



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 Networth 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 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.

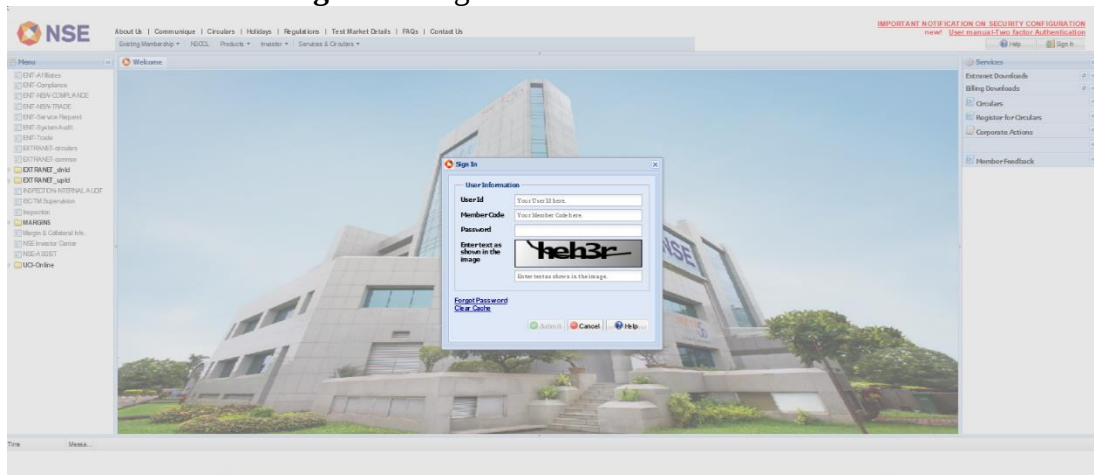
The Member needs to provide access to the new service to the compliance users for accessing above modules. This access to the new service can be given using Admin user provided to the Member.

To start the ‘Electronic Member Interface’ portal, 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:



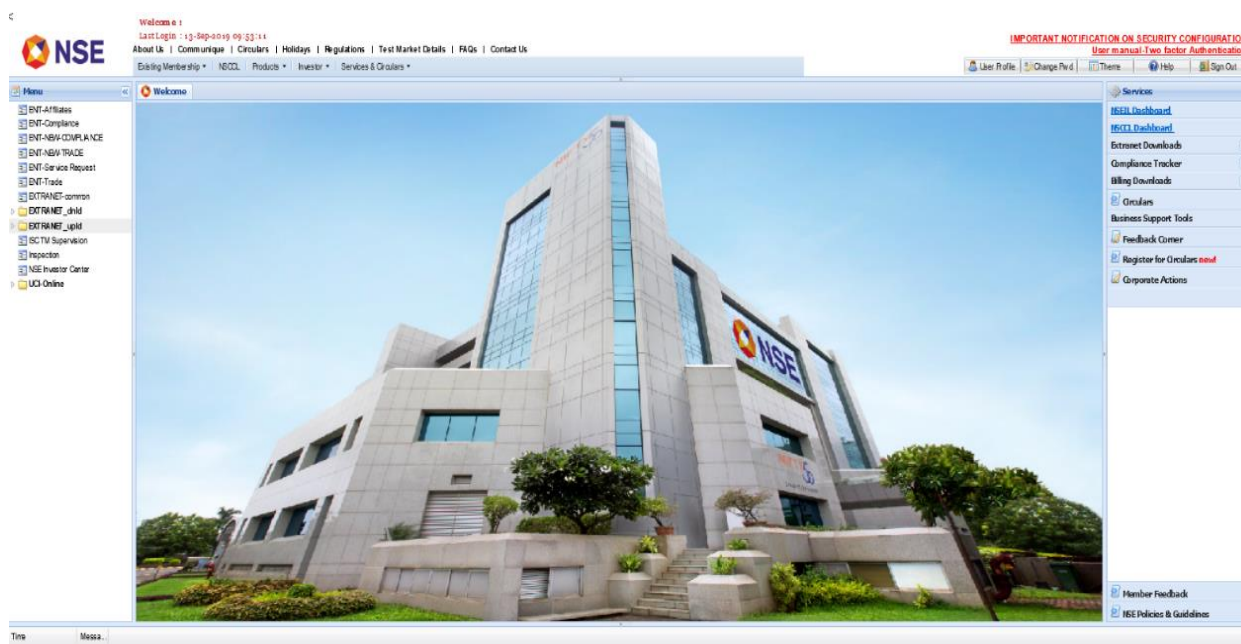
After entering the credentials, user needs to clicks on ‘Submit’ button to login.

UserId	✓ Type the appropriate Userid in this field. ✓ This field is alphanumeric. ✓ This field is mandatory.
--------	---

Member Code	✓ 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. ✓ 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.



