



USER MANUAL

Compliance Officer Updation

Objective:

This document contains a step-by-step guide on how to edit current Compliance Officer (CO) details, request for change of CO, view completed or pending CO update applications under NSE Membership department circular no. 618.

Intended Users: Members registered with exchange

Document Owner: NSE

Note: This publication is a corporate document prepared as part of the NSE transformation program initiated by NSE in 2020.



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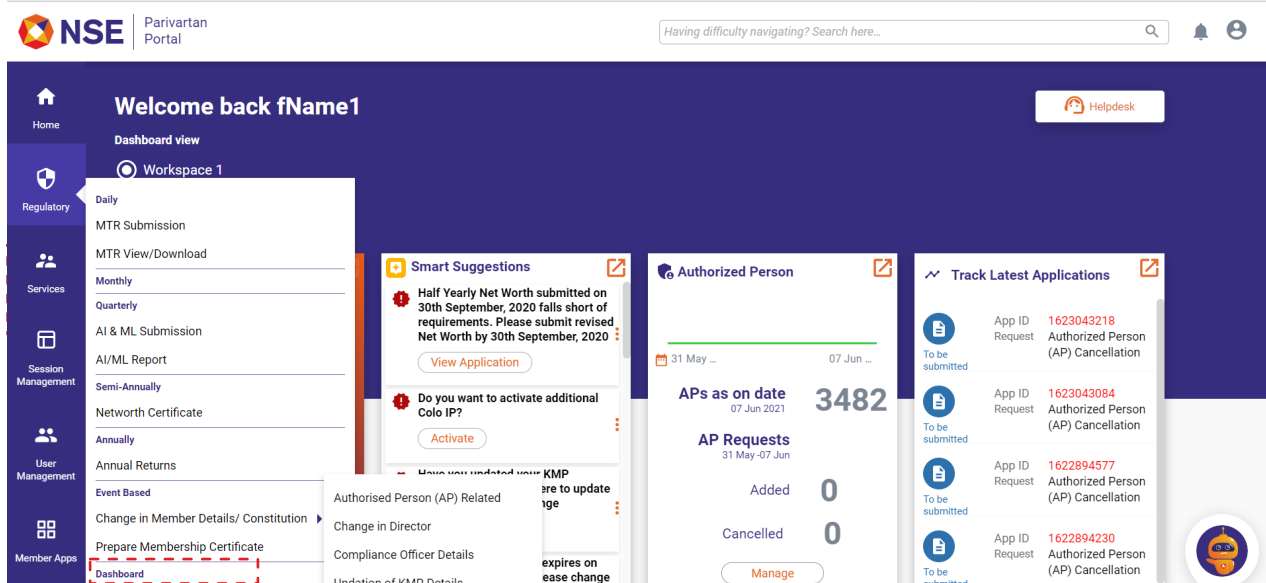
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1 View complete and in progress application

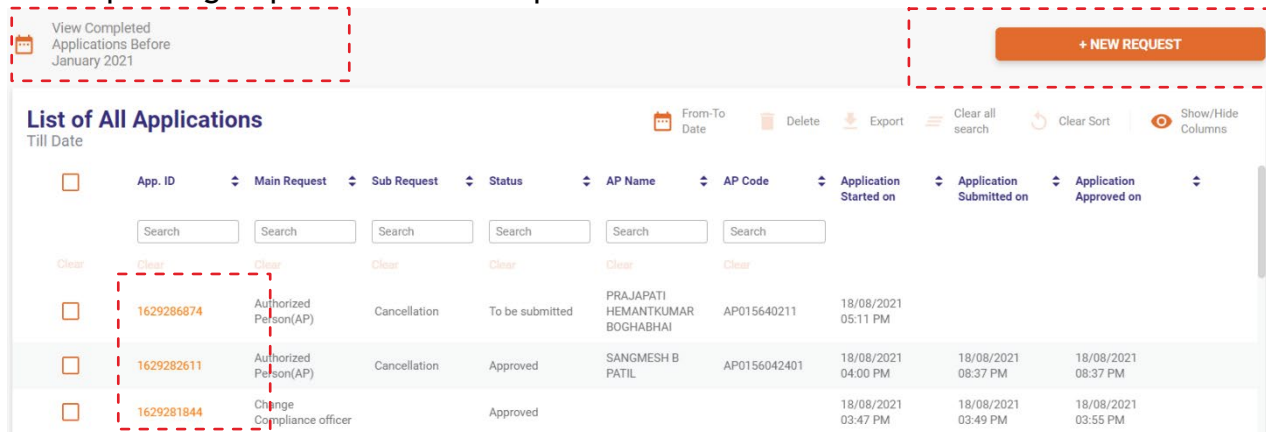
1.1 Navigate to application Dashboard

Navigate through the left menus (Regulatory > Dashboard)



1.2 Landing Page

You will land at the dashboard where you can create a new request, and view and action pending requests across multiple member services



App. ID	Main Request	Sub Request	Status	AP Name	AP Code	Application Started on	Application Submitted on	Application Approved on
1629286874	Authorized Person(AP)	Cancellation	To be submitted	PRAJAPATI HEMANTKUMAR BOGHABHAI	AP015640211	18/08/2021 05:11 PM		
1629282611	Authorized Person(AP)	Cancellation	Approved	SANGMESH B PATIL	AP0156042401	18/08/2021 04:00 PM	18/08/2021 08:37 PM	18/08/2021 08:37 PM
1629281844	Change Compliance officer		Approved			18/08/2021 03:47 PM	18/08/2021 03:49 PM	18/08/2021 03:55 PM

Note:

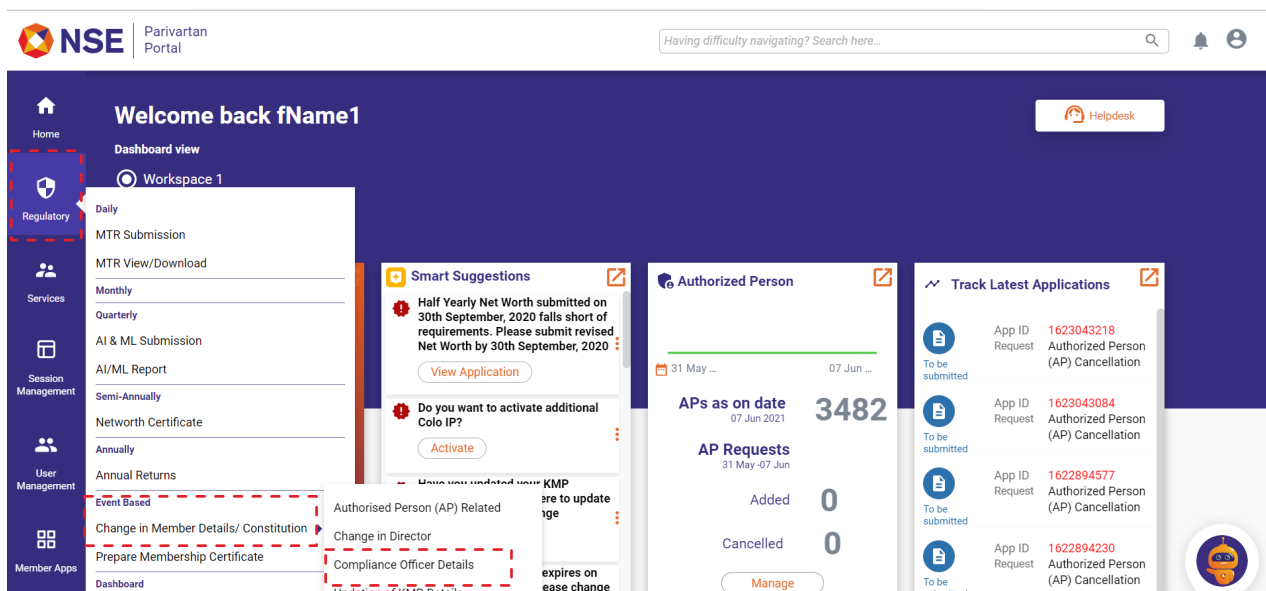
- Click 'View Complete Applications Before January 2021' to see list of all closed applications
- Click to lodge a new request

- Select the application number you want to action with 'Main Request' = 'Change Compliance Officer'

2 Edit Details of Current Compliance Officer

2.1 Navigate to Compliance Officer basic details page

Once you login, click on 'Regulatory' tab on left pane. Navigate via 'Event based' -> 'Change in Member Details' -> 'Compliance Officer Details' to reach the CO basic details page.



