FLOW CHART – KYC & UCC PROCESS

Click on Global-ekyc shortcut Icon
Enter User ID :
Enter Password :

Click on Master Entry/Edit : Click on Default Fixes Button > Mention All the default Fields , It will be shown by default in Entry Module.

Click on Master Entry/Edit :

Entry Module will appear on Screen

Select Segments (NSE EQ/NSE FO/BSE EQ/BSE FO/NSE/BSE/NCDEX/MCX/CDSL)
Enter Application No. (Manually generated as per Excel Sheet or any other way which you maintain)
Enter 3 times Tab
Entry Date will be the same
Enter Branch as HO
Enter UCI Code (Manually generated as per Excel Sheet or if you maintain other way)
'Client Code Not Found' message will appear on Screen
Click on OK
Create Live ID : Y
KRA Name : CVL/ NDML/NSDL (In which you Register)
Cursor will go to Occupation Code
Click on Applicant Name (Prefix) and select it
Enter Name : As mentioned in KYC Form)
Entre Father/Husband Name : Select (Father or Husband)
Select Prefix and Enter Name
Enter Applicants Maiden Name if available or SKIP the fields
Enter Applicant Mother Name with Prefix
Enter Gender :
Enter Marital Status :
Enter DOB or Incorporation Date :
Enter PAN No. of Applicant
Enter UID No.: if Account Holder Individual
Enter GST No. if Account Holder Non- Individual
Enrolment No will be skipped
Enter Status : Select from Options
Enter Nationality: From Options
Enter Phone Nos. (ISD /STD / And Resident phone No Mandatory
After entering Mobile Number Select Relation with Client from Options (Its Mandatory For Commodity)
Enter Email Id and Relation with Client (Its Mandatory For Commodity)
Enter Annual Income: From Options
Politically Exposed Person: Select from Option
Enter Occupation Code: From Options
Enter Occupation Other if applicable or else skip
Select Address Type (Correspondence Address) : From Options
Enter City:
Enter State Code: From Options
Select Country: From Options
Enter Proof: Select from Options
Enter Ref. No: Document ID
Enter Ref Date: Document ID date

Select Permanent & Correspondence as applicable
If both address are same skip Both Fields of Proof of Address (Permanent)

Click on Common Details (Second Option of Main Screen)

If additional supporting documents submitted by Client, these documents should be enter or directly go to Bank Detail
Enter A/c No. :
Enter MICR No. : (You can search MICR, Automatically respective Bank Details will appear on Screen. Check the Details….)
Enter A/c Type : From Options

Click on Segment (Third Option of Main Screen)

Check all Segments selected on First Page…. Every Segment should have Current Date
Enter POA Flag : As applicable and if POA Flag is 'Y' enter Active Date

Click on Other Detail (Fourth Option of Main Screen)

Enter FATCA declaration : Y
[Capital] Enter Broker Slab ID : Select from Slab ID Help
[F&O] Enter Broker Slab ID: Select from Slab ID Help
Enter applicable slab manually in Commex & Currency, if required

Click on CKYC Detail (Fifth Option of Main Screen)

Click on Account Type: From Options (If Proof given as Voter ID, Driving License, UID, Narega Card & Passport A/c Type Should Be "Simplified"
If other than above 5 ID Proofs, select Normal
Enter CKYC Reference No.: If available in KYC or Skip the Field
Enter CKYC Regn No.: If available in KYC or Skip the Field
Enter Identity Type: From Options (PAN mandatory)
Skip REMARK Field
In-Person-Verification: Y
Keep IPV date: Current Date
IPV Code/Name: Select from Options
Every Dialogue Box will filled
CKYC Confirmation: If CKYC Ref No available then 'Y' or else 'N'
Enter CKYC Updation Flag, if required…..

Click on Nominee/Guardian (Sixth Option of Main Screen)

Nominee Required: From Option If 'N', No need to enter anything. If 'Y', then select
Nominee / Guardian Type: From Options and enter the related values.
Enter Save Button.

Again Enter Application No. and A/c Status as 02-Open for Verification
Checker will Verify and will Open for Process
Again Maker will enter Application No. and enter 'Transfer To Back Office' Button
Respective Records will be transferred to 'CAPEX' , 'Commex' , 'FxFuture' and 'CDSL', 'NSDL'

Login to SHILPI CDSL or DPORA Back Office
Click on Customer Profile
Click on Fresh Entries
Select Client ID check each & every field
Click on CM ID:
Select UID Verification Flag and Mark as 'Y' for every holders

Enter Annual Report Flag: From Options [2]
Enter Black Button to save the information
Click on Ph Nos. and change Indicator as ‘M’
Enter Black Button to save the information
Click on Duplicate Check Button of Email Id and Mobile Nos.
If message displays as ‘NO MATCHING RECORD FOUND’, go ahead otherwise check the declaration for Common email & Mobile
For POA Setup ----- > Click on Button of ‘POA Details of First/2nd/3rd Holders’
In Nominee/Guardian Details if Nominee is there then “Share %” should be ‘100’ and Residual Sec. Flag should be ‘Y’
In Linking Section ---- > Enter Internal Ref No as Trading Code
Select Nature of Service Category: From Options
Select Risk Catg. : From Options
Enter Save Button.

