**Annexure – B(2)**

**Guidelines with respect to maintenance of Register of Securities (ROS)**

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| **Generic File Name** | Register of Securities (ROS) |
| **File format** | CSV format |

Members have to maintain Register of Securities considering following validation point:

**Header Record:**

|  |  |
| --- | --- |
| **Field Name** | **Structure** |
| Member Name | * Alpha Numeric |
| Period | * First Date to Last Date * Format: DDMMYYYY to DDMMYYYY |

**Detail Record:**

| **S. No.** | **Fields** | **Length** | **Description** |
| --- | --- | --- | --- |
| 1. | Transaction Date | * Char (10) | * Format: DD-MM-YYYY |
| 2. | Execution Date | * Char (10) | * Format: DD-MM-YYYY |
| 3. | Exchange | * Char (3) | * Value shall be any of the following:   NSE  BSE  MSE |
| 4. | Segment Type | * Char (3) | * Value shall be any of the following:   CM  FO |
| 5. | Unique Client Code (UCC) | * Char (20) | * As per UCC Batch Upload File Format. |
| 6. | Back Office Client Code | * Char (20) | * As per UCC Batch Upload File Format. |
| 7. | Client Name | * Char (100) | * Alpha Numeric Client Name. |
| 8. | Client PAN | * Char (10) | * Alpha Numeric Client PAN (First 5 digit Alpha + 4 digit Numeric + 1 digit Alpha) |
| 9. | Member Demat Account No. (9A and 9B) | * Char (16) | * Demat Account Number in 16 digit Alpha-numeric (wherever applicable). |
| 10. | Counterparty Demat Account No. (10A and 10B) | * Char (16) | * Demat Account Number in 16 digit Alpha-numeric (wherever applicable). |
| 11. | Settlement No. | * Char (20) | * Alpha-Numeric 20 digit settlement No + Special Character as given below :   / = FRONT SLASH  - = HYPEN |
| 12. | ISIN Code | * Char (12) | * Alpha Numeric ISIN Code. |
| 13. | Scrip Name | * Char (20) | * BSE scrip code for securities listed on BSE, if securities are not listed on BSE then NSE scrip symbol. (Alpha Numeric) |
| 14. | Quantity Delivered (Qty.) | * Number (20) | * Quantity of securities in Numeric form. * Decimals shall be allowed upto 3 digits. |
| 15. | Quantity Received  (Qty.) | * Number (20) | * Quantity of securities in Numeric form. * Decimals shall be allowed upto 3 digits. |
| 16. | Balance  (Qty.) | * Number (20) | * Quantity of securities in Numeric form. * Decimals shall be allowed upto 3 digits. |
| 17. | Pledge / Unpledge (Qty.) | * Number (20) | * Quantity of securities in Numeric form. * Decimals shall be allowed upto 3 digits. |
| 18. | Trf. Ref. No. | * Char (20) | * Transfer reference number. (Alpha Numeric Transfer Reference Number) |
| 19. | POA Flag | * Char (3) | * Shall be populated with ‘Yes’ only when, POA is invoked |
| 20. | Transaction Type | * Char (7) | * Value shall be any of the following:   OFF\_MKT  MKT   * For pledge/unpledged and corporate action entries, it may be kept blank. |
| 21. | Purpose | * Char (15) | * Value shall be any of the following:   Payin  Payout  Early-Payin  Margin-Receipt  Margin-Release  Pledge  Unpledge  Corpaction  Auction  Settlement  Internal – Netting  Close-out  Opening\_Balance  Closing\_Balance |

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