

ANNEXURE I

User Manual

For

NCMS – CM

Version 1.0.0

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1 Introduction

The NSCCL Clearing Management System (NCMS) is a desktop based interface provided to members which facilitates online modification of CP codes and client codes and post trading allocation / un-allocation of OTR. Members can carry out modifications during market hours through screen based and file upload facilities. Members can also access orders and OTR information by querying on selected fields and check settlement-wise process timings and confirmation status of OTR online.

This user manual is provided to make members aware about the installation, login process and working procedure along with the features available with the application.

2 Abbreviations and Acronyms

Acronym & Abbreviations	Full Form
NSEIL	National Stock Exchange Of India Limited
NSCCL	National Securities Clearing Corporation Limited
CLD	Client Code
CP	Custodian Participants
NA	Not Applicable
CM	Cash Market
TM	Trading Member
OTR	Obligation Transfer Request
EXE	Executable
CF	Confirmation Flag
WAP	Weighted Average Price
STP	Settlement Period
ERR	Error
TRD	Trade
ORD	Order
LDB	Local Database

3 Features available in the NCMS – CM

Trading Member Interface

1. **Order Inquiry** – Member can inquire orders by querying on selected fields.
2. **CP/CLD Modification** – Member is given a facility to modify CP and client code on an online basis for the orders executed by the member. Application will allow member to modify the CP/CLD through screen as well as through file upload.
3. **Partial Modified Orders** – Member can inquire on modification of partially executed orders and apply the latest client or CP code over non-modified trades.
4. **OTR Modification** – Member can inquire on the OTR and allocate/un-allocate OTR post CP /CLD modification through screen or file upload facility
5. **File Generation** – This will allow members to generate file for all modifications and allocation/un-allocations.
6. **Messages** – New message based technology is available to intimate member for each action.
7. **Settlement Window** – A window is provided to check online settlement wise process timings and status of each process along with messages.

4 Install NCMS-CM EXE:

Following is the recommendation for software and hardware requirement to install NCMS – CM EXE -

Operating System: Windows XP with Service pack 2 and above

Processor: Dual Core and above

RAM: 1 GB and above

Internet: Internet connectivity with Broadband

Steps to Install –

1. Go to the drive where NCMSSetup.exe is copied.

2. Double click on the NCMSSetup.exe
3. The files will be extracted with the pop up window 'NCMS Installer.
Installation drive (where application will be installed) will be 'C:' by default.
However, the user can change the default installation drive to any other local drives (e.g. D:). Click on 'Install' button on this pop up, message of successful installation will be displayed once the complete application is installed.
4. On successful installation:
 - a. Two directories NCMSDB and NCMS Data will be created in the installation drive.
 - b. NCMS shortcut icon will be created on the desktop
 - c. NCMS entry will be available in the 'All Programs' sub-menu of the 'Start' menu.
5. Upon installation, the application pops up systems configuration window.
Upon saving the settings, the application gives the following message "settings saved please restart the application"

Invoking the application:

6. The user can run the NCMS application by double clicking on the:
 - a. NCMS shortcut icon created on the desktop.
 - b. NCMS entry in the 'Programs' sub-menu of the 'Start' menu.
 - c. NCMS located in the NCMSDB directory in the installation drive.
7. Members can log in to NCMS by entering, the valid Member Code, User ID and Password.

4.1 NCMS – CM - System Configuration

On successful installation of NCMS-CM, double click on the shortcut present on desktop which will open the NCMS-CM login screen.

Before login check the system configuration. To set up system configuration - Press 'CTRL + Space bar'. A new window will open having parameters for log drive, connection type and address. Default parameters - log drive will be 'C', connection type will be Lan/Proxy and address will be 'https://www.connect2nse.com'. In the selected

drive, a local database will be created and files will be saved in the respective folders on that drive. Any change in default address will be intimated by NSCCL from time to time.

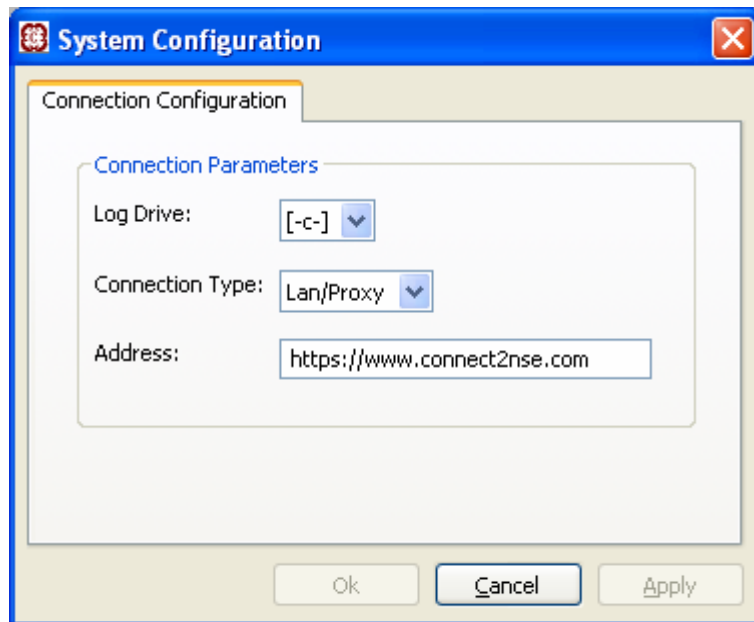


Fig. 1

Press OK to save the system configuration or else press Cancel to quit. On saving the configuration window will be closed. Explicitly close the login screen and reopen to start login process.

4.2 Getting Logged in

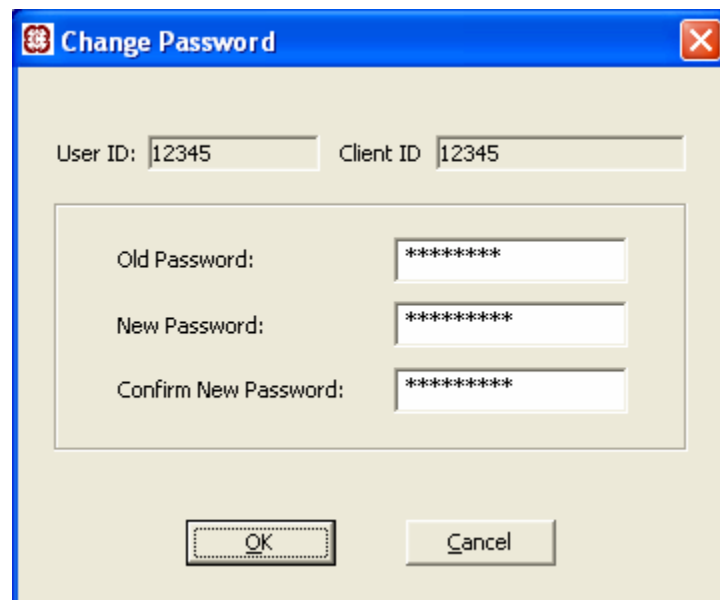
On the NCMS screen select Market ID as 'CM'. To change it, press down/up arrow. Enter the client ID, user ID as member code and password.

(Note: Members should get logged in from the start of market hours to enable timely download of trades in the local database.)

**Fig. 2**

Press 'Confirm' to login, 'Cancel' to clear all the entered fields and 'Exit' to quit the application.

On first time login, a popup window will open to change the default password. New password should not be the same as the default password and should have at least eight digits and at least one numeric character.