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



Member Code :

Member Name :


[Home](#) [Compliance](#) [Trade](#) [Membership](#)

Welcome

GSTIN Information

ENTITY	Address	Provisional GST Id	ARN Number	PAN
National Stock Exchange of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN1797L1Z0	AA271216007256G	AAACN1797L
National Securities Clearing Corporation of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN2642L1ZE	AA271216007418C	AAACN2642L

Members are requested to follow Escalation Matrix as given below for the service related Query/issues on the Leased Line managed by Sify Technologies Ltd.

Criticality	Contact Number	Email id	Contact person	Priority
Level 1	18004199963	nse.servicedesk@sifycorp.com nse.sifynoc@sifycorp.com	Help desk Team	Immediate
Level 2	9841264447	senthil.saravanan@sifycorp.com	Senthil Saravanan(Assitant manager GNOC)	1 Hour
Level 3	9818784467	shankar.yadav@sifycorp.com	Shankar Yadav(Senior Manager GNOC)	2 Hour
Level 4	9884968619	pillai.pramod@sifycorp.com	pramod Pillai(AGM Network Operations)	3 Hour
Level 5	9884070474	joseph.abraham@sifycorp.com	Joseph Abraham(AVP Network Operations)	4 Hour

Alerts

No Records Found.

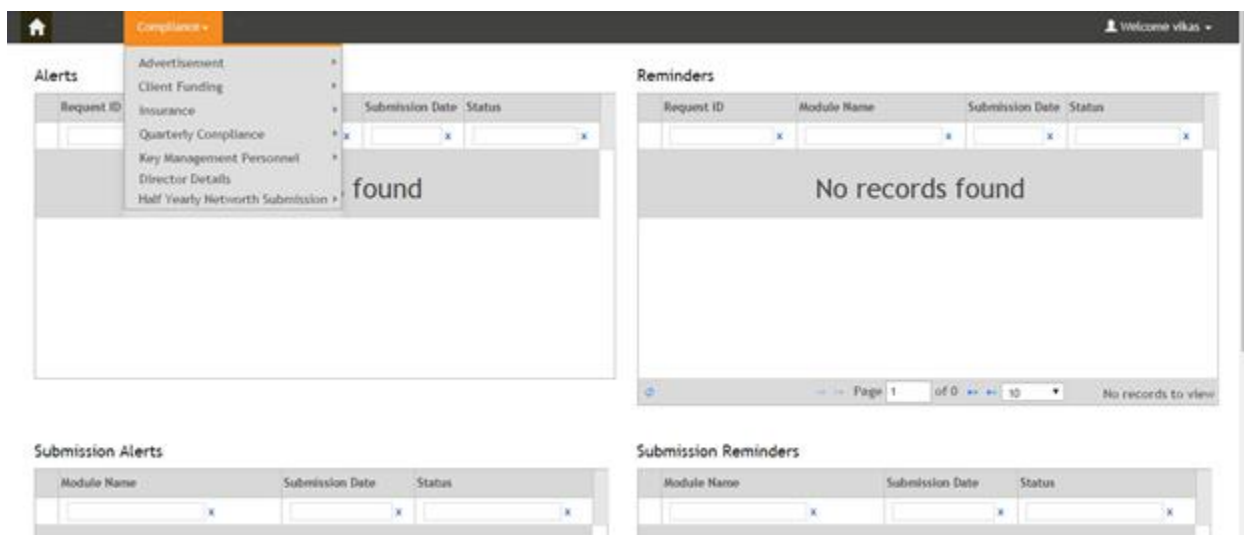
Reminders

No Records Found.

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

2.2 ELECTRONIC MEMBER INTERFACE

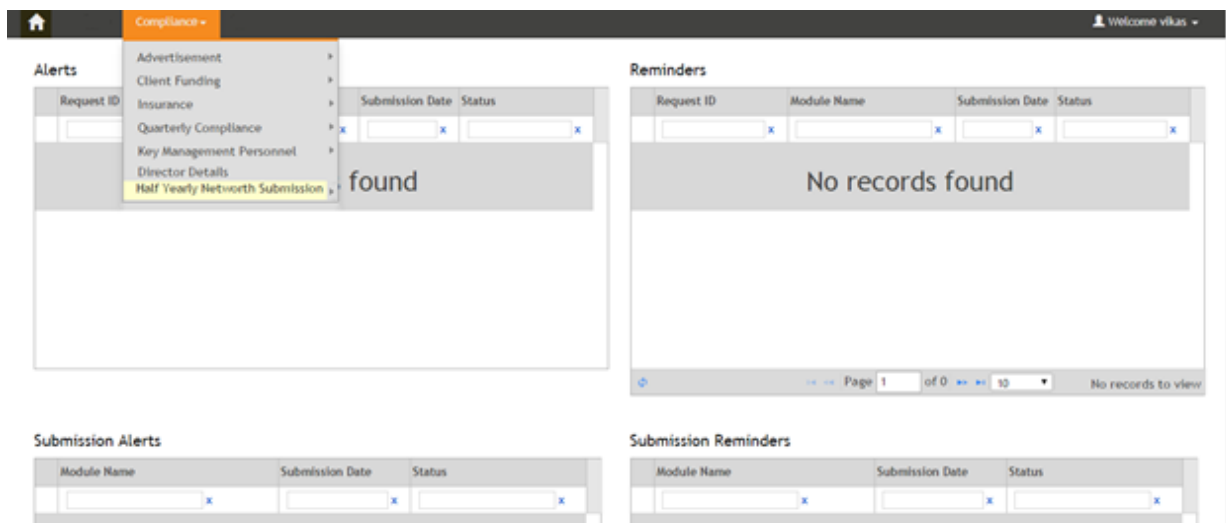
To navigate your way in the Electronic Member Interface (User), a proper understanding of the interface is essential. This section illustrates the various parts of the Electronic Member Interface (User) and their uses.