The screenshot shows the NSE Parivartan Portal dashboard. The left sidebar contains a 'Regulatory' tab, which is highlighted with a red dashed box. Below it, the 'Event Based' section is expanded, and the 'Change in Member Details/ Constitution' option is highlighted with a red dashed box. This leads to a sub-menu where 'Compliance Officer Details' is highlighted with a red dashed box. The main dashboard area shows a 'Welcome back fName1' message, a 'Dashboard view' section with 'Workspace 1' selected, and several widgets including 'Smart Suggestions', 'Authorized Person', and 'Track Latest Applications'.

2.2 Landing Page

Once you select an application number, you will be redirected to the application details page. NISM certificate may/may not be uploaded.

NISM Certificate is not uploaded

[↔ CHANGE COMPLIANCE OFFICER](#)

Compliance Officer

Please ensure that all details are up to date

Basic Details

Edit

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate
Date of Employment with Member	Date of Appointment as Compliance Officer		
01/01/2020	01/01/2020		

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267589987	compliance@company.com

Residential Address

Address Line 1		Address Line 2	Address Line 3
A-1, 13 Floor, B block		ABC Area, next to XYZ	A1 Road
Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

Please ensure that details are updated

 You have not uploaded any certification yet.

UPLOAD CERTIFICATION

NISM Certificate is uploaded

[↔ CHANGE COMPLIANCE OFFICER](#)

Compliance Officer

Please ensure that all details are up to date

✎ Edit

Basic Details

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member	Date of Appointment as Compliance Officer
01/01/2020	01/01/2020

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267509987	compliance@company.com

Residential Address

Address Line 1		Address Line 2	Address Line 3
A-1, 13 Floor, B block		ABC Area, next to XYZ	A1 Road

Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Certification Type
NISM Certificate

⌂ Update

Details as per Document Uploaded

Name	PAN	Valid till	Exam Type
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

 **Naming Convention for Address Proof**
«Name of Compliance officer»_NISM Cert_«validity date in DDMMYYYY»

 **Document**
1. Acceptable format : PDF
2. Max file size limit : 2 MB

NISM Certificate  

Aditya Jain_NISM Cert_01012024

Note:

- Click 'Change Compliance Officer' to request for a new CO
- Click 'Edit' or 'Update' to update basic details and NISM certification details, respectively.

2.3 Upload new certificate & run system validation

Once you click 'Update' in the NISM Certification section, enter the new values - Certificate type, Validity, Name, and upload the new certificate. Click on 'Validate'.


CHANGE COMPLIANCE OFFICER

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation

Mr.

Name

Abhijit Bansal

PAN

DCVPS2341M

Qualification

Graduate

Date of Employment with Member

01/01/2020

Date of Appointment as Compliance Officer

01/01/2020

Contact Details

Mobile no.

9281700833

Phone no.

02267589987

Email ID

compliance@company.com

Residential Address

Address Line 1

A-1, 13 Floor, B block

Address Line 2

ABC Area, next to XYZ

Address Line 3

A1 Road

Pin

400009

City

Mumbai

District

Mumbai City

State

Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

Details as per Document Uploaded

Name

PAN

AAAPA1234A

Valid till

Exam Type

NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

Naming Convention for Address Proof

<Name of Compliance officer>_NISM Cert_<validity date in DDMMYY>

Document

1. Acceptable format - PDF

2. Max file size limit - 2 MB

NISM Certificate

Aditya Jain_NISM Cert_01012024

validate

Validate NISM Certificate

7

[CHANGE COMPLIANCE OFFICER](#)

Compliance Officer

Please ensure that all details are up to date

Basic Details

Edit

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member	Date of Appointment as Compliance Officer
01/01/2020	01/01/2020

Contact Details

Mobile no.	Phone no.	Email ID
9281 700833	02267509987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 13 Floor, B block	ABC Area, next to XYZ	A1 Road

Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

Save Cancel

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SAC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

Details as per Document Uploaded

Name	PAN	Valid till	Exam Type
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

- Naming Convention for Address Proof
«Name of Compliance officer»_NISM_Cert_«validity date in DDMM/YYYY»
- Document
1. Acceptable format : PDF
2. Max file size limit : 2 MB

NISM Certificate

Aditya Jain_NISM_Cert_01012024

Validate

Validate NISM Certificate

Note:

- Certificate only acceptable in PDF format.
- Clicking on 'Select certificate type' opens a dropdown with list of NISM certificate types.

If a provisional certificate is uploaded, filling Exam date is mandatory. On clicking 'Validate', system runs a background check to read and match details from uploaded certificate to what has been entered. 'Validated' with a green tick appears when the certificate has been validated.

After Validation is complete. Click on 'Save' to submit the entry

CHANGE COMPLIANCE OFFICER

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation

Name

PAN

Qualification

Mr

Abhijit Bansal

DCVPS2341M

Graduate

Date of Employment with Member

Date of Appointment as Compliance Officer

01/01/2020

01/01/2020

Contact Details

Mobile no.

Phone no.

Email ID

9281700833

02267589987

compliance@company.com

Residential Address

Address Line 1

Address Line 2

Address Line 3

A-1, 13 Floor, B block

ABC Area, next to XYZ

A1 Road

Pin

City

District

State

400009

Mumbai

Mumbai City

Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SAC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

Details as per Document Uploaded

Name

PAN

Valid till

Exam Type

Aditya Jain

AAAP1234A

01/01/2024

NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

- Naming Convention for Address Proof
«Name of Compliance officer»_NISM Cert_«validity date in DDMM/YYYY»
- Document
 - Acceptable format : PDF
 - Max file size limit : 2 MB

NISM Certificate

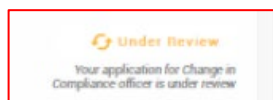
Aditya Jain_NISM Cert_01012024

Validated

Validated NISM Certificate

Note:

If details from the uploaded certificate don't match entered details, application will still be submitted. However, it will be sent for manual review to the NSE team (indicated below). Once they approve, only then changes will reflect in the system.



A green confirmation pop-up on top will indicate successful update.

Compliance Officer details have been successfully updated!

CHANGE COMPLIANCE OFFICER

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation

Mr.

Name

Abhijit Bansal

PAN

DCVPS2341M

Qualification

Graduate

Date of Employment with Member

01/01/2020

Date of Appointment as Compliance Officer

01/01/2020

Contact Details

Mobile no.

9201700833

Phone no.

