

National Stock Exchange of India

Circular

Department: Compliance	
Download Ref No: NSE/COMP/53647	Date: September 12, 2022
Circular Ref. No: 66/2022	

To All Members,

Sub: Submission of Annual Returns for the Financial year 2021-22

This has reference to the submission of Annual Returns to the Exchange for the financial year ended on March 31, 2022. Members of the Exchange are hereby advised to submit the Annual Returns i.e. Audited Balance sheet, Profit & Loss Account, details in respect of Shareholding, Directors, Networth Certificate etc., as may be applicable, for the financial year ended on March 31, 2022 on or before **October 31, 2022**.

Further, as per Enhanced Supervision guidelines mentioned in SEBI circular reference no. SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016, members are required to submit financial statements in the format as prescribed under Companies Act, 2013 irrespective of whether they fall under the purview of Companies Act, 2013 or not.

Members are hereby informed that submission of Annual Returns for the financial year ended on March 31, 2022 shall be done only through the Digital Portal (<https://digitalexchange.nseindia.com>). Currently, Statutory Auditor registration functionality is available on Digital Portal. Members can complete statutory auditor registration in case of first-time submission of Annual Return on the digital portal or in case of change in statutory auditor. The Steps to login and creation of new users on the digital portal is annexed as **Annexure-A** and the guidelines for Statutory Auditor is annexed as **Annexure B** for your reference.

Also, Members can also refer to XBRL utilities (for IGAAP and INDAs format) available on Exchange website (<https://www.nseindia.com/trade/membership-formats>) for generation of XML as required to be uploaded during submission of Annual Return in the digital portal.

Further, the link for submitting the Annual Return shall be made available on Digital Portal shortly. A separate communication shall be issued in this regard along with the User Manual.

National Stock Exchange of India

Circular

For any support, please reach out to the helpdesk on 1800 266 0050 (Select IVR option 3) or email at memcompliance_support@nse.co.in.

**For and on behalf of
National Stock Exchange of India Limited**

**Swati Sopare
Senior Manager**



Annexure A

USER MANUAL

Frontend - User Account Management

Objective: This document is a step-by-step guide on how to login into the portal, create and edit users, and manage users across your organization.

Intended Users: NSE Members

Document Owner: NSE



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



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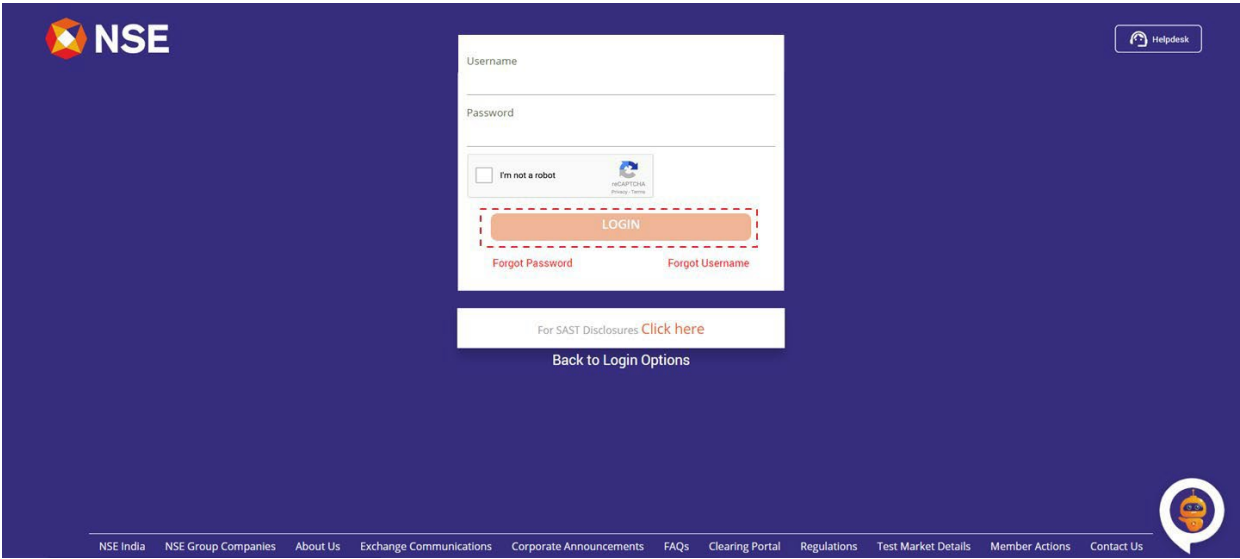
1 Login to the portal

Access NSE Digital Portal (<https://digitalexchange.nseindia.com/nse-frontend-navigation/#/auth>)

1.1 Exchange Portal Login Page

On the login page, enter your username and password, authenticate using reCAPTCHA and click 'Login'.

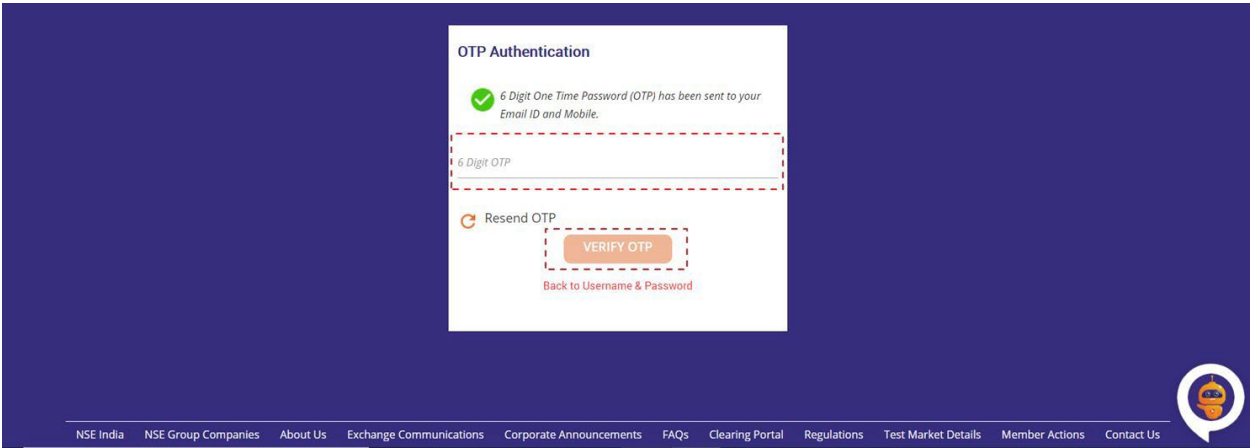
You can also use the Forgot Password/Username facility if required.



The screenshot shows the NSE Exchange Portal Login Page. The page has a dark blue background with the NSE logo in the top left corner. A white login form is centered on the page. The form contains fields for 'Username' and 'Password'. Below these fields is a reCAPTCHA widget with the text 'I'm not a robot'. A red dashed box highlights the 'LOGIN' button. Below the button are links for 'Forgot Password' and 'Forgot Username'. At the bottom of the form, there is a link for 'For SAST Disclosures Click here' and a link for 'Back to Login Options'. A 'Helpdesk' button is located in the top right corner. The footer of the page contains a navigation menu with links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, FAQs, Clearing Portal, Regulations, Test Market Details, Member Actions, and Contact Us. A chatbot icon is visible in the bottom right corner.

1.2 OTP verification

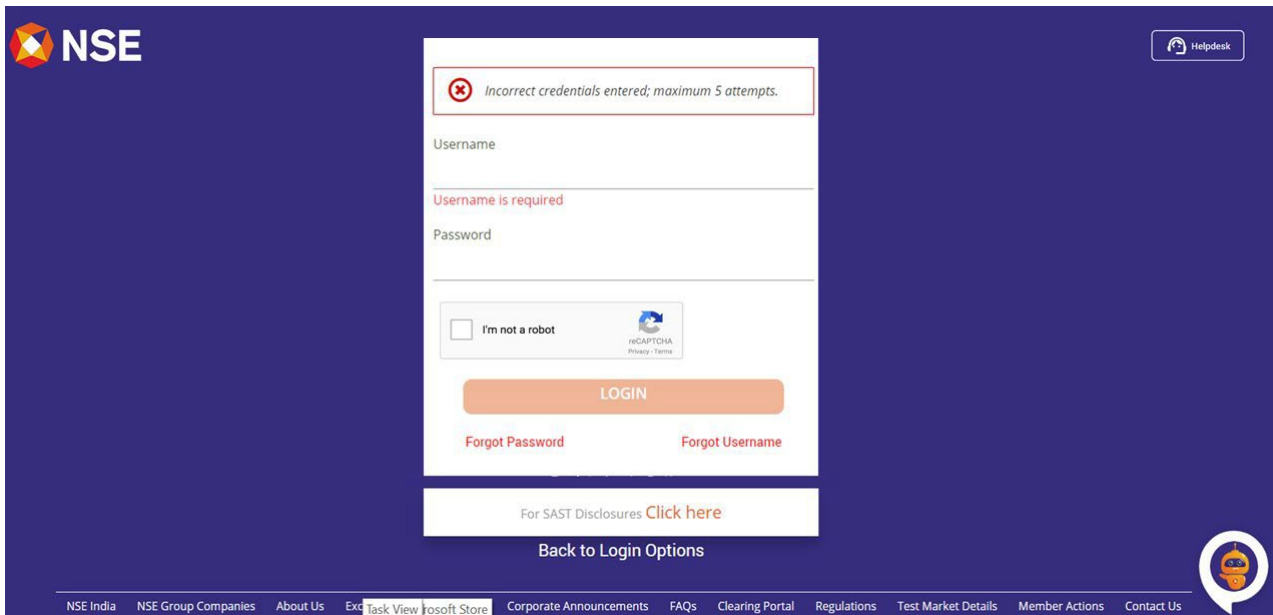
If the login details are correct, you will be redirected to the OTP authentication page. Enter the OTP received on your email address/mobile number and click 'Verify OTP'.



The screenshot shows the NSE OTP Authentication page. The page has a dark blue background with the NSE logo in the top left corner. A white authentication form is centered on the page. The form contains a green checkmark icon and the text '6 Digit One Time Password (OTP) has been sent to your Email ID and Mobile.' Below this text is a text input field for the '6 Digit OTP'. A red dashed box highlights the 'VERIFY OTP' button. Below the button is a link for 'Back to Username & Password'. A 'Resend OTP' button is also visible. The footer of the page contains a navigation menu with links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, FAQs, Clearing Portal, Regulations, Test Market Details, Member Actions, and Contact Us. A chatbot icon is visible in the bottom right corner.

1.3 Incorrect Password

If you have entered the incorrect password, system will show an error message on top. Retype the username and password, authenticate using reCAPTCHA, before clicking on 'Login'

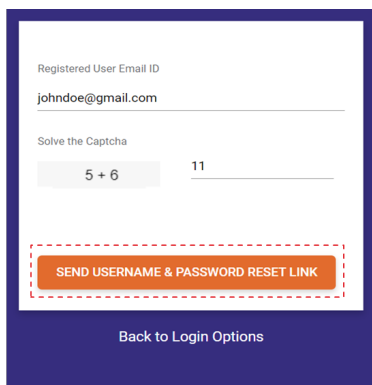


Note:

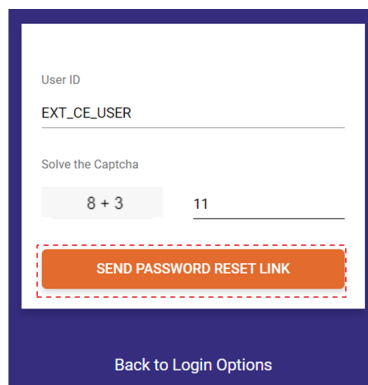
Maximum of 5 attempts are allowed before the username is blocked.

