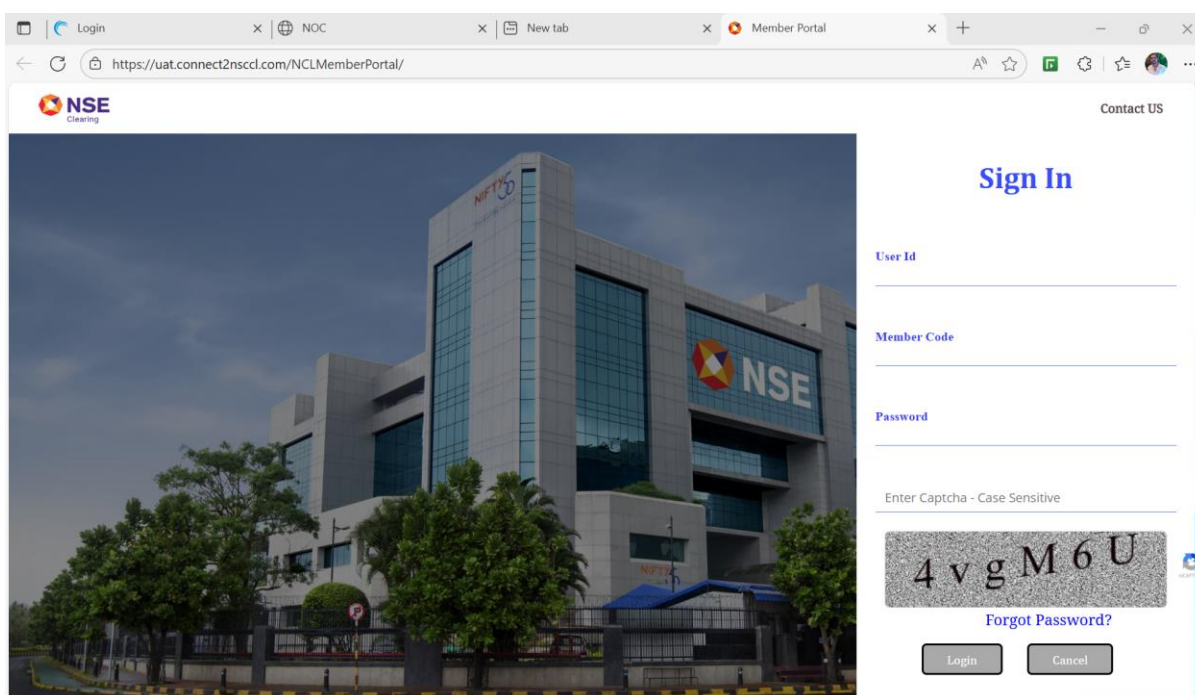


ANNEXURE II

STEP BY STEP USER MANUAL – ONGOING MEMBERSHIP COMPLIANCES

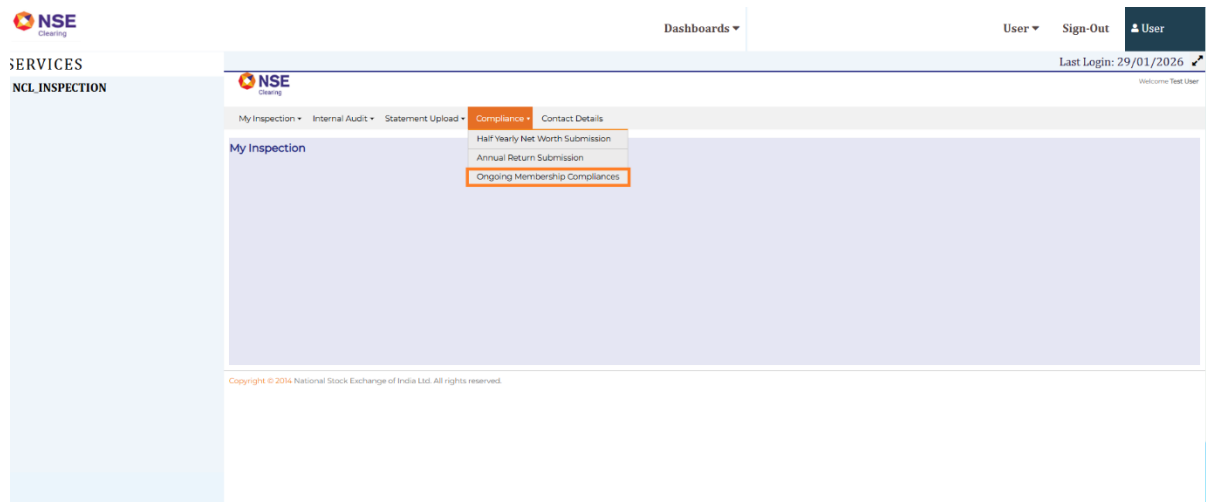
1) Login on below given link & put User ID, Member Code, Captcha and Password.

