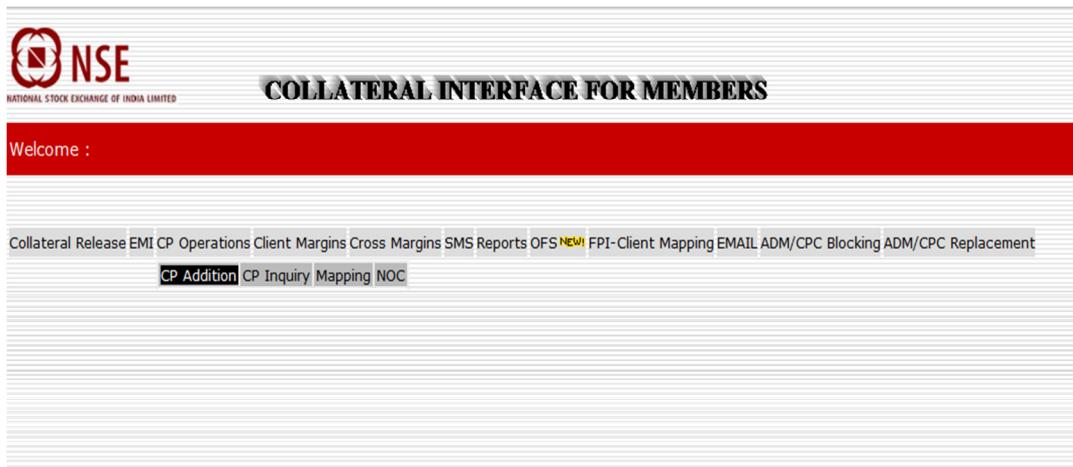


Help Document for application/ mapping request

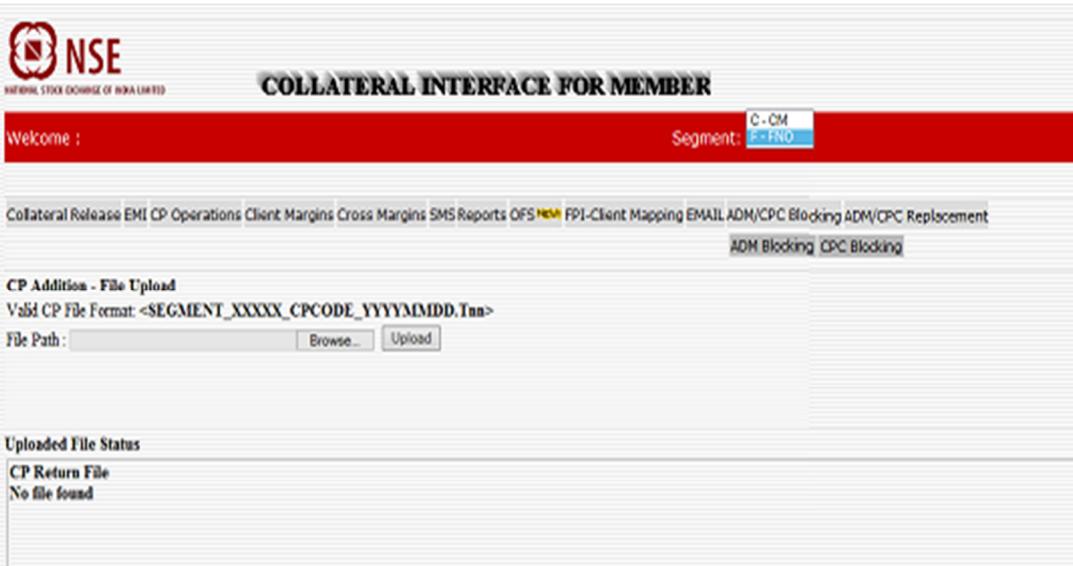
- I. Application for CP code / UCC
- II. Mapping Request for existing CP Codes in FO, CD and Debt Segment
- III. Mapping Request for existing CP Codes in SLB Segment
- IV. NOC – Applicable for Custodians in case of FO, CD and Debt segment mapping request from clearing member
- V. Inquiry- Generation / 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

