

## NATIONAL STOCK EXCHANGE OF INDIA LIMITED

<b>DEPARTMENT : INVESTIGATION</b>	
Download Ref.No.: NSE/INVG/24045	Date : July 31, 2013
Circular Ref.No.: 874/2013	

To All NSE Members

**Sub: Provisional Client Code Modification Penalty file.**

This is in continuation to NSE Circular Download No.18281 dated July 5, 2013 regarding Modification of Client Codes of Non-institutional Trades Executed on Stock Exchanges (All Segments).

Post feedback and subsequent suggestions from market participants, Exchange shall provide a daily provisional file to the trading members containing summary of cumulative client code modifications for the month. The provisional file for T day shall be provided on T+1 day. The file shall be downloaded from August 2, 2013 (for trade date August 1, 2013) onwards.

File naming convention	<SEGMENT>_<TM CODE>_CCM_PROV_PENALTY_<DD-MON-YYYY>.txt
File path on Extranet	/INVESTIGATION/DNLD for CM Segment FAOFTP/INVESTIGATION/DNLD for FO Segment CDSFTP/INVESTIGATION/DNLD for CD Segment
File format	TXT

Column No	Headers	Field Characteristics	Details
1.	Member Code	CHAR	Member Code
2.	Modified Value	NUMBER	Value of trades modified in INR
3.	Non Institutional Turnover	NUMBER	Non institutional turnover of the trading member in INR
4.	Percentage of Modified Value to Non Institutional Turnover	NUMBER	Percentage of modified value to non institutional turnover
5.	Penalty Percentage	NUMBER	Percentage of penalty
6.	Penalty Amount	NUMBER	Amount of penalty in INR

**Footnote:** “The penalty amount may alter subsequently based on volume of trades and volume of client code modification for the month. It may also vary subject to changes in regulatory/exchange requirements, if any.”

Trading members are further requested to ensure that the UCC details of the ‘Error Account’ are same as the UCC details of the ‘Own Account’.

In case of any clarifications, please contact Ms. Riddhi Shethna or Ms. Kalyani P.L.S. on 022-26598417.

**For National Stock Exchange of India Limited**

**Nilesh Tinaikar**  
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**Investigation**

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