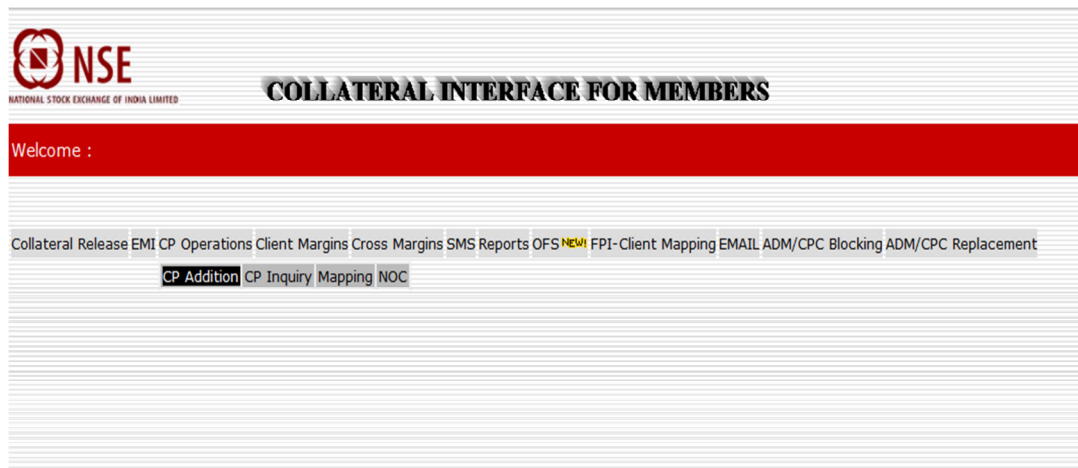


Help Document for application/ mapping request

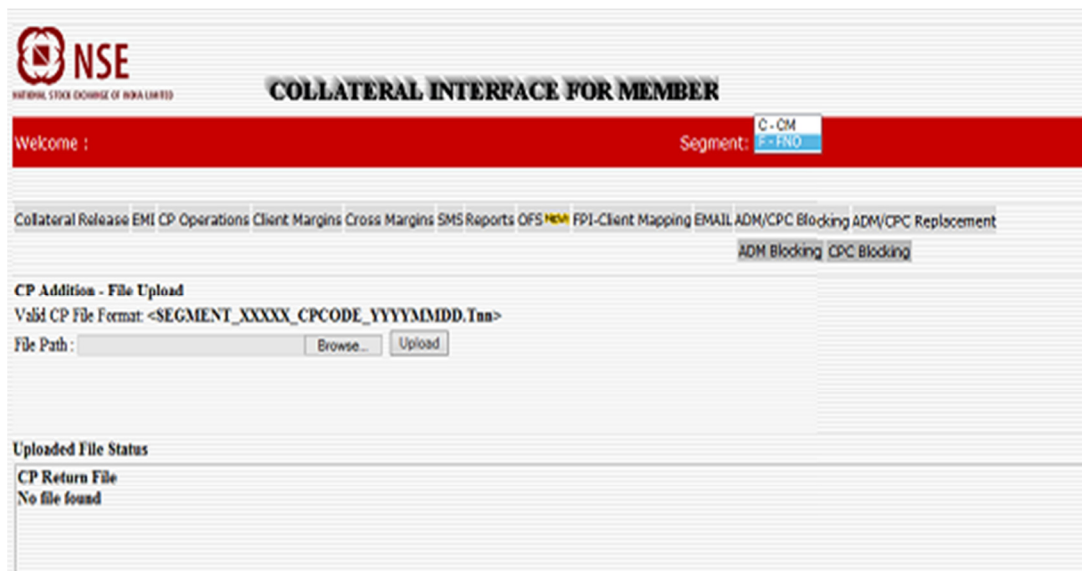
- I. Application for CP code / UCC
- II. Mapping Request for existing CP Codes in FO, CD and Debt Segment
- III. Mapping Request for existing CP Codes in SLB Segment
- IV. NOC – Applicable for Custodians in case of FO, CD and Debt segment mapping request from clearing member
- V. Inquiry- Generation / Mapping
- VI. Client Eligible For CP Code
- VII. Deactivation of CP Code
- VIII. Modification of name of CP Code

