINCODE and CITYNAME)
0~(Error:INCORRECT COMBINATION  OF RESIDENTIAL PINCODE and
   CITYNAME)|(Error: NATURE OF OFFICE SHOULD BE DR SITE ONLY IN THIS
   CASE)
```

After rectifying the errors as per the error message displayed, the user can remove the ERROR text and upload the same file to the system. Once the file is validated and uploaded to the system without any errors, the user is prompted with "SUCCESS" message as shown in Figure 19 below.
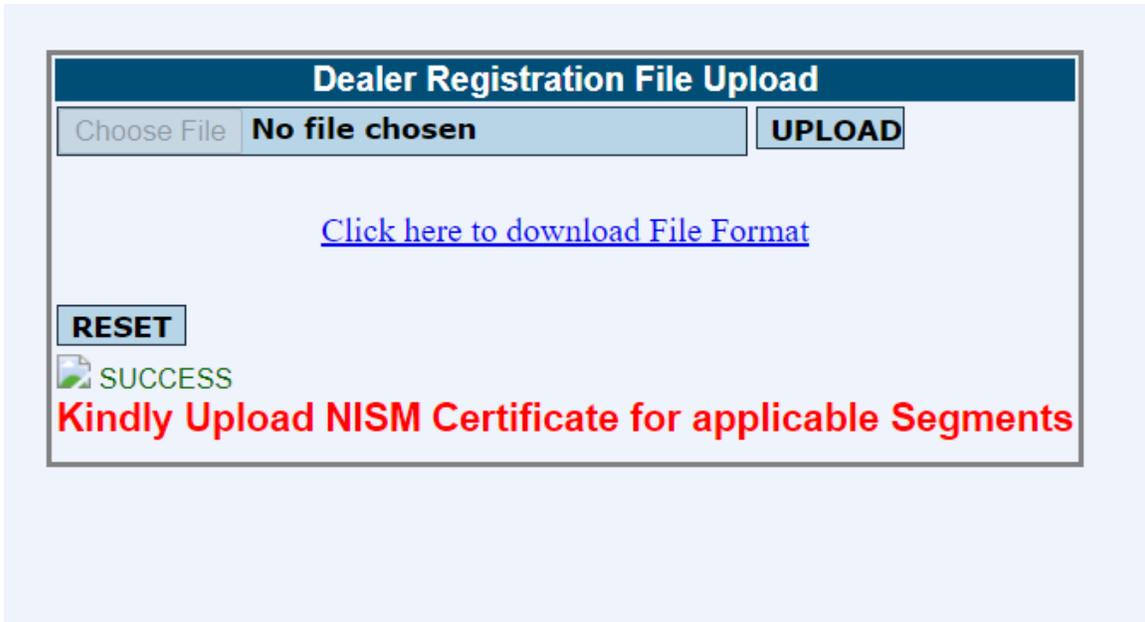
---

**Figure 19**

## 4.3.1. Batch Upload File Format

To upload batch upload file, the file format is given below:

| Field Name | Data Type | Validations |
|---|---|---|
| Mode of record | Char 1 | **Values :**<br>A – Addition<br>M – Modification |
| User Type | Integer 1 | **Drop down Values :**<br>0    for TWS<br>1    for ETI ("IML" replaced with "ETI")<br>2    for BOLTPLUS |
| User Id<br><br>Pin-Code<br>TWS/ETI ID<br>User Id<br>Prog. Trading<br>Vendor Code | <br><br>Integer 6<br>Integer 4<br>Integer 3<br>Integer 1<br>Integer 2 | **Mandatory**<br>**Program Trading drop down Values :**<br>0-No Program Trading<br>1-Algo. Trading<br>2-DMA<br>3-DMA Algo. Trading<br>4-SOR<br>5-Hand Held devices<br>6-SOR with DMA<br>7- SOR DMA with Algo.<br><br>**Vendor Code drop down values :**<br>**(Refer Vendor Code List)** |
| Registered Office Address | Alphanum 70 | **Mandatory** |
| Office Area Name | Char 70 | Mandatory |
| Office City | Char 20 | **Should be selected from drop down** |
| Office Pin Code | Integer 6 | Should be extracted from the Pin code master. |
| Nature of Office | Integer 1 | **Values:**<br>0 - Branch<br>1 - Head<br>2 - Registered<br>4 – DR Site<br>5 - Others<br>6 - Authorised Person |
| First Name | Char 20 | **Mandatory** |
| Middle Name | Char 20 | **Mandatory** |
| Last Name | Char 20 | **Mandatory** |
| Email ID | Char 50 | **Non-mandatory** |
| Phone / Fax No. | Char 12 | **Non-mandatory** |
| Mobile Number | Integer 10 | **Non-mandatory** |
| Mapin No. | Alphanum 10 | **Non-mandatory** |

| | | |
|---|---|---|
| SEBI Reg. No. | Alphanum 17 | **Mandatory if Nature of office or Relationship is Authorised person else non-mandatory** |
| Relationship with approved user using TWS/ETI | Integer 1 | **Values:**<br>0- Authorised Person<br>1- Dealer<br>2- Employee<br>4- Remisier<br>5- Employee Of Authorised Person<br>6- Partner/Proprietor/Director |
| Date of Birth | Char 10 | **Mandatory**<br>Format yyyy-mm-dd and should be above 18 years of age. |
| Residence Address | Alphanum 70 | **Mandatory** |
| Res. Area Name | Char 70 | Mandatory |
| Residence City | Char 20 | **Should be selected from drop down** |
| Residence Pin-code | Integer 6 | Should be extracted from the Pin code master. |
| Connection Mode | Integer 1 | **Values:**<br>0-LAN<br>1-Leased Line<br>2-POP<br>3-MPLS<br>4-Internet<br>5-VSAT<br>6-Others |
| Active Terminal | Char 1 | **Values:**<br>Y-Active<br>N-De-active<br>D-Delete |
| Connection Type | Integer 1 | **Values:**<br>0-Non-Internet<br>1-Internet<br>2-Hand-held Device |
| Pan No | Alphanum 10 | **Mandatory** |
| Cash | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Equity Derivative | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Currency Derivative | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Commodity | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| EGR | Char 1 | **Values:** |

| | | Y- Yes<br>N- No |
|---|---|---|
| AlGO_NONALGO | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| ExchangeAllotedTradingID | Integer 5 | **Values:**<br>Range from 201 to 99999 |
| ID | Integer | **Values:**<br>ID field will be get by downloading the record |

**SAMPLE UPLOAD FILE**

Add/Modify|UserType|Pincode|Tws/BranchId|UserId|Prog.Trading|Vendorcode|OfficeAddress|OfficeAreaName|OfficeCity|OfficePincode|NatureofOffice|FirstName|MiddleName|LastName|Emailaddress|PhoneNumber|Mobile|Mapinno|SebiRegiNo|Relationship|Dateofbirth|ResidenceAddress|ResidenceAreaName|ResidenceCity|ResidencePincode|ConnectionMode|ActiveTerminal|ConnectionType|PANNumber|Cash|EquityDerivative|CurrencyDerivative|Commodity|EGR|AlGO_NONALGO|ExchangeAllotedTradingID|ID

The format of the Error file downloaded by the system is given below:

| Field Name | Data Type | Validations |
