



National Stock Exchange of India Ltd.

Refund of Sub Broker Fees User Manual

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ABOUT THIS GUIDE

1.1 PURPOSE OF THIS GUIDE

This guide will enable you to use 'Sub Broker' Module of the Electronic Member Interface Member Module and provides detailed procedures for the same.

1.2 WHO SHOULD READ THIS GUIDE

This guide is useful for Trading Members to submit the request for SEBI Sub Broker Refund fees on 'Sub Broker' Module.

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 Member 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 Member Module
- The name and version of the operating system

2. Getting Started

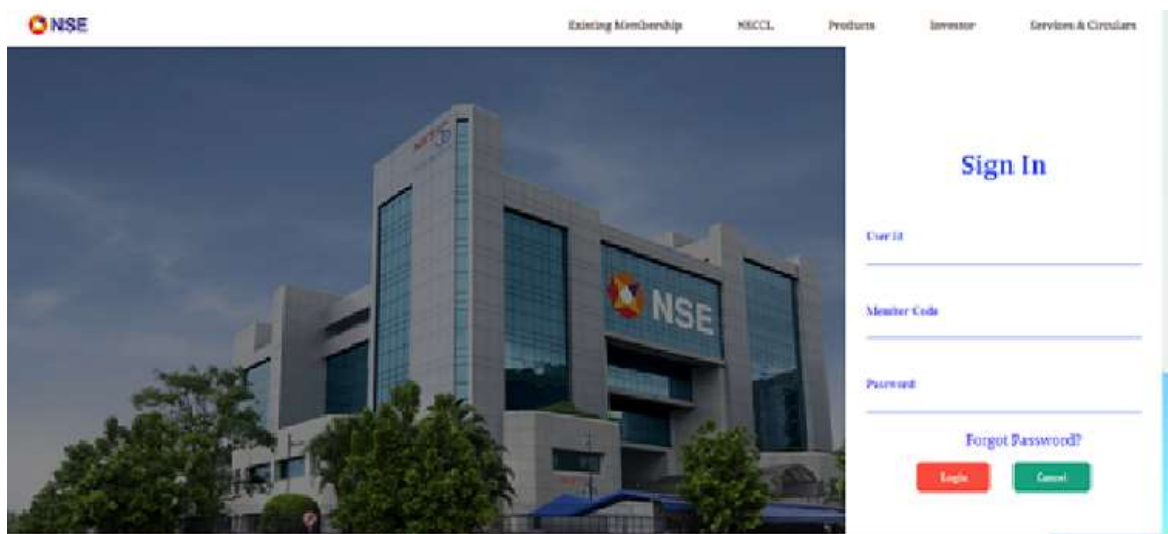
In this chapter, you will learn about “Sub Broker” module.

To start the ‘Electronic Member Interface’ portal, Trading Member first needs to login to the Member Portal using the ‘MemberId, Member Code and Password’.