[Member Portal](https://uat.connect2nsccl.com/NCLMemberPortal/)

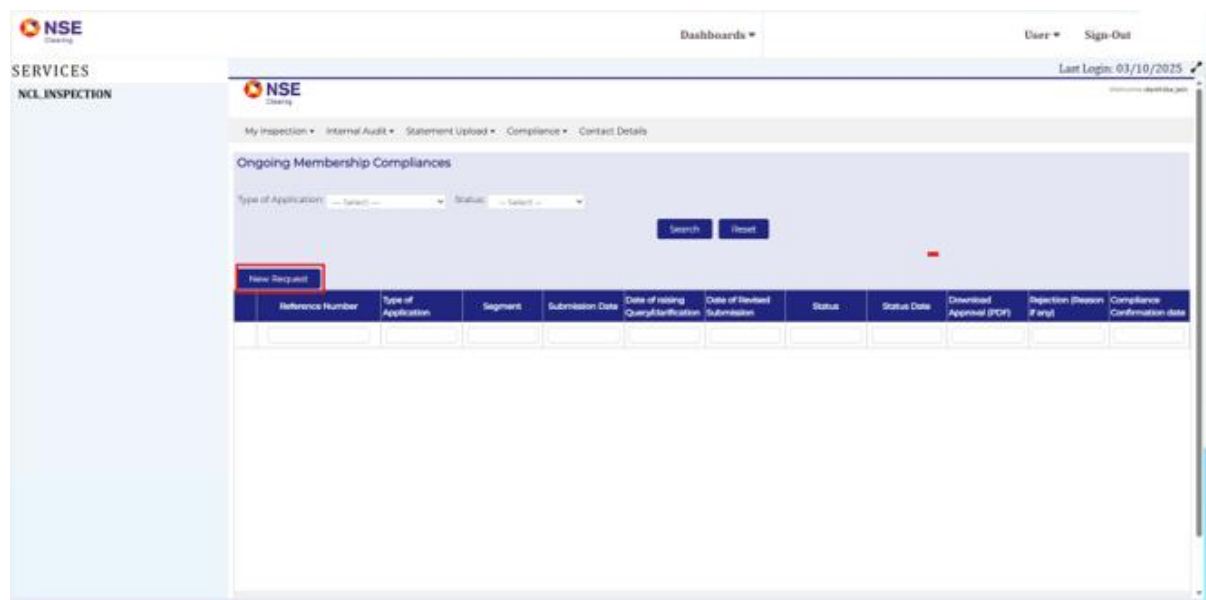


2) For members creating User ID for the first time, please refer to Annexure II in the circular

3) After Login, click on compliance tab. Under that click on “Ongoing Membership Compliances”



4) Select on 'New Request' for submitting a fresh application



5) Select the desired application to be made under 'Select a form'

The screenshot shows the NSE Clearing dashboard with the 'Ongoing Compliance Application' dropdown menu open. The menu lists various application types, including:

- Application for Status Report
- Application for Duplicate CMD Letter
- Application for Change in Shareholding without change in Control
- Application for Change in Director / Designated/Non-Designated
- Application for NOC for Change in Control - Stage 1
- Application for prior approval for Merger/De-Merger/Amalgamation - Stage 1
- Application for Change in Name - Stage 1
- Application for Change in Constitution - Stage 1
- Application for NOC for Change in Control - Stage 2
- Application for prior approval for Merger/De-Merger/Amalgamation - Stage 2
- Application for Change in Name - Stage 2
- Application for Change in Constitution - Stage 2
- NOC for Setting up Wholly Owned Subsidiary by NCL member
- Information for Change in Registered Office Address
- Information for Change in Compliance Officer
- Application for New Membership Enrollment
- Application for Additional Segment Enrollment
- Application for Segmental Surrender
- Application for Total Surrender