|---|---|---|
| Mode of record | Char 1 | **Values:**<br>i- ignore |
| User Type | Integer 1 | **Drop down Values:**<br>0 for TWS<br>1 for ETI ("IML" replaced with "ETI")<br>2 for BOLTPLUS |
| User Id<br><br>Pin-Code<br>TWS/ETI ID<br>User Id<br>Prog. Trading<br>Vendor Code | <br><br>Integer 6<br>Integer 4<br>Integer 3<br>Integer 1<br>Integer 2 | **Mandatory**<br>**Program Trading drop down Values:**<br>0-No Program Trading<br>1-Algo. Trading<br>2-DMA<br>3-DMA Algo. Trading<br>4-SOR<br>5-Hand Held devices<br>6-SOR with DMA<br>7- SOR DMA with Algo.<br><br>**Vendor Code drop down values:**<br>**(Refer Vendor Code List)** |
| Registered Office Address | Alphanum 70 | **Mandatory** |
| Office Area Name | Char 70 | Mandatory |
| Office City | Char 20 | **Should be selected from drop down** |
| Office Pin Code | Integer 6 | Should be extracted from the Pin code |

| | | |
|---|---|---|
| | | master. |
| Nature of Office | Integer 1 | **Values:**<br>0 - Branch<br>1 - Head<br>2 - Registered<br>4 – DR Site<br>5- Others<br>6- Authorised Person |
| First Name | Char 20 | **Mandatory** |
| Middle Name | Char 20 | **Mandatory** |
| Last Name | Char 20 | **Mandatory** |
| Email ID | Char 50 | **Non-mandatory** |
| Phone / Fax No. | Char 12 | **Non-mandatory** |
| Mobile Number | Integer 10 | **Non-mandatory** |
| Mapin No. | Alphanum 10 | **Non-mandatory** |
| SEBI Reg. No. | Alphanum 17 | **Mandatory if Nature of office or Relationship is Authorised person else non-mandatory** |
| Relationship with approved user using TWS/ETI | Integer 1 | **Values:**<br>0- Authorised Person<br>1- Dealer<br>2- Employee<br>4- Remisier<br>5- Employee Of Authorised Person<br>6- Partner/Proprietor/Director |
| Date of Birth | Char 10 | **Mandatory**<br>Format yyyy-mm-dd and should be above 18 years of age. |
| Residence Address | Alphanum 70 | **Mandatory** |
| Res. Area Name | Char 70 | Mandatory |
| Residence City | Char 20 | **Should be selected from drop down** |
| Residence Pin-code | Integer 6 | Should be extracted from the Pin code master. |
| Connection Mode | Integer 1 | **Values:**<br>0-LAN<br>1-Leased Line<br>2-POP<br>3-MPLS<br>4-Internet<br>5-VSAT<br>6-Others |
| Active Terminal | Char 1 | **Values:**<br>Y-Active<br>N-De-active<br>D-Delete |
| Connection Type | Integer 1 | **Values:**<br>0-Non-Internet<br>1-Internet |

| | | 2-Hand-held Device |
|---|---|---|
| Pan No | Alphanum 10 | **Mandatory** |
| Cash | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Equity Derivative | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Currency Derivative | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| Commodity | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| EGR | Char 1 | **Values:**<br>Y- Yes<br>N- No |
| AlGO_NONALGO | Char 1 | **Mandatory if User Type is ETI ("IML" replaced with "ETI") else disabled.** |
| ExchangeAllotedTradingID | Integer 5 | **Mandatory if User Type is ETI ("IML" replaced with "ETI") or BOLTPLUS else disabled.** |
| ID | Integer | **Mandatory for modification of records.** |

**SAMPLE ERROR FILE**

i|0|400001|0901|901|0|99|BORABAZAR|BORABAZAR|MUMBAI|400001|0|TEST|TEST|TEST|ABC@XYZ.COM|88888888|9999999999||INE00000000|0|1990-01-01|PJT   DALAL STREET MUMBAI 400001|FORT|MUMBAI|400001|0|Y|0|AAAZZ1000C|N|N|N|N|N||
<span style="color:red">~ (ERROR: Invalid initial flag value.) (Error: Atleast one segment should be selected)</span>

---

## 4.3.2:- Authorised Person

Authorised Person option made available in Nature of Office.  Sub broker option disabled from Nature of office and Relationship with approved user using TWS/ETI removed. If user selects Nature of Office as Authorised Person, SEBI.Reg.No. /Exchange Registration No. is made mandatory field. (Figure 20)



Figure 20

Figure 21

## 4.3.3: - Employee of Authorised Person

Employee of Authorised Person option made available in Relationship with approved user using TWS/ETI. (Figure 22)



**Figure 22**

## 4.4    Pan Report Download

The system also allows the user to download blank pans/invalid pans/dealer pan mismatch report in the Location ID Module as and when required. In order to download this report, the user needs to click on the "Location ID Registration"->" Download Pan Report" option as shown in Figure 23 below.
