

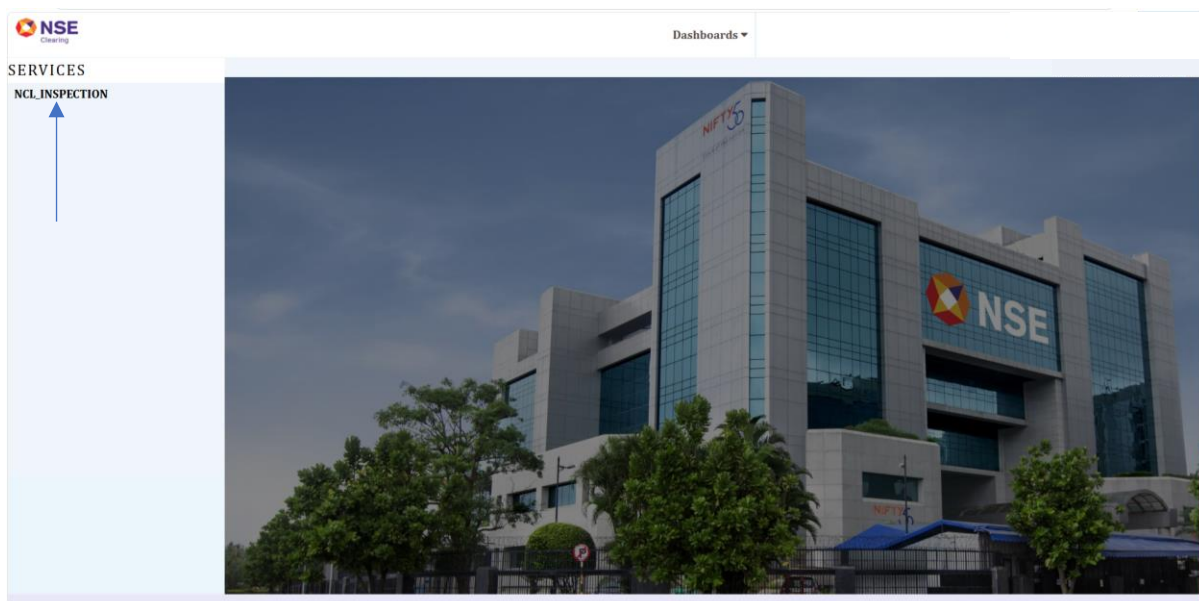
ANNEXURE 2

SEPT BY STEP USER MANUAL – SUBMISISON OF ASSOCIATE DETAILS BY CLEARING MEMBERS

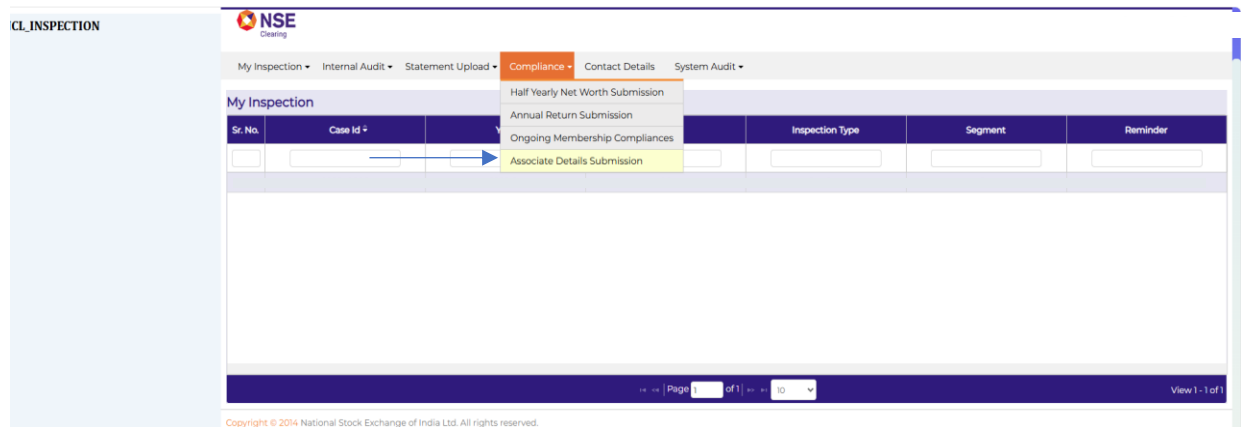
- 1) Login on link <https://ims.connect2nsccl.com/NCLMemberPortal/> & put User ID, Member Code, Captcha and Password –



- 2) After Login, click on NCL_INSPECTION

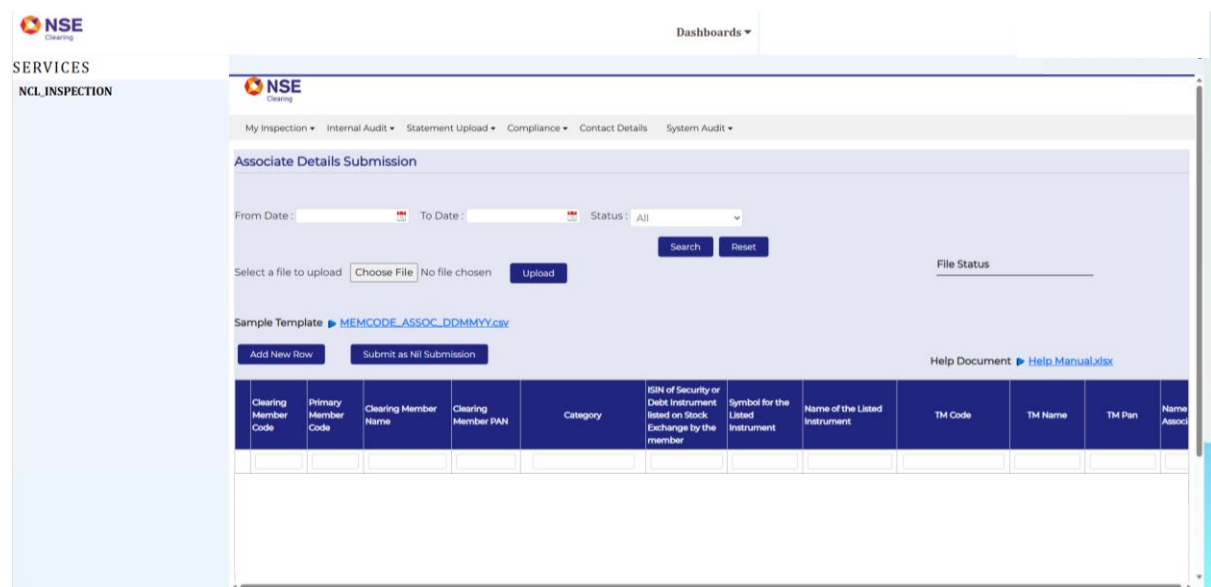


3) Go to the Compliance tab. Under the compliance tab select “Associate Details Submission”



The screenshot shows the NSE Clearing web application interface. The 'Compliance' tab is selected in the top navigation bar. A dropdown menu is open, showing options: 'Half Yearly Net Worth Submission', 'Annual Return Submission', 'Ongoing Membership Compliances', and 'Associate Details Submission' (which is highlighted in yellow). Below the menu is a table with columns: 'Sr. No.', 'Case Id', 'Inspection Type', 'Segment', and 'Reminder'. The table is currently empty. At the bottom, there is a pagination bar showing 'Page 1 of 1' and a 'View 1 - 1 of 1' indicator.

