

**National Stock Exchange of India Ltd.**  
**Half-Yearly Networth Submission User Manual**

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## **1. About This Guide**

### **1.1 PURPOSE OF THIS GUIDE**

This guide will enable you to use Half Yearly Submission Module of the Electronic Member Interface User Module and provides detailed procedures for the same.

### **1.2 WHO SHOULD READ THIS GUIDE**

This guide is useful for Trading Members who are the users of Electronic Member Interface User module. The main functions of this module include:

- To submit the half yearly submission report, to view it in the MIS report.
- To view the penalty report in MIS form.
- To view and download action letters for penalty and shortfall cases.

### **1.3 HOW TO GET IN TOUCH**

The following sections provide information on how to obtain support for the documentation and the software.

#### **1.3.1 Documentation Support**

NSE welcomes your comments and suggestions on the quality and usefulness of this document. For any questions, comments, or suggestions on the documentation, you can contact us at:  
National Stock Exchange of India Limited.  
Exchange Plaza, Block G,  
Bandra-Kurla Complex, Bandra (East),  
Mumbai – 400051  
Tel – 022-26598100

#### **1.3.2 Customer Support**

If you have any problems, questions, comments, or suggestions regarding Electronic Member Interface User module, contact us at the address mentioned above. While contacting customer support, have the following information ready:

- Your NAME, Email address, phone number and FAX number
- The type of hardware including the server configuration and network hardware, if available
- The version of Electronic Member Interface User Module
- The name and version of the operating system

## 2. Getting Started

In this chapter, you will learn about ‘Half Yearly Submission’ module.

### 2.1 STARTING

The module has been created on ENIT-NEW-COMPLIANCE.

The Member needs to provide access to the new service to the compliance users for accessing above modules. This access to the new service can be given using Admin user provided to the Member.

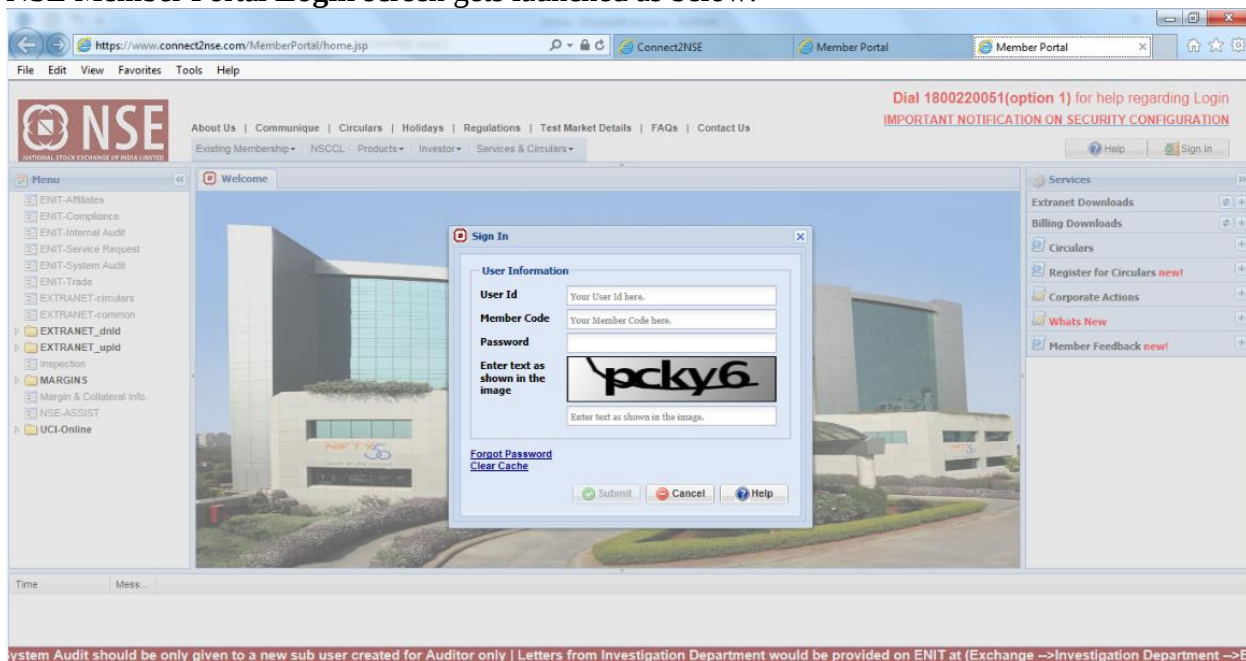
To start the ‘Electronic Member Interface’ portal, Trading Member first needs to go log in to Member Portal using the ‘UserId, Member Code and Password’.

Then he needs to go to ‘ENIT NEW COMPLIANCE’ tab to get the access. It is advisable to use Internet Explorer -11 (IE11) or higher versions of IE.

---

#### To start the electronic member interface user module

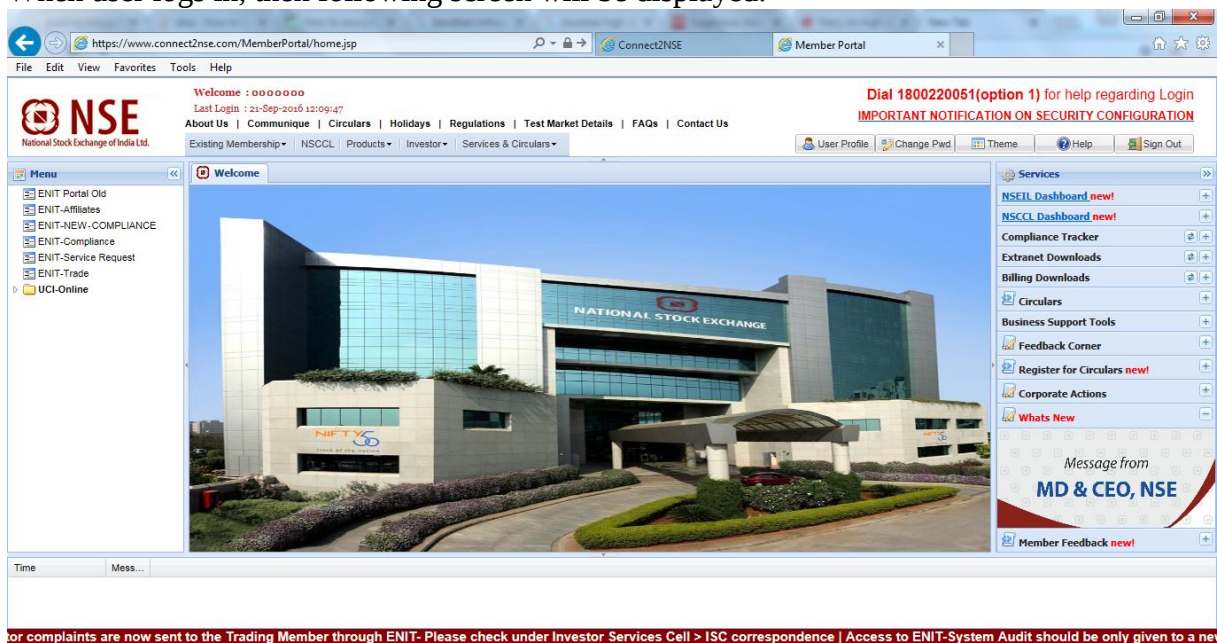
1. Open Internet Explorer browser from the desktop.
2. Type <https://www.connect2nse.com/MemberPortal/home.jsp> in the address bar and then click the **Go** button from the browser.
3. NSE Member Portal **Login** screen gets launched as below:



After entering the credentials, user needs to clicks on ‘Submit’ button to login.

|             |                                                                                                                                                                                                                                                             |
|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| UserId      | <ul style="list-style-type: none"> <li>✓ Type the appropriate Userid in this field.</li> <li>✓ This field is alphanumeric.</li> <li>✓ This field is mandatory.</li> </ul>                                                                                   |
| Member Code | <ul style="list-style-type: none"> <li>✓ Type the appropriate member code of the user in this field.</li> <li>✓ This field is numeric only.</li> <li>✓ This field should accept 5 digit correct member code.</li> <li>✓ This field is mandatory.</li> </ul> |
| Password    | <ul style="list-style-type: none"> <li>✓ Type correct password in this field.</li> <li>✓ This field accepts alphanumeric &amp; special characters.</li> <li>✓ This field is mandatory.</li> </ul>                                                           |

4. When user logs in, then following screen will be displayed:



5. When Trading Member opens 'ENIT NEW COMPLIANES' tab, the main screen 'Dashboard' gets open:




Compliance

Welcome

### Alerts

| Request ID           | Module Name                       | Submission Date      | Status               |
|----------------------|-----------------------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/>              | <input type="text"/> | <input type="text"/> |
| 1                    | 10851/ADVERTISEMENT ADVERTISEMENT | 07-Jun-2016          | APPROVAL PENDING     |
| 2                    | 10851/ADVERTISEMENT ADVERTISEMENT | 10-Jun-2016          | APPROVAL PENDING     |
| 3                    | 10851/ADVERTISEMENT ADVERTISEMENT | 10-Jun-2016          | APPROVAL PENDING     |
| 4                    | 222/ADV/0616/61                   | 15-Jun-2016          | APPROVAL PENDING     |
| 5                    | 10851/ADVERTISEMENT ADVERTISEMENT | 08-Jun-2016          | APPROVAL PENDING     |

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### Reminders

| Request ID           | Module Name                       | Submission Date      | Status               |
|----------------------|-----------------------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/>              | <input type="text"/> | <input type="text"/> |
| 1                    | 10851/ADVERTISEMENT ADVERTISEMENT | 07-Jun-2016          | APPROVAL PENDING     |
| 2                    | 10851/ADVERTISEMENT ADVERTISEMENT | 10-Jun-2016          | APPROVAL PENDING     |
| 3                    | 10851/ADVERTISEMENT ADVERTISEMENT | 10-Jun-2016          | APPROVAL PENDING     |
| 4                    | 222/ADV/0616/61                   | 15-Jun-2016          | APPROVAL PENDING     |
| 5                    | 10851/ADVERTISEMENT ADVERTISEMENT | 08-Jun-2016          | APPROVAL PENDING     |

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### Submission Alerts

| Module Name          | Submission Date      | Status               |                    |
|----------------------|----------------------|----------------------|--------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |                    |
| 1                    | ADVERTISEMENT        | 20-Sep-2016          | Submission Pending |
| 2                    | ADVERTISEMENT        | 28-Jul-2016          | Submission Pending |
| 3                    | ADVERTISEMENT        | 13-Sep-2016          | Submission Pending |
| 4                    | ADVERTISEMENT        | 10-Sep-2016          | Submission Pending |
| 5                    | ADVERTISEMENT        | 21-Sep-2016          | Submission Pending |
| 6                    | ADVERTISEMENT        | 17-Sep-2016          | Submission Pending |

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### Submission Reminders

| Module Name          | Submission Date      | Status               |                    |
|----------------------|----------------------|----------------------|--------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |                    |
| 1                    | ADVERTISEMENT        | 20-Sep-2016          | Submission Pending |
| 2                    | ADVERTISEMENT        | 28-Jul-2016          | Submission Pending |
| 3                    | ADVERTISEMENT        | 13-Sep-2016          | Submission Pending |
| 4                    | ADVERTISEMENT        | 10-Sep-2016          | Submission Pending |
| 5                    | ADVERTISEMENT        | 21-Sep-2016          | Submission Pending |
| 6                    | ADVERTISEMENT        | 17-Sep-2016          | Submission Pending |

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When no records are available, then it will show 'No Records Found'.