1.4 Forgot username/password

Click 'Forgot Username' or 'Forgot Password' on the Exchange login screen or 'Change/Reset Password' on login screen in case you have forgotten your username/ password.

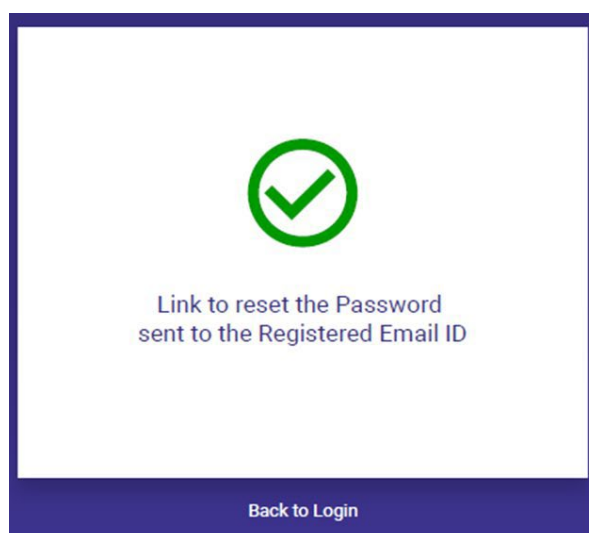


Forgot Username - Enter email ID and captcha. Click Send button.

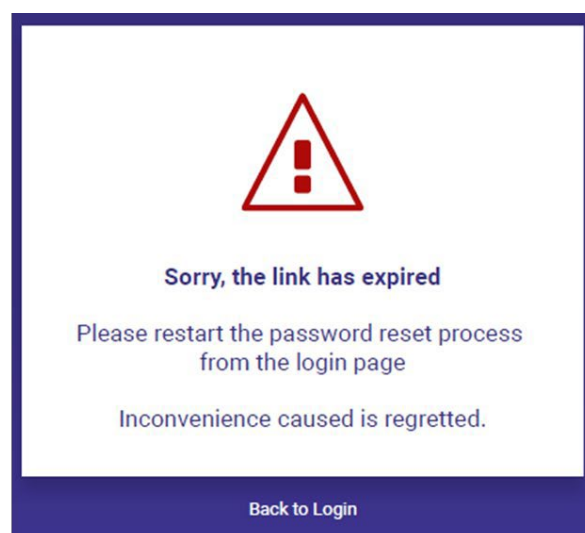


Forgot Password - Enter user ID and captcha. Click Send button.

If email ID or user ID is correct (depending on username/password reset), system will send a reset link to registered email ID. Navigate to your mailbox and action the email.



Reset link sent to registered email ID



In case you try to action the reset link after xx hours, system will display that link as expired. You need to restart the reset process from login page.

On clicking the reset link in the received email, you will be redirected to the 'Reset password' page. Enter the new password and confirm again. Click 'Reset Password'. System will show pop-up confirming password has been reset.



Reset Password

User ID
CLRMEM1

New Password
●●●●●●●●●●

Confirm Password
●●●●●●●●●●

Guidelines for Password

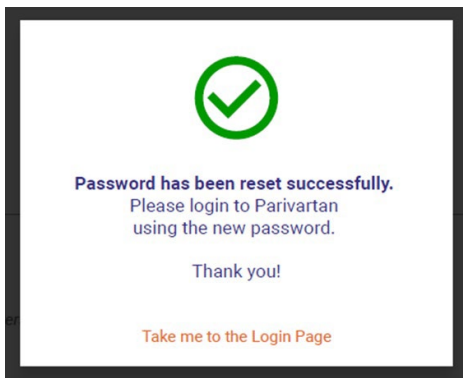
1. Password should be between 12-15 characters
2. Password can contain the below characters

Lowercase: a-z
Uppercase: A-Z
Numeric Character: 0-9
Non-alphanumeric Special characters: @ # \$ % * & /

RESET PASSWORD

Note:

Ensure you follow the password setting guidelines.

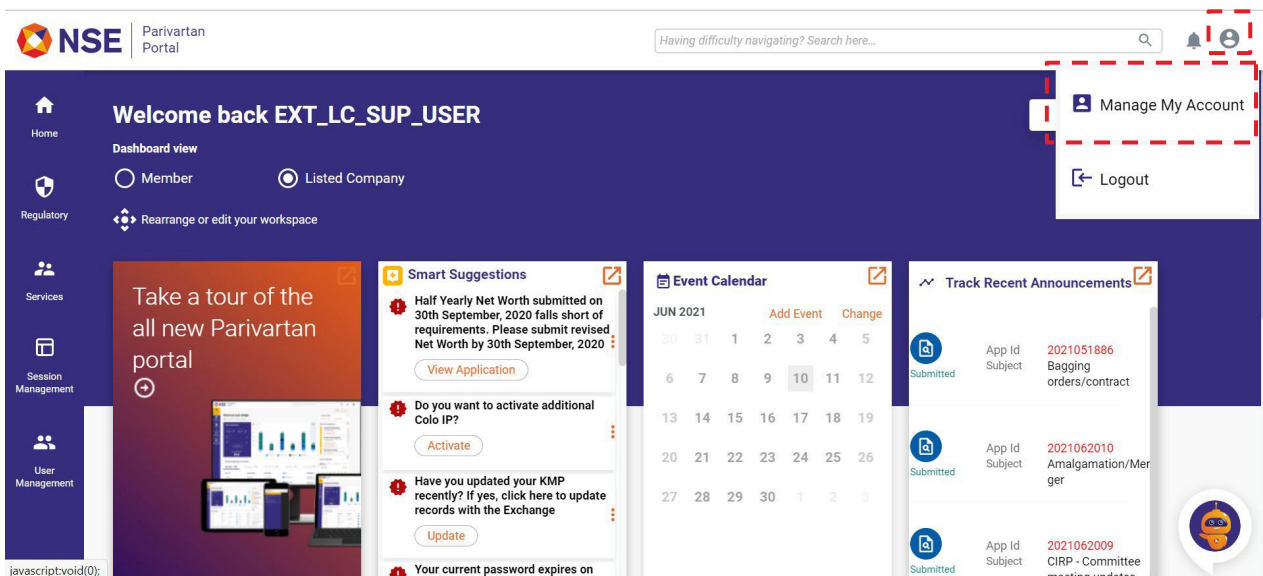


Password reset successfully

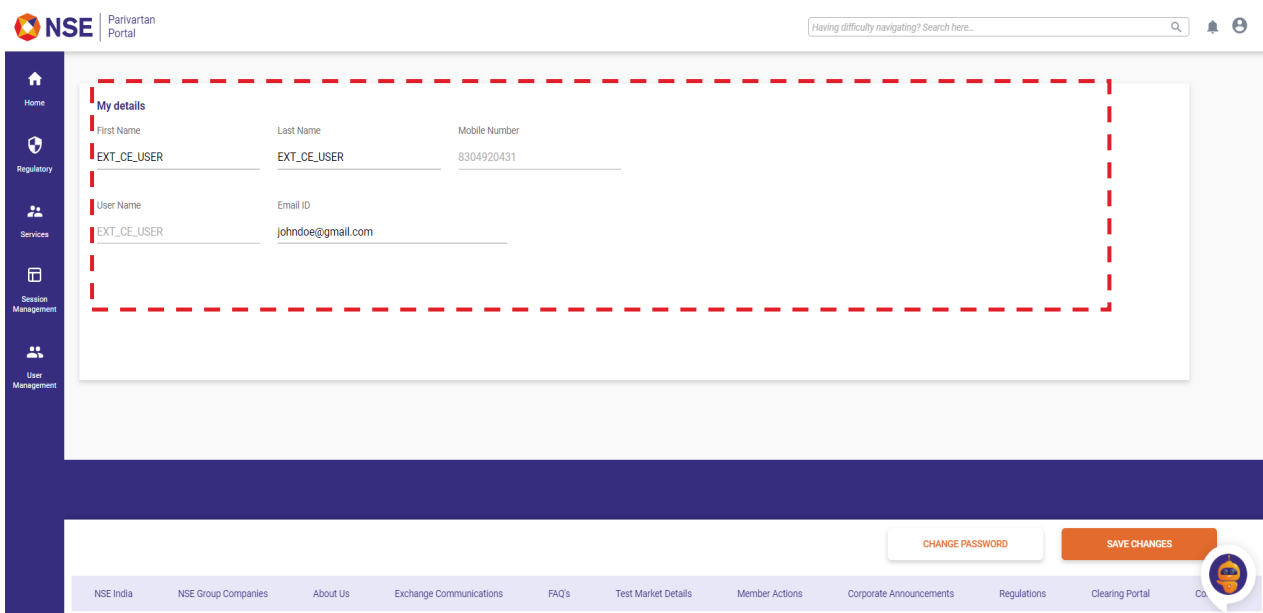
2 Manage your account

2.1 Edit Account details

To edit your details, click the face icon on top right. Then click 'Manage account'. Update name, mobile number or email address. Click 'Save changes'.



The screenshot shows the NSE Parivartan Portal dashboard for user EXT_LC_SUP_USER. The top navigation bar includes the NSE logo, the text 'Parivartan Portal', a search bar with the placeholder 'Having difficulty navigating? Search here...', and notification and user icons. A red dashed box highlights the user icon, which has opened a dropdown menu containing 'Manage My Account' and 'Logout'. The dashboard itself features a sidebar with navigation links (Home, Regulatory, Services, Session Management, User Management) and a main content area with a welcome message, dashboard view options (Member, Listed Company), and several informational cards for smart suggestions, event calendar, and recent announcements.



The screenshot shows the 'My details' form in the NSE Parivartan Portal. The form is enclosed in a red dashed box. It contains the following fields:

My details		
First Name	Last Name	Mobile Number
EXT_CE_USER	EXT_CE_USER	8304920431
User Name	Email ID	
EXT_CE_USER	john.doe@gmail.com	

At the bottom of the page, there are buttons for 'CHANGE PASSWORD' and 'SAVE CHANGES'. The footer contains links to NSE India, NSE Group Companies, About Us, Exchange Communications, FAQ's, Test Market Details, Member Actions, Corporate Announcements, Regulations, Clearing Portal, and a chat icon.