I. Application for CP Code / UCC

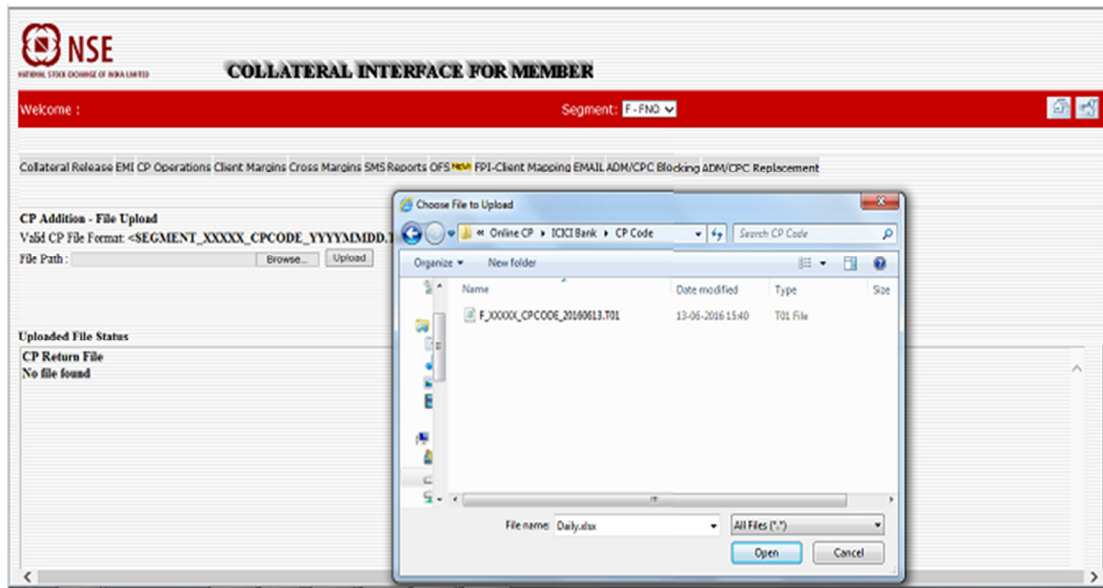
- i. Log on to Collateral Interface for Members
- ii. Click on CP Operations → CP Addition



- iii. Select relevant segment
C- Cash Market
F- Futures and Option,
X- Currency Derivatives
D- Debt

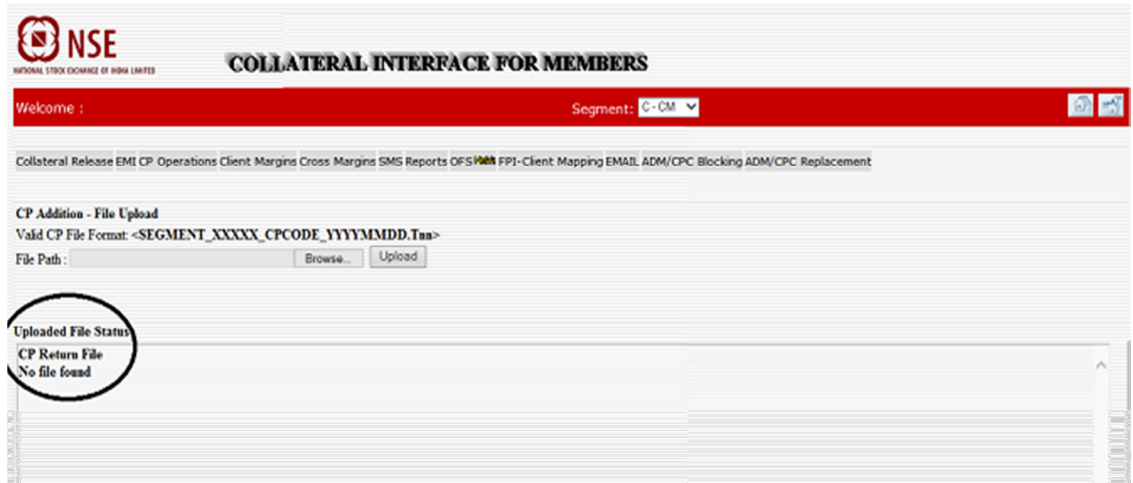


Browse and select file and click on Upload. The file shall be uploaded as per format specified in circular.



Return file will available in 'Uploaded File Status' as shown below.

File will show success and rejected records along with reason for rejection.