## 2.2 ELECTRONIC MEMBER INTERFACE

To navigate your way in the Electronic Member Interface (User), a proper understanding of the interface is essential. This section illustrates the various parts of the Electronic Member Interface (User) and their uses.

The screenshot displays the NSEIL Electronic Member Interface (User) with the 'Compliance' module selected. The interface includes a navigation bar at the top with the NSEIL logo and a user welcome message. The main content area is divided into several sections:

- Alerts:** A dropdown menu is open, showing options: Advertisement, Client Funding, Insurance, Quarterly Compliance, Key Management Personnel, Director Details, and Half Yearly Networth Submission. Below the menu, a table with columns 'Request ID', 'Submission Date', and 'Status' shows a single record with the value 'found'.
- Reminders:** A table with columns 'Request ID', 'Module Name', 'Submission Date', and 'Status' displays 'No records found'.
- Submission Alerts:** A table with columns 'Module Name', 'Submission Date', and 'Status' shows a single record with the value 'found'.
- Submission Reminders:** A table with columns 'Module Name', 'Submission Date', and 'Status' displays 'No records found'.

The bottom of the interface features a pagination bar indicating 'Page 1 of 0' and 'No records to view'.

### 2.2.1 Navigation Bar

The navigation bar displays the various options available in the Electronic Member Interface (User).

On clicking on 'Compliance' module, 'Half Yearly Submission' module is available:

This screenshot is similar to the previous one, but with the 'Half Yearly Networth Submission' option highlighted in the 'Alerts' dropdown menu. The rest of the interface, including the tables and pagination, remains the same.

### **‘Half Yearly Network Submission’ module contains:**

- Half Yearly Network Submission
- Penalty Preview
- Half Yearly Network MIS

## **3. COMPLIANCES**

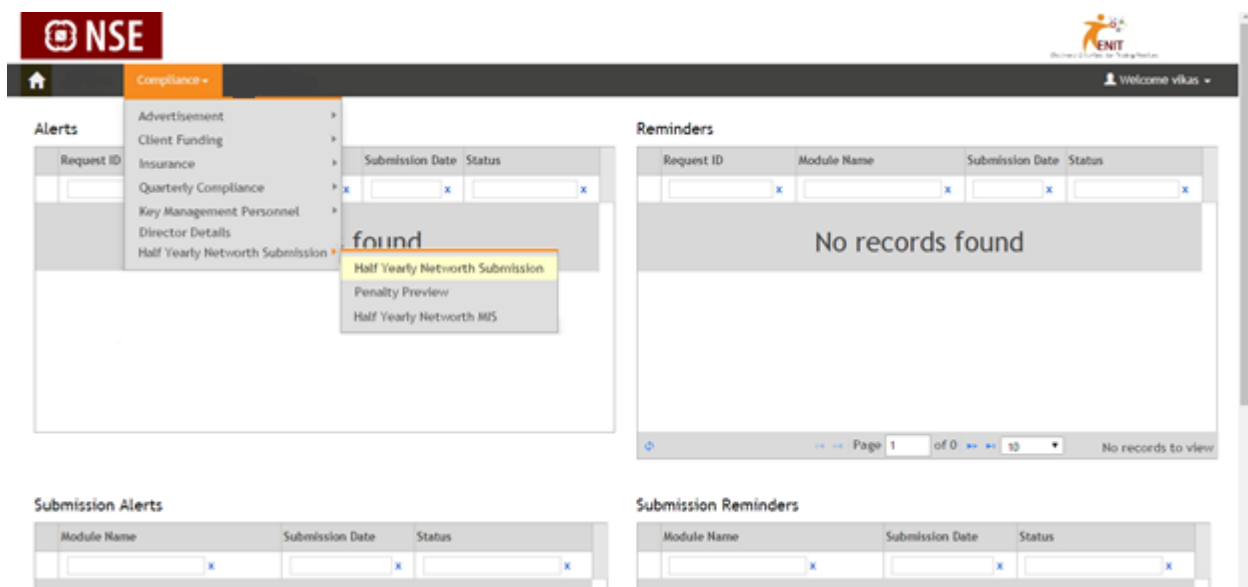
### **3.1 HALF YEARLY NETWORK SUBMISSION**

‘Half Yearly Network Submission’ module helps the Trading Member to submit the half yearly network certificate, to view it in the MIS, to view the penalty report, to download the approved penalty letters.

#### **3.1.1 Half Yearly Network Submission**

Using ‘Half Yearly Network Submission’ module, TM is able to submit their half yearly network certificate to the exchange for the applicable current half yearly period.

1. Login with correct member credentials.
2. Click on ‘Compliances’.
3. Go to ‘Half Yearly Network Submission’ module.
4. Select ‘Half Yearly Network Submission’ and click on it.



On clicking, below page will get open:

**NSE** **ENIT**  
Welcome shachi

### HALF YEARLY NETWORTH

|                                   |             |                                                            |                                |
|-----------------------------------|-------------|------------------------------------------------------------|--------------------------------|
| Member Name                       | ABC Ltd     | Member Code                                                | 12345                          |
| As On Date*                       | 31-Mar-2017 | Name of CA Firm *                                          |                                |
| Membership No. of Certifying CA * |             | Method of Computation of Net Worth*                        | Select                         |
| Circular Ref.                     |             | Upload Scanned copy of Networth Certificate & Computation* | <input type="text"/> Browse... |

**COMPUTE NETWORTH**

**Note:**

1. Attachments only in .pdf/.jpeg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.
2. Attachment name should not contain any special character (like .!,- etc).

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Here, **‘Member Name, Member Code & As on Date’** fields are auto populated and disabled fields.

**‘Name of CA Firm, Membership No. of Certifying CA’** are editable blank fields.

**‘Name of CA Firm’** should accept maximum 50 characters while **‘Membership No. of Certifying CA’** should accept maximum 30 characters.

**‘Method of Computation of Net Worth’** is a dropdown option. The general options available are:

- Select
- Dr. L. C. Gupta Method
- Method I of Exchange
- Method II of Exchange
- RBI Method

The method types get allocated to each member depending on the respective constitution/segments the member registered/category of the member etc.

If the TM is assigned for **Dr. L.C.Gupta Method**, then no other method types will be displayed & if the TM is assigned to the **Exchange Method**, then both Dr.L.C.Gupta Method, Exchange Method will be displayed to him. When the TM is **any Bank**, then both Dr.L.C.Gupta Method & RBI method will be displayed to him.

**‘Exchange Method’** consists of both **‘Method I of Exchange & Method II of Exchange’**.

On selecting the method type, the ‘Circular Ref.No’ field gets auto populated as below [e.g.]:

The screenshot displays the NSEIL web application interface for the 'HALF YEARLY NETWORKTH' section. The header includes the NSE logo and a navigation bar with 'Compliance' and a user welcome message. The form contains several input fields: 'Member Name' (ABC Ltd), 'Member Code' (12345), 'As On Date' (31-Mar-2017), 'Name of CA Firm', 'Membership No. of Certifying CA', 'Method of Computation of Net Worth' (set to METHOD I OF EXCHANGE), and 'Circular Ref.' (Circular No. 44 (Ref. NSE/HEM/00184 dated January 22, 19). There is also an 'Upload Scanned copy of Network Certificate & Computation' field with a 'Browse...' button. A red 'COMPUTE NETWORKTH' button is located below the form. A note at the bottom states: '1. Attachments only in .pdf/.jpeg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.' The footer shows 'NSE Copyright (c) 2016'.

**‘Upload Scanned copy of Network Certificate & Computation’** is a browse field. It accepts below document types:

- .pdf
- .jpeg
- .jpg
- .doc
- .docx
- .zip
- .tif
- .7z
- .rar

**‘Compute Networkth’** is a button, helps the TM to generate the form such that TM can enter the amount to submit his networkth to the exchange.

**[A] When mandatory fields are kept blank:**

When the mandatory fields are kept blank & TM clicks on 'Compute Network' button, the mandatory fields will get highlighted with red error alert icon, showing the errors for each mandatory field as below:

The screenshot shows the NSEIL 'HALF YEARLY NETWORK' form. The top header includes the NSE logo and 'Compliance' menu. The form title is 'HALF YEARLY NETWORK'. The form fields are as follows:

|                                   |             |                                                           |        |
|-----------------------------------|-------------|-----------------------------------------------------------|--------|
| Member Name                       | ABC Ltd     | Member Code                                               | 12345  |
| As On Date*                       | 31-Mar-2017 | Name of CA Firm *                                         |        |
| Membership No. of Certifying CA * |             | Method of Computation of Net Worth*                       | Select |
| Circular Ref.                     |             | Upload Scanned copy of Network Certificate & Computation* |        |

Below the form is a red button labeled 'COMPUTE NETWORK'. A note states: '1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.' The footer shows 'NSE Copyright (c) 2016'.

