

1.1 QUARTERLY COMPLIANCE

Trading members need to submit compliance certificate regarding limits setup at various levels such as Quantity, Value, User ID, Branch ID, etc. for every quarter. Using this module, user can submit the details as well as view the current and previous reports.

1.1.1 Quarterly Compliance Certificate

[A] Open 'Quarterly Compliance Certificate' screen:

1. Login with correct member credentials.
2. Click on 'Compliances'.
3. Go to 'Quarterly Compliance'.
4. Select 'Quarterly Compliance Certificate' & click on it.

Below screen will get open & user has to fill all editable fields. This form will contain dropdowns, texts, uploads and numeric fields to be filled.

'Name of Trading Member, SEBI Reg. No. & Address of Member' are the auto populated fields which are disabled.

'Sub' represents the applicable quarter period for which the Trading Member needs to submit the trading details. The quarter period changes as per the applicable quarter.

Below 'Sub', the **Trading Member Name** also gets changed as per the login credentials.

Sr.	Particulars	CM	FO	CD	Remarks
1.	Quantity limit for each order is set	Complied	Complied	Complied	
2.	Value limit for each order is set	Complied	Complied	Complied	
3.	Value limit for each User ID is set	Complied	Complied	Not Complied	not
4.	Value limit for each Branch ID is set	Complied	Partially Complied	Complied	partial
5.	Security wise limit for each user ID is set	Complied	Not Applicable	Not Applicable	
6.	Spread order quantity and value limit for each order is set	Not Applicable	Complied	Complied	
7.	Limits are setup after assessing the risks of each user ID and branch ID	Complied	Not Complied	Complied	

8.	Limits are setup after taking into account the members capital adequacy	select	select	select	
9.	Limits are reviewed regularly and the limits in the system are up to date	select	select	select	
10.	The parameters specified by the Exchange are not defined as unlimited	select	select	select	
11.	Daily record of limits set and re-set are preserved	select	select	select	

I confirm that details mentioned above are true and correct.

Date: 20-Sep-2016

Place:

Contact Number:

Name of the Compliance Officer: xyz

Email Id of the Compliance Officer:

Digital Signature is not configured in your machine. kindly [Click Here](#) to install.

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Trading Member has to install the 'Digital Signature'. Then only he will be able to **certify** the data & hence **submit** the details successfully. If user does not install the 'Digital Signature', the 'Submit' button will be disabled.

After clicking on 'Click Here' hyperlink, the 'Digital Signature' will get installed & the screen will be displayed as :

8.	Limits are setup after taking into account the members	Complied	Complied	Complied	
9.	Limits are reviewed regularly and the limits in the system	Complied	Complied	Complied	
10.	The parameters specified by the Exchange are not define	Complied	Complied	Complied	
11.	Daily record of limits set and re-set are preserved	Complied	Complied	Complied	

I confirm that details mentioned above are true and correct.

Date: 19-Sep-2016

Place: Mumbai

Contact Number: 9820098200

Name of the Compliance Officer: xyz

Email id of the Compliance Officer: officer@nse.co.in

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In this form, Name of Trading Member, SEBI Reg. No. & address of member fields will be auto populated & non editable.

There will be total 11 particulars available for Trading Member. Trading member can select the appropriate status for the available segments –

- CM (Capital Market)
- FO (Future & Operations)
- CD (Commodity Derivatives)

The ‘**Status**’ available for these segments are:

- Select
- Complied
- Not Complied
- Partially Complied
- Not Applicable

By default, ‘Select’ status will be available when user will open this form.

Quarterly Compliance Certificate Submission

Name of the Trading Member: ABC LTD SEBI Reg. No. 123

Address Of Member: Office Name, Road, Mumbai - 400028

Sub: Quarterly Compliance Certificate for the quarter ended 30-Jun-2016

This is to certify that the compliance status of ABC LTD. with regards to Exchange Circular Ref No: NSE/COMP/21990, NSE/COMP/21991, NSE/COMP/21992 is as follows

Sr.	Particulars	CM	FO	CD	Remarks
1.	Quantity limit for each order is set	select Complied Not Complied Partially Complied Not Applicable	Complied	Complied	
2.	Value limit for each order is set		Complied	Complied	
3.	Value limit for each User ID is set	Complied	Complied	Not Complied	not
4.	Value limit for each Branch ID is set	Complied	Partially Complied	Complied	partial
5.	Security wise limit for each user ID is set	Complied	Not Applicable	Not Applicable	

When user selects the status as ‘**Not Complied**’ or ‘**Partial Complied**’ for any segment, the **REMARKS** field will get enabled & mandatory for the same.