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 Networth Submission' module is available:



‘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 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, Member 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.

The screenshot displays the NSEIL Compliance module interface. At the top, there is a navigation bar with a home icon, a 'Compliance' dropdown menu, and a user profile 'Welcome vikas'. The main content area is divided into four sections:

- Alerts:** A dropdown menu is open, showing options: Advertisement, Client Funding, Insurance, Quarterly Compliance, Key Management Personnel, Director Details, and Half Yearly Network Submission. The 'Half Yearly Network Submission' option is highlighted in yellow. Below the dropdown is a table with columns 'Request ID', 'Submission Date', and 'Status'.
- Reminders:** A table with columns 'Request ID', 'Module Name', 'Submission Date', and 'Status'. It displays 'No records found'.
- Submission Alerts:** A table with columns 'Module Name', 'Submission Date', and 'Status'.
- Submission Reminders:** A table with columns 'Module Name', 'Submission Date', and 'Status'.

At the bottom of the interface, there is a pagination bar showing 'Page 1 of 0' and 'No records to view'.

On clicking, below page will get open:

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* Browse...

COMPUTE NETWORTH

Note:

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

NSE Copyright (c) 2016

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:

- Dr. L. C. Gupta Method
- RBI Method

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

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

'**Upload Scanned copy of Networth 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 Member to generate the form such that Member 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 & Member clicks on ‘Compute Networkth’ button, the mandatory fields will get highlighted with red error alert icon, showing the errors for each mandatory field as below:

The screenshot displays the 'HALF YEARLY NETWORKTH' form in the NSEIL compliance portal. The form includes the following fields:

- Member Name:** ABC Ltd
- Member Code:** 12345
- As On Date:** 31-Mar-2017
- Name of CA Firms:** (Empty field with red error icon)
- Membership No. of Certifying CA:** (Empty field with red error icon)
- Method of Computation of Net Worth:** Select (Dropdown menu with red error icon)
- Circular Ref.:** (Empty field)
- Upload Scanned copy of Network Certificate & Computation:** (Empty field with 'Browse...' button and red error icon)

A red 'COMPUTE NETWORKTH' button is located below the form fields. A note at the bottom 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 Member uploads file having invalid format & clicks on ‘Compute Networkth’ button, then it will show the correct error alert as below:

HALF YEARLY NETWORK

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/NEM/7835 dated September 06, 200] Upload Scanned copy of Network Certificate & Computation*: N:\Shachi\DATA\TestFiles\ACUMEN Holdings Jun ...

COMPUTE NETWORK

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

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[C] When member is not eligible:

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

HALF YEARLY NETWORK

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/NEM/7835 dated September 06, 200] Upload Scanned copy of Network Certificate & Computation*: N:\Shachi\DATA\TestFiles\ACUMEN Holdings Jun ...

COMPUTE NETWORK

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

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

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

When Member 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 Member selects the Dr.L.C.Gupta Method, its respective circular ref. no. gets auto populated & on computing the network, the form with all editable numeric fields gets displayed as below:

Compliance

Welcome vikas

HALF YEARLY NETWORKH

Member Name

ABCD LTD.

Member Code

00000

Reference number : *

AA/ADFAD/ADADA

As On Date*

31-Mar-2017

Name of CA Firm *

sfazxfdf

Method of Computation of Net Worth*

DR. L.C. GUPTA METHOD

Membership No. of Certifying CA *

sdfgsdfgsd

Circular Ref.

Circular no. 541(Ref. NSE/MEM/7835 dated September 06, 2006)

Upload Scanned copy of Network Certificate @ Computation*

StatusReport_158.pdf

COMPUTE NETWORK

Notes:

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

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

Particulars	Amount(Rs. in absolute figure)
Capital + Free Reserves	
Capital1*	0.00
Free Reserves *	0.00
Capital + Free Reserves (A)	0.00

Particulars	Amount(Rs. in absolute figure)
Non-allowable assets viz.	
Fixed Assets*	0.00
Pledged Securities*	0.00
Member's Card*	0.00
Non-allowable securities (unlisted securities) *	0.00
Bad deliveries*	0.00
Doubtful Debts and Advances*	0.00
Prepaid expenses, losses*	0.00
Intangible Assets *	0.00
Marketable securities*	0.00
30% of Marketable securities	0.00
Total (Non-allowable assets viz) (B)	0.00

NetWorth (A-B)

SAVE

RESET

SUBMIT TO EXCHANGE

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The part at left side is considered as 'A' & part at right hand side is considered as 'B'. The Networth is calculated as **[A-B]**

The fields which are seen as grey coloured are auto populated showing the calculation based on the entered amount.