02267589987

Email ID

compliance@company.com

Residential Address

Address Line 1

A-1, 13 Floor, B block

Address Line 2

ABC Area, next to XYZ

Address Line 3

A1 Road

Pin

400009

City

Mumbai

District

Mumbai City

State

Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

Details as per Document Uploaded

Name

Aditya Jain

PAN

AAAPR1234A

Valid till

01/01/2024

Exam Type

NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

- Naming Convention for Address Proof
<Name of Compliance officer>_NISM Cert_<validity date in DDMMYYYY>
- Document
 - 1. Acceptable format : PDF
 - 2. Max file size limit : 2 MB

NISM Certificate

Aditya Jain_NISM Cert_01/01/2024

2.4 Edit details

Once you click 'Edit' in the Basic Details section, update the fields - qualification, mobile number, email id, and/or residential address. Clicking on 'Save' will open a pop-up. Confirm the changed details, tick mark on the declaration and click 'Update'.

[CHANGE COMPLIANCE OFFICER](#)

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member	Date of Appointment as Compliance Officer
01/01/2020	01/01/2020

Save
Reset
Cancel

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267509987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 13 Floor, B block	ABC Area, next to XYZ	A1 Road

Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification-Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

Details as per Document Uploaded

Name	PAN	Valid till	Exam Type
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

-  Naming Convention for Address Proof
«Name of Compliance officers»_NISMCert_«validity date in DDMMYYYY»
-  Document
1. Acceptable format : PDF
2. Max file size limit : 2 MB

NISM Certificate

Aditya Jain_NISMCert_01/01/2024


Attention

Please confirm the following changes made by you

Fields	Original	Edited
Address Line 1	A-1, 13 Floor, B block	A-3, 15 Floor, C block
Mobile no.	8831957900	8831957900

☒ I/We hereby declare that the information provided is true and latest & further, undertake to intimate and update the Exchange as and when there is any change in the aforesaid information being submitted to the Exchange.

CANCEL

UPDATE

Note:

A green confirmation prompt will appear on top mentioning that details have been successfully updated.

In case you wish to cancel editing details (both NISM certificate and basic details), click 'Cancel'.

System will throw a pop-up to confirm if you want to cancel edits.

CHANGE COMPLIANCE OFFICER

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation

Name

Mr.

Abhijit B

Date of Employment Of member

01/01/2020

Contact Details

Mobile no.

9281700833

Phone no.

02267589987

Email ID

compliance@company.com

Residential Address

Address Line 1

A-1, 13 Floor, B block

Address Line 2

ABC Area, next to XYZ

Address Line 3

A1 Road

Pin

City

District

State

Save

Reset

Cancel

Attention

Are you sure you want to Cancel? Any changes made by you will be lost

CANCEL

CONTINUE EDITING

2.5 Application moved to Review Queue

When either NISM certificate validation or PAN validation doesn't pass, the application is moved to a review queue that needs to be actioned by NSE team. Application cannot be edited till reviewed.

[CHANGE COMPLIANCE OFFICER](#)

 **Under Review**

Your application for Change in Compliance officer is under review.

 Edit

Compliance Officer

Please ensure that all details are up to date

Basic Details

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member 01/01/2020	Date of Appointment as Compliance Officer 01/01/2020
--	---

Contact Details

Mobile no. 9281 700833	Phone no. 02267509987	Email ID compliance@company.com
---------------------------	--------------------------	------------------------------------

Residential Address

Address Line 1 A-1, 13 Floor, B block		Address Line 2 ABC Area, next to XYZ	Address Line 3 A1 Road
Pin 400009	City Mumbai	District Mumbai City	State Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A. SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification.

Provide valid proof of certification.

Select Certification Type
NISM Certificate

Details as per Document Uploaded

Name Aditya Jain	PAN AAAPA1234A	Valid till 01/01/2024	Exam Type NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam
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Upload Guidelines

Before uploading the files, please ensure the following

 **Naming Convention for Address Proof**
«Name of Compliance officer»_NISM Cert_«validity date in DDMMYYYY»

 **Document**
1. Acceptable format : PDF
2. Max file size limit : 2 MB

NISM Certificate

Aditya Jain_NISM Cert_01.01.2024




Note:

- 'Under Review' status indicated
- 'Change Compliance Officer' button is disabled till application is 'Under Review'

3 Request for change of Compliance Officer

3.1 Click on 'Change Compliance Officer' to initiate request for change of compliance officer.

➡ CHANGE COMPLIANCE OFFICER

Compliance Officer

Please ensure that all details are up to date

Basic Details

✎ Edit

Sakutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member	Date of Appointment as Compliance Officer
01/01/2020	01/01/2020

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267589987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 13 Floor, B block	ABC Area, next to XYZ	A1 Road

Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

🔄 Update

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Certification Type
NISM Certificate

Details as per Document Uploaded

Name	PAN	Valid till	Exam Type
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

 **Naming Convention for Address Proof**
<Name of Compliance officer>_NISM CerT_<validity date in DDMMYYYY>

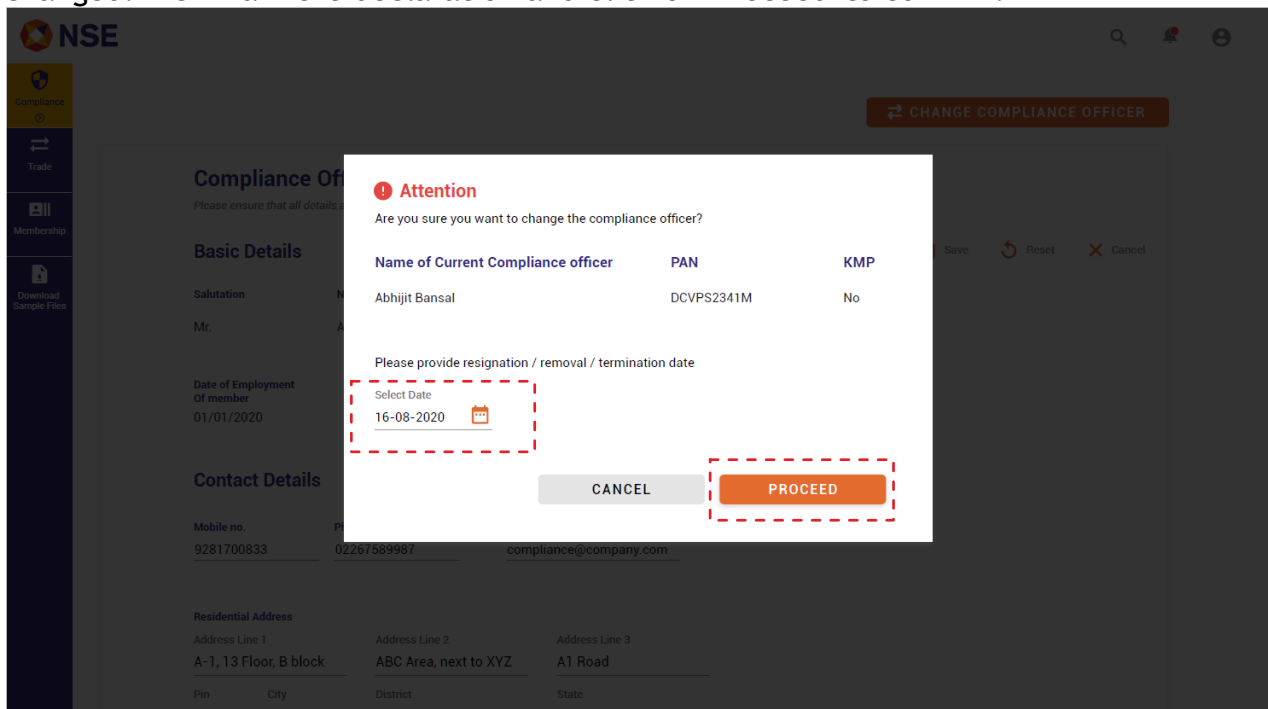
 **Document**
1. Acceptable format : PDF
2. Max file size limit : 2 MB