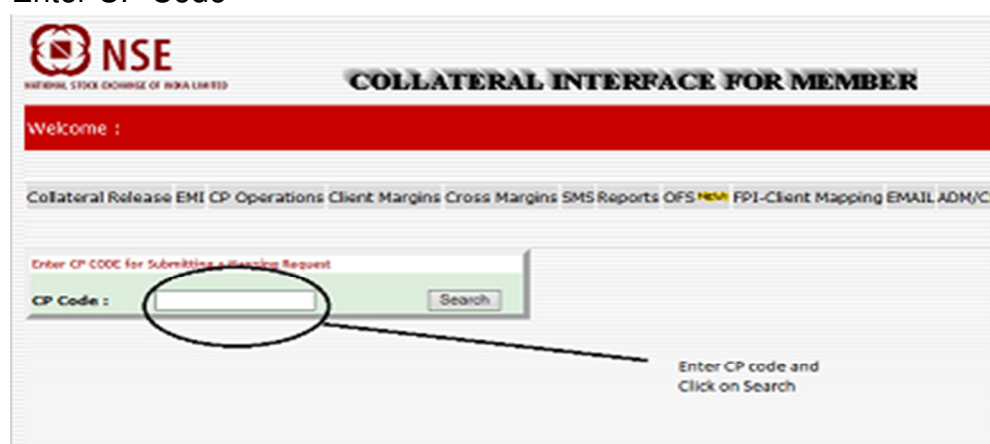


II. Mapping Request for existing CP Codes in FO, CD and DEBT Segment

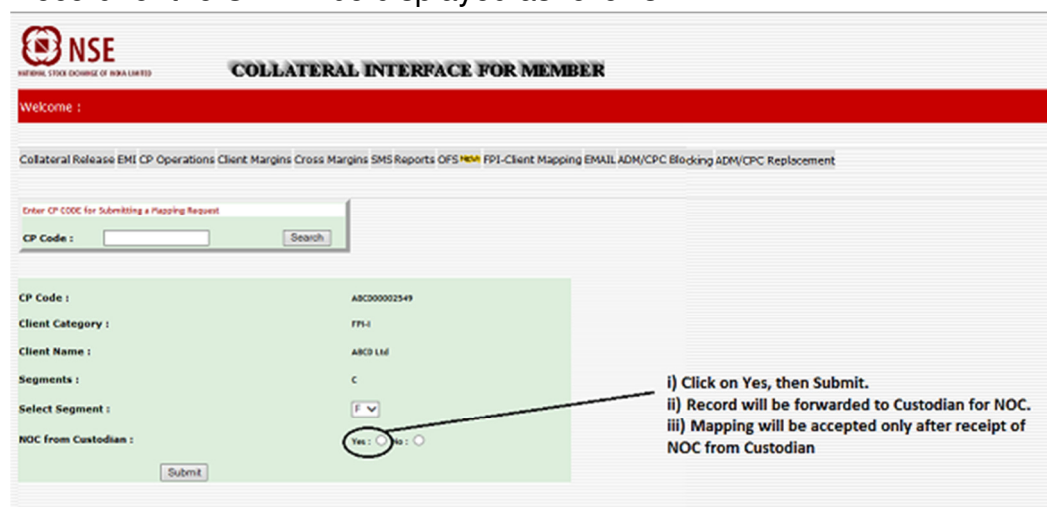
- i. Request for Mapping of existing CP code can be done through CP operations → Mapping



- ii. Enter CP Code



- iii. Record for the CP will be displayed as follows-



- iv. On submission of mapping request status shall be displayed.

The screenshot shows the NSE Collateral Interface for Member. At the top, there is a red banner with the NSE logo and the text "NATIONAL STOCK EXCHANGE OF INDIA LIMITED" and "COLLATERAL INTERFACE FOR MEMBER". Below the banner, there is a "Welcome :" message. A navigation bar contains links: Collateral Release, EMI CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL ADM/CPC BI. Below the navigation bar, there is a green box with the text "Enter CP CODE for Submitting a Mapping Request". Inside this box, there is a "CP Code :" label, a text input field, and a "Search" button. Below the green box, there is a red-bordered box with the text "Mapping Request Submitted. The same can be seen in inquiry."

III. Mapping Request for existing CP Codes in SLB Segment

For existing codes in CM Segment, Custodians can put request to activate CP code in SLB as well.