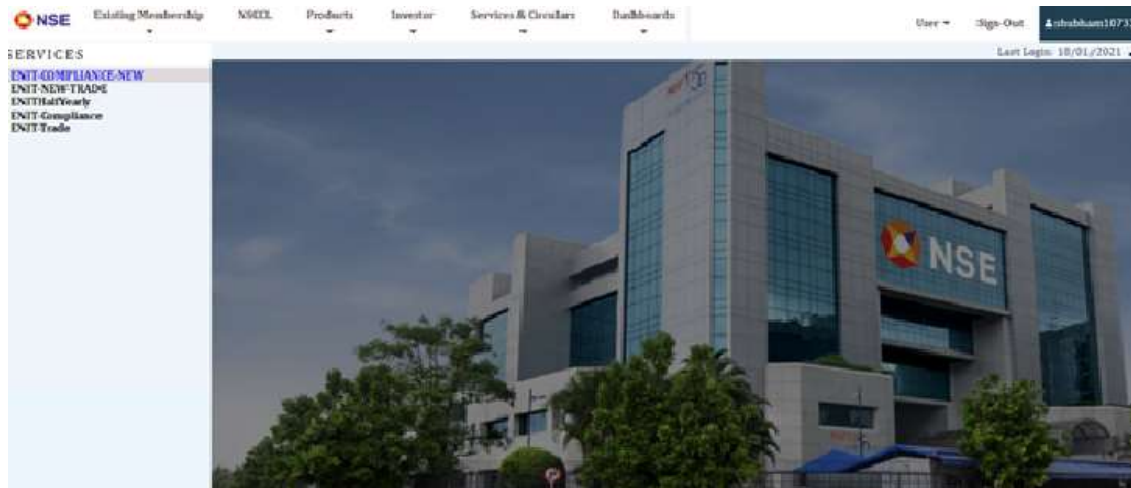
Then he needs to go to ‘ENIT NEW COMPLIANCE’ tab to get the access. It is advisable to use IE11 or higher versions of IE.

To start the electronic member interface member module

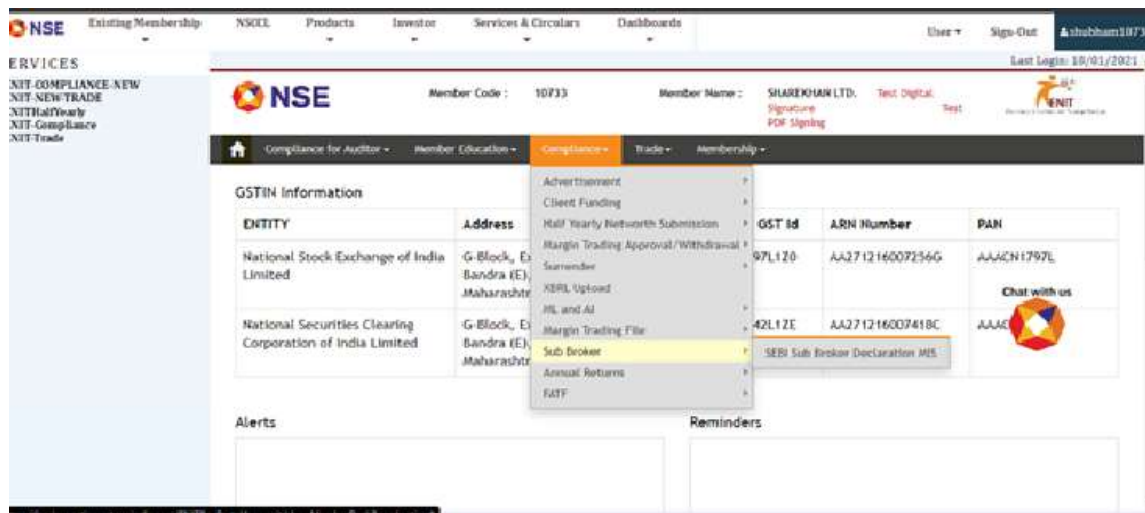
1. Open Internet Explorer browser from the desktop.
 2. Type <https://enit.nseindia.com/MemberPortal/> or <https://inspection.nseindia.com/MemberPortal/> or <https://ims.connect2nsccl.com/MemberPortal/> in the address bar & then click the **Go** button from the browser.
1. NSE Member Portal **Login** screen gets displayed as below:



2. When member logs in, then following screen will be displayed:

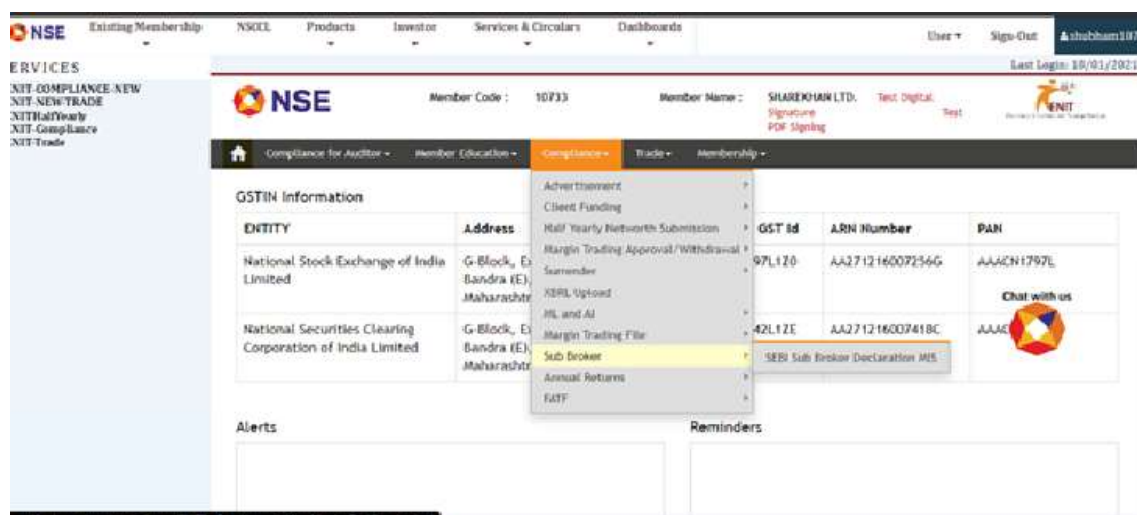


3. When Trading Member opens 'ENIT COMPLIANCES NEW' tab, the main screen 'Dashboard' will open:



2.1 ELECTRONIC MEMBER INTERFACE

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



2.1.1 Navigation Bar

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

On clicking on 'Compliance' module, "Sub Broker" module is available:

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

Member Code: 10733 Member Name: SHAREKHAR LTD. Test Digital Signature Test PDF Signing

Compliance for Auditor Member Education Compliance Trade

Press Esc to exit full screen

SEBI Sub-Broker Details

Member Code*		Member Name*	
SEBI Registration Number*		Sub Broker Name*	
Sub Broker SEBI Registration Number		Sub Broker SEBI Registration Date	
Refund Amount (in Rs.)*		Request Status*	
Reference No*		Rejection Remarks (if any)*	
Sub Broker registration year		Refund Year	
Financial year for which fees have been paid by TM			

Note: For Latest Application Status, please check the MIS on go to Compliance -> Sub Broker -> SEBI Sub Broker Declaration MIS

Bank Beneficiary Details:-

(Please ensure that Bank details as per Undertaking/Declaration match with the details filled here.)

On clicking Sub Broker module, “**Sub Broker**” page will open as above.

3. Compliances

3.1 Sub Broker Refund Fees

“**Sub Broker**” module helps the Trading Member to submit the request for Sub Broker Refund fees to the National Stock Exchange.

Step I

Click on any name of the sub broker in the list available in Sub broker module. On clicking the respective sub broker name, the following screen will be visible.

NSE Member Code: 10733 Member Name: SHAREKHAR LTD. Test Digital Signature Test PDF Signing

Press Esc to exit full screen

SEBI Sub-Broker Details

Member Code*		Member Name*	
SEBI Registration Number*		Sub-Broker Name*	
Sub-Broker SEBI Registration Number		Sub-Broker SEBI Registration Date	
Refund Amount (in Rs.)*		Request Status*	
Reference No*		Rejection Remarks (if any)	
Sub-Broker registration year		Refund Year	
Financial year for which fees have been paid by TB			

Note: For Latest Application Status, please check the MIS on go to Compliance -> Sub Broker -> SEBI Sub Broker Declaration MIS

Bank Beneficiary Details:-

(Please ensure that Bank details as per Undertaking/Declaration match with the details filled here.)

The member has to first download the “Undertaking” and the same has to be filled, signed and stamped by the Sub Broker.