### [B] When invalid file is uploaded:

When TM uploads file having invalid format & clicks on 'Compute Network' button, then it will show the correct error alert as below:

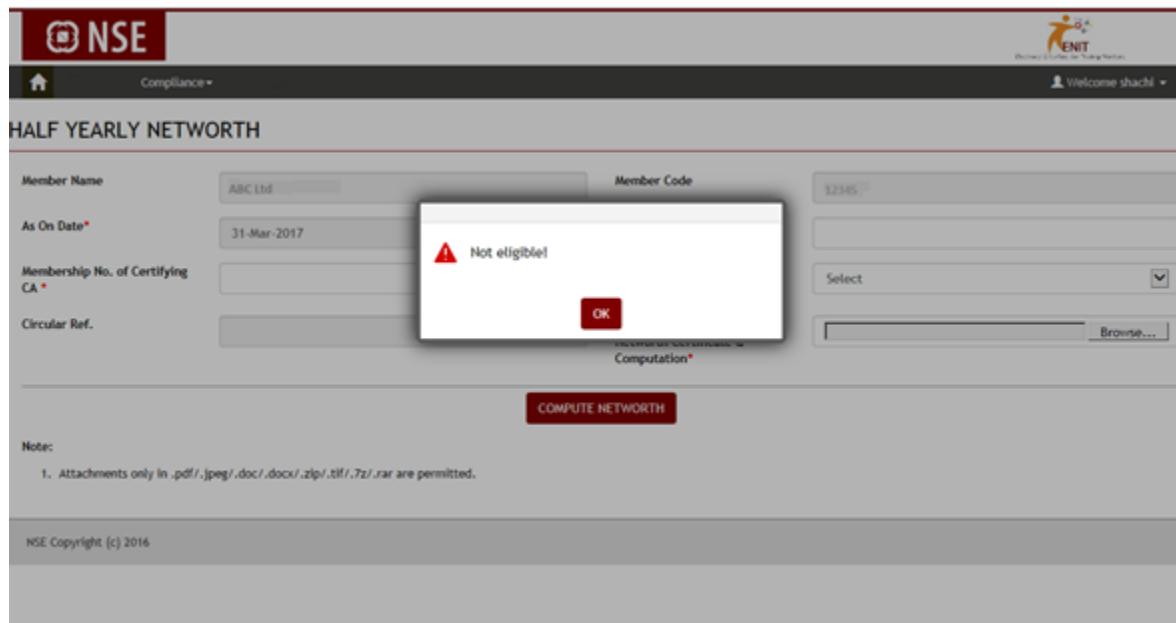
The screenshot shows the NSEIL 'HALF YEARLY NETWORK' form with the following data entered:

|                                   |                                                            |                                                           |                                                  |
|-----------------------------------|------------------------------------------------------------|-----------------------------------------------------------|--------------------------------------------------|
| Member Name                       | ABC Ltd                                                    | Member Code                                               | 12345                                            |
| As On Date*                       | 31-Mar-2017                                                | Name of CA Firm *                                         | tester                                           |
| Membership No. of Certifying CA * | 123456789                                                  | Method of Computation of Net Worth*                       | DR. L.C. GUPTA METHOD                            |
| Circular Ref.                     | Circular no. 541[Ref. NSE/MEM/7835 dated September 06, 200 | Upload Scanned copy of Network Certificate & Computation* | W:\Shachh\DATA\TestFiles\ACUMEN Holdings Jun ... |

Below the form is a red button labeled 'COMPUTE NETWORK'. A note states: '1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.' The footer shows 'NSE Copyright (c) 2016'. An error message is displayed: 'only .pdf, .jpeg, .doc, .docx, .zip, .tif, .7z, .rar, .b is allowed'.

**[C] When member is not eligible:**

When any TM is not eligible but still he accesses Half Yearly Submission module to submit his network, then below error alert will be displayed to him:

The screenshot shows the NSEIL web interface for the 'HALF YEARLY NETWORK' submission. The header includes the NSE logo and 'Compliance' menu. The user is logged in as 'Welcome shachi'. The form contains fields for 'Member Name' (ABC Ltd), 'Member Code' (12345), 'As On Date' (31-Mar-2017), 'Membership No. of Certifying CA', and 'Circular Ref.'. A red error alert box is centered over the form, displaying a warning icon and the text 'Not eligible!' with an 'OK' button. Below the form is a 'COMPUTE NETWORK' button. A note at the bottom states: '1. Attachments only in .pdf/.jpeg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted.' The footer shows 'NSE Copyright (c) 2016'.

When TM clicks on OK button, he will get navigated to the dashboard & hence non eligible TM must not be able to file his half yearly network to the exchange.

**[D] When member enters valid details & valid file:**

When TM enters valid details & uploads a correct file & clicks on 'Compute Network' button, the form gets generated depending on the method selected for computing his network.

The forms generated depending on the methods selected/assigned to the member are as below:

- **Dr.L.C.Gupta Method –**

When TM selects the Dr.L.C.Gupta Method, its respective circular Ref. gets auto populated & on computing the network, the form with all editable numeric fields gets displayed as below:



‘Save’ button helps TM to save the entered values. But it does not submit the form to the exchange. Hence member must clicks on only ‘**Submit to Exchange**’ button. When user saves the details then only ‘**Submit to Exchange**’ button will get enabled:

L.C. Gupta Method latest Circular No. 541(Ref. NSE/MEM/7835 dated September 06.2006)

| Particulars                 | Amount(Rs. in absolute figure) | Particulars                          | Amount(Rs. in absolute figure) |
|-----------------------------|--------------------------------|--------------------------------------|--------------------------------|
| Capital + Free Reserves     |                                | Non-allowable assets viz.            |                                |
| Capital*                    | 8989.00                        | Fixed Assets*                        | 88.00                          |
| Free Reserves*              | 89898.00                       |                                      | 888.00                         |
|                             |                                |                                      | 98.00                          |
|                             |                                |                                      | 98.00                          |
|                             |                                |                                      | 98.00                          |
|                             |                                |                                      | 9.00                           |
|                             |                                |                                      | 89.00                          |
|                             |                                |                                      | 8.00                           |
|                             |                                |                                      | 98.00                          |
|                             |                                |                                      | 98.00                          |
|                             |                                |                                      | 29.4                           |
| Capital + Free Reserves (A) | 98887                          | Total (Non-allowable assets viz) (B) | 1405.4                         |

Free Reserves\* 89898.00

Pledged Securities\* 888.00

Member's Card\* 98.00

Non-allowable securities (unlisted securities)\* 98.00

Bad deliveries\* 9.00

Doubtful Debts and Advances\* 89.00

Prepaid expenses, losses\* 8.00

Intangible Assets\* 98.00

Marketable securities\* 98.00

30% of Marketable securities 29.4

Capital + Free Reserves (A) 98887

Total (Non-allowable assets viz) (B) 1405.4

NetWorth (A-B) 97481.6

SAVE RESET SUBMIT TO EXCHANGE

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When TM clicks on ‘**Submit to Exchange**’ button, ‘**Submit to Exchange**’ pop will get open as below:

**NSE**

Compliance

HALF YEARLY NETWORK

Member Name

Reference number : \*

As On Date\*

Membership No. of Certifying CA \*

Circular Ref.

Note:

1. Attachments only in .pdf / .jpg

**SUBMIT TO EXCHANGE**

Note: Please check the half yearly network submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So please confirm before submitting the details to the exchange.

To,

National Stock Exchange of India Ltd

This is with reference to your circular no. NSE/COMPQ4703 dated October 11, 2013 regarding submission of half yearly network certificate as a part of continuing membership norms. Please find attached herewith a scanned copy of the Half Yearly Network and the computation thereof.

We/it confirm that the scanned copy of the Half Yearly Network and the computation attached herewith are duly certified by the Chartered Accountant/ Company Secretary. We/it undertake that the details provided to the exchange are as per the certificate obtained by us and is true and correct.

The original copy of network certificate and its computation is available with us, which would be made available to the exchange as and when required.

Yours faithfully,  
for CORPORATION BANK

☐ I Agree

Name of the person whose signature is affixed:

‘Submit to Exchange’ pop up is having below mandatory fields:

1. I agree
2. Name of the person whose signature is affixed
3. Designation of the person whose signature is affixed
4. Mobile / phone no.
5. Email id for further communication

**NSE**

Compliance

HALF YEARLY NETWORK

Member Name

Reference number : \*

As On Date\*

Membership No. of Certifying CA \*

Circular Ref.

Note:

1. Attachments only in .pdf / .jpg

**SUBMIT TO EXCHANGE**

Yours faithfully,  
for CORPORATION BANK

☐ I Agree

Name of the person whose signature is affixed:

Designation of the person whose signature is affixed:

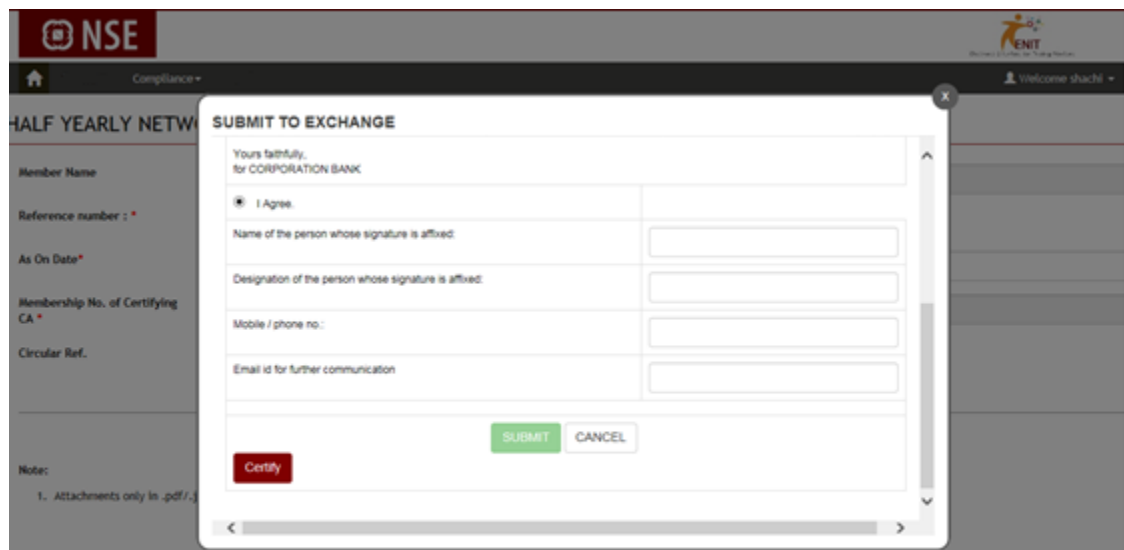
Mobile / phone no.:

Email id for further communication

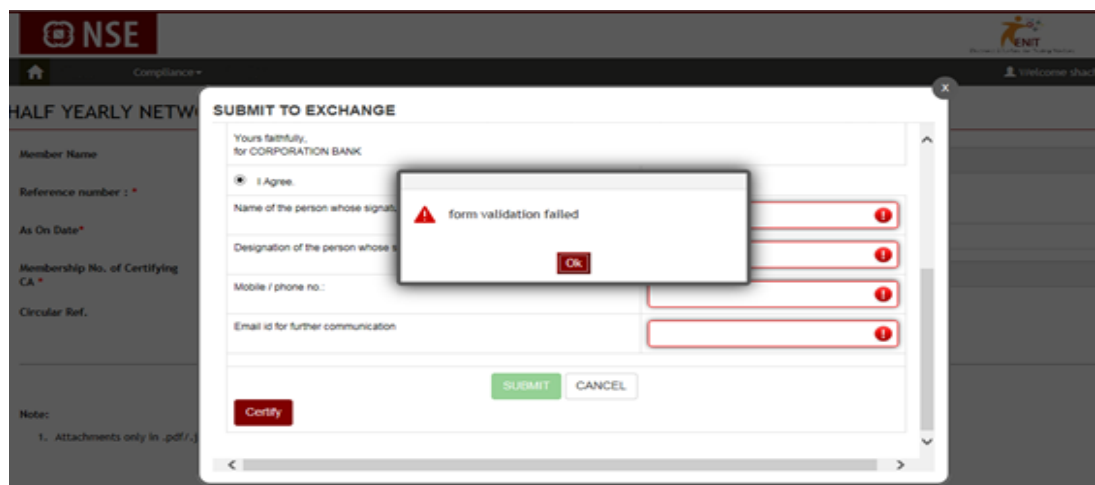
Certify

SUBMIT CANCEL

When TM selects 'I Agree', then 'Certify' button will get enabled as below:



When Remaining fields are kept blank & TM clicks on Certify, a generic error alert 'Form Validation Failed' will be displayed highlighting the mandatory fields with red error icons at the background as below:



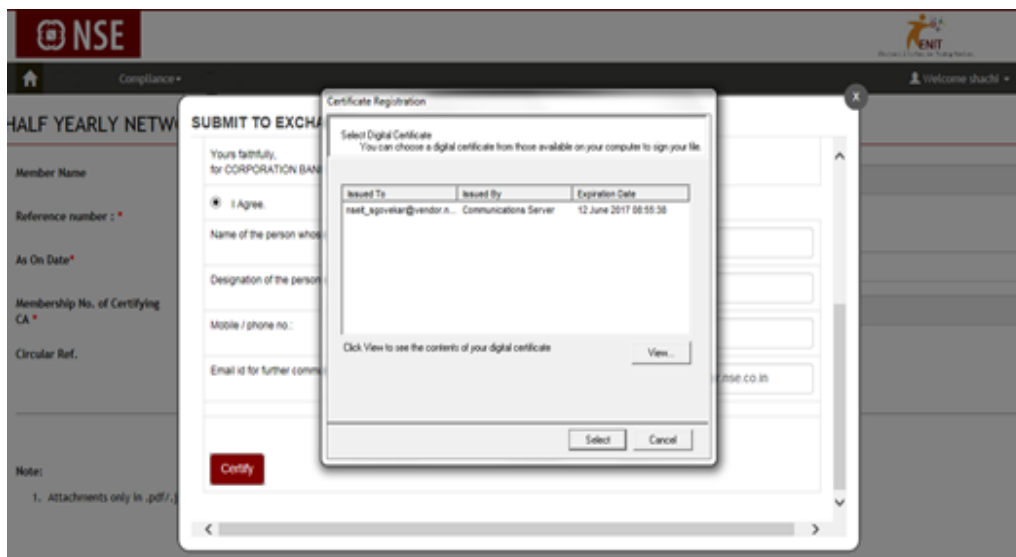
When TM enters invalid details, then one by one, error alerts will be displayed for each field.

**‘Name of the person whose signature is affixed & Designation of the person whose signature is affixed’** fields should accept maximum 50 characters.

**‘Mobile / phone no’** field should accept maximum 15 digits.

**‘Email id for further communication’** field should accept maximum 50 characters. On this email id, TM will receive all the updates & file when there is shortfall or the request is accepted / rejected.

When TM enters all valid details & clicks on Certify button, digital certificate selection window will get open:



The screenshot shows the 'SUBMIT TO EXCHANGE' form in the NSEIL system. The form is partially filled with the following data:

| Field                                                | Value                               |
|------------------------------------------------------|-------------------------------------|
| Yours faithfully, for CORPORATION BANK               |                                     |
| I Agree                                              | <input checked="" type="checkbox"/> |
| Name of the person whose signature is affixed        | Shachi                              |
| Designation of the person whose signature is affixed |                                     |
| Mobile / phone no.                                   |                                     |
| Email id for further communication                   | vendor.nse.co.in                    |

A modal message box titled 'Message from webpage' is displayed over the form, containing the text: 'Form Signing Completed ! Kindly Submit The Form'. The 'OK' button is visible in the message box. The 'SUBMIT' button is visible at the bottom of the form.

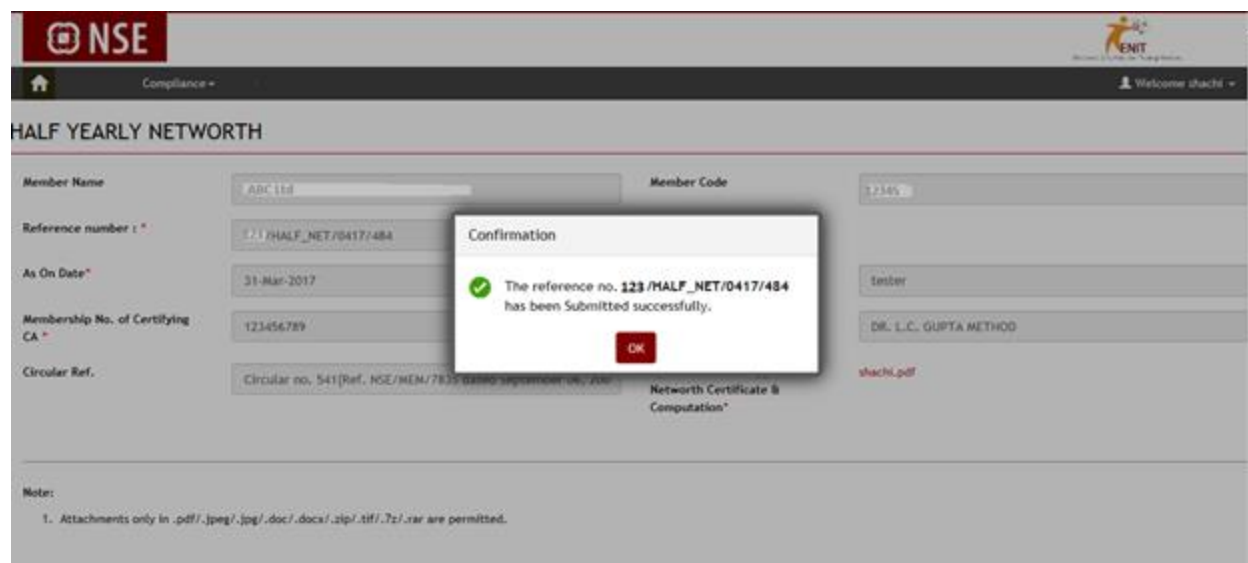
On Selecting OK button, Submit button gets enabled as below:

The screenshot shows the 'SUBMIT TO EXCHANGE' form with the 'SUBMIT' button now enabled (highlighted in red). The form is filled with the following data:

| Field                                                | Value                               |
|------------------------------------------------------|-------------------------------------|
| Yours faithfully, for CORPORATION BANK               |                                     |
| I Agree                                              | <input checked="" type="checkbox"/> |
| Name of the person whose signature is affixed        | Shachi                              |
| Designation of the person whose signature is affixed | Test Analyst                        |
| Mobile / phone no.                                   | 9676543210                          |
| Email id for further communication                   | nseil_sgovekar@vendor.nse.co.in     |

The 'SUBMIT' button is now enabled and highlighted in red. The 'CANCEL' button is also visible. The 'Certify' button is visible at the bottom left of the form.

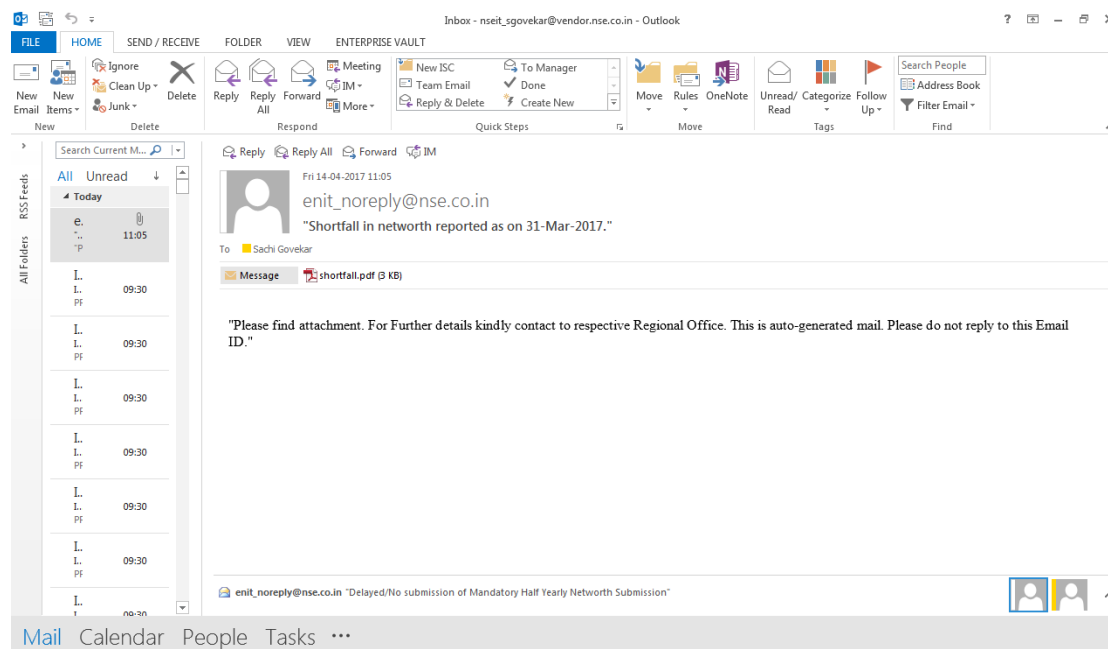
When TM clicks on Submit, a reference no will get generated as below:



The format of the reference no = Member ID/HALF\_NET/0417/generated reference no.

