

BSE Limited P.J. Tower, Dalal Street, Fort, Mumbai – 400 001 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 <u>https://ucc.bseindia.com</u> 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 |

| Member Code | | | |
|---------------|---------------|------------|--|
| User ID : | | | |
| Password : | | | |
| Service : | Members | * | |
| | Login Exit |] | |
| <u>Forqot</u> | Your Password | <u>1 ?</u> | |
| | | | |
| | | | |
| | | | |
| | | | |

Best Viewed in 1024 by 768 resolution & IE 6.0+

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.

| EXPERIENCE THE NEW | |
|--|----------------------------------|
| | <u>Click Here for Login Page</u> |
| Please Enter your BrokerCode and EmailID. Your new password would be | mailed to you. |
| | |
| | |
| Forgot Your Password ? | |
| Broker Code : | |
| Email Id : | |
| SUBMIT Exit | |
| | |
| | |

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.



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



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 | / | C | 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* | | | | | | |
| User ID* | | | | | | |
| Prog Trd* | | / | Office Address | | | |
| Vendor Code [*] | · · · · · · · · · · · · · · · · · · · | / | | | | |
| | User Details | | Nature of Office | Branch V | | |
| First Name * | | | Email ID | | | |
| Middle Name | | | Phone/Fax No | | | |
| Last Name * | | | Mobile No | | | |
| Pin Code [*] | | | C |)ther Details | | |
| State* | | | Connection Mode | Lan 🗸 | | |
| City* | Please Select City | | Active Terminal | Active | | |
| Area Name* | | | RelationShip with approved user using TWS/ETI | Authorised Person 🗸 | | |
| | | | SEBI.Reg.No | | | |
| Addroso* | | | Mapin No | | | |
| Address | | | : | Segments * | | |
| | | | Cash 🗌 | Equity Derivative | | |
| PAN NO.* | | | Commodity | Currency Derivative | | |
| Date of Birth* | | | EGR | | | |
| yyyy-mm-dd | | | | | | |
| | | | | 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 11111), 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 popup as "**Dealer Added Successfully**" as shown in Figure 8 below. Press OK to add another Location ID.

| | | Add | New Regi | stration | | | | |
|--------------------------|--------------|----------------|---------------|------------------|------------|---------------|------------|--------|
| User Type | TWS | | ~ | | 0 | ffice Detai | ils | |
| Exchange Alloted | | | | Office Pin Code | * | | | |
| Trading ID* | | | | Office State * | | | | |
| Algo/ Non Algo* | ○Non Algo 🤇 | 🗆 Algo | | Office City* | | | | ~ |
| Connection Type | Non-Internet | | ~ | Area Name* | | | | |
| | Location ID |) | | | | | | |
| Pin Code [*] | | | | | | | | ~ |
| TWS/Branch Id* | | | | Office Address | * | | | |
| User ID* | | (1 | | 1 | | | | \sim |
| Prog Trd [*] | | Iviessage froi | m webpage | | | ^ | | |
| Vendor Code [*] | BOLTTWS | | | | | h | | ~ |
| | User Detail | De De | aler Added S | uccessfully | | | | |
| First Name * | | 🛛 🚺 Do | o you want to | upload NISM fo | or Equity. | | | |
| Middle Name | | | | | | | | |
| Last Name * | | | _ | | | Deta | ls | |
| Pin Code* | | | | ОК | Cancel | | | |
| State* | | | | Relation Ship wi | ith | | | |
| City [*] | | | ~ | approved user u | using | Authorised Pe | rson | ~ |
| Area Name [*] | | | | SEBI.Reg.No | | | | |
| | | | | Mapin No | | | | |
| | | | <u></u> | | 9 | Segments | k | |
| Address | | | | Cash 🗌 | | Equity Deriva | ative 🗌 | |
| | | | \sim | Commodity |] | Currency Der | rivative 🗌 | |
| PAN NO * | | | | EGR | | | | |
| Data at Diatk* | | | | - | | | | |
| yyyy-mm-dd | | | • | | | | | |
| | | | | Suc | cessfull | y Inserted. | Submit | Clear |

| | | Add New Regi | istration | | | |
|------------------------|--------------|----------------------|----------------------------|-----------------------|-----------|----------|
| User Type | TWS | ~ | C | Office Detai | ls | |
| Exchange Alloted | | | Office Pin Code* | | | |
| I rading ID | | | Office State * | | | |
| Algo/ Non Algo* | ○Non Algo ○A | lgo | Office City* | | | ~ |
| Connection Type | Non-Internet | ~ | Area Name* | | | |
| | Location ID | | | | | |
| Pin Code [*] | | | | | | \sim |
| TWS/Branch Id* | | | Office Address* | | | |
| User ID* | | | | | | \sim |
| Prog Trd* | | ~ | | | | |
| Vendor Code* | BOLTTWS | ~ | Nature of Office | Branch | | ~ |
| | User Details | | Email ID | | | |
| First Name * | Messag | e from webpage | | > | < | |
| Middle Name | | | | | | |
| Last Name * | | Depley Added Success | fully place add and ur | load NICM | | |
| Pin Code [*] | <u>!</u> | certificate | siully, please auu aliu up | | | <u> </u> |
| State* | | | | | | |
| City* | | | | | | ~ |
| Area Name [*] | | | | ОК | | |
| | | | Mapin No | | | |
| | | ~ | | Segments [*] | * | |
| Address | | | Cash 🗌 | Equity Deriva | tive 🗌 | |
| | | \sim | Commodity | Currency Der | ivative 🗌 | |
| PAN NO * | | | EGR 🗌 | | | |
| Date of Birth* | | | - | | | |
| yyyy-mm-dd | L | | 1 | | | |
| | | | Successful | ly Inserted. | Submit | Clear |