NISM Certificate  

Aditya Jain_NISM CerT_01012024

3.2 Enter Details of old Compliance Officer

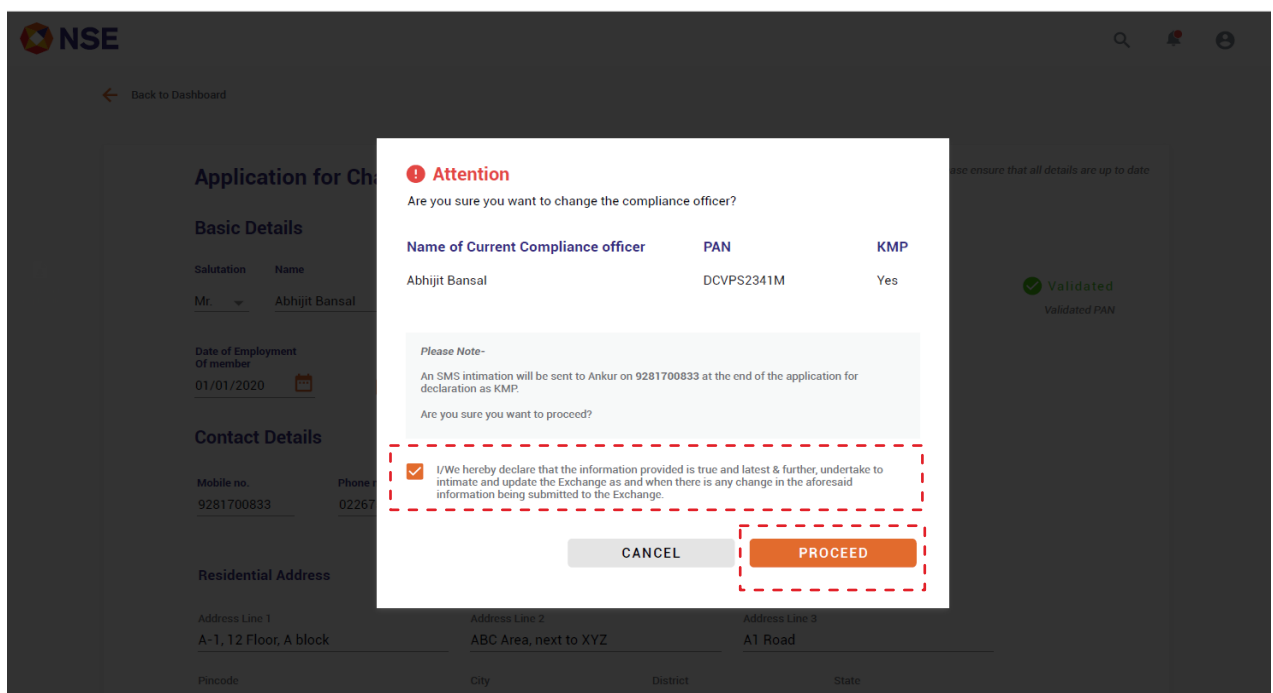
Enter the old CO's resignation/termination/removal date when system throws pop-up. On clicking 'Proceed', system will throw another pop-up to confirm that the CO is to be changed. Tick mark the declaration and click on 'Proceed' to confirm.



The screenshot shows the NSE Compliance Officer Updation interface. A confirmation pop-up is displayed over the form. The pop-up has a red header with an exclamation mark and the word "Attention". The text inside the pop-up asks: "Are you sure you want to change the compliance officer?". Below this, there is a table with the following data:

Name of Current Compliance officer	PAN	KMP
Abhijit Bansal	DCVPS2341M	No

Below the table, it says "Please provide resignation / removal / termination date". There is a "Select Date" field with a calendar icon, showing the date "16-08-2020". At the bottom of the pop-up, there are two buttons: "CANCEL" and "PROCEED". The "PROCEED" button is highlighted with a red dashed border.



The screenshot shows the NSE Compliance Officer Updation interface. A confirmation pop-up is displayed over the form. The pop-up has a red header with an exclamation mark and the word "Attention". The text inside the pop-up asks: "Are you sure you want to change the compliance officer?". Below this, there is a table with the following data:

Name of Current Compliance officer	PAN	KMP
Abhijit Bansal	DCVPS2341M	Yes

Below the table, there is a "Please Note-" section with the following text: "An SMS intimation will be sent to Ankur on 9281700833 at the end of the application for declaration as KMP." Below this, it asks: "Are you sure you want to proceed?". There is a checkbox with a red checkmark and the following text: "I/We hereby declare that the information provided is true and latest & further, undertake to intimate and update the Exchange as and when there is any change in the aforesaid information being submitted to the Exchange." At the bottom of the pop-up, there are two buttons: "CANCEL" and "PROCEED". The "PROCEED" button is highlighted with a red dashed border.

Note:

- Date cannot be a future date.
- If old CO was a Key Management Person (KMP), he will be removed as KMP.
- An SMS intimation will be sent to old CO at the end of the application.

3.3 Update details of new Compliance Officer

A blank form with 2 sections - 'Basic details' and 'NISM Certification' will open. Basic details are mandatory, while certificate details can be updated within 1 year of joining.



← Back to Dashboard
🔍 📧 🌐

Application for Change in Compliance officer

Please ensure that all details are up to date

Basic Details

Solution	Name	PAN
Mr. ▼	Enter Name	Enter PAN no

Validate PAN

Date of Employment with Member	Date of Appointment as Compliance Officer	Qualification
Select Date	Select Date	Select Qualification ▼

Contact Details

Mobile no.	Phone no.	Email ID
Enter mobile no	Enter Phone No	Enter Email Id

Residential Address

Address Line 1	Address Line 2	Address Line 3
Enter Address Line 1	Enter Address Line 2	Enter Address Line 3

Pincode	City	District	State
Enter Pincode			

NISM Certification

Kandly refer to the SeBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Service By A. SG/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Has the Compliance Officer obtained the required NISM certification?

☒ Yes
 ☐ No

Provide valid proof of certification.

Select Certification Type

Select Type ▼

Key Management Personnel

Do you want to declare the Compliance officer as a KMP now? You can update the same in the 'Key Management Personnel' module later if you wish to.

☐ Yes
 ☒ No

Enter details such as name, PAN, date of employment, qualification, address, mobile number and email id. Click on 'Validate'. System will run background check to verify PAN details. 'Validated' with a green tick appears when the details have been authenticated.







[Back to Dashboard](#)

Application for Change in Compliance officer

Please ensure that all details are up to date

Basic Details

Salutation	Name	PAN
Mr.	Abhijit Bansal	DCVPS2341M
Date of Employment with Member	Date of Appointment as Compliance Officer	Qualification
01/01/2020	01/01/2020	Graduate



Validated
Validated PAN

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267589987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 12 Floor, A block	ABC Area, next to XYZ	A1 Road
Pincode	City	District
400005	Mumbai	Mumbai City
		State
		Maharashtra

NISM Certification

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

I am the Compliance Officer obtained the required NISM certification?

☐ Yes
 ☒ No

Please provide NISM certificate within 1 year of date of employment

Key Management Personnel

Do you want to declare the Compliance officer as a KMP now? You can update the same in the 'Key Management Personnel' module later if you wish to.

☒ Yes
 ☐ No

An intimation will be sent to the mobile number provided

PROCEED

Note:

- Depending on availability of NISM certificate, 'Yes'/'No' option can be selected under NISM certification section.
- The new CO can also be designated as KMP by clicking on 'Yes' option in the KMP section.

Select type of NISM certificate you want to upload from the dropdown, upload the certificate, and fill in details as per the uploaded document. Click on 'Validate'.

NISM Certification

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series III A/ SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Has the Compliance Officer obtained the required NISM certification?

