

# General queries on Listing Compliance & Approvals

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**1. Getting error of 106 while uploading the XBRL of Change in Management? (Announcement)**

**Ans:** The company should put numerical value in the term of appointment if no term then they should put 0 and mention reason in remarks column.

**2. Getting error of 106 while uploading the XBRL of Integrated Filing – Governance? (CG)**

**Ans:** For Validation error i.e. Error [106] in XBRL upload you are requested to kindly remove all the special characters (like -, \*,?, &, ( ), space etc.) forming part of the excel utility from which the XML file is generated (including remarks).

**3. Getting error of 109 while uploading the XBRL of Integrated Filing – Governance? (CG)**

**Ans:** For Validation error i.e. Error [109] in XBRL upload you are requested to kindly download fresh utility from NEAPS and attempt submitting the same. [109] error may be the result of an old utility.

**4. How to update company address details on NSE India? (NEAPS)**

**Ans:** You can update the details on the NEAPS Portal by following path below:

NEAPS > Master > Address Details > View > Change address

**5. How to update the Statutory Auditor details on NSE India Website? (NEAPS)**

**Ans:** Currently there are no Statutory Auditor (SA) details reflecting on NSE website, the Exchange may take this development in second phase and then the Company can update the SA details.

**6. How can company rectify the incorrect PDF uploaded for announcement? (Announcement)**

**Ans:** Company can update the correct PDF under announcement with subject as **UPDATES** in NEAPS Portal and necessary clarification can be stated in the announcement text.

**7. What are the documents to be submitted for SSE (Social Stock Exchange) Registration? (Listing Approvals)**

**Ans:** You can check the link below on NSE Website for the checklist and documents along with steps for registration on NEAPS Portal from path below:

Home > List > Raising Capital > Social Stock Exchange

**8. How to change existing password in NEAPS Portal? (NEAPS)**

**Ans:** You may follow the steps mentioned below:

- Login to NEAPS using existing password and click in My Profile link:
- To modify the details like e-mail id/ mobile no/ hint question or answer, click on MODIFY button.
- Change the required details and SAVE.
- To change the password, click on change password
- Enter the current password and desired new password, click on confirm. And then login using new password.

**9. How to Reset Password for NEAPS portal? (NEAPS)**

**Ans:** You may follow the steps mentioned below:

- Enter the login ID
- Click on “Forgot password” link shown below.
- Enter login ID

- Hint question will be auto populated. If Hint question is not populated, then click on Get Question link. Enter the hint answer and click on submit.
- The hint answer is case sensitive.
- If hint answer is correct, user will receive e-mail containing temporary password, which will be required to change later.
- Enter the temporary password and login
- Enter the temporary password and desired new password.
- Now you can login using the new password.

**10. How to add new users for NEAPS? (NEAPS)**

**Ans:** If the company wishes to change/add/delete/modify any existing USER ID that can be done through Company's super user ID.

**11. From where can the company download the fresh utility of Integrated Filing – Governance? (CG)**

**Ans:** The companies shall download the latest version of XBRL utility for Integrated Filing – Governance from NEAPS portal and upload the XML.

Path: NEAPS > COMPLIANCE > Common XBRL Upload > Integrated Filing or  
NEAPS > COMPLIANCE > Download XBRL Utilities> Integrated Filing Governance

**12. Which XBRL utility to use for submitting Scrutinizer's Report? (Announcement)**

**Ans:** Company can submit the **Scrutinizer's Report** for general meeting while submission of the Voting Results XBRL

PATH on NEAPS Portal - NEAPS > Compliance > Common XBRL Upload > CO. Name & Co. Symbol > Module: Voting Result

Additionally, the announcement for the same can also be submitted under announcement, subject 'Shareholders Meeting'

**13. Director's details not reflecting on NSE Website? (Website)**

**Ans:** Directors details are auto fetched from the latest Integrated Filing – Governance (Part A) submission made by the company

**14. What are the Default details to be entered while filing NSE XBRL? (Listing Compliance)**

**Ans:** If company is only listed in NSE refer the infotip in the utility, it has the details of what can be entered as default details.

**15. Where can companies find the invoice of payment made to NSE? (Finance and Accounts)**

**Ans:** To obtain the invoice for the payments made, you can follow the path below in NEAPS Portal.

NEAPS > Payment > Reports > All bill reports.

**16. Whether Integrated Filing – Governance is required to be uploaded separately on both the exchanges? (CG)**

**Ans:** No, Integrated Filing – Governance is covered under the Single filing system. Upon successful upload on one Exchange, the filing is automatically disseminated on the other Exchange through API-based integration between Stock Exchanges. In case same is not updated on other exchange drop email to that exchange where report is not reflecting.

**17. Whether PDF submission is mandatory for filing of Integrated Filing – Governance?**

**Ans:** No, Submission of the Integrated Filing- Governance shall be made only in XBRL form. PDF disclosure for the Integrated Filing- Governance in the Corporate Announcement/Integrated Governance Module, is not required to be filed effective from January 14, 2025. In case entities are submitting the disclosures under Integrated Filing in PDF, “PAN details must be masked”.

