Securities and Exchange Board of India (SEBI)

XML Template Definition

Offsite Inspection cum Surveillance of PMS (Portfolio Managers) – PMS Reports

Version 6.0

"[Kindly ensure to read the Introduction and follow all the IMPORTANT NOTES carefully]"

Contents

1. Introduction

1.1.   This document outlines the XML Template Definition for the Monthly Report of Portfolio Management Services (PMS). All Portfolio Managers (PMs) will be provided with a facility to upload Monthly Report using their respective SI Portal login credentials.

1.2.   For better representation of data and user convenience, the Monthly Report is divided into 10 different reports, with each report seeking a different set of data as explained in this document. It is mandatory to upload all the 10 files for each month in a particular order.

Note: The submission is to be done Quarterly but the reports are to be maintained on monthly basis. So, for each quarter, user has to upload a total of 30 files pertaining to the 3 months of the quarter and 10 files for each month as described.

1.3.   Further, for the ease of user convenience, for these 10 XML files, one .xlsx (Excel) utility document with 10 sheets corresponding to the 10 XMLs is also being shared. The xlsx document has in-built most of the XSD validations and other checks. The same can be used to easily enter the data and export it into XML from the Excel's in-built Export to XML Data feature and XSD validation can also be done there itself while exporting to XML. For each sheet of Excel, one XML document can be generated once it is validated by Excel (XSD is already auto included in the Excel for validation).

1.4.   On SI Portal, user has to upload the XML files (either prepared directly or via the XLS). The XML file shall first be validated against the XSD (shared on SI Portal) and if passed, it shall be processed on server to check for any further errors.

1.5.   User has to ensure that uploaded XML file is as per the XSD format and follows all the validations (as explained in this document and mostly included in the XLS also).

1.6.   **Nil Reports must be submitted using the 'Nil Report' Checkbox available on the upload page. If an XML file with nil data is uploaded, it will be rejected at the backend.**

1.7.   **All Client related reports for a particular month shall be processed as a single batch. If one report has error/s, all other client reports will be marked as Error and need to be re-uploaded.**

IMPORTANT NOTE:

USER has to upload the reports for a given Month in the following Sequence ONLY:

1. **PM_MASTER**

2. **PM_POOL_ACC_MASTER**

3. **CLIENT_MASTER**

4. **CLIENT_FOLIO_MASTER**

5. **All the Other Reports in ANY order**

Upload all 12 reports of a month before proceeding to upload the next month's reports.

2. XML Files Conventions

2.1.   The uploaded files should have '**.xml**' extension.

2.2.   The File name can not contain any of the following special Characters - <, > , " ,*, ; ,#, but within the file it is allowed subject to other validations.

2.3.   Only the XML Tags defined in the template should be present in the file.

2.4.   No XML Tag where-in data is input should appear more than once in the same parent tag.

2.5.   There is a restriction on the number of same child tags to be only one in some cases and the same is mentioned in this document.

2.6.   The XML tags should be in proper order and should form a hierarchy.

2.7.   '<PMSReport>' will be the first tag of all the XML Files indicating start of the report.

2.8.   The last line of the files will be '</PMSReport >' indicating end of the report.

2.9.   The values should be placed properly between the relevant opening and closing XML tag.

2.10. For Non-Mandatory Fields, if no values are applicable, kindly do not provide the tag.

2.11. Kindly ensure to upload the correct XML File with all the valid entries, else it will be rejected at the backend.

3. XML Template Definitions

3.1. PMS_Inspection_Client_Cap_Transactions.xml

3.1.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.1.2. Client_Cap_Transactions [<Client_Cap_Transactions></Client_Cap_Transactions>] – None or more occurrences allowed

Important Note: Kindly ensure that each of the UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO combination entered in this report should exactly match with some entry of UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO present in the CLIENT_FOLIO_MASTER report

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique client code
2	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	Y	Maximum length allowed: 20	Folio no. of the client. Provide Unique Client Code, if folio no. not maintained.
3	<TRANSACTION_TYPE></TRANSACTION_TYPE>	STRING	Y	Initial Inflow Top Up Partial Redemption Full Redemption Interest/Dividend Pay-in Interest/Dividend Pay-out Tax Liability (TDS or IT for NRI) Switch-in Switch-out	* Please see note below. All redemption transactions after receipt of account closure/ deactivation/ transmission date shall be tagged as Full Redemption, even if the

#	Tag	Data Type	Mandatory	Allowed Character	Comments
					proceeds are transferred in tranches.
4	<TRANSACTION_DATE></TRANSACTION_DATE>	DATE	Y	YYYY-MM-DD	Date on which transaction processed
5	<TRANSACTION_AMOUNT></TRANSACTION_AMOUNT>	FLOAT	Y	DECIMAL(24,4)	Value of transaction in INR
6	<TRANSACTION_UNITS></TRANSACTION_UNITS>	FLOAT	N	DECIMAL(24,4)	Number of units, if units are maintained by the PMS
7	<EXIT_LOAD></EXIT_LOAD>	FLOAT	N	DECIMAL(20,4)	Exit load charged by the PMS in INR (Mandatory in case of Full Redemption/Partial Redemption)

* For the period October 2023 to March 2024, Portfolio Managers have the discretion to report transactions in the original 4 categories i.e. Initial Inflow, Top Up, Partial Redemption and Full Redemption or including the new categories on best effort basis. However, April 2024 onwards, mis-tagging of transactions would be treated as incorrect data submission.

* Exit_Load amount has to be given in the same row as the transaction for which the Exit_Load amount is charged.