| | | Add Ne | ew Regi | stration | | | |
|--|---------------------|---------|-----------|--------------------------------|---------------|------------|--------|
| User Type | TWS | ~ | | C | Office Deta | ils | |
| Exchange Alloted | | | | Office Pin Code* | | | |
| Trading ID* | | | | Office State * | | | |
| Algo/ Non Algo* | ○Non Algo ○Algo |) | | Office City* | | | ~ |
| Connection Type | Non-Internet | \sim | | Area Name* | | | |
| | Location ID | | | | | | |
| Pin Code* | | | | | | | ^ |
| TWS/Branch Id* | | | | Office Address* | | | |
| User ID [*] | | (| | | | | \sim |
| Prog Trd* | 0 - No Prog Trading | Message | from web | page X | | | |
| Vendor Code* | BOLTTWS | | | | Branch | | ~ |
| | User Details | | | | | | |
| First Name * | | | Dealer Ad | dded Successfully | | | |
| Middle Name | | | | | | | |
| Last Name * | | | | |)ther Deta | ils | |
| Pin Code [*] | | | | ОК | Lan | | ~ |
| State* | | | | Polation Ship with | Active | | ~ |
| City* | | ~ | | approved user using TWS/ETI | Authorised Pe | rson | ~ |
| Area Name* | | | | SEBI.Reg.No | | | |
| | | | | Mapin No | | | |
| | | \sim | \sim | | Segments | * | |
| Address | | | | Cash 🗌 | Equity Deriva | ative 🗌 | |
| | | \sim | | Commodity | Currency De | rivative 🗌 | |
| PAN NO.* | | | | EGR | | | |
| Date of Birth [*] yyyy-mm-dd | | | | | | | |
| | | | | Successful | ly Inserted. | Submit | Clear |

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.

| Search/Modify/Download | | | | | | |
|------------------------|------------------------|-----------------|--|--|--|--|
| LOCATION ID | | | | | | |
| ACTIVE TERMINAL | Select All | | | | | |
| PROGRAM TRADING | Select All | | | | | |
| NATURE OF OFFICE | Select All | | | | | |
| OFFICE STATE | Select All | | | | | |
| OFFICE CITY | Select All | | | | | |
| OFFICE AREA | × | | | | | |
| | | Search Download | | | | |
| Records | | | | | | |
| | THERE ARE NO RECORDS T | TO DISPLAY | | | | |

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 Downloa | | | | | | | | |
| | | Reco | <u>rds</u> | | | | | |
| 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.

| | TWS/ETI U | lsei | r Registration | |
|-----------------------------------|------------------------------------|------|-----------------------------|----------------------|
| User Type | TWS | | | Official Details |
| Exchange | | | Office Pin Code* | |
| Alloted | | | Office State* | |
| Algo/ Non | | | Office City* | Please Select City V |
| Algo* | ⊖Non Algo ⊖Algo | | Area Name* | |
| Connection Type | Non-Internet 🗸 | | | |
| | Location ID | | | |
| Pin Code* | | | Office Address | |
| TWS/Branch | Message from w | ebp | age | × |
| User ID* | | | | ~ |
| Prog Trd* | 0 - No Prog Trading Dealer | Мо | dified Successful | ly |
| Vendor Code [*] | 63 Moons Technolog | u wa | int to upload NIS | M for Equity. |
| | User Deta | | | |
| First Name* | | | ОК | Cancel |
| Middle Name | | | Active Terminal | Active |
| Last Name* | | | Relation Ship | |
| Pin Code* | | | with approved user using | Authorised Person 🗸 |
| State* | | | TWS/ETI | r |
| City* | Please Select City V | | SEBI.Reg.No | |
| Area Name* | | | Mapin No | |
| | | | Activation Date | 2023-10-27 15:55:42 |
| | ^ | | Date | |
| Address* | | | | Segments* |
| | | | Cash 🗌 | Equity Derivative |
| | ¥ | | Commodity | Currency Derivative |
| PAN NO.* | | | EGR | |
| Date of | | | | |
| Birth [*] yyyy- mm-dd | | 4 | | |
| Note: Do 1 | not delete or mark the location co | de | | Modify |

