NSE Clearing Limited

Circular

DEPARTMENT: COMPLIANCE	
Download Ref No: NCL/CMPL/60552	Date: February 05,2024
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All Clearing Members

Sub: Facility for viewing of penalties at NCL

NCL is pleased to announce introduction of new functionality, “Penalties at NCL” menu on member portal where details of penalties levied by various departments of NCL are being made available. Under the “Penalties at NCL” menu members can view the following penalties levied by NCL:

1. Penalty for Non-Submission
2. Penalty for Modification and Delayed Submission
3. Penalty for Client Margin/Short Allocation

NCL is in the process of incorporating other penalty information / features under this menu in subsequent releases to Members. The same will be intimated in due course. The user manual for same is enclosed as Annexure.

While NCL endeavours to provide correct and latest information about the penal actions taken by various departments, the same is provided for quick reference and for general purposes only and may not be considered as final penalty. Clearing Members are advised to refer official communication received from the NCL for authenticity of the penal actions. NCL is not responsible for any errors or omissions, or any losses caused due to the usage of this information under this menu.

Members are requested to take note of the same.

For and on behalf of
NSE Clearing Limited

Hima Bindu Vakkalanka
Vice President

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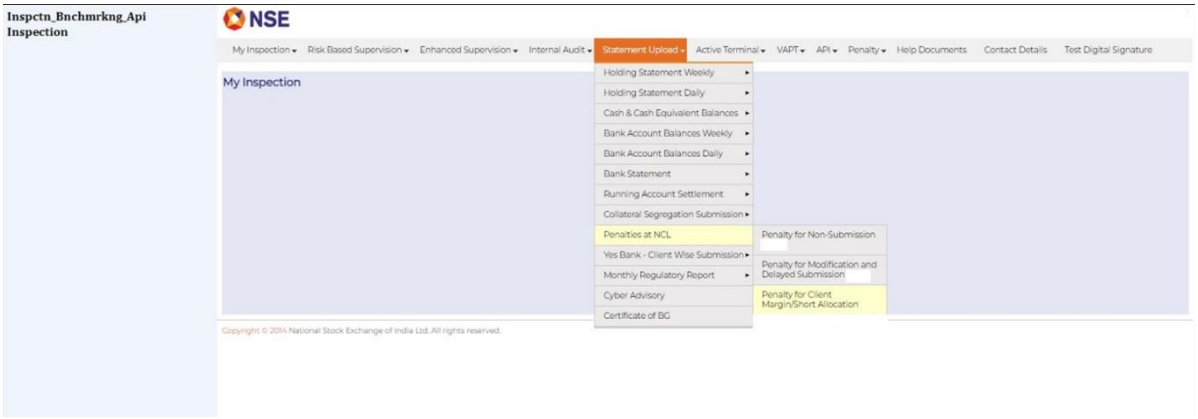
Annexure

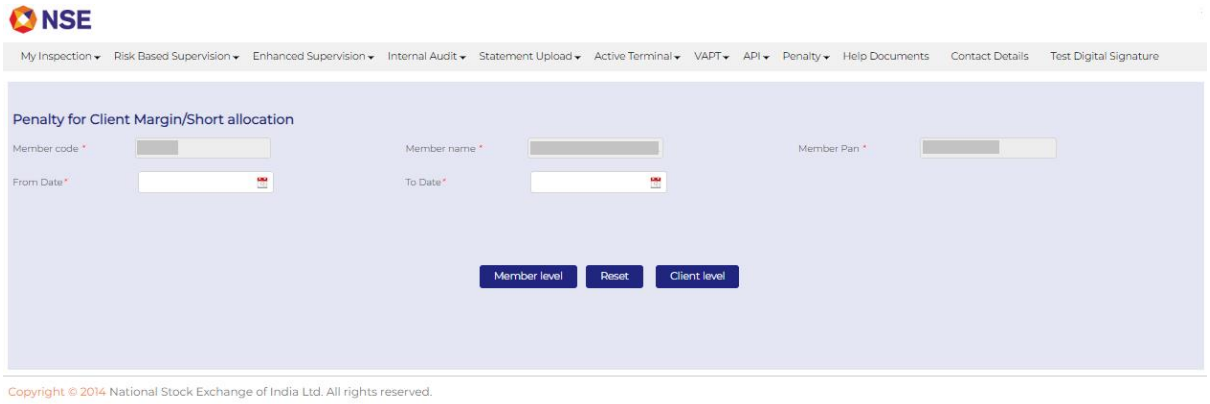
Part A – Steps for viewing Short Allocation Penalty

1. Login using following link: - https://inspection.nseindia.com/MemberPortal/

2. Navigation: Login on Inspection Portal → Statement Upload → Penalties at NCL → Penalty for Client Margin/Short Allocation

