## CIM user guide for file upload facility to specify Do not Exercise

Refer to the following circular issued by NSCCL: https://www.nseindia.com/content/circulars/CMPT35635.zip

1. Login into the CIM interface Select Exercise Request  $\rightarrow$  File Upload / Download

Collateral Release EMI CP Operations Client Margins SMS Reports OFS New FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond C	PSE ETF Exercise Request
	File Upload/Download

2. On clicking on the link, the option to download .CSV file containing details of long positions in CTM contracts shall be visible as shown below.

This link would be available only if:

- The system current date is equal to contract expiry date.
- The logged in member has at least one long position in any expiring CTM contracts.

Note: After the start of cut off time if the option to download the file is not available (despite both the aforesaid conditions are met), member is requested to refresh the page.

The file shall contain all long positions in CTM contracts with default option as 'Exercise' i.e. exercise flag as 'Y'.

Collateral Release EMI CP Operati	ons Client Margins SMS Reports OFS 🚧 FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request
Export options: <u>CSV</u>	Cut Off Timing : 30-AUG-2017 22:00

- 3. A file upload facility is available to change default option of 'Exercise' to 'Do not exercise' by changing the exercise flag from 'Y' to 'N' is available.
  - The member shall upload the file only within the time window specified by NSCCL.
  - The member shall prepare the file based on the CSV file downloaded as per step 2 above.
  - The member can upload multiple files provided the Batch Number for the day shall be a sequential number.
  - The member can upload all position records specifying option to 'Exercise'/ 'Do Not Exercise' OR only select few position records specifying option 'Do Not Exercise'. In any case, the member shall not update/ modify the original record except for the Expiry Flag. If the position record is modified, the same shall be rejected by NSCCL. Also, only 'Y' and 'N' shall be considered as valid values for the 'Exercise Flag'.
  - The member shall click on 'Browse' button to select the file to be uploaded from local drive and then click on 'Upload' to send the information to NSCCL.

Collateral Release EMI CP Operations C	ient Margins SMS Reports OFS Man FPI-Client Mapping EMAIL ADM/CPC Blocking CPSE ETF Gold Bond MFSS Orders Exercise Request Man
Export options: <u>CSV</u>	
CTM - File Upload	
Valid CTM File Format: F_CTM_ <me< th=""><th>VIBERCODE&gt;_<ddmmyyyy>.T<nn></nn></ddmmyyyy></th></me<>	VIBERCODE>_ <ddmmyyyy>.T<nn></nn></ddmmyyyy>
File Path :	Browse Upload

3.1. If the file nomenclature is invalid or batch number in file uploaded is not proper, the 'Upload' process shall not be able to recognize the file, and accordingly error message will be displayed

	nt Margins SMS Reports OFS KM FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request KM
Export options: CSV	
CTM - File Upload	
Valid CTM File Format: F_CTM_ <memb< th=""><td>SERCODE&gt;_<ddmmyyyy>.T<nn></nn></ddmmyyyy></td></memb<>	SERCODE>_ <ddmmyyyy>.T<nn></nn></ddmmyyyy>
File Path :	Browse Upload
Invalid File Name Format: Missing string CTM in	file
Collateral Release EMI CP Operations Clien Export options: CSV	t Margins SMS Reports OFS New FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request New
Collateral Release EMI CP Operations Clien Export options: CSV CTM - File Upload	t Margins SMS Reports OFS New FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request New
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As the file is not considered for upload by NSCCL, no return file shall be generated.

3.2. If the file is accepted for processing, following message will be displayed:

ollateral Release EMI CP Operations Client Margins SMS Reports OFS 1001 FP	PI-Client Mapping EMAIL ADM/CPC Blocking	ADM/CPC Replacement MFSS Orders Go	d Bond CPSE ETF Exercise Request
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For every file uploaded successfully at NSCCL, a return file shall be generated as follows:

a. If all records in the file uploaded are processed successfully, then a return file with extension .S<nn> shall be generated and the following message shall be displayed to the member:

Collateral Release EMI CP Operations Client Margins SMS Reports OFS M	FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request Non
Export options: <u>CSV</u>	
CTM - File Upload VaåCTM File Format F_CTM_ <membercode>_<ddmmyyyy: File Path : Browse_ Upload File Upload Successful.</ddmmyyyy: </membercode>	>,T <nn></nn>
Uploaded File Status CTM Return File F CTM 199209 30082017 S01	

b. If any of the records in the file uploaded fails, then a return file with extension .R<nn> shall be generated and the following message shall be displayed to the member:

Collateral Release EMI CP Operations Client Margins SMS Reports OFS How FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request How	
Export options: <u>CSV</u>	
CTM - File Upload Vaid CTM File Format F_CTM_ <membercode>_<ddmmyyyy>.T<an></an></ddmmyyyy></membercode>	
File Dath : OBrowse Upload	
Uploaded File Status	
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Members are requested to refer to the return files to check the status and take corrective action, if any, before NSCCL specified cut off time.

3.3. Following message will appear when file upload is done after cut off window

Collateral Release EMI CP Operations Client Margins SMS	S Reports OFS Han FPI-Client Mapping EMAIL ADM/CPC Blocking ADM/CPC Replacement MFSS Orders Gold Bond CPSE ETF Exercise Request Han
CTM positions confirmation request timing is over.	
CTM positions confirmation request timing is over.	