6) Fill up all the required details. Examples of different applications are provided below. In addition, kindly make note of the points below:

- Please be careful with the email address as all communication with respect to the application will be done with the email address provided
- Upload your application form as PDF document only.
- Additional documents can be uploaded in the Supporting documents section, with maximum of 10 PDF documents. Alternatively, ZIP file may be uploaded if required by the member.
- All Uploaded documents should preferably be digitally signed.
- Uploaded documents nomenclature will append with unique id.
- All mandatory fields are marked as *

The screenshot shows the NSE Clearing dashboard with the 'Application for Change in Shareholding without change in Control' form. The form includes the following fields and sections:

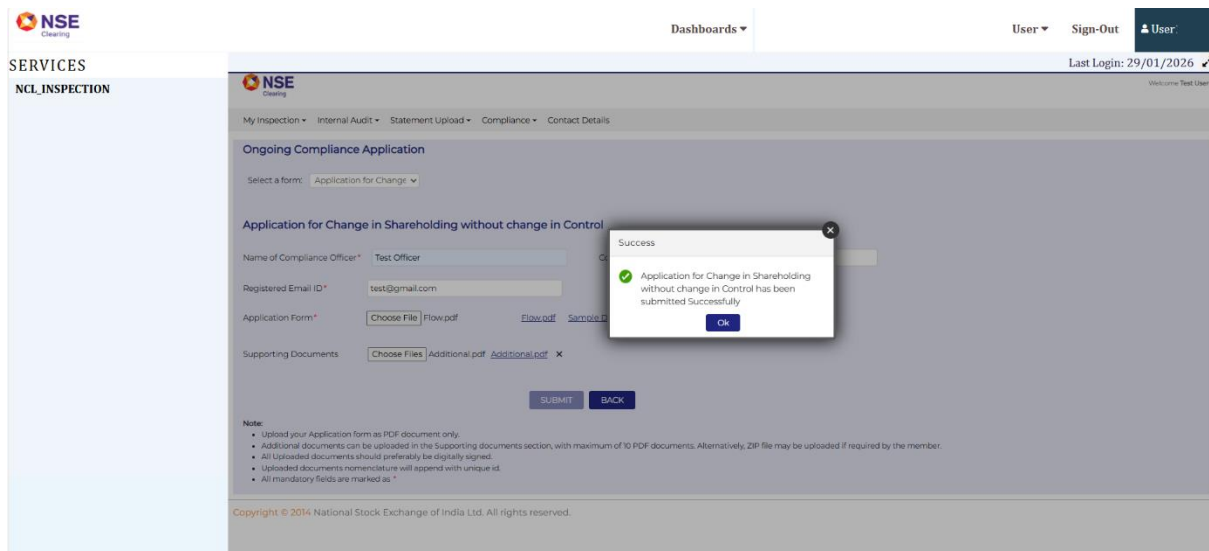
- Select a form:** Application for Change
- Application for Change in Shareholding without change in Control**
- Name of Compliance Officer*** (text input)
- Contact Number*** (text input)
- Registered Email ID*** (text input)
- Application Form*** (Choose File | No file chosen | [Sample Documents](#))
- Supporting Documents** (Choose Files | No file chosen)
- Buttons:** SUBMIT, BACK
- Note:**
 - Upload your Application form as PDF document only.
 - Additional documents can be uploaded in the Supporting documents section, with maximum of 10 PDF documents. Alternatively, ZIP file may be uploaded if required by the member.
 - All Uploaded documents should preferably be digitally signed.
 - Uploaded documents nomenclature will append with unique id.
 - All mandatory fields are marked as *
- Copyright © 2014** National Stock Exchange of India Ltd. All rights reserved.