3.2. PMS_Inspection_Client_Expense_Master.xml

3.2.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.2.2. Client_Expense <Client_Expense></Client_Expense>] – None or more occurrences allowed

Important Note:

1. **Kindly ensure that each of the UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO combination entered in this report should exactly match with some entry of UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO present in the CLIENT_FOLIO_MASTER Report.**
2. **For ease of reporting, a single entry for each expense sub-type per client per month may be reported with ACCRUAL_DATE as the last date of the month for which the report is being submitted.**

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<ACCRUAL_DATE></ ACCRUAL _DATE>	DATE	Y	YYYY-MM-DD	Date of the expense charged
2	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique client code
3	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	Y	Maximum length allowed: 20	Folio Number of the client. Provide Unique Client Code, if folio no. not maintained.
4	<EXPENSE_TYPE></EXPENSE_TYPE>	STRING	Y	PMS Fees Operating Fees Statutory Levies	
5	<EXPENSE_SUB_TYPE></EXPENSE_SUB_TYPE>	STRING	Y	Management Fees (fixed)	In case of PMS Fees, either Management Fees (fixed) or

#	Tag	Data Type	Mandatory	Allowed Character	Comments
				Performance Fees (variable)	Performance Fees (variable) or Exit Load.
				Exit Load	
				Account Opening Charges (including stamp duty)	In case of Operating Expenses: (Account Opening charges including stamp duty / Audit Fee / Bank charges / Fund Accounting charges / Custody Fee / Demat charges / Broking Fees or other miscellaneous expense)
				Audit Fee	
				Bank Charges	
				Fund Accounting Charges	
				Custody Fee	
				Demat Charges	
				Broking Fees	
				Other Miscellaneous Expense	In case of Statutory Levies: Statutory Levies
				Statutory Levies	
6	<EXPENSE_VALUE></EXPENSE_VALUE>	FLOAT	Y	DECIMAL(20,4)	Amount of the expense charged in INR

3.3. PMS_Inspection_Client_Folio_AUM.xml

3.3.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.3.2. Client_Folio_AUM [<Client_Folio_AUM></Client_Folio_AUM>] – None or more occurrences allowed

Important Note: Kindly ensure that each of the UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO combination entered in this report should exactly match with some entry of UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO present in the CLIENT_FOLIO_MASTER Report.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<AUM_DATE></AUM_DATE>	DATE	Y	YYYY-MM-DD	
2	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique client code
3	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	Y	Maximum length allowed: 20	Folio no. of the client for which AUM is provided. Provide Unique Client Code, if folio no. not maintained.
4	<CLIENT_FOLIO_UNITS></CLIENT_FOLIO_UNITS>	FLOAT	N	DECIMAL(24,4)	No. of units under the folio if units are maintained by PMS
5	<CLIENT_FOLIO_AUM></CLIENT_FOLIO_AUM>	FLOAT	Y	DECIMAL(24,4)	AUM of the folio in INR. For holidays and weekends, provide AUM of preceding working day.

3.4. PMS_Inspection_Client_Folio_Master.xml

3.4.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.4.2. Client_Folio [<Client_Folio></Client_Folio>]

Important Note:

- **Kindly ensure that each of the UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination entered in this report should exactly match with some entry of UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination present in the CLIENT_MASTER report.**

- **Also, ensure that each of the UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination should be uniquely identified in this report.**

- **No two entries for same UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination should be present.**

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1.	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique code for each investor based on agreement and holding nature (i.e. single/joint/etc.)
2.	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	Y	Maximum length allowed: 20	Folio no. of the client. Provide Unique Client Code, if folio no. not maintained.
3.	<AGREEMENT_DATE></AGREEMENT_DATE>	DATE	Y	YYYY-MM-DD	Date of agreement
4.	<INVESTMENT_APPROACH></INVESTMENT_APPROACH>	STRING	N	Maximum length allowed: 50	Name of Investment Approach
5.	<INVESTMENT_STRATEGY></INVESTMENT_STRATEGY>	STRING	Y	Equity Debt	

#	Tag	Data Type	Mandatory	Allowed Character	Comments
				Hybrid Multi	
6.	<BENCHMARK></BENCHMARK>	STRING	Y	Maximum length allowed: 50	BENCHMARK INDEX selected by PM for the strategy. Benchmark Index names to be given exactly as provided by the index provider.
7.	<CLIENT_BOID></CLIENT_BOID>	STRING	N	Length allowed: 16	BOID of the client. For investors having investments only in MF Units in SOA format, BOID may not be provided.
8.	<CUSTODIAN_REG_NO></CUSTODIAN_REG_NO>	STRING	N	Maximum length allowed: 20	SEBI Registration Number of Custodian. Mandatory for Discretionary/Non-Discretionary services.
9.	<CUSTODIAN_NAME></CUSTODIAN_NAME>	STRING	N	Maximum length allowed: 100	Name of Custodian. Mandatory for Discretionary/Non-Discretionary services.
10.	<IS_POWER_OF_ATTORNEY_EXECUTED></IS_POWER_OF_ATTORNEY_EXECUTED>	BOOL	Y	TRUE FALSE	Power of Attorney executed in favour of PM