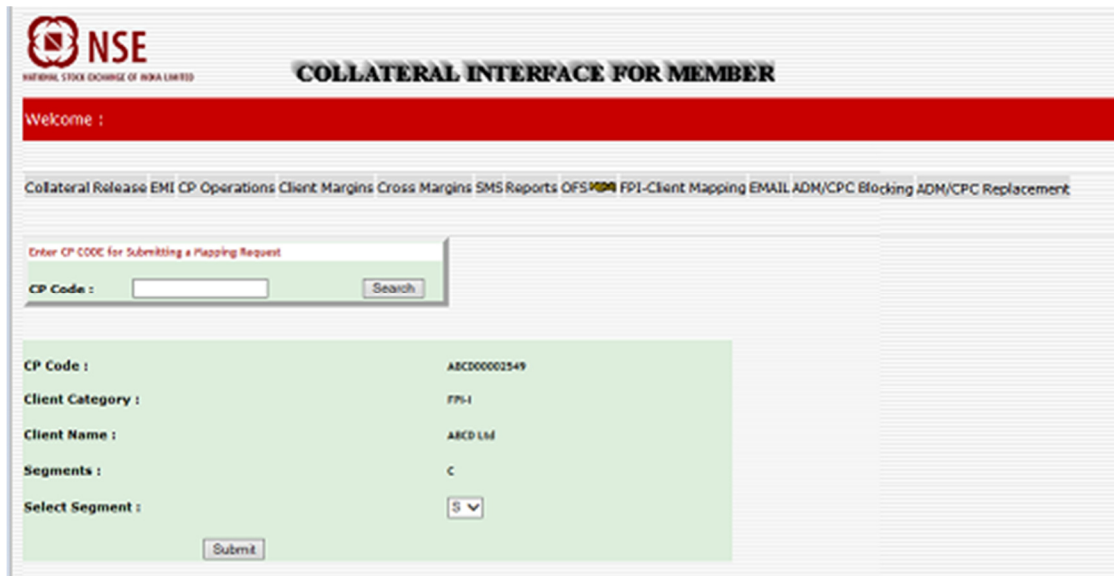
- i. CP operations → Mapping

The screenshot shows the NSE Collateral Interface for Member. At the top, there is a red banner with the NSE logo and the text "NATIONAL STOCK EXCHANGE OF INDIA LIMITED" and "COLLATERAL INTERFACE FOR MEMBER". Below the banner, there is a "Welcome :" message. A navigation bar contains links: Collateral Release, EMI CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL ADM/CPC Blocking ADM/CPC Replacement, CP Addition CP Inquiry Mapping, NOC. Below the navigation bar, there is a green box with the text "Enter CP CODE for Submitting a Mapping Request". Inside this box, there is a "CP Code :" label, a text input field, and a "Search" button. Below the green box, there is a red-bordered box with the text "Mapping Request Submitted. The same can be seen in inquiry."

The screenshot shows the NSE Collateral Interface for Member. At the top, there is a red banner with the NSE logo and the text "NATIONAL STOCK EXCHANGE OF INDIA LIMITED" and "COLLATERAL INTERFACE FOR MEMBER". Below the banner, there is a "Welcome :" message. A navigation bar contains links: Collateral Release, EMI CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL ADM/CPC Blocking ADM/CPC Replacement, CP Addition CP Inquiry Mapping, NOC. Below the navigation bar, there is a green box with the text "Enter CP CODE for Submitting a Mapping Request". Inside this box, there is a "CP Code :" label, a text input field, and a "Search" button. Below the green box, there is a red-bordered box with the text "Mapping Request Submitted. The same can be seen in inquiry."