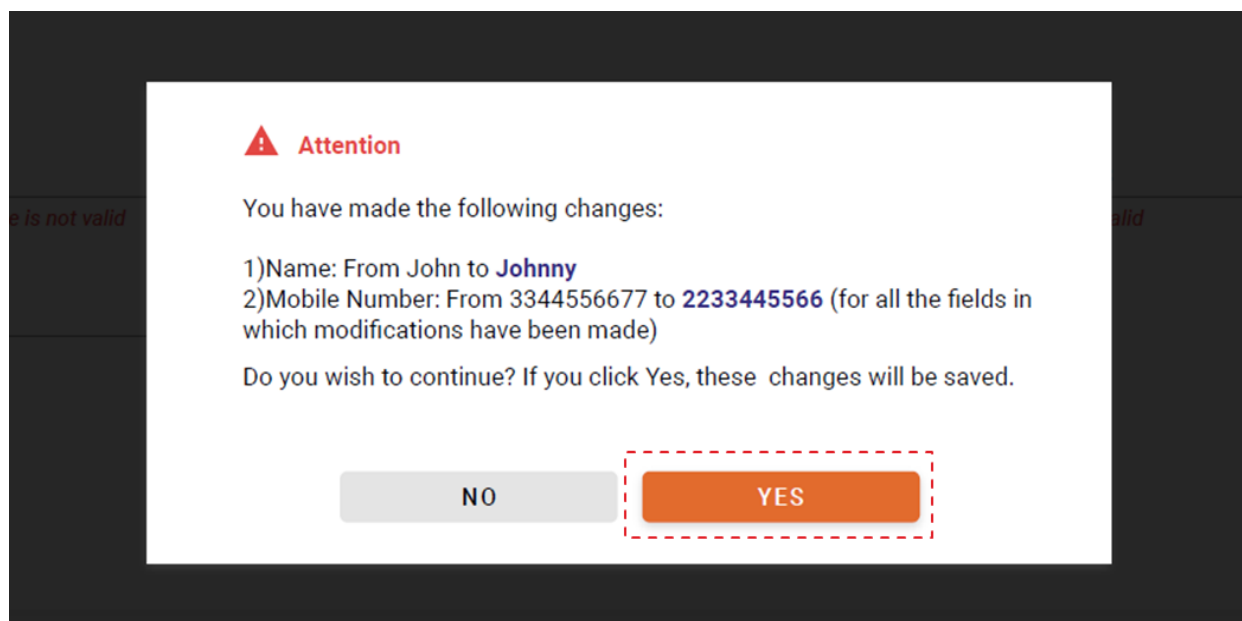
If data entered in any field is invalid, system will show a error message below the field. Else, system will display a pop-up enlisting changes made and asking for confirmation. Click 'Yes' if everything has been captured correctly.

Mobile Number

+91 ▼ 8967346523

✖ Mobile Number is not valid

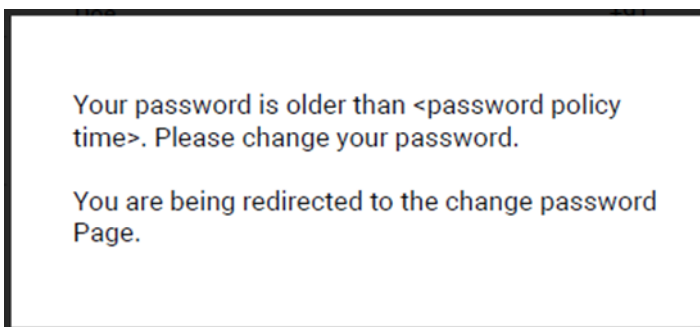
Data entered in any field is
invalid



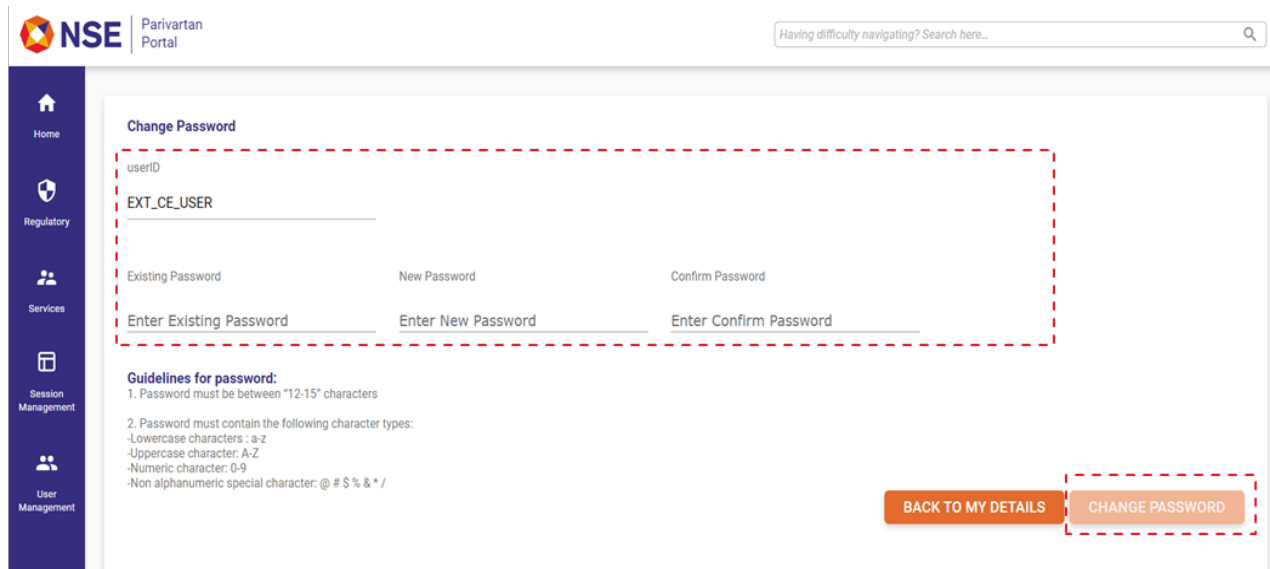
Confirmation screen and list of changes

2.2 Change password

In case your password is due for change (password policy duration), system will throw a pop-up informing that it is redirecting you to 'Change password' page. Enter user ID, existing password, new password (twice to confirm) and click 'Change password'.



Password change due message



Change Password

userID
EXT_CE_USER

Existing Password New Password Confirm Password
Enter Existing Password Enter New Password Enter Confirm Password

Guidelines for password:
 1. Password must be between "12-15" characters
 2. Password must contain the following character types:
 -Lowercase characters : a-z
 -Uppercase character: A-Z
 -Numeric character: 0-9
 -Non alphanumeric special character: @ # \$ % & * /

[BACK TO MY DETAILS](#) [CHANGE PASSWORD](#)

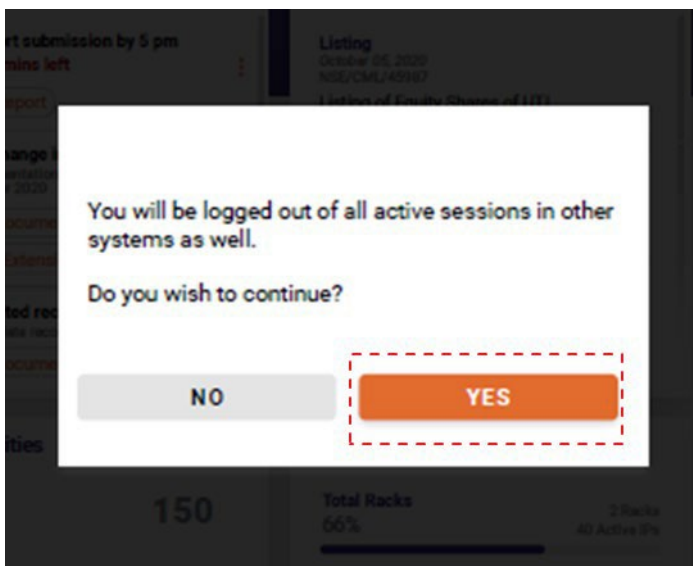
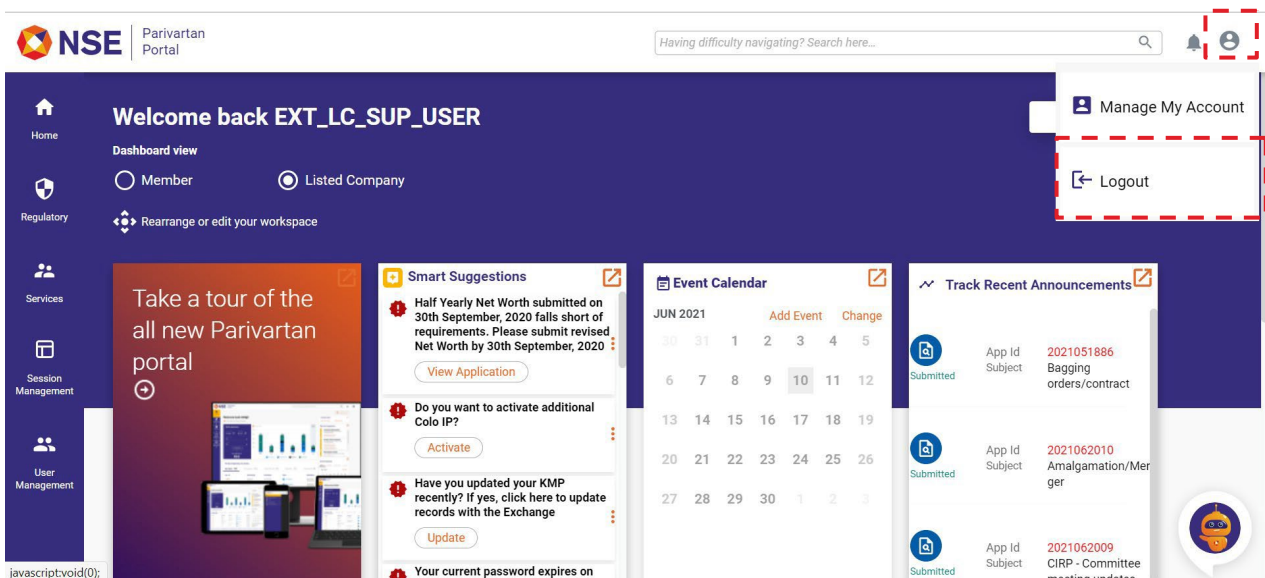
Change password screen

Note:

- Ensure new password adheres to provided guidelines
- If you have entered current password incorrectly for 5 consecutive attempts, your username will be blocked. Please contact your admin in such situation.

2.3 Logout

If you want to logout of your account, click the face icon on top right. Then click 'Logout'. Click on 'Yes' on the pop-up asking for confirmation for logging out of all active sessions.