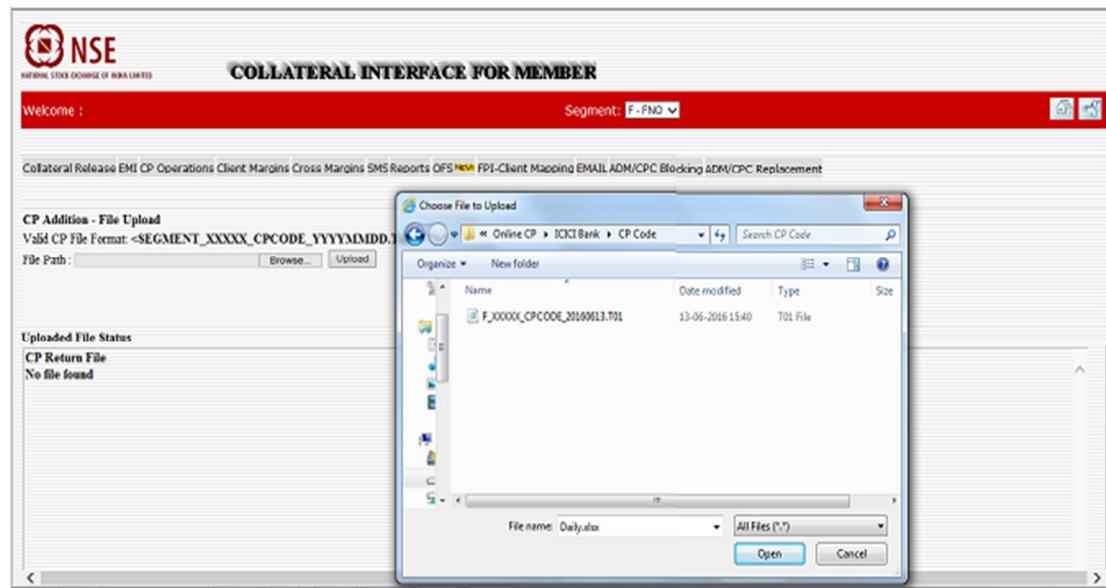
- i. Log on to Collateral Interface for Members
- ii. Click on CP Operations → CP Addition



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

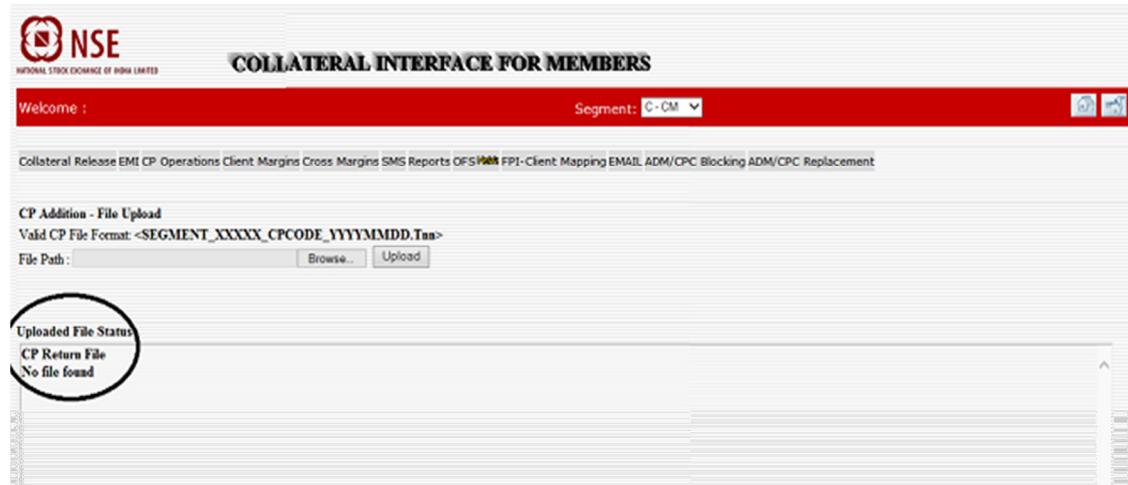


Browse and select file and click on Upload. The file shall be uploaded as per format specified in circular.