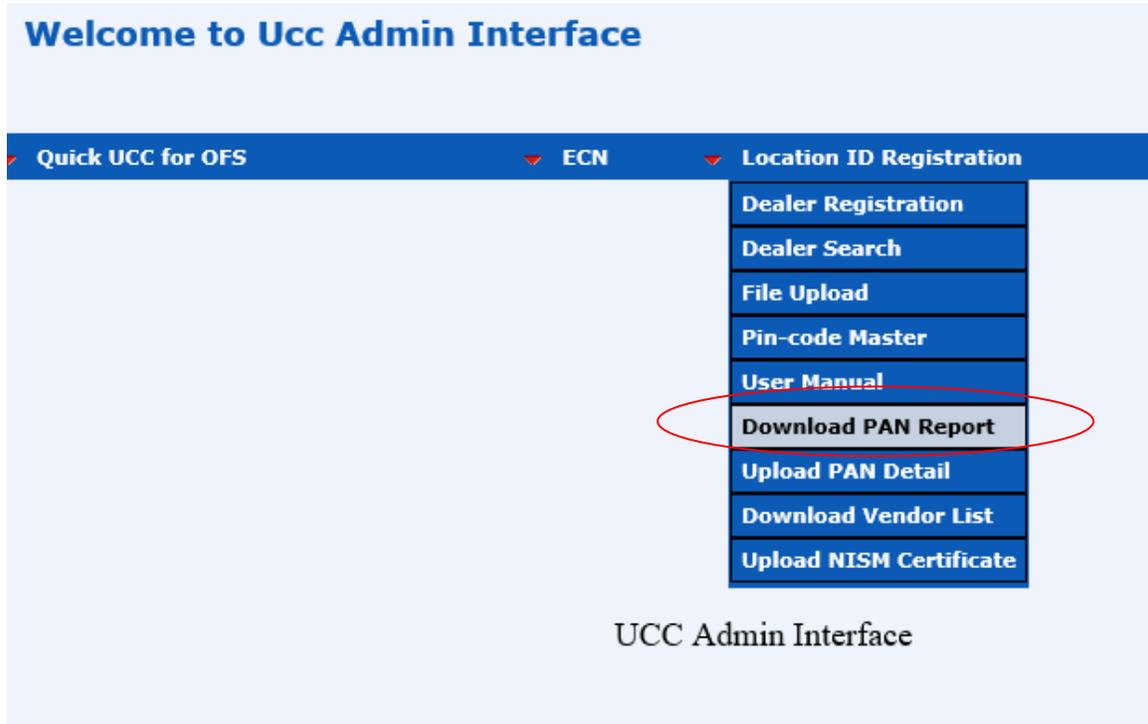


**Figure 23**

On clicking the 'Download Pan Report' the user is guided to another screen wherein he can download the above three reports by clicking on the respective button as shown in Figure 24 below:
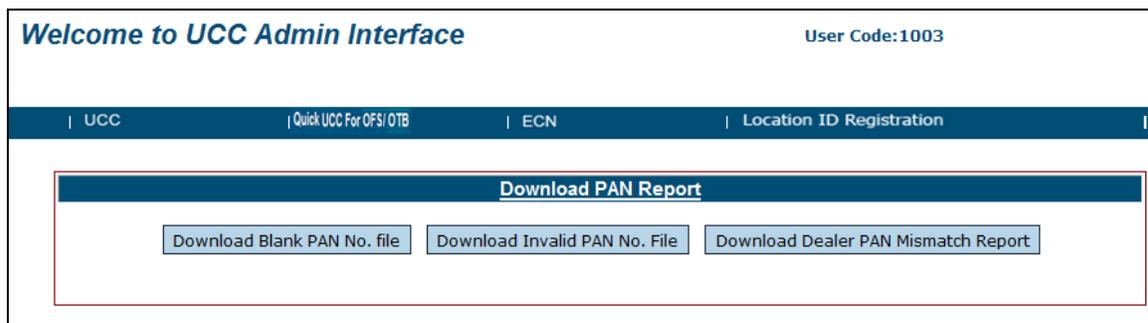


**Figure 24**

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## 4.4.1    File Upload of PAN details.

The system allows the users to upload pan details using batch upload. Here the user needs to provide necessary details along with the pan number in a prescribed format and upload the same on to the system. In order to upload the Pan details using batch upload, the user need to click on the "Location ID Registration"-> "Upload PAN Details" as shown in Figure 25 below:
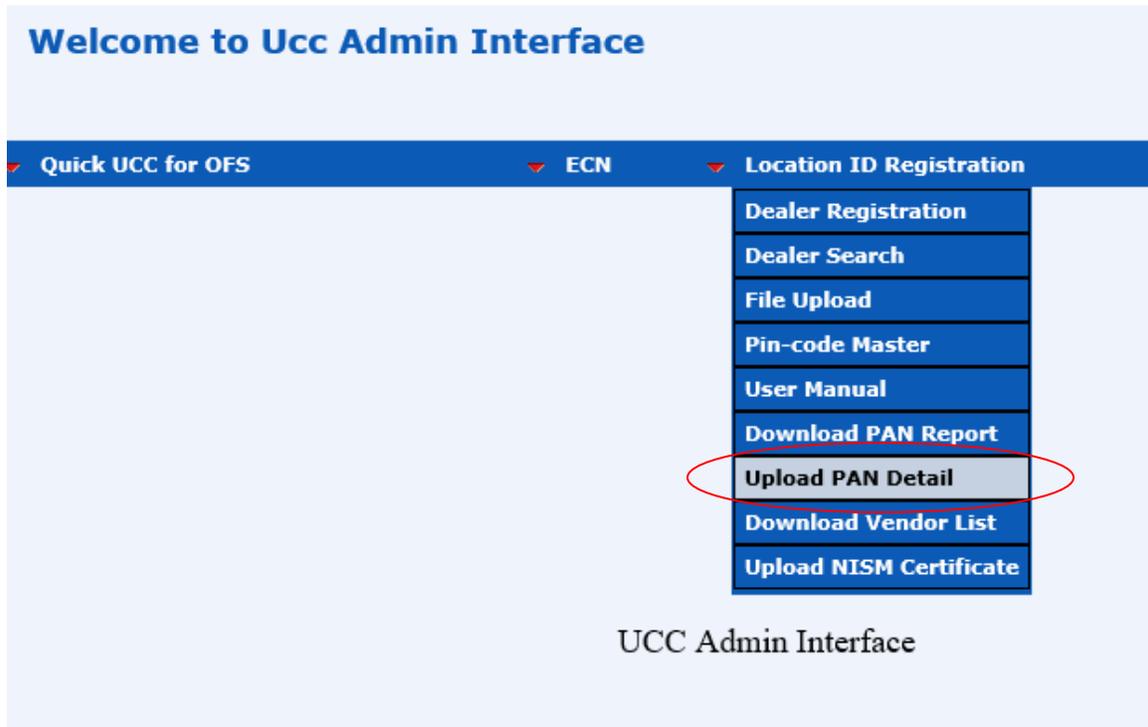


**Figure 25**

On clicking on "Upload PAN Detail" the user is guided towards another screen wherein the user can select the file containing Pan details to the system as shown in Figure 26 below:
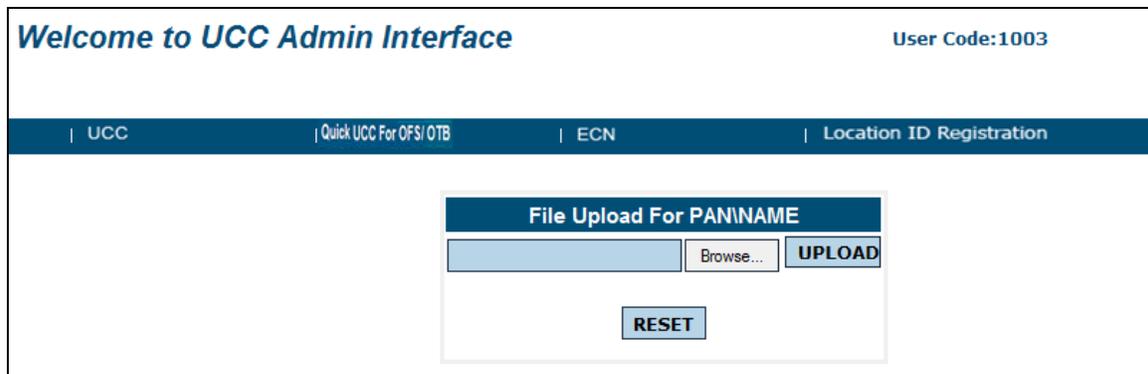


**Figure 26**

---

The user needs to select the appropriate file and click on the "**UPLOAD**" button in order to upload the same on to the system.