'Reset' button allows Member to reset all the entered values back to 0.00

'Save' button helps Member 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

Capital + Free Reserves (A) 98887

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

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

NetWorth (A-B) 97481.6

SAVE RESET SUBMIT TO EXCHANGE

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

The screenshot shows a web application interface with a sidebar on the left and a main content area. The sidebar has a 'Compliance' menu and a 'HALF YEARLY NETWORK' section with fields for Member Name, Reference number, As On Date, Membership No. of Certifying CA, and Circular Ref. The main content area displays a 'SUBMIT TO EXCHANGE' pop-up window. The pop-up has a red header bar and contains a note, a 'To' field, a body of text, a signature line, and a checkbox for 'I Agree'. The background is dimmed.

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/COMP/24703 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/We 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/We 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

The screenshot shows a web application interface with a sidebar on the left containing fields like 'Member Name', 'Reference number', 'As On Date', 'Membership No. of Certifying CA', and 'Circular Ref.'. The main content area displays a modal titled 'SUBMIT TO EXCHANGE'. Inside the modal, there is a text area for 'Yours faithfully, for CORPORATION BANK', a radio button for 'I Agree' (which is currently unselected), and several input fields for 'Name of the person whose signature is affixed', 'Designation of the person whose signature is affixed', 'Mobile / phone no.', and 'Email id for further communication'. At the bottom of the modal, there are three buttons: 'Certify' (disabled), 'SUBMIT' (green), and 'CANCEL' (grey).

When Member selects ‘I Agree’, then ‘Certify’ button will get enabled as below:

This screenshot is similar to the previous one, but the 'I Agree' radio button is now selected. Consequently, the 'Certify' button at the bottom left of the modal is now enabled and highlighted in red. The 'SUBMIT' and 'CANCEL' buttons remain in their original green and grey states respectively.

When Remaining fields are kept blank & Member 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:

The screenshot shows a web application interface with a sidebar on the left containing fields like 'Member Name', 'Reference number', 'As On Date', 'Membership No. of Certifying CA', and 'Circular Ref.'. The main area displays a 'SUBMIT TO EXCHANGE' form. The form includes a signature line, a radio button for 'I Agree', and input fields for 'Name of the person whose signature', 'Designation of the person whose signature', 'Mobile / phone no.', and 'Email id for further communication'. A red 'Certify' button is at the bottom left, and 'SUBMIT' and 'CANCEL' buttons are at the bottom right. A modal dialog box titled 'forms validation failed' with a red warning icon and an 'OK' button is overlaid on the form. Red error icons are visible next to the signature, designation, mobile number, and email fields.

When Member 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, Member will receive all the updates & file when there is shortfall or the request is accepted / rejected.

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

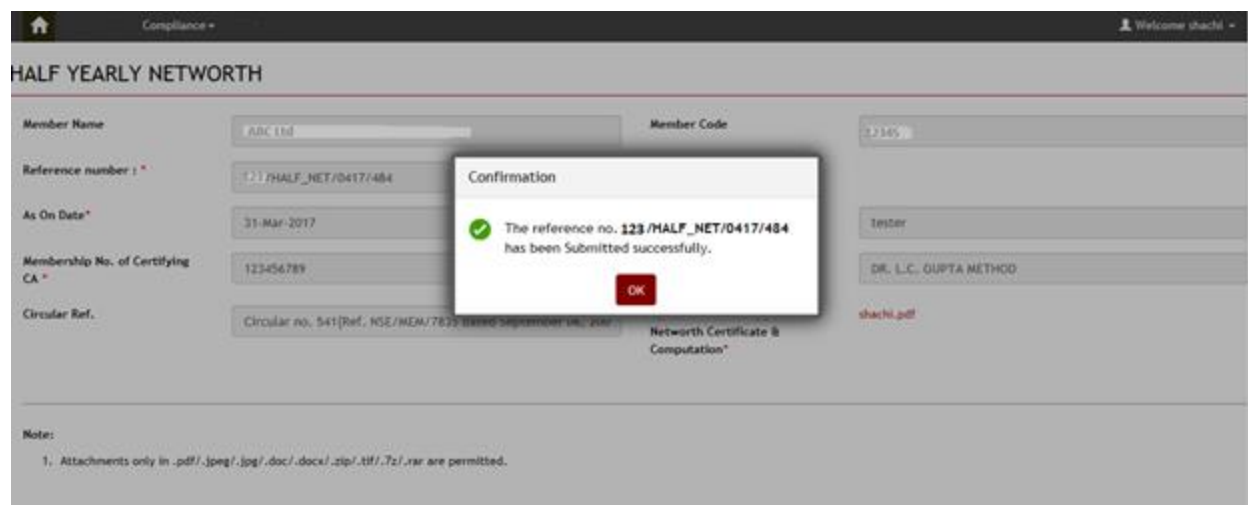
This screenshot shows the same 'SUBMIT TO EXCHANGE' form as the previous image, but with a 'Certificate Registration' dialog box open. The dialog has a title bar and a close button. It contains the text 'Select Digital Certificate' and 'You can choose a digital certificate from those available on your computer to sign your file.' Below this is a table with three columns: 'Issued To', 'Issued By', and 'Expiration Date'. The table contains one row with the values 'nseil_agovikar@vendon...', 'Communications Server', and '12 June 2017 08:55:38'. At the bottom of the dialog, there is a 'View...' button and a message 'Click View to see the contents of your digital certificate'. 'Select' and 'Cancel' buttons are at the very bottom of the dialog.