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



National Stock Exchange of India Limited

COLLATERAL INTERFACE FOR MEMBER

Welcome :

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

CP Addition CP Inquiry **Mapping** NOC

ii. Enter CP Code



National Stock Exchange of India Limited

COLLATERAL INTERFACE FOR MEMBER

Welcome :

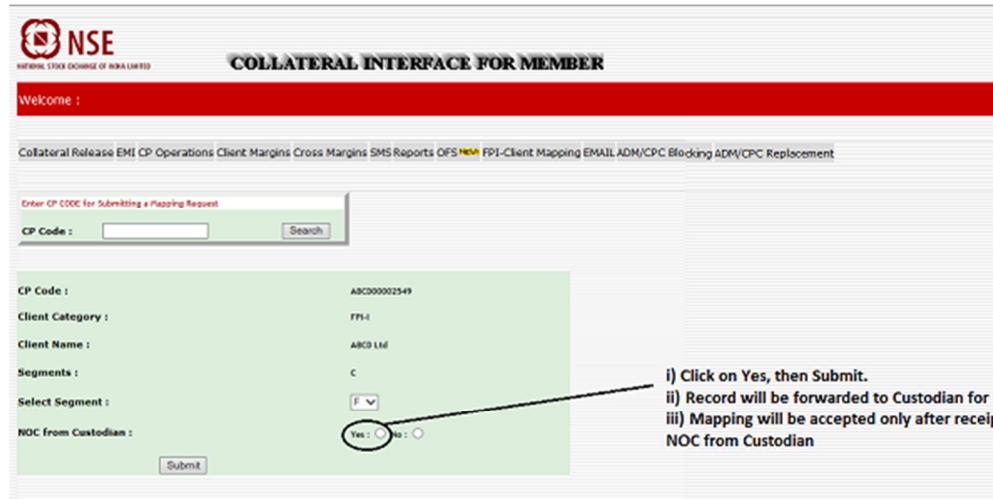
Collateral Release EMI CP Operations Client Margins Cross Margins SMS Reports OFS **NOC** FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement

Enter CP CODE for Submitting a Mapping Request

CP Code : Search

Enter CP code and Click on Search

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



National Stock Exchange of India Limited

COLLATERAL INTERFACE FOR MEMBER

Welcome :

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

Enter CP CODE for Submitting a Mapping Request

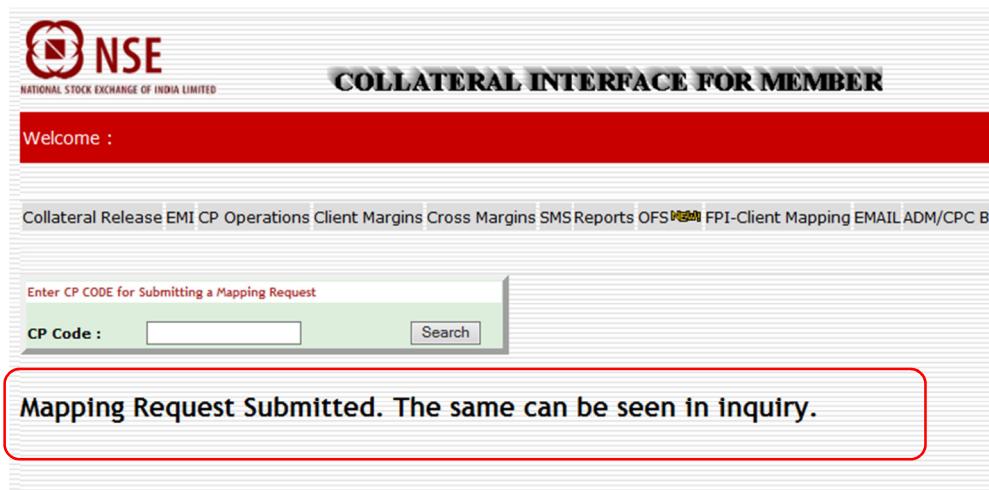
CP Code : Search

CP Code : ABC000002549
Client Category : FPI-I
Client Name : ABCD Ltd
Segments : C
Select Segment :
NOC from Custodian : Yes No

i) Click on Yes, then Submit.
ii) Record will be forwarded to Custodian for NOC.
iii) Mapping will be accepted only after receipt of NOC from Custodian