**Fig. 3**

5 NCMS Application Walk Through

On successful login, following options will be available –

⇒ Logout

- Lock ID – F4
- Exit – Alt + F4

⇒ View

- Order Modification Screen – F2
- OTR Modification Screen – F3
- Partial Modification Screen – F6
- File Generation – F7
- File Upload – F8

⇒ Tools

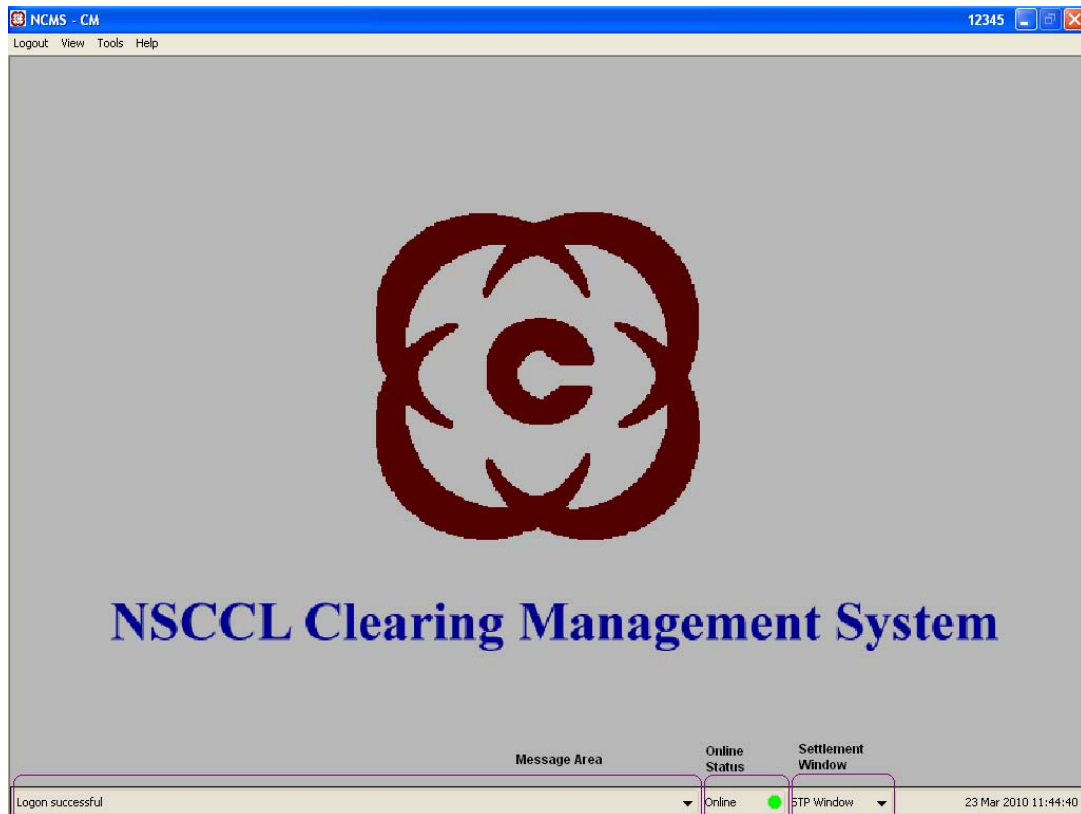
- Upload – F5
- User Management
- User profile
- Change Password

⇒ Help

⇒ Messages

⇒ Settlement Window

⇒ Online Status

**Fig. 4**

5.1 *View*

5.1.1 Order Modification Screen

The order modification screen will be used to query order details and facilitate client code and CP code modification functionalities.

Fig. 5**Show Orders –**

This action will show all the matched orders on the screen. A filter criterion, of at least one of the below fields, should be maintained.

Filter - Order Number, Symbol, Latest Client Code or Latest CP Code should be given as an input to show the orders on the screen.

The number of orders shown on the screen will be in the ‘Total Orders’ field. The sum of quantity and value, for the orders on the screen, will be shown in ‘Total Quantity’ and ‘Total Value (In Rs.)’ fields respectively

Query Output –

This area will show the output of the query based on filter or without filter for ‘Show orders’ or ‘Show Modified Orders’. This area will be having following columns for each order.

- ⇒ Select (checkbox for order selection)
- ⇒ Trade Date
- ⇒ Order Number
- ⇒ Buy/Sell Flag

- ⇒ Settlement Type
- ⇒ Settlement Number
- ⇒ Symbol
- ⇒ Series
- ⇒ Quantity
- ⇒ Weighted Average Price (WAP)
- ⇒ Latest Client Code
- ⇒ Latest CP Code
- ⇒ Old Client Code
- ⇒ Old CP Code
- ⇒ Partial Modified Trade Flag

To select required column on the screen, right click on the 'Query Output' area. A popup window will open having all the columns with checkbox as checked. Uncheck the columns not required and press 'OK' button. Only selected columns will be shown on the screen. To change the column sequence drag and drop functionality is given.

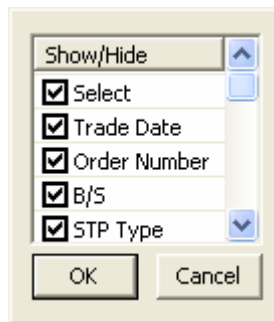
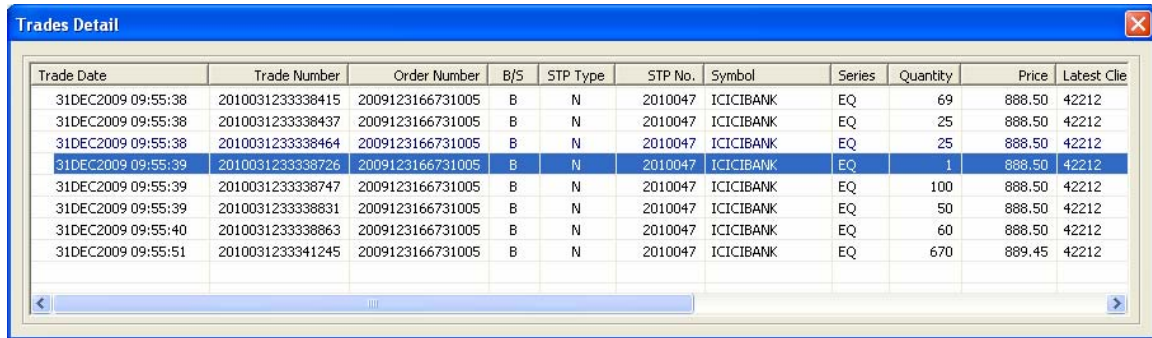


Fig. 6

A double click on a selected order number will open a new window showing all trades of that order. This will be a read only screen.



Trade Date	Trade Number	Order Number	B/S	STP Type	STP No.	Symbol	Series	Quantity	Price	Latest Cle
31DEC2009 09:55:38	201003123338415	2009123166731005	B	N	2010047	ICICIBANK	EQ	69	888.50	42212
31DEC2009 09:55:38	201003123338437	2009123166731005	B	N	2010047	ICICIBANK	EQ	25	888.50	42212
31DEC2009 09:55:38	201003123338464	2009123166731005	B	N	2010047	ICICIBANK	EQ	25	888.50	42212
31DEC2009 09:55:39	201003123338726	2009123166731005	B	N	2010047	ICICIBANK	EQ	1	888.50	42212
31DEC2009 09:55:39	201003123338747	2009123166731005	B	N	2010047	ICICIBANK	EQ	100	888.50	42212
31DEC2009 09:55:39	201003123338831	2009123166731005	B	N	2010047	ICICIBANK	EQ	50	888.50	42212
31DEC2009 09:55:40	201003123338863	2009123166731005	B	N	2010047	ICICIBANK	EQ	60	888.50	42212
31DEC2009 09:55:51	2010031233341245	2009123166731005	B	N	2010047	ICICIBANK	EQ	670	889.45	42212

Fig. 7

In case of modification of partially executed orders, the color of the order will change and 'Partial Modified' flag will become 'Y'.

Clear All – This action will clear all the inputs given to select orders on the screen.

Show Modified Orders – This action will show all the successfully modified (CP/CLD) orders till time.

Select / Deselect all – This action will select or deselect all orders appearing in the query output area at a time.

CP code / Client Code Modification

⇒ CP Code Modification

To modify the CP code, select order/s by checking the checkboxes of respective order/s or click the ‘Select/Deselect All’ option and press ‘Modify CP’ button. A new window will appear on the screen which will show all the selected orders along with a drop down box for CP code along with send and exit buttons. Select a CP code from the drop down list and press ‘Send’ button to send the request. Press ‘Exit’ button to come out of the screen.