#	Tag	Data Type	Mandatory	Allowed Character	Comments
11.	<IS_PERMISSION_INVST_IN_ASSOCIATES></IS_PERMISSION_INVST_IN_ASSOCIATES>	BOOL	Y	TRUE FALSE	Whether client has given permission for investments in associates/related parties
12.	<PERCENTAGE_INDIVIDUAL_EQUITY_CONSENT></PERCENTAGE_INDIVIDUAL_EQUITY_CONSENT>	FLOAT	N	DECIMAL(5,2)	Percent of AUM which can be invested by PM in the equity shares of one associate/related party. Only required if value is true in #11.
13.	<PERCENTAGE_TOTAL_EQUITY_CONSENT></PERCENTAGE_TOTAL_EQUITY_CONSENT>	FLOAT	N	DECIMAL(5,2)	Percent of AUM which can be invested by PM in the equity shares of all its associate/related party. Only required if value is true in #11.
14.	<PERCENTAGE_INDIVIDUAL_DEBT_CONSENT></PERCENTAGE_INDIVIDUAL_DEBT_CONSENT>	FLOAT	N	DECIMAL(5,2)	Percent of AUM which can be invested by PM in the debt and hybrid securities of one associate/related party. Only required if value is true in #11.
15.	<PERCENTAGE_TOTAL_DEBT_CONSENT></PERCENTAGE_TOTAL_DEBT_CONSENT>	FLOAT	N	DECIMAL(5,2)	Percent of AUM which can be invested by PM in the debt and hybrid securities

#	Tag	Data Type	Mandatory	Allowed Character	Comments
					of all its associate/related party. Only required if value is true in #11.
16.	<PERCENTAGE_TOTAL_LIMIT_CONSENT></PERCENTAGE_TOTAL_LIMIT_CONSENT>	FLOAT	N	DECIMAL(5,2)	Percent of AUM which can be invested by PM in the equity, debt and hybrid securities of all its associate / related party. Only required if value is true in #11.
17.	<IS_CONSENT_REBALANCE_PASSIVE></IS_CONSENT_REBALANCE_PASSIVE>	BOOL	Y	TRUE FALSE	Consent: need not rebalance the portfolio on passive breach – true

Need to rebalance the portfolio on passive breach – false

Only required if value is true in #11. |
| 18. | <IS_CONSENT_INVST_IN_EQUITY_DERIVATIVE></IS_CONSENT_INVST_IN_EQUITY_DERIVATIVE> | BOOL | Y | TRUE FALSE | Consent for investment in Equity Derivatives |
| 19. | <IS_CONSENT_INVST_IN_COMMODITY_DERIVATIVE> | BOOL | Y | TRUE FALSE | Consent for investment in Commodity Derivatives |

#	Tag	Data Type	Mandatory	Allowed Character	Comments
	</IS_CONSENT_INVST_IN_COMMODITY_DERIVATIVE>				
20.	<PERCENTAGE_DERIVATIVE_CONSENT></PERCENTAGE_DERIVATIVE_CONSENT>	FLOAT	Y	DECIMAL(5,2)	Percent of AUM which can be invested in derivatives
21.	<IS_CONSENT_LENDING></IS_CONSENT_LENDING>	BOOL	Y	TRUE FALSE	Consent for lending of securities.
22.	<CLIENT_CUSTODIAN_CODE></CLIENT_CUSTODIAN_CODE>	STRING	Y	Maximum length allowed: 20	Custodian code of the client
23.	<PM_DISTRIBUTOR_NAME></PM_DISTRIBUTOR_NAME>	STRING	N	Maximum length allowed: 100	Name of the Distributor
24.	<PM_DISTRIBUTOR_PAN> <Is_Valid_PAN></Is_Valid_PAN> </PM_DISTRIBUTOR_PAN>	STRING	N	Length allowed: 10	PAN of the Distributor
25.	<PERFORMANCE_FEE_DESCRIPTION></PERFORMANCE_FEE_DESCRIPTION>	STRING	Y	Maximum length allowed: 100	Mode of charging performance fees in description
26.	<PERCENTAGE_PERFORMANCE_FEE></PERCENTAGE_PERFORMANCE_FEE>	FLOAT	Y	DECIMAL(5,2)	Performance fees percentage

3.5. PMS_Inspection_Client_Holding_Master.xml

3.5.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.5.2. Client_Holding [<Client_Holding></Client_Holding>] – None or more occurrences allowed

Important Note:

1. **Kindly ensure that each of the UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO combination entered in this report should exactly match with some entry of UNIQUE_CLIENT_CODE and CLIENT_FOLIO_NO present in the CLIENT_FOLIO_MASTER report.**
2. **All holding/positions except listed equity is required to be reported.**

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<HOLDING_DATE></HOLDING_DATE>	DATE	Y	YYYY-MM-DD	Holding date. For holidays and weekends, provide holdings of preceding working day.
2	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique code for each investor based on agreement and holding nature
3	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	Y	Maximum length allowed: 20	Folio no. of the client. Provide Unique Client Code, if folio no. not maintained.
4	<INVESTMENT_TYPE></INVESTMENT_TYPE>	STRING	Y	Equity Debt Derivatives Mutual Fund	