Submit

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

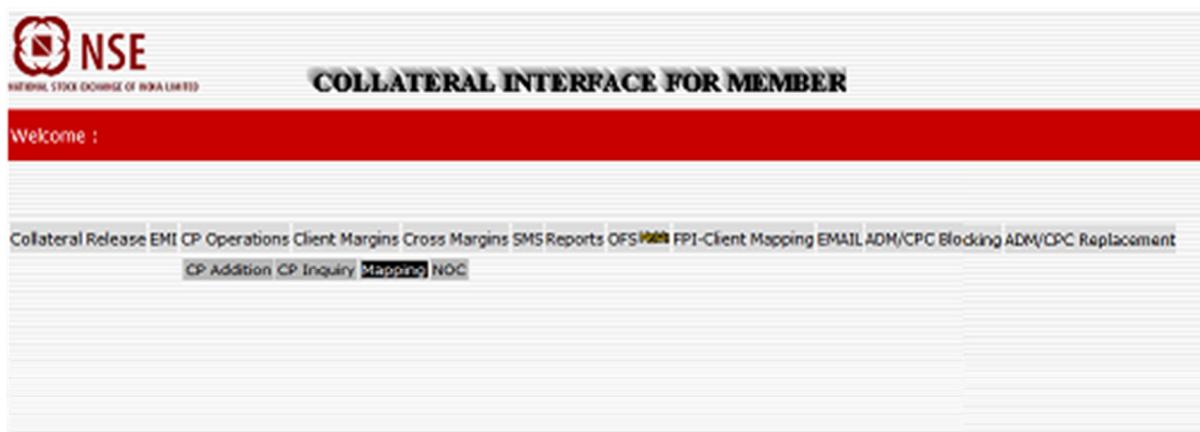


The screenshot shows the NSE Collateral Interface for Member. At the top left is the NSE logo and text 'NATIONAL STOCK EXCHANGE OF INDIA LIMITED'. The top right says 'COLLATERAL INTERFACE FOR MEMBER'. A red bar below the logo contains the text 'Welcome :'. Below this is a menu bar with items: Collateral Release, EMI, CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL, ADM/CPC Blocking, ADM/CPC Replacement. A search bar is present with the placeholder 'Enter CP CODE for Submitting a Mapping Request'. Below the search bar is a form with 'CP Code :' and a 'Search' button. A red box highlights the message '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