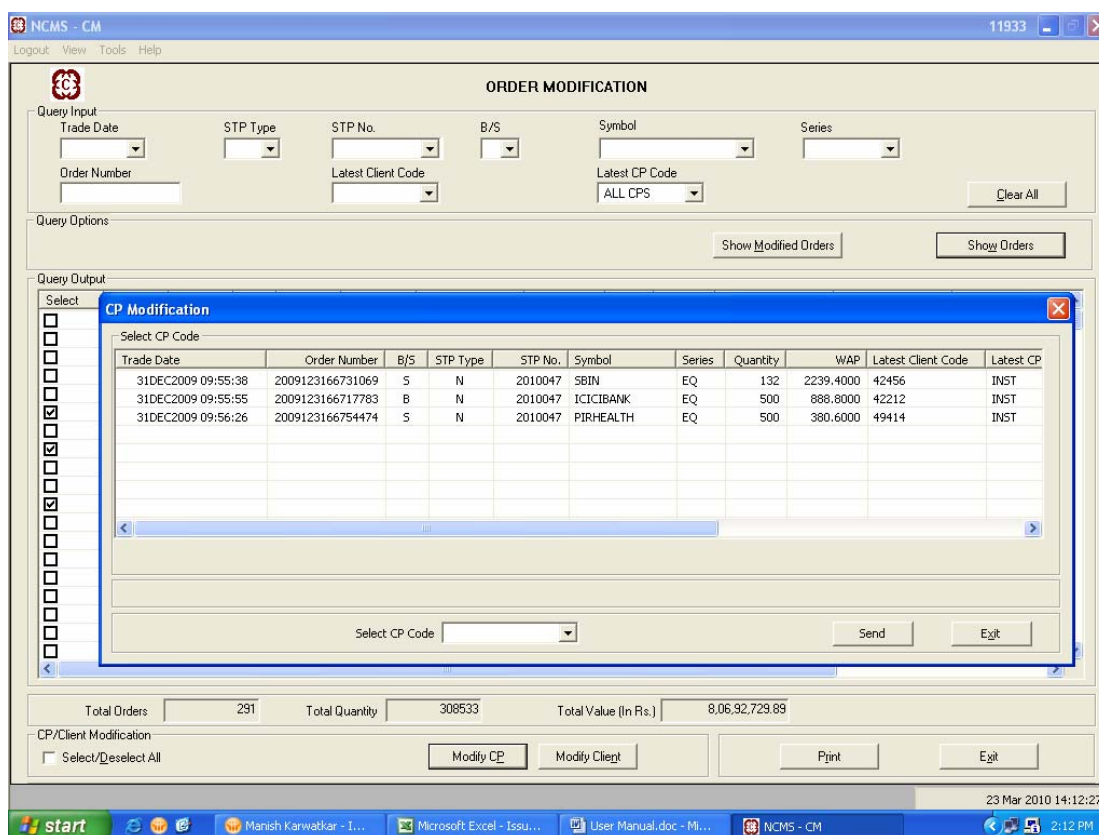


Fig. 8

⇒ Client Code Modification

To modify the client code, select order/s by checking the checkboxes of respective order/s or click the ‘Select/Deselect All’ option and press ‘Modify Client’ button. A new window will appear on the screen which will show all the selected orders along with a drop down box for Client code along with send and exit buttons. Enter a client code or select a client code from the drop down list and press ‘Send’ button to send the request. Press ‘Exit’ button to come out of the screen.

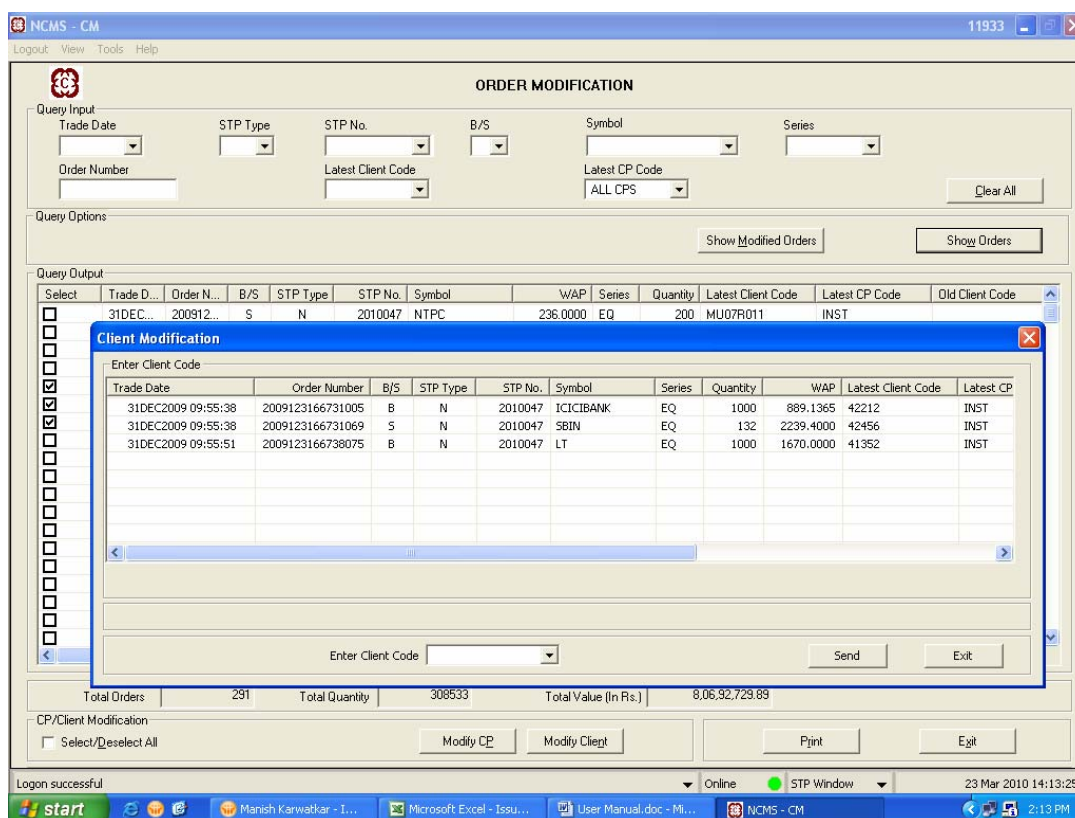


Fig. 9

5.1.2 OTR Modification Screen

Download – This button is used to download OTR post CP and client code modifications on the T day. Members should first download OTR and then click on ‘Show OTRs’ once the OTR allocation timings are enabled.

Query Input – The query input area will show the filters based on which data will be shown in ‘Query Output’ area. Without any filter, all the OTR’s for the member will be displayed.

OTR Type – An option is given to the user to see the records based on the OTR type.

⇒ **Unallocated** – If radio button in front of ‘Unallocated’ OTR type is checked, it will show the entire unallocated OTR for the member with base OTR numbers.

⇒ **Allocated** – If radio button in front of ‘Allocated’ OTR type is checked, it will show the successfully allocated OTR for the member with the success OTR numbers

Query Output – This area will show the output based on the input selected by user. The columns in the area are –

- Trade Date
- OTR Number
- Buy/Sell Flag
- Settlement Type
- Settlement Number
- Security Symbol
- Security Series
- OTR Quantity
- OTR Value
- Latest CP Code
- Confirmation Flag (CF)
- Last Modified
- Contract Number

The number of OTR shown on the screen will be in the 'Total OTRs' field. The sum of quantity, for the OTRs shown on screen, will be shown in 'Total Quantity' field and value for all the OTR will be shown in 'Total Value (In Rs.)' field.