#	Tag	Data Type	Mandatory	Allowed Character	Comments
				Other	
5	<ASSET_TYPE></ASSET_TYPE>	STRING	Y	Equity Shares Plain Debt Structured Debt Futures Options MF Units Overseas Units REIT InVIT Cash Other	Asset Type (For Equity - Equity Shares For Debt - Plain Debt, Structured Debt For Derivatives - Futures, Options For Mutual Funds - MF Units, Overseas Units For Other – Cash, REIT, INVIT, Other)
6	<ISSUER_NAME></ISSUER_NAME>	STRING	N	Maximum length allowed: 100	Issuer name
7	<SECURITY_NAME></SECURITY_NAME>	STRING	N	Maximum length allowed: 100	Name of the security
8	<SECURITY_ISIN></SECURITY_ISIN>	STRING	N	Length allowed: 12	ISIN of security. For derivatives, provide ISIN of underlying security.
9	<SECURITY_CODE></SECURITY_CODE>	STRING	N	Maximum length allowed: 20	Internal code of the security for which there is no ISIN.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
10	<IS_SECURITY_ASSOCIATED></IS_SECURITY_ASSOCIATED>	BOOL	Y	TRUE FALSE	If security is of associate/ related party
11	<IS_SECURITY_LISTED></IS_SECURITY_LISTED>	BOOL	Y	TRUE FALSE	If security is listed
12	<SECURITY_RATING> </SECURITY_RATING>	STRING	N	REFER ANNEXURE-A	Security rating mandatory in case of Debt/ Hybrid securities
13	<RATING_AGENCY> </RATING_AGENCY>	STRING	N	REFER ANNEXURE-B	Rating agency mandatory for debt / hybrid securities
14	<QUANTITY></QUANTITY>	FLOAT	N	DECIMAL(30,6)	Quantity
15	<UNIT_PRICE></UNIT_PRICE>	FLOAT	N	DECIMAL(30,6)	Market Price or valuation price of the security in INR
16	<MARKET_VALUE></MARKET_VALUE>	FLOAT	N	DECIMAL(30,6)	Market Value of securities in INR
17	<MATURITY_DATE></MATURITY_DATE>	DATE	N	YYYY-MM-DD	Maturity Date (in case of debt instrument)
18	<OPTION_TYPE></OPTION_TYPE>	STRING	N	Put Call	Option Type (Call or Put)

3.6. PMS_Inspection_Client_Master.xml

3.6.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.6.2. Client_Master [<Client_Master></Client_Master>] – None or more occurrences allowed

Important Note:

- **Kindly ensure that each of the UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination should be uniquely identified in this report.**
- **No two entries for same UNIQUE_CLIENT_CODE, CLIENT_FOLIO_NO and CLIENT_BOID combination should be present.**
- **2 entries of UNIQUE_CLIENT_CODE + CLIENT_FOLIO_NO + CLIENT_BOID , i.e., - one entry with BOID NULL and another with valid BOID, shall not be considered as Valid.**

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<UNIQUE_CLIENT_CODE></UNIQUE_CLIENT_CODE>	STRING	Y	Maximum length allowed: 20	Unique code for each investor based on agreement and holding nature. Mandatory if account is active.
2	<CLIENT_FOLIO_NO></CLIENT_FOLIO_NO>	STRING	N	Maximum length allowed: 20	Folio no. of the client. Provide Unique Client Code, if folio no. not maintained. This value cannot be NULL, if CLIENT_BOID is not NULL.
3	<CLIENT_PAN></CLIENT_PAN>	STRING	Y	Length allowed: 10	Client PAN
4	<CLIENT_BOID></CLIENT_BOID>	STRING	N	Length allowed: 16	BOID of the client. For investors having investments only in MF Units in SOA format, BOID may not be provided.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
5	<CLIENT_CATEGORY></CLIENT_CATEGORY>	STRING	Y	Individual Resident Individual Non Resident HUF Corporate Resident Corporate Non-Resident Association of Persons Body of Individuals Partnership Firm Limited Liability Partnership Trust FPI Other	
5	<CLIENT_SUB_CATEGORY></CLIENT_SUB_CATEGORY>	STRING	Y	General Accredited Large Value Accredited Co-investment Eligible Investment Fund Not Applicable	
7	<SERVICE_CATEGORY></SERVICE_CATEGORY>	STRING	Y	Discretionary Non-Discretionary Advisory	

#	Tag	Data Type	Mandatory	Allowed Character	Comments
8	<CLIENT_FIRST_NAME></CLIENT_FIRST_NAME>	STRING	Y	Maximum length allowed: 100	
9	<CLIENT_MIDDLE_NAME></CLIENT_MIDDLE_NAME>	STRING	N	Maximum length allowed: 35	
10	<CLIENT_LAST_NAME></CLIENT_LAST_NAME>	STRING	N	Maximum length allowed: 35	
11	<CLIENT_ADDRESS></CLIENT_ADDRESS>	STRING	Y	Maximum length allowed: 300	
12	<CLIENT_CITY></CLIENT_CITY>	STRING	N	Maximum length allowed: 100	
13	<CLIENT_STATE></CLIENT_STATE>	STRING	N	Maximum length allowed: 35	
14	<CLIENT_PINCODE></CLIENT_PINCODE>	INT	N	Length allowed: 4 to 6	
15	<CLIENT_COUNTRY></CLIENT_COUNTRY>	STRING	N	Maximum length allowed: 35	
16	<CLIENT_PRIMARY_MOBILE_NO></CLIENT_PRIMARY_MOBILE_NO>	STRING	N	Length allowed: 7 to 15	Please specify STD/ISD Codes. Acceptable pattern is as follows: 1st char (optional)-> + or 0 2nd char -> 1 – 9