The screenshot shows a web application interface with a sidebar on the left containing navigation links like 'HALF YEARLY NETWORK', 'Member Name', 'Reference number : *', 'As On Date*', 'Membership No. of Certifying CA*', 'Circular Ref.', and 'Note:'. The main content area displays a 'SUBMIT TO EXCHANGE' form. The form includes a 'Yours faithfully, for CORPORATION BANK' section with a radio button for 'I Agree'. Below this are input fields for 'Name of the person whose signature is affixed' (containing 'Shachi'), 'Designation of the person whose signature is affixed' (containing 'Test Analyst'), 'Mobile / phone no.' (containing '9876543210'), and 'Email id for further communication' (containing 'nseil_sgovekar@vendor.nse.co.in'). At the bottom of the form are three buttons: 'Certify' (green), 'SUBMIT' (green), and 'CANCEL' (grey). A modal dialog box titled 'Message from webpage' is overlaid on the form, displaying a yellow warning icon and the text 'Form Signing Completed !! Kindly Submit The Form' with an 'OK' button.

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

This screenshot shows the same 'SUBMIT TO EXCHANGE' form as the previous one, but the modal dialog box is no longer present. The 'SUBMIT' button is now red, indicating it is enabled. The 'Certify' button remains green, and the 'CANCEL' button remains grey. The form fields contain the same data as in the previous screenshot.

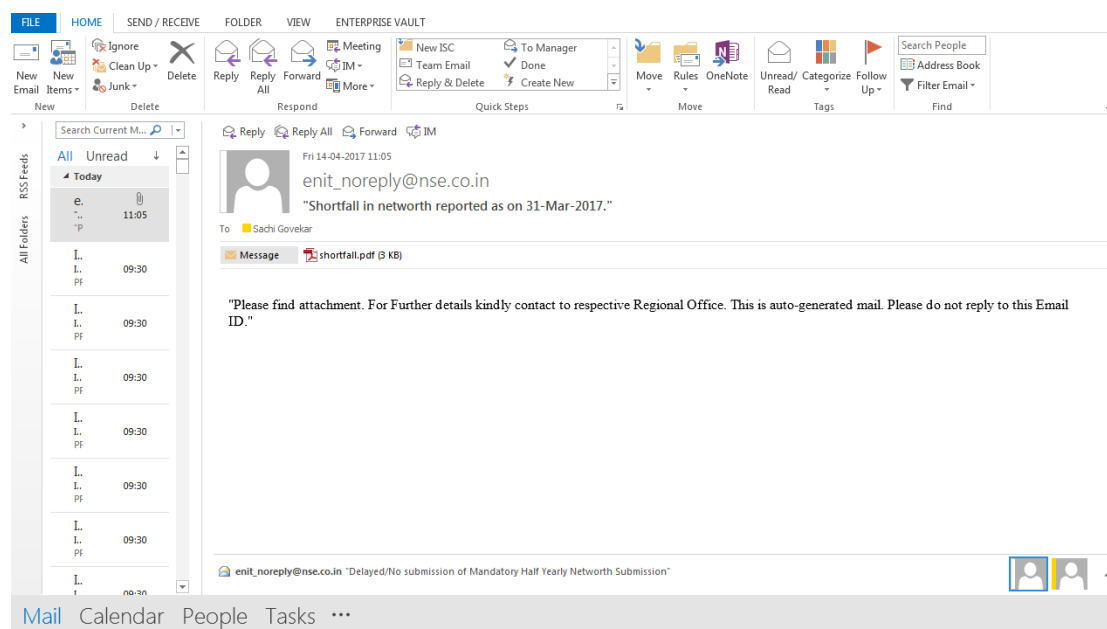
When Member clicks on Submit, a reference no will get generated as below:



The format of the reference no = Member ID/HALF_NET/0417/generated reference no.

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

In such cases, when Member submits it to exchange, Member 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.