OTR MODIFICATION

Query Input

Trade Date: STP Type: STP No.: B/S: Symbol: Series: Conf Flag:

OTR Number: Client: CP Code: OTR Type: ☒ Unallocated ☐ Allocated

Query Output

Trade Date	OTR Number	B/S	STP Type	STP No.	Symbol	Series	Quantity	Value	Latest CP Code	CF	
31DEC2009	16	B	N	2010047	DRREDDY	EQ	4800	5551305.80	INST	P	12
31DEC2009	24	B	N	2010047	HDFCBANK	EQ	175	297369.05	INST	P	12
31DEC2009	30	B	N	2010047	HINDALCO	EQ	6000	967150.00	INST	P	12
31DEC2009	69	B	N	2010047	NIFTYBEE	EQ	2500	1304324.04	INST	P	12
31DEC2009	88	B	N	2010047	STER	EQ	3500	3022369.70	INST	P	12
31DEC2009	103	B	N	2010047	SAIL	EQ	4050	967818.00	INST	P	12
31DEC2009	155	B	N	2010047	HDFC	EQ	130	350236.80	INST	P	12
31DEC2009	222	B	N	2010047	PROVOGUE	EQ	46318	2784936.40	INST	P	12
31DEC2009	226	B	N	2010047	OPTOCIRCU	EQ	1300	295044.90	INST	P	12
31DEC2009	238	B	N	2010047	BPCL	EQ	6600	4120550.80	INST	P	12
31DEC2009	264	B	N	2010047	CMC	EQ	282	377828.00	INST	P	12
31DEC2009	277	B	N	2010047	BHEL	EQ	150	355950.00	INST	P	12
31DEC2009	298	B	N	2010047	ICICIBANK	EQ	2500	2221811.50	INST	P	12
31DEC2009	304	B	N	2010047	NAUKRI	EQ	231	206740.70	INST	P	12
31DEC2009	311	B	N	2010047	LT	EQ	2000	3347213.80	INST	P	12
31DEC2009	314	B	N	2010047	RELINFRA	EQ	2500	2900085.40	INST	P	12
31DEC2009	316	B	N	2010047	BHARTIARTL	EQ	1075	351495.00	INST	P	12
31DEC2009	320	S	N	2010047	SREINTFIN	EQ	70000	5366883.25	INST	P	12
31DEC2009	338	S	N	2010047	KFA	EQ	84667	5400957.30	INST	P	12
31DEC2009	343	S	N	2010047	UNIONBANK	EQ	5250	1409602.90	INST	P	12
31DEC2009	353	S	N	2010047	ICICIBANK	EQ	24850	21990595.70	INST	P	12
31DEC2009	373	S	N	2010047	CDOMPCDEAV	EQ	2022	1644222.55	INST	P	12

Total OTRs: 27 Total Quantity: 300838 Total Value (In Rs.): 7,61,98,099.89

Fig. 10

To select required column on the screen, right click on the 'Query Output' area. A popup window will open having all the columns with checkbox as checked. Uncheck the columns not required and press 'OK' button. Only selected columns will be shown on the screen. To change the column sequence drag and drop functionality is given.

Show/Hide

- ☒ Trade Date
- ☒ OTR Number
- ☒ B/S
- ☒ STP Type
- ☒ STP No.

Fig. 11

Allocation – To allocate an OTR, select a base OTR and press ‘Allocate’ button or double click on the record. A new window will open.

Fig. 12

The new window will show the unallocated OTR in the upper part of the window. Press ‘Add Row’ button to allocate. For multiple allocations press ‘Add Row’ button multiple times. For each added record assign quantity and value along with CP code and contract number. To remove a row, from lower window, select a row which has to be removed and press ‘Remove Row’ button. Ensure all the necessary columns are modified, press ‘Send’ button to send the request for allocation.

Un-allocation – To un-allocate an OTR, select an allocated OTR and press ‘Un-allocate’ button or double click on the record. A new window will open.

Fig. 13

The opened window will be read-only. To send the request, press ‘Send’ button on the screen and to come out of the screen, press ‘Exit’ button.

5.1.3 Partial Modification Screen

The partial order modification screen will be used to query partially traded orders which have undergone modification.

Fig. 14

Show Orders –

This action will show all the partially traded orders which have been modified. To apply the changes of latest modification to the new trades of such partially modified orders, user can select an order and click on ‘Apply’ button or ‘Apply All’ button. Apply all will update the latest client code and CP code to all the un-modified trades of the selected order.

In this screen user will not be able to modify client code or CP code.

Query Output Area –

This area will show the output of the query based on filter or without filter for ‘Show orders’ or ‘Show Modified Orders’. The columns and functionality of drag and drop or selecting columns will be the same as that of ‘Order Modification Screen’.

5.1.4 File Generation

This module will generate files/reports as shown in the figure below. To generate file user needs to select 'File Type' and 'File Path' on the local database. This is applicable for all types of file generation. File name will be user defined.

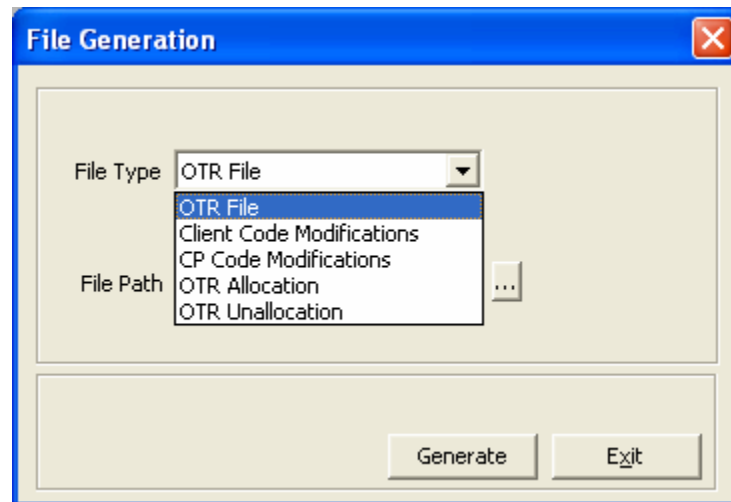


Fig. 15

⇒ OTR File

The OTR file will be the same as that of 'XXXXX_OTYYYYMMDD.Tnn' file which is currently sent by NSCCL. Members will now be able to generate the file at their end. To generate the file, select file type as 'OTR file' and 'File Path'. The file will be generated based on the data present in LDB. This file should be generated immediately after clicking 'Download OTR' and 'Show OTR' to avoid mismatches.

⇒ Client Code Modification

This will give the report for all successful client code modifications done. User can generate this report for current days modifications only. It is recommended to generate report every day after CP/CLD timings are over.

⇒ CP Code Modification

This will give the report for all successful CP code modifications done. User can generate this report for current day's modifications only. It is

recommended to generate the report every day after CP/CLD timings are over.

⇒ **OTR Allocation**

This will give a report for all successful OTR allocations done. User can generate this report for all allocations before next day's allocation timing starts. It is recommended to generate the report every day after the OTR allocation cut off timings on T+1 day.

⇒ **OTR Un-allocation**

This will give the report for all un-allocated OTR. User can generate this report upto the T+1 day before the start of OTR allocation timings for new trades done on that day. It is recommended to generate report every day after the OTR allocation cut off timings on T+1 day.

5.1.5 File Upload

The file upload option is provided to upload client code modification, CP code modification and OTR allocation/un-allocation files. To upload a file user has to specify file type, trade date and file path.

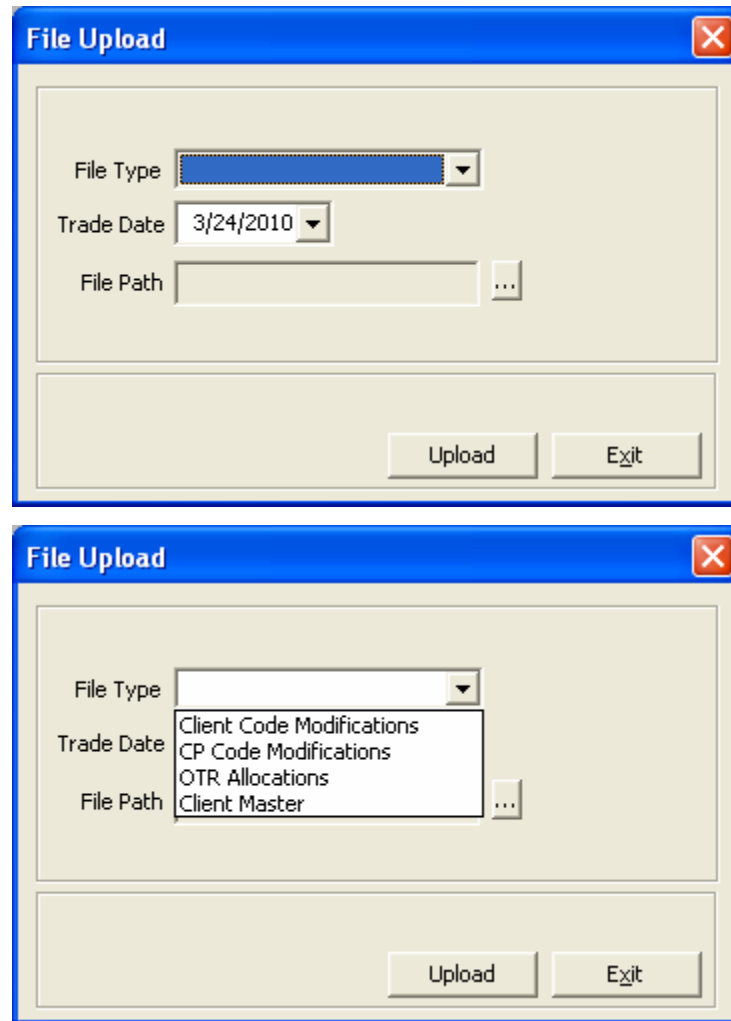


Fig. 16

By default file type will be blank and user needs to select from the drop down. Default trade date will be the system current date and path will remain blank. On every file upload, if file name and control record is correct, a return file will be generated in the local directory. If file name and control record is not correct then an error popup message will be displayed. The path of return file will be – C:\NCMSData\Upload\ (in case the set up drive is C drive). In case

of successful modification of records the file will be generated in Success folder or else in Failure folder. There is no batch validation for file upload. A return file name will be same as that of the file uploaded with time stamp. The success (S) or reject (R) status of every record will be present inside the return file.