| | TWS/ETI Use | r Registration | |
|--|--|----------------------|-----------------------|
| User Type | TWS | | Official Details |
| Exchange | | Office Pin Code* | |
| Alloted | | Office State* | |
| Algo/ Non | | Office City* | Please Select City V |
| Algo* | ⊖Non Algo ⊖Algo | Area Name* | |
| Connection Type | Non-Internet 🗸 | | _ |
| | Location ID | | |
| Pin Code* | | Office Address | |
| TWS/Branch | | | ~ |
| User ID [*] | Message from webpage | | × – |
| Prog Trd* | 0 - No F | | |
| Vendor Code [*] | B3 Moor U Dealer Modified Succ certificate | essfully, please ad | dd and upload NISM |
| First Name* | | | ~ |
| Middle Name | | | |
| Last Name* | | | |
| Pin Code* | | user using | Authonised Person |
| State* | | TWS/ETI | |
| City* | Please Select City V | Manin No | |
| Area Name* | | Activation Date | 2023-10-30 12:22:43 |
| | ~ | Deactivation Date | |
| Address* | | | Segments [#] |
| | | Cash 🗌 | Equity Derivative |
| | | Commodity | Currency Derivative |
| PAN NO.* | | EGR | |
| Date of Birth [*] yyyy- mm-dd | | | |
| Note: Do r | not delete or mark the location code | | Modify |

| | Т | WS/ETI U | lser | Registration | 1 | |
|--|------------------------------------|--------------|------|-----------------------------|---------------------|-----------------|
| User Type | TWS | $\mathbf{>}$ | | | Official Details | |
| Exchange | - | | | Office Pin Code* | | |
| Alloted | | | | Office State* | | |
| Algo/ Non | | | - | Office City* | Please Select City | ~ |
| Algo* | \bigcirc Non Algo \bigcirc Alg | go | | Area Name* | | |
| Connection Type | Non-Internet | \checkmark | | | | |
| | Location ID | | | | | \sim |
| Pin Code* | | | | Office Address* | | |
| TWS/Branch | | Message fr | om | webpage | × | \sim |
| Id" | | | | | | |
| User ID* | | | | | | |
| Prog Trd* | 0 - No Prog Trading | . 🦺 I | Deal | er Modified Succ | essfully | |
| Vendor Code [*] | BOLTTWS | - | | | | |
| | User Details | | | | tails | |
| First Name* | | | | | ОК | \sim |
| Middle Name | | | | Active Terminal | Active | $\mathbf{\vee}$ |
| Last Name* | | | | Relation Ship | | |
| Pin Code* | | | | with approved user using | Authorised Person | \checkmark |
| State* | | | | TWS/ETI | | |
| City* | Please Select City | ~ | | SEBI.Reg.No | | _ |
| Area Name* | | | | Mapin No | | _ |
| | | | | Activation Date | 2023-10-27 15:55:42 | |
| | | ^ | | Deactivation | | |
| Address* | | | | | Segments* | |
| | | _ | | Cash 🗌 | Equity Derivative | |
| | | × | | Commodity | Currency Derivative | |
| PAN NO.* | | | | EGR | | |
| Date of Birth [*] yyyy- mm-dd | | | | | | |
| Note: Do r | not delete or mark the | location co | de | | Modif | ý |



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:



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.

| | Dealer Registration File Upload | | NISM File Upload |
|---|------------------------------------|--------|------------------------------------|
| | Choose File No file chosen | UPLOAD | Choose File No file chosen UPLOAD |
| | Click here to download File Format | | Click here to download File Format |
| | RESET | | RESET |
|) Open | | × | L |
| \leftrightarrow \rightarrow \checkmark \uparrow This PC | ✓ C Search This PC | م | |
| Organize 👻 | ₽. ▼ | | |
| Home Gallery OneDrive OneDr | 39 GB) 7.6 GB | | |
| i Desktop ≉ ↓ Downloads ≉ | | | |
| File name: | All Files (*.*) Open | Cancel | |



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.





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

| Field Name | Data Type | Validations |
|---------------------------|-------------|---------------------------------------|
| Mode of record | Char 1 | Values : |
| | | A - Addition |
| | | M - Modification |
| User Type | Integer 1 | Drop down Values : |
| | | 0 for TWS |
| | | 2 for BOLTPLUS |
| User Id | | Mandatory |
| Die Cada | laterar (| Program Trading drop down Values : |
| TWS / FTLID | Integer 6 | 1-Algo Trading |
| User Id | Integer 3 | 2-DMΔ |
| Prog. Trading | Integer 1 | 3-DMA Algo. Trading |
| Vendor Code | Integer 2 | 4-SOR |
| | _ | 5-Hand Held devices |
| | | 6-SOR with DMA |
| | | 7- SOR DMA with Algo. |
| | | Vendor Code drop down values : |
| | | (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: |
| | | 0 - Branch |
| | | 1 - Hedu 2 - Registered |
| | | 4 - DR Site |
| | | 5 - Others |
| | | 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 |

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

| SEBI Reg. No. | Alphanum 17 | Mandatory if Nature of office or Relationship is Authorised person else |
|---------------------|-------------|--|
| Deletienskie with | latence 4 | non-mandatory Malazza |
| Relationship with | Integer 1 | Values: |
| TWC/FTI | | 1- Dealer |
| 1443/211 | | 2- Employee |
| | | 4- Remisier |
| | | 5- Employee Of Authorised Person |
| | | 6- Partner/Proprietor/Director |
| Date of Birth | Char 10 | Mandatory |
| | | 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: |
| | | 0-LAN |
| | | 1-Leased Line |
| | | 2-POP |
| | | 3-MPLS |
| | | 4-Internet |
| | | J-VJAT 6-Othors |
| Active Terminal | Char 1 | Values |
| Active reminat | | Y-Active |
| | | N-De-active |
| | | D-Delete |
| Connection Type | Integer 1 | Values: |
| | 5 | 0-Non-Internet |
| | | 1-Internet |
| | | 2-Hand-held Device |
| Pan No | Alphanum 10 | Mandatory |
| Cash | Char 1 | Values: |
| | | Y-Yes |
| | | N- No |
| Equity Derivative | Char 1 | Values: |
| | | Y-Yes |
| | | N- NO |
| Currency Derivative | Char 1 | Values: |
| | | r-res N No |
| Commodity | Char 1 | |
| Commonly | | Yalues. Y- Yas |
| | | N- No |
| FGR | Char 1 | Values: |
| | | |