I/We hereby certify that the compliance status of NSE/COMP/21992 is as follows

ABC LTD.

with regards to Exchange Circular Ref No: NSE/COMP/21990, NSE/COMP/21991,

Sr.	Particulars	CM	FO	CD	Remarks
1.	Quantity limit for each order is set	Not Compl v	Complied v	Not Applic v	Reason
2.	Value limit for each order is set	Partially C v	Partially C v	Complied v	Reason1
3.	Value limit for each User ID is set	Complied v	Not Applic v	Complied v	
4.	Value limit for each Branch ID is set	Complied v	Complied v	Complied v	
5.	Security wise limit for each user ID is set	Complied v	Not Applicable	Not Applicable	
6.	Spread order quantity and value limit for each order is set	Not Applicable	Complied v	Not Applic v	

Also, for some Trading Member, the segments are not available & hence user is unable to select any status for such unavailable segments.

I/We hereby certify that the compliance status of NSE/COMP/21992 is as follows

ABC LTD.

with regards to Exchange Circular Ref No: NSE/COMP/21990, NSE/COMP/21991,

Sr.	Particulars	CM	FO	CD	Remarks
1.	Quantity limit for each order is set	Not Compl v	Complied v	Not Applic v	Reason
2.	Value limit for each order is set	Partially C v	Partially C v	Complied v	Reason1
3.	Value limit for each User ID is set	Complied v	Not Applic v	Complied v	
4.	Value limit for each Branch ID is set	Complied v	Complied v	Complied v	
5.	Security wise limit for each user ID is set	Complied v	Not Applicable	Not Applicable	
6.	Spread order quantity and value limit for each order is set	Not Applicable	Complied v	Not Applic v	

All the fields available are mandatory to fill.

In Confirmation section, ‘Current Date’ & ‘Name of Compliance Officer’ will be auto populated & non editable.

‘Email id’ field will accept only the correct email ids in the following format –
name@domainname.com or name@domainname.co.in

[B] Submitting the details:

1. Once user has finished filling the details,
2. Click on ‘Certify’

The screenshot shows a web application interface with a 'Certificate Registration' dialog box open. The background form contains several sections. The top section is a table with 11 rows, each with a description of a limit, a 'Not Applicable' dropdown, and a 'Complied' dropdown. Below this is a confirmation statement: 'I confirm that details mentioned above are true and correct'. Underneath are fields for 'Date' (21-Sep-2016), 'Place' (Mumbai), and 'Contact Number' (9820098200). At the bottom of the form are 'Submit' and 'Reset' buttons. The 'Certificate Registration' dialog box is titled 'Select Digital Certificate' and contains a table with columns 'Issued To', 'Issued By', and 'Expiration Date'. The table has one row: 'Test1 Certificate', 'SafeScript sub-CA for R...', and '26 December 2016 10:51:49'. Below the table is a 'View...' button and a 'Click View to see the contents of your digital certificate' instruction. At the bottom of the dialog are 'Select' and 'Cancel' buttons. A red 'Certify' button is visible at the bottom of the form, below the dialog box. The footer of the page shows 'HSE Copyright (c) 2016'.

3. Select the Certificate and OK.

Sl. No.	Compliance Requirement	Not Applicable	Complied	Compliance Status
7.	Limits are setup after assessing the risks of each user ID and branch ID	Not Applicable	Complied	Complied
8.	Limits are setup after taking into account the member's capital adequacy requirement	Not Applicable	Complied	Complied
9.	Limits are reviewed regularly and the limits in the system are up to date	Not Applicable	Complied	Complied
10.	The parameters specified by the Exchange are not defined as unlimited	Complied	Complied	Complied
11.	Daily record of limits set and re-set are preserved	Complied	Complied	Complied

I confirm that details mentioned above are true and correct.