## 4.4.2 Batch Upload File Format for uploading PAN details

To upload batch upload file, the file format is given below:-

| Field Name | Data Type | Validations |
|---|---|---|
| Initial Flag | Char 1 | Values :    M – |
| Location ID | Integer 16 | Location ID |
| First Name | Char 20 | First Name |
| Middle Name | Char 20 | Middle Name |
| Last Name | Char 20 | Last Name |
| Pincode | Integer 6 | Pincode of the location |
| Area Name | Char 20 | |
| City Name | Char | City name |
| State Name | Char | |
| Address | Alphanum 70 | Address of the user |
| Date of Birth | Char 10 | format yyyy-mm-dd and should be above 18 years of age. |
| PanNo | Alphanum 10 | |

**Sample file:-**

Initial Flag|Location ID|First Name|Middle Name|Last Name|Pincode|Area Name|City Name|State Name|Address|Date Of Birth|PANNo.

## 4.5   Pin-code master

The system also allows the user to do download updated pin-code master. In order to download this file, the user needs to click on the "Location ID Registration"->"Pin-code master" option as shown in Figure 27 below.
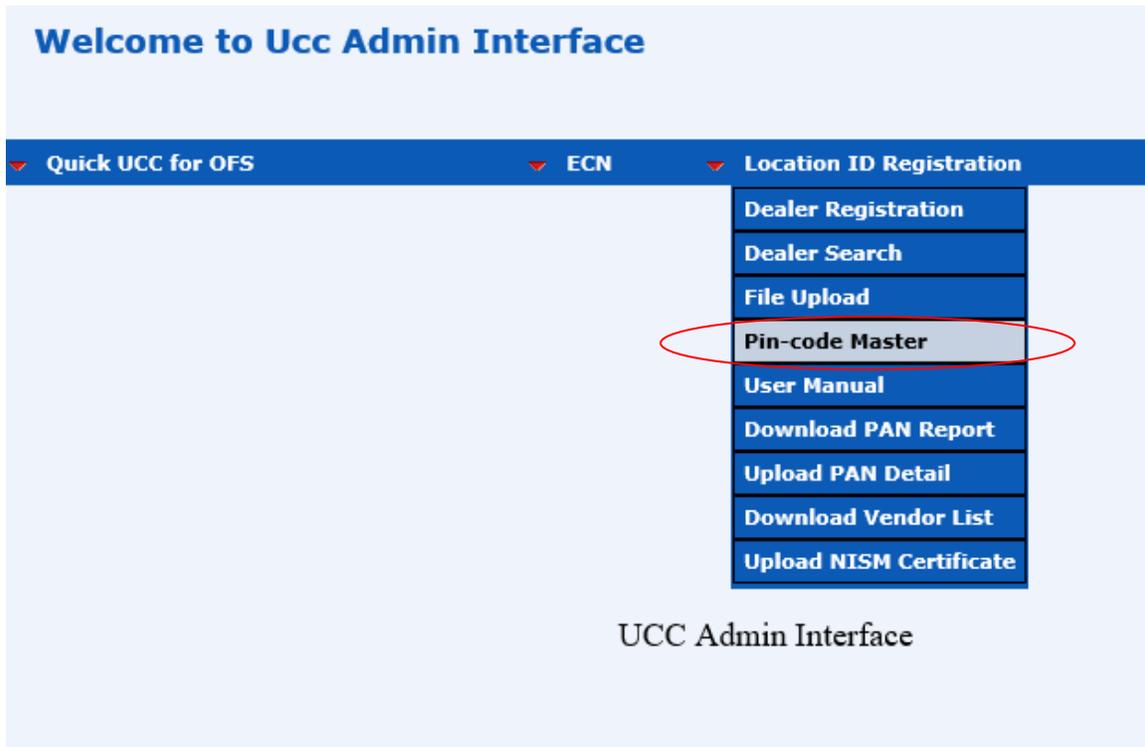


Figure 27

## 4.6 User Manual

A detailed User Manual is made available to the users who are new to the system. The user manual is self-explanatory. The user needs to click on "Location ID Registration" -> "User Manual" option as shown in Figure 28 below.