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

SAMPLE UPLOAD FILE

 $\label{eq:solution} Add/Modify|UserType|Pincode|Tws/BranchId|UserId|Prog.Trading|Vendorcode|OfficeAddress|OfficeAreaName|OfficeCity|OfficePincode|NatureofOffice|FirstName|MiddleName|LastName|Emailaddress|PhoneNumber|Mobile|Mapinno|SebiRegiNo|Relationship|Dateofbirth|ResidenceAddress|ResidenceAreaName|ResidenceCity|ResidencePincode|ConnectionNode|ActiveTerminal|ConnectionType|PANNumber|Cash|EquityDerivative|CurrencyDerivative|Commodity|EGR|AIGO_NONALGO|ExchangeAllotedTradingID|ID \\ \end{tabular}$

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

| Field Name | Data Type | Validations |
|--|---|---|
| Mode of record | Char 1 | Values: i- ignore |
| User Type | Integer 1 | Drop down Values: 0 for TWS 1 for ETI ("IML" replaced with "ETI") 2 for BOLTPLUS |
| User Id Pin-Code TWS/ETI ID User Id Prog. Trading Vendor Code | Integer 6 Integer 4 Integer 3 Integer 1 Integer 2 | Mandatory Program Trading drop down Values: 0-No Program Trading 1-Algo. Trading 2-DMA 3-DMA Algo. Trading 4-SOR 5-Hand Held devices 6-SOR with DMA 7- SOR DMA with Algo. Vendor Code drop down values: (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: |
| | | 0 - Branch |
| | | 1 - Head |
| | | 2 - Registered |
| | | 4 - DR Site |
| | | 5- Others |
| | | 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 | Integer 1 | Values: |
| approved user using | | 0- Authorised Person |
| TWS/ETI | | 1- Dealer |
| | | 2- Employee |
| | | 4- Remisier |
| | | 5- Employee Of Authorised Person |
| | CI 40 | 6- Partner/Proprietor/Director |
| Date of Birth | Char 10 | Mandatory |
| | | Format yyyy-mm-dd and snould be |
| Desideres Address | Aliahana 70 | above to 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 |
| Connection Mode | Integer 1 | Maluost |
| Connection mode | integer i | |
| | | 1-Lossod Lino |
| | | |
| | | 3-MPI S |
| | | 4-Internet |
| | | 5-VSAT |
| | | 6-Others |
| Active Terminal | Char 1 | Values: |
| | | Y-Active |
| | | N-De-active |
| | | D-Delete |
| Connection Type | Integer 1 | Values: |
| | | 0-Non-Internet |
| | | 1-Internet |
| Relationship approved userwith using TWS/ETIDate of BirthImage: Constant of the second s | Integer 1 Char 10 Alphanum 70 Char 70 Char 20 Integer 6 Integer 1 Char 1 Char 1 | Netationship is Authorised person else non-mandatory Values: 0- Authorised Person 1- Dealer 2- Employee 4- Remisier 5- Employee Of Authorised Person 6- Partner/Proprietor/Director Mandatory Format yyyy-mm-dd and should be above 18 years of age. Mandatory Mandatory Should be selected from drop down Should be extracted from the Pin code master. Values: 0-LAN 1-Leased Line 2-POP 3-MPLS 4-Internet 5-VSAT 6-Others Values: Y-Active N-De-active D-Delete Values: 0-Non-Internet 1-Internet |

| | | 2-Hand-held Device |
|--------------------------|-------------|--------------------------------------|
| Pan No | Alphanum 10 | Mandatory |
| Cash | Char 1 | Values: |
| | | Y- Yes |
| | | N- No |
| Equity Derivative | Char 1 | Values: |
| | | Y- Yes |
| | | N- No |
| Currency Derivative | Char 1 | Values: |
| | | Y- Yes |
| | | N- No |
| Commodity | Char 1 | Values: |
| | | Y- Yes |
| | | N- No |
| EGR | Char 1 | Values: |
| | | Y- Yes |
| | | 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|T EST|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| ~ (ERROR: Invalid initial flag value.) (Error: Atleast one segment should be selected)