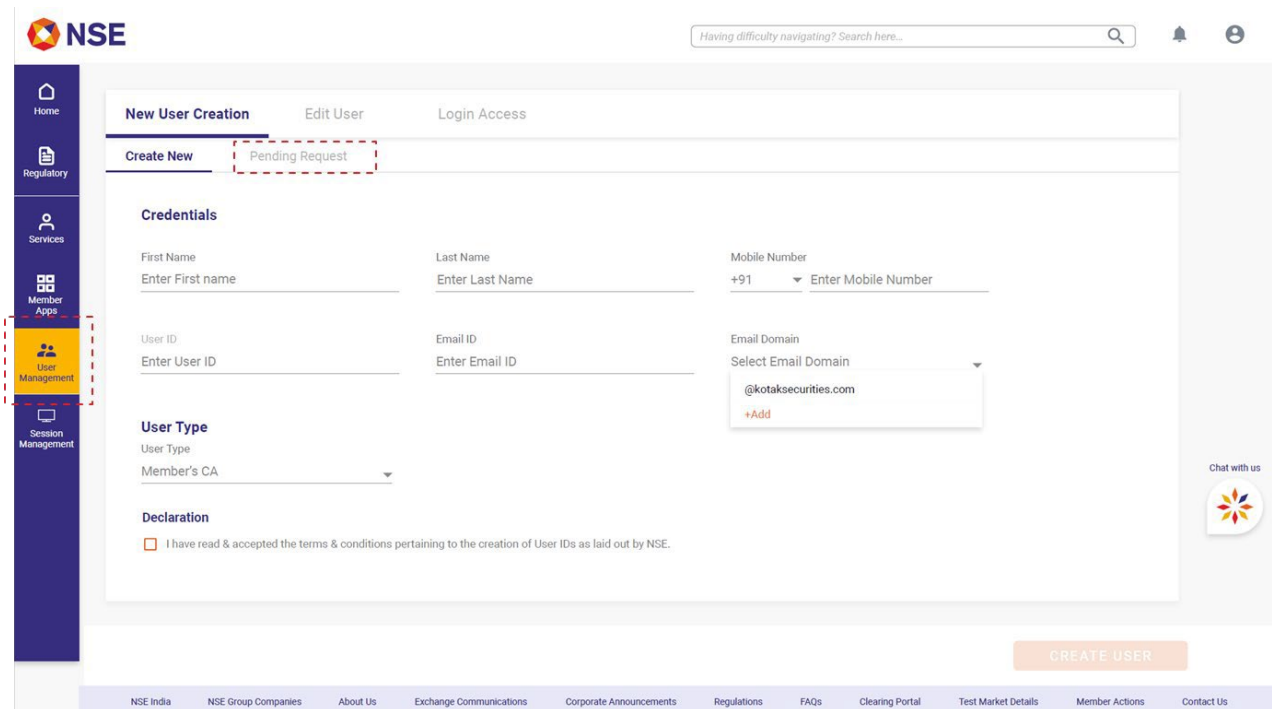


3 User Management

3.1 Create new user (access only to Admin)

3.1.1 Navigate to 'Create New' screen

Click on 'User Management' on left pane. 'New User Creation' screen with 'Create New' tab will open by default.



The screenshot displays the NSE New User Creation interface. On the left, a vertical navigation menu includes options like Home, Regulatory, Services, Member Apps, **User Management** (highlighted), and Session Management. The main panel is titled 'New User Creation' and contains three tabs: 'New User Creation', 'Edit User', and 'Login Access'. Within the 'New User Creation' tab, there are two sub-tabs: 'Create New' (active) and 'Pending Request'. The 'Create New' sub-tab shows a form with the following sections:

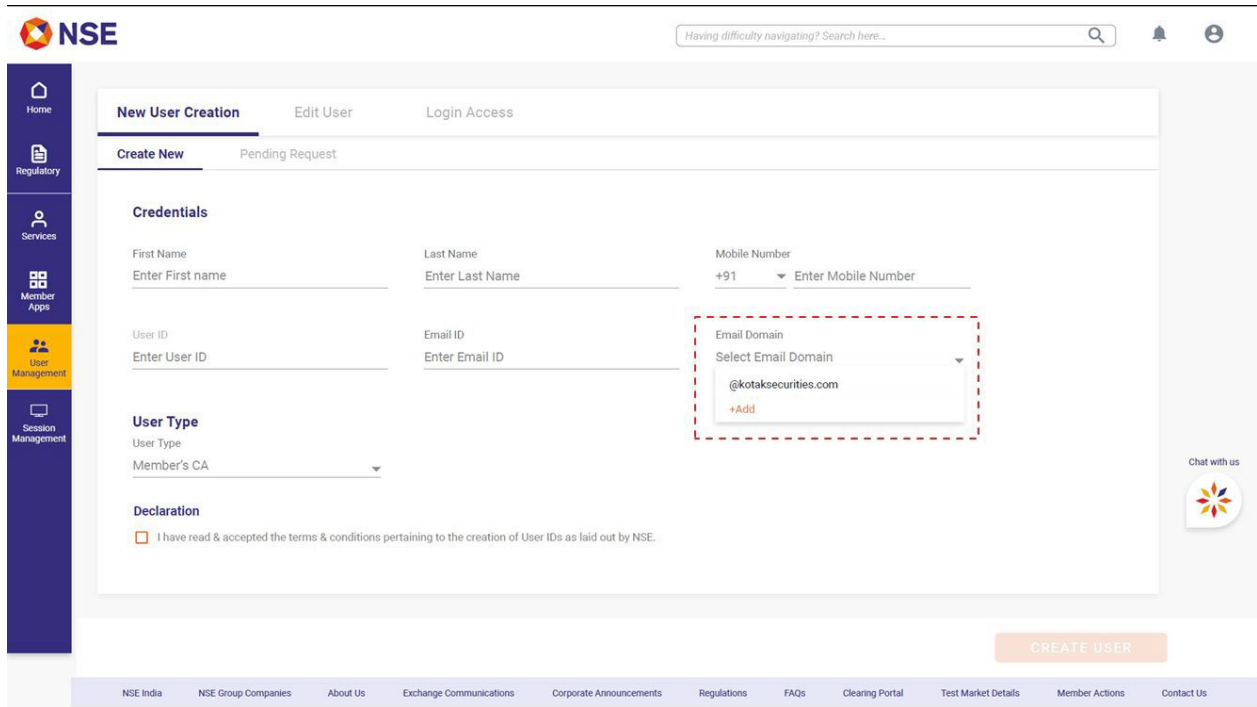
- Credentials:** Fields for First Name, Last Name, Mobile Number (with a dropdown for country code), User ID, Email ID, and Email Domain (with a dropdown menu showing '@kotaksecurities.com' and an '+Add' option).
- User Type:** A dropdown menu currently set to 'Member's CA'.
- Declaration:** A checkbox labeled 'I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.'.

A 'CREATE USER' button is located at the bottom right of the form. The footer of the page contains a list of links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

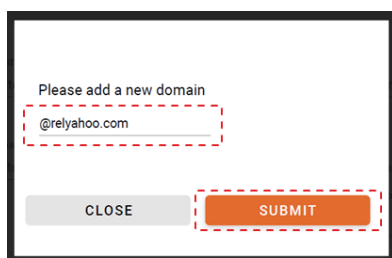
Note:
View any pending requests in 'Pending requests' tab

3.1.2 Select domain name from dropdown.

If domain name is not present, click 'Add'.



System will display a pop-up asking for new domain name. Enter a valid domain name and click 'Submit' to add your domain to the dropdown list.

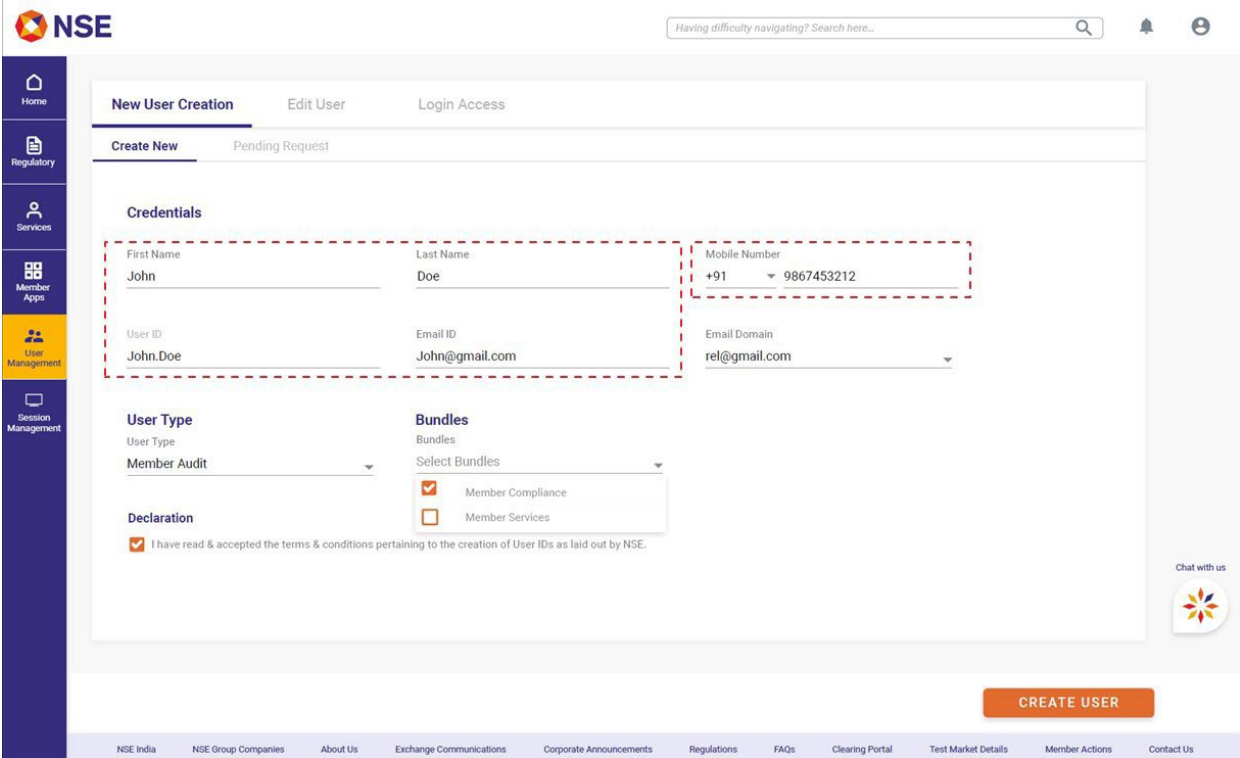


Note:

- Domains selected through dropdown & entered in the Email ID field should match for the user to be created
- If you enter an invalid domain, system will display an error message below the field.

3.1.3 Enter details

Enter credentials such as name, mobile number, user ID, and email ID.

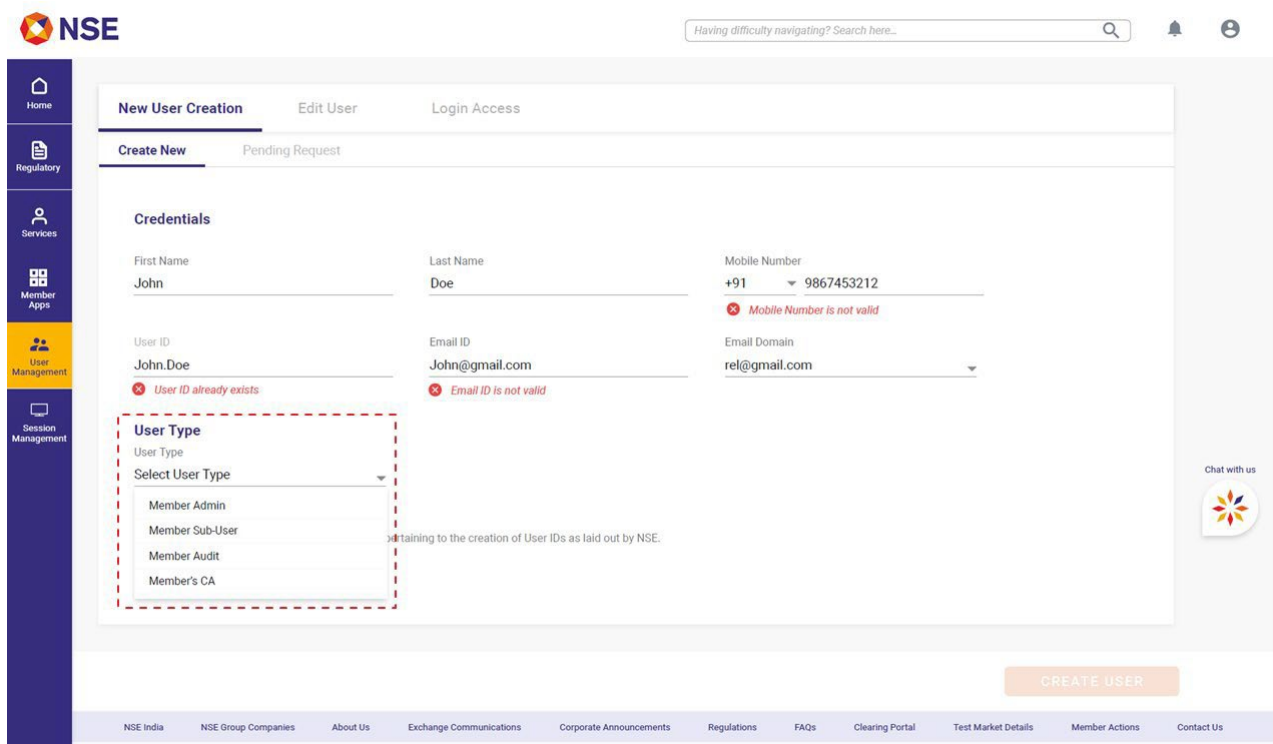


Note:

- Criteria for user ID:
 - 4-32 alphanumeric char.
 - '@', '_' & '.' are allowed
 - Cannot contain common nouns like 'admin', 'superuser', etc.
- System will display error message below any field which does not the validation criteria.
- If user ID, email ID, mobile number matches any already existing record, system will display an error message.

