



Facility for Providing Client Level EPI of Securities for Reverse Leg in SLB through CIM

Participants / Custodians, hereafter referred as Members, are requested to note that w.e.f. 11th February 2014, members shall be provided with the facility to pass on the benefit of Securities EPI for Reverse Leg (Early Repayment) in SLBS, to their clients through CIM. The current facility of members requesting the same to NSCCL through a request letter shall be discontinued.

Procedure:

1. Members shall confirm details of their NSDL CM pool account for NSE Capital Market (viz. CM BP ID, DP ID and Client ID) with NSCCL. In case of any change in said details, the same shall be intimated to NSCCL from time to time.
2. Members shall log-in with their existing CIM user-ids and passwords.
3. The menu in CIM for File upload is, EMI/ Securities EPI.
4. Members shall provide the details of the clients to whom early pay-in benefit is to be provided. (format as per Annexure I)
5. The settlement number for a particular security, series and client code combination to be mentioned in the EPI file shall be as given in 'Final obligation report for Reverse leg', having naming convention as SOTD_M_P_FNL_DDMMHHMMSS.csv available at slbftp/reports.
6. A return file shall be generated with success or rejected indicator (as mentioned in Annexure II)
7. Once the EPI file is processed, EPI allocation report shall be downloaded. (format as per Annexure III)
8. EPI Benefit shall be passed on to the client only to the extent of outstanding borrow positions of the client

Instructions while preparing the EPI file:

1. File shall contain the all records uploaded in the previous file.
2. Members can only add new client records or modify the EPI quantity for a client uploaded in the previous file.
3. EPI quantity shall be adjusted for repay trades, in the EPI file to be uploaded next day, post settlement.

During market hours

- i. Members can only add new client records or increase the EPI quantity for a client uploaded in the previous file.

e.g. : If the member wishes to increase the quantity for a client cumulative quantity needs to be provided. For e.g. if the member wants to increase the EPI quantity for a client CL1 from 10 to 20, while uploading the revised file member needs to mention the EPI quantity as 20 for this client.

Post market hours (After 3:30 pm)

- i. Members can add new client records or increase the EPI quantity for a client uploaded in the previous file.
- ii. Members can reduce the EPI quantity for a client uploaded in the previous file.
- iii. If the member wishes to remove the EPI quantity completely for client(s), the quantity against such client needs to be mentioned as "0".
- iv. The benefit shall be reduced/ removed based on the repay trades done for that client.



Annexure 1: Client level early pay-in file format

- The file should be in CSV format.
- Naming convention: CLNTEPI_S_YYYYMMDD.Tnn

where,

YYYYMMDD

nn

- Date in YYYYMMDD format

- The batch number of file to be uploaded. The Batch no shall be 01 to 99

- Control record:

Sr. No.	Field	Length	Mandatory/Option	Value
1.	Record Type	CHAR(2)	Mandatory	01
2.	File Type	CHAR(4)	Mandatory	CLEP
3.	Member Type	CHAR(1)	Mandatory	In case of participant - M In case of Custodian - C
4.	Member Code	CHAR(5)	Mandatory	Participant/Custodian code
5.	Batch Date	CHAR(8)	Mandatory	Format : DDMMYYYY Should be same as that in the file name.
6.	Batch number	Number(2)	Mandatory	The batch number of the file sent.
7.	Number of records	Number(7)	Mandatory	Total number of records in the file

- Detail record:

Sr. No.	Field	Length	Mandatory/Option	Value
1.	Record Type	CHAR(2)	Mandatory	20
2.	Symbol	CHAR(10)	Mandatory	This shall be the security symbol, example "RELIANCE"
3.	Series	CHAR(2)	Mandatory	This shall be the security series, "01 to 12"
4.	Client Code	CHAR(20)	Mandatory	This shall be the client code/ CP code to whom EPI benefit needs to be passed.
5.	Settlement Type	CHAR(1)	Mandatory	P
6.	Settlement No	CHAR(7)	Mandatory	For example "2014501".
7.	Early Payin Quantity	NUMBER	Mandatory	This shall be the quantity on which EPI benefit needs to be given.



Annexure II: Return file

In case the file uploaded by the Member is:

- **Rejected:**
 - **Naming convention:** CLNTEPI_S_YYYYMMDD.Rnn.
 - The file extension 'Tnn' will get replaced with 'Rnn'
 - The control record in the file will have R appended. The file shall get rejected for
 - error in extension 'Tnn' or
 - error in any of the field of control record (Format specified above)
- **Successful:**
 - **Naming convention:** CLNTEPI_S_YYYYMMDD.Snn.
 - The file extension 'Tnn' will get replaced with 'Snn'
 - In the detailed record
 - S shall be appended for successful records and
 - R shall be appended for rejected records. A detailed record shall get rejected for
 - Error in format of any of the field of that record (Format specified above) or
 - No position is exists in the record or
 - Reduction in quantity is requested intraday.



Annexure III: EPI Allocation report format

- **Naming Convention:** RLCEYYYYMMDD.Dnn

YYYYMMDD - Date in YYYYMMDD format
D - The file indicator
nn - The batch number of file to be downloaded.

- **Control record**

Sr. No.	Field	Length	Value
1.	Record Type	NUMBER(2)	10
2.	Date	DATE(9)	Date in format DDMMYYYY
3.	Member Code	VARCHAR2(5)	Participant/Custodian code
4.	Number of records	NUMBER(7)	Total number of records in the file

- **Detail record (Allocated Quantity)**

Sr. No.	Field	Length	Value
1.	Record Type	NUMBER(2)	20
2.	Settlement Type	VARCHAR2(1)	P
3.	Settlement Number	VARCHAR2(7)	Settlement number for which EPI is provided
4.	Symbol	VARCHAR2 (10)	Symbol for which EPI is provided
5.	Series	VARCHAR(2)	Series for which EPI is provided
6.	Client Code	VARCHAR(20)	Client code/ CP code for which EPI is provided.
7.	Quantity Requested	NUMBER(9)	EPI Quantity as provided in the EPI file or existing position, whichever is less
8.	Quantity Allocated	NUMBER(9)	EPI benefit provided

- **Detail record (Balance Quantity)**

Sr. No.	Field	Length	Value
1.	Record Type	NUMBER(2)	30
2.	Settlement Type	VARCHAR2(1)	P
3.	Settlement Number	VARCHAR2(7)	Settlement number
4.	Symbol	VARCHAR2 (10)	Symbol
5.	Series	VARCHAR(2)	Series
6.	Client Code	VARCHAR(20)	Client code/ CP code
7.	Balance Quantity	NUMBER(9)	Balance Quantity to be repaid