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)

| | | Add New Re | gistration | | |
|--------------------------|--------------------|------------|--|---------------------|----|
| User Type | TWS | ~ | | Office Details | |
| Connection Type | Non-Internet | ~ | Office Pin Code* | | |
| | Location ID | | Office State * | | |
| Pin Code [*] | | | Office City* | Please Select City | 1 |
| TWS/Branch Id* | | | Area Name* | | _ |
| User ID [*] | | | | | Τ |
| Prog Trd [*] | | ~ | | ^ | ٩. |
| Vendor Code [*] | | ~ | Office Address* | | |
| | User Details | | | ~ ~ ~ | 1 |
| First Name * | | | Nature of Office | Describ | |
| Middle Name | | | Nature of Office | Head | Н |
| Last Name * | | | Email ID | Registered | · |
| Pin Code* | | | Phone/Fax No | Others | |
| State* | | | Mobile No | Authorised Person | |
| City* | Please Select City | ~ | _ | Other Details | |
| Area Nama* | Though Constrainty | | Connection Mode | Lan | 4 |
| Area Name | | | Active Terminal | Active | 1 |
| | | ^ | Relation Ship with approved user using TWS/IML | Authorised Person | 9 |
| Address* | | | SEBI.Reg.No | | |
| | | \sim | Mapin No | | |
| | | | | Segments | |
| PAN NO.* | | | Cash 🗌 | Equity Derivative | |
| Date of Birth* | | | Commodity | Currency Derivative | |
| <u>yyyy-mm-aa</u> | | | EGR | | |
| | | | | Submit Clear | |

| | Ad | d New Regi | stration | |
|--------------------------|--------------------|------------|---|----------------------|
| User Type | TWS | ~ | 0 | ffice Details |
| Connection Type | Non-Internet | ~ | Office Pin Code* | |
| | Location ID | | Office State * | |
| Pin Code [*] | | | Office City* | Please Select City V |
| TWS/Branch Id* | | | Area Name [*] | |
| User ID [*] | | | | |
| Prog Trd [*] | | ~ | | ^ |
| Vendor Code [*] | | ~ | Office Address* | |
| | User Details | | | ~ |
| First Name * | | | Nature of Office | Authorized Demos |
| Middle Name | | | Nature of Office | Authonsed Person |
| Last Name * | | | Email ID | - |
| Pin Code [*] | | | Phone/Fax No | |
| State* | | | Mobile No | |
| City* | Please Select City | ~ | Connection Mode | ther Details |
| Area Name* | | | Active Terminel | |
| | | | Relation Shin with | Active |
| | | ^ | approved user using TWS/IML | Authorised Person |
| Address* | | | SEBI.Reg.No/Exchange Registration No.* | |
| | | \sim | Mapin No | |
| | | | | Segments |
| PAN NO. | | | Cash 🗌 | Equity Derivative |
| yyyy-mm-dd | <u> </u> | | Commodity | Currency Derivative |
| | | | EGR | |
| | | | | Submit Clear |

4.3.3: - Employee of Authorised Person

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

| Add New Registration | | | | | |
|------------------------------|--------------------|--------|--------------------|------------------------------|--------|
| User Type | TWS | > | 0 | office Details | |
| Algo/ Non Algo | ○Non Algo ○Algo | | Office Pin Code* | | |
| Connection Type | Non-Internet | ~ | Office State * | | |
| | Location ID | | Office City* | Please Select City V | |
| Pin Code [*] | | | Area Name* | | |
| TWS/Branch Id* | | | | | |
| User ID* | | | | \sim | \sim |
| Prog Trd* | | < | Office Address* | | |
| Vendor Code* | BOLTTWS | > | | × | |
| | User Details | | Nature of Office | Branch | f |
| First Name * | | | Email ID | | 1. |
| Middle Name | | | Phone/Fax No | | Η |
| Last Name * | | | Mobile No | | t |
| Pin Code [*] | | | C | ther Details | Í |
| State* | | | Connection Mode | Lan 🗸 | |
| City* | Please Select City | < | Active Terminal | Active | ī |
| Area Name [*] | | | Relation Ship with | | 1 |
| | | | TWS/ETI | Employee of Authonsed Person | 1 |
| | | \sim | SEBI.Reg.No | | |
| Address* | | | Mapin No | | |
| | | U | : | Segments [#] | |
| | | | Cash 🗌 | Equity Derivative | |
| PAN NO.* | | | Commodity | Currency Derivative | |
| Date of Birth* yyyy-mm-dd | | | EGR | | |
| | | | | Submit Clear |] |

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.





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:





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:

| Welcome to U | CC Admin Interfac | 6 | User Code:1003 |
|--------------|------------------------|-----------------|---------------------------|
| | Quick UCC For OFS/ OTB | ECN | Location ID Registration |
| | | File Upload For | PAN\NAME Browse UPLOAD |
| | | RESE | т |

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

| 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 | |

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

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.



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.



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.



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

| | | | Add Modif | y NISM Certificate Details | | |
|--|------------------|-----------|---|----------------------------|-------------------|------|
| Trade Id: Dealer Name: Status: All | Download NIS | M Details | Location Id: Active Terminal: Download NISM Det | Active V | PAN No: Search | |
| | | | | Dealer Details | | |
| | Location Id | Trade ID | PAN No | Dealer Name | Segment | |
| | 111111111111001 | 213 | ACBDE1234F | rewrwr etetet | EQ | View |
| | 111111111111001 | 212 | ABCDE2001F | test test | EQ | View |
| | 4000100841841099 | | FFVVG4567U | shobha chawla | EQ,CDX,BCX | View |
| | 4000620853853099 | | SJDHG4567R | shobha chawla | EQ,BCX | View |
| | 4000020063063099 | | SJDHG4567R | shobha chawla | EQ,BCX | View |
| | 4000020963963099 | | SJDHG4567R | shobha chawla | EQ,BCX | View |