4) The following screen shall appear:



The screenshot shows the 'Associate Details Submission' screen in the NSE Clearing application. The top navigation bar includes 'My Inspection', 'Internal Audit', 'Statement Upload', 'Compliance', 'Contact Details', and 'System Audit'. The 'Compliance' tab is active. The main content area has a header 'Associate Details Submission'. Below the header, there are search filters: 'From Date', 'To Date', and 'Status' (set to 'All'). There are 'Search' and 'Reset' buttons. A file upload section shows 'Select a file to upload', a 'Choose File' button, 'No file chosen', and an 'Upload' button. Below this, there is a 'Sample Template' link pointing to 'MEMCODE_ASSOC_DDMMYY.csv'. There are also buttons for 'Add New Row' and 'Submit as Nil Submission'. A 'Help Document' link points to 'Help Manual.xlsx'. At the bottom, there is a table with the following columns: 'Clearing Member Code', 'Primary Member Code', 'Clearing Member Name', 'Clearing Member PAN', 'Category', 'ISIN of Security or Debt Instrument listed on Stock Exchange by the member', 'Symbol for the Listed Instrument', 'Name of the Listed Instrument', 'TM Code', 'TM Name', 'TM Pan', and 'Name Associ'. The table is currently empty.

5) To add the Associate details, click on Add New Row

IRVICES
CL_INSPECTION

NSE Clearing

My Inspection ▾ Internal Audit ▾ Statement Upload ▾ Compliance ▾ Contact Details ▾ System Audit ▾

Associate Details Submission

From Date: To Date: Status:

Search Reset

Select a file to upload No file chosen

Sample Template [MEMCODE_ASSOC_DDMYY.csv](#)

File Status [Help Document](#) [Help Manual.pdf](#)

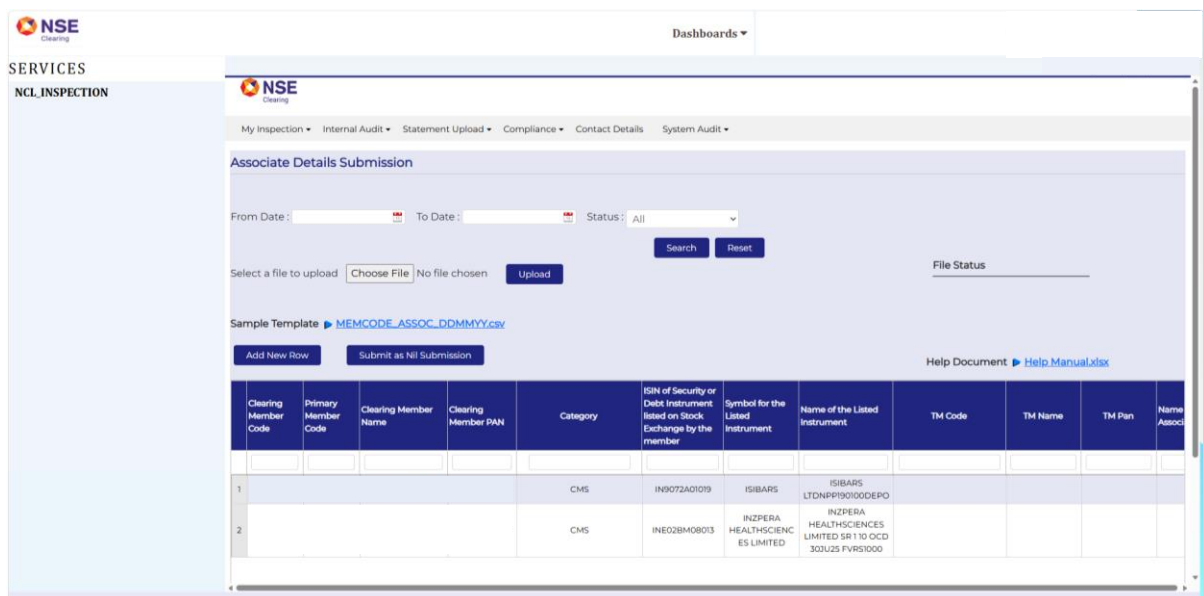
Clearing Member Code	Primary Member Code	Clearing Member Name	Clearing Member PAN	Category	ISIN of Security or Debt Instrument based on Stock Exchange by the member	Symbol for the Listed Instrument	Name of the Listed Instrument	TM Code	TM Name	TM Pan	Name Associ
				Select Category							

- The fields Clearing Member Code, Primary Member Code, Clearing Member Name and Clearing Member PAN shall auto populate based on the user's login credentials.
- Select the category of Submission viz:

Category Name	Description
CMS – Clearing Member for Self	The details of all the listed Security or listed Debt Instrument of the Clearing Member.
CMA – Clearing Member for its Associates	1) The details of all the group and associate <i>entities</i> of the Clearing member 2) From the list above, in case if the group and associate entities have any listed Security or listed Debt Instrument, the same is required to be disclosed.
TMS – Trading Member for Self (For this purpose, the Trading Member shall mean Trading members for whom the clearing member is clearing trades)	1) The details of all the Trading Members. 2) From the list above, in case if the Trading Members have any listed

Category Name	Description
	Security or listed Debt Instrument, the same is required to be disclosed.
TMA – Trading Member for its Associates	1) The details of all the group and associate <i>entities</i> of the Trading Members 2) From the list above, in case if the group and associate entities have any listed Security or listed Debt Instrument, the same is required to be disclosed.

- On selection of ISIN from the dropdown, the symbol and name of the listed instrument shall auto-populate
- In case of submission of Associate details for Trading Member associated with the clearing member, the TM Code can be selected from the drop down. The TM Name and TM PAN shall auto populate basis the TM code selected.
- In case of submission of Associate details where the PAN of associate is not available, members are required to provide the reason why the PAN is not available for the entity.
- Help Manual for fields to be filled in for each category is provided can be downloaded from Portal.



The screenshot shows the NSE Clearing Associate Details Submission portal. The interface includes a sidebar with 'SERVICES' and 'NCL INSPECTION'. The main content area has a navigation bar with 'My Inspection', 'Internal Audit', 'Statement Upload', 'Compliance', 'Contact Details', and 'System Audit'. Below this is the 'Associate Details Submission' section, which includes filters for 'From Date', 'To Date', and 'Status'. There are buttons for 'Search', 'Reset', 'Choose File', 'Upload', and 'File Status'. A 'Sample Template' link is provided. Below the filters is a table with columns: Clearing Member Code, Primary Member Code, Clearing Member Name, Clearing Member PAN, Category, ISIN of Security or Debt Instrument listed on Stock Exchange by the member, Symbol for the Listed Instrument, Name of the Listed Instrument, TM Code, TM Name, TM Pan, and Name Assoc. The table contains two rows of data.