HALF YEARLY NETWORK

Member Name

Reference number : *

As On Date*

Membership No. of Certifying CA *

Circular Ref.

Networth shortfall reason

Shortfall reason *

Shortfall reason

Add Files

Upload :

Browse...

SUBMIT

NETWORTH CERTIFICATE OF Computation*

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

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 network certificate meeting the minimum network criteria in order to avoid disciplinary actions.

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

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

HALF YEARLY NETWORK

Member Name: [Name]
 Reference number: [Number]
 As On Date: [Date]
 Membership No. of Certifying CA: [Number]
 Circular Ref.: [Text]

Network shortfall reason

Shortfall reason: [Text Field] **Add Files**

Upload: [Text Field] **Browse...**

Upload: [Text Field] **Browse...**

Upload: [Text Field] **Browse...**

SUBMIT

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 Member clicks on the ‘**Submit**’ button, the shortfall submitted pop up will be displayed as below:

HALF YEARLY NETWORK

Member Name: [Name] Member Code: [Code]
 Reference number: [Number]
 As On Date: [Date]
 Membership No. of Certifying CA: [Number]
 Circular Ref.: [Text]

Shortfall reason from member

Shortfall reason: [Text Field]

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

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 Member 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 a web application interface with a 'Compliance' header and a 'Welcome' user profile. The main section is titled 'HALF YEARLY NETWORK'. A modal titled 'Upload Revised Network for Shortfall' is open. It contains a form with the following fields and elements:

- Member Name:** A text input field.
- Reference number :** A text input field with an asterisk.
- As On Date:** A text input field with an asterisk.
- Membership No. of Certifying CA :** A text input field with an asterisk.
- Circular Ref.:** A text input field containing 'Circular no. 541(Ref. NSE/MEM/7835 dated September 06, 2006)'.
- Shortfall reason from member:** A text input field containing 'asddad'.
- Upload Revised Network Certificate :** A file upload button labeled 'Choose File' with the text 'No file chosen'.
- Note:** A text area containing 'Note: Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.'
- SUBMIT:** A red button.
- Upload Scanned copy of Network Certificate & Computation:** A file upload button labeled 'Choose File' with the text 'No file chosen'.
- File Name:** A text input field containing 'NSE_Net worth certificate_31.03.2017.pdf'.
- COMPUTE NETWORK:** A green button 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'.

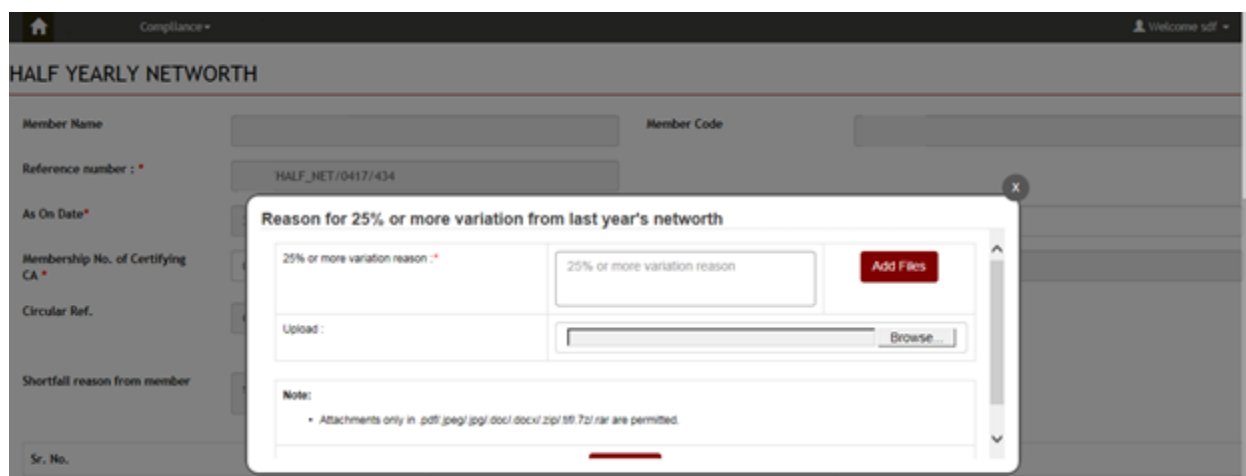
- When the submitted network value has a variation of 25% or more as compared to the previously submitted network, then Member will get the pop up '**Reason for 25% variation from last year network**' as follow:

The screenshot shows the same web application interface. A modal titled 'Reason for 25% or more variation from last year's network' is open. It contains a form with the following fields and elements:

- Member Name:** A text input field.
- Member Code:** A text input field.
- Reference number :** A text input field containing 'HALF_NET/0417/434'.
- As On Date:** A text input field with an asterisk.
- Membership No. of Certifying CA :** A text input field with an asterisk.
- Circular Ref.:** A text input field.
- Shortfall reason from member:** A text input field.
- Sr. No.:** A text input field.
- 25% or more variation reason :** A text input field with an asterisk.
- 25% or more variation reason:** A text input field.
- Add Files:** A red button.
- Upload:** A file upload button labeled 'Browse...'.
- Note:** A text area containing 'Note: Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.'

