

NATIONAL STOCK EXCHANGE OF INDIA LIMITED**DEPARTMENT : COMPLIANCE**

Download Ref No : NSE/COMP/37824

Date : May 24, 2018

Circular Ref. No : 31/2018

To all members,

Sub: Mandatory Insurance Cover for the Period 2018-19

As per SEBI directive dated January 19, 1996 it is mandatory for every trading member to have an insurance cover.

Trading Members are therefore, requested to ensure that their Stock Brokers Indemnity Policy is in order for the period 2018-19 w.e.f. 1st June, 2018. Trading Members are required to submit the details for the same **through ENIT** on or before **31st July, 2018**.

Members are required to note that –

1. Submissions of details of Stock Brokers Indemnity Policy is required to be made only in electronic format through ENIT by July 31, 2018.
2. Procedure for submitting details of Stock Brokers Indemnity Policy in electronic format through ENIT is provided at **Annexure I**.
3. Members opting for the Stock Brokers Indemnity Policy through ANMI need not submit the details of Stock Brokers Indemnity Policy through ENIT.
4. Failure to submit the details on ENIT, by **31st July, 2018**, would be treated as non-compliance and attract a levy of late submission charges of Rs.100/- per day till the date of submission of required details.

Trading members are requested to ensure compliance of the above.

For National Stock Exchange of India Limited

Kapil Jaikalyani
Chief Manager

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ANNEXURE – I

USER MANUAL FOR ELECTRONIC UPLOAD OF PROOF OF STOCK BROKERS INDEMNITY POLICY THROUGH ENIT NEW COMPLIANCE'

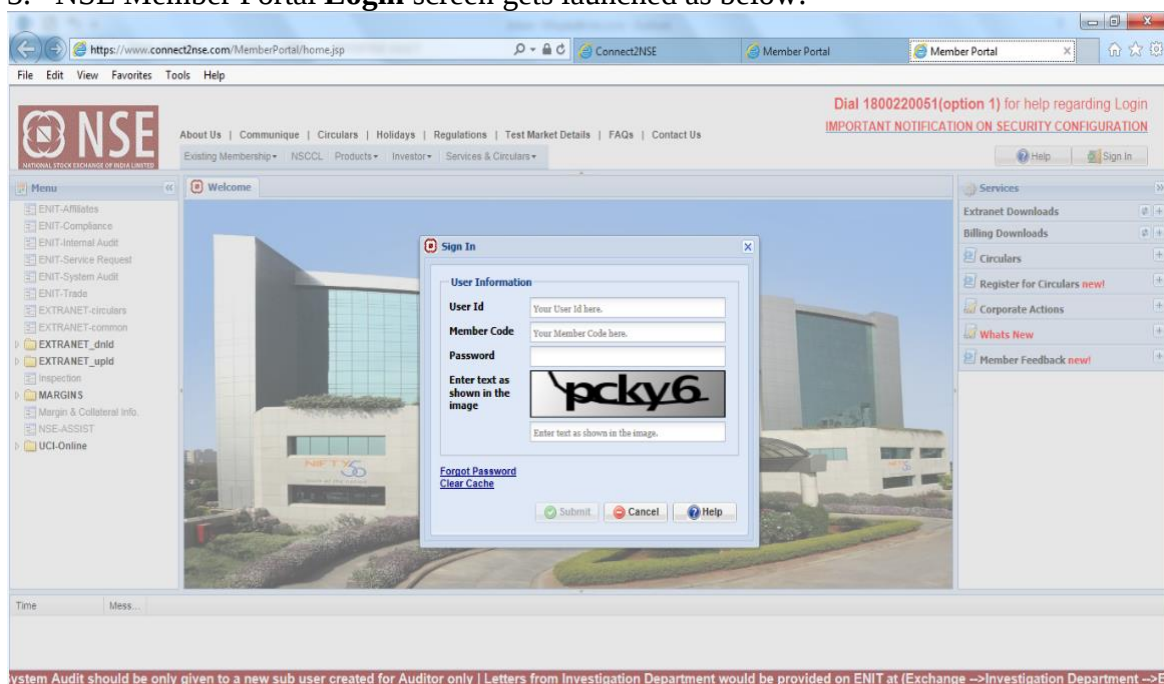
(Electronic NSE interface for trading members)