- If the Network calculated is less than the required one, then it is treated as ‘**ShortFall**’ reported.

In such cases, when TM submits it to exchange, TM will get a shortfall letter in his entered email id. The letter will have all the details regarding the same as follow:



In addition to that, a shortfall pop up named as '**Networth Shortfall Reason**' will be displayed to him after certifying & submitting it.

**Networth shortfall reason**

Shortfall reason : \*

Shortfall reason

Add Files

Upload :

Browse

SUBMIT

| Sr. No. | Generated on            | Shortfall Letters |
|---------|-------------------------|-------------------|
| 1       | 17-Apr-2017 at 10:39 AM | shortfall.pdf     |

As soon as this Shortfall Reason pop up is launched, at the background page, a mailed letter of shortfall hyperlink gets displayed wherein the member is asked to submit the revised networth certificate meeting the minimum networth criteria in order to avoid disciplinary actions.

Here, the '**Shortfall Reason**' field is a mandatory field.

'**Add Files**' button enables TM to upload more than one file as below:

The screenshot shows the NSEIL Compliance portal. A modal titled "Networth shortfall reason" is open. It contains the following fields:

- Shortfall reason \***: A text input field with the placeholder "Shortfall reason".
- Upload :**: Three separate upload sections, each with a "Browse" button.
- SUBMIT**: A red button at the bottom of the modal.

In the background, the "HALF YEARLY NETWORK" form is visible, showing fields for Member Name, Reference number, As On Date, Membership No. of Certifying CA, and Circular Ref. Below the form, there are two tables:

| Sr. No.          | Uploaded on | Shortfall Uploaded Files |
|------------------|-------------|--------------------------|
| No Records Found |             |                          |

| Sr. No. | Generated on            | Shortfall Letters |
|---------|-------------------------|-------------------|
| 1       | 17-Apr-2017 at 10:44 AM | shortfall.pdf     |

**Upload field** is a non-mandatory field.

When TM clicks on the '**Submit**' button, the shortfall submitted pop up will be displayed as below:

The screenshot shows the NSEIL Compliance portal with the "HALF YEARLY NETWORK" form. A message pop-up is displayed in the center:

**Shortfall reported. Submit revised network certificate meeting minimum network criteria in 15 days.**

**OK**

The background form shows the following details:

- Member Name**: R. N. N. N.
- Reference number**: L/7HALF\_NET/0417/486
- As On Date**: 31-Mar-2017
- Membership No. of Certifying CA**: 123456789
- Circular Ref.**: Circular no. 541(Ref. NSE/MEM/7835 dated September 04, 200
- Shortfall reason from member**: shortfall reason

Below the form, there are two tables:

| Sr. No. | Uploaded on             | Shortfall Uploaded Files |
|---------|-------------------------|--------------------------|
| 1       | 17-Apr-2017 at 10:47 AM | test.pdf                 |

| Sr. No. | Generated on            | Shortfall Letters |
|---------|-------------------------|-------------------|
| 1       | 17-Apr-2017 at 10:45 AM | shortfall.pdf     |

When TM clicks on '**OK**' button, a new pop up asking the member to submit the revised network meeting the network criteria will be displayed. Member needs to provide the Revised Submission Certificate within 15 days by attaching the certificate.

The screenshot shows the NSEIL Compliance portal. A modal titled "Upload Revised Network for Shortfall" is open. It contains a file upload field for "Upload Revised Network Certificate" with a "Choose File" button and "No file chosen" text. Below this is a note: "Note: Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted." and a red "SUBMIT" button. In the background, the main form has fields for Member Name, Reference number, As On Date, Membership No. of Certifying CA, Circular Ref. (with a note about Circular no. 541), and Shortfall reason from member (with the value "asddad"). There is also a field for "Upload Scanned copy of Network Certificate & Computation" with a "Choose File" button and a file name "NSE\_Net worth certificate\_31.03.2017.pdf". A green "COMPUTE NETWORK" button is at the bottom.

When shortfall is reported, the status for the submitted request will be 'Rejected'. When member provides the revised certificate the status will get changed to 'Revised'.

- When the submitted network value has a variation of 25% or more as compared to the previously submitted network, then TM will get the pop up '**Reason for 25% variation from last year network**' as follow:

The screenshot shows the NSEIL Compliance portal with a modal titled "Reason for 25% or more variation from last year's network". The modal has a field for "25% or more variation reason" with an "Add Files" button. Below this is an "Upload" field with a "Browse" button. A note at the bottom states: "Note: Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted." In the background, the main form shows fields for Member Name, Member Code, Reference number (with the value "HALF\_NET/0417/434"), As On Date, Membership No. of Certifying CA, Circular Ref., Shortfall reason from member, and Sr. No.

Here also, '**25% differ reason**' is a mandatory field.

‘Add Files’ button enables TM to upload more than one file as below:

The screenshot shows the NSEIL web portal interface. A modal window is open, titled "Reason for 25% or more variation from last year's network". The modal contains a text input field for "25% or more variation reason", an "Add Files" button, and an "Upload" section with a "Browse" button. A note at the bottom states: "Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted." The background shows the "HALF YEARLY NETWORK" form with fields for Member Name, Member Code, Reference number, As On Date, Membership No. of Certifying CA, Circular Ref., and Shortfall reason from member.

**Upload field** is a non-mandatory field.

When TM submits the 25% or more variation reason, the reason will be visible which is non-editable to the member as below:

The screenshot shows the NSEIL web portal interface. The "HALF YEARLY NETWORK" form is displayed with the following data:

|                                   |                                                             |                                                             |                       |
|-----------------------------------|-------------------------------------------------------------|-------------------------------------------------------------|-----------------------|
| Member Name                       | ABC Ltd                                                     | Member Code                                                 | 12345                 |
| Reference number *                | 123/HALF_NET/0417/427                                       |                                                             |                       |
| As On Date *                      | 31-Mar-2017                                                 | Name of CA Firm *                                           | test firm             |
| Membership No. of Certifying CA * | 123456789                                                   | Method of Computation of Net Worth *                        | DR. L.C. GUPTA METHOD |
| Circular Ref.                     | Circular no. 541(Ref. NSE/MEM/7835 dated September 06, 200) | Upload Scanned copy of Networth Certificate & Computation * | Chrysanthemum.jpg     |
| 25% variation reason from member  | 25 % differ                                                 |                                                             |                       |

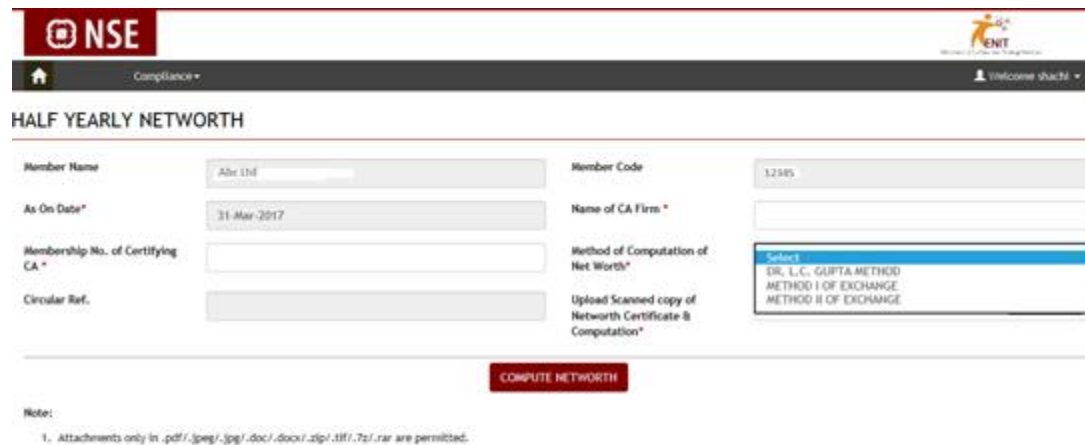
A "COMPUTE NETWORK" button is visible at the bottom. A note at the bottom states: "Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted."

Once the details are finally submitted to the exchange, then all buttons will get disappeared & form will get disabled.

When the 25% or more variation reason is submitted, the status to the member will be seen as 'New' or 'Revised' as the case maybe.

### ▪ Method I of Exchange –

Method I of Exchange comes under Exchange Method. The members who are eligible for this method could also see Dr.L.C.Gupta Method & Method II of Exchange also:



**NSE** **Compliance** **ENIT** **Welcome shachi**

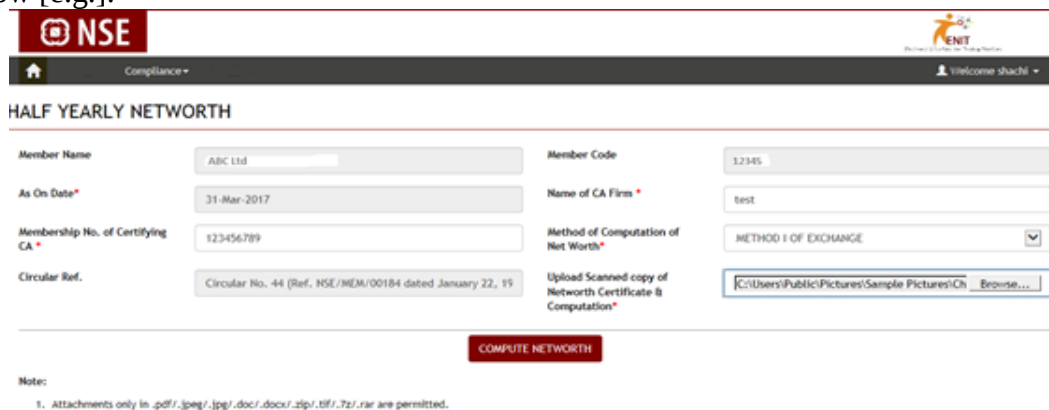
### HALF YEARLY NETWORTH

|                                   |             |                                                            |                                                                                  |
|-----------------------------------|-------------|------------------------------------------------------------|----------------------------------------------------------------------------------|
| Member Name                       | ABC Ltd     | Member Code                                                | 12345                                                                            |
| As On Date*                       | 31-Mar-2017 | Name of CA Firm *                                          |                                                                                  |
| Membership No. of Certifying CA * |             | Method of Computation of Net Worth*                        | Select<br>DR. L.C. GUPTA METHOD<br>METHOD I OF EXCHANGE<br>METHOD II OF EXCHANGE |
| Circular Ref.                     |             | Upload Scanned copy of Networth Certificate & Computation* |                                                                                  |