Additionally, for every order in the file uploaded, a success or failure message will be displayed, at trade level, in the messages area.

Client Code Modification – To upload a client code modification file, select file type as ‘Client Code Modifications’ from the dropdown. Select trade date as system current date and select a file from local database in file path. To upload, press ‘Upload’ button else press ‘Exit’. The file format should be – **Input File Name:**

XXXXXX_CLDYYYYMMDD.Tnn

The file format should be comma separated variables (csv). Kindly note that the member code should be appended in the file name.

Output File Name:

In case of success – XXXXX_CLDYYYYMMDD.Snn

In case of failure - XXXXX_CLDYYYYMMDD.Rnn

Where

XXXXXX - Member code

CLD – File Type

YYYYMMDD - Date format

T - File Indicator

R - File is Rejected

S - File is successful

nn - Batch no.

Control Record Format:

Field	Description	Data Type	Length	Remarks
Record Type	Header record	Number	2	Value = 10
Member Type	Member Type	CHAR	1	Value = M
Member Code	Member code	CHAR	5	
Batch Date	Format : DDMMYYYY	CHAR	8	Should be same as that in the file name.
Batch number	The batch number of the file sent	Number	2	Should be the same as that in the file name.
Number of records	Total number of record in the file	Number	6	Should be equal to the number of detail records

Detail record Format:

Field	Description	Data type	Length	Remarks
Record Type	Detailed Record	Number	2	Value = 20
Client Code	Mandatory	CHAR	10	Unique client code. Mandatory. Cannot start with blank space
Buy/Sell flag	Buy /Sell order	CHAR	1	Mandatory Values B– Buy order S – Sell order
Order Number	Order number	Number	16	Mandatory

⇒ **CP Code Modification** – To upload a CP Code modification file, select file type as ‘CP Code Modifications’ from the dropdown. Select trade date as system current date and select a file from local database in file path. To upload, press ‘Upload’ button else press ‘Exit’.

Input File Name:

XXXXXX_YYYYMMDD.Tnn

The file format should be comma separated variables (csv). Kindly note that the member code should be appended in the file name.

Output File Name:

In case of success – XXXXXX_YYYYMMDD.Snn

In case of failure - XXXXXX_YYYYMMDD.Rnn

Where

XXXXXX - Member code

YYYYMMDD - Date format

T - File Indicator

R - File is Rejected

S - File is successful

nn - Batch no.

Control Record Format:

Field	Description	Data Type	Length	Remarks
Record Type	Header record	NUMBER	2	Value = 01
Member Type	Member Type	CHAR	1	Value = M
Member Code	Member code	CHAR	5	
Batch Date	Format : DDMMYYYY	CHAR	8	Should be same as that in the file name.
Batch number	The batch number of the file sent	Number	7	Should be the same as that in the file name.
Number of records	Total number of records in the file	Number	6	Should be equal to the number of detail records

Detail record Format:

Field	Description	Data type	Length	Remarks
Record Type	Detailed Record	Number	2	Value = 20
CP Code	CP code	CHAR	12	CP Code, INST (institutional order) or blank (Member's own trade)
Warehouse code	Warehouse code	CHAR	1	To be left blank
Buy/Sell flag	Buy/Sell order	CHAR	1	Mandatory Values B– Buy order S – Sell order
Trade Number	Trade Number	Number	16	To be left blank
Order Number	Order Number	Number	16	Buy or Sell order number

⇒ OTR Allocation/Un-Allocation

To upload an OTR allocation/un-allocation file, select file type as 'OTR allocations' from the dropdown. Select trade date as system current date in case of T day or the actual trade date in case of T+1 day and select a file from local database in file path. To upload, press 'Upload' button else press 'Exit'.

Input File Name:

XXXXXX_OTYYYYMMDD.Nnn

The file format should be comma separated variables (csv). Kindly note that the member code should be appended in the file name.

Output File Name:

In case of success – XXXXXX_OTYYYYMMDD.Snn

In case of failure - XXXXXX_OTYYYYMMDD.Rnn

Where

XXXXXX - Member code

OT – File Type

YYYYMMDD - Date format

N - File Indicator

R - File is Rejected

S - File is successful

nn - Batch no.

Control record:

Sr. No	Field	Description	Data type	Length	Remarks
1	Record type	Header Record	CHAR	2	Value = 01
2	File Type	File Type	CHAR	4	Value = OTR
3	Member Type	Member Type	CHAR	1	Member Type (Value = M)
4	Member Code	Member Code	CHAR	5	Member code for which file generated/received (Value = TM Code)
5	Batch Date	Format : YYYYMMDD	CHAR	8	Should be same as that in the file name
6	Batch	The batch	Number	2	Should be same as that

	number	number of the file sent			in the file name
7	Number of records	Total number of records in the file	Number	7	Should be equal to the number of detailed records

Detail record:

Sr. No	Field	Description	Data type	Length	Remarks
1	Record type	Detailed record	CHAR	2	Value – 10 for OTR Allocation Record.
2	Buy/Sell flag	Buy/Sell order	CHAR	1	Value B – Buy side , S – sell side
3	Settlement type	Settlement type	CHAR	1	-
4	settlement Number	settlement Number	Number	7	-
5	Security symbol	Security symbol	CHAR	10	-
6	Security series	Security series	CHAR	2	-
7	CP code	CP code	CHAR	12	The value will be INST
8	Allocated qty	Allocated qty	Number	9	Quantity to be allocated to a CP
9	Allocated Value	Allocated Value	Number	15,2	Value of the allocated qty
10	Custodian Participant Code	Custodian Participant Code	CHAR	12	The custodial participant code to which the qty and value is to be allocated
11	Contract note number	Contract note number	CHAR	10	This number is mandatory if the quantity, value is allocated to a valid CP
12	OTR No	Number in the return file	Char	10	This is required to be given if the TM desires to modify a record already allocated.

⇒ Client Mater –

To facilitate members with easy selection of client code from the drop down a facility is given to upload client master in system. By uploading the client master in the system, all the client codes will appear in the drop down list

and member can easily select the required client code. File format to upload is –

Account Number	char(10)	Mandatory
Name	char(25)	Mandatory
Participant ID	Char (12)	Optional
PAN	Char (12)	Optional
Error	Char (10)	Optional

Note – The client master file is the same file which is uploaded in NEAT – PLUS. In NCMS, link between client codes with custodial participant will not be considered.

Return file for CP/CLD modification -

The return file generated for CP code / Client Code modification, will be of the same structure as is currently downloaded to members by NSCCL. . There may be a case where the return file is having a success record and the message for the same in messages area is that of rejection.. This may be due to following reasons –

1. After a modification, response from the server is awaited and user is doing modification on the same order/s again.
2. In case of two or more users doing modifications at the same time for the same set of data, the first modification which hits the server will go through and the others will be rejected.
3. Current day's participants master is not loaded in the system
4. During the day a CP is suspended and the same status is not updated in local database.
5. Data tampered in local database
6. During the day 'Trading Member' who is doing modifications is disabled.
7. Modification timing window is opened when the file is uploaded but timings are over when the request actually hits the server.