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

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



Compliance - Welcome sdf

HALF YEARLY NETWORK

Member Name: [Text Box] Member Code: [Text Box]

Reference number: * HALF_NET/0417/434

As On Date* [Text Box]

Membership No. of Certifying CA * [Text Box]

Circular Ref. [Text Box]

Shortfall reason from member [Text Box]

Sr. No. [Text Box]

Reason for 25% or more variation from last year's network

25% or more variation reason * [Text Box] 25% or more variation reason [Text Box] **Add Files**

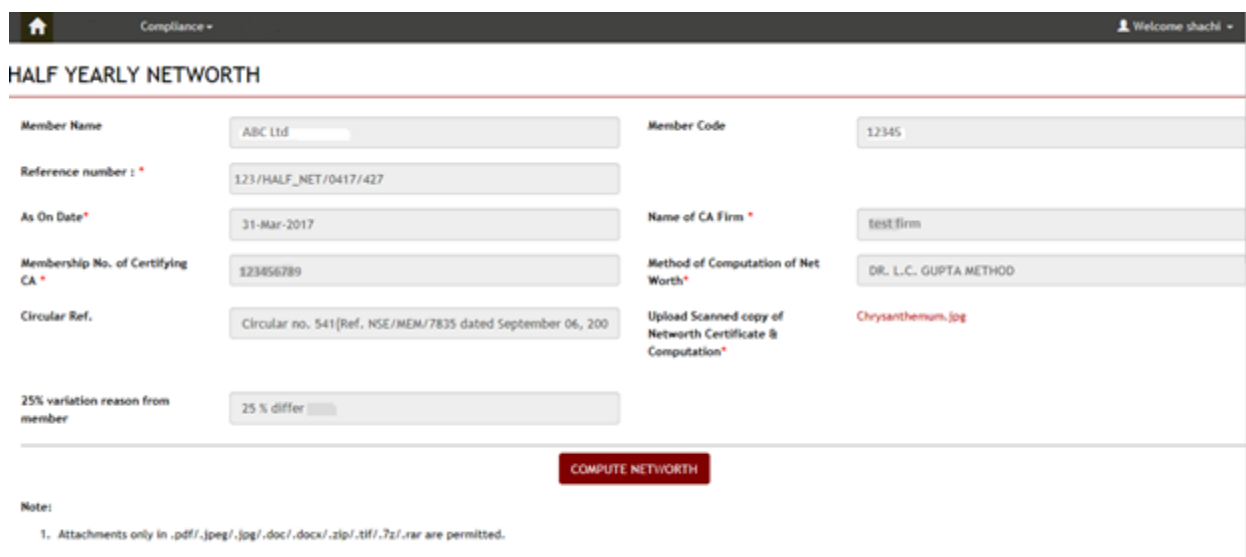
Upload: [Text Box] **Browse...**

Note:

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

Upload field is a non-mandatory field.

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



Compliance - Welcome shachi

HALF YEARLY NETWORK

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 Network Certificate & Computation* Chrysanthemum.jpg

25% variation reason from member 25 % differ

COMPUTE NETWORK

Note:

1. 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.

▪ RBI Method –

RBI Method is assigned to the Bank.

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

The screenshot shows the 'HALF YEARLY NETWORK' form. The header includes a home icon, 'Compliance', and a user profile 'Welcome shachi'. The form fields are as follows:

- Member Name:** ABC Ltd
- Member Code:** 12345
- As On Date:** 31-Mar-2017
- Name of CA Firm:** (empty)
- Membership No. of Certifying CA:** (empty)
- Method of Computation of Net Worth:** A dropdown menu is open, showing 'Select', 'DR. L.C. GUPTA METHOD', and 'RBI Method' (which is highlighted).
- Circular Ref.:** (empty)
- Upload Scanned copy of Networth Certificate & Computation:** (empty)

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'.

The screenshot shows the 'HALF YEARLY NETWORK' form after clicking the 'COMPUTE NETWORK' button. The fields are now populated:

- 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:** RBI Method (selected in the dropdown)
- Circular Ref.:** Circular No. NSE/COMP/2010/53 Download Ref No. NSE/CC
- Upload Scanned copy of Networth Certificate & Computation:** C:\Users\Public\Pictures\Sample Pictures\Ch (with a 'Browse...' button)

The red 'COMPUTE NETWORK' button is still present. The same note about attachments is shown. The footer shows 'NSE Copyright (c) 2016'.