Clearing Member Code	Primary Member Code	Clearing Member Name	Clearing Member PAN	Category	ISIN of Security or Debt Instrument listed on Stock Exchange by the member	Symbol for the Listed Instrument	Name of the Listed Instrument	TM Code	TM Name	TM Pan	Name Assoc
				CMS	IN9072A01079	ISIBARS	ISIBARS LTDNPP910100DEPO				
				CMS	INE02BM08013	INZPERA HEALTHSCIENCES LIMITED	INZPERA HEALTHSCIENCES LIMITED SR1110 OCD 30JUZ5 FVRS1000				

- If associate PAN is not available, mention the reason in “Reason for PAN not available”

NSE Clearing Dashboards ▾

SERVICES
NCL_INSPECTION

Associate Details Submission

From Date: To Date: Status: Search Reset

Select a file to upload Choose File No file chosen Upload File Status

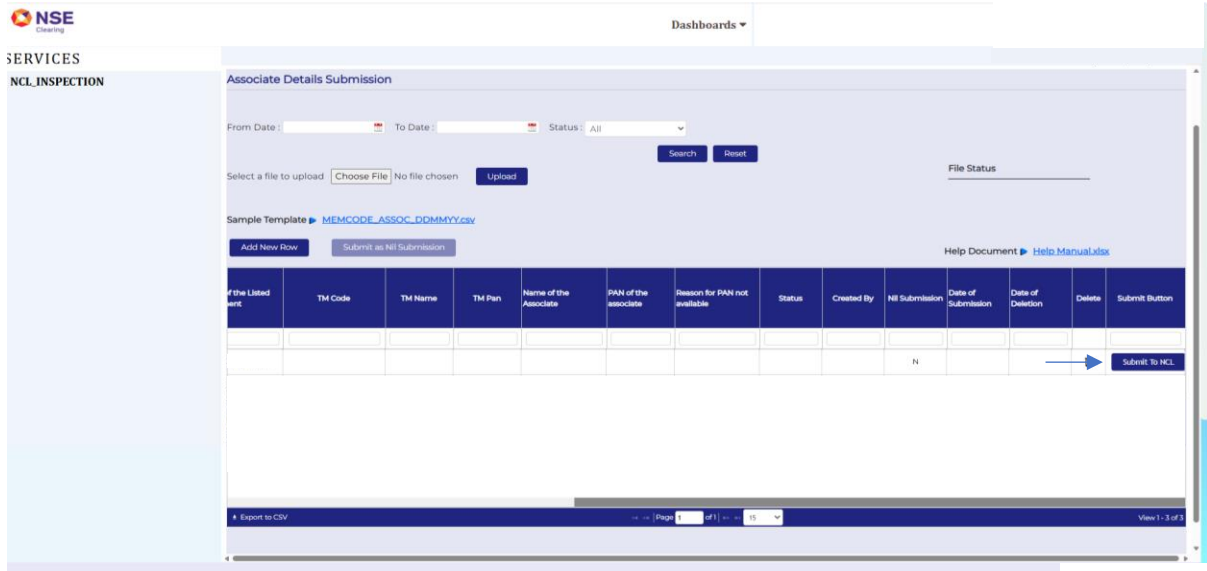
Sample Template [MEMCODE_ASSOC_DDMMYY.csv](#)

Add New Row Submit as Nil Submission Help Document [Help Manual.xlsx](#)

ISIN of Security or Debt Instrument listed on Stock Exchange by the Issuer	Symbol for the Listed Instrument	Name of the Listed Instrument	TM Code	TM Name	TM Pan	Name of the Associate	PAN of the Associate	Reason for PAN not available	Status	Created By	Nil Submission	Date of Submission
						XVZ LTD		No PAN			N	
									DELETED	123456	N	Sep 24, 2016 4:30:47
									DELETED	123456	N	Sep 17, 2016 12:03:11
									DELETED	123456	N	Sep 17, 2016 12:55:34

[Export to CSV](#) Page 1 of 1 View 1 of 4

6) On filling in the details, click on submit to NCL



From Date: To Date: Status:

Select a file to upload: No file chosen

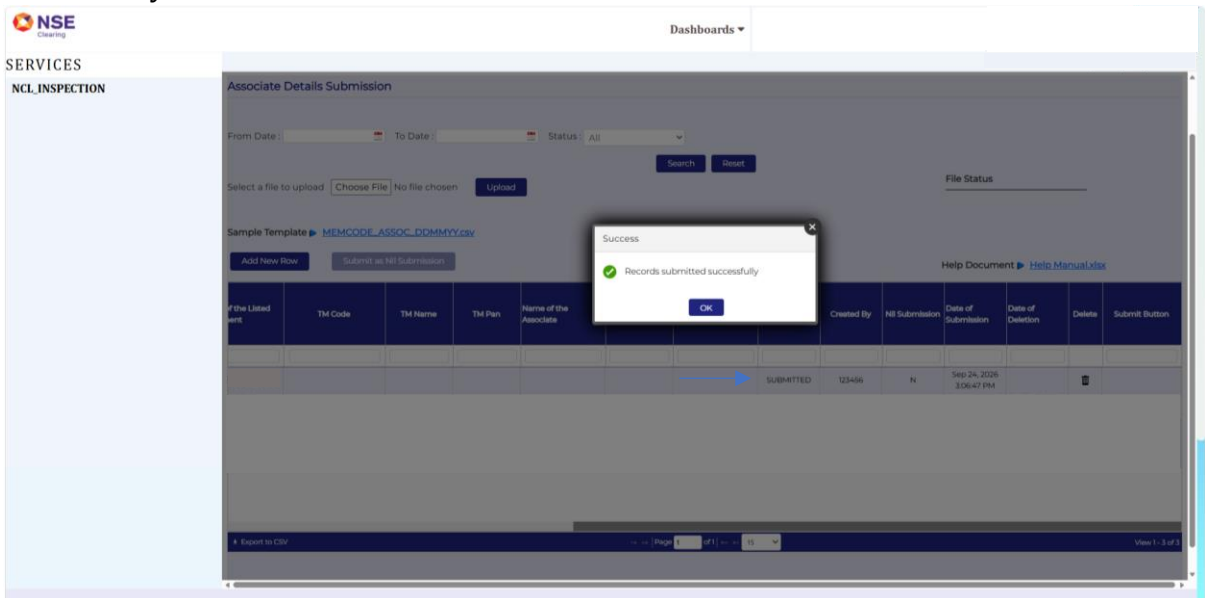
Sample Template: [MEMCODE_ASSOC_DDMYY.csv](#)

Help Document: [Help Manual.xlsx](#)

If the Listed	TM Code	TM Name	TM Pan	Name of the Associate	PAN of the Associate	Reason for PAN not available	Status	Created By	Nil Submission	Date of Submission	Date of Deletion	Delete	Submit Button
									N				Submit to NCL

Page 1 of 1 View 1 - 3 of 3

The following pop-up will appear, indicating that the submission has been completed successfully.