Authentication by Checker & Batch Export to CDSL / NSDL

Checker will check each and every field as Maker done.
Will Click on Verify Accounts only and will Click on Button Save.
Checker will Click on Export Button.
There should be tick on ‘Attach Signature on Internal Ref No basis’
There should be tick on Next to Options

After importing DPS9 or In NSDL Client Master in Shilpi CDSL /NSDL Back Office again Login to Global-ekyc
Click on ‘Edit Detail’
Enter Application No.
Click on Common Detail
Click on Client ID Button of ‘CDSL / NSDl DP Detail’ and Click on SAVE Button and again click on button ‘Transfer to Back Office’. This will update Capex Back Office.

Generate Batch of UCC.

Login to Global-ekyc
Select 'Export UCI and KRA Batch To Exchange'
Click on Export Quantity of Respective Exchange
UCC Files will created in ALL_UCC folder

UCC TO BE DONE AT BSE
Open https://ucc.bseindia.com/newucc/UCC_Login.aspx#
Enter Second Link – Please Click here to Skip
Enter Member Code : XXXX
Enter User ID : XXXX
Enter Password :XXXX
Service : Members
Enter the Code : (verification Code)
Click on Login
Select UCC and Click on Upload
Brows file from "**ALL UCC "** and select UCC_YYYYMMDD1.TXT and click on 'Upload File'
UCC File name will appear on Screen. Click on Submit
To check Status of Upload, Click on Download
Give Date Range and download the file
Check downloaded file. If No error, save the response file in "BSE_EQ_FO" Folder.

UCC TO BE DONE AT BSE Currency
Select UCC and click on Modify UCC
Click on Search
Click on 'Currency Derivative' in BSE segment Box and Click on Submit.

UCC TO BE DONE AT NSE EQ/F&O
Click on https://www.connect2nse.com/MemberPortal/
Enter User ID :XXXX
Enter Member Code : XXXX
Enter Password :XXXX
Question page will appear. To skip this page, scroll down and click on 'Skip To Application'
NSE/NVIX Window will appear on Screen, Close this Window.
Compliance Details Window will appear on Screen, Close this window.
Select UCI –Online and select CM
Double Click on Welcome Task bar…
Select Client Detail and click on Upload Details
File to be browse from " ALL UCC "and then click on Upload
'Click here to get response' this Patti will be appear on Screen. Save it in xml format and then copy to "NSE_EQ_FO" Folder

Same Procedure should be followed for CURRENCY Segment.
Only response file to be saved in "NSE_CD" Folder

UCC TO BE DONE AT MCX
Click on https://www.mcxindia.com/home
Select MCX exchange
Enter Login ID :XXXX
Enter Password : XXXX
Click on 'Commodity Derivative'
Select UCC and Click on Upload Detail
Browse file from ALL_UCC and click on Upload
Select UCC and Click on 'Response File From exchange'
Give Todays Date range and Click on View
Click on Scroll Bar and save the file in "MCX"
UCC TO BE DONE AT NCDEX
Click on https://ncfe.ncdex.com/Login/NcfeMain.aspx
Enter User ID : XXXX
Enter Password :XXXX
Security Question ---- Answer will be 'XXXX' and Click on Submit Button
Select Client and click on 'View Client'
Browse File From "ALL_UCC" and enter 'Upload the File' Button
Response will be given by Exchange after ½ hour on Screen itself.

CVL/NDML/NSDL KRA Upload
Select 'Export UCI and KRA Batch To Exchange'
Click on 'Export in New Format' and click on Count
Message will appear 'Are You Sure To Export UCC Batch", Click on 'YES'
Select KRA Name : CVL/NDML/NSDL
Applicant Type :
Entry date : Open date in Global KYC
Click on 'Show Button'
Click on Proceed
Message will appeared as 'Batch Created Successfully / Number of Records Exported'
File will be created in "ALL_UCC"
Then login to CVLKRA/NDML/NSDL site with User, POS Code, and Password
Select KYC and Click on 'KYC Bulk Upload'
Brows file from "ALL_UCC"
After Successfully Batch Upload, click on Image Upload

CKYC UPLOAD
Login to Global-ekyc
Enter Application No. :
Click on ‘Upload Documents for CKYC’
Another Screen will Appear. Then select Photograph/PAN/UID/Signature
Click on SAVE Button.

Click on CKYC and then Click on ckyc export
Selection will be New/Update
Enter Date Range:
Keep all other fields as it is
Click on ‘CKYC Export’ Button
File will be created in D:\Shilpi\ IN0498_MHHO_14092018140506_IA000932_U00013.txt

Login to https://www.ckycindia.in/ckyc/index.php
Click on Login :
Enter User ID : XXXX
Enter Password: XXXX
Select KYC Management and Click on ‘Bulk File Upload’
Upload Type : From Options
Browse File from : D:\Shilpi\ IN0498_MHHO_14092018140506_IA000932_U00013.txt
Click on Upload
Select Digital Signature

Login with Checker ID
Select KYC Management and click on ‘Bulk Upload Authorization’
Approve the File
Select Digital Signature

Thank You !