☒ Yes ☐ No

Provide valid proof of certification.

Select Certification Type

Select Type

- NISM Certificate
- NISM Provisional certificate (scorecard)
- NISM CPE Certificate

Key Management Personnel

Do you want to declare the Compliance officer as a KMP now? You can update the name in the 'Key Management Personnel' module later if you wish to.

☒ Yes ☐ No

An intimation will be sent to the mobile number provided

[← Back to Dashboard](#)

Application for Change in Compliance officer

Please ensure that all details are up to date.

Basic Details

Salutation	Name	PAN	 Validated Validated PAN
Mr	Abhijit Bansal	DCVP52341M	
Date of Employment with Member	Date of Appointment as Compliance Officer	Qualification	
01/01/2020	01/01/2020	Graduate	

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267589987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 12 Floor, A block	ABC Area, next to XYZ	A1 Road
Pincode	City	District
400005	Mumbai	Mumbai City
		State
		Maharashtra

NISM Certification

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Service III A. SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification.

I am the Compliance Officer obtained the required NISM certification?

☒ Yes ☐ No

Provide valid proof of certification.

Select Certification Type:

NISM Certificate

Details as per Document Uploaded

Name	PAN	Valid till	Exam Given
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance-Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following:

-  Naming Convention for Address Proof: <Name of Compliance officer>_NISM<cert validity date in DDMMYYYY>
-  Document:
 - Acceptable format: PDF
 - Max file size limit: 2 MB

NISM Certificate

Validate

Validate NISM Certificate

Key Management Personnel

Do you want to declare the Compliance officer as a KMP now? You can update the same in the 'Key Management Personnel' module later if you wish to.

☒ Yes ☐ No

An intimation will be sent to the mobile number provided.

PROCEED

3.4 System Validation

On clicking 'Validate', system runs a background check to read and match details from uploaded certificate to what has been entered. 'Validated' with a green tick appears when the certificate has been validated. Click on 'Proceed' to submit the entry.


Back to Dashboard

Application for Change in Compliance officer

Please ensure that all details are up to date.

Basic Details

Salutation	Name	PAN	 Validated Validated PAN
Mr.	Abhijit Bansal	DCVPS2341M	
Date of Employment with Member	Date of Appointment as Compliance Officer	Qualification	
01/01/2020	01/01/2020	Graduate	

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267589987	compliance@company.com

Residential Address

Address Line 1	Address Line 2	Address Line 3
A-1, 12 Floor, A block	ABC Area, next to XYZ	A1 Road
Pincode	City	District
400005	Mumbai	Mumbai City
		State
		Maharashtra

NISM Certification

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communication No. NISM/Certification/Series-III-A: SEC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification.

I am the Compliance Officer obtained the required NISM certification?

☒ Yes ☐ No

Provide valid proof of certification.

Select Certification Type:

NISM Certificate

Details as per Document Uploaded

Name	PAN	Valid till	Exam Given
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

- Naming Convention for Address Proof: «Name of Compliance officer»_NISM Cert_ «validity date in DDMMYYYY»
- Documents:
 - Acceptable format: PDF
 - Max file size limit: 2 MB

NISM Certificate

Aditya Jain NISM Cert 01012024

Key Management Personnel

Do you want to declare the Compliance officer as a KMP now? You can update the name in the 'Key Management Personnel' module later if you wish to.

☒ Yes ☐ No

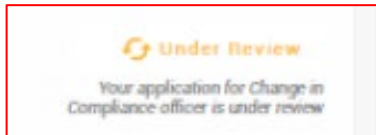
An intimation will be sent to the mobile number provided

 **Validated**
Validated NISM Certificate

PROCEED

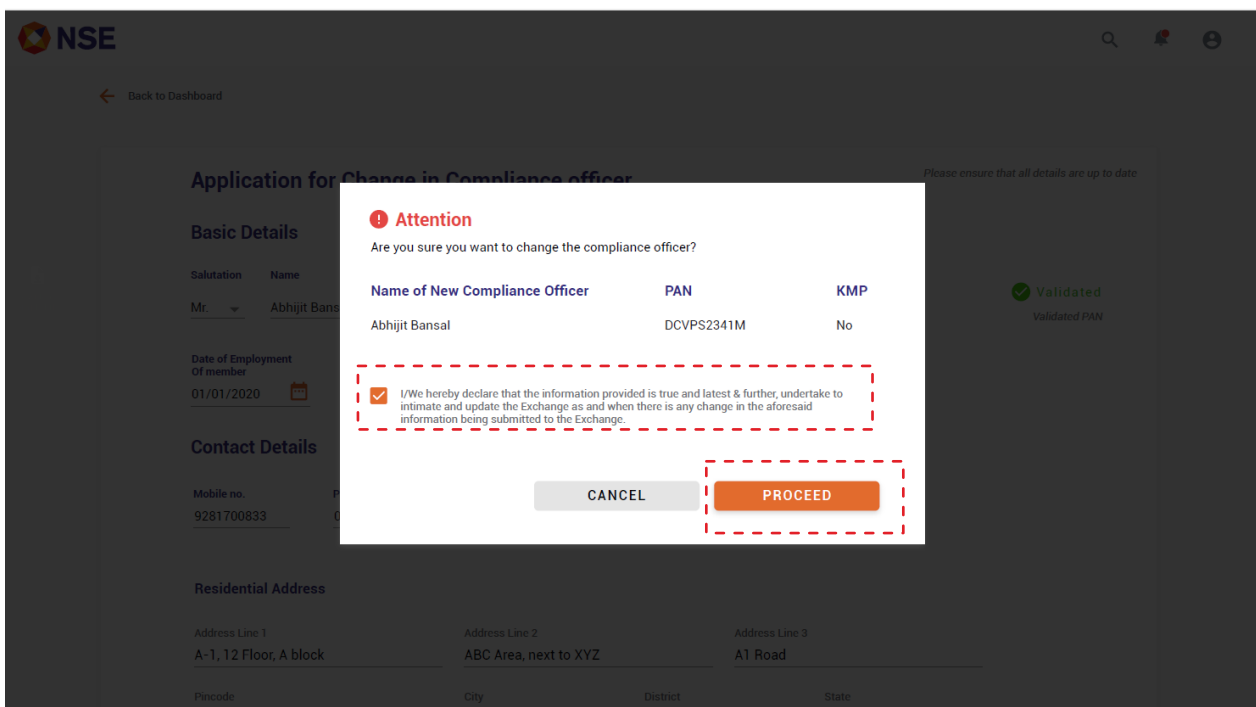
Note:

If details from the uploaded certificate don't match entered details, application will still be submitted. However, it will be sent for manual review to the NSE team (indicated below). Once they approve, only then changes will reflect in the system.