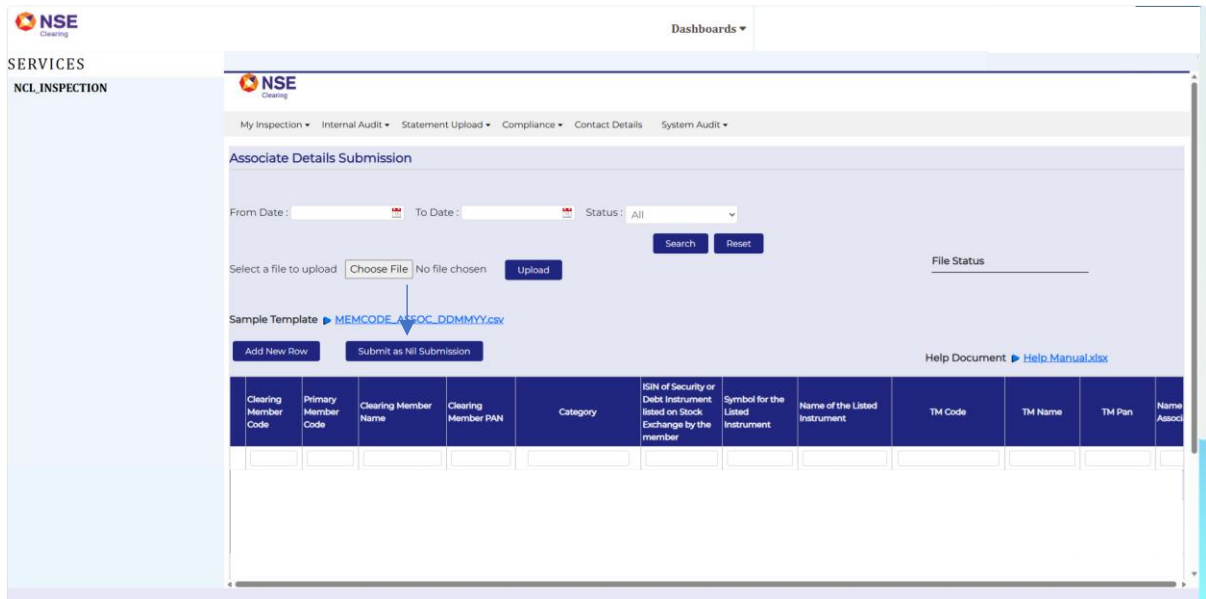
Success

Records submitted successfully

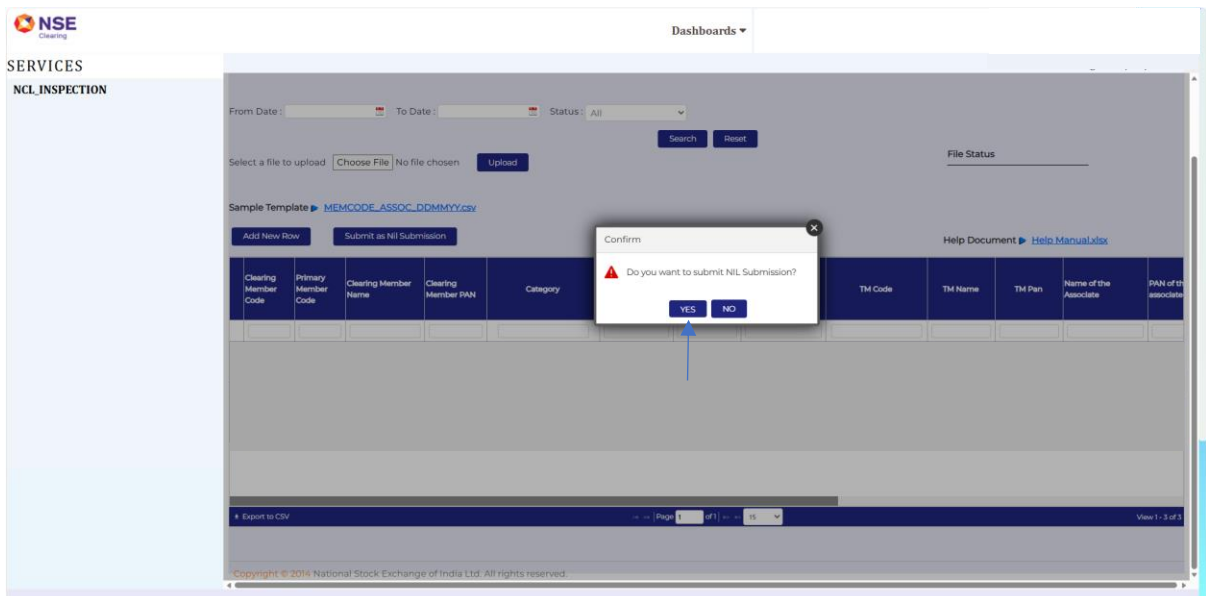
If the Listed	TM Code	TM Name	TM Pan	Name of the Associate	PAN of the Associate	Reason for PAN not available	Status	Created By	Nil Submission	Date of Submission	Date of Deletion	Delete	Submit Button
							SUBMITTED	123456	N	Sep 24, 2020 3:06:47 PM			

Page 1 of 1 View 1 - 3 of 3

- 7) In case of NIL associates, the same is also required to be intimated to the Clearing Corporation under CMS. Member can select option “Submit as Nil Submission”. The Clearing Member shall be allowed to provide Member NIL Submissions through front end only.

