



Client Setup & Activation in NCEL Systems

Client Types

Two Types of Clients:

- Type 1: Trade via broker
- Type 2: Trade themselves

Step 1: Broker Creates Client Trader Account (For Both Type of Clients)

- **What does the Broker do?**
 - The Broker will log-on to NCEL TAMS to create clients trader account
 - The Broker will
 - Submit UIN Request to NCCPL thorough UIN Entry
 - Login to TAMS
 - UIN Management
 - » UIN Entry
- **What information will be entered while submitting UIN Entry?**
 - TAMS will require following clients details
 - Trader Account No
 - Type (Individual/Corporate/Foreign etc)
 - UIN (NIC/Company Registration/NTN/Other)
 - Name
 - Address

Step 2: NCCPL Approval

- **NCCPL will verify UIN Requests Daily and Approve or Rejects based on UIN Data Provided**
- **UIN Requests Status**
 - **Editable** (Requests pending Verification)
 - **New** (Requests in Verification Process)
 - **Approved** (Requests Approved)
 - **Rejected** (Requests Rejected)

Note: Requests in Editable State can be deleted and re-created before they have been moved to New Status for Verification

Step 3: Create Client Trader Account

- Login to TAMS
- Create Client Trader Account
 - Trader Management
 - Add Trader

Note: Only Approved UIN Trader Accounts can be added as Traders

Step 3: How do Clients Trade? (After NCCPL Approval)

- Type 1 Clients:
 - Ready for trade now
 - Deposit margins with broker
 - Broker transfer funds online
 - Broker CG Bank Account to NCEL Initial Margin
 - Broker Allocate Transfer Funds to Client
 - CSR
 - Funds Allocation
 - Enter orders via broker

Step 3: How do Clients Trade? (After NCCPL Approval)

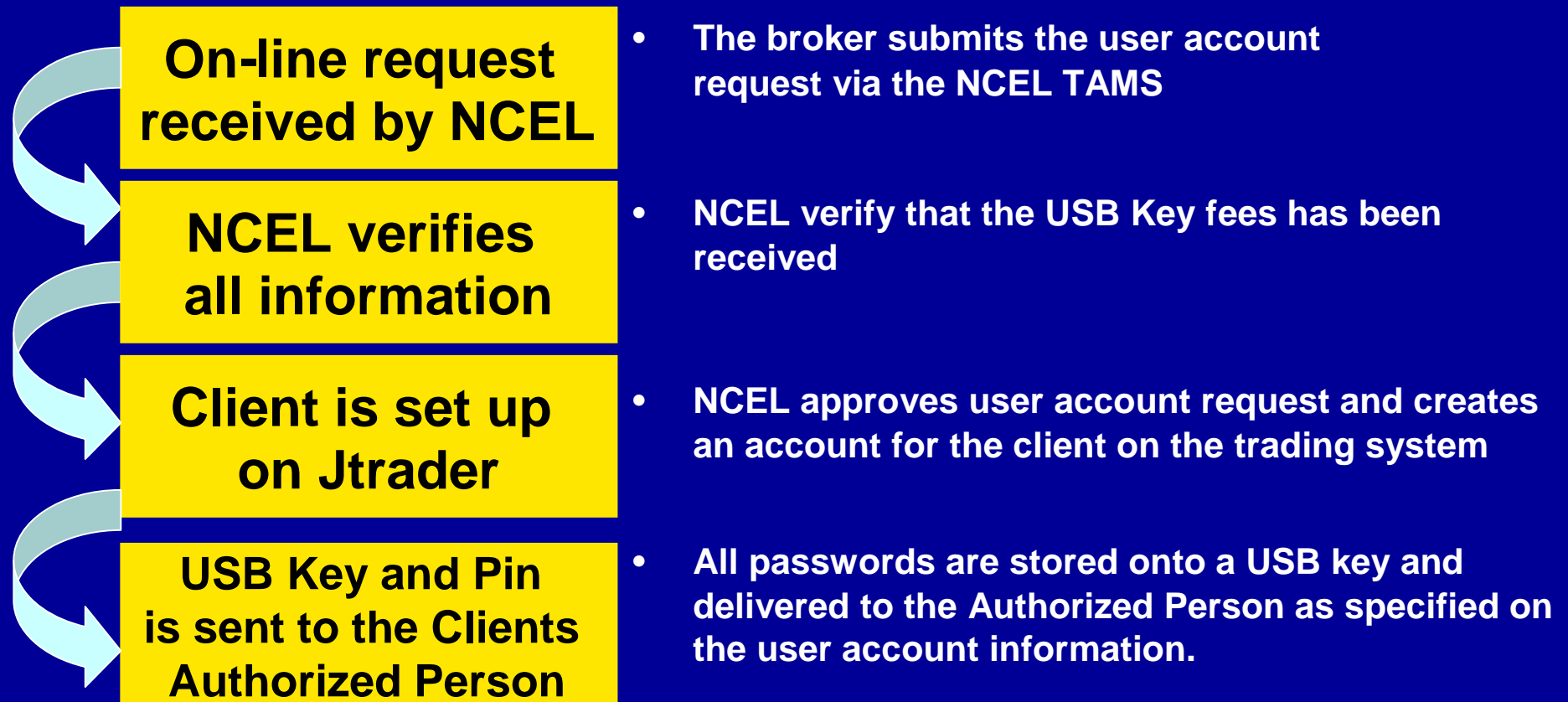
- Type 2 Clients:
 - Broker needs to create user account
 - Deposit USB Key Fees
 - Receive USB Key and Pin Code
 - Deposit margins with the broker
 - Broker transfer funds online
 - Broker CG Bank Account to NCEL Initial Margin
 - Broker Allocate Transfer Funds to Client
 - CSR
 - Funds Allocation
 - Enter orders online with JTrader