**COMPUTE NETWORTH**

**Note:**  
1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.tiff/.rar are permitted.

When TM selects Method I of Exchange, its related circular reference no gets auto populated as below [e.g.]:



**NSE** **Compliance** **ENIT** **Welcome shachi**

### HALF YEARLY NETWORTH

|                                   |                                                          |                                                            |                                                  |
|-----------------------------------|----------------------------------------------------------|------------------------------------------------------------|--------------------------------------------------|
| Member Name                       | ABC Ltd                                                  | Member Code                                                | 12345                                            |
| As On Date*                       | 31-Mar-2017                                              | Name of CA Firm *                                          | test                                             |
| Membership No. of Certifying CA * | 123456789                                                | Method of Computation of Net Worth*                        | METHOD I OF EXCHANGE                             |
| Circular Ref.                     | Circular No. 44 (Ref. NSE/MEM/00184 dated January 22, 19 | Upload Scanned copy of Networth Certificate & Computation* | [C:\Users\Public\Pictures\Sample Pictures\Ch...] |

**COMPUTE NETWORTH**

**Note:**  
1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.tiff/.rar are permitted.

When TM clicks on ‘**Compute Networth**’, below editable form gets generated:

Method I of Exchange Circular No. 44 Ref. NSE/MEM/00184 dated January 22, 1997)

| ASSETS                                                     |                                | LIABILITIES                                                |                                |
|------------------------------------------------------------|--------------------------------|------------------------------------------------------------|--------------------------------|
| Particulars                                                | Amount(Rs. in absolute figure) | Particulars                                                | Amount(Rs. in absolute figure) |
| <b>Fixed Assets</b>                                        |                                | <b>Share Capital - Equity/Preference</b>                   |                                |
| Land*                                                      | 0.00                           | <b>LIABILITIES</b>                                         |                                |
| Buildings*                                                 | 0.00                           | Share Capital - Equity/Preference                          |                                |
| Leasehold*                                                 | 0.00                           | Share application*                                         | 0.00                           |
| Plant & Machinery*                                         | 0.00                           | Preference share capital (if redeemable within 36 months)* | 0.00                           |
| Furniture & Fittings*                                      | 0.00                           | <b>TOTAL (Share Capital - Equity/Preference)</b>           | 0.00                           |
| Development of Property*                                   | 0.00                           | <b>Reserves &amp; Surplus</b>                              |                                |
| Vehicles*                                                  | 0.00                           | Revaluation Reserves*                                      | 0.00                           |
| Computers Etc. (Hardware & Software)*                      | 0.00                           | <b>TOTAL (Reserves &amp; Surplus)</b>                      | 0.00                           |
| <b>TOTAL (Fixed Assets)</b>                                | 0.00                           | <b>Secured Loans</b>                                       |                                |
| <b>Investments</b>                                         |                                | Debentures*                                                | 0.00                           |
| Govt./Trust Securities*                                    | 0.00                           | Loans & Advances from Banks*                               | 0.00                           |
| Debentures or Bonds*                                       | 0.00                           | Loans & Advances from Subsidiaries*                        | 0.00                           |
| Shares (Full paid up & Partly paid up)*                    | 0.00                           | Other Loans & Advances*                                    | 0.00                           |
| Shares/Debentures and Bonds of Subsidiary Companies*       | 0.00                           | Interest accrued and due on Secured Loans*                 | 0.00                           |
| Immovable Properties*                                      | 0.00                           | <b>TOTAL (Secured Loans)</b>                               | 0.00                           |
| Investments in capital of partnership firms*               | 0.00                           | <b>Unsecured Loans</b>                                     |                                |
| <b>TOTAL (Investments)</b>                                 | 0.00                           | Fixed Deposits*                                            | 0.00                           |
| <b>Current Assets</b>                                      |                                | Loans and Advances from Subsidiaries*                      | 0.00                           |
| NSE Security Deposit*                                      | 0.00                           | Short Term Loans and Advances (Banks & Others)*            | 0.00                           |
| NSE VSAT & UPS Deposit*                                    | 0.00                           | Other Loans and Advances (Banks & Others)*                 | 0.00                           |
| Stock in trade*                                            | 0.00                           | Interest Accrued and Due on Unsecured Loans*               | 0.00                           |
| Sundry Debtors (Net i.e. Debtors-Provision for bad debts)* | 0.00                           | <b>TOTAL (Unsecured Loans)</b>                             | 0.00                           |
| Cash on hand*                                              | 0.00                           | <b>Current Liabilities and Provisions</b>                  |                                |
|                                                            |                                | Acceptances (NSE and Others)*                              | 0.00                           |

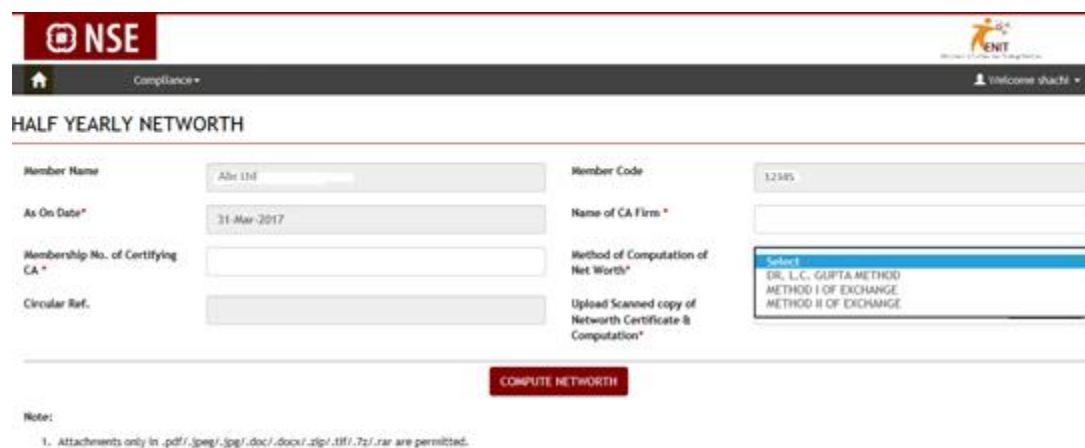
|                                                                                                       |             |                                                   |             |
|-------------------------------------------------------------------------------------------------------|-------------|---------------------------------------------------|-------------|
| Fixed deposit with bank*                                                                              | 0.00        | Sundry Creditors (NSE and Others)*                | 0.00        |
| Bank balances*                                                                                        | 0.00        | Subsidiary Companies*                             | 0.00        |
| Deposit with MTNL*                                                                                    | 0.00        | Advance Payments*                                 | 0.00        |
| Deposit for property/flat*                                                                            | 0.00        | Unclaimed Dividends*                              | 0.00        |
| Deposits adjustable against rent*                                                                     | 0.00        | Interest accrued but not due on Loans*            | 0.00        |
| Margins paid to NSE*                                                                                  | 0.00        | Overdrafts with Bank*                             | 0.00        |
| Interest accrued on Investment*                                                                       | 0.00        | Payments due to other stock exchange*             | 0.00        |
| <b>TOTAL (Current Assets)</b>                                                                         | <b>0.00</b> | Other Liabilities*                                | 0.00        |
| Loans and Advances                                                                                    |             | <b>TOTAL (Current Liabilities and Provisions)</b> | <b>0.00</b> |
| Loans and Advances*                                                                                   | 0.00        | Provisions                                        |             |
| Loans and Advances to Subsidiaries*                                                                   | 0.00        | Provisions for Taxation*                          | 0.00        |
| Advances and Loans to Partnership Firms in which the company or any of its subsidiaries are partners* | 0.00        | Provisions Dividends*                             | 0.00        |
| Bills of Exchanges*                                                                                   | 0.00        | For Provident Scheme/Contingencies*               | 0.00        |
| Advances recoverable in cash or kind or for value to be received (rates, taxes, insurance etc.)*      | 0.00        | For insurance, pension etc. schemes*              | 0.00        |
| Balances with Current A/C with Managing Agents or Secretaries and Treasurers*                         | 0.00        | Other Provisions*                                 | 0.00        |
| Balances with Customs, Port Trust etc. (where payable on demand)*                                     | 0.00        |                                                   |             |
| <b>TOTAL (Loans and Advances)</b>                                                                     | <b>0.00</b> | <b>TOTAL (Provision)</b>                          | <b>0.00</b> |
| <b>ASSETS TOTAL</b>                                                                                   | <b>0.00</b> | <b>LIABILITIES TOTAL</b>                          | <b>0.00</b> |
|                                                                                                       |             | <b>NETWORTH</b>                                   | <b>0.00</b> |

**Notes:**

1. Advance Payments, Investments with or debts due from persons notified under Special Court (Trial of Offences Relating to Transactions in Securities) Act, 1992 are to be excluded for the purpose of computation of networth.
2. All the items to be considered at book value as per statement of Assets & Liabilities / Balance Sheet.
3. Goodwill, intangible assets, patents, trademarks, designs, value of other stock exchange card, deposits with other stock exchange(s) should not be considered for net worth computation.
4. Capital Reserves (Excluding Revaluation Reserves), Capital Redemption Reserves, Debenture Redemption Reserves, Sinking Fund Reserves, General Reserve, Share Premium and Profit c/f from P&L account should not be considered for net worth computation.