#	Tag	Data Type	Mandatory	Allowed Character	Comments
					3rd char onwards -> 0 - 9
					Acceptable values are:
					+123456
					1234567
					0123456789
					Not acceptable:
					00123456
					+012345678
17	<CLIENT_EMAIL> </CLIENT_EMAIL>	STRING	N	Maximum length allowed: 100	
18	<JOINT_HOLDER_1_NAME></JOINT_HOLDER_1_NAME>	STRING	N	Maximum length allowed: 150	Second Holder name (Joint holder 1), mandatory if mode of holding is joint
19	<JOINT_HOLDER_1_PAN></JOINT_HOLDER_1_PAN>	STRING	N	Length allowed: 10	Joint Holder 1 PAN, mandatory if mode of holding is joint
20	<JOINT_HOLDER_2_NAME></JOINT_HOLDER_2_NAME>	STRING	N	Maximum length allowed: 150	Third Holder name (Joint Holder 2), mandatory if mode of holding is joint and 2 holders are there

#	Tag	Data Type	Mandatory	Allowed Character	Comments
21	<JOINT_HOLDER_2_PAN></JOINT_HOLDER_2_PAN>	STRING	N	Length allowed: 10	Joint Holder 2 PAN, mandatory if mode of holding is joint and 2 holders are there
22	<HOLDING_NATURE></HOLDING_NATURE>	STRING	Y	Single Anyone or Survior Joint First or Survior Not Applicable	SINGLE ANYONE OR SURVIOR JOINT FIRST OR SURVIOR NOT APPLICABLE (FOR NON INDIVIDUALS)
23	<NOMINEE_1_NAME></NOMINEE_1_NAME>	STRING	N	Maximum length allowed: 100	
24	<NOMINEE_1_PAN_NO></NOMINEE_1_PAN_NO>	STRING	N	Length allowed: 10	
25	<NOMINEE_2_NAME></NOMINEE_2_NAME>	STRING	N	Maximum length allowed: 100	
26	<NOMINEE_2_PAN_NO></NOMINEE_2_PAN_NO>	STRING	N	Length allowed: 10	
27	<NOMINEE_3_NAME></NOMINEE_3_NAME>	STRING	N	Maximum length allowed: 100	

#	Tag	Data Type	Mandatory	Allowed Character	Comments
28	<NOMINEE_3_PAN_NO> </NOMINEE_3_PAN_NO>	STRING	N	Length allowed: 10	
29	<FIRST_HOLDER_GENDER></FIRST_HOLDER_GENDER>	STRING	N	Male Female Other NA	
30	<FIRST_HOLDER_DOB>/FIRST_HOLDER_DOB>	DATE	N	YYYY-MM-DD	Date of Birth of First holder For non-individuals, date of incorporation will be captured wherever available
31	<FIRST_HOLDER_NATIONALITY></FIRST_HOLDER_NATIONALITY>	STRING	N	Maximum length allowed: 40	Nationality of First holder
32	<FIRST_HOLDER_OCCUPATION></FIRST_HOLDER_OCCUPATION>	STRING	N	Maximum length allowed: 100	Occupation of First Holder
33	<DATE_OF_PMS_ACCOUNT_ACTIVATION></DATE_OF_PMS_ACCOUNT_ACTIVATION>	DATE	N	YYYY-MM-DD	PMS Account Activation date
34	<IS_ACCOUNT_ACTIVE></IS_ACCOUNT_ACTIVE>	BOOL	Y	true false	Active Account – True Inactive Account – False Examples of inactive accounts: • UCC created but funds not received.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
					• Full Redemption request received, but full and final settlement is pending. • Insufficient funds and client not reachable
35	<INACTIVE_SINCE></INACTIVE_SINCE>	DATE	N	YYYY-MM-DD	Mandatory for inactive accounts. If account inactive on account of complete withdrawal of funds, the date as mentioned written request has to be mentioned.
36	<ACCOUNT_INACTIVITY_DESC> </ACCOUNT_INACTIVITY_DESC>	STRING	N	Maximum length allowed: 200	Reason for tagging account as inactive. Reasons may be one of the below: 1. Insufficient funds and client not reachable 2. Demat account opened but no initial fund transfer. 3. Written instruction received for complete redemption of funds. 4. Others – please specify

#	Tag	Data Type	Mandatory	Allowed Character	Comments
37	<DATE_OF_PMS_ACCOUNT_CLOSURE></DATE_OF_PMS_ACCOUNT_CLOSURE>	DATE	N	YYYY-MM-DD	The date of full and final settlement shall be reported as Account Closure Date.

3.7. PMS_Inspection_PM_Operating_Expense.xml

3.7.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.7.2. PMS_Expense [<PMS_Expense></PMS_Expense>] – None or more occurrences allowed

Important Note: For ease of reporting, for each nature of service, a single entry with aggregate amount per vendor per month may be reported with ACCRUAL_DATE as the last date of the month for which the report is being submitted.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1.	<ACCRUAL_DATE></ACCRUAL_DATE>	DATE	Y	YYYY-MM-DD	Date of booking the expense
2.	<VENDOR_PAN> <Is_Valid_PAN></Is_Valid_PAN> </VENDOR_PAN>	STRING	Y	Length allowed: 10	PAN of the vendor from whom the service taken
3.	<VENDOR_NAME></VENDOR_NAME>	STRING	Y	Maximum length allowed: 100	Name of the vendor from whom the service taken
4.	<NATURE_OF_SERVICE></NATURE_OF_SERVICE>	STRING	Y	Broking Custody DP Fund Accounting RTA Distributor Comm Other	
5.	<IS_VENDOR_ASSOCIATE_OF_PMS></IS_VENDOR_ASSOCIATE_OF_PMS>	BOOL	Y	TRUE FALSE	Whether the vendor is associate of PMS
6.	<AMOUNT_PAID></AMOUNT_PAID>	FLOAT	Y	DECIMAL(24,4)	Amount paid in INR
7.	<FREQUENCY></FREQUENCY>	STRING	Y	Monthly Quarterly	