Step 3: Broker Creates User Account (For Type 2 Clients)

- **What does the Broker do?**
 - The Broker will log-on to NCEL TAMS to create client user account
- **What information will be entered while creating Clients Trader Account?**
 - TAMS will require following client details
 - User Account No
 - Name
 - Email Address
 - National Identity Card No
 - Address
 - Default Trader Account (**Client Trader Account**)

User Account Approval

- So once the user account has been created, it goes for approval



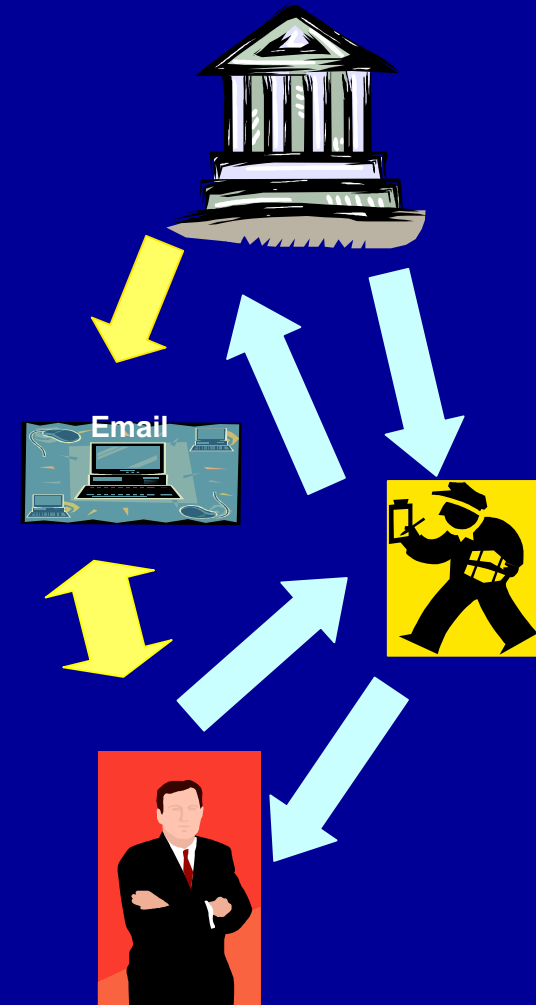
USB Key



- **What is a USB Key?**
 - A USB key allows you access to the NCEL trading systems.
- **What else does the USB key do?**
 - The USB key holds the Digital Certificates.

USB Key and Pin Code

- How do I receive the USB key?
 - The USB Key will be delivered via courier directly to you from the Exchange and not through your Broker.
 - The courier will only deliver this to your authorized person as you specified on the Client User Account Request.
 - The courier will **ONLY** accept NIC as verification for this authorized person.
 - Once the Exchange has received delivery confirmation, a pin code will be emailed to the authorized person email address as specified.



Authorized Person

How do clients access Reports (Client Portal)?

- Brokers can setup client's access to Client Portal with a click of a button thorough TAMS
 - At the Time of Accounts Creation
 - Trader Management
 - Add Trader
 - Any Time thorough Client Portal Activation
 - Trader Management
 - Client Portal
- Client Portal is Available to All Types of Clients
 - Trading via Broker
 - Trading Themselves
- Client Portal Requirement
 - **Client's Email Address**