3.5 Tick mark the declaration and click on 'Proceed' to confirm

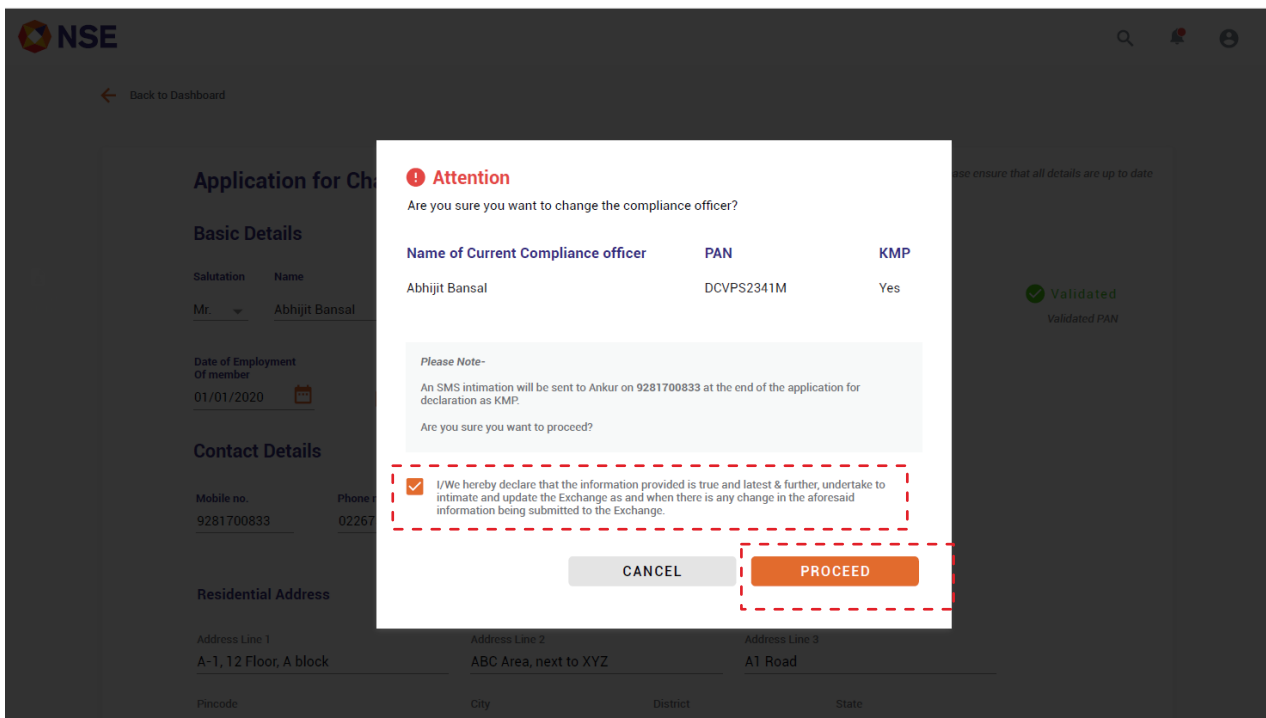
System will throw another pop-up if the new CO is also a KMP.



The screenshot shows the NSE web portal interface for 'Application for Change in Compliance officer'. A confirmation pop-up is displayed in the center, asking 'Are you sure you want to change the compliance officer?'. The pop-up contains the following details:

Name of New Compliance Officer	PAN	KMP
Abhijit Bansal	DCVPS2341M	No

Below the table, there is a declaration checkbox that is checked: 'I/We hereby declare that the information provided is true and latest & further, undertake to intimate and update the Exchange as and when there is any change in the aforesaid information being submitted to the Exchange.' At the bottom of the pop-up are 'CANCEL' and 'PROCEED' buttons. The background form shows 'Basic Details' (Salutation: Mr., Name: Abhijit Bansal, Date of Employment: 01/01/2020) and 'Contact Details' (Mobile no.: 9281700833). To the right, a 'Validated' status is shown with a green checkmark and 'Validated PAN'.



The screenshot shows the NSE web portal with a modal window for confirming the change of a compliance officer. The background form is titled 'Application for Change of Compliance Officer' and includes sections for Basic Details, Contact Details, and Residential Address. The modal window contains the following information:

Attention
 Are you sure you want to change the compliance officer?

Name of Current Compliance officer	PAN	KMP
Abhijit Bansal	DCVPS2341M	Yes

Please Note-
 An SMS intimation will be sent to Ankur on 9281700833 at the end of the application for declaration as KMP.
 Are you sure you want to proceed?

☒ I/We hereby declare that the information provided is true and latest & further, undertake to intimate and update the Exchange as and when there is any change in the aforesaid information being submitted to the Exchange.

CANCEL **PROCEED**

Note:

An SMS intimation will be sent to the new CO when the new CO is also selected as a KMP.

A green confirmation pop-up on top will indicate successful update.

Compliance Officer details have been successfully changed!
✕

🔗
[CHANGE COMPLIANCE OFFICER](#)

Compliance Officer

Please ensure that all details are up to date

✎ Edit

Basic Details

Salutation	Name	PAN	Qualification
Mr.	Abhijit Bansal	DCVPS2341M	Graduate

Date of Employment with Member	Date of Appointment as Compliance Officer
01/01/2020	01/01/2020

Contact Details

Mobile no.	Phone no.	Email ID
9281700833	02267599987	compliance@company.com

Residential Address

Address Line 1		Address Line 2	Address Line 3
A-1, 13 Floor, B block		ABC Area, next to XYZ	A1 Road

Pin	City	District	State
400009	Mumbai	Mumbai City	Maharashtra

NISM Certification

Please ensure that details are updated

Kindly refer to the SEBI (CERTIFICATION OF ASSOCIATED PERSONS IN THE SECURITIES MARKETS) REGULATIONS, 2007 and NISM communique No. NISM/Certification/Series-III-A: SIC/2013/01 dated January 7, 2013 for Compliance Officer NISM certification

Provide valid proof of certification.

Select Certification Type

NISM Certificate

↻ Update

Details as per Document Uploaded

Name	PAN	Valid till	Exam Type
Aditya Jain	AAAPA1234A	01/01/2024	NISM-Series-III-A: Securities Intermediaries Compliance -Non Fund Exam

Upload Guidelines

Before uploading the files, please ensure the following

- 📄 **Naming Convention for Address Proof**
«Name of Compliance officer»_NISM Cer_«validity date in DOMYYYY»
- 📄 **Document**
1. Acceptable format : PDF
2. Max file size limit : 2 MB