The screenshot shows the NSE Clearing website interface. The top navigation bar includes the NSE Clearing logo, 'Dashboards', 'User', and 'Sign-Out'. The left sidebar shows 'SERVICES' and 'NCL INSPECTION'. The main content area is titled 'Ongoing Compliance Application' and shows a breadcrumb trail: 'My Inspection > Internal Audit > Statement Upload > Compliance > Contact Details'. The form is for 'Application for New Membership Enablement'. It includes fields for 'Name of Compliance Officer*', 'Contact Number*', 'Registered Email ID*', and 'Segment*'. The 'Segment*' field has radio buttons for 'CM', 'FD', 'CD', 'DD', 'Debt', and 'RRP', with 'CM' selected. There are 'Choose File' buttons for 'Application Form*' and 'Supporting Documents', both showing 'No file chosen'. A 'Sample Documents' link is highlighted with a red box. At the bottom, there are 'SUBMIT' and 'BACK' buttons. A note at the bottom states: 'Note: • Upload your Application form as PDF document only. • Additional documents can be uploaded in the Supporting documents section, with maximum of 10 PDF documents. Alternatively, ZIP file may be uploaded if required by the member. • All Uploaded documents should preferably be digitally signed. • Uploaded documents nomenclature will append with unique id. • All mandatory fields are marked as *'. The footer says 'Copyright © 2016 National Stock Exchange of India Ltd. All rights reserved.'

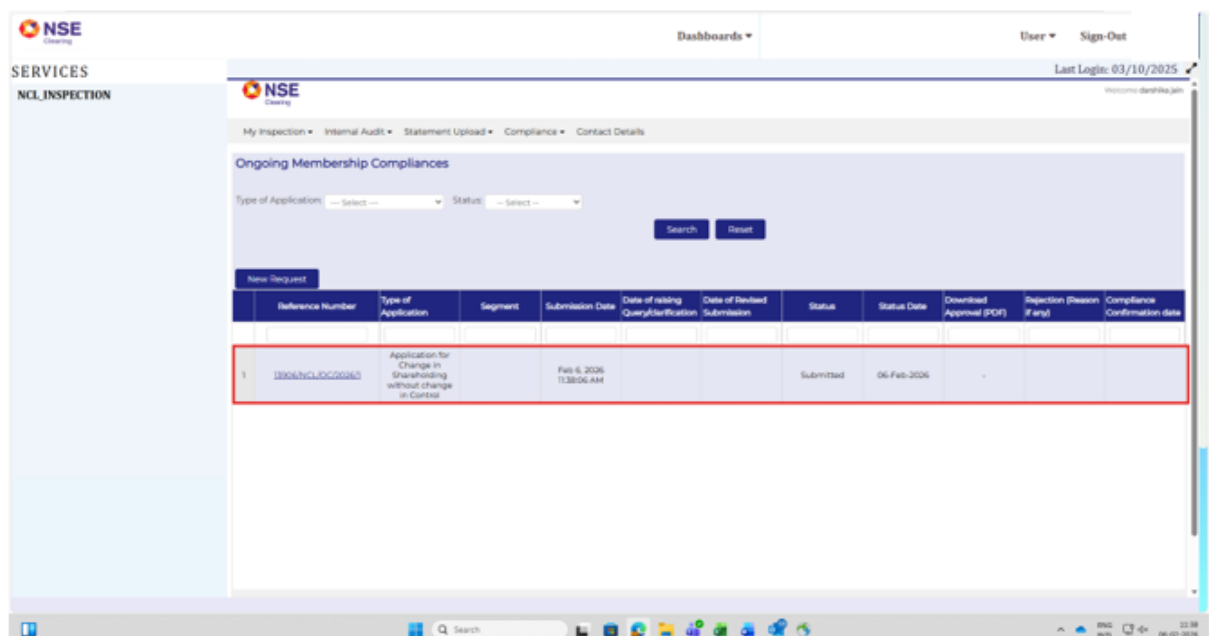
- 7) Draft Documents for the desired application can be accessed by clicking on **'Sample Documents'** which shall redirect to the NSE Clearing Website wherein draft documents can be downloaded.

The screenshot shows the NSE Clearing website interface, similar to the previous one, but for a different application type. The breadcrumb trail is: 'My Inspection > Internal Audit > Statement Upload > Compliance > Contact Details'. The form is titled 'Application for Segmental Surrender'. It includes fields for 'Name of Compliance Officer*', 'Contact Number*', 'Registered Email ID*', and 'Segment*'. The 'Segment*' field has radio buttons for 'CM', 'FD', 'CD', 'DD', 'Debt', and 'RRP', with 'CM' selected. There are 'Choose File' buttons for 'Application Form*' and 'Supporting Documents', both showing 'No file chosen'. A 'Sample Documents' link is highlighted with a red box. At the bottom, there are 'SUBMIT' and 'BACK' buttons. A note at the bottom states: 'Note: • Upload your Application form as PDF document only. • Additional documents can be uploaded in the Supporting documents section, with maximum of 10 PDF documents. Alternatively, ZIP file may be uploaded if required by the member. • All Uploaded documents should preferably be digitally signed. • Uploaded documents nomenclature will append with unique id. • All mandatory fields are marked as *'. The footer says 'Copyright © 2016 National Stock Exchange of India Ltd. All rights reserved.'