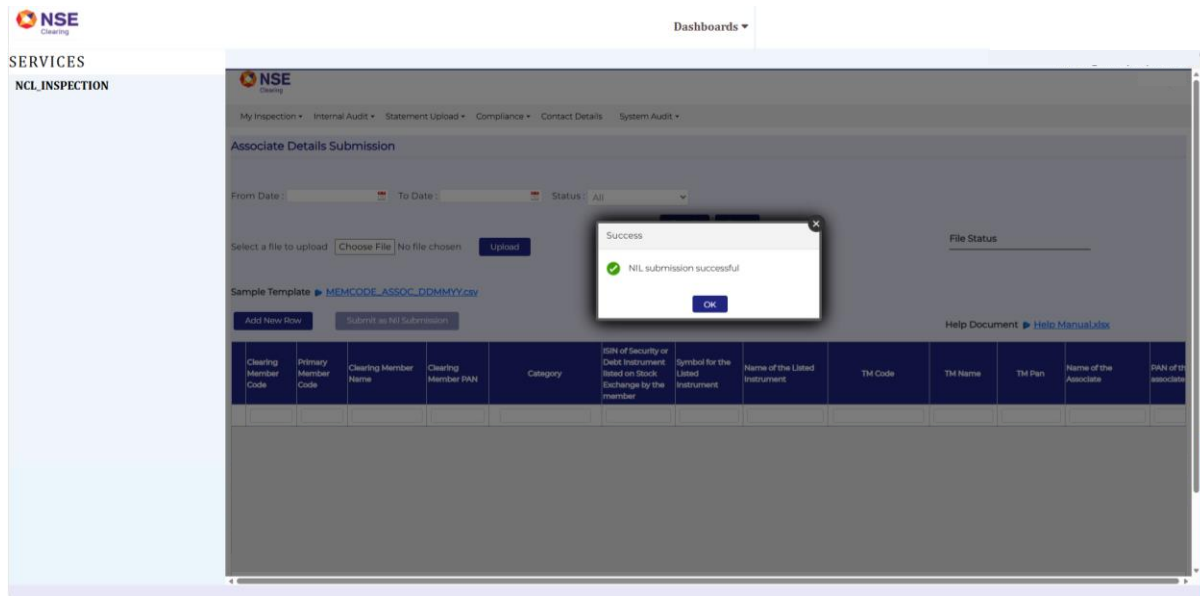


The screenshot shows the 'Associate Details Submission' form in the NSE Clearing portal. The form includes fields for 'From Date', 'To Date', and 'Status' (set to 'All'). There are 'Search' and 'Reset' buttons. Below these is a file upload section with a 'Choose File' button, 'No file chosen' text, and an 'Upload' button. A 'Sample Template' link points to 'MEMCODE_ASSOC_DDMYY.csv'. There are 'Add New Row' and 'Submit as Nil Submission' buttons. A 'Help Document' link points to 'Help Manual.xlsx'. Below the form is a table with the following columns: Clearing Member Code, Primary Member Code, Clearing Member Name, Clearing Member PAN, Category, ISIN of Security or Debt Instrument listed on Stock Exchange by the member, Symbol for the Listed Instrument, Name of the Listed Instrument, TM Code, TM Name, TM Pan, and Name of the Associate.

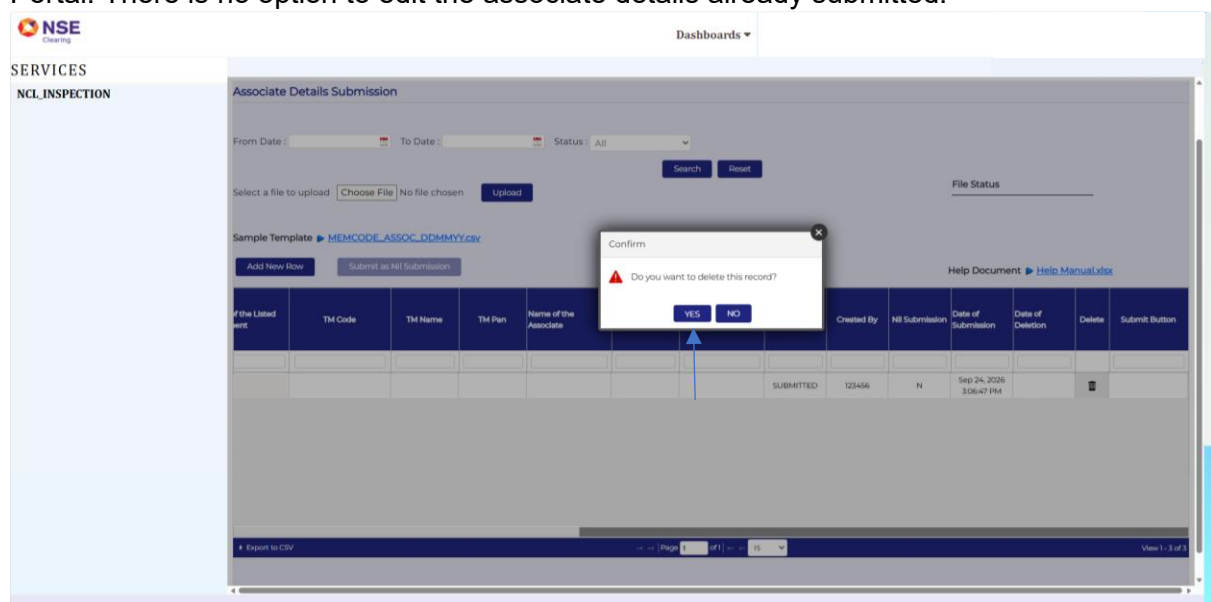


This screenshot shows the same 'Associate Details Submission' form, but with a confirmation dialog box open. The dialog box has a title 'Confirm' and a message 'Do you want to submit NIL Submission?'. It has 'YES' and 'NO' buttons. The 'Submit as Nil Submission' button on the form is highlighted with a blue arrow pointing to the 'YES' button in the dialog. The table below the form is partially visible, showing the same columns as in the previous screenshot.

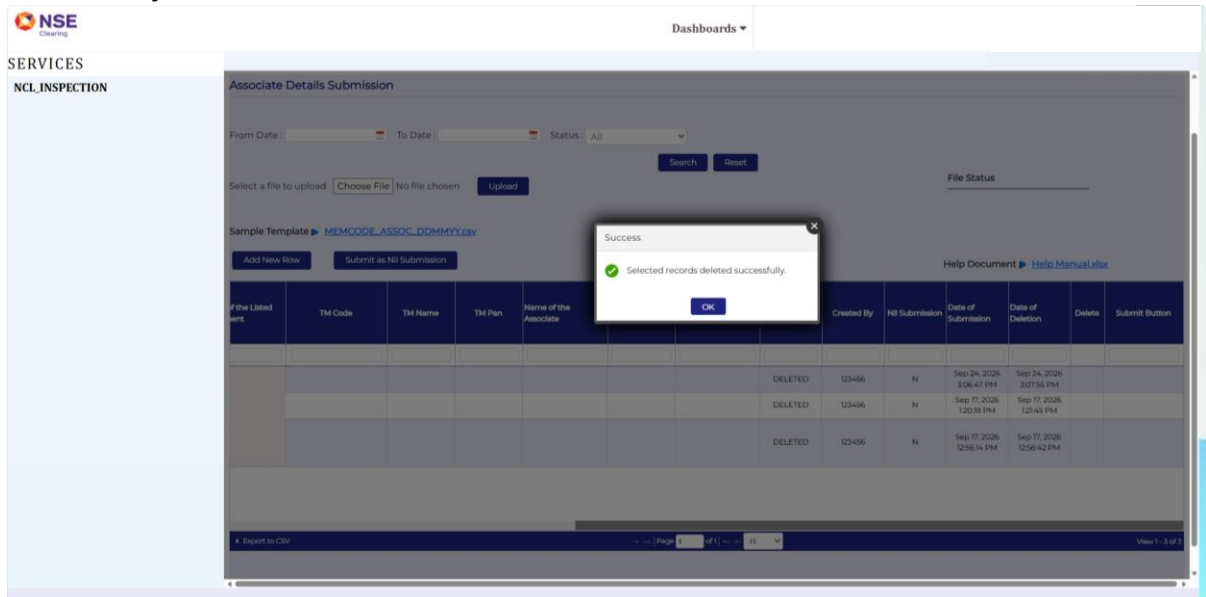
The following pop-up will appear, indicating that the NIL submission has been successfully updated.