3.1.4 Select User Type

If there are any validation errors, system will display corresponding error messages below the fields. Solve those errors. Click the 'User type' dropdown to select type of user.



The screenshot shows the 'New User Creation' form in the NSE frontend. The form is divided into two tabs: 'Create New' (active) and 'Pending Request'. Under 'Create New', there are two sub-tabs: 'Create New' and 'Pending Request'. The 'Create New' sub-tab is active, showing a form with the following fields and validation errors:

- Credentials**
 - First Name: John
 - Last Name: Doe
 - Mobile Number: +91 9867453212 (Error: Mobile Number is not valid)
 - User ID: John.Doe (Error: User ID already exists)
 - Email ID: John@gmail.com (Error: Email ID is not valid)
 - Email Domain: rel@gmail.com
- User Type**
 - User Type: Select User Type (dropdown menu)
 - Options: Member Admin, Member Sub-User, Member Audit, Member's CA

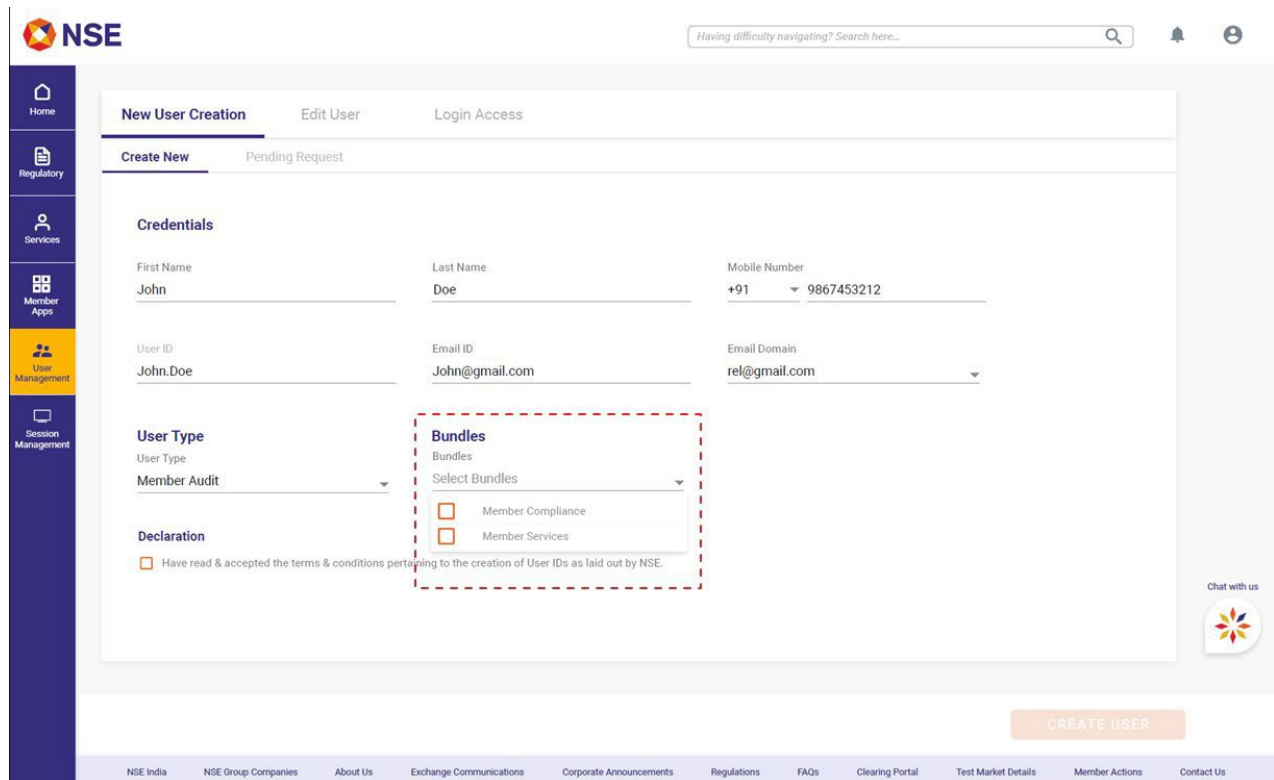
At the bottom right of the form, there is a 'CREATE USER' button. The footer of the page contains links to NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

Note:

- There can only be 5 admins or superusers for a Member.
- If you select user type as 'Admin' and the number is exceeding 5, then system won't allow user creation.
- If type is 'Member CA', user must enter CA entity, CA membership no. and CA qualification.

3.1.5 Choose Bundles

As soon as you select the user type, the 'Bundles' dropdown will appear. Click on the dropdown and select bundles to be assigned to the user.

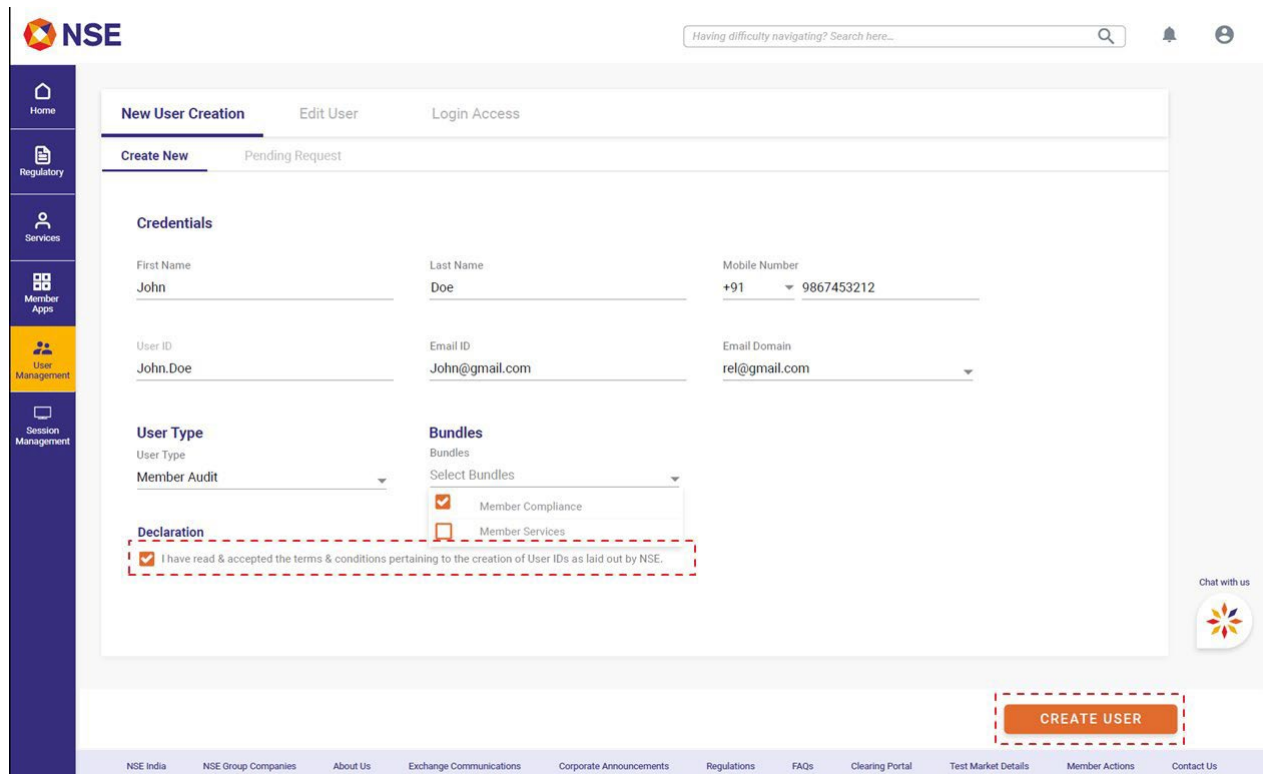


Note:

- Bundles dropdown is auto-populated basis the user type selection.
- For some user types, bundles are not applicable.

3.1.6 Sign Declaration & Create User

Once bundles are selected, tick mark the declaration checkbox to agree to the terms and conditions. Click 'Create User' button.



NSE Having difficulty navigating? Search here...