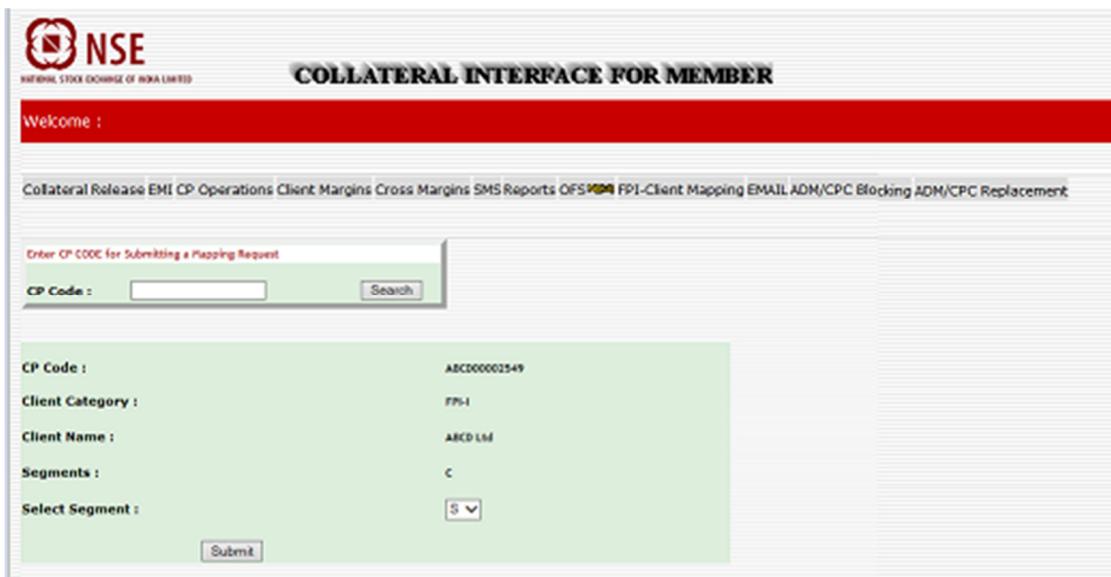


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The screenshot shows the NSE Collateral Interface for Member. At the top left is the NSE logo and text 'NATIONAL STOCK EXCHANGE OF INDIA LIMITED'. The top right says 'COLLATERAL INTERFACE FOR MEMBER'. A red bar below the logo contains the text 'Welcome :'. Below this is a menu bar with items: Collateral Release, EMI, CP Operations, Client Margins, Cross Margins, SMS Reports, OFS, FPI-Client Mapping, EMAIL, ADM/CPC Blocking, ADM/CPC Replacement. A search bar is present with the placeholder 'Enter CP CODE for Submitting a Mapping Request'. Below the search bar is a form with 'CP Code :'. A callout line points from this input field to the text 'Enter CP code and Click on Search'.

ii. Record for the CP will be displayed as follows



COLLATERAL INTERFACE FOR MEMBER

Welcome :

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

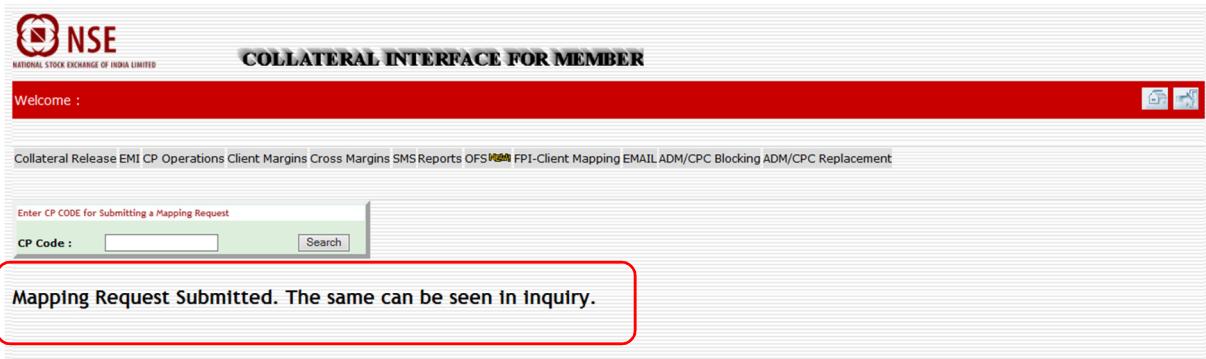
Enter CP CODE for Submitting a Mapping Request

CP Code : Search

CP Code : ABCD000002549
Client Category : FPI-I
Client Name : ABCD LTD
Segments : C
Select Segment : S

Submit

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



COLLATERAL INTERFACE FOR MEMBER

Welcome :

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

Enter CP CODE for Submitting a Mapping Request

CP Code : Search

Mapping Request Submitted. The same can be seen in Inquiry.

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"/> Y <input type="checkbox"/> N	<input type="text"/>