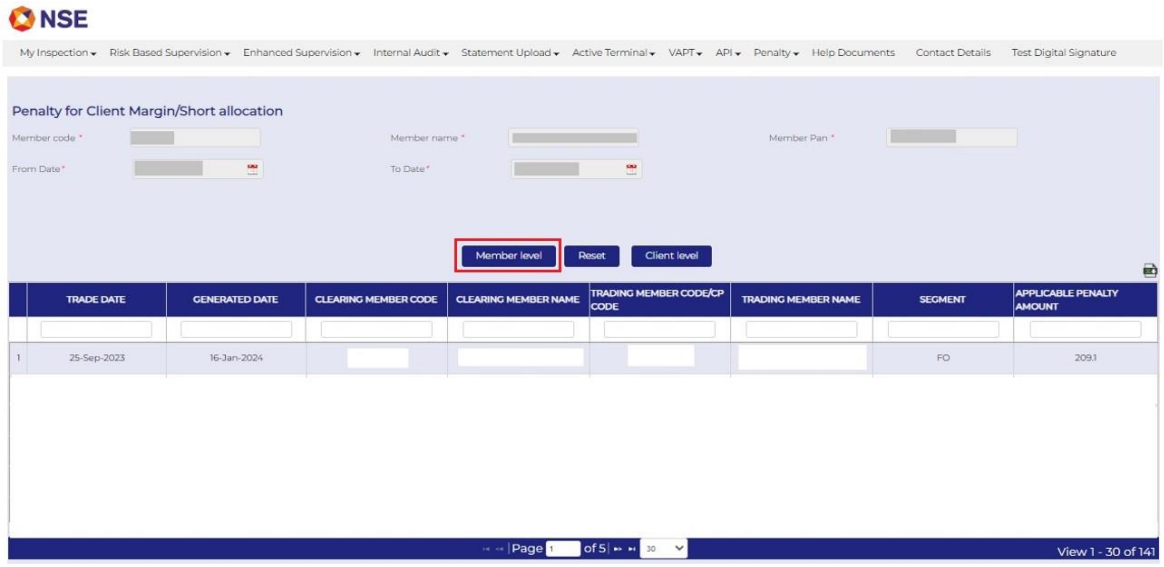


3. Upon clicking on “Penalty for Client Margin/Short Allocation” the below screen shall be displayed

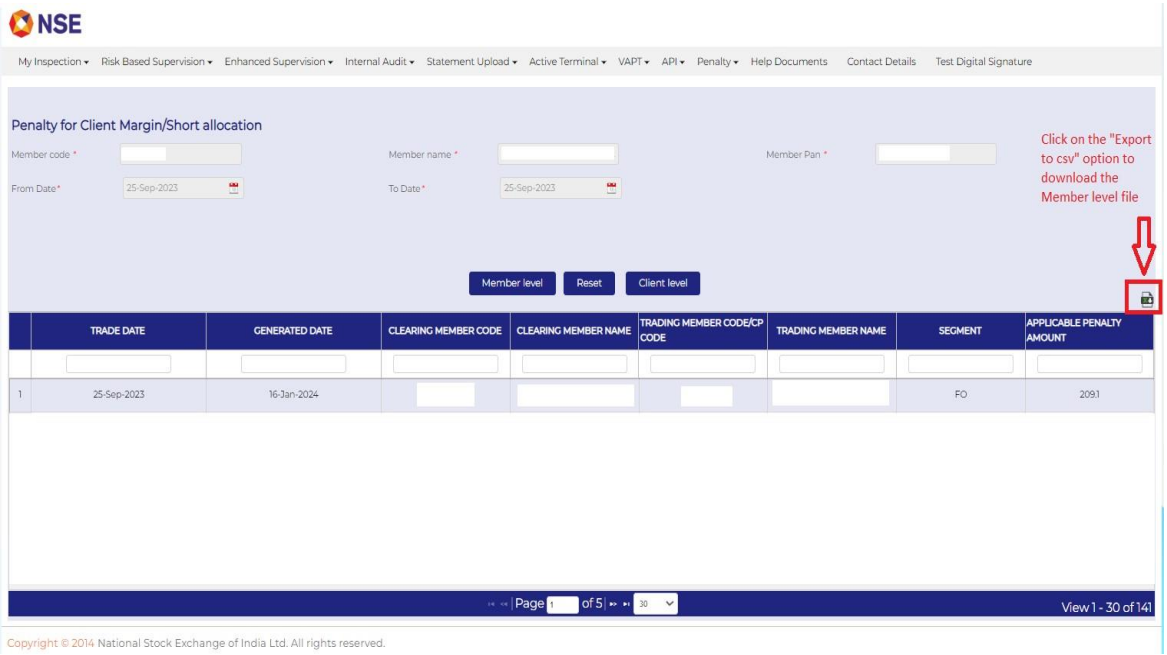


4. After selecting the required trade date, the member has an option to view the Client Margin/Short Allocation penalty data at member level & client level.

