

**Ref: 09-10/ISS/ 443 /KS**

May 28, 2009

- ☐ Hand Delivery
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All Registered Intermediaries of ISS  
Administrators/ Executive Director of Participating Exchanges,  
Co-ordination Officers at Participating Exchanges/Regional  
Administrative Offices

Dear Sir / Madam,

**Sub.: Early pay-in / Normal Pay-in of Securities of Non-POA and POA Clients.**

All Registered Intermediaries (RI) of ISS may be aware that ISS face certain problems due to the errors committed by the RI and some of the issues pointed out below are objected by the Internal Auditors and the auditors from NSE / BSE. We give below the list of some of Dos and Don'ts for the smooth process of clearing and settlements systems of ISS.

**Non-POA Clients:**

1. Sub-brokers / Clients having pay-in obligation in NSE segment, but deliver shares wrongly in BSE segments.
2. Sub-brokers / Clients having pay-in obligation in BSE segment, but deliver shares wrongly in NSE segments.
3. Sub-brokers / Client deliver shares from Demat account other than the one registered through CRD which is not updated in client master of Class software.
4. Sub-brokers / Clients are required to deliver shares in trade to trade position but deliver the shares in Normal Market type.
5. Sub-brokers / Clients client deliver excess shares in ISS pool account, Exchange pull the shares resulting in excess delivery of shares and create problem in reconciliation of securities
6. Early pay-in of securities allowed upto 9.00 a.m. Members should ensure the shares are delivered to Pool A/c account before 8.30 a.m.

**POA Clients:**

7. POA Clients those arrange any shares by OFF-Market transfers into the POA accounts should deliver the shares to demat a/c. for normal pay-in before 6.00 p.m. at least on the previous day of pay-in obligation. Any Off market transfers made on the PAY-IN day may or may not get executed on POA instruction

As pointed out by auditors and higher officials of ISS several man-hours and critical situations are faced due to the above instances. So RI should exercise due care to avoid such errors. Any matter arising out of above such instances will be at the sole responsibility of sub-brokers.

***RI can keep track of the pay-in shortages which are available after 8.45 a.m. onwards in CLASS software under Share Report > Delivery Report > Other delivery Report > Shortage Report > Client pay-in. (Details print screen how to find the report attached on page 3 of this circular).*** Members are requested to use the report available in the class software. We have been informing shortages to our members through Relationship Managers. Last month onwards, we started informing shortages ONLY by sending SMS to all members in NSE (Normal) and BSE (D / Rolling market). The practice of sending SMS also will be discontinued after sometimes.

In case you require any more clarification, you may contact the undersigned **9323189537** or Mr. Vishal Kavale, **Section Head**, Custody Department on **67941109** at [custody@iseindia.com](mailto:custody@iseindia.com).

Thanking you,

Yours faithfully,  
For **ISE SECURITIES & SERVICES LTD.**,

**KEVIN M. N. SUNDER**  
**HEAD CUSTODY DEPARTMENT**

**Encl: Prints screen – how identify shortages in Class Software**



NSE

National Stock Exchange of India Limited

## Capital Market Backoffice

 hide menuLast Login: feedback on RMS logic circular forwarded" - Custody Team Members  
Your Login Expires On



## hide options

DELIVERY MODU

## Share Accounting

-  Management Reports
-  Share Master
-  Share Transactions
-  Share Reports
-  Delivery\_Reports
-  OtherDeliveryReports
-  Share Tracking Report
-  Transaction Statement
-  New\_Reports
-  Settlement\_Reports

## Finance Accounting

-  Finance Transactions
-  Finance Reports

## Utilities

-  Utilities
-  Change Password.
-  Logout

## CLIENT Wise Reports.

## SCRIP Wise Reports.

## Shortage Reports.

- Client Pay In
- Client Pay Out

## Position Report.

## Statements

## Branch Wise Reports.

## Auction Reports.

## Mail Reports.

|          |            |          |
|----------|------------|----------|
| SettType | FromSettNo | ToSettNo |
| N        | 2009090    | 2009090  |

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## Shortage Report (Payin) Par

| Scrip                     | Series               |
|---------------------------|----------------------|
| Partycode <u>A002A018</u> | Partyname ASIMA BEHE |
| <u>GMRINFRA</u>           | EQ                   |
| <u>UCOBANK</u>            | EQ                   |
| Total                     |                      |
| Partycode <u>A002R092</u> | Partyname RAM KISHOR |
| <u>LITL</u>               | EQ                   |
| Total                     |                      |