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

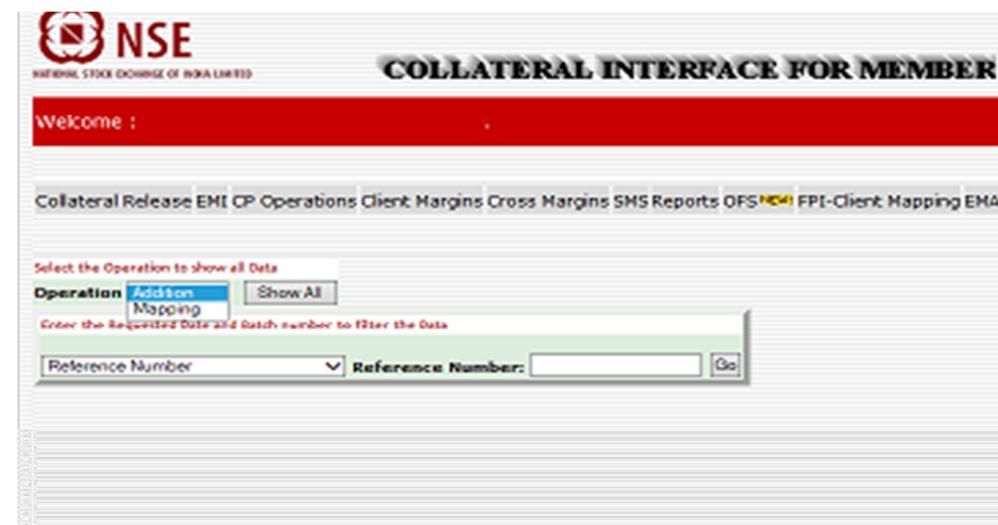
- CP operations → CP inquiry



- 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



COLLATERAL INTERFACE FOR MEMBERS

Welcome :

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

Select the Operation to show all Data

 Operation

Enter the Requested Date and Batch number to filter the Data

Reference Number	Reference Number: <input type="text"/>	<input type="button" value="Go"/>
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	Batch Number: <input type="text"/>	Requested Date: <input type="text"/>	Request Date: <input type="text"/>	<input type="button" value="Go"/>
------------------------	------------------------------------	--------------------------------------	------------------------------------	-----------------------------------

Enter the Requested Date and Batch number to filter the Data

Requested Date(From and To Date)	From Date: <input type="text"/>	To Date: <input type="text"/>	<input type="button" value="Go"/>
	Request Date	Request Date	

The generated CP code and effective date shall be displayed.

Welcome :

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

Select the Operation to show all Data

 Operation

Enter the Requested Date and Batch number to filter the Data

Requested Date(From and To Date)	From Date: <input type="text"/>	To Date: <input type="text"/>	<input type="button" value="Go"/>
	Request Date	Request Date	

Check	Reference No	Segment	Requested Date	Category	Client Name	Allotted CP code	Allotted UCC code	Status	Remarks	Effective Date	Marginable	Generate Letter
<input type="checkbox"/>	42016061300007	C	13-06-2016	OTH	OTH GUJARAT	CITI100003756	NA	Accepted		14-06-2016	MEMBER	
<input type="checkbox"/>	42016061300006	C	13-06-2016	BNK	BNK MUMBAI	CITI100003755	BK08BK0000	Accepted		14-06-2016	NONE	
<input type="checkbox"/>	42016061300005	C	13-06-2016	DFI	DFI PUNE	CITI100003754	DFXDFI0000	Accepted		14-06-2016	NONE	
<input type="checkbox"/>	42016061300004	C	13-06-2016	PNF	PNF DELHI	AXI100000052	BK08SH0000	Accepted		14-06-2016		

 View 

The information can be downloaded in excel format.