- 8) On Successful submission of the desired application, the following popup shall be displayed.



- 9) On Successful submission, the application is assigned a unique reference number and the status is displayed as 'Submitted'.



- 10) Multiple different applications can be submitted and the submissions can be viewed on the 'Ongoing Membership Compliance' tab. The status of the application can be tracked by using filter drop down under 'status' option.

NSE Clearing Dashboards User Sign-Out Last Login: 03/10/2025

My Inspection Internal Audit Statement Upload Compliance Contact Details

Ongoing Membership Compliances

Type of Application: Status: Search Reset

New Request

Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/clarification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
1	Application for Duplicate CMID Letter		Feb 6, 2026 11:24:9 PM			Submitted	06-Feb-2026	-		
2	Application for Change in Shareholding without change in Control		Feb 6, 2026 11:38:06 AM			Submitted	06-Feb-2026	-		

11) Upon submission, the application will be reviewed by the NCL team. In case of any queries raised, the status of the application will change and be displayed as 'Query Raised'

NSE Clearing Dashboards User Sign-Out User Last Login: 29/01/2026

My Inspection Internal Audit Statement Upload Compliance Contact Details

Ongoing Membership Compliances

Type of Application: Status: Search Reset

New Request

Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/clarification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
1	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:21:19 AM	Jan 30, 2026 10:26:19 AM		Query Raised	30-Jan-2026	-		

12) In cases wherein query(s) are raised, click on the reference number to view the application. Upon clicking the reference number, the application can be viewed and the query(s) raised by the NCL team can be viewed by clicking on 'Query History'



SERVICES

NCL INSPECTION

Dashboards

User

Sign-Out

User

Last Login: 29/01/2026

Welcome Test User

My Inspection

Internal Audit

Statement Upload

Compliance

Contact Details

Ongoing Membership Compliances

Type of Application: -- Select --

Status: -- Select --

Search

Reset

New Request

Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/clarification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection Reason (if any)	Compliance Confirmation date
1 MemberCode NCL/OC/2026/8	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:21:19 AM	Jan 30, 2026 10:26:19 AM		Query Raised	30-Jan-2026			



SERVICES

NCL INSPECTION

Dashboards

User

Sign-Out

User

Last Login: 29/01/2026

Welcome Test User

Application for Change in Shareholding without change in Control

Status: Query Raised

Name of Compliance Officer*

Contact Number*

Registered Email ID*

Application Form*

[NCL-CHC-AP-2026-01-29-01.pdf](#)

Supporting Documents

[NCL-CHC-AP-2026-01-29-01-Additional.pdf](#)

Approval Letter

Submit

Back

Query Submission

Choose File

No file chosen

Query Remarks *

Submit Query Remark

0/2000 characters

Query History

Note

- Correct document in pdf or jpg format only
- Document size should not exceed 10 mb
- Uploaded documents nomenclature will appear with original id
- All mandatory fields are marked as *



SERVICES

NCL INSPECTION

Dashboards

User

Sign-Out

User

Last Login: 29/01/2026

Welcome Test User

Name of Compliance Officer*

Contact Number*

Registered Email ID*

Application Form*

[NCL-CHC-AP-2026-01-29-01.pdf](#)

Supporting Documents

[NCL-CHC-AP-2026-01-29-01-Additional.pdf](#)

Approval Letter

Submit

Back

Query Submission

Choose File

No file chosen

Query Remarks *

Submit Query Remark

0/2000 characters

Query History

NCL Admin

2026-01-30 10:26:19 AM

Remarks: Document not valid provide correct document

Note

- Correct document in pdf or jpg format only
- Document size should not exceed 10 mb
- Uploaded documents nomenclature will appear with original id
- All mandatory fields are marked as *

Non-Confidential

- 13) The query can be replied by providing the relevant explanation under 'Query Remark' dialogue box & PDF documents can be attached by selecting 'Choose Files' option. Upon filling the required information/explanation, click on 'Submit Query Reply' which shall display a popup displaying 'Success'

The screenshot shows the NSE Clearing NCL Inspection portal. The 'Query Submission' section is active. The 'Choose Files' button is highlighted with a red box. The 'Query Remark' text area is also highlighted with a red box. The 'SUBMIT QUERY REPLY' button is visible. The 'Query History' section shows a previous query submission by NCL Admin on 2026-01-30 10:26:19.235, with a remark: 'Document not valid provide correct document'.