## ■ Method II of Exchange –

Method II of Exchange comes under Exchange Method. The members who are eligible for this method could also see Dr.L.C.Gupta Method & Method I of Exchange also:



**NSE**

Compliance

HALF YEARLY NETWORK

Member Name:

Member Code:

As On Date\*:

Name of CA Firm\*:

Membership No. of Certifying CA\*:

Method of Computation of Net Worth\*:

Circular Ref.:

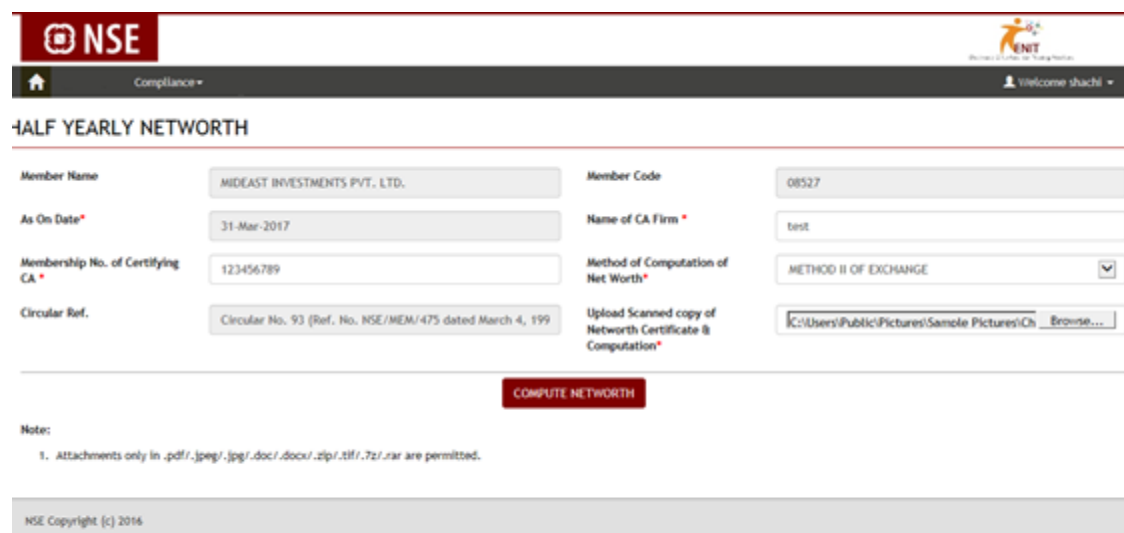
Upload Scanned copy of Networth Certificate & Computation\*:

**COMPUTE NETWORK**

Note:

1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted.

When TM selects Method II of Exchange, its related circular reference no gets auto populated as below [e.g.]:



**NSE**

Compliance

HALF YEARLY NETWORK

Member Name:

Member Code:

As On Date\*:

Name of CA Firm\*:

Membership No. of Certifying CA\*:

Method of Computation of Net Worth\*:

Circular Ref.:

Upload Scanned copy of Networth Certificate & Computation\*:

**COMPUTE NETWORK**

Note:

1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted.

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When TM clicks on ‘**Compute Networth**’ button, below editable form will get generated:

## Method II of Exchange Circular No. 93 Ref. NSE/MEM/475 dated March4, 1998)

| Particulars                                                                                                                                                                                          | Amount(Rs. in absolute figure) | Particulars               | Amount(Rs. in absolute figure) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|---------------------------|--------------------------------|
| A. Listed (Quoted) investments in the name of the applicant (at market value) (Detailed list to be enclosed)*                                                                                        | 0.00                           | M. Current Liabilities*   | 0.00                           |
| B. Margin of 30% on market value of listed (quoted) Investments                                                                                                                                      | 0.00                           | N. Long Term liabilities* | 0.00                           |
| C. Net value of listed investments (A-B)                                                                                                                                                             | 0.00                           |                           |                                |
| D. Investments in unlisted(unquoted) companies (as per Note No. 3)*                                                                                                                                  | 0.00                           |                           |                                |
| E. Margin of 50% on Investments in unlisted (unquoted) companies                                                                                                                                     | 0.00                           |                           |                                |
| F. Net value of unlisted Investments (D-E)                                                                                                                                                           | 0.00                           |                           |                                |
| G. Other Investments (at cost) like PPF, NSEC at current value, Statutory deposits with the Exchange, Deposits with registered NSFCs, Bank FDs*                                                      | 0.00                           |                           |                                |
| H. Total Net Investments (C+F+G)                                                                                                                                                                     | 0.00                           |                           |                                |
| I. Market Value of Land and Building component of the Fixed Assets (Full details of such assets like survey number, location, address, extent of land and building to be furnished)*                 | 0.00                           |                           |                                |
| J. Margin on Market Value of Land and Building component of the Fixed Assets (Full details of such assets like survey number, location, address, extent of land and building to be furnished) at 50% | 0.00                           |                           |                                |
| K. Net Value of such fixed assets (I-J)                                                                                                                                                              | 0.00                           |                           |                                |
| L. Debtors not exceeding 3 months + Cash and Bank Balance*                                                                                                                                           | 0.00                           |                           |                                |
|                                                                                                                                                                                                      |                                | O. Networth (H+K+L)-(M+N) | 0.00                           |

## Notes:

- For computation of loans and advances as a component of current assets, all advances / loans other than those arising out of securities dealing have to be excluded. Only such loans and advances arising due to the securities dealings are to be included as current assets for the purpose of networth computation.
- Valuation of fixed assets for the consideration of networth would have to be certified by government approved valuers and the value would hold good for 3 years unless a fresh valuation is submitted. Only those items of land & building that are in the name of the trading member as well as in the possession of the trading member shall be included under the head (I) - Land & Building component of the Fixed Assets. Those properties that are leased out by the trading member or taken on lease shall not be included for computation of networth. Fixed Assets other than Land & Building shall not be included for the purpose of computation of networth.
- Valuation of unlisted investments would be at "fair value" of the said investment, i.e. the average of the "earning value" and the "break up value". For this purpose: -
  - The "break up value" means equity capital and reserves as reduced by intangible assets and revaluation reserves, divided by number of equity shares of investee co.
  - The "earning value" means the value of an equity share computed by taking the average of profits after tax as reduced by the preference dividend and adjusted for extra-ordinary and non-recurring items, for the immediately preceding three years and further divided by the number of equity shares of the investee company and capitalised at the following rate :-
    - In case of predominantly manufacturing company, eight percent;
    - In case of predominantly trading company, ten percent; and
    - In case of any other company, including an NBFC, twelve percent;
    - If, an investee company is a loss making company, the earning value will be taken at zero. (For e.g. EV for an NBFC with capitalisation rate of 12%, is earning per share multiplied by 100/12)
- Details of items comprising Investments, current assets, current liabilities and long term liabilities should be given separately.
- Current assets should exclude loans to related entities, bad and doubtful debts and debts outstanding for more than 3 months, advance against capital assets, pledged securities / assets, prepaid expenses, bad deliveries and also intangible assets.
- Debtors should be distinguished as debtors arising from securities operations and others.
- Value of membership card / Deposits with any other Stock Exchange is to be excluded for the purpose of computation of networth.
- Advance / Investment with or debts due from persons notified under Special Court (Trial of Offences Relating to Transactions in securities) Act, 1992 are to be excluded for the purpose of computation of networth.

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## ■ RBI Method –

RBI Method is assigned to the Bank.

When TM selects the RBI Method, the related circular reference no. gets auto populated as follow:




 Compliance

 Welcome shachi

### HALF YEARLY NETWORK

|                                   |                                          |                                                            |                                                                                       |
|-----------------------------------|------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------------|
| Member Name                       | <input type="text" value="ABC Ltd"/>     | Member Code                                                | <input type="text" value="12345"/>                                                    |
| As On Date*                       | <input type="text" value="31-Mar-2017"/> | Name of CA Firm *                                          | <input type="text"/>                                                                  |
| Membership No. of Certifying CA * | <input type="text"/>                     | Method of Computation of Net Worth*                        | <div> <div>Select</div> <div>DR. L.C. GUPTA METHOD</div> <div>RBI Method</div> </div> |
| Circular Ref.                     | <input type="text"/>                     | Upload Scanned copy of Networth Certificate & Computation* | <input type="text"/> <input type="button" value="Browse..."/>                         |

Note:

1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.rar are permitted.

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 Compliance

 Welcome shachi

### HALF YEARLY NETWORK

|                                   |                                                                                    |                                                            |                                                                                                                   |
|-----------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|
| Member Name                       | <input type="text" value="ABC Ltd"/>                                               | Member Code                                                | <input type="text" value="12345"/>                                                                                |
| As On Date*                       | <input type="text" value="31-Mar-2017"/>                                           | Name of CA Firm *                                          | <input type="text" value="test"/>                                                                                 |
| Membership No. of Certifying CA * | <input type="text" value="123456789"/>                                             | Method of Computation of Net Worth*                        | <div> <div>RBI Method</div> </div>                                                                                |
| Circular Ref.                     | <input type="text" value="Circular No. NSE/COMP/2010/53 Download Ref No. NSE/CC"/> | Upload Scanned copy of Networth Certificate & Computation* | <input type="text" value="C:/Users/Public/Pictures/Sample Pictures/Ch"/> <input type="button" value="Browse..."/> |

Note:

1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.rar are permitted.

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When TM clicks on 'Compute network' button, below editable form will get generated:

RBI Circular No. NSE/COMP/2010/53 Download Ref No. NSE/COMP/14940 dated June 7, 2010

A. RBI Amount : \*

SAVE

SUBMIT TO EXCHANGE

NSE Copyright (c) 2016

Here, when user enters less than 500 cr. In the '**RBI Amount**' field, a correct error alert will displayed:

Note:

1. Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar

Amount should not be less than 500cr.