To start the 'Electronic Member Interface' portal, Trading Member first needs to login to the 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 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 & then click the **Go** button from the browser.
3. NSE Member Portal **Login** screen gets launched as below:

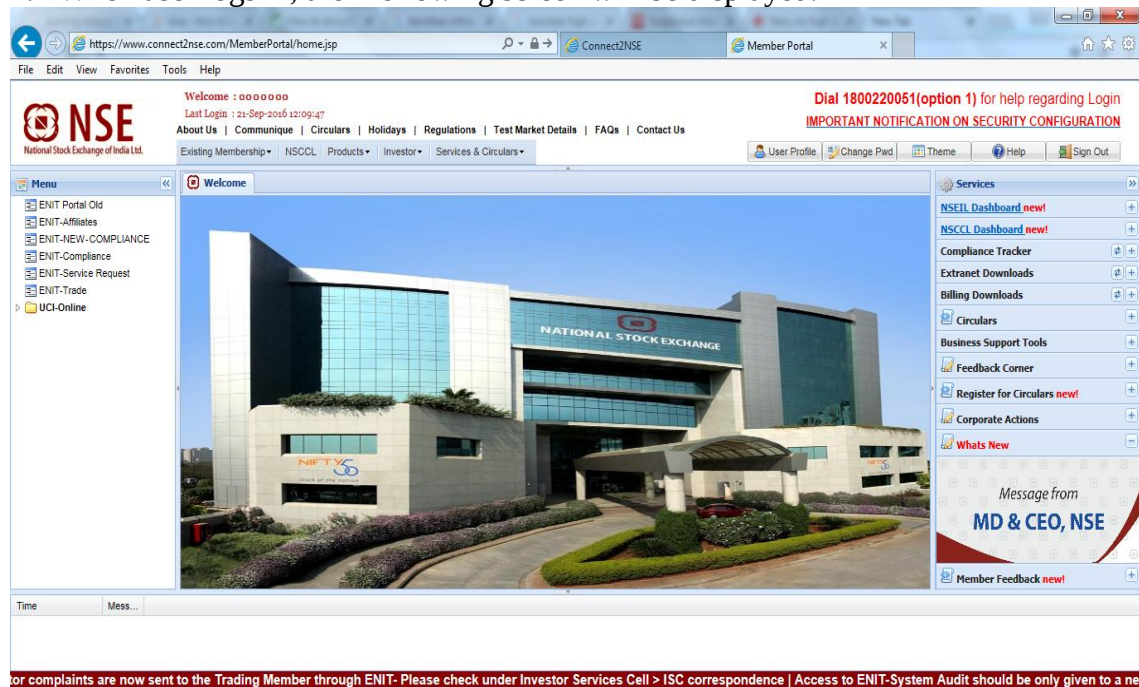


After entering the credentials, user needs to clicks on 'Submit' button to login.

UserId	✓ Type the appropriate Userid in this field. ✓ This field is alphanumeric. ✓ This field is mandatory.
Member	✓ Type the appropriate member code of the user in this field. ✓ This field is numeric only. ✓ This field should accept 5 digit correct member code.

Code	✓ This field is mandatory.
Password	✓ Type correct password in this field. ✓ This field accepts alphanumeric & special characters. ✓ This field is mandatory.

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:

Alerts

Request ID	Module Name	Submission Date	Status
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

Reminders

Request ID	Module Name	Submission Date	Status
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

Submission Alerts

Module Name	Submission Date	Status	
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

Submission Reminders

Module Name	Submission Date	Status	
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'.