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

| | | | | Add M | odify NIS | M Certifica | te Details | | | | |
|--|---------|-------------------------|-----------|---|---|-------------|------------|-------------------|--------|------|--|
| Trade Id: Dealer Name: Status: All | v | Download NISI | M Details | Location Id: Active Term Download NIS | inal: Active | eader | ~ I | PAN No: Search | | | |
| | | | | | NIS | M Details | > | | | | |
| | Segment | Segment NISM certificat | | | certificate No. Valid From Valid To (mm/dd/yyyy) (mm/dd/yyyy) Atta | | | | Status | | |
| | | | | | | | | | | Add | |
| | | | | | Dea | ler Details | | | | | |
| | Loc | ation Id | Trade ID | PAN No |) | Dealer Na | me | Se | egment | | |
| | 111111 | 1111111001 | 213 | ACBDE12 | 34F rewrwi | r etetet | | | EQ | View | |
| | 111111 | 1111111001 | 212 | ABCDE20 | 01F test test | | | | EQ | View | |
| | 400010 | 0841841099 | | FFVVG456 | 57U shobha | chawla | | EQ,C | DX,BCX | View | |
| | 400062 | 0853853099 | | SJDHG456 | 7R shobha | chawla | | E | Q,BCX | View | |

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

| | | | Add Modif | y NISM | 1 Certificat | e Details | | | | |
|--|---------------|-------------------|--|-------------------------------|---------------------------------|-----------|-------------------|---------|------|--------|
| Trade Id: Dealer Name: Status: All | Download NISM | I Details | Location Id: Active Terminal: Download NISM Deta | Active ails With Hea | ader | v | PAN No: Search | | | |
| Location Id: 1111111111111001 Enrollment Number: Select | × | PAN Attach NIS | No: ACBDE1234F Ex 6M Certificate: Choo | Na am Date: ose File No | me: rewrwr etetet mm/dd/yyyy | Valid Til | l Date: mm/o | id/yyyy | | Submit |
| | | | | NISM | I Details | | | | | |
| Segment | NISM | certificate I | No. Vali (mm/ | d From dd/yyyy) | Valid To (mm/dd/yyyy) | Attactn | ient | Status | Add | |
| L | ocation Id | Trade ID | PAN No | Deale | er Details Dealer Name | | s | egment | Auu | |
| 1111 | 11111111001 | 213 | ACBDE1234F | rewrwr o | etetet | | | EQ | View | |

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

| | | | Add Modify | / NISM Certificat | e Details | | | | |
|---|---|-------------------|--|--|-----------|-------------------|--------|------|--------|
| Trade Id: Dealer Name: Status: All | Download NIS | SM Details | Location Id: Active Terminal: Download NISM De | Active tails With Header | | PAN No: Search | | | _ |
| Location Id: 11111 Enrollment Numbe Segment: EQ | 11111111001 T: WERTY1234567QDCF | PAN Attach NIS | No: ACBDE1234F Exa M Certific: Message fro | Name: rewrwr etetet m Date: 03/01/2024 III m webpage × e you sure you want to submit? | Valid Til | Date: 06/03/20 | 27 | | Submit |
| | Segment NISM | A certificate N | No. Valia (mm/a | OK Cancel I From Valid I o Jd/yyyy) (mm/dd/yyyy) | Attactn | nent | Status | Add | |
| | | | | Dealer Details | | | | | |
| | Location Id | Trade ID | PAN No | Dealer Nam | e | Segi | nent | | |
| | 11111111111111001 111111111111111001 | 213 212 | ACBDE1234F ABCDE2001F | rewrwr etetet test test | | E | Q Q | View | |

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

| | | | | Add M | odify NISI | M Certifica | te C | Details | | | |
|---|--|--------------|-----------|---|---|--------------------------|---------|---------|--------|---------|--------|
| Trade Id: Dealer Name: Status: <mark>All</mark> | V | Download NIS | M Details | Location Id: Active Term Download N | ocation Id: active Terminal: Active Download NISM Details With Header | | | | | | |
| | | | | | NIS | M Details | | | | | |
| | Segment | NISM | Ňo. | Valid From (mm/dd/yyyy) | Valid To (mm/dd/yyyy) | | Attactn | ient | Status | | |
| | Segment NISM certificate No. EQ WERTY1234567QDCF | | | | 03/01/2024 | 06/03/2027 | | | | Pending | Update |
| | EQ WERTY1234567QD | | | | Message from webpage | | | | | | |
| | Le | ocation Id | Trade ID | PAN No | NISM Det | tails added successfully | | | Se | gment | |
| | 1111111111111001 213 ACBDE1 | | | | | OK | | | | EQ | View |
| | 11111 | 11111111001 | 212 | ABCDE200 | 12 1001 1001 | | | | | EQ | View |
| | 4000100841841099 FFVVG4 | | | | 7U shobha c | chawla | | | EQ,C | DX,BCX | View |