Ok

RBI Circular No. NSE/COMP/2010/53 Download Ref No. NSE/COMP/14940 dated June 7, 2010

A. RBI Amount : \*

SAVE

SUBMIT TO EXCHANGE

NSE Copyright (c) 2016

**Note – The submission process for all method is same as decribed earlier in this user manul.**

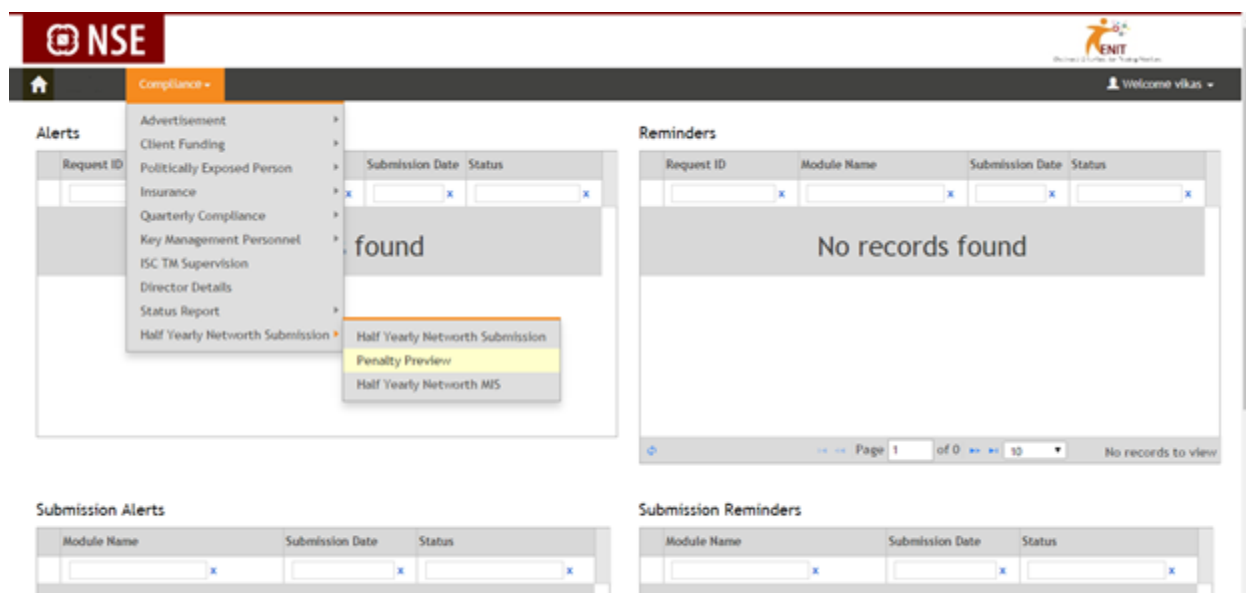
When the TM submits the half yearly network, the same will get reflected in the 'Half Yearly MIS' module present at member side. This is described later in the manual.

### 3.1.2 Penalty Preview

Penalty Preview facilitates TM to view the penalty report and to download the approved penalty letters.

.

1. Login with correct member credentials.
2. Click on 'Compliances'.
3. Go to 'Half Yearly Network Submission' module.
4. Select 'Penalty Preview' and click on



The 'Penalty Preview' screen will be displayed as below:

The screenshot shows the NSEIL web interface. At the top, there is a header with the NSE logo on the left and a user profile icon with the text 'Welcome shachi' on the right. Below the header, the main title 'Half Yearly Network Penalty Preview' is displayed. The form contains four input fields: 'Member Name' with the value 'ABC Ltd', 'Member Code' with the value '12345', 'Period' with a dropdown menu showing 'Select', and 'Month' with a dropdown menu showing 'Select'. Below these fields are two red buttons labeled 'Search' and 'Reset'. At the bottom of the form, there is a footer that reads 'NSE Copyright (c) 2016'.

‘**Member Name**, **Member Code**’ are the auto populated disabled fields.

‘**Period**’ is a dropdown option having all half yearly periods.

‘**Month**’ is also a dropdown option for selection of the month.

‘**Search**’ button enables TM to search for the all penalty reports preview.

‘**Reset**’ button enables TM to reset all the entered values to their default values.

When user keeps all the fields default & clicks on Search button, it will load a default MIS Report:

**NSE**

Compliance

Welcome shachi

### Half Yearly Networth Penalty Preview

Member Name: ABC Ltd Member Code: 12345

Period: Select Month: Select

Search Reset

| Ref no               | Member Name | Member Code | Period      | Letter   | Remark |
|----------------------|-------------|-------------|-------------|----------|--------|
| 1 NSE/PENALTY/323/18 | ABC Ltd     | 12345       | 01-Apr-2016 | Download | ok     |

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TM is able to view only approved status in this module.

The approved request will also give the TM to download the approval letter.

TM is able to save the letter by clicking on the download button available:

**NSE**

Compliance

Welcome shachi

### Half Yearly Networth Penalty Preview

Member Name: ABC Ltd Member Code: 12345

Period: Select Month: Select

Search Reset

| Ref no               | Member Name | Member Code | Period      | Letter   | Remark |
|----------------------|-------------|-------------|-------------|----------|--------|
| 1 NSE/PENALTY/323/18 | ABC Ltd     | 12345       | 01-Apr-2016 | Download | ok     |

NSE Copyright (c) 2016

Do you want to open or save HalfYearlyPenalty18Apr2017Letter.pdf from 172.17.7.66?

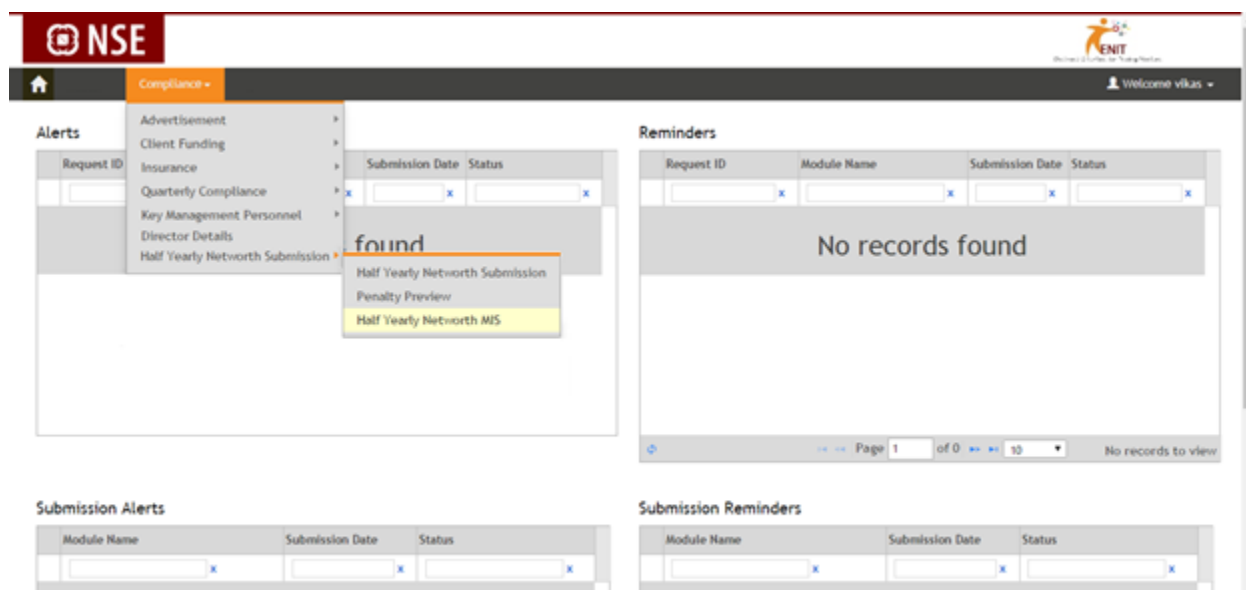
Open Save Cancel

The generated letter will be in PDF format.

### 3.1.3 Half Yearly MIS

‘Half Yearly MIS’ module helps TM to view the submitted certificates & their status. He can also filter the MIS using the status option provided.

1. Login with correct member credentials.
2. Click on ‘Compliances’.
3. Go to ‘Half Yearly Submission’ module.
4. Select ‘Half Yearly MIS’ and click on it.



When TM selects the Half Yearly MIS, below screen will be displayed:

The screenshot displays the NSEIL COMPLIANCE portal interface. At the top, there is a header with the NSEIL logo and a 'Welcome shachi' message. Below the header, the title 'HALF YEARLY NETWORTH MIS' is prominently displayed. The form contains several input fields: 'Member Name' with the value 'ABC Ltd', 'Member Code' with the value '12345', 'Reference No.' which is currently blank, and a 'Status' dropdown menu set to 'SELECT'. There are 'Search' and 'Reset' buttons below the 'Reference No.' field. The footer of the page indicates 'NSE Copyright (c) 2016'.

Here, '**Member Name & Member Code**' fields are auto populated & disabled.

'**Reference No**' is a blank text field. It should accept maximum 25 characters. It will help member to search using the reference no.

TM must be able to filter the MIS using 'Reference no. & Status' fields.

'**Status**' is a dropdown options. It consists of following options:

- Select
  - New
  - Revised
  - Approved
  - Rejected
1. **New:** When the member submits the network for the first time without a shortfall, then the status will be displayed as 'New'. Even if there exists a 25% or more variation, still the status will be displayed as 'New'.
  2. **Revised:** When the member submits the revised network after any rejection, then the status will be displayed as 'Revised'.

3. **Approved:** When Exchange approves the submitted details, the status will get changed to 'Approved'. When the request is approved by the Exchange, member will receive the approved status with the reference no in the email-id provided by him to the exchange.
4. **Rejected:** When the member reports a shortfall in the network, the status for such request will be shown as 'Rejected'. Even when the Exchange rejects the submitted request, that time also member will see the status as 'Rejected'. When Exchange rejects the request, member will receive the rejected status with the rejected reason in the email-id provided by him to the exchange.

When member can resubmit the details in case of a rejection.

**HALF YEARLY NETWORK MIS**

Member Name: ABC Ltd      Member Code: 12345  
 Reference No.:      Status: SELECT

| Item Code | Member Name | Network Method | Submission Date       | Date of Revised Submission | Status                   | Reference No. |                                      |
|-----------|-------------|----------------|-----------------------|----------------------------|--------------------------|---------------|--------------------------------------|
| 1         | 12345       | ABC Ltd        | DR, L.C. GUPTA METHOD | Apr 17, 2017 11:18:59 AM   | Apr 17, 2017 11:25:05 AM | REVISED       | <a href="#">12/HALF_NET/0417/427</a> |

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To resubmit the request, member needs to click on the reference no. When he clicks on the reference no, half yearly submission form with previously submitted values will be launched. The numeric fields will get enabled for the member to enter the amount such that member is enabled to resubmit the form.

When member resubmits the request, the reference no will not get changed. It will remain the same, but the status will get changed to '**Revised**' which will later be changed to '**Rejected**' or **Approved** by the Exchange.

  
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Welcome shachi

### HALF YEARLY NETWORK MIS

Member Name

ABC Ltd

Member Code

12345

Reference No.

Status

SELECT

Search

Reset

| Item Code | Member Name | Network Method | Submission Date       | Date of Revised Submission | Status                   | Reference No. |                                      |
|-----------|-------------|----------------|-----------------------|----------------------------|--------------------------|---------------|--------------------------------------|
| 1         | 12345       | ABC Ltd        | DR. L.C. GUPTA METHOD | Apr 17, 2017 11:18:59 AM   | Apr 17, 2017 11:25:05 AM | REVISED       | <a href="#">12/HALF_NET/0417/427</a> |

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