#	Tag	Data Type	Mandatory	Allowed Character	Comments
				Yearly Other	

3.8. PMS_Inspection_PM_Master.xml

3.8.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> 　　<year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> 　　<month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.8.2. PMS_Master [<PMS_Master></PMS_Master>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<PM_NAME></PM_NAME>	STRING	Y	Maximum length allowed: 100	Name of Portfolio Manager
2	<PM_PAN> </PM_PAN>	STRING	Y	Length allowed: 10	PAN of Portfolio Manager
3	<PM_PO_PAN> </PM_PO_PAN>	STRING	Y	Length allowed: 10	PAN of Principle Officer
4	<PM_PO_NAME></PM_PO_NAME>	STRING	Y	Maximum length allowed: 100	Name of Principal Officer
5	<PM_PO_DOJ></PM_PO_DOJ>	DATE	Y	YYYY-MM-DD	Principal Officer's Date of Joining
6	<PM_SEBI_REG_NO></PM_SEBI_REG_NO>	STRING	Y	Maximum length allowed: 20	SEBI Reg. Number of Portfolio Manager
7	<PM_CO_PAN></PM_CO_PAN>	STRING	Y	Length allowed: 10	PAN of Compliance Officer
8	<PM_CO_NAME></PM_CO_NAME>	STRING	Y	Maximum length allowed: 100	Name of Compliance Officer
9	<PO_NISM_CERTIFICATE_NO></PO_NISM_CERTIFICATE_NO>	STRING	N	Maximum length allowed: 20	Principal Officer's NISM Certificate Number

#	Tag	Data Type	Mandatory	Allowed Character	Comments
10	<PO_NISM_CERTIFIC_DATE></PO_NISM_CERTIFIC_DATE>	DATE	N	YYYY-MM-DD	Date of NISM certificate
11	<FIU_REG_NO></FIU_REG_NO>	STRING	N	Maximum length allowed: 20	FIU Reg Number
12	<KRA_REG_NO></KRA_REG_NO>	STRING	N	Maximum length allowed: 20	Institution code issued by KRA In case of registration with multiple KRA agencies, provide any one KRA agency registration number
13	<CERSAI_REG_NO></CERSAI_REG_NO>	STRING	N	Maximum length allowed: 20	Institution code issued by CERSAI
14	<SCORE_REG_NO></SCORE_REG_NO>	STRING	Y	Maximum length allowed: 20	SEBI SCORES registration number
15	<WEBLINK></WEBLINK>	STRING	N	Maximum length allowed: 500	Website of the Portfolio Manager
16	<FO_SYSTEM_NAME></FO_SYSTEM_NAME>	STRING	N	Maximum length allowed: 100	Name of Front Office Trading System

#	Tag	Data Type	Mandatory	Allowed Character	Comments
17	<BO_SYSTEM_NAME></BO_SYSTEM_NAME>	STRING	N	Maximum length allowed: 100	Name of Back Office Accounting System or Fund accountant
18	<PM_SURRENDER_DATE></PM_SURRENDER_DATE>	DATE	N	YYYY-MM-DD	Date of approval of application for surrender by SEBI
19	<PM_NET_WORTH></PM_NET_WORTH>	FLOAT	Y	DECIMAL(24,4)	Latest Audited Net-Worth.
20	<PM_NET_WORTH_DATE></PM_NET_WORTH_DATE>	DATE	Y	YYYY-MM-DD	Date of audited Net Worth Certificate base on which Net Worth is reported in field PM_NET_WORTH.

3.9.   PMS_Inspection_PM_Pool_Acc_Master.xml

3.9.1.   Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.9.2. PMS_PoolAcc [<PMS_PoolAcc></PMS_PoolAcc>] – None or more occurrences allowed

Important Note: Kindly ensure that each of the POOL_BOID should be uniquely identified in this report. No two entries for same POOL_BOID should be present.

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<POOL_DP_ID></POOL_DP_ID>	STRING	Y	Maximum length allowed: 20	Pool DP ID
2	<POOL_DP_NAME></POOL_DP_NAME>	STRING	Y	Maximum length allowed: 100	Pool Name of DP
3	<POOL_NAME> </POOL_NAME>	STRING	Y	Maximum length allowed: 100	Pool Account title
4	<POOL_BOID></POOL_BOID>	STRING	Y	Length allowed: 16	Pool BOID

3.10. PMS_Inspection_PM_Associated_Security_Details.xml

3.10.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.10.2. PMS_Asctd_Sec_Dtls [<PMS_Asctd_Sec_Dtls></PMS_Asctd_Sec_Dtls>] – None or more occurrences allowed

Important Note:

All listed equity shares in which the Portfolio Manager has invested client's funds has to be reported for every date of the reporting month on which:

- **the issuer of the security was <u>an associate</u> of the Portfolio Manager (as specified in sub-section (6) of section 2 of the Companies Act, 2013) or,**
- **the issuer of the security was <u>related to</u> Portfolio Manager as per the definition provided in Regulation 2(1)(pa) of the SEBI (Portfolio Managers) Regulations, 2020.**

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	< INVESTMENT_TYPE></ INVESTMENT_TYPE>	STRING	Y	Equity Derivatives	Investment Type
2	< ASSET_TYPE></ ASSET_TYPE>	STRING	Y	Equity Shares Futures Options	Asset Type (For Equity: Equity Shares For Derivative: Futures or Options)
3	< SECURITY_ISIN></ SECURITY_ISIN>	STRING	N	Maximum length allowed: 12	ISIN of security.

