



# 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)

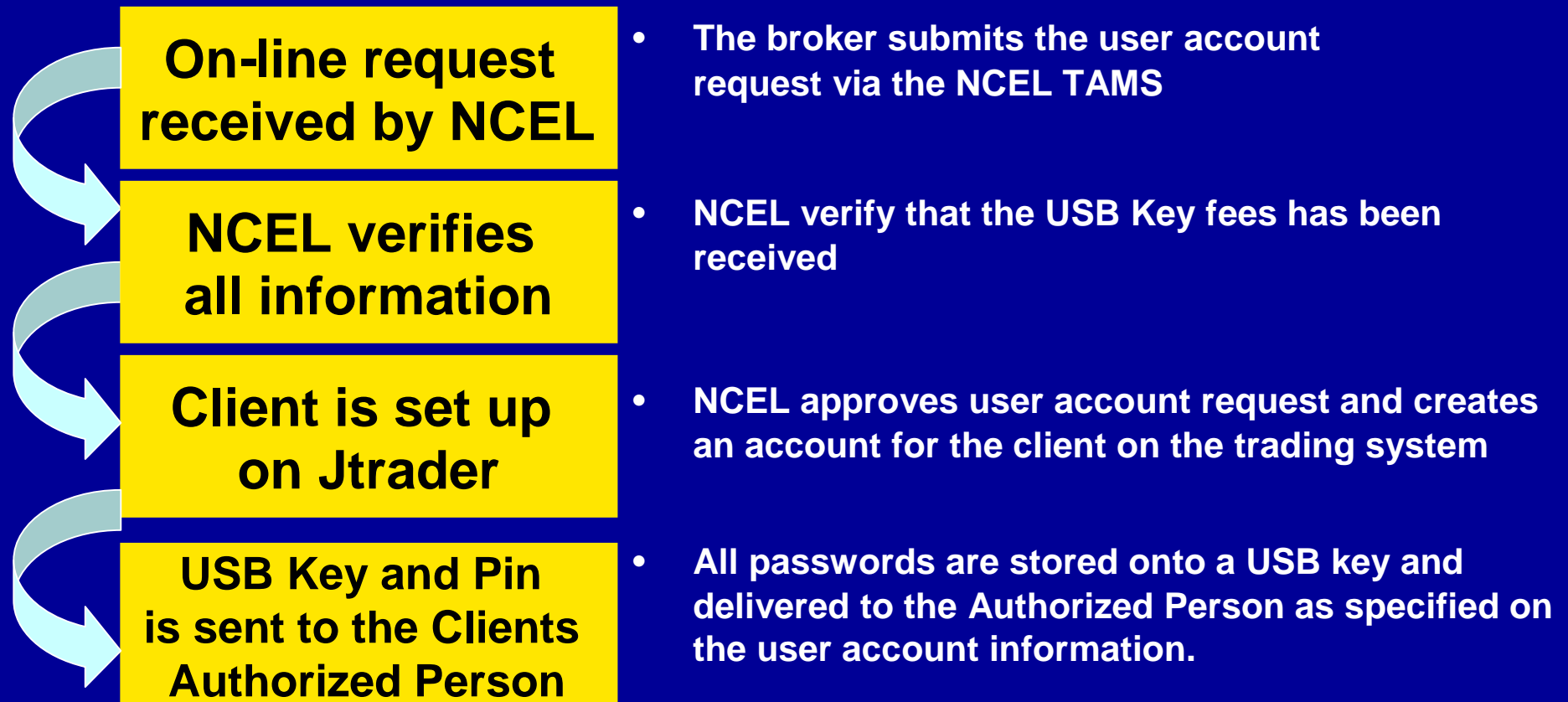
- Type 2 Clients:
  - Broker needs to create user account
  - Deposit USB Key Fees
  - Receive USB Key and Pin Code
  - Deposit margins with the broker
  - Broker transfer funds online
    - Broker CG Bank Account to NCEL Initial Margin
  - Broker Allocate Transfer Funds to Client
    - CSR
      - Funds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



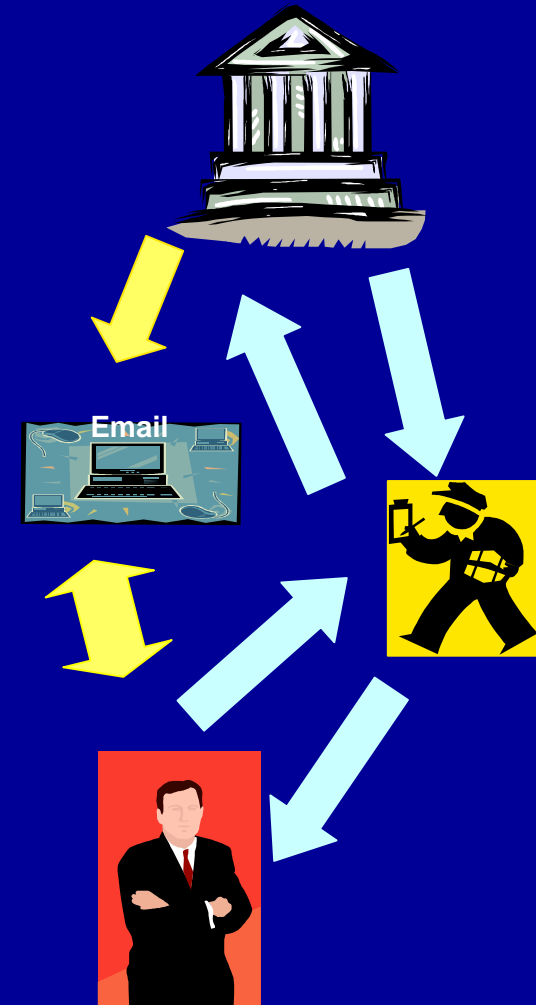
## USB Key



- **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**