When Member 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

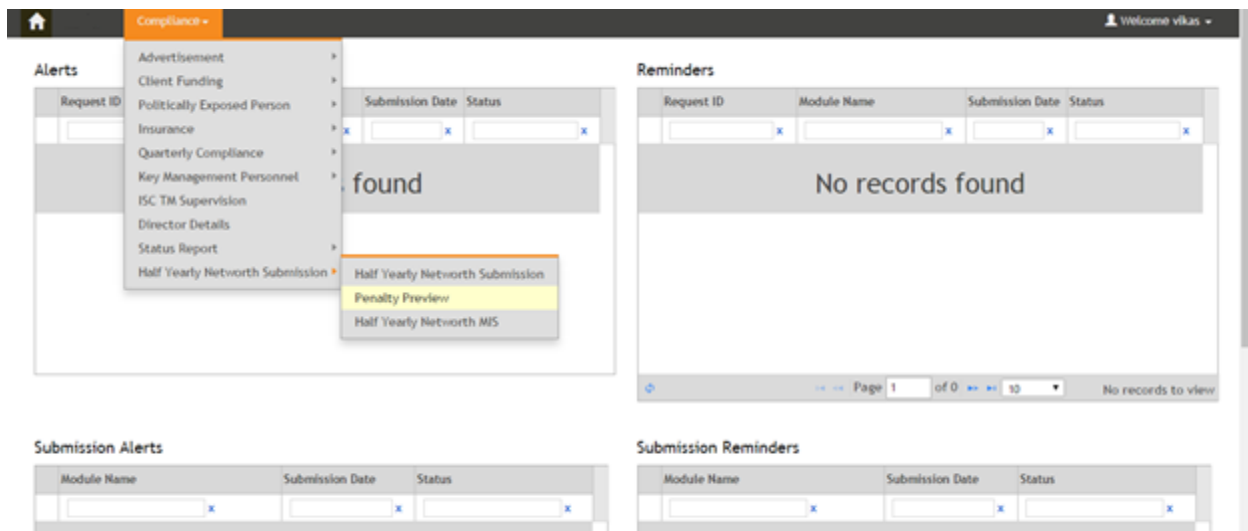
NSE Copyright (c) 2016

When the Member submits the half yearly networth, the same will get reflected in the 'Half Yearly MIS' module viewable from member's end. This is described later in the manual.

3.1.2 Penalty Preview

Penalty Preview facilitates Member 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 'Half Yearly Network Penalty Preview' screen. It has a header with 'Compliance' and 'Welcome shakti'. The main content area contains a form with the following fields:

- Member Name:** ABC Ltd
- Member Code:** 12345
- Period:** Select (dropdown menu)
- Month:** Select (dropdown menu)

Below the form are two buttons: 'Search' and 'Reset'. At the bottom of the page, 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 Member to search for the all penalty reports preview.

‘**Reset**’ button enables Member 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:

The screenshot shows a web application interface for 'Half Yearly Network Penalty Preview'. At the top, there is a navigation bar with a home icon, 'Compliance' dropdown, and a user profile 'Welcome shuchi'. Below the title, there are four input fields: 'Member Name' (containing 'ABC Ltd'), 'Member Code' (containing '12345'), 'Period' (a dropdown menu with 'Select' as the current value), and 'Month' (a dropdown menu with 'Select' as the current value). Below these fields are two red buttons: 'Search' and 'Reset'. Underneath the buttons is a table with the following data:

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

At the bottom of the page, there is a footer that reads 'NSE Copyright (c) 2016'.

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

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

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

Half Yearly Network Penalty Preview

Member Name: Member Code:

Period: Month:

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 HalfYearlyPenalty5815Apr2016Letter.pdf from 172.17.7.66?

The generated letter will be in PDF format.

3.1.3 Half Yearly MIS

‘Half Yearly MIS’ module helps Member 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.

Compliance

- Alerts
 - Request ID
 - Submission Date
 - Status
 - Advertisement
 - Client Funding
 - Insurance
 - Quarterly Compliance
 - Key Management Personnel
 - Director Details
 - Half Yearly Network Submission
- Reminders
 - Request ID
 - Module Name
 - Submission Date
 - Status
- Submission Alerts
 - Module Name
 - Submission Date
 - Status
- Submission Reminders
 - Module Name
 - Submission Date
 - Status

found

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

No records found

Page 1 of 0

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

HALF YEARLY NETWORTH MIS

Member Name: ABC Ltd

Member Code: 12345

Reference No.:

Status: SELECT

Search Reset

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.

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

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

- New
- Revised
- Approved
- Rejected

1. **New:** When the member submits the networth 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.

Item Code	Member Name	Network Method	Submission Date	Date of Revised Submission	Status	Reference No.
1	ABC Ltd	DR. L.C. GUPTA METHOD	Apr 17, 2017 11:18:59 AM	Apr 17, 2017 11:25:05 AM	REVISED	12/HALF_NET/0417/437

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 displayed. 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.

Compliance

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	ABC Ltd	DR, L.C. GUPTA METHOD	Apr 17, 2017 11:18:59 AM	Apr 17, 2017 11:25:05 AM	REVISED	12/HALF_NET/0417/427

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View 1 - 1 of 1