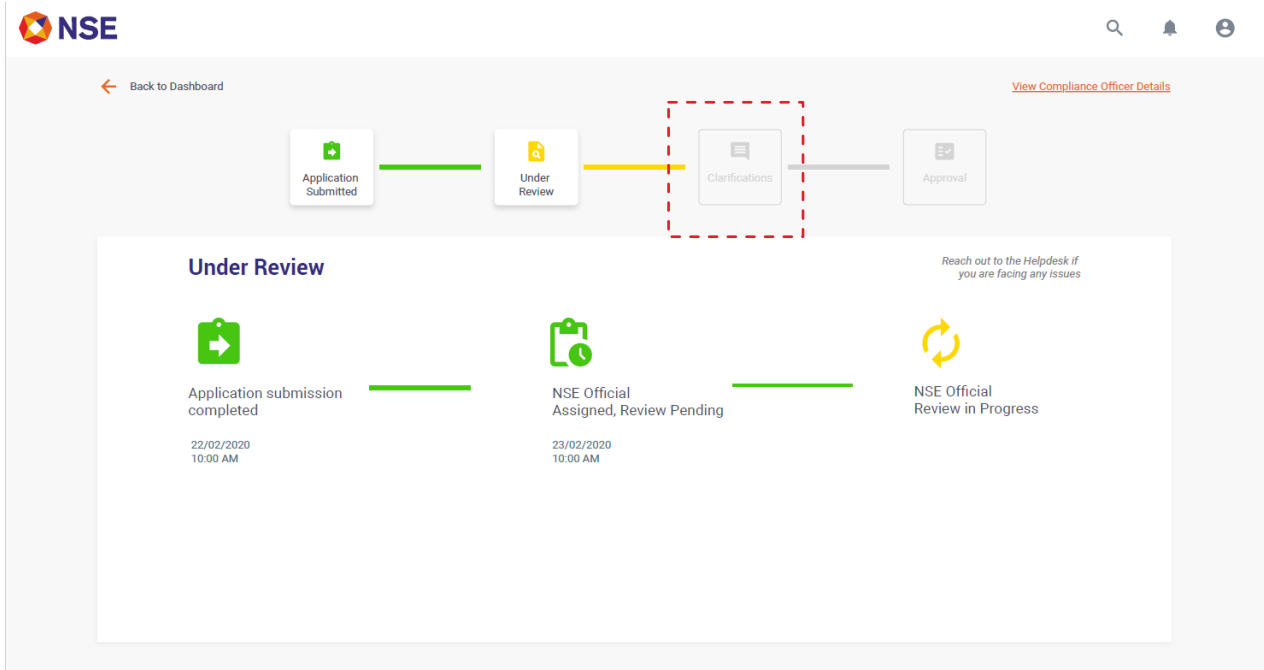
NISM Certificate
👁
⬇

Aditya Jain_NISM Cer_01012024

4 Respond to clarifications requested by Exchange

4.1 Landing Page

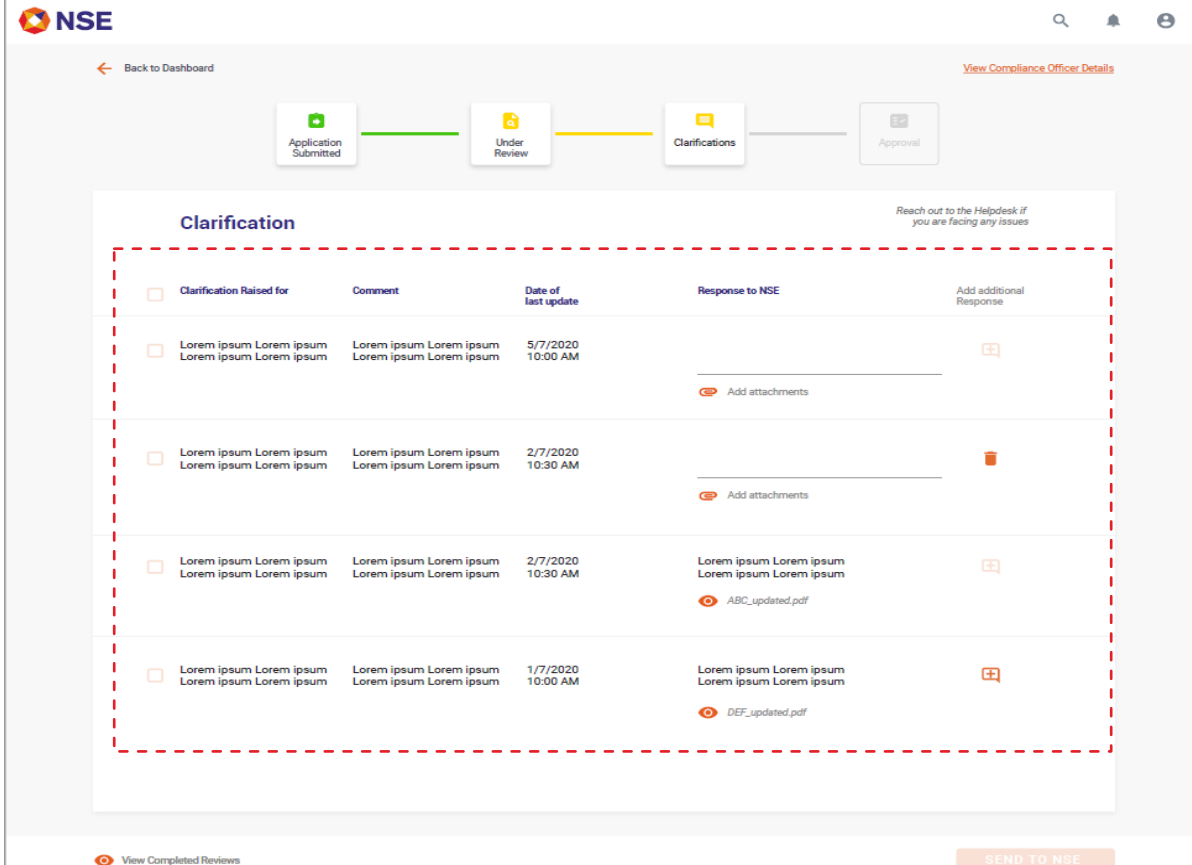
Applications that move to the NSE review queue (manual tray) due to validation failures can be tracked. Click on the Application no. and you will see a screen like below.



4.2 Update Clarification

Update Clarification by entering comments under 'Response to NSE' column and attaching supporting documents and clicking 'Send to NSE'.

When an application is in 'Clarifications' stage, NSE can seek explanation regarding the application. These details are available under the clarifications tab.



The screenshot displays the NSE Compliance Officer Updation interface. At the top, there is a navigation bar with the NSE logo, a search icon, a notification bell, and a user profile icon. Below the navigation bar, a progress bar shows four stages: 'Application Submitted', 'Under Review', 'Clarifications' (the active stage), and 'Approval'. The main content area is titled 'Clarification' and contains a table with five columns: 'Clarification Raised for', 'Comment', 'Date of last update', 'Response to NSE', and 'Add additional Response'. The table lists four entries, each with a checkbox, a comment, a date, and a response. The first two entries have a red dashed border around them. The third entry has a red trash icon, and the fourth entry has a red speech bubble icon. At the bottom of the interface, there is a 'View Completed Reviews' link and a 'SEND TO NSE' button.

Clarification Raised for	Comment	Date of last update	Response to NSE	Add additional Response
☐ Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	5/7/2020 10:00 AM	 Add attachments	
☐ Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	2/7/2020 10:30 AM	 Add attachments	
☐ Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	2/7/2020 10:30 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum ABC_updated.pdf	
☐ Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	1/7/2020 10:00 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum DEF_updated.pdf	

Note:

View all reviews marked 'Complete' by NSE by clicking 'View completed reviews'.

View Completed Reviews [Export](#)

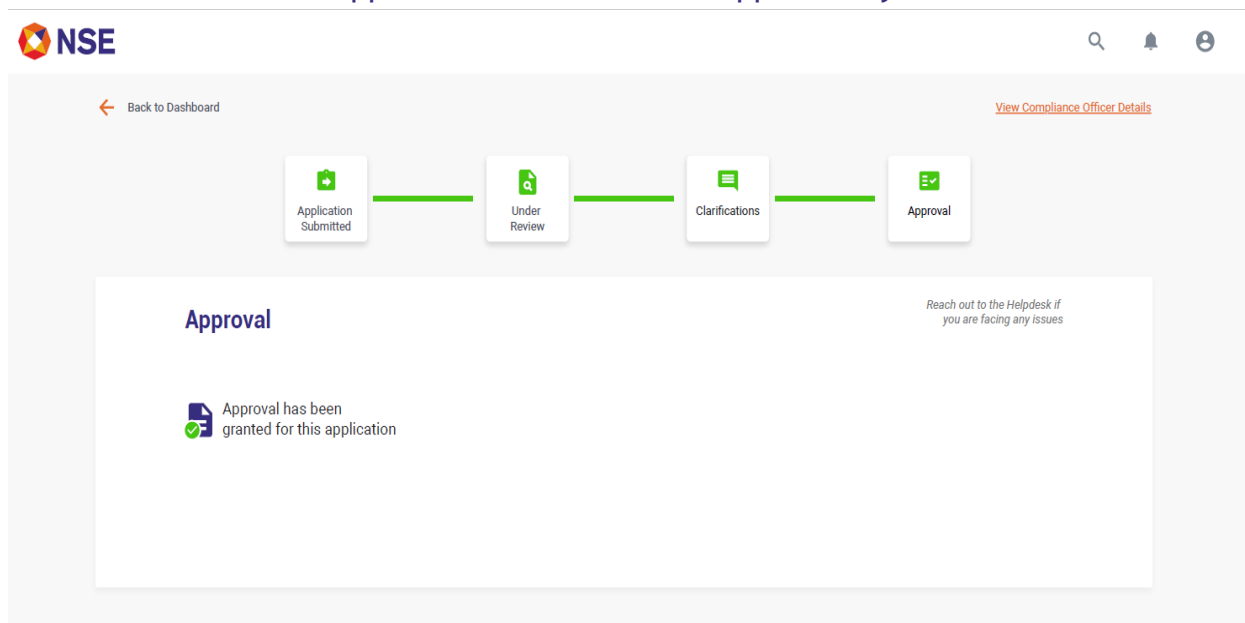
Review Section	Comments	Date of Clarifications Received	Date of Response Sent	Date of Review Closed	Response from Member
Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	1/7/2020 10:00 AM	3/7/2020 10:00 AM	4/7/2020 10:00 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum
Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	1/7/2020 10:00 AM	3/7/2020 10:00 AM	4/7/2020 10:00 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum
Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	1/7/2020 10:00 AM	3/7/2020 10:00 AM	4/7/2020 10:00 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum
Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum	1/7/2020 10:00 AM	3/7/2020 10:00 AM	4/7/2020 10:00 AM	Lorem ipsum Lorem ipsum Lorem ipsum Lorem ipsum