- 8) Members are requested to review the associate details displayed on the portal. In case of changes in Associate details i.e deletion of existing submissions, members can select on the delete icon () on the row and delete the record. Members can delete or add record in the Portal. There is no option to edit the associate details already submitted.

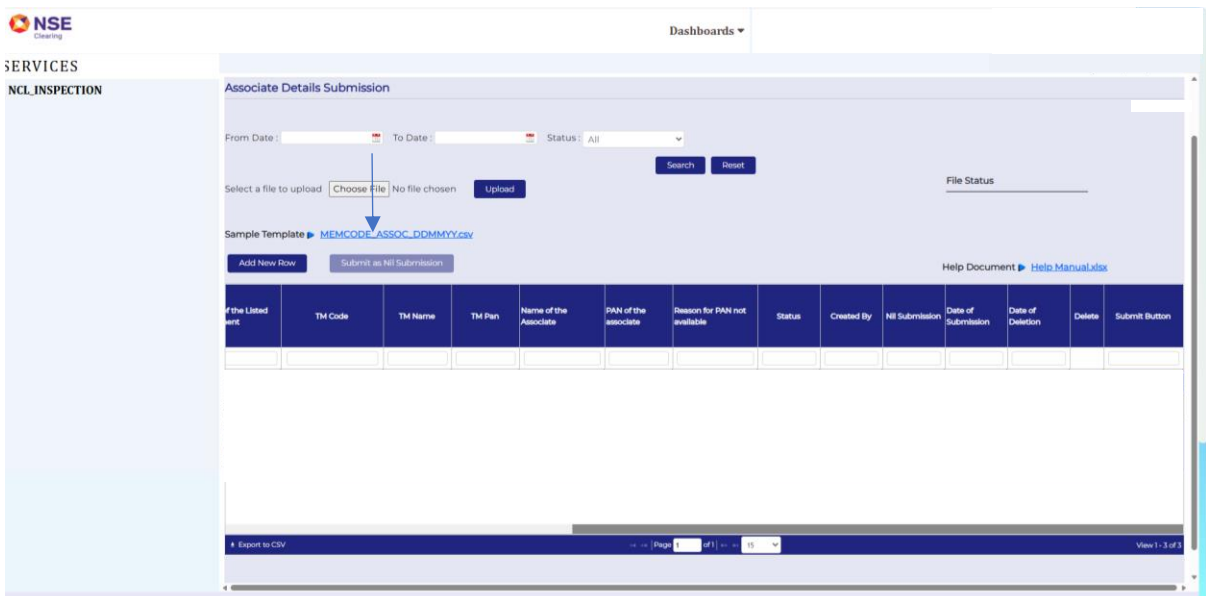


The following pop-up will appear, indicating that the records has been deleted successfully.

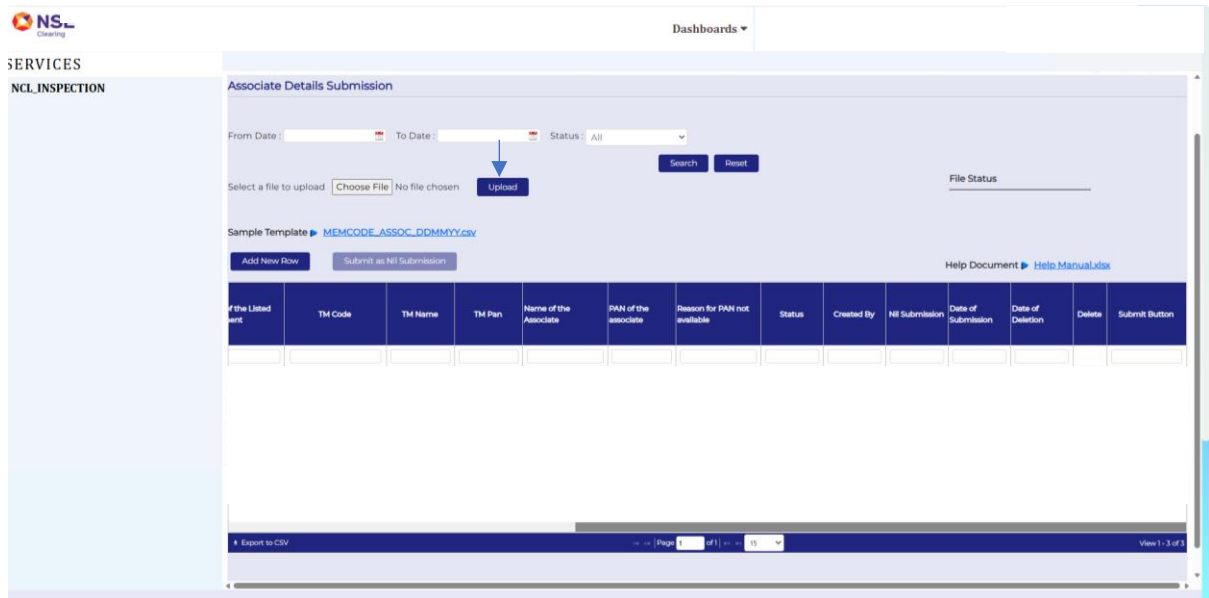


Bulk Upload Functionality:

- 9) For ease of submitting multiple records, member have been provided a functionality to upload multiple records through the bulk upload functionality process. The Clearing Member shall be allowed to provide Member NIL Submissions through front end only.