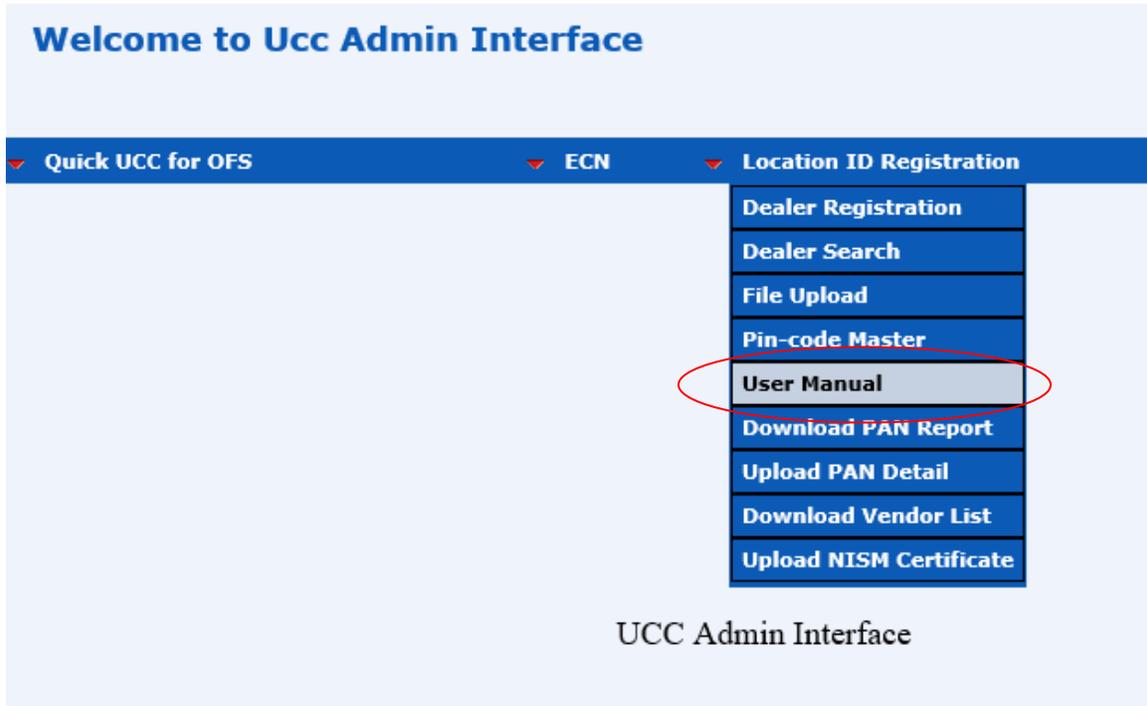


Figure 28

## 4.7    Vendor List

List of Vendors along with vendor code is made available from the below link. The user needs to click on "Location ID Registration" -> "Download Vendor List" option as shown in Figure 29 below.
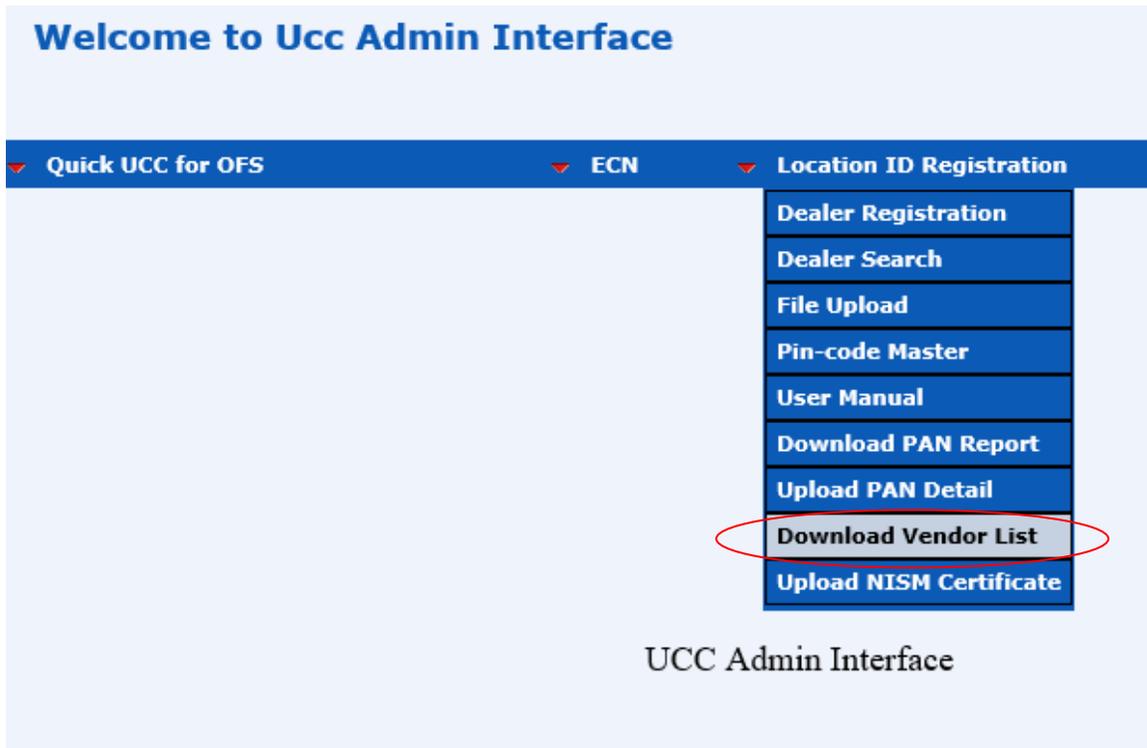


Figure 29

## 4.8   NISM Certificate

To Upload NISM Certificate and fill up associated details of NISM Certificate can be done using below link. The User needs to click on "Location ID Registration" -> "Upload NISM Certificate" option as shown in below Figure 30.