[CLOSE](#)

5 Check application status

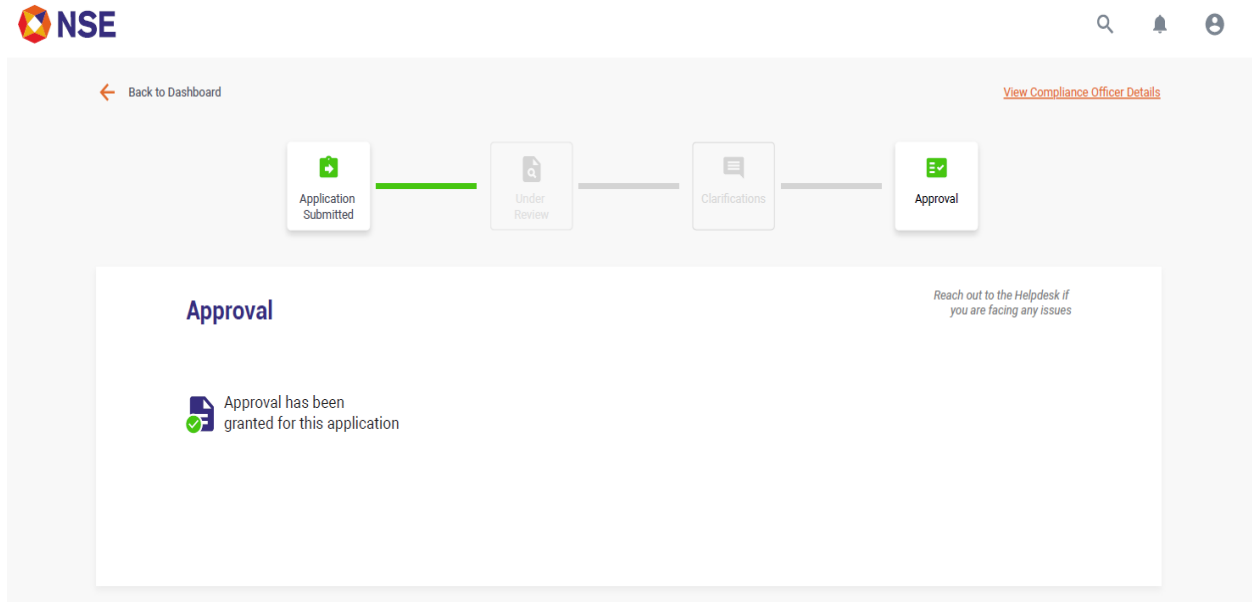
All applications which have been processed and approved will show green highlights on all 4 steps of the flow.

For applications reviewed and approved by NSE



For applications that were processed instantaneously, the 'Under Review' and 'Clarifications' box will not be highlighted as these steps didn't occur.

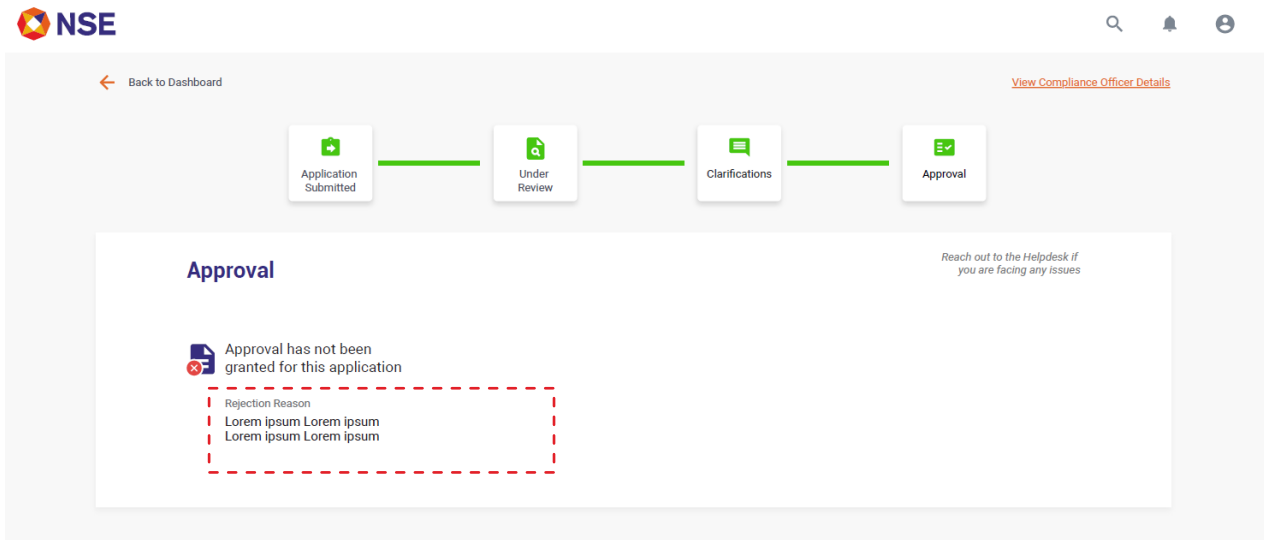
For applications with instant approval



The screenshot displays the NSE Compliance Officer Updation interface. At the top left is the NSE logo. To its right are search, notification, and user profile icons. Below the header, there is a navigation bar with a "Back to Dashboard" link on the left and a "View Compliance Officer Details" link on the right. The main content area features a progress bar with four stages: "Application Submitted" (highlighted with a green bar), "Under Review", "Clarifications", and "Approval". Below the progress bar, a white box titled "Approval" contains a green checkmark icon and the text "Approval has been granted for this application". To the right of this box, a small text note reads: "Reach out to the Helpdesk if you are facing any issues".

All applications which have been processed but rejected and will show green highlights on all 4 steps of the flow.

For applications reviewed and approved by NS



Note:

- If the application is rejected, then relevant **Rejection Reason** is displayed.

6 Frequently Asked Questions

Q. Is NISM exam mandatory for appointed Compliance officer?

A. Yes, every CO should pass the NISM-Series-III-A: Securities Intermediaries Compliance exam and the certificate should be submitted to exchange

Q. I have appointed a new CO and he is yet to give the NISM exam, can I submit the change application to exchange?

A. Yes, you can apply for CO change and get the exchange records updated. However you will be required to submit the NISM certificate within 1 year of new CO appointment.

For any queries or questions, please reach out to the helpdesk [here](#).