4	< SECURITY_CODE></ SECURITY_CODE>	STRING	N	Maximum length allowed: 20	Internal code of the security for which there is no ISIN.
5	< ASSOCIATED_DATE></ ASSOCIATED_DATE>	DATE	Y	YYYY-MM-DD	

3.11. PMS_Inspection_Trade_Data.xml

3.11.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.11.2. PMS_Trade_data [<PMS_Trade_Data></PMS_Trade_Data>] – None or more occurrences allowed

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<TRADE_DATE> </TRADE_DATE>	DATE	Y	YYYY-MM-DD format	Trade date of the security Trade date should belong to the month for which the report is submitted.
2	<SETTLEMENT_DATE> </SETTLEMENT_DATE>	DATE	Y	YYYY-MM-DD format	Settlement date of the security
3	<UNIQUE_REF_NO> </UNIQUE_REF_NO>	STRING	Y	Maximum length allowed: 40	Unique identifier for particular transaction
4	<BOID></BOID>	STRING	N	Allowed Length = 16	BOID of the Pool or Client Account.
5	<CLIENT_ID> </CLIENT_ID>	STRING	N	Maximum length allowed: 40	Client ID of the trading account

6	<POOL_FLAG></POOL_FLAG>	Numeric	Y	1 - Pool Account 2- Client Account	Whether the transaction was made through Pool Account or Client Account
7	<ISIN></ISIN>	STRING	N	12 Alpha numeric Character long String	ISIN of the security (wherever applicable. Otherwise leave blank)
8	<SECURITY_CODE></SECURITY_CODE>	STRING	N	Maximum length allowed: 30	Internal code used by AMC to identify securities without ISIN
9	<SECURITY_NAME></SECURITY_NAME>	STRING	Y	Maximum length allowed: 100	Name of the security
10	<ISSUER_CODE></ISSUER_CODE>	STRING	Y	Maximum length allowed: 50	Internal code to identify issuer of security
11	<ISSUER_NAME></ISSUER_NAME>	STRING	Y	Maximum length allowed: 50	Name of the issuer of security
12	<INSTRUMENT_TYPE></INSTRUMENT_TYPE>	STRING	Y	• Equity • Debt • Derivatives	

				- Mutual Fund - Other	
13	\<ASSET_TYPE\> \</ASSET_TYPE\>	STRING	Y	- Equity Shares - Plain Debt - Structured Debt - Futures - Options - MF Units - Overseas Units - REIT - InVIT - Other	Asset Type (For Equity - Equity Shares For Debt - Plain Debt, Structured Debt For Derivatives - Futures, Options For Mutual Funds - MF Units, Overseas Units For Other – Cash, REIT, INVIT, Other)
14	\<TRANSACTION_NATURE\> \</TRANSACTION_NATURE\>	NUMERIC	Y	1 – Primary 2 – Secondary 3 – Others	Others would include – entries on account of corporate action.
15	\<TRANSACTION_NATURE_DESC\> \</TRANSACTION_NATURE_DESC\>	STRING	N	Maximum length allowed: 40	If \<TRANSACTION_NATURE\> has value 1, provide either of the two mandatory narrations 'Private Placement' or 'Public Issue'.

					If <TRANSACTION_NATURE> has value 2 and <INSTRUMENT_TYPE> is 'Debt' provide either of the two mandatory narration 'RFQ' or 'Non-RFQ'. If <TRANSACTION_NATURE> has value 3 provide narration for the transaction nature such as Call, Put, Interest Reset, Part Redemption, Maturity, Right Issuance, Bonus, Buy Back, Split etc.
16	<TRANSACTION_TYPE> </TRANSACTION_TYPE>	NUMERIC	Y	1 – Buy 2 – Sell	
17	<QUANTITY></QUANTITY>	DECIMAL(20,4)	Y	20 digits with 4 decimal	1. For Equity quantity traded

					2. For Equity Futures and Options the units traded i.e. Lot size * No. of Lots 3. For Debt, actual Quantity considering the FV as per the Information Memorandum (IM). In case partial redemption has happened by reducing the Quantity, then provide reduced Quantity.
18	\<FACE_VALUE\> \</FACE_VALUE\>	DECIMAL(20,4)	N	20 digits with 4 decimal	Kindly leave blank wherever not applicable
19	\<TRANSACTION_PRICE\> \</TRANSACTION_PRICE\>	DECIMAL(20,6)	Y	20 digits with 6 decimal	1. In case of Debt securities, provide clean price i.e. excluding accrued interest component. 2. For Equity Options, the premium paid/received (Premium in absolute terms

					viz. without negative or positive sign shall be given) 3. For Equity Futures, the price of one unit
20	<ACCRUED_INTEREST> </ACCRUED_INTEREST>	DECIMAL(20,4)	N	20 digits with 4 decimal	Accrued Interest for debt securities
21	<TRANSACTION_VALUE> </TRANSACTION_VALUE>	DECIMAL(20,4)	Y	20 digits with 4 decimal	1. For Equity Options, Transaction_Value = Quantity * Premium 2.For Equity Futures, Transaction_Value = Quantity/unit * Transaction_Price 3. For Debt securities, Transaction Value = Quantity * Transaction_Price