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

| | | | Add M | odify NIS | M Certifica | ite Details | | | | |
|--|---------------------------|------------------|--|---|--|-----------------------|-------------------|-------------------|--------|--------|
| Trade Id: Dealer Name: Status: All 🗸 | Download NIS | SM Details | Location Id Active Tern Download N | i: ninal: Active | Header | | PAN No: Search | | | |
| Location Id: 1111111111111100 Enrollment Number: WERTY Segment: EQ | 1 1234567QDCF | PAN Attach NE | No: ACBDE12 | 234F N Exam Date: webpage ou sure you want to su | ame: rewrwr etet 03/01/2024 × Brow bmit? | et Valid Til se | Date: 06/16/2 | 2027 | | Submit |
| _ | | _ | | OK Ca | ncel ails | | | | | 1 |
| Segment EQ | NISM WERT | 4 certificate 3 | No. DCF | (mm/dd/yyyy) 03/01/2024 | (mm/dd/yyyy) 06/03/2027 | Attactr large_pd | ient f.pdf | Status Pending | Update | |
| | | | | Deal | ler Details | | | | | |
| 1111 | ocation Id 11111111001 | Trade ID 213 | PAN N ACBDE12 | o 34F rewrwr | Dealer Na etetet | me | Se | egment EQ | View | |



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.

| | | | | Add | Modify NI | SM Certifica | te Details | | | |
|---|---------|---------------------|-----------------|---------------------------------|---|--------------|------------|-------------------|---------|--------|
| Trade Id: Dealer Name: Status: <mark>All</mark> | V | Download NIS | M Details | Location Active T Downloa | Id: erminal: Active ad NISM Details Wr | th Header | Y | PAN No: Search | | |
| | | | | | N | ISM Details | | | | |
| | Segment | NISM | 1 certificate l | Ňo. | o. Valid From Valid To (mm/dd/yyyy) (mm/dd/yyyy) | | | nent | Status | |
| | EQ | WERT | Y1234567QI | OCF | 03/01/2024 | 06/16/2027 | large_po | lf.pdf | Pending | Update |
| | | EQ WERTY1234567QDCF | | | NISM Details modified successfully | | | | | |
| | Lo | ocation Id | Trade ID | PAN | | | ne | S | egment | |
| | 11111 | 11111111001 | 213 | ACBDI | | | | | EQ | View |
| | 11111 | 11111111001 | 212 | ABCDE | 22001F test te | est | | | EQ | View |
| | 40001 | 00841841099 | | FFVVG | 4567U shobl | na chawla | | EQ,0 | CDX,BCX | View |

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.

| | | | | Add Mo | odify NISI | M Certifica | ate Details | | | | |
|--|-----------|----------------------|-------------------|---|-----------------------------------|--|--------------------|-------------------|------------|-------|-----------|
| Trade Id: Dealer Name: Status: All | Y | Download NIS | M Details | Location Id: Active Termi Download Ni | inal: Active SM Details With F | leader | V | PAN No: Search | | | |
| Location Id: 1111111 Enrollment Number Segment: EQ | 111111100 | 1 /32654WQEQ ~ | PAN Attach NIS | No: ABCDE200 | MF Na Exam Date: (NIS) | me: test test 03/01/2021 Brow M Details | H Valid Til /se | Date: 04/01/ | 2024 | | Submit |
| I | Segment | NISM | I certificate I | No. | Valid From (mm/dd/yyyy) | Valid To | Attactn | ıent | Status | | |
| | EQ | QWER | TY32654W | QEQ | 03/01/202 | 04/01/2024 | large_pd | f.pdf | Approved 🤇 | Renew | \supset |
| [| | | | | | | | | | | |
| | | | | | Deal | er Details | | | | | |
| | Lo | cation Id | Trade ID | PAN No | | Dealer Na | me | S | egment | | |
| | 11111 | 11111111001 | 213 | ACBDE123 | 4F rewrwr e | etetet | | | EO | View | |
| L | | | | | ii iominio | | | | | view | |



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

| | | | | Add M | odify NIS | M Certifica | ate Details | | | | |
|--|--------------------------|---------------|-----------------|--|------------------|-------------------|-------------|-------------------|----------|-------|--------|
| Trade Id: Dealer Name: Status: All | V | Download NIS | M Details | Location Id Active Terr Download M | I: Active | Header | | PAN No: Search | | | |
| Location Id: 11111 | 1111111100 er: NEWNIS | 1 M2024APR | PAN | No: ABCDE2 | DO1F Na | ame: test test | Valid Til | Date: 04/15/ | 2027 | | _ |
| Segment: EQ | | ~ | Attach NIS | SM Certi | age from webpage | × want to submit? | se | | | l | Submit |
| | | | | | ОК | Cancel | | | | | |
| | Segment | NISM | I certificate] | No. | (mm/dd/yyyy) | (mm/dd/yyyy) | Attactr | nent | Status | | |
| | EQ | QWER | TY32654W | JEQ | 03/01/2021 | 04/01/2024 | large_po | lf.pdf | Approved | Renew | |
| | | | | | | | | | | | |
| | | | | | Deal | ler Details | | | | | |
| | Lo | ocation Id | Trade ID | PAN N | 0 | Dealer Na | ше | S | egment | | |
| | 11111 | 11111111001 | 213 | ACBDE12 | 34F rewrwr | etetet | | | EQ | View | |
| | 11111 | 11111111001 | 212 | ABCDE2 | 001F test test | | | | EQ | View | |