Enter CP code and Click on Search

- ii. Record for the CP will be displayed as follows

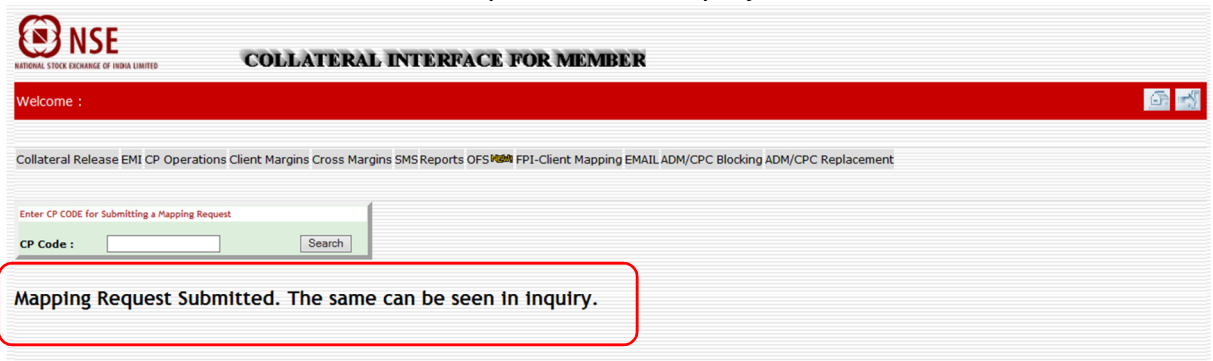


The screenshot shows the NSE Collateral Interface for Member. The header includes the NSE logo and the text "NATIONAL STOCK EXCHANGE OF INDIA LIMITED" and "COLLATERAL INTERFACE FOR MEMBER". Below the header is a red bar with "Welcome :". A navigation menu contains links: Collateral Release, EMI, CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL, ADM/CPC Blocking, and ADM/CPC Replacement. The main form area has a section titled "Enter CP CODE for Submitting a Mapping Request" with a "CP Code" input field and a "Search" button. Below this is a green box containing the following details:

CP Code :	ABCD00002549
Client Category :	FPI-I
Client Name :	ABCD Ltd
Segments :	C
Select Segment :	S

A "Submit" button is located at the bottom of the green box.

- iii. Click on submit. The status of Request will be displayed as follow



The screenshot shows the NSE Collateral Interface for Member after a mapping request has been submitted. The header and navigation menu are the same as in the previous screenshot. The main form area now displays a message in a red-bordered box: "Mapping Request Submitted. The same can be seen in Inquiry." The "CP Code" input field and "Search" button are still present but empty.

IV. **NOC – Applicable for Custodians in case of FO, CD and DEBT segment mapping request from clearing member**

Whenever a mapping request is placed by a Member for a CP code, the details will be displayed to the concerned Custody of the client.

Custody needs to provide NOC for the same as follows.

Go to CP Operations → NOC




NSE
NATIONAL STOCK EXCHANGE OF INDIA LIMITED

COLLATERAL INTERFACE FOR MEMBER

Welcome :

Collateral Release EMI CP Operations Client Margins SMS Reports OFS **NEW** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement
CP Addition CP Inquiry Mapping **NOC**



NSE
NATIONAL STOCK EXCHANGE OF INDIA LIMITED

COLLATERAL INTERFACE FOR MEMBER


Welcome :

Collateral Release EMI CP Operations Client Margins SMS Reports OFS **NEW** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement

Select the operation for NOC

Operation Mapping Segment F Go

Select the segment and click on Go.



NSE
NATIONAL STOCK EXCHANGE OF INDIA LIMITED

COLLATERAL INTERFACE FOR MEMBER

Welcome :

Collateral Release EMI CP Operations Client Margins SMS Reports OFS **NEW** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement

Select the operation for NOC

Operation Mapping Segment F Go

Applicant	Segment	Requested Date	Category	Client Name	CP Code	NOC	Remarks
TM Name	F	2016-06-21	FPI-III	ABCD Ltd	ABCD00002549	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

Submit

Custody can provide NOC by Clicking on 'Y' tab as highlighted above.

In case of rejection Custody can select 'N', need to provide remarks for rejection.

V. Inquiry- Generation / Mapping

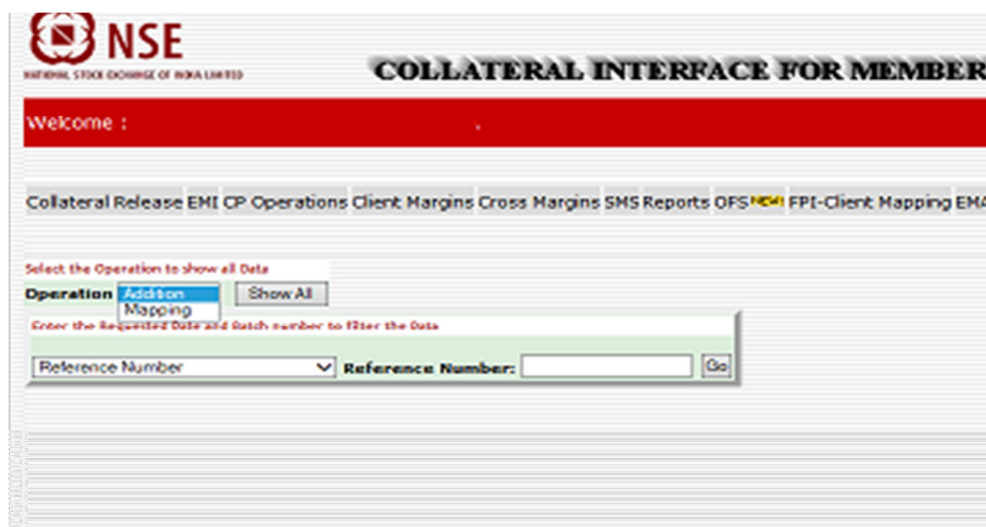
- CP operations → CP inquiry



- Select Addition to check status of New CP code request.
- Select Mapping to check status of Mapping request.