Date: 21-Sep-2016

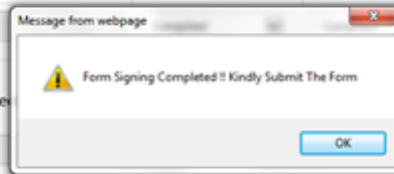
Place: Mumbai

Contact Number: 9820098200

Name of the Compliance Officer: xyz

Email id of the Compliance Officer: nseit_sgovalkar@vendor.nse.co.in

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4. Submit.

The successful alert is seen when user submits the details successfully. It will also generate a 'Reference No' as follow:

Compliance

Welcome Testing

Quarterly Compliance Certificate Submission

Quarterly compliance certificate has been submitted successfully. Your reference id is : 2069_30-Jun-2016

The Reference No. format is “MEMBERID _QuarterDate”

Here, the MEMBER ID changes as per the respective Trading Member.

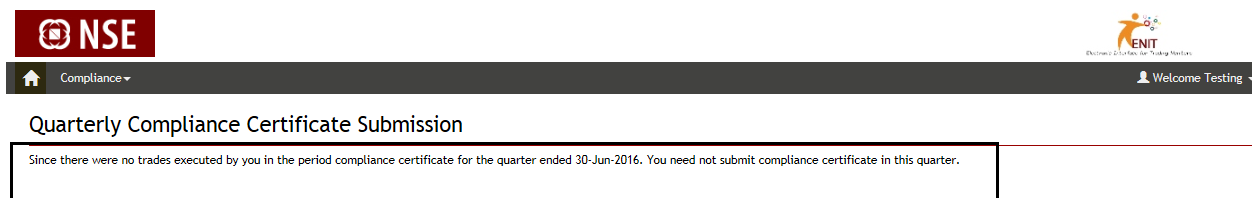
When this form is available?

This Quarterly Compliance Certificate Submission form is available only when Trading Member has done any trading for the last quarter period.

When this form is not available?

This Quarterly Compliance Certificate Submission form is unavailable only when:

1. Trading Member has not done any trading for the last quarter period



The screenshot shows the NSE (National Stock Exchange) Compliance portal. At the top, there is a header with the NSE logo and the text "Compliance". Below the header, the page title is "Quarterly Compliance Certificate Submission". A message box states: "Since there were no trades executed by you in the period compliance certificate for the quarter ended 30-Jun-2016. You need not submit compliance certificate in this quarter." At the bottom of the message box, there is a red button labeled "Certify".

2. The Trading Member has already submitted the details & he is again trying to submit new details.

Quarterly Compliance Certificate Submission

Since compliance certificate for the period 01-Apr-2016 to 30-Jun-2016 is already submitted, you cannot submit compliance certificate again.

[Certify](#)

The Trading Member has to submit this form within the 15 days as soon as the current quarter period finishes.

1.1.2 Report

Using this module, user can view/export all his new & old Quarterly Compliance Details submitted.

[A] Open the Report screen:

1. Login with correct member credentials.
2. Click on 'Compliances'.
3. Go to 'Quarterly Compliance'.
4. Select 'Report' & click on it.

The below screen will be opened:

Member Code	Member Name	Submission Date	Submission Mode	Reference Number
1	ABC LTD	02-Jan-2013	N	1741_31-Dec-0012

Here, 'Member Name' & 'Member Code' are auto populated non editable fields.

'Quarterly Starting Time' is a dropdown list having the quarter periods mentioned.

'Submission from & to Date' are the calendar type & user can select the appropriate date using it.

[B] MIS Report generation on filtrated fields:

User can filter using any specific data and can search for the particular MIS Report.

In the generated MIS Report, the 'Reference No.' is hyperlink i.e. it is clickable.

By default, it will display 10 requests per page. User can change it to 20 & 30 requests.