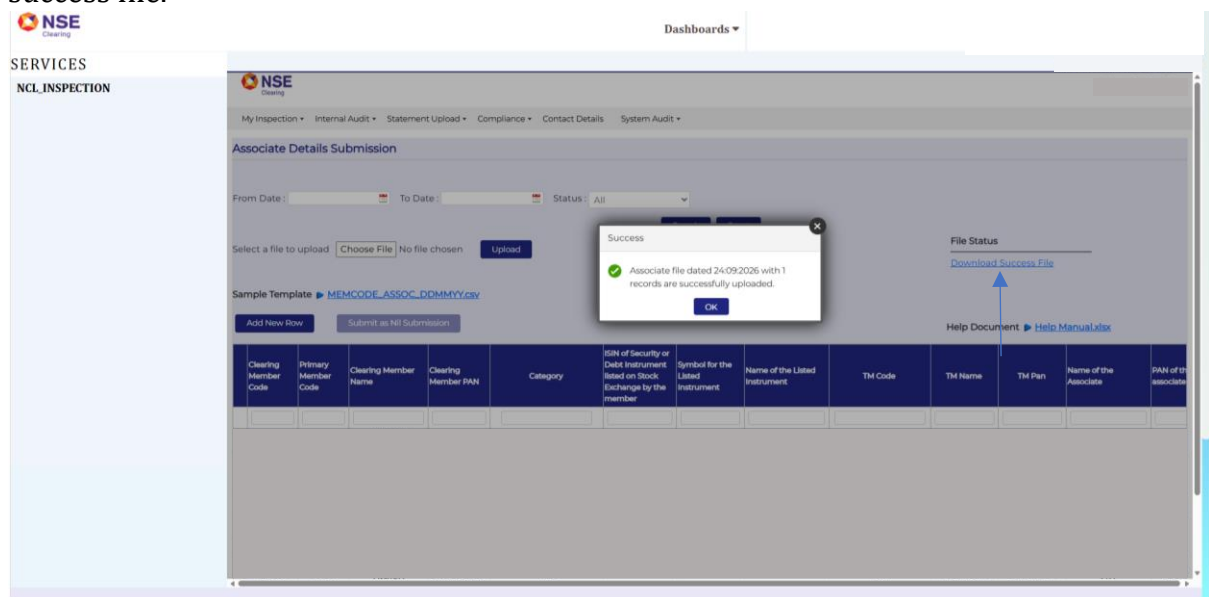


- 10) Members can download Template from the portal for filling in the details for bulk upload.
- 11) Members shall upload the file on filling in the requisite details on the portal
Ensure that the file name follows the format “MEMCODE_ASSOC_DDMMYY”



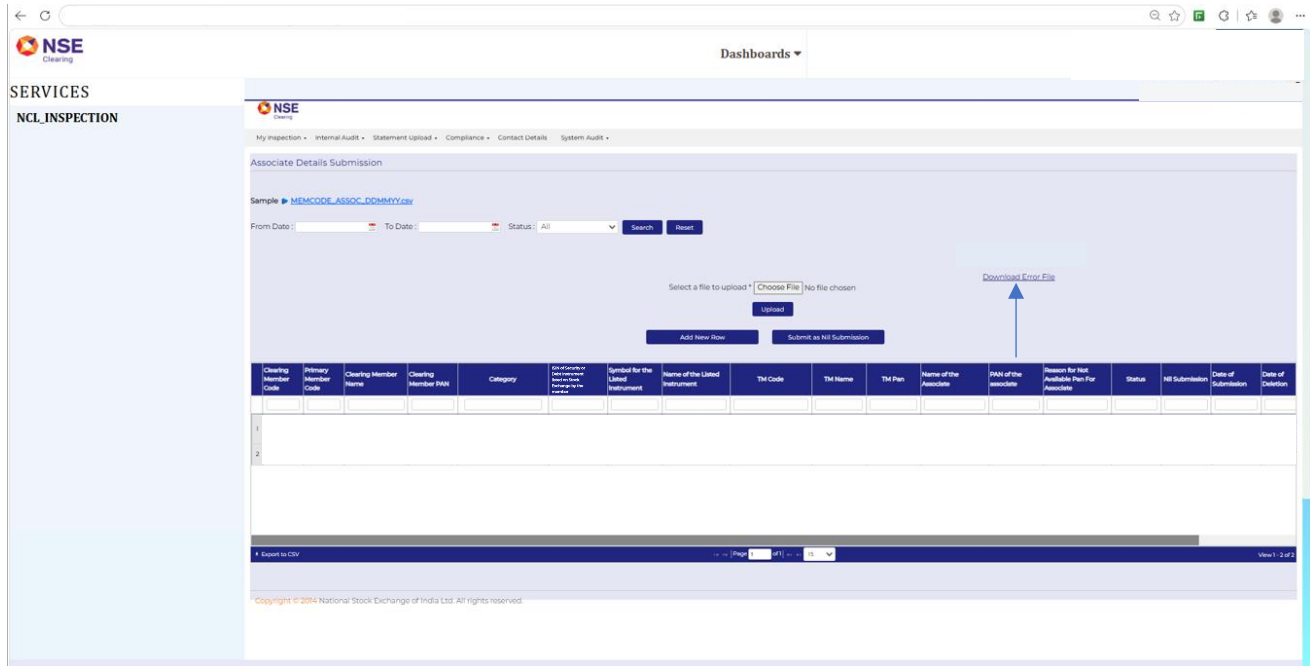
The screenshot shows the 'Associate Details Submission' page on the NSE Clearing portal. It includes a sidebar with 'SERVICES' and 'NCL INSPECTION'. The main area has filters for 'From Date', 'To Date', and 'Status'. Below these are buttons for 'Choose File', 'No file chosen', and 'Upload'. A 'Sample Template' link points to 'MEMCODE_ASSOC_DDMMYY.csv'. There are also buttons for 'Add New Row' and 'Submit as Nil Submission'. A table with 14 columns is visible, including 'Name of the Associate', 'PAN of the Associate', 'Reason for PAN not available', 'Status', 'Created By', 'Nil Submission', 'Date of Submission', 'Date of Deletion', 'Delete', and 'Submit Button'. At the bottom, there is a 'Export to CSV' button and a pagination bar showing 'Page 1 of 1'.

- 12) On uploading the file, for the records updated successfully, members shall get an alert regarding number of records successfully updated. Member shall be able to view the success file.



This screenshot shows the same 'Associate Details Submission' page as the previous one, but with a 'Success' modal alert displayed. The alert message states: 'Associate file dated 24-09-2026 with 1 records are successfully uploaded.' with an 'OK' button. In the background, the 'File Status' section now includes a 'Download Success File' link. The table below the alert has a different set of columns, including 'Clearing Member Code', 'Primary Member Code', 'Clearing Member Name', 'Clearing Member PAN', 'Category', 'RISN of Security or Debt Instrument Issued on Stock Exchange by the member', 'Symbol for the Listed Instrument', 'Name of the Listed Instrument', 'TM Code', 'TM Name', 'TM Pan', 'Name of the Associate', and 'PAN of the Associate'.