NSE Existing Membership NSEIL Products Investor Services & Circulars Dashboards User: Sign-Out 10733 Last Login: 10/01/2021

SERVICES

- ENIT-Compliance-NEW
- ENIT-NEW-TRADE
- ENIT-Half-Yearly
- ENIT-Compliance
- ENIT-Trade

- Please select the process of signing declaration file from (a) Digital Signature (b) Manual Signature
- Please click on 'System Generated File' to download the file.
- Please click on Sign PDF to sign your digitally generated file and upload the same in Uploaded Digitally Signed File.
- If selected 'Manual Signature', then click on system generated file, manually sign the file and save the same with naming nomenclature given below.
- After digitally signed file upload, please upload 'Client Details' if applicable, or click on 'Submit Request' to submit to exchange.

PDF Template for Declaration [IN5239201416.pdf](#)

Sign PDF

File Naming convention for Declaration: PDF Template for Declaration [IN5239201416.pdf](#)

Upload digitally Signed File No file chosen

Step II

The member has to fill the respective details as per the screens shown below:

The SEBI Sub Broker details will be prefilled.

SEBI Sub-Broker Details

Member Code* Member Name*

SEBI Registration Number* Sub Broker Name*

Sub Broker SEBI Registration Number* Sub Broker SEBI Registration Date*

Refund Amount (in Rs.)* Request Status*

Reference No.* Rejection Remarks (if any)*

Sub Broker registration year* Refund Year*

Financial year for which fees have been paid by TH*

Note: For Latest Application Status, please check the AIS on go to Compliance -> Sub Broker -> SEBI Sub Broker Declaration AIS

Bank Beneficiary Details:-

(Please ensure that Bank details as per Undertaking/Declaration match with the details filled here.)

In Bank Beneficiary details, the member has to enter the bank details provided by the Sub Broker in the Undertaking. Any mismatch between the details provided in the undertaking and ENIT will lead to rejection of the application. Hence members are requested to take enough care while entering the details. The Members are advised to upload the same after due verification of the information provided by the Sub Broker.

Bank Beneficiary Details:-

(Please ensure that Bank details as per Undertaking/Declaration match with the details filled here.)

Name of Bank*

Name of Beneficiary / Account Holder*

Account No*

Confirm Account no*

IFSC Code*

Branch Name*

Declaration:-

The member has to tick the checkbox of Declaration before proceeding to upload the Undertaking of the Sub Broker.

Declaration:-

- I/We hereby declare that SEBI sub broker fees have been paid in full by us including for multiple sub-broker ship held in NSE & BSE and nothing is due and payable by us on behalf of sub broker.
- I/We hereby undertake that I/we have checked the correctness of the bank account details of the Sub Broker, as submitted above, with cancelled the cheque/Bank statement etc. of the Sub Broker and confirm that the same pertains to the Sub Broker only.
- I/We hereby undertake that I/we shall be solely liable for any dispute/loss with respect to non-receipt of the SEBI sub broker fees by the Sub Broker on account of incorrect submission of details. I/We agree and acknowledge that the Exchange shall not be liable in any manner whatsoever, in this regard.
- I/We hereby declare that, in case if any demand is raised by SEBI/NSE to pay any outstanding SEBI Sub Broker fees due, I/We hereby undertake to pay the outstanding due.



(Please click on Checkbox to Agree the declaration).

Upload Declaration

Please follow the below procedure to complete the submission

- Click on "Download Template" to download the sample declaration file.
- Convert the word document into .PDF format. The file size should not be more than 5MB.
- Select the process for applying digital signature a) Digital Signature Process or b) Manual Signature Process

Select process for applying Signature* :-

☒ Digital Signature Process ☐ Manual Signature Process

NOTE:-

- Please select the process of signing declaration file from (a) Digital Signature (b) Manual Signature
- Please click on "System Generated File" to download the file.
- Please click on Sign PDF to sign your digitally generated file and upload the same in Upload Digitally Signed File.
- If selected "Manual Signature", then click on system generated file, manually sign the file and save the same with naming nomenclature given below.
- After digitally signed file upload, please upload "Client Details" if applicable, or click on "Submit Request" to submit to exchange.