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

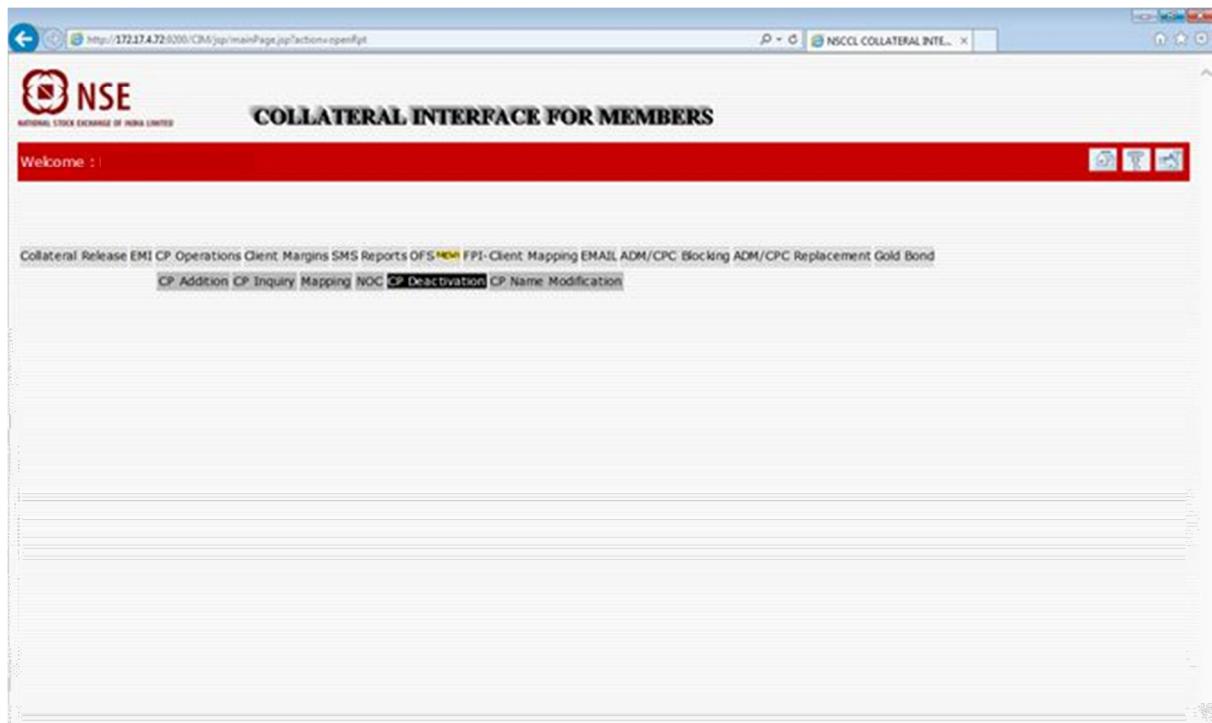
VI. CLIENT ELIGIBLE FOR CP CODE

Eligible client for CM Segment

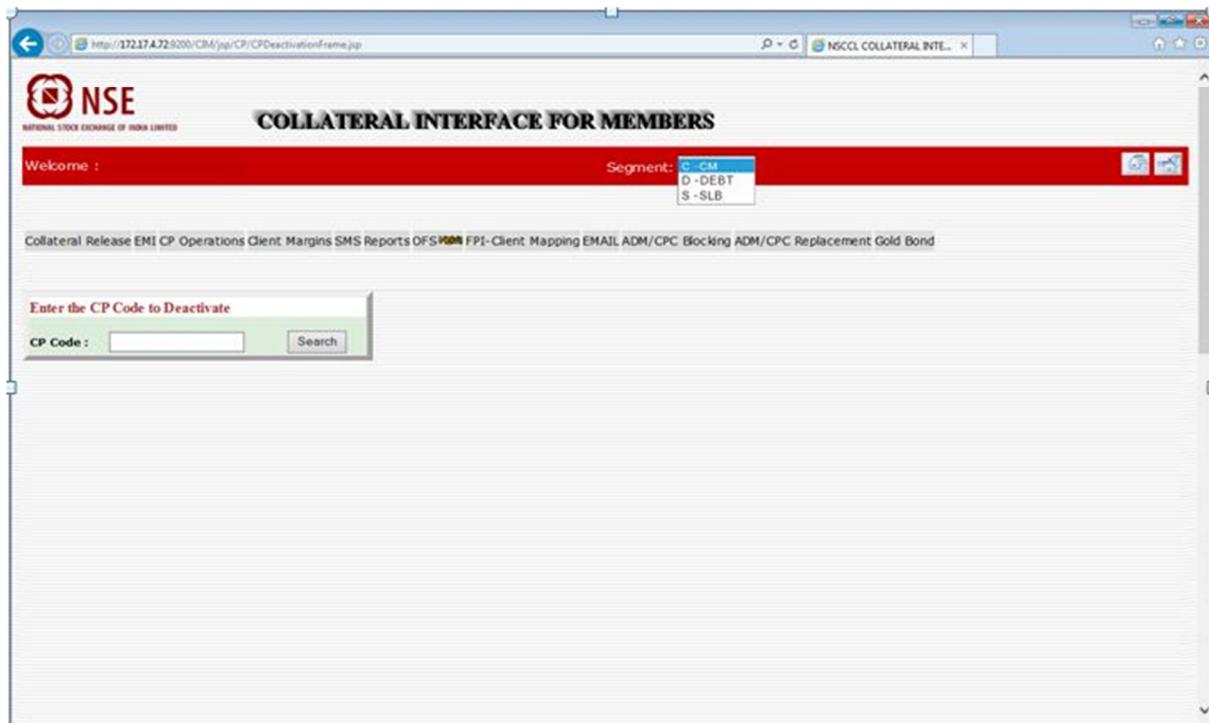
Custodian Participant Category	Type of Client	Eligible Segment
FPI-I	Foreign Portfolio Investor -Category I	CM, SLB, FO CD DEBT
FPI-II	Foreign Portfolio Investor -Category II	CM, SLB, FO CD DEBT
FPI-III	Foreign Portfolio Investor -Category III	CM, SLB, FO CD DEBT
OFI	Other Foreign Investors such as FDI, 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