New User Creation Edit User Login Access

Create New Pending Request

Credentials

First Name: John Last Name: Doe Mobile Number: +91 9867453212

User ID: John.Doe Email ID: John@gmail.com Email Domain: rel@gmail.com

User Type User Type: Member Audit

Bundles Bundles: Select Bundles

☒ Member Compliance ☐ Member Services

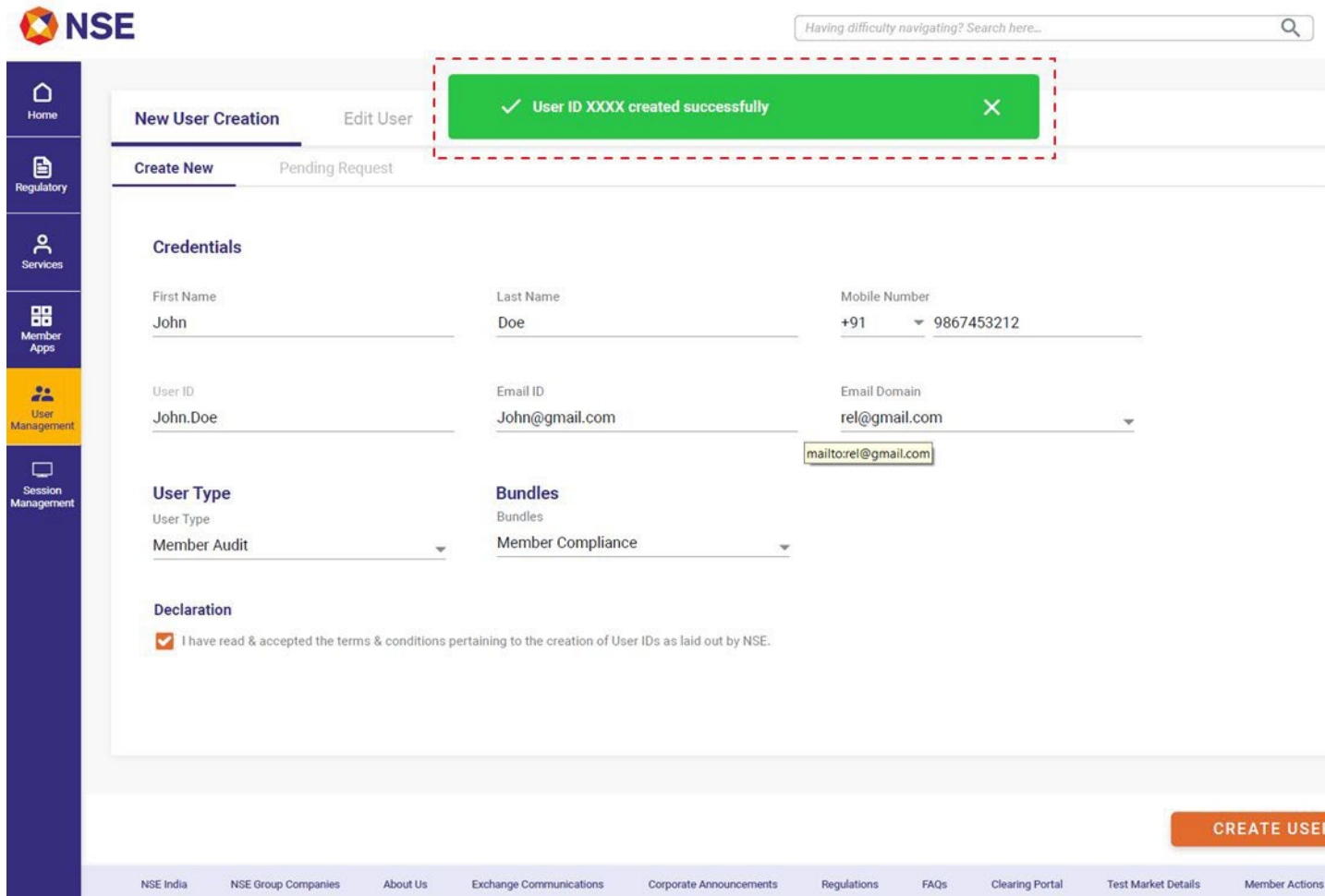
Declaration ☒ I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.

CREATE USER

Chat with us

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

System will display a success message on top in green box. New user is created successfully. Instructions to set password and setup 2-factor authorization are sent to the user's email ID.



The screenshot shows the NSE New User Creation interface. A green success message box at the top states: "✓ User ID XXXX created successfully". The form includes fields for Credentials (First Name: John, Last Name: Doe, Mobile Number: +91 9867453212, User ID: John.Doe, Email ID: John@gmail.com, Email Domain: rel@gmail.com), User Type (Member Audit), Bundles (Member Compliance), and a Declaration checkbox. A "CREATE USER" button is at the bottom right.

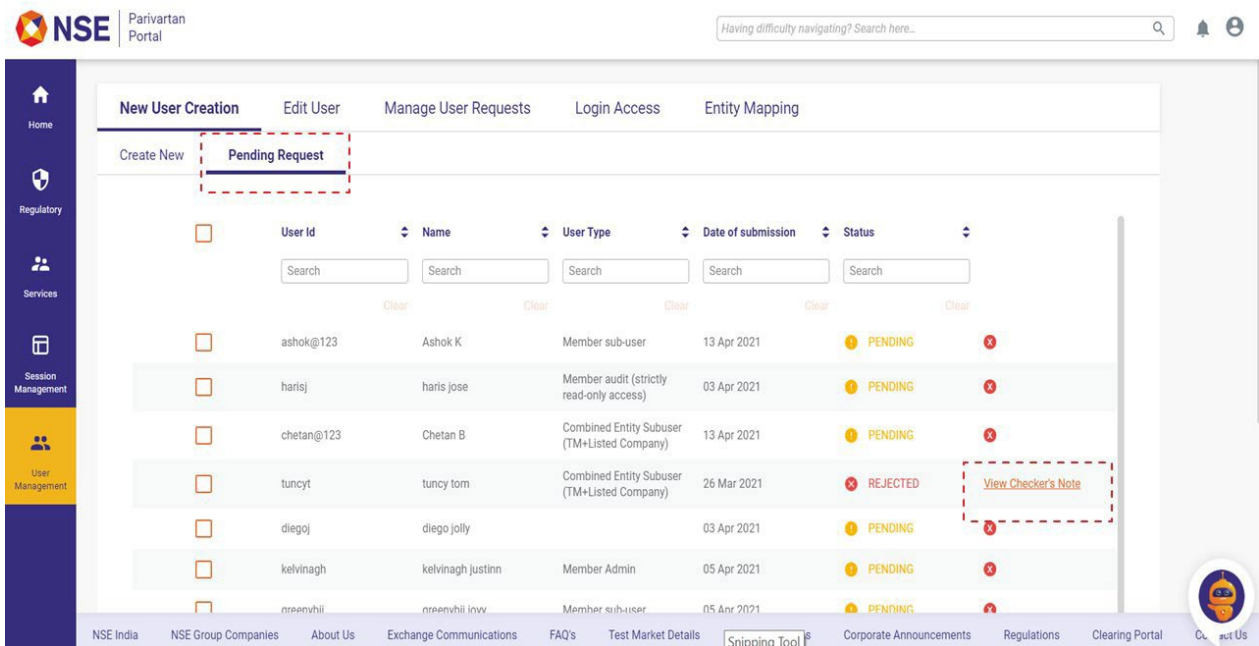
Note:

- Maximum 50 users can be created for an entity.
- If this limit has been reached, request will be sent to NSE for approval.

3.2 Pending requests

3.2.1 Check Status

Click 'Pending request' on the menu bar to view pending requests. Click 'View checker's notes' and system will display a pop-up with comments from checker as to why the request has been rejected.



NSE Parivartan Portal

Having difficulty navigating? Search here...

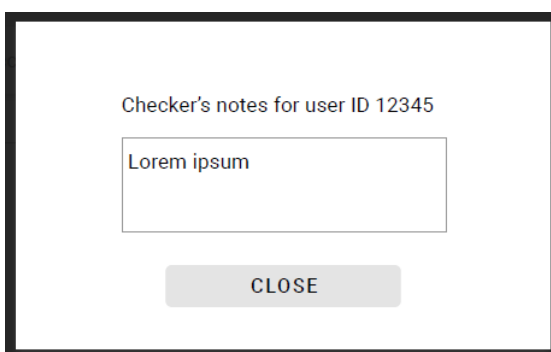
Menu: Home, Regulatory, Services, Session Management, User Management

Navigation Bar: New User Creation, Edit User, Manage User Requests, Login Access, Entity Mapping

Sub-Menu: Create New, Pending Request

User Id	Name	User Type	Date of submission	Status
ashok@123	Ashok K	Member sub-user	13 Apr 2021	PENDING
harisj	haris jose	Member audit (strictly read-only access)	03 Apr 2021	PENDING
chetan@123	Chetan B	Combined Entity Subuser (TM+Listed Company)	13 Apr 2021	PENDING
tuncyt	tuncy tom	Combined Entity Subuser (TM+Listed Company)	26 Mar 2021	REJECTED
diegoj	diego jolly		03 Apr 2021	PENDING
kelvinagh	kelvinagh justinn	Member Admin	05 Apr 2021	PENDING
npnrvhili	npnrvhili innv	Member sub-user	05 Apr 2021	PENDING

Footer: NSE India, NSE Group Companies, About Us, Exchange Communications, FAQ's, Test Market Details, Snipping Tool, Corporate Announcements, Regulations, Clearing Portal, Contact Us



Checker's notes for user ID 12345

Lorem ipsum

CLOSE

Checker notes for request that has been rejected

3.2.2 Withdraw Request

Click on cross icon next to 'Status' column for withdrawing any pending request. System will throw a pop-up to confirm withdrawal. Click 'Yes'. System will then show a withdrawal success message on top.

User Id	Name	User Type	Date of submission	Status
Search	Search	Search	Search	Search
Clear	Clear	Clear	Clear	Clear
ashok@123	Ashok K	Member sub-user	13 Apr 2021	PENDING
harisj	haris jose	Member audit (strictly read-only access)	03 Apr 2021	PENDING
chetan@123	Chetan B	Combined Entity Subuser (TM+Listed Company)	13 Apr 2021	PENDING
tuncyt	tuncy tom	Combined Entity Subuser (TM+Listed Company)	26 Mar 2021	REJECTED View Checker's Note
diegoj	diego jolly		03 Apr 2021	PENDING
kelvinagh	kelvinagh justinn	Member Admin	05 Apr 2021	PENDING
greenvhii	greenvhii lov	Member sub-user	05 Apr 2021	PENDING

Are you sure you want to withdraw your request?

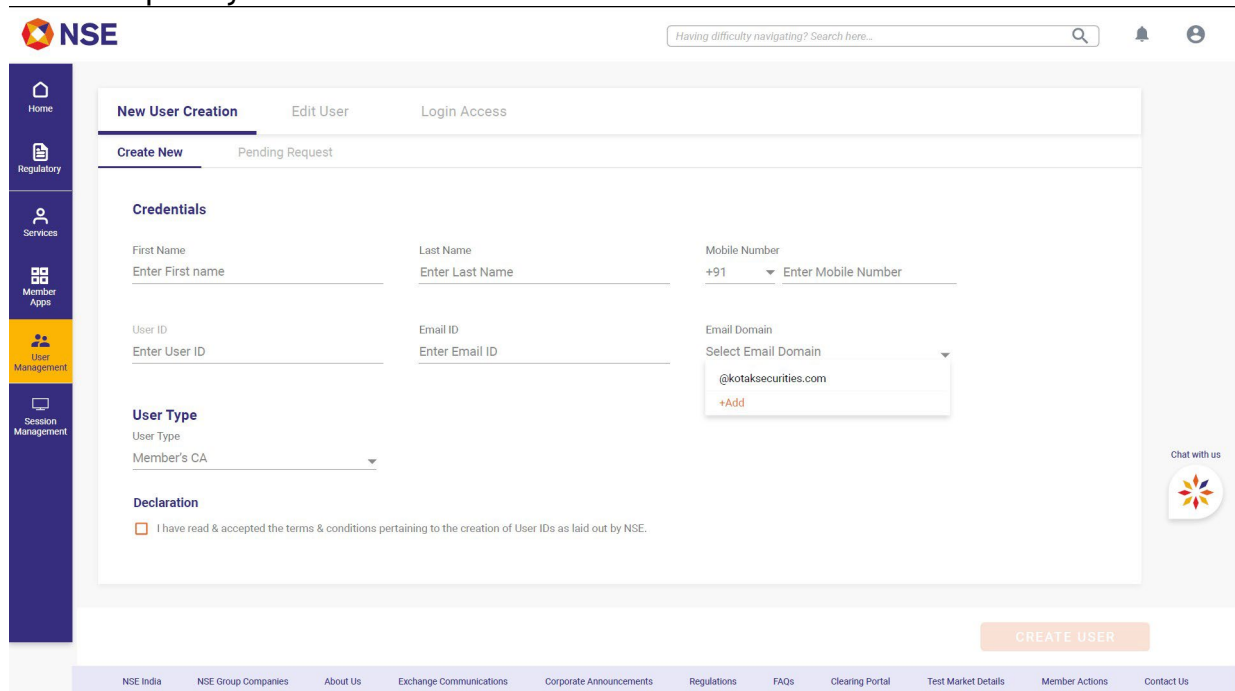
✓ Request withdrawn successfully.