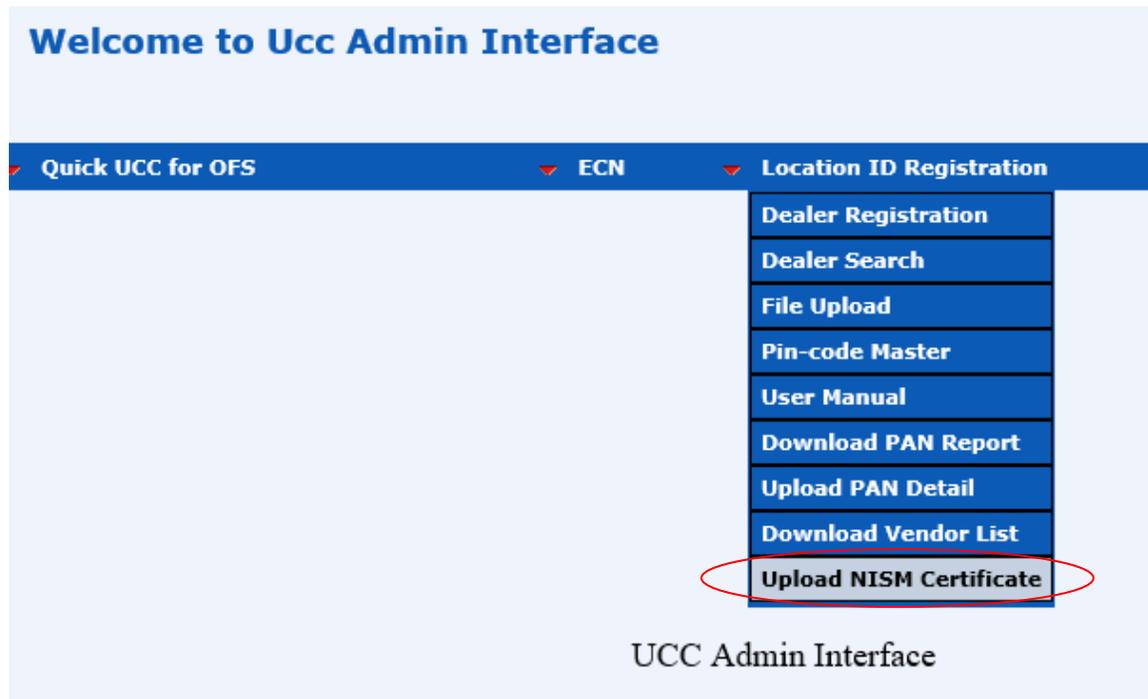


Figure 30

Once user is redirected to "Upload NISM Certificate" page , Dealear details table is displayed with details such as Location Id, Pan No and dealer name as shown in below Figure 31



Figure 31

## 4.8.1 Add New NISM Certificate Details

User have to click on "View" button , this will Display to user NISM Details table with NISM details such as Segment, NISM Certificate Number, Valid From date, Valid to date, Attachment, Status as shown in below Figure 32



Figure 32

User have to click on "ADD" button to add NISM Details and Upload the NISM Certificate. After clicking on "ADD" button a block will get displayed where user have to fill up the NISM details as shown in below Figure 33

Figure 33

Once user fills the valid details and clicks on submit button a confirmation pop-up will be shown as "Are you sure you want to submit?" as shown in below Figure 34



Figure 34

After clicking on the "Ok" button of confirmation pop-up , details will be added successfully and pop-up as "NISM Details Added Successfully" also details will get displayed in NISM Details Table as shown in below Figure 35

Figure 35

## 4.8.2 Modify NISM Certificate Details

To modify NISM details of particular segment user have to click on "Update" button. After clicking on "Update" button a block will get displayed with NISM details and user can do the required modifications as shown in below Figure 36.



Figure 36

Once user modifies the required details and clicks on submit button a confirmation pop-up will be shown as "Are you sure you want to submit?" as shown in below Figure 37

---

Figure 37

After clicking on "Ok" button of confirmation pop-up , details will be Modified successfully and pop-up as "NISM Details modified successfully" also details will get displayed in NISM Details Table as shown in below Figure 38.



Figure 38.

### 4.8.3 Renew Expired NISM Certificate Details

If certificate gets expired, to renew certificate user must click on renew button and can replace old certificate to new certificate details as shown in below Figure 39.



Figure 39

Once user replace the old certificate details with new certificate details and clicks on submit button a confirmation pop-up will be shown as "Are you sure you want to submit?" as shown in below Figure 40



Figure 40

After clicking on "Ok" button of confirmation pop-up , details will be renewed successfully and pop-up as "NISM Details added successfully" also details will get displayed in NISM Details Table as shown in below Figure 41.



Figure 41

The users can also download the records based on the search criteria as a pipe separated text file. To download the records, the user needs to click on the "Download NISM Details" button to download the records. The file downloaded is in the same format as that of the upload file format. In case users want to do bulk modification, they can download the records and then update the first field to 'M' (modify) from 'i' (ignore), do the necessary changes and upload the same file again to the system.

## 4.8.4 Search and Download NISM Certificate Details

The Smart Search option has been provided to search the record based on the criteria, Add or Modify the record and download the record based on the search criteria. The below mentioned screenshot at Figure 42 gives details of the various search criteria on which users can access the records.



Figure 42

If the user does not give any search criteria, the system will show all the registered records and the latest record on top. By default, Active Terminal as 'Y' Location ID record will be displayed.  The user needs to click on "**Search**" button to retrieve the records as per the search criteria as shown in Figure 43 below.



Figure 43

## 4.9 NISM Certificate Batch Upload

The system also allows the user to do a batch upload of NISM Certificate to the system if the flat file is generated from the users' back-office directly. The flat file so generated should be in the format specified by BSE and should be pipe ("|") separated. To do a file upload, the user needs to click on the "Location ID Registration"->" **File Upload**" option as given in the Figure 44 below:
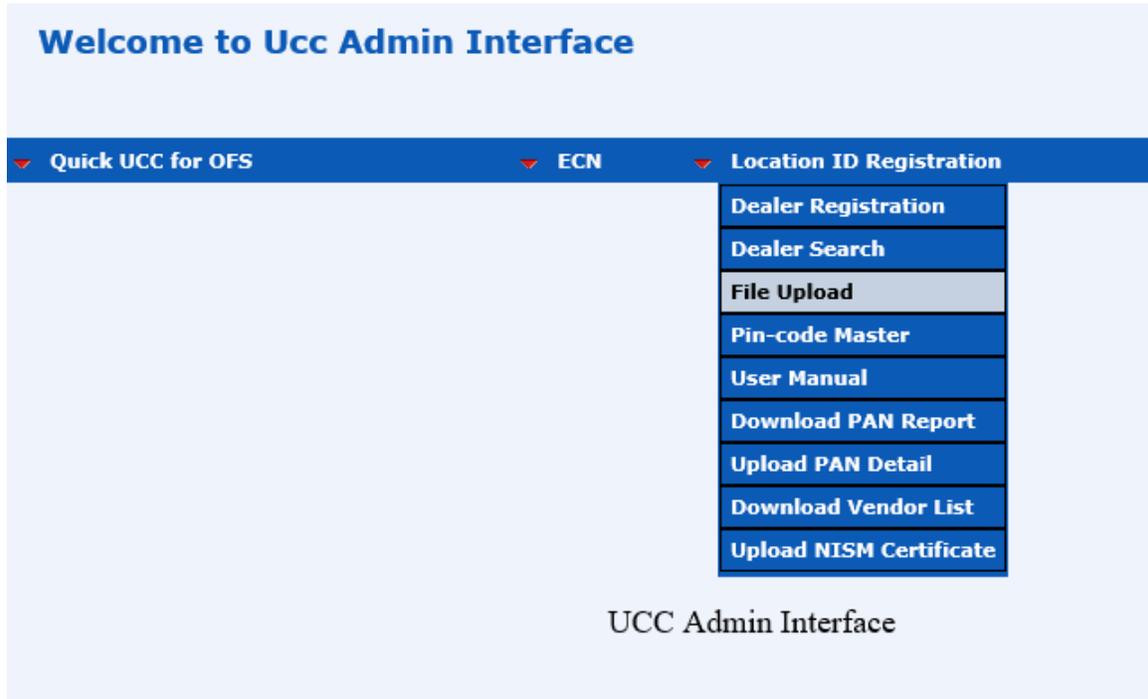


Figure 44

To upload NISM Certificate batch file, user needs to click on upload button of NISM File Upload window as shown in Figure 45.