5.2 TOOLS

5.2.1 Upload

This will allow uploading the master data in local database. The master data include security.txt and participant.txt which are loaded in NEAT. Member has to upload both the files NCMS – CM every day after completion of OTR allocation for the previous day's trades. To upload the files, save all the files in C:\ (If log drive is C) and press 'Upload' button (short cut key-F5)

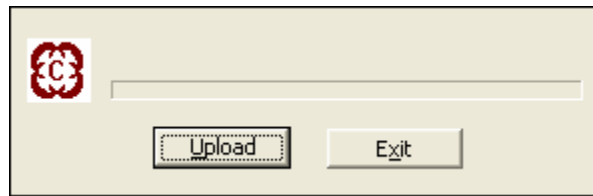


Fig. 17

5.2.2 User Management

To access the application, exchange will provide an admin login to member. Through admin member can create additional three users and manage them on his own.

5.2.2.1 Create new user

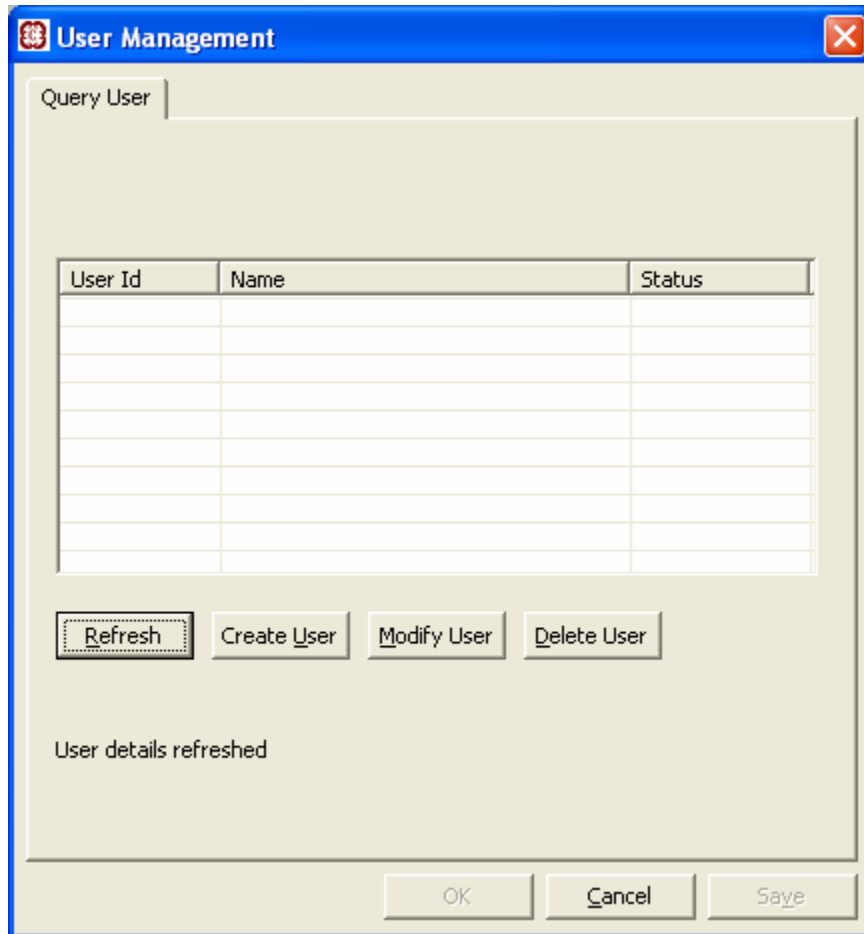
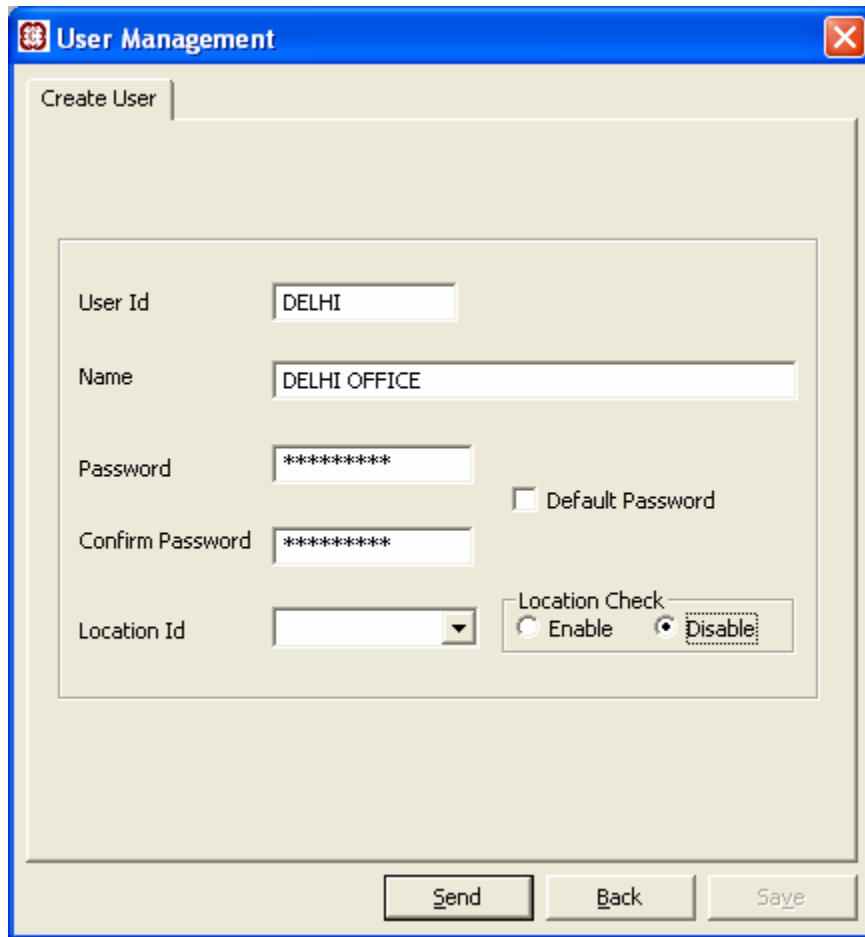


Fig. 18

1. Click on Create Users tab
2. Enter all the fields
 - i. User ID
 - ii. Name
 - iii. Password (if default password is not checked) or check the default password.
 - iv. Confirm Password (if default password is not checked)
 - v. Location ID if location check is enabled.
3. Send request to Clearing Corporation.

A message will be shown at the bottom of the window.



The image shows a 'User Management' dialog box with a 'Create User' tab. It contains several input fields: 'User Id' with the value 'DELHI', 'Name' with 'DELHI OFFICE', 'Password' and 'Confirm Password' both masked with '*****'. There is a 'Location Id' dropdown menu. To the right of the password fields is a 'Default Password' checkbox. To the right of the 'Location Id' dropdown is a 'Location Check' section with 'Enable' and 'Disable' radio buttons, where 'Disable' is selected. At the bottom are 'Send', 'Back', and 'Save' buttons.

User Id	DELHI
Name	DELHI OFFICE
Password	*****
Confirm Password	*****
Location Id	
Default Password	<input type="checkbox"/>
Location Check	<input type="radio"/> Enable <input checked="" type="radio"/> Disable

Fig. 19

Check the created user in query user screen.

5.2.2.2 Modify Existing User

To modify existing user press 'Modify' button, this will open on a 'Modify user' window.

User Management

Modify User

User Id:

Name:

Password: ☐ Default Password

Confirm Password:

Location Id:

Status: ☒ Enable ☐ Disable

Location Check: ☐ Enable ☒ Disable

Saved Details

User Id	Name	Status	Location Id	Location ...
DELHI	DELHI OFFICE	Disable		Disable
MUMBIA	MUMBAI OFFICE	Disable		Disable

Fig. 20

1. Select User ID from the drop down
2. Modify name or maintain the same.
3. Change the password or maintain the same.
4. Change the location or maintain the same.
5. Save the record.
6. In case another user is to be modified follow the step 1 to 5.
7. To send the request press 'Send' button or else press 'Back' to go back to 'Query User' screen.

5.2.2.3 Delete User

To delete user press 'Delete User' button which will open a Delete user' screen.