Quarterly Compliance Report

Member Name: ABC LTD Member Code: 123

Quarter Starting From: Select

Submission from date: 01-Jan-2013

Submission to date: 20-Sep-2016

Here, the submission date fields are filtered

Member Code	Member Name	Submission Date	Submission Mode	Reference Number
123	ABC LTD	02-Jan-2013	N	1741_31-Dec-0012

[C] To export all available reports in the CSV sheet:

When user keeps all fields as it is and clicks on 'Search' button, all available report will get displayed.

User has to click on a sheet icon to get the fetched report in CSV format as follow:

Quarterly Compliance Report

Member Name: ABC LTD Member Code: 123

Quarter Starting From: Select

Submission from date: Submission to date:

Click on this icon to export in a CSV sheet

Export to CSV

Member Code	Member Name	Submission Date	Submission Mode	Reference Number
123	ABC LTD	02-Jan-2013	N	1741_31-Dec-0012

User can also export the MIS Report in CSV format using any filtration of the editable fields.

[D] MIS Report on entering the specific details regarding to the report:

User can enter any specific details, say Submission Mode, can also find the related MIS Report.

Quarterly Compliance Report

Member Name: Member Code:

Quarter Starting From: Submission from date:

Submission to date:

TM can enter the specific data in these blank search fields and get the MIS Report

Member Code	Member Name	Submission Date	Submission Mode	Reference Number
123	ABC LTD	17-Jul-2014	Y	1741_30-Jun-0014

[E] View earlier submitted details:

When user clicks on any Reference No. from the MIS Report, the screen with the details which has been submitted earlier will be opened with a 'Back' button. On clicking any Ref. No., below screen will be opened for the respective reference no.




Compliance Welcome Trading Member

Quarterly Compliance Certificate Submission

Name of the Trading Member: SEBI Reg. No.:

Address Of Member:

Sub: Quarterly Compliance Certificate for the quarter ended 31-Dec-0012

This is to certify that the compliance status of **ABC LIMITED** with regards to Exchange Circular Ref No: NSE/COMP/21990, NSE/COMP/21991, NSE/COMP/21992 is as follows

Sr	Particulars	CM	FO	CD	Remarks
1	Quantity limit for each order is set	Complied	Complied	Complied	
2	Value limit for each order is set	Complied	Complied	Complied	
3	Value limit for each User ID is set	Complied	Complied	Complied	
4	Value limit for each Branch ID is set	Complied	Complied	Complied	
5	Security wise limit for each user ID is set	Complied	Not Applicable	Not Applicable	

6	Spread order quantity and value limit for each order is set	Not Applicable	Complied	Complied	
7	Limits are setup after assessing the risks of each user ID and branch ID	Complied	Complied	Complied	
8	Limits are setup after taking into account the member's capital adequ	Complied	Complied	Complied	
9	Limits are reviewed regularly and the limits in the system are up to da	Complied	Complied	Complied	
10	The parameters specified by the Exchange are not defined as unlimite	Complied	Complied	Complied	
11	Daily record of limits set and re-set are preserved	Complied	Complied	Complied	

I confirm that details mentioned above are true and correct.

Date	02-Jan-2013	Signature of Compliance Officer	
Place	MUMBAI	Name of the Compliance Officer	XYZ
Contact Number	9819594041	Email id of the Compliance Officer	kalyanip@nse.co.in
back		^	

All the fields will be non-editable.

When user clicks on 'Back' button, it will navigate the user on the Report screen.

[F] When no record is available on the filtered results:

An error alert 'No record found' will be displayed when user searches the MIS Report based on the filtration.

The screenshot shows the NSE Quarterly Compliance Report interface. At the top, there is a header with the NSE logo and 'Compliance' tab. Below the header, the report title 'Quarterly Compliance Report' is displayed. The form contains fields for 'Member Name' (AISC LTD), 'Member Code' (123), and 'Quarter Starting From' (01-Apr-2016). There are 'Search' and 'Reset' buttons. A modal dialog box is open in the center of the screen, displaying a red warning icon and the text 'No data found.' with an 'Ok' button. The footer of the page shows 'NSE Copyright (c) 2016'.

'Reset' button will erase the entered details for all editable fields.