PDF Template for Declaration* [INS27912109.pdf](#)

[Sign PDF](#)

While uploading the Sub Broker Undertaking, the member has an option for certifying the same through Digital Signature or Manual Signature. The member has to choose the option accordingly.

I/We hereby undertake that I/we have checked the correctness of the bank account details of the Sub Broker, as submitted above, with cancelled the cheque/bank statement etc. of the Sub Broker and confirm that the same pertains to the Sub Broker only.

I/We hereby undertake that I/we shall be solely liable for any dispute/loss with respect to non-receipt of the SEBI sub broker fees by the Sub Broker on account of incorrect submission of details. I/We agree and acknowledge that the Exchange shall not be liable in any manner whatsoever, in this regard.

I/We hereby declare that, in case if any demand is raised by SEBI/NSE to pay any outstanding dues, I/we hereby undertake to pay the outstanding dues.

Press Esc to exit full screen

☒ (Please click on Checkbox to Agree the declaration).

Upload Declaration

Please follow the below procedure to complete the submission

- Click on "Download Template" to download the sample declaration file.
- Convert the word document into .PDF format. The file size should not be more than 5MB.
- Select the process for applying digital signature. a) Digital Signature Process or b) Manual Signature Process

Select process for applying Signature* :- ☒ Digital Signature Process ☐ Manual Signature Process

NOTE:-

- Please select the process of signing declaration file from (a) Digital Signature (b) Manual Signature
- Please click on "System Generated File" to download the file.
- Please click on Sign PDF to sign your digitally generated file and upload the same in Uploaded Digitally Signed file.
- If selected "Manual Signature", then click on system generated file, manually sign the file and save the same with naming nomenclature given below.
- After digitally signed file upload, please upload "Client Details" if applicable, or click on "Submit Request" to submit to exchange.

PDF Template for Declaration* INS239201416.pdf

Sign PDF

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The member has to upload the Undertaking in the naming convention as mentioned below. The same is also available in the below mentioned screen. Please note that no other naming convention will be allowed to be uploaded. The undertaking should be only in PDF format.

The format of naming convention of the Undertaking file – **INSXXXXXXXXX-signed.pdf**

The screenshot shows the NSEIL portal interface. The top navigation bar includes 'Existing Membership', 'NSCCL', 'Products', 'Investor', 'Services & Circulars', and 'Dashboards'. The user is logged in as 'a.hubham107' with a 'Last Login' of '18/01/2021'. The left sidebar lists 'SERVICES' including 'ENIT-COMPLIANCE-NEW', 'ENIT-NEW-TRADE', 'ENIT-HalfYearly', 'ENIT-Compliance', and 'ENIT-Trade'. The main content area displays instructions for signing a declaration file, a 'Sign PDF' button, and a file upload section with a 'Choose File' button and a 'No file chosen' message. Below the upload section are 'Save' and 'Submit' buttons.

After uploading the Undertaking, the member have to save and then submit the application. On submission a system generated reference number will be generated.

The screenshot shows the 'Uploaded Declaration Details' section of the NSEIL portal. It includes a checkbox for 'Agree the declaration' which is checked. Below this, there is a confirmation dialog box with the text: 'The SEBI Sub-Broker request is revised and submitted successfully with ref.no /NSE_COMP/INS239201416/3129 to Exchange on .'. The dialog has an 'OK' button. The background shows the 'Uploaded Declaration Details' section with fields for 'Selected process for applying Signature' (Digital/Manual), 'File Naming convention for Declaration', and a reference number 'INS239201416-signed.pdf'.