Request successfully withdrawn
message on top

3.3 Modify user access (access only to Admin)

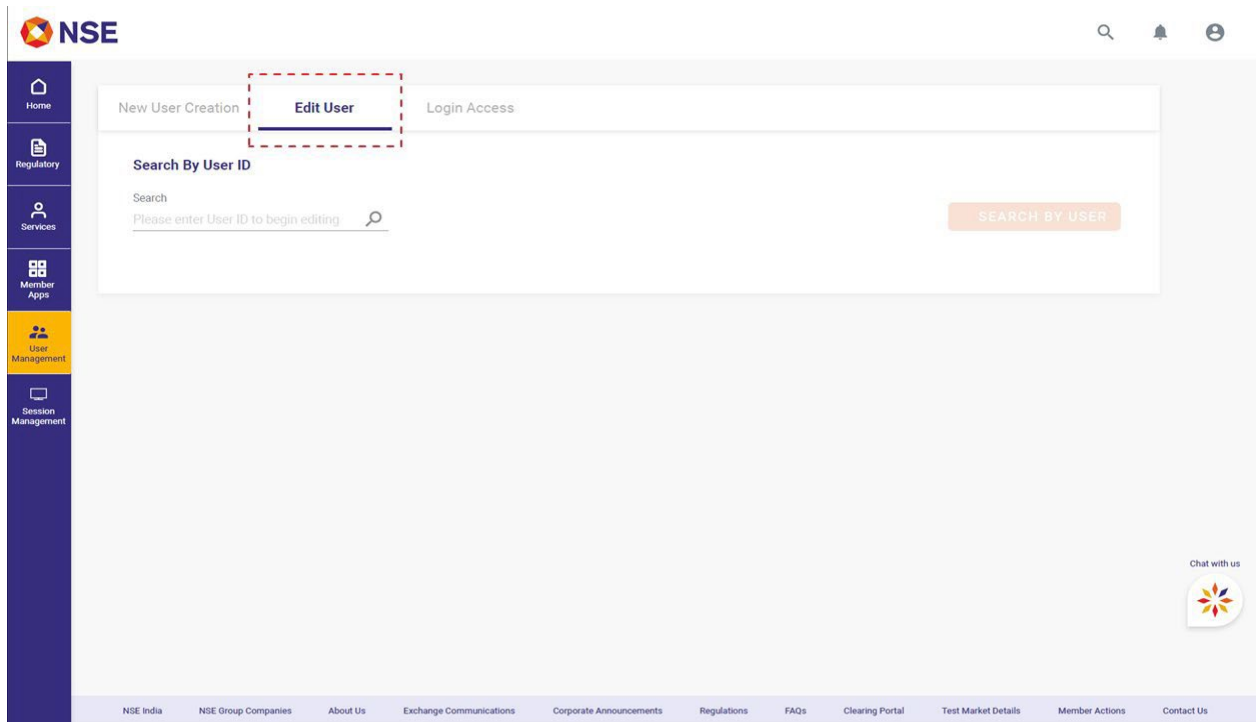
3.3.1 Navigate to 'Edit user; screen

Click on 'User Management' on left pane. 'New User Creation' screen with 'Create New' tab will open by default.



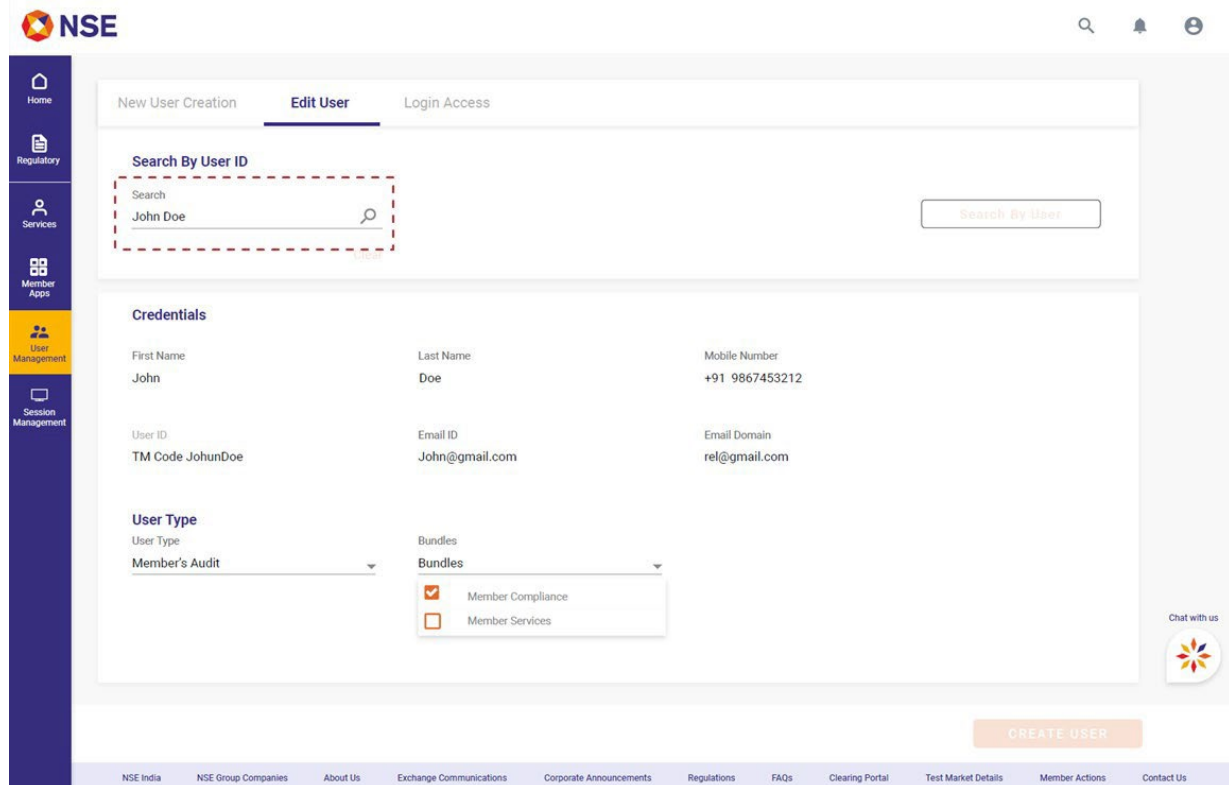
The screenshot displays the 'New User Creation' interface. At the top, there's a search bar with the text 'Having difficulty navigating? Search here...'. Below this, a sidebar on the left contains navigation links: Home, Regulatory, Services, Member Apps, **User Management** (highlighted in orange), and Session Management. The main content area has three tabs: 'New User Creation' (active), 'Edit User', and 'Login Access'. Under 'New User Creation', there are two sub-tabs: 'Create New' (active) and 'Pending Request'. The 'Create New' tab contains several input fields: 'First Name' (with placeholder 'Enter First name'), 'Last Name' (with placeholder 'Enter Last Name'), 'Mobile Number' (with a dropdown for '+91' and placeholder 'Enter Mobile Number'), 'User ID' (with placeholder 'Enter User ID'), 'Email ID' (with placeholder 'Enter Email ID'), and 'Email Domain' (with a dropdown showing '@kotaksecurities.com' and a '+Add' button). Below these is a 'User Type' section with a dropdown menu currently showing 'Member's CA'. A 'Declaration' section at the bottom includes a checkbox and the text 'I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.' A large orange 'CREATE USER' button is positioned at the bottom right of the form. The footer of the page lists various links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

Click 'Edit User' on the top horizontal bar to modify access rights for a user.



3.3.2 Search User ID

Enter the User ID of the user to be modified in the search box. Click 'Search by user'. Existing details of user will be displayed below. If there is any error in user ID, system will display error message below the user ID field.



NSE

Home Regulatory Services Member Apps User Management Session Management

New User Creation **Edit User** Login Access

Search By User ID

Search
John Doe

Search By User

Credentials

First Name John	Last Name Doe	Mobile Number +91 9867453212
User ID TM Code JohnDoe	Email ID John@gmail.com	Email Domain rel@gmail.com

User Type

User Type
Member's Audit

Bundles
☒ Member Compliance
☐ Member Services

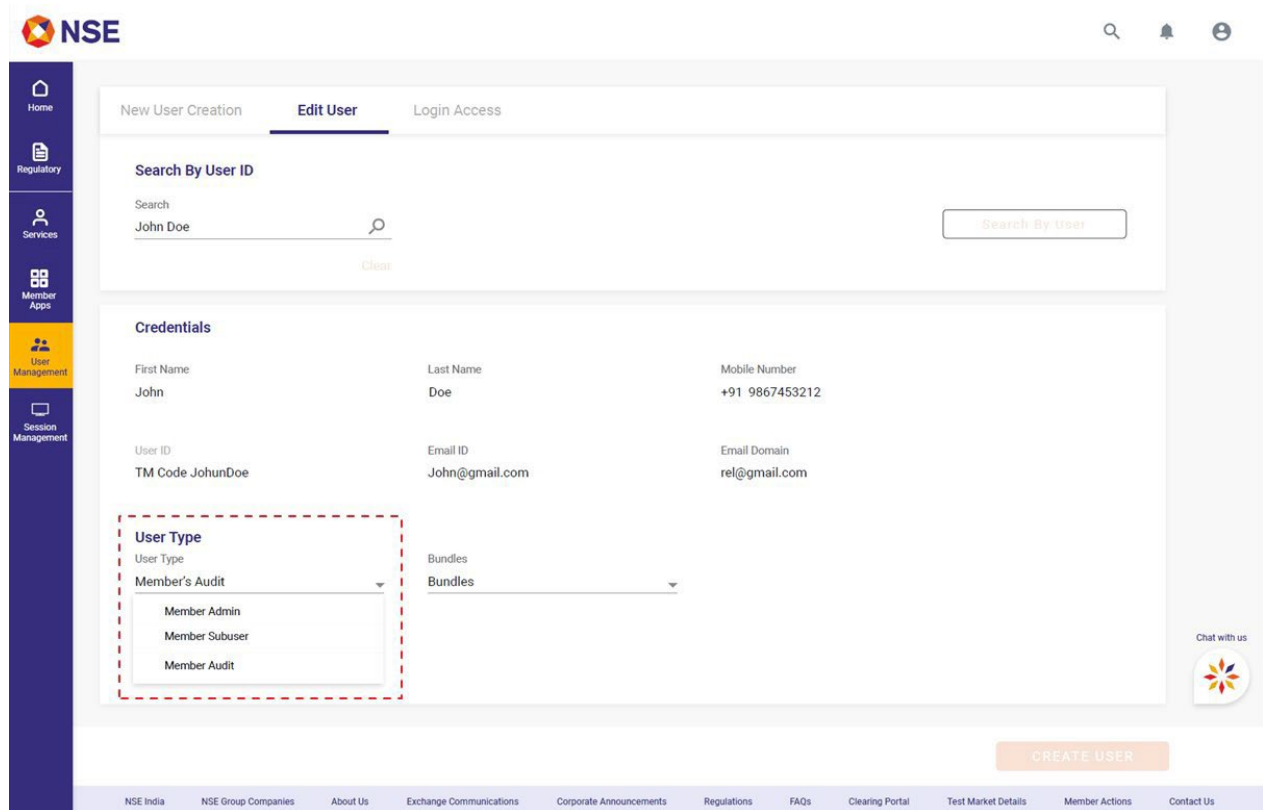
Chat with us

CREATE USER

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

3.3.3 Change User Type or Bundle access

Choose new user type from the dropdown (if needed).