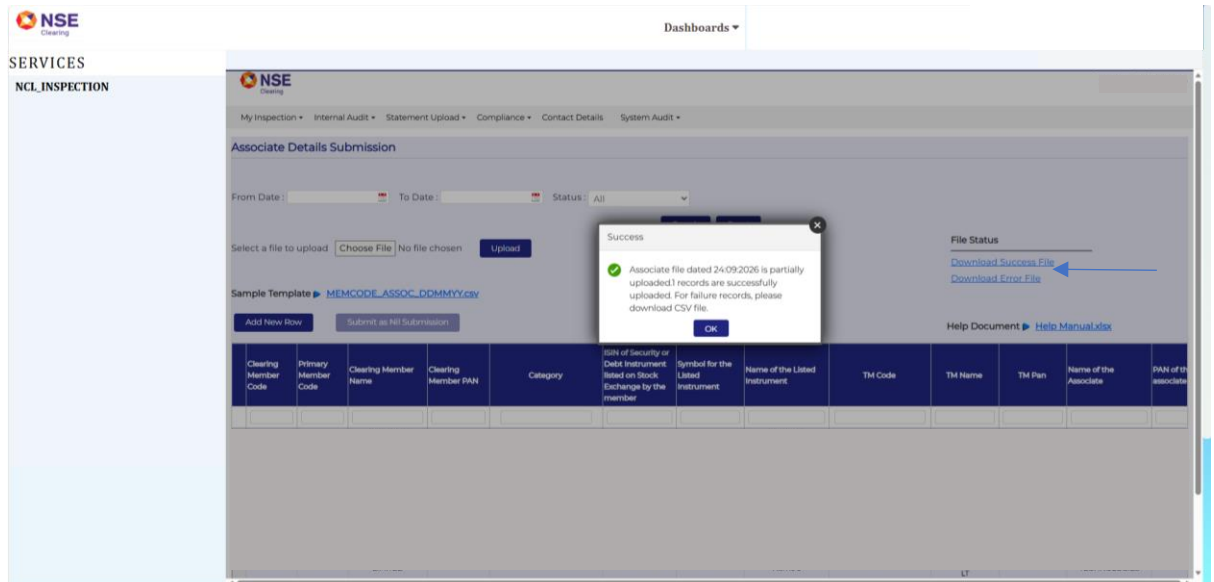
- 13) On uploading the file, for the records which could not be uploaded, members shall get a failure alert. Member shall be able to view the failure file with reasons for failure.



The screenshot shows the 'Associate Details Submission' page in the NSE Clearing portal. It includes a file upload section with a 'Choose File' button and an 'Upload' button. Below this is a table with columns for various submission details. A blue arrow points to a 'Download Error File' link in the top right corner of the table area.

Clearing Member Code	Primary Member Code	Clearing Member Name	Clearing Member PAN	Category	Instrument of Security or Debt Instrument Issued on Stock Exchange by the member	Symbol for the Listed Instrument	Name of the Listed Instrument	TM Code	TM Name	TM Pan	Name of the Associate	PAN of the Associate	Reason for Not Available Pan For Associate	Status	NS Submission	Date of Submission	Date of Creation
1																	
2																	

- 14) In case of multiple entries, some records may be uploaded successfully while others may result in an error. Success records shall get added to the submissions details. The member shall be able to view both the success file and the error file separately.

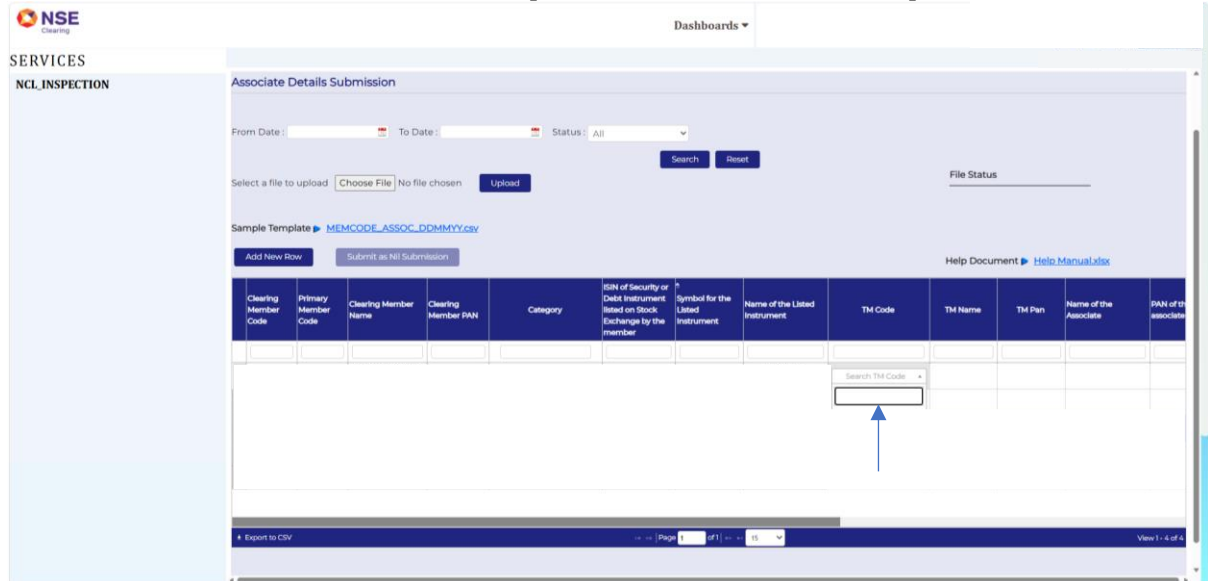


The screenshot shows the same 'Associate Details Submission' page, but with a 'Success' alert box displayed. The alert states: 'Associate file dated 24-09-2026 is partially uploaded. 1 records are successfully uploaded. For failure records, please download CSV file.' Below the alert, there are links for 'Download Success File' and 'Download Error File'. A blue arrow points to the 'Download Error File' link.

Clearing Member Code	Primary Member Code	Clearing Member Name	Clearing Member PAN	Category	Instrument of Security or Debt Instrument Issued on Stock Exchange by the member	Symbol for the Listed Instrument	Name of the Listed Instrument	TM Code	TM Name	TM Pan	Name of the Associate	PAN of the Associate

15) For entering TM details, the member must select the TM code from the dropdown. The remaining fields TM Name and TM PAN shall auto populate.

- In case TM code not found in the drop down, contact membership@nsccl.co.in



16) In case if ISIN or TM code is not available for selection, members may send the issues to “membership@nsccl.co.in” with the subject line “NCL Associate Details Submission– Issues in Reporting “Name of the Clearing member name and Member code” along with screenshot.

17) MIS Download Functionality

Members have an option to download the complete submission details from the Portal for ease of reviewing the submissions. Members can click on Export to CSV for getting the complete details of the submissions.

SERVICES

NCL_INSPECTION

Dashboards ▾

NSE

National Stock Exchange of India

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

Associate Details Submission

Sample ▶ [MEMCODE_ASSOC_DDMMYYview](#)

From Date: To Date: Status: All ▾ Search Reset

[Download Success File](#)
[Download Error File](#)

Select a file to upload * Choose File No file chosen

Upload

Add New Row Submit as Nil Submission

Clearing Member Code	Primary Member Code	Clearing Member Name	Clearing Member PAN	Category	ESN	Symbols for the Listed Instrument	Name of the Listed Instrument	TIN Code	Tin Name	Tin Pan	Name of the Associate	PAN of the associate	Reason for Not Providing Pan For Associate	Status	Nil Submission	Date of Submission	Date of Deletion
1.																	
2.																	

View: 2 of 2

Export to CSV Page 1 of 1

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