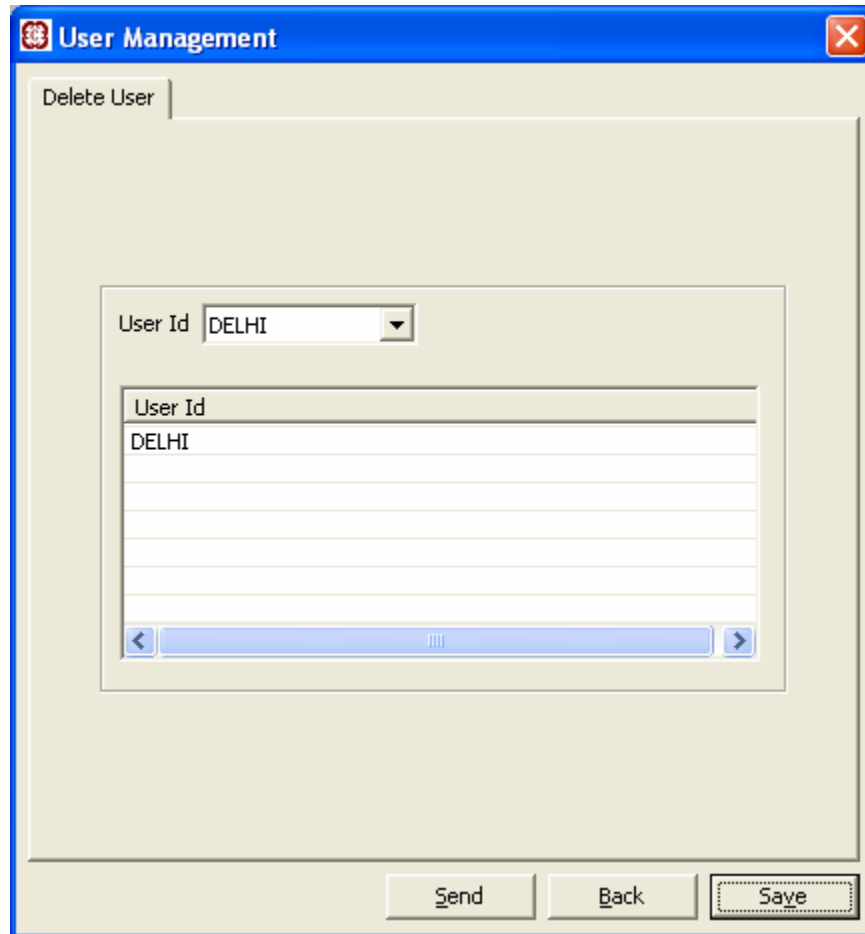


Fig. 21

1. Select the user from drop down
2. Press Save
3. To send the request press 'Send' or else press 'Back' to go back to 'Query User' screen.

5.2.3 User Profile

Every user can set their own profile pertaining to messages and values which are shown on the screen.

5.2.3.1 Message Area Configuration

Option 1 – Irrespective of success or failure, message area will show all the latest 2000 messages for all modifications, allocations and un-allocations.

Option 2 – This will show latest 2000 success messages for all modifications, allocations and un-allocations.

Option 3 – This will show latest 2000 rejected messages for all modifications, allocations and un-allocations.

Option 4 – This will show all the messages including trades download, success and failure messages for all modifications, allocations and un-allocations.

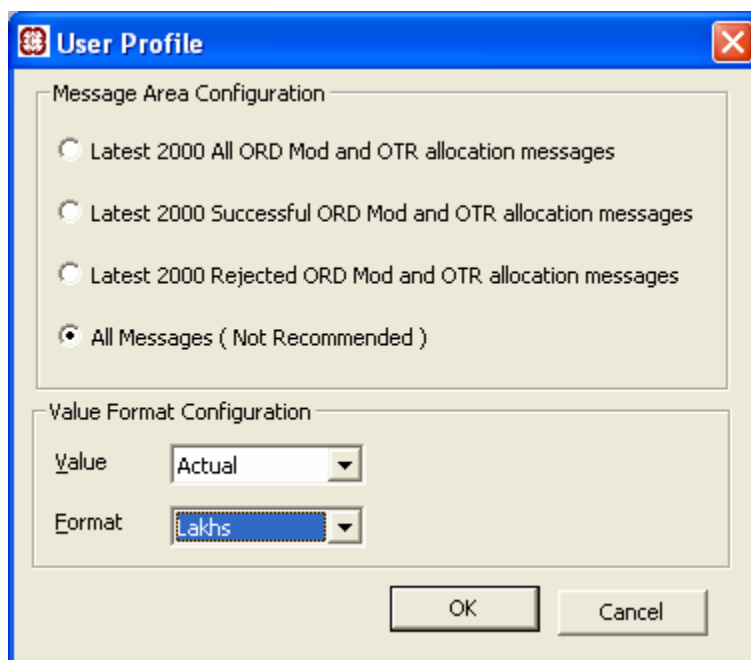


Fig. 22

5.2.3.2 Value Format Configuration

Member can select the value format as per his choice from the available options. The available options are given in the figure.

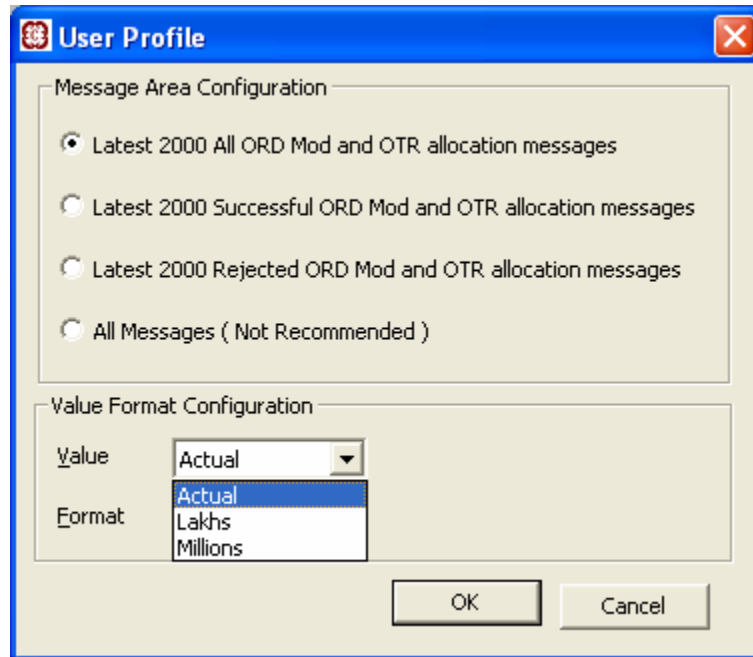



Fig. 23

On selecting the value format, the values shown on the screens will be in the format selected by users.

5.2.4 Password Change

This section will allow modifying the password for the user already logged in.



A screenshot of a 'Change Password' dialog box. The dialog has a blue title bar with the text 'Change Password' and a close button. Inside, there are two input fields at the top: 'User ID:' with the value '12345' and 'Client ID:' with the value '12345'. Below these is a group box containing three password fields: 'Old Password:', 'New Password:', and 'Confirm New Password:'. Each of these three fields contains a series of asterisks (*****). At the bottom of the dialog are two buttons: 'OK' and 'Cancel'.

Fig. 24

5.3 Logout

5.3.1 Lock ID - To lock the current session

5.3.2 Exit - To logout the current session

5.4 Help

In the help menu an option of 'Contents & Index' will be given. The contents and index will give the user manual.

5.5 Settlement Window

The settlement window will give information about the process timings for open settlement number and settlement type. The different tabs of settlement window are as follows:-

5.5.1 Settlement Calendar

This window will show settlement number and type wise process timings. The columns shown in the window are process name, start date & time and end date & time. To check the timings, click on the drop down button given for settlement number and select the settlement number and type. The list of processes and their respective timings will be shown.

The screenshot shows a window titled 'Settlements Message Area' with three tabs: 'Settlement Status' and 'Settlement Calendar'. The 'Settlement Calendar' tab is active. On the left, there is a 'Settlement No.' dropdown menu showing '2010054N' and a 'Refresh' button. To the right is a table with three columns: 'Process Name', 'Start Date time', and 'End Date time'.