Following options are available for inquiry.

- i. Reference no: Give reference number of the request
- ii. Batch no and date: Give Batch no and date (1,2...) and date of the uploaded file
- iii. Request date: Give date range



NSE
NATIONAL STOCK EXCHANGE OF INDIA LIMITED

COLLATERAL INTERFACE FOR MEMBERS

Welcome :

Collateral Release EMI CP Operations Client Margins Cross Margins SMS Reports OFS **Margin** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Rep

Select the Operation to show all Data

Operation: Addition

Enter the Requested Date and Batch number to filter the Data

Reference Number:

Batch Number with Date
Requested Date(From and To Date)

Enter the Requested Date and Batch number to filter the Data

Batch Number with Date Requested Date:

Enter the Requested Date and Batch number to filter the Data

Requested Date(From and To Date)

The generated CP code and effective date shall be displayed.

Welcome :

Collateral Release EMI CP Operations Client Margins SMS Reports OFS **Margin** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement

Select the Operation to show all Data

Operation: Addition

Enter the Requested Date and Batch number to filter the Data

Requested Date(From and To Date)

Check	Reference No	Segment	Requested Date	Category	Client Name	Allotted CP code	Allotted UCC code	Status	Remarks	Effective Date	Marginalia	Generate Letter
<input type="checkbox"/>	420160613000007	C	13-06-2016	OTH	OTH GUJARAT	CITI100003756	NA	Accepted		14-06-2016	MEMBER	
<input type="checkbox"/>	420160613000006	C	13-06-2016	BNK	BNK MUMBAI	CITI100003755	BNKBNK0000	Accepted		14-06-2016	NONE	
<input type="checkbox"/>	420160613000005	C	13-06-2016	DFI	DFI PUNE	CITI100003754	DFINDF10000	Accepted		14-06-2016	NONE	
<input type="checkbox"/>	420160613000004	C	13-06-2016	BNF	BNF DELHI	AXIS000000032	BNKBNK0000	Accepted		14-06-2016		

The information can be downloaded in excel format.

Letters for the CP code can be downloaded by clicking on Generate Letter.