Kindly refer circular dated January 02, 2025, and 13, 2025 for submission of Circular Ref No: NSE/CML/2025/02 and Circular Ref No: NSE/CML/2025/03

**18. Whether Annual Secretarial Compliance Report is required to be uploaded separately on both the exchanges? (ASCR)**

**Ans:** No, Annual Secretarial Compliance Report is covered under the Single filing system. Upon successful upload on one Exchange, the filing is automatically disseminated on the other Exchange through API-based integration between Stock Exchanges. In case same is not updated on other exchange write email to that exchange where report is not reflecting.

**19. Whether Business Responsibility and Sustainability Report (BRSR) required to be uploaded separately on both the exchanges?**

**Ans:** No, Business Responsibility and Sustainability Report is covered under the Single filing system. Upon successful upload on one Exchange, the filing is automatically disseminated on the other Exchange through API-based integration between Stock Exchanges. In case same is not updated on other exchange write email to that exchange where report is not reflecting.

**20. Does Financial Results (PDF) announcement is included under single filing? (Financial Results)**

**Ans:** Currently Financial Results (PDF) announcement is not included under single filing; they need to be filed separately on both the exchange.

Compliance > Announcements/Corporate actions > Create announcement/ corporate actions > Intimation type: Announcement > Regulation 30 – Para A > Subject – Outcome of board meeting > Type – Financial results

**21. Where can Company get the Acknowledgement for submission made under single filing system? (Listing Compliance)**

**Ans:** Company can get acknowledgement from NEAPS portal on the path mentioned below: Neaps > Report > Periodic Compliance > Disclosure (type of disclosure) > Quarter ended (select quarter) > Download Acknowledgement.

Company can download acknowledgement after 15 to 20 minutes of submission.

**22. What period should be entered in end tenure period of senior management person for change in management XBRL? (Announcement)**

**Ans:** If there is no tenure period, company can put 0 and, in the remarks, should mention details for the same.

**23. What Should be mentioned in date of occurrence of event of postal ballot? (Announcement)**

**Ans:** The date and time of occurrence of event for postal ballot is the date on which the notice of shareholders meeting was sent to the shareholders.

**24. How to file XBRL of financial results for debt companies? (Financial Results)**

**Ans:** XBRL submission of Financial Results is under development for debt segment, you are requested to submit the Financial Results in the **pdf form** in NEAPS along with the other necessary disclosures within prescribed timelines until further notification.

**25. What types of Filings included under Integrated financial results? (Financial result)**

**Ans:** Following are the filling included under financial results.

- Financial Results (Standalone and Consolidated, as may be applicable) and Statement on the Impact of Audit Qualifications / Declaration of Unmodified Audit Report (as may be applicable),
- Related Party Transactions Disclosure,
- Statement of Deviation(s) and variation(s),
- Disclosure on outstanding default on loans and debt securities.

**26. Why Compliance officer name not reflecting on NSE website? (Website)**

**Ans:** As per circular issued by the Exchange on October 18, 2024, the Company who is non complaint with SDD requirements only their compliance officer name will be reflected on NSE India website.

**27. Equity listed company are unable to file XBRL for credit Rating? (Announcement)**

**Ans:** XBRL for credit rating is not applicable to equity listed company.

**28. How to file XBRL of corporate governance for debt companies? (Corporate Governance)**

**Ans:** XBRL submission of Corporate Governance is under development, you are requested to submit the disclosure in the **pdf form** in NEAPS along with the other necessary disclosures within prescribed timelines until further notification.

**29. Whether BSE Limited (BSE) also has same XBRL? (Listing Compliance)**

**Ans:** Yes, NSE & BSE have jointly developed these XBRL's utilities, and the XML file generated can be uploaded at both the Exchanges.

**30. How to get checklist for change in name application of Mutual Fund? (Debt)**

**Ans:** The checklist for change in name of Mutual Fund is available on NSE website path below: NSE India >> List>> Resources for Listed Companies>> Compliance Information >> Checklist.

**31. Path to file SAST disclosure under regulation 10? (SAST – Disclosures)**

**Ans:** SAST submission should be made over email at [takeover@nse.co.in](mailto:takeover@nse.co.in) in pdf format.

**32. What are the documents to be submitted for making application for Reclassification of promoter(s)/promoter group(s)?**

**Ans:** You can check the link below on NSE Website for the checklist and documents along with steps for registration on NEAPS Portal from path below:

Home > List > Resources for Listed Companies > Compliance Information > Checklist

**33. Whether application for Reclassification of promoter(s)/promoter group(s) is required to be submitted separately on both the exchanges?**

**Ans:** Yes, Reclassification of promoter(s)/promoter group(s) is not covered under the Single filing system. Therefore, application to be submitted separately on both exchanges.