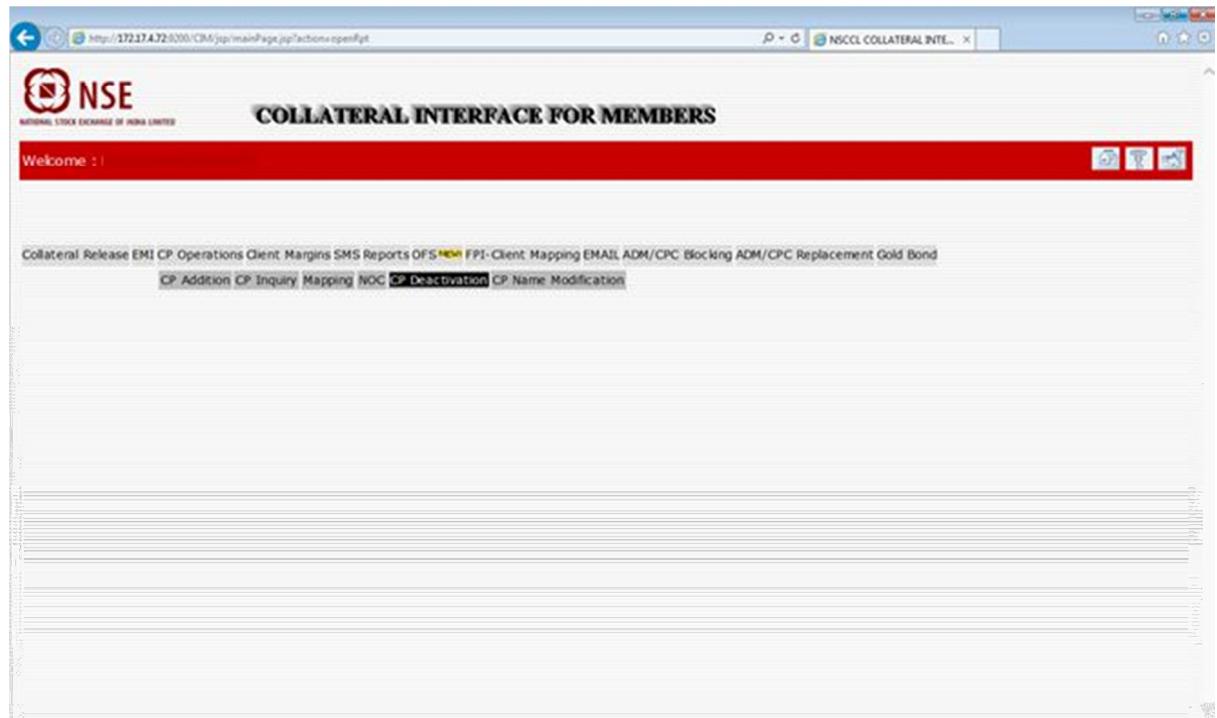
- ii. Select Segment and input CP Code. Click on search, select the record and submit the request.



- 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.