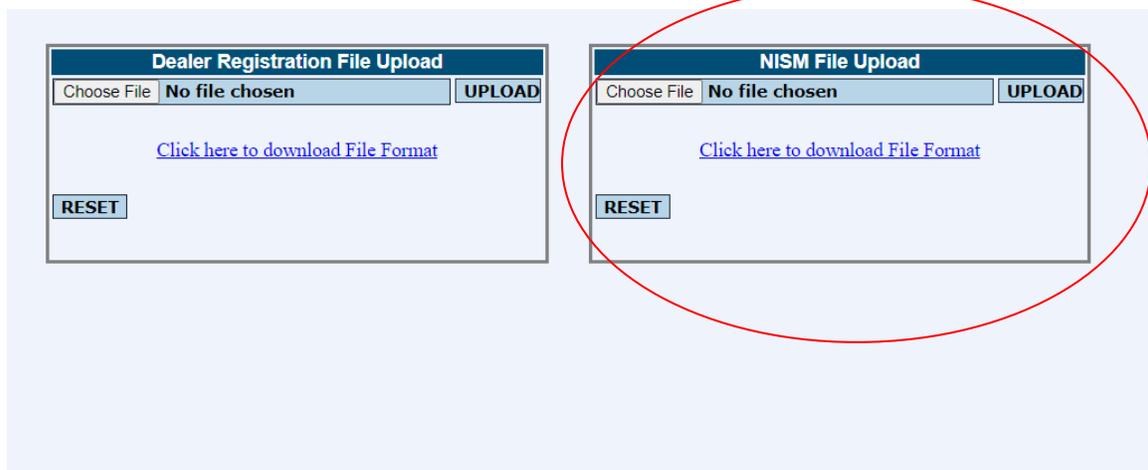


Figure 45

---

On clicking the File Upload option, the user is navigated to a separate window which prompts the user to browse the file from the specific location as shown in Figure 46 below.
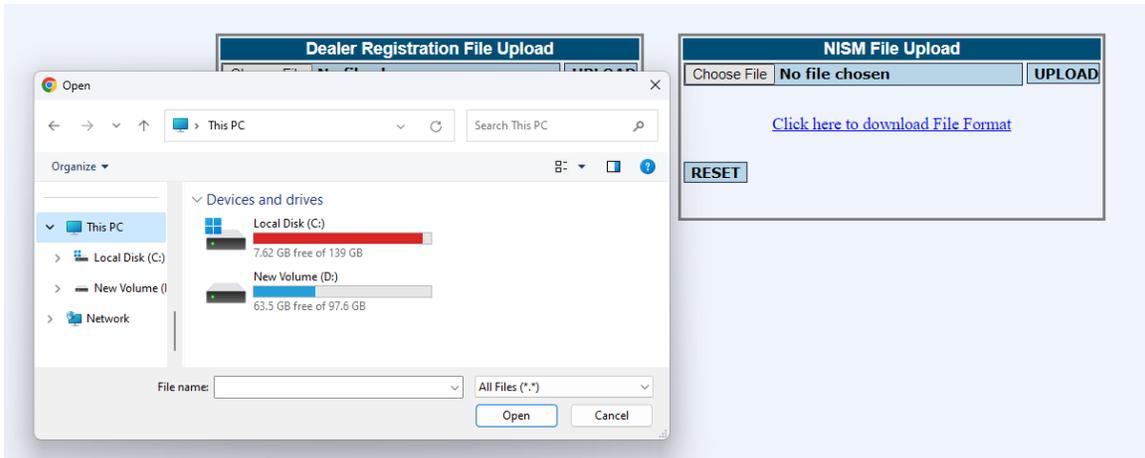


Figure 46

In case the file uploaded has encountered an error, the same is displayed as an error and the user is able to download the error file by clicking on the link "Download Error File" in order to know what error has encountered in the file and rectify the same, which is seen in the screen shot shown in Figure 47 below.
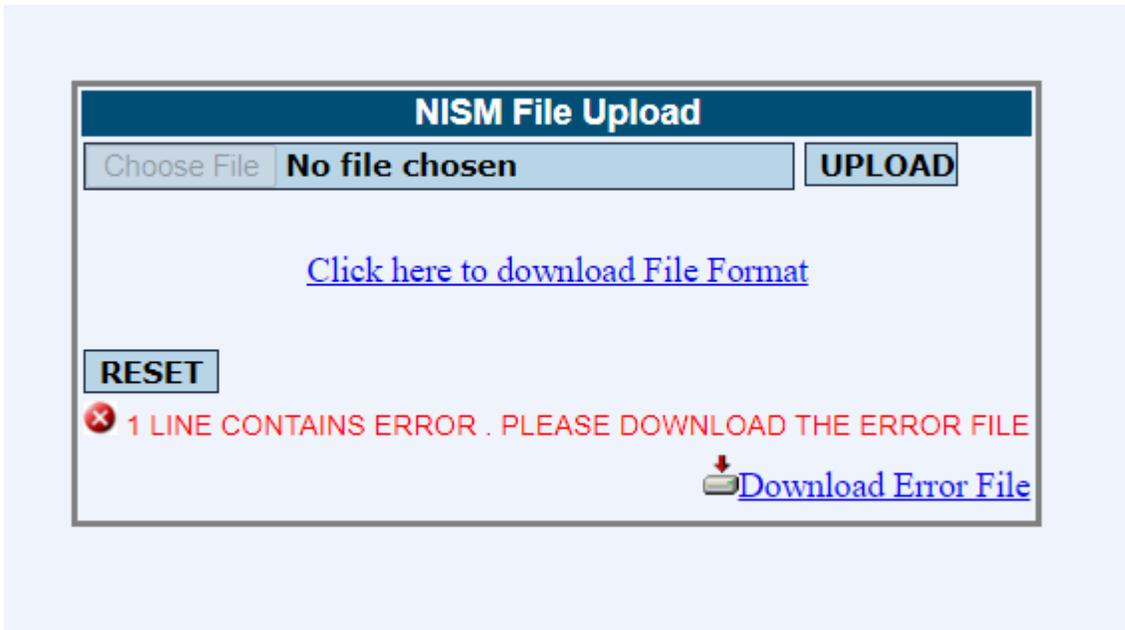


Figure 47

The error file so downloaded is in the same format of the upload file, but the ERROR text is displayed towards the last column of the row after the "~" sign as in given below

```
~(ERROR:Cannot modified record as certificate status is Approved)
~(ERROR:Invalid initial flag value.)