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 Insurance module of the Electronic Member Interface (User) & their uses.

The screenshot displays the Electronic Member Interface (User) with the following components:

- Navigation Bar:** Located at the top, it includes the NSE logo, a home icon, and a 'Compliance' dropdown menu. A callout box labeled 'Navigation Bar' points to the top navigation area.
- Compliance Dropdown Menu:** A list of options including 'Advertisement', 'Client Funding', 'Insurance', 'Politically Exposed Person', and 'Quarterly Compliance'.
- No Records Found:** A message displayed in a large box, indicating that no records were found for the selected criteria.
- Reminders Table:** A table showing reminders with columns: Request ID, Module Name, Submission Date, and Status. It contains three rows of data for 'ADVERTISEMENT' submissions.
- Submission Alerts Table:** A table showing submission alerts with columns: Module Name, Submission Date, and Status. It contains one row of data for 'ADVERTISEMENT'.
- Submission Reminders Table:** A table showing submission reminders with columns: Module Name, Submission Date, and Status. It contains two rows of data for 'ADVERTISEMENT'.

Navigation Bar

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

On clicking on 'Compliance' module, 'Insurance' module will be available as below:

Insurance module contains below sub modules:

- New Insurance
- Insurance Preview

Compliance

INSURANCE

Insurance is the protection from the financial loss. An entity which provides the insurance is known as 'Insurer or Insurance Company'. A person or the entity who buys the insurance is known as 'Insured or Policy Holder'. 'Premium' is the amount to be paid for the contract of insurance.

When policy gets issued, insured will get the policy number.

New Insurance

[A] Open 'New Insurance' form:

1. Login with correct member credentials
2. Click on 'Compliance'
3. Go to 'Insurance'
4. Select 'New Insurance'
5. Click on it

The below screen for New Insurance will get launched:

The screenshot shows the 'Insurance Details' form on the NSE website. The form is divided into two columns. The left column contains fields for Member Name (ABC LTD), Name of Insurance Company, Policy Renewal Receipt Number, Policy Valid From, Policy Premium Amount, and Mobile Number. The right column contains fields for Member Code (12345), Policy Number, Policy Renewal Receipt Date, Policy Valid To, Email Id, and Upload Premium Renewal Receipt. There are 'Submit' and 'Reset' buttons at the bottom. A note at the bottom states: 'Note: 1. The file formats .pdf/.bmp/.jpg/.jpeg/.doc/.docx/.mpeg/.zip/.tif will be accepted by module. 2. Please ensure size of attachment is less than 10 MB. 3. Please provide the email id where you will be informed of the status of your application.' The footer shows 'NSE Copyright (c) 2016'.

The fields which are marked with * mark are mandatory to fill. This form contains text, alphanumeric, numeric, calendar, upload fields. It will have 'Submit & Reset' buttons.

Here, the **Member Name** and **Member Code** will be auto populated and hence non editable.

[B] Submitting the Insurance details:

1. Enter Name of Insurance Company.

2. Enter Policy Number.
3. Enter Policy Renewal Receipt Number.[Non mandatory field]
4. Select Policy Renewal Receipt Date using the calendar.[Non mandatory field]
5. Select Policy Valid from & to Date using the calendar.
6. Enter Policy Premium Amount.
7. Enter correct Email Id.
8. Enter correct Mobile Number.
9. Upload the Premium Renewal Receipt.
10. Submit.

On submitting all details successfully, successful alert with Request Reference Number will be displayed as below:

The screenshot shows the NSE Insurance Details form. A confirmation dialog box is displayed in the center, stating: "Confirmation", "Request Submitted successfully.", "Your Request Reference No 1234 /INSURANCE/11743.", and "OK". The form fields include: Member Name (ABC LTD), Member Code (12345), Name of Insurance Company*, Policy Renewal Receipt Number, Policy Valid From*, Policy Premium Amount*, Mobile Number*, and Upload Premium Renewal Receipt* with a Browse... button. A Back button is at the bottom. The footer shows "NSE Copyright (c) 2016".