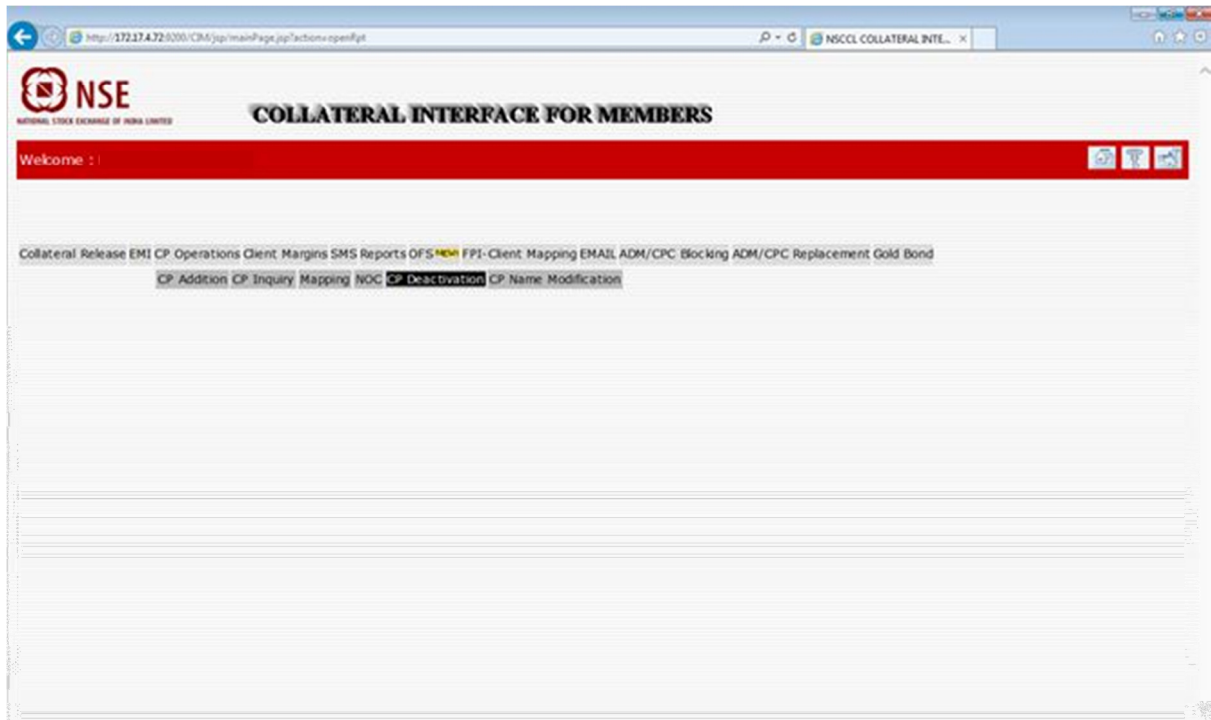
VI. CLIENT ELIGIBLE FOR CP CODE

Eligible client for CM Segment

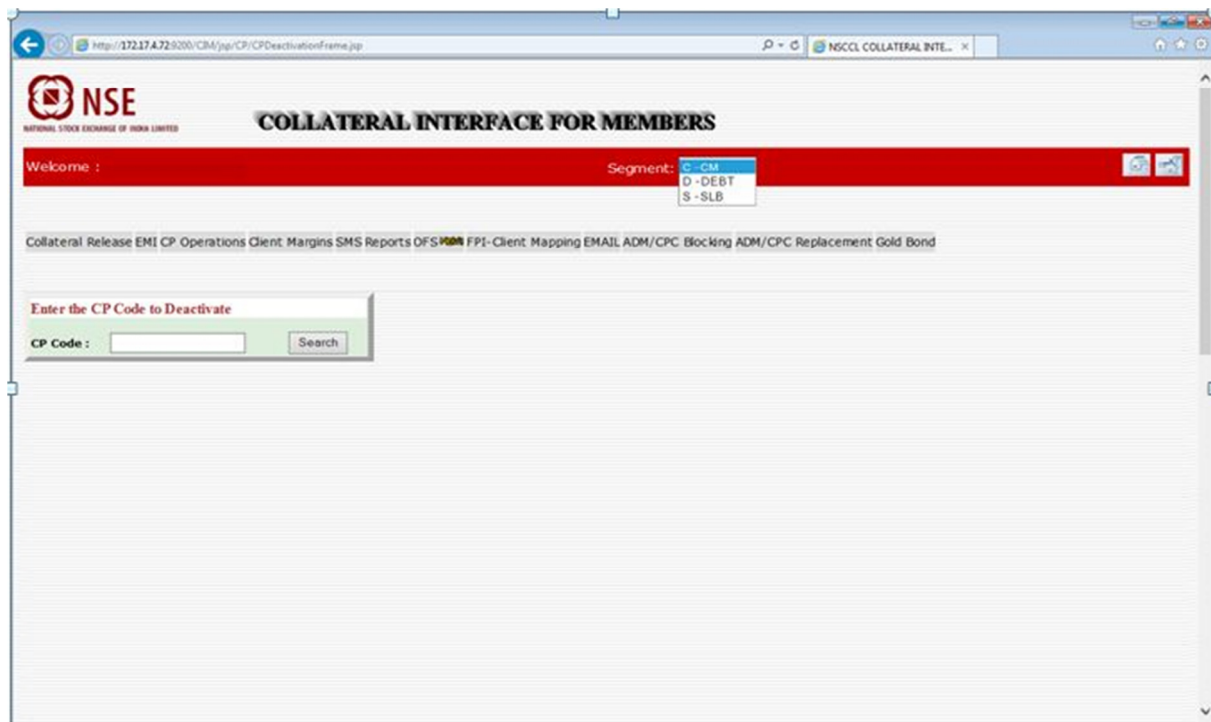
Custodian Participant Category	Type of Client	Eligible Segment
FPI-I	Foreign Portfolio Investor -Category I	CM, SLB, FO CD DEBT
FPI-II	Foreign Portfolio Investor -Category II	CM, SLB, FO CD DEBT
FPI-III	Foreign Portfolio Investor -Category III	CM, SLB, FO CD DEBT
OFI	Other Foreign Investors such as FDI, DR, GDR, FCCB, FVCI	CM, SLB, FO CD DEBT
MF	Mutual Fund	CM, SLB, FO CD DEBT
PNF	Pension Fund	CM, SLB, FO CD DEBT
INS	Insurance Company	CM, SLB, FO CD DEBT
DFI	Domestic Financial Institutions	CM, SLB, FO CD DEBT
BNK	Banks	CM, SLB, FO CD DEBT
LNK-FPI-I	Account linked to Foreign Portfolio Investors – I	CM
LNK-FPI-II	Account linked to Foreign Portfolio Investors – II	CM
LNK-FPI-III	Account linked to Foreign Portfolio Investors – III	CM
MFSCH	Mutual Fund Schemes	CM, SLB, FO CD DEBT
PNSCH	Pension Fund Schemes	CM, SLB, FO CD DEBT
INSCH	Insurance Schemes	CM, SLB, FO CD DEBT
NRI	Non Resident Indian	CM SLB FO DEBT
OTH	Other Domestic Investors such as PMS, AIF	CM SLB FO DEBT
RI	Residential Individuals*	SLB FO CD DEBT
DBC	Domestic Body Corporates / Partnership Firms / LLP	SLB FO CD DEBT