~(ERROR:Invalid FirstName or MiddleName or LastName)|(ERROR:No such
record found to modify.)
```

After rectifying the errors as per the error message displayed, the user can remove the ERROR text and upload the same file to the system. Once, the file is validated and uploaded to the system without any errors, the user is prompted with "SUCCESS" message as shown in the Figure 48 below.



Figure 48

## 4.8.1 NISM Certificate Batch Upload

To upload batch upload file, the file format is given below:

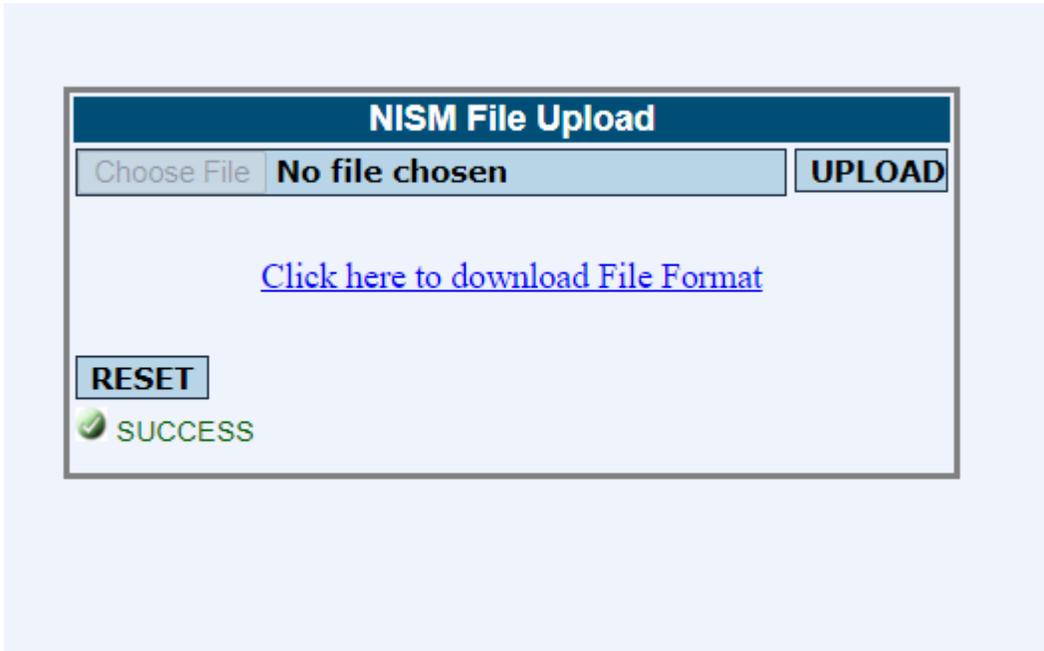| Field Name | Data Type | Validations |
|---|---|---|
| Mode of record | Char 1 | **Values :**<br>A – Addition<br>M – Modification<br>RN - Renew |
| PAN No | Alphanum 10 | **Mandatory** |
| First Name | Char 20 | **Mandatory** |
| Middle Name | Char 20 | **Mandatory** |
| Last Name | Char 20 | **Mandatory** |
| Segment | Char 5 | **Mandatory**<br><br>Values:-<br>Cash – EQ<br>Equity Derivative – EQD<br>Currency Derivative – CDX<br>Commodity – BCX<br>Electronic Gold Receipts -EGR |
| Enrollment Number | Alphanum 35 | **Mandatory** |
| Exam Date | Char 10 | **Mandatory**<br>Format MM/dd/yyyy |
| Valid Till Date | Char 10 | **Mandatory**<br>Format MM/dd/yyyy |
| NISM Approve Flag | Char 20 | Should be empty when mode of record is A |

**SAMPLE UPLOAD FILE**
Add/Modify/Renew|PAN_Number|FirstName|MiddleName|LastName|Segment|Enrollment_Number|ExamDate|ValidTillDate|NISM_Approve_Flag

The format of the Error file downloaded by the system is given below:

| Field Name | Data Type | Validations |
|---|---|---|
| Mode of record | Char 1 | **Values :**<br>A – Addition<br>M – Modification<br>RN - Renew |
| PAN No | Alphanum 10 | **Mandatory** |
| First Name | Char 20 | **Mandatory** |
| Middle Name | Char 20 | **Mandatory** |
| Last Name | Char 20 | **Mandatory** |
| Segment | Char 5 | **Mandatory** |

| | | Values:-<br>Cash – EQ<br>Equity Derivative – EQD<br>Currency Derivative – CDX<br>Commodity – BCX<br>Electronic Gold Receipts -EGR |
| --- | --- | --- |
| Enrollment Number | Alphanum 35 | **Mandatory** |
| Exam Date | Char 10 | **Mandatory**<br>Format MM/dd/yyyy |
| Valid Till Date | Char 10 | **Mandatory**<br>Format MM/dd/yyyy |
| NISM Approve Flag | Char 20 | Should be empty when mode of record is A |

## SAMPLE ERROR FILE

I|WYEUR4376Y|test1|||EQD|FFVV840MOD1012|02/23/2024|02/23/2027|Pending
**~ (ERROR: Invalid initial flag value.) | (ERROR: Invalid FirstName or MiddleName or LastName)**

****** END OF DOCUMENT *****

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