The Reference No. format is ‘MemberCode/INSURANCE/Unique Request No.’

‘Name of Insurance Company’ will accept only alphanumeric characters.

‘Policy Number’ accepts accept only numbers.

‘Policy Renewal Receipt Number’ accepts alphanumeric characters.

‘Policy Premium Amount’ accepts only numbers. It will not accept any alphabets & special characters.

‘Email id’ field will accept only the correct email ids in the following format –

name@domainname.com or name@domainname.co.in

User has to provide the correct email id because the status of the submitted application will be sent on it.

‘**Mobile No**’ field will not accept any alphabet or special character. It will not also accept less than 10 digit number.

User is able to upload only following formats which will be less than 10MB in size :

- .pdf
- .bmp
- .jpg
- .jpeg
- .doc
- .docx
- .mpeg
- .zip
- .tif

‘**Reset**’ button will reset the data to the default blank values/options.

Insurance Preview

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

[A] Open Insurance Preview screen:

1. Login with correct member credentials
2. Click on ‘Compliance’
3. Go to ‘Insurance’
4. Select ‘Insurance Preview’
5. Click on it

On clicking, below screen will get open:

The screenshot displays the 'Insurance Report' interface within the NSE system. The top navigation bar includes the NSE logo and tabs for 'Master', 'Compliance', and a user profile dropdown showing 'Welcome shachi'. The main section is titled 'Insurance Report' and contains the following fields:

- Member Name:** ABC LTD
- Member Code:** 12345
- Request Ref. No.:** (empty text box)
- Status:** ALL (dropdown menu)
- Submission From Date:** (calendar icon)
- Submission To Date:** (calendar icon)
- Report Type:** View History (dropdown menu)

At the bottom of the form are two buttons: 'Search' and 'Reset'. The footer of the page indicates 'NSE Copyright (c) 2016'.

Here, **Member Name** & **Member Code** fields will be auto populated & non editable.

‘**Request Ref.No**’. field accepts alphanumeric & / special character.

‘**Submission from & to Date**’ is a calendar type & user can select the appropriate date using it.

‘**Status**’ is a dropdown list & must contain following options:

- All
- New
- Revised
- Not Approved
- Approved

‘**Record Type**’ is a dropdown list and contains options as:

- View Current
- View History

‘**Reset**’ button reset the data to the default options/values.

‘**Search**’ button helps user to fetch the report on the screen.

When user clicks on the ‘**Search**’ button, a default MIS report will be displayed along with an ‘**Export**’ hyperlink as follows:

Insurance Report

Member Name: ABC LTD Member Code: 12345

Request Ref. No.: Status: ALL

Submission From Date: Submission To Date:

Report Type*: View History

[Export](#)

Search **Reset**

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment	
1	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
2	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
3	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
4	12345/INSURANCE/1	FINAL TEST	333	333	01-Jun-2016	18-Oct-2016	REVISED	Download

‘**Export**’ helps user to get the details in a CSV format.

[B] MIS Report generation on default fields:

On default, the Report Type will be 'View History' & Status will be 'All'. Hence all submitted Insurance details which are currently submitted by user must be displayed as follow:

The screenshot shows the NSE Insurance Report generation interface. The header includes the NSE logo and navigation links. The main section is titled "Insurance Report". Below the title, there are input fields for "Member Name" (ABC LTD), "Member Code" (12345), "Request Ref. No.", "Status" (ALL), "Submission From Date", "Submission To Date", and "Report Type*" (View History). There are "Search" and "Reset" buttons. Below the form is a table with 8 columns: Ref no, Company Name, Policy, Renewal Rec no, Policy valid From, Policy valid To, Status Value, and Attachment. The table contains 4 rows of data, with the first row being a header and the subsequent rows showing insurance details. The "Attachment" column contains a "Download" button for the first row.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Atttachment
1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
2	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
3	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED	---
4	FINAL TEST	333	333	01-Jun-2016	18-Oct-2016	REVISED	Download

[C] MIS Report generation on filtrated fields:

This helps user to get the Insurance Details on his choice of selecting the information. The user can filter using any specific data and can search for the particular Insurance details. In the generated MIS Report, the 'Request Reference No' & 'Submitted File i.e. Attachment' are hyperlinks i.e. they are clickable. By default, it will display 10 requests per page. User can sort it to 20 & 30 requests.