Process Name	Start Date time	End Date time
CP_CLD	23MAR2010 08:00:00	29MAR2010 20:30:00
OTR_ALLOC_EOD	23MAR2010 08:45:00	25MAR2010 20:30:00
OTR_CONF_EOD	23MAR2010 09:00:00	23MAR2010 20:02:00

Fig. 25

5.5.2 Settlement Status

This window will show status of the processes for the selected settlement number and type. The columns shown in the window are process name and process status.

Process Name	Process Status
CP_CLD	Open
OTR_ALLOC_EOD	Open
OTR_CONF_EOD	Closed

Fig. 26

5.5.3 Settlement Message Area

This window will show all the messages regarding opening and closing of processes.

Recv Time	Messages
11:30:02	CP_CLD of 2010054W OPENED
11:30:02	CP_CLD of 2010054O OPENED
11:30:02	CP_CLD of 2010054D OPENED

Fig. 27

5.6 Message Bar

A message bar is provided to see messages related to trades download, order modification, allocation and un-allocation of OTR. As per the selected option in 'User Profile', messages will be shown on the screen in message bar. To keep record of modifications, a facility is provided to save the messages in the local folder.

Loading Completed			Save
Time	MsgType	Message	
17:47:12	TMOD	REJECT,ErrorCode: 22,CLDMOD,ord no. 2010020266701628,from CLI GG00N001 to 9,for trd no. 2010	
17:47:12	TMOD	REJECT,ErrorCode: 22,CLDMOD,ord no. 2010020266701628,from CLI GG00N001 to 7,for trd no. 2010	
17:47:12	TMOD	SUCCESS,,CLDMOD,ord no. 2010020266701628,from CLI GG00N001 to 5,for trd no. 20100331666691	
17:47:12	TMOD	REJECT,ErrorCode: 22,CLDMOD,ord no. 2010020266701572,from CLI ABCD to 8,for trd no. 20100331	
17:47:12	TMOD	REJECT,ErrorCode: 22,CLDMOD,ord no. 2010020266701572,from CLI ABCD to 6,for trd no. 20100331	
17:47:12	TMOD	SUCCESS,,CLDMOD,ord no. 2010020266701572,from CLI ABCD to 4,for trd no. 2010033166669116	

Fig. 28

To make data analysis easier, messages are designed in such a way that saved messages can be opened in excel and by applying sort function user can easily find the required message. Steps to sort in excel –

1. Right click on the saved messages file and use ‘Open with – Excel’ option.
2. The file will open in text mode. Select the entire first column and change text to column. (Option available in Excel – Data – Text to columns)
3. In the text to column wizard, select original data type as ‘Delimited’ and press ‘Next’ button.
4. Select delimiters as ‘Comma’ and press ‘Finish’ button. This will convert data from text to columns
5. Apply filter on the sheet.
6. With the filters there will be three columns – Message Time, Message Type and Message. Subsequent columns won’t be having heading.
7. In the second column, following options are available to apply filter.
 - ⇒ OTRDNLD – OTR Download
 - ⇒ TDNLD – Trades Download
 - ⇒ TMOD – Trades Modification
8. When filter is applied as ‘OTRDNLD’ then options in the third column filter will be Success or Reject. In case of ‘Reject’ filter applied on third column then options in the fourth column will be rejection code and subsequent column will have respective message.
9. In case of filter on trades download, trade number and order number downloaded for buy or sell will be shown in the message.

10. On applying filter on trade modification (TMOD), third column will give the 'Success and Reject' filter. In case of 'Reject' filter in third column, error codes will be shown in fourth and modification type i.e. CPMOD or CLDMOD will be shown in fifth column.

6 Other Information

6.1 Trades file

The modification of client code and CP code will be reflected in NOTIS-CM on an online basis. The trades file generated on NOTIS-CM will have modified client code and CP code.

ANNEXURE 1 – Error Codes

R1	INVALID FILENAME
R2	INVALID FORMAT
R3	FILE NOT OPENING
R4	EMPTY FILE
R5	ERROR FOR NO OF RECS
R6	INCORRECT RECORD TYPE
R7	INCORRECT FILE TYPE
R8	INCORRECT BATCH NUMBER
R9	INCORRECT TRADE DATE
R10	INCORRECT ORDER NUMBER
R11	INCORRECT TRADE NUMBER
R12	INCORRECT OTR NO
R13	INCORRECT MEMBER CODE
R14	INCORRECT MEMBER TYPE
R15	INCORRECT SYMBOL
R16	INCORRECT SERIES
R17	MISMATCH IN QUANTITY
R18	MISMATCH IN VALUE
R19	ERROR IN CP CODE
R20	ERROR IN CLIENT CODE
R21	ERROR IN SPCP
R22	ERROR IN SETTLEMENT TYPE
R23	ERROR IN SETTLEMENT NUMBER
R24	ERROR IN BUY SELL FLAG
R25	ERROR IN WAREHOUSE CODE
R26	ERROR SETTLEMENT NOT FOUND

R27	ERROR CAN NOT MODIFY PRO ORDERS
R28	SETTLEMENT WINDOW CLOSED
R29	OTR SETTLEMENT WINDOW CLOSED
R30	ERROR CONTRACT NOTE NUMBER
1	MODIFY ORDER DOES NOT EXISTS IN TRADES
2	ADMIN MODIFICATION – TRADE NO NOT NULL
3	ORDER MODIFICATION – MEMBER DISABLED
4	ORDER MODIFICATION – MEMBER ID MISSMATCH
5	ADMIN MODIFY - SEQUENCE NO NOT NULL
6	MODIFY ORDER - ALREADY CONFIRMED
7	MODIFY ORDER – INVALID NEW CUP CODE
8	MODIFY ORDER – INVALID OLD CUP CODE
9	ORDER MODIFICATION WINDOW DISABLED
11	MODIFY CP – CLIENT CODE NOT NULL
12	MODIFY CP – NOT LATEST IMAGE
13	MODIFY CP – STPW_INST
14	MODIFY CP – CUP CODE NOT ACTIVE
15	MODIFY ORDER – BUY SELL FLG MISMATCH
16	MODIFY CP – OLD NEW CP CODE SAME
17	MODIFY CP – INCORRECT LENGTH
18	MODIFY CP – MARGIN INDICATOR
21	MODIFY CLIENT – CP CODE NOTNULL
22	MODIFY CLIENT – NOT LATEST IMAGE
25	MODIFY CLIENT – CLIENT CODE SAME
26	MOD_CLI_NULL
27	MODIFY CLIENT – INCORRECT LENGTH
28	MODIFY CLIENT – PRO TRADE
29	MODIFY CLIENT – MODIFY TO MEM CODE
51	MODIFY OTR – NOT EXIST IN TABLE
52	MODIFY OTR – TM CD MISMATCH

54	MODIFY OTR – INVALID CONTRACT NO
55	MODIFY OTR – BUY SELL FLAG MISMATCH
56	MODIFY OTR – CUP CD MISMATCH
57	MODIFY OTR – QTY EXCEEDS TOTAL QTY
58	MODIFY OTR – VALUE EXCEEDS TOTAL VAL
59	MODIFY OTR – TRADE DATE MISMATCH
60	MODIFY OTR – MODIFATION TIMING DISABLED
61	MODIFY OTR – ALREADY CONFIRMED
62	MODIFY OTR – MAX VAL QTY MISMATCH
63	MODIFY OTR – CUPCD NOT ACTIVE
64	MODIFY OTR – INVALID QTY VAL ACTYTYPE
65	MODIFY OTR – ALLOCTION TO INST NOT VALID
66	MODIFY OTR – SEC SYMBOL SERIES MISMATCH
67	MODIFY OTR – SEC TOKEN MISMATCH
68	MODIFY OTR – INVALID ACTYTYPE
69	MODIFY OTR –ALREADY UNALLOCATED
70	MODIFY OTR – DB UPDATE EXCEPTION
90	INVALID CLI MOD ACTTYPE NORMAL
91	INVALID CP MOD ACTTYPE NORMAL
92	INVALID PARTIALCLI MOD ACTTYPE NORMAL
93	INVALID PARTIAL CP MOD ACTTYPE NORMAL
94	INVALID PARTIAL CLICP MOD ACTTYPE NORMAL