VII. DEACTIVATION OF CP CODE

- i. CP Operations → CP Deactivation



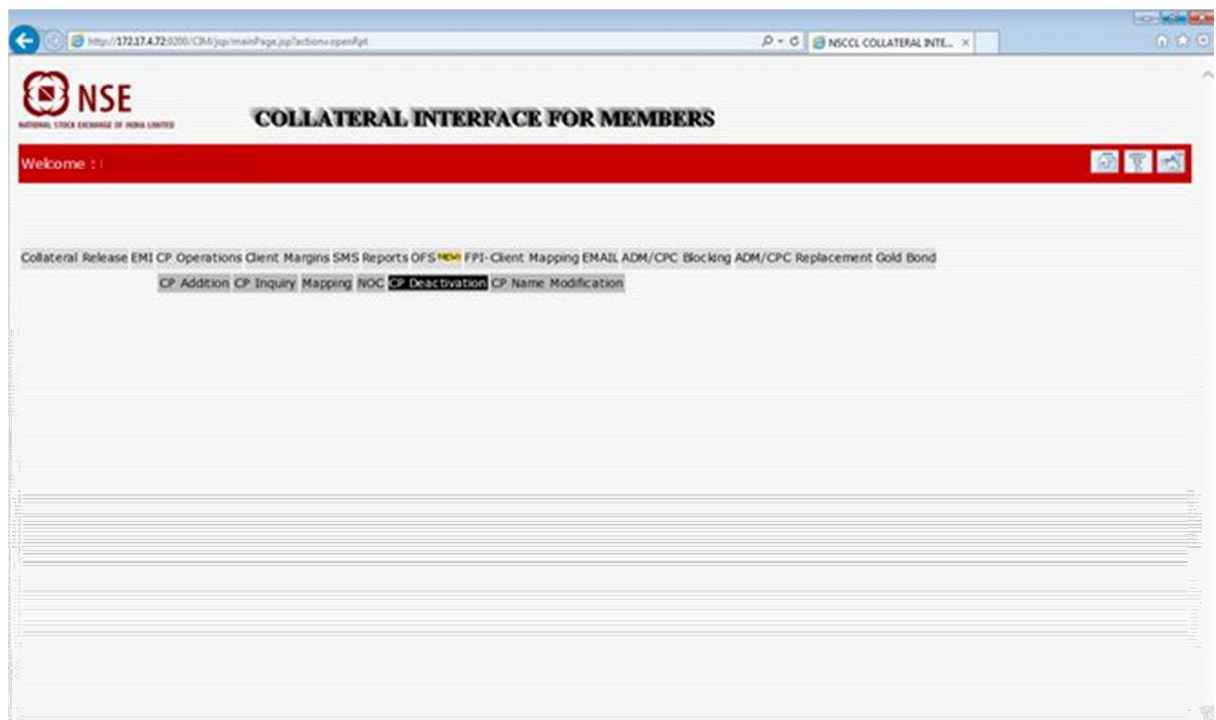
- ii. Select Segment and input CP Code. Click on search, select the record and submit the request.



- iii. Members can inquire the status of CP deactivation in existing CP inquiry screen.

VIII. MODIFICATION OF NAME OF CP CODE

- i. CP Operations → CP Name Modification



- ii. Input the CP Code, click on search, select the record, input new name and submit the request.
- iii. Members can inquire the status of CP deactivation in existing CP inquiry screen.