22	<STATUTORY_LEVIES> </STATUTORY_LEVIES>	DECIMAL(20,4)	N	20 digits with 4 decimal	Shall include STT, GST, Stamp Duty or any other statutory levy
23	<BROKERAGE> </BROKERAGE>	DECIMAL(12,2)	N	12 digits with 2 decimal	Amount charged towards brokerage
24	<GROSS_VALUE> </GROSS_VALUE>	DECIMAL(20,4)	Y	20 digits with 4 decimal	Including transaction value brokerage and statutory levies.
25	<RATING></RATING>	STRING	N	Please Refer Annexure 'A'	Prevailing rating of the security used for valuation For unrated security, this field will be "UNRATED" Name of rating agency should not be part of rating. In case security is rated by multiple CRAs then the

					lowest rating should be provided (Wherever applicable). In case the security has structured obligation or credit enhancement, rating should invariably mention (SO) and (CE). Rating is mandatory for <INSTRUMENT_TYPE> = "Debt"
26	<RATING_AGENCY> </RATING_AGENCY>	STRING	N	Please Refer Annexure 'B'	Rating agency which provided the rating as in <RATING> Rating agency is mandatory for <INSTRUMENT_TYPE> = "Debt"
27	<BROKER_REG_NO> </BROKER_REG_NO>	STRING	N	Maximum length allowed: 100	SEBI registration no. of the Broker (wherever applicable)

28	<BROKER_FLAG></BROKER_FLAG>	NUMERIC	N	0 – No 1 – Yes	If broker is associated with the sponsor. If broker reg. no. is given, then Broker flag is mandatory.
29	<EXCHANGE></EXCHANGE>	NUMERIC	N	1 – NSE 2 – BSE 3 – MSEI 4 – Foreign Exchange 5 – MCX (Multi Commodity Exchange of India Ltd) 6 – NCDEX (National Commodity & Derivatives Exchange Ltd) 7 – ICEX (Indian Commodity Exchange Limited)	Stock Exchange where the trade is executed and/or settled (In case of other securities (including unlisted securities), leave it blank))
30	<OPTION_TYPE></OPTION_TYPE>	STRING	N	CALL PUT	To be filled only in case of equity derivative options contracts mentioning CALL or PUT

3.12. PMS_Inspection_FM_Dealer_Dtls.xml

3.12.1. Header [<Header></Header>] – Only one occurrence

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<LOGIN_ID></LOGIN_ID>	INT	Y	>0	Login ID of the PMS
2	<YEAR> <year></year> </YEAR>	STRING	Y	20XX to 21XX	Year of Report for this XML File
3	<MONTH> <month></month> </MONTH>	STRING	Y	January February March April May June July August September October November December	Month of Report for this XML File

3.12.2. PMS_Fm_Dealer_Dtls [<PMS_FM_Dealer_Dtls></PMS_FM_Dealer_Dtls>] – One or more occurrences allowed

#	Tag	Data Type	Mandatory	Allowed Character	Comments
1	<KEY_EMPLOYEE_NAME> </KEY_EMPLOYEE_NAME>	STRING	Y	Maximum length allowed: 100	
2	<DESIGNATION> </DESIGNATION>	STRING	Y	Allowed Character: Fund Manager Dealer	
3	<EMPLOYEE_PAN> </EMPLOYEE_PAN>	STRING	Y	Allowed Length: 10	Should follow PAN syntax
4	<APPOINTMENT_DATE> </APPOINTMENT_DATE>	DATE	Y	YYYY-MM-DD	Date of Appointment in the Designation
5	<CESSATION_DATE> </CESSATION_DATE>	DATE	N	YYYY-MM-DD	Date of cessation from the Designation Date of cessation should belong to the month of the report being submitted.
6	<CESSATION_CAUSE> </CESSATION_CAUSE>	Numeric	N	Acceptable Values: • Superannuation-**1**, • Resignation-**2**, • Termination-**3**,	Mandatory if Date of termination entered.

				• Demise-**4**	
				• Others-**5**	
7	<CESSATION_CAUSE_OTHER> </CESSATION_CAUSE_OTHER>	String	N		Mandatory if Cessation Cause is "Others"

4. Annexure

4.1. Annexure A

<u>Allowed values for Ratings</u>

AAA	AA+	AA	AA-	A+	A
A-	BBB+	BBB	BBB-	BB+	BB
BB-	B+	B	B-	C+	C
C-	A1+	A1	A2+	A2	A3+
A3	A4+	A4	Privately Rated	Sovereign	Unrated
AAA(SO)	AA+(SO)	AA(SO)	AA-(SO)	A+(SO)	A(SO)
A-(SO)	BBB+(SO)	BBB(SO)	BBB-(SO)	BB+(SO)	BB(SO)
BB-(SO)	B+(SO)	B(SO)	B-(SO)	C+(SO)	C(SO)
C-(SO)	D(SO)	AAA(CE)	A1+(SO)	A1(SO)	A2+(SO)
A2(SO)	A3+(SO)	A3(SO)	A4+(SO)	A4(SO)	AA+(CE)
AA(CE)	AA-(CE)	A+(CE)	A(CE)	A-(CE)	BBB+(CE)
BBB(CE)	BBB-(CE)	BB+(CE)	BB(CE)	BB-(CE)	B+(CE)
B(CE)	B-(CE)	C+(CE)	C(CE)	C-(CE)	D(CE)
A1+(CE)	A1(CE)	A2+(CE)	A2(CE)	A3+(CE)	A3(CE)
A4+(CE)		A4(CE)		D	

4.2. Annexure B

<u>Allowed values for Rating Agency</u>

CARE	CRISIL	ICRA
FITCH	BWR	IVR
ACUITE	IND	SMERA
Sovereign	Unrated	