Following is the path for submitting application on NEAPS  
 NEAPS > COMPLIANCE > Event Based Compliances > Regulation 31A > Promoter  
 Reclassification

**34. Whether any separate help desk is assigned for payment/billing related queries?**

**Ans:** Yes, for billing/payment query, you can find the contact details of the respective person under following path:

NEAPS > Help > Contact Us>Approval>Billing Related queries.

**35. What are documents and processing fees for Direct Listing? (Listing Approvals)**

**Ans:** The checklist and documents for Direct Listing is available on NSE website path below:  
 NSE India >> List>> Raising Capital>> Public Issues Main Board>> Eligibility Criteria>> For  
 Securities of Existing Companies

For processing fees company can refer to Part C of the Checklist of final listing.

**36. Where can Company find a list of Market Capitalization for the period of March end? (Website)**

**Ans:** As per LODR - Reg 3(2) The applicability of the provisions of these regulations to a listed entity based on market capitalisation shall be determined as follows:

- Every recognized stock exchange shall, at the end of the **calendar year i.e., 31st December**, prepare a list of entities that have listed their specified securities ranking such entities based on their average market capitalisation from 1st July to 31st December of that calendar year.
- The relevant provisions shall then become applicable to a listed entity that is required to comply with such requirements for the first time (or, if applicable, required to comply after any interim period) after a period of three months from December 31 (i.e. April 1) or from the beginning of the immediate next financial year, whichever is late

Illustration:

Particulars	Financial year ending			
	March	June	September	December
Average market capitalisation	December 31			
Status of the listed entity	Enters Top 1000/2000 for first time			
Date of applicability for Top 1000/2000 Corporate Governance provisions	April 01	July 01	October 01	April 01

**37. Whether the Company is required to file Initial and Annual Disclosure for Large Corporate Entity?**

**Ans:** The Company is not required to file Initial or Annual Disclosure on NEAPS portal.

**38. Which Companies are required to submit details pertaining to Large Corporate Disclosure?**

**Ans:** All listed entities whose specified securities or debt securities or non-convertible redeemable preference shares are listed with the Exchange are requested to provide the details pertaining to Large Corporate Disclosure.

**39. Where are Companies required to submit details pertaining to Large Corporate Disclosure?**

**Ans:** While submitting the Outcome of the Board Meeting in PDF for Financial Results all Main Board Companies are required to select Period Type as **Fourth Quarter** instead of **Fourth Quarter-Annual** and SME Companies are required to select Period Type **Annual** for SME listed entities wherein on selection a mandatory field will appear i.e., Whether the Listed Entity is a Schedule Commercial Bank? with a drop-down value as **Yes** or **No**, companies shall make an adequate selection as per applicability.

- i. If User selects '**No**', the following fields shall be given for data entry:
  - Outstanding long-term Borrowings at the start of the Financial Year (Rs. in Crore)
  - Outstanding long-term Borrowings at the end of the Financial Year (Rs. in Crore)
  - Highest Credit rating of the company
  - Incremental Borrowing done during the year (qualified borrowing) (Rs. in Crore)
  - Borrowings by way of issuance of debt securities during the year. (Rs. in Crore)
- ii. If User selects 'Yes' the above fields i) to v) shall not be appear on the screen.

**40. Which file is used for submission of Annual Report in XBRL?**

**Ans:** The Companies for submission of Annual Report in XBRL are required to use AOC-4 XML file submitted with ROC.

**41. What is the timeline for submission of Annual Report in XBRL?**

**Ans:** The Company is required to submit Annual Report in XBRL within 30 days from the end of the date of AGM.

**42. Does Annual Report (XBRL) is included under single filing?**

**Ans:** Yes, Annual Report (XBRL) is included under single filing; they need to be filed only on one Exchange.

**43. Is XBRL filing applicable for Financial Results, Related Party Transactions and Corporate Governance Report?**

**Ans:** XBRL utilities for Financial Results, Related Party Transactions and Corporate Governance Report are currently under development. Till then, companies are requested to continue filing through PDF submission.

**44. What should be done in case of Company name and ISIN mismatch while uploading the XBRL of Regulation 50?**

**Ans:** The company should ensure that

- The company name matches with the format registered on NEAPS Portal
- The company name is not entered in ALL CAPS.
- The ISIN selected in any one active ISIN listed under the debt segment on NSE (equity ISINs are not accepted)

**45. What should be entered in the NSE symbol field while filing the XBRL file?**

**Ans:** Companies listed only under debt segment at NSE do not have any NSE symbol. Companies may enter 'NOTLISTED' or keep the field blank for validation purpose.

**46. What should be entered in the Scrip code field filing the XBRL file?**

**Ans:** The company can enter any 6-digit number in any combination or use BSE scrip code (if listed on BSE) for validation of the sheet.

**47. What should be done will getting error of Json while uploading XBRL for Regulation 50?**

**Ans:** The company should limit the remarks in the XBRL field till 250 characters only and try uploading the same.

**48. What should be done in case of error while uploading the debt announcement?**

**Ans:** The company should check if any special characters are present in the announcement text box or file nomenclature while uploading the announcement.