On filtration, the screen will be launched as follow:

The screenshot shows the NSE Insurance Report generation interface with filtered results. The "Request Ref. No." field is set to "11755" and the "Status" field is set to "APPROVED". The "Report Type*" is set to "View Current". Below the form is a table with 8 columns: Ref no, Company Name, Policy, Renewal Rec no, Policy valid From, Policy valid To, Status Value, and Attachment. The table contains 1 row of data, showing insurance details for "INSURER LIC" with a "Download" button in the "Attachment" column.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Atttachment
1	INSURER LIC	POLICY	RENEWAL	09-May-2017	29-May-2017	APPROVED	Download

When user clicks on any Request Ref. No. , it will take user to the screen where he will find all the submitted details for that particular Request Ref. No. as follow:




Master
Compliance
Welcome shachi

Insurance Details

Member Name	ABC LTD	Member Code	12345
Name of Insurance Company*	LIC	Policy Number*	123456789
Policy Renewal Receipt Number	9999999999999999	Policy Renewal Receipt Date	01-May-2017
Policy Valid From*	10-May-2017	Policy Valid To*	30-May-2017
Policy Premium Amount*	2500	Email Id*	nseit_sgovekar@vendor.nse.co.in
Mobile Number*	9876543210	Upload Premium Renewal Receipt *	upload.pdf
Request Ref. No.	12345/INSURANCE/11751		

Back

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Here, all the previously submitted details are visible but are disabled. User can download the related attachment by clicking on it as shown above.

‘Back’ button navigates user back to the default Insurance Preview scree.

The user can also download the attachment from the Report page by clicking on the ‘Attachment’ as below:




Master
Compliance
Welcome shachi

Insurance Report

Member Name	ABC LTD	Member Code	12345
Request Ref. No.	11755	Status	ALL
Submission From Date		Submission To Date	
Report Type*	View Current		Export

SearchReset

Using this 'Download' button, TM can download & save the uploaded document

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attchment	
1	12345/INSURANCE/11751	INSURER LIC	POLICY	RENEWAL	09-May-2017	29-May-2017	APPROVED	Download

[D] MIS Report on entering the specific details into the blank search fields:

User can enter any specific details, say Member Code, can also find the related MIS Report.

The screenshot shows the NSE Insurance Report interface. At the top, there's a header with the NSE logo and navigation links. Below the header, the page title 'Insurance Report' is displayed. The search filters include: Member Name (ABC LTD), Member Code (12345), Request Ref. No., Status (ALL), Submission From Date, Submission To Date, and Report Type (View Current). A callout box points to the search filters with the text: 'TM can find the details using these blank search boxes'. Below the filters are 'Search' and 'Reset' buttons. The results table has columns: Ref no, Company Name, Policy, Renewal Rec no, Policy valid From, Policy valid To, Status Value, and Attachment. A single record is shown with Ref no 12345/INSURANCE/1, Company Name FINAL TEST, Policy 333, Renewal Rec no 333, Policy valid From 01-Jun-2016, Policy valid To 18-Oct-2016, Status Value REVISED, and a Download button.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
1	FINAL TEST	333	333	01-Jun-2016	18-Oct-2016	REVISED	Download

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

When no records are available, it will show as 'No records to display' as follow:

The screenshot shows the NSE Insurance Report interface with the same search filters as in the previous screenshot. However, the results table is empty, and a message 'No records to display' is shown in a callout box. The search filters are: Member Name (ABC LTD), Member Code (12345), Request Ref. No. (1111), Status (ALL), Submission From Date, Submission To Date, and Report Type (View History). Below the filters are 'Search' and 'Reset' buttons.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
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[F] When Exchange rejects the request:

When Exchange does not approve the member's submitted request, then member will get intimated with the status as 'Not Approved' as below:




Master ▾ Compliance ▾
Welcome shachi ▾

Insurance Report

Member Name
ABC LTD

Member Code
12345

Request Ref. No.
11754

Status
NOT APPROVED ▾

Submission From Date

Submission To Date

Report Type*
View Current ▾

[Export](#)

Search

Reset

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
1 12345/INSURANCE/11	A	A	A	01-May-2017	30-May-2017	NOT APPROVED	Download

When user opens such rejected request, the mandatory fields will get enabled for him to re-enter the details & hence **‘Revise, Reset & Back’** buttons will be available as below:




Master ▾ Compliance ▾
Welcome shachi ▾

Insurance Details

Member Name
ABC LTD

Member Code
12345

Name of Insurance Company*
qeweqw

Policy Number*
21123123

Policy Renewal Receipt Number
345345345

Policy Renewal Receipt Date
04-Feb-2017

Policy Valid From*
08-Feb-2017

Policy Valid To*
31-Oct-2017

Policy Premium Amount*
2500

Email Id*
nseit_sgovekar@vendor.nse.co.in

Mobile Number*
9898565916

Upload Premium Renewal Receipt
[168010_VendorDoc \(2\).pdf](#)

Request Ref. No.
12345/INSURANCE/11060

Remarks
Request is rejected

Revise

Reset

Back

*** Note:**

1. The file formats .pdf/.bmp/.jpg/.jpeg/.doc/.docx/.mpeg/.zip/.tif will be accepted by module.
2. Please ensure size of attachment is less than 10 MB.
3. Please provide the email id where you will be informed of the status of your application.

When user clicks on the Revise button, a successful alert with the old reference no will be displayed as:

The screenshot shows the NSE Insurance Report page. A confirmation dialog box is displayed in the center, indicating that the request was submitted successfully. The dialog box contains the following text:

Confirmation
 ✓ Request Submitted successfully.
 Your Request Reference No
12345/INSURANCE/11060.
 OK

The background form includes the following fields:

- Member Name: ABC LTD
- Member Code: 12345
- Request Ref. No.: (empty)
- Submission From Date: (empty)
- Report Type*: View History
- Status: ALL

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When request gets re-submitted, the status will get changed to 'Revised' in the MIS report as below:

[G] When Exchange approves the request:

When Exchange approves the member's submitted request, the status will get updated as Approved & when user opens it, all details will be visible but member will not be able to edit it. Only Back button will be displayed as below:

The screenshot shows the NSE Insurance Report page with a table displaying the status of the request. The table has the following columns:

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
1	test company.	ABCD12345	QWERTY12345QWER	01-Sep-2014	28-May-2019	APPROVED	Download

The 'APPROVED' status is highlighted with a black box. The page also includes search and reset buttons, and a link to 'Export'.

Insurance Details

Member Name	ABC LTD	Member Code	12345
Name of Insurance Company*	test company.	Policy Number*	ABCD12345
Policy Renewal Receipt Number	QWERTY12345QWERTY	Policy Renewal Receipt Date	30-May-2017
Policy Valid From*	01-Sep-2014	Policy Valid To*	28-May-2019
Policy Premium Amount*	25000	Email Id*	nseit_sgovekar@vendor.nse.co.in
Mobile Number*	9876543210	Upload Premium Renewal Receipt *	digiprajwaladigi_signed.pdf
Request Ref. No.	12345/INSURANCE/11756		

[Back](#)

Note – When Exchange takes any action against TM's submitted request, TM will receive the same through the submitted email id.