The screenshot shows the NSE Clearing NCL Inspection portal. The 'Query Submission' section is active. The 'SUBMIT QUERY REPLY' button is highlighted with a red box. The 'Query History' section shows a previous query submission by NCL Admin on 2026-01-30 10:26:19.235, with a remark: 'Document not valid provide correct document'.



The screenshot shows the NSE Clearing NCL Inspection portal. The 'Query Submission' section is active. A 'Success' popup is displayed, indicating that the query reply has been submitted successfully. The 'Query History' section shows a previous query submission by NCL Admin on 2026-01-30 10:26:19.235, with a remark: 'Document not valid provide correct document'.

SERVICES

NCL_INSPECTION

NSE

Trading

My Inspection

Internal Audit

Statement Upload

Compliance

Contact Details

Last Login: 29/01/2026

Welcome Test User

Ongoing Membership Compliances

Type of Application: Select --

Status: Select --

Search

Reset

New Request

	Reference Number	Type of Application	Segment	Submission Date	Date of Raising Quantification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection Reason if any	Compliance Confirmation date
1	NCL Inspection	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:21/9 AM	Jan 30, 2026 10:26/9 AM	Jan 30, 2026 10:30/10 AM	Not Submitted	30 Jan-2026	-		

In case of rejection of application, kindly re-submit your application by clicking on 'New Request' if desirous of applying again.



NSE

Clearing

Dashboard ▾

User ▾

Sign-Out

SERVICES

NCL_INSPECTION

Last Login: 06/02/2026

Welcome Test User

My Inspection ▾

Internal Audit ▾

Statement Upload ▾

Compliance ▾

Contact Details

Ongoing Membership Compliances

Type of Application: Application for Change in ▾

Status: ▾

Search

Reset

New Request

	Reference Number	Type of Application	Segment	Submission Date	Date of missing Query/Qualification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection Reason (any)	Compliance Confirmation date
1	NCL_FIC202605	Application for Change in Contribution - Stage 3		Jan 28, 2026 12:09:38 PM	Jan 28, 2026 12:09:38 PM	Jan 28, 2026 12:09:47 PM	Rejected				
2	NCL_FIC202606	Application for Change in Contribution - Stage 3		Jan 28, 2026 12:07:25 PM	Jan 28, 2026 12:07:43 PM	Jan 28, 2026 12:08:06 PM	Approved				



SERVICES

NCL_INSPECTION

Last Login: 29/01/2026

Status : Approved, Kindly Submit Compliance Status

Name of Compliance Officer*

Contact Number*

Registered Email ID*

Application Form*

[NCL-OMC-AE-eWUWc_Flow.pdf](#)

Supporting Documents

[NCL-OMC-SO-BWLD9be_Additional.pdf](#)

Approval Letter

[NCL-OMC-AI-BcopyTaw_Apapproval Letter.pdf](#)

SUBMIT

BACK

Compliance

16) For applications having Post Compliance Requirements, the status shall be displayed as 'Approved, Kindly Submit Compliance Status'. The Approval Letter can be downloaded by clicking on the reference number and downloading the Approval Letter.

The screenshot shows the NSE Clearing dashboard. Under the 'Ongoing Membership Compliances' section, there is a table with the following columns: Reference Number, Type of Application, Segment, Submission Date, Date of raising Query/Verification, Date of Revised Submission, Status, Status Date, Download Approval (PDF), Rejection (Reason if any), and Compliance Confirmation date. The first row of the table has a red box around the 'Status' column, which contains the text 'Approved, Kindly Submit Compliance Status'.

Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/Verification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
NCL-OC-002678	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:21:19 AM	Jan 30, 2026 10:26:19 AM	Jan 30, 2026 10:31:10 AM	Approved, Kindly Submit Compliance Status	30-Jan-2026	NCL-OMC-AL-BovvTww-Approval Letter.pdf		

17) Upon completion of Post Compliance Requirements, required confirmation can be uploaded by clicking on the reference number and filling the required remarks in the 'Compliance Remark' dialogue box. Click on 'Submit Compliance' once the details are uploaded which shall display a popup displaying 'Success'

The screenshot shows the 'Compliance Remark' dialogue box. It contains fields for 'Name of Compliance Officer', 'Contact Number', 'Registered Email ID', 'Application Form', 'Supporting Documents', and 'Approval Letter'. Below these fields are buttons for 'SUBMIT', 'BACK', and 'Compliance'. A red box highlights the 'Compliance Confirmation' section, which includes a 'Choose File' button, a 'Compliance Remark' text area, and a 'SUBMIT COMPLIANCE' button.



SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

NSE
Clearing

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

Application for Change in Shareholding without change in Control

Status : Approved, Kindly Submit Compliance Status

Name of Compliance Officer*

Registered Email ID*

Application Form*

Supporting Documents

Approval Letter [NCL OMC AL BroomTw Approval Letter.pdf](#)

Success

✔ Compliance confirmation for Application for Change in Shareholding without change in Control has been submitted successfully

18) If the reply is found to be satisfactory, the status will be displayed as ‘Approved’ and the application shall be completed. In case of Post Submission requirement is found to be not satisfactory, the status will be displayed as ‘Re-Submit Compliance Confirmation’

SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

NSE
Clearing

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

Ongoing Membership Compliances

Type of Application: Application for Change Status: -- Select --

	Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/Clarification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
1	NCL OMC 2026/08	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:219 AM	Jan 30, 2026 10:2619 AM	Jan 30, 2026 10:310 AM	Approved		NCL OMC AL BroomTw Approval Letter.pdf		Jan 30, 2026 10:38:43 AM

OR

SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

NSE
Clearing

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

Ongoing Membership Compliances

Type of Application: -- Select -- Status: -- Select --

	Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/Clarification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
1	NCL OMC 2026/79	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:4135 AM	Jan 30, 2026 10:4154 AM	Jan 30, 2026 10:4209 AM	Re-Submit Compliance confirmation	30-Jan-2026	NCL OMC AL BroomTw Approval Letter.pdf		Jan 30, 2026 10:42:48 AM

19) In Case of Re-Submission of Compliance Confirmation, click on the reference number and filling the required remarks in the ‘Compliance Remark’ dialogue box. Click on ‘Submit Compliance’ once the details are uploaded which shall display a popup displaying ‘Success’

SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

Name of Compliance Officer* Contact Number*

Registered Email ID*

Application Form* [NCL-OMC-AE-sDOOGE1-Additional.pdf](#)

Supporting Documents

Approval Letter [NCL-OMC-AL-bPUQC6-Approval Letter.pdf](#)

Compliance Confirmation *

No file chosen

Compliance Remark *

0/2000 characters

Compliance History >

Created Date : 30-01-2026 10:42:48 AM

Created By : User

Uploaded File : [NCL-OMC-CD-9xw3eU-Compliance Confirmation.pdf](#)

Compliance Remark :

Compliance confirmation attached



SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

Application for Change in Shareholding without change in Control

Status : Re-Submit Compliance confirmation

Name of Compliance Officer* Test Officer

Registered Email ID* test@gmail.com

Application Form*

Supporting Documents

Approval Letter [NCL-OMC-AL-bPUQC6-Approval Letter.pdf](#)

Compliance History >

Note:

- Upload document in pdf or zip format only.
- Document size should not exceed 10 MB.
- Uploaded documents nomenclature will append with unique id.
- All mandatory fields are marked as *

Success

✓ Compliance confirmation for Application for Change in Shareholding without change in Control has been submitted successfully

20) Once revised compliance requirements are satisfactory, the status will be displayed as 'Approved' and the application shall be completed.

SERVICES
NCL_INSPECTION

Last Login: 29/01/2026

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

Ongoing Membership Compliances

Type of Application: Application for Change • Status: -- Select --

	Reference Number	Type of Application	Segment	Submission Date	Date of raising Query/Verification	Date of Revised Submission	Status	Status Date	Download Approval (PDF)	Rejection (Reason if any)	Compliance Confirmation date
1	NCLDC/2026/08	Application for Change in Shareholding without change in Control		Jan 30, 2026 10:21:19 AM	Jan 30, 2026 10:26:19 AM	Jan 30, 2026 10:31:10 AM	Approved		NCL-OMC-AL-BoomIn-Approval Letter.pdf		Jan 30, 2026 10:38:43 AM