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.

| | | | | Ac | d Modify N | SM Certific | ate Details | | | |
|--|---------|--|-----------------|---|--|-------------|-------------------|--------|---------|--------|
| Trade Id: Dealer Name: Status: All | | Download NIS | M Details | Loca Activ Dov | tion Id: ve Terminal: Active vnload NISM Details W | fith Header | PAN No: Search | | | |
| | | | | | N | ISM Details | | | | |
| | Segment | NISM | [certificate] | No. Valid From Valid To (mm/dd/yyyy) (mm/dd/yyyy) Attact | | | | nent | Status | |
| | EQ | Segment NISM certificate No. EQ NEWNISM2024APR | | | 03/04/2024 04/15/2027 large_1 | | | lf.pdf | Pending | Update |
| | | | | | Message from webpage | × | | | | |
| | | | | | NISM Details added successfully | | | | | |
| | Lo | cation Id | Trade ID | | | N | ıme | Se | gment | |
| | 11111 | 1111111001 | 213 | AC | | ОК | | | EQ | View |
| | 11111 | 1111111001 | 212 | AB | CDE2001F test | test | | | EQ | View |
| | 40001 | 00841841099 | | FFV | /VG4567U shob | ha chawla | | EQ,C | DX,BCX | View |

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.

| | | | Add Modif | y NISM Certificate Details | | |
|--|------------------|-----------|--|----------------------------|-------------------|------|
| Trade Id: Dealer Name: Status: All | Download NIS | M Details | Location Id: Active Terminal: Download NISM De | Active | PAN No: Search | |
| | | | | Dealer Details | | |
| | Location Id | Trade ID | PAN No | Dealer Name | Segment | |
| | 1111111111111001 | 213 | ACBDE1234F | rewrwr etetet | EQ | View |
| | 111111111111001 | 212 | ABCDE2001F | test test | EQ | View |
| | 4000100841841099 | | FFVVG4567U | shobha chawla | EQ,CDX,BCX | View |
| | 4000620853853099 | | SJDHG4567R | shobha chawla | EQ,BCX | View |
| | 4000020063063099 | | SJDHG4567R | shobha chawla | EQ,BCX | View |

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.

| | | | Add Modify | NISM Certificate Details | | | |
|--------------|------------------|--------------|-----------------------|--------------------------|-------------|----------|--|
| Trade Id: | | | Location Id: | | PAN No: ACE | BDE1234F | |
| Dealer Name: | | | Active Terminal: Act | tive 💌 | Search | | |
| Status: All | Download I | NISM Details | Download NISM Detail: | s With Header | | | |
| | | | | Dealer Details | | | |
| | Location Id | Trade ID | PAN No | Dealer Name | Segment | | |
| | 1111111111111001 | 213 | ACBDE1234F | rewrwr etetet | EQ | View | |
| | | | | - | 1 | | |

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:

| 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 Ad | lmin Interface | | |

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.

| Dealer Registration File Upload | | | NISM File Upload | | |
|------------------------------------|--------|-------------|------------------------------------|--------|--------------|
| Choose File No file chosen | UPLOAD | Choose File | No file chosen | UPLOAD | \backslash |
| Click here to download File Format | (| / | Click here to download File Format | | ١ |
| RESET | \ | RESET | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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.

| Dealer Registration File Upload | | | NISM File Upload | | | | |
|---|-------------------|---|------------------|-------|----------|----------------------------|-------------------|
|) Open | | | | 1.000 | × | Choose File No file chosen | UPLOAD |
| \leftarrow \rightarrow \checkmark \uparrow \blacksquare > This PC | ~ | С | Search This PC | | <i>م</i> | Click here to download F | <u>ile Format</u> |
| Organize 🔻 | | | | 8: • | | RESET | |
| ✓ Devices and | drives | | | | | | |
| / This PC | Disk (C:) | | | | | - | |
| > Local Disk (C:) | B free of 139 GB | | | | | | |
| > - New Volume (I | /olume (D:) | | | | | | |
| Network | B free of 97.6 GB | | | | | | |
| File name: | | ~ | All Files (*.*) | | ~ | | |
| | | | Open | Ca | ncel | | |

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.



4.8.1 NISM Certificate Batch Upload

| Field Name | Data Type | Validations |
|-------------------|-------------|--|
| Mode of record | Char 1 | Values : A - Addition M - Modification 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:- Cash - EQ Equity Derivative - EQD Currency Derivative - CDX Commodity - BCX Electronic Gold Receipts -EGR |
| Enrollment Number | Alphanum 35 | Mandatory |
| Exam Date | Char 10 | Mandatory Format MM/dd/yyyy |
| Valid Till Date | Char 10 | Mandatory Format MM/dd/yyyy |
| NISM Approve Flag | Char 20 | Should be empty when mode of record is A |

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

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 : A - Addition M - Modification 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:- Cash - EQ Equity Derivative - EQD Currency Derivative - CDX Commodity - BCX Electronic Gold Receipts -EGR |
|-------------------|-------------|---|
| Enrollment Number | Alphanum 35 | Mandatory |
| Exam Date | Char 10 | Mandatory Format MM/dd/yyyy |
| Valid Till Date | Char 10 | Mandatory 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 *****