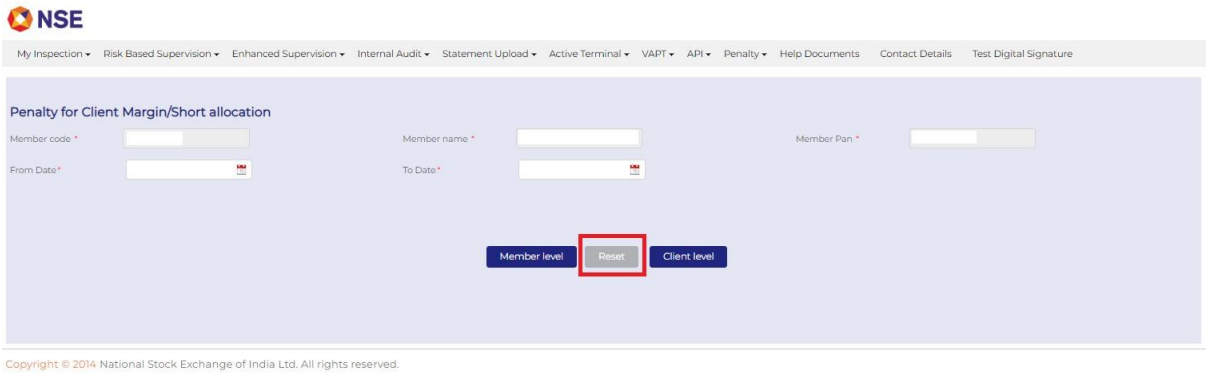
5. Upon clicking "Member level" button, the below screen shall be displayed with the member level data in the grid.



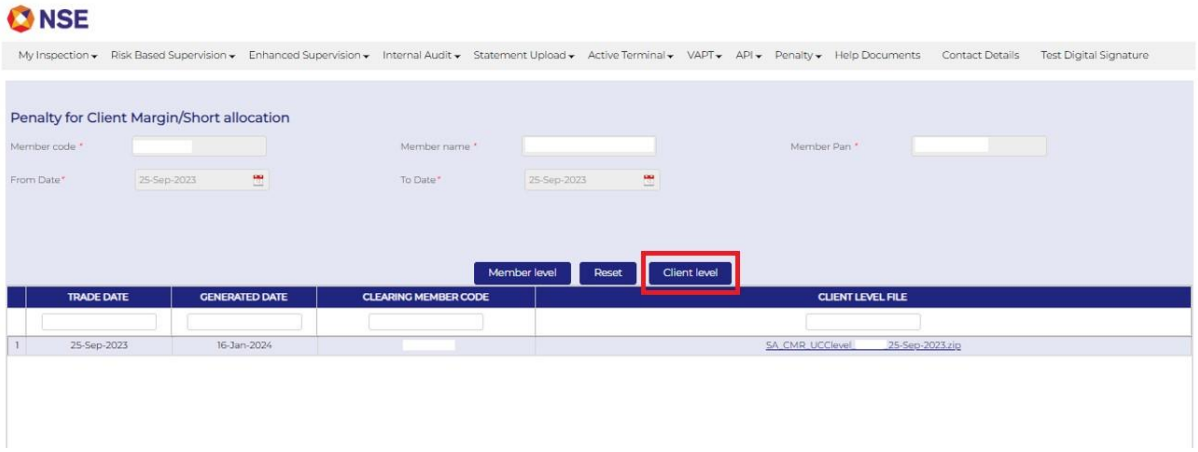
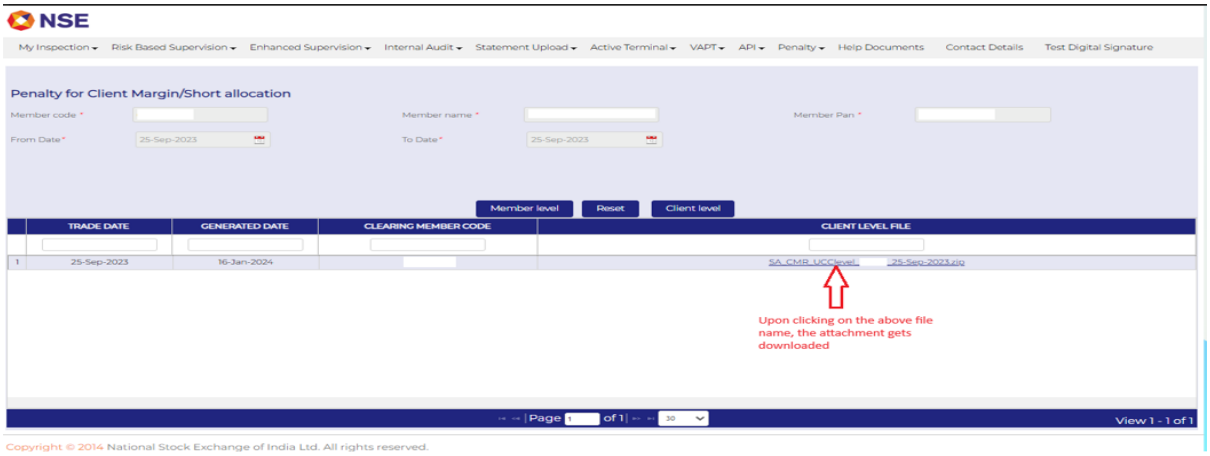
6. To download the Member level data, click on the download option as displayed in the screen below: -



7. On clicking the “Reset” button, the existing date selected shall get reset as shown below: -



8. Upon clicking the “Client level” button, the client level data will be visible in the grid as shown below: -



9. To download the client level file, click on the file name as displayed on the screen below: -