NSE

Home Regulatory Services Member Apps **User Management** Session Management

New User Creation **Edit User** Login Access

Search By User ID

Search
John Doe

Clear

Credentials

First Name John	Last Name Doe	Mobile Number +91 9867453212
User ID TM Code JohunDoe	Email ID John@gmail.com	Email Domain rel@gmail.com

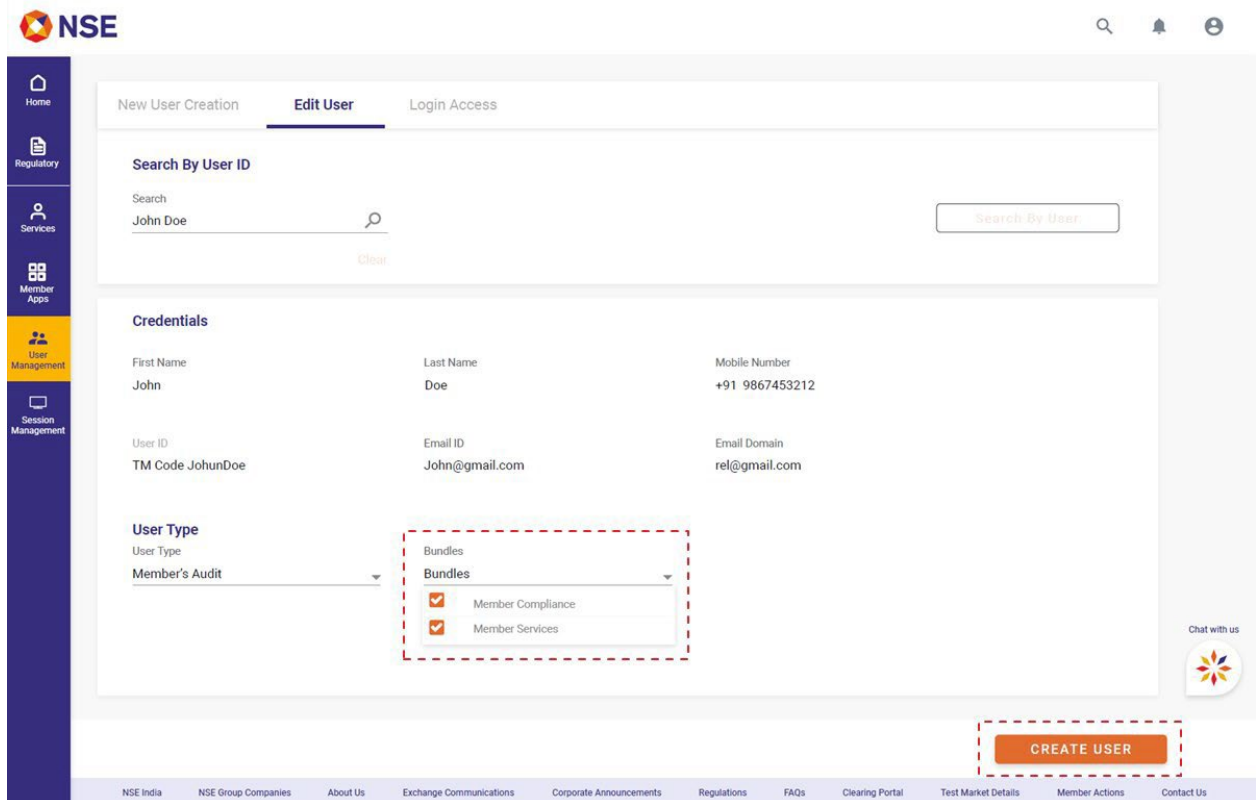
User Type
User Type
Member's Audit
Member Admin
Member Subuser
Member Audit

Bundles
Bundles

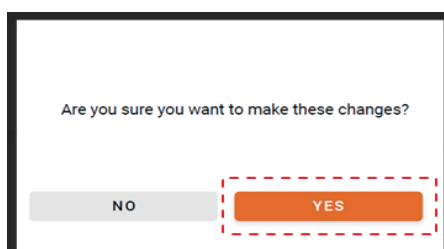
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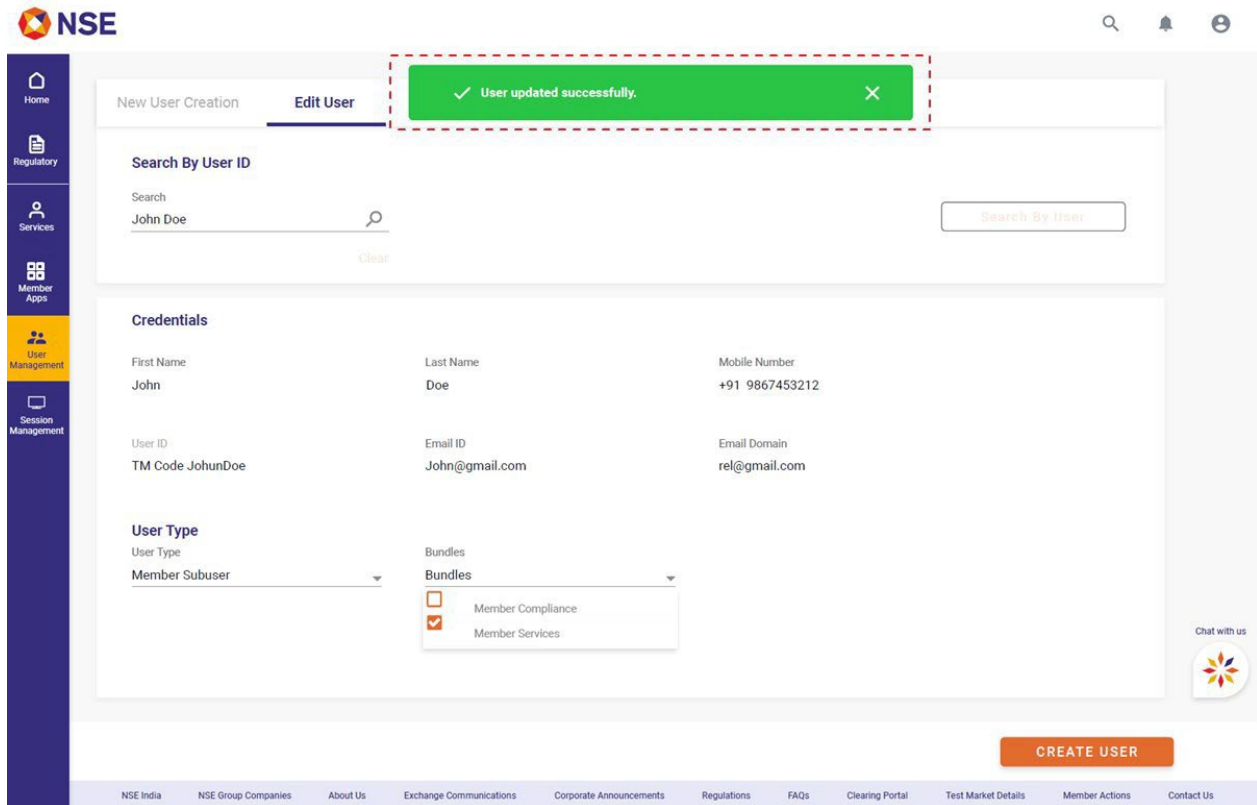
Select Bundles to be assigned to the user. This can be done with/ without changing the User Type. If User Type is modified, then bundles need to be selected afresh. Click 'Create User'.



On clicking 'Create User', system will display pop-up to confirm changes. Click 'Yes'.



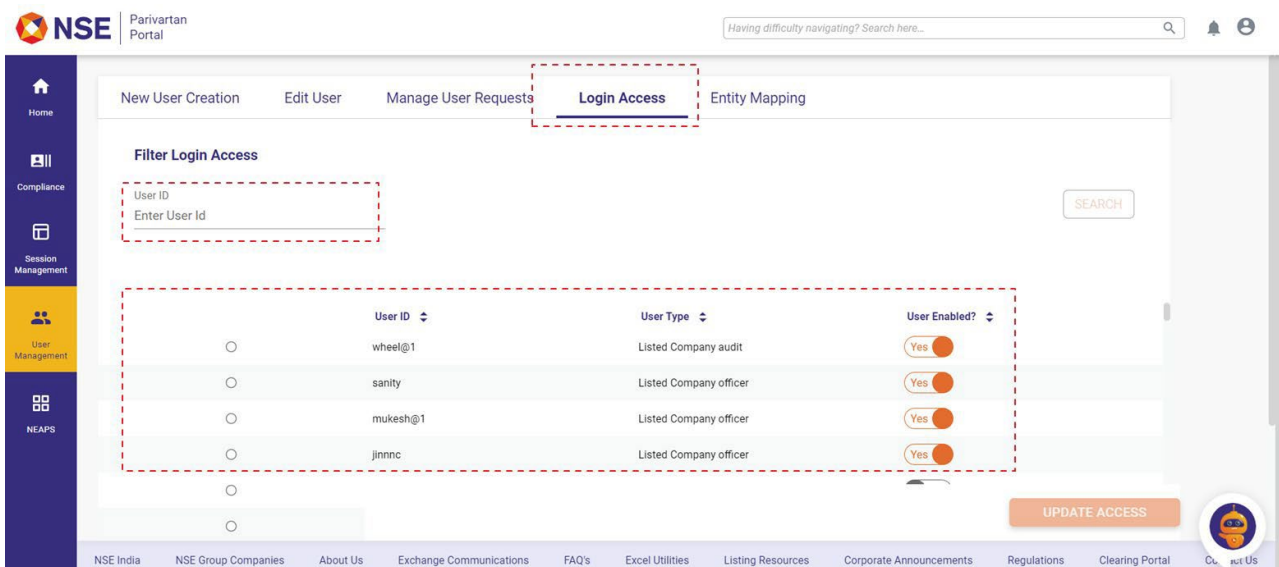
System will display a success message on top in green box stating that changes to user's access rights have been updated successfully.



The screenshot displays the NSE User Management interface. A green success message box at the top states: "✓ User updated successfully." The interface includes a sidebar with navigation options: Home, Regulatory, Services, Member Apps, User Management (highlighted), and Session Management. The main content area has two tabs: "New User Creation" and "Edit User". Below the tabs is a "Search By User ID" section with a search input containing "John Doe" and a "Search By User" button. The "Credentials" section displays user details: First Name (John), Last Name (Doe), Mobile Number (+91 9867453212), User ID (TM Code JohunDoe), Email ID (John@gmail.com), and Email Domain (rel@gmail.com). The "User Type" section shows "Member Subuser" selected. The "Bundles" section has a dropdown menu with "Member Compliance" and "Member Services" options. A "CREATE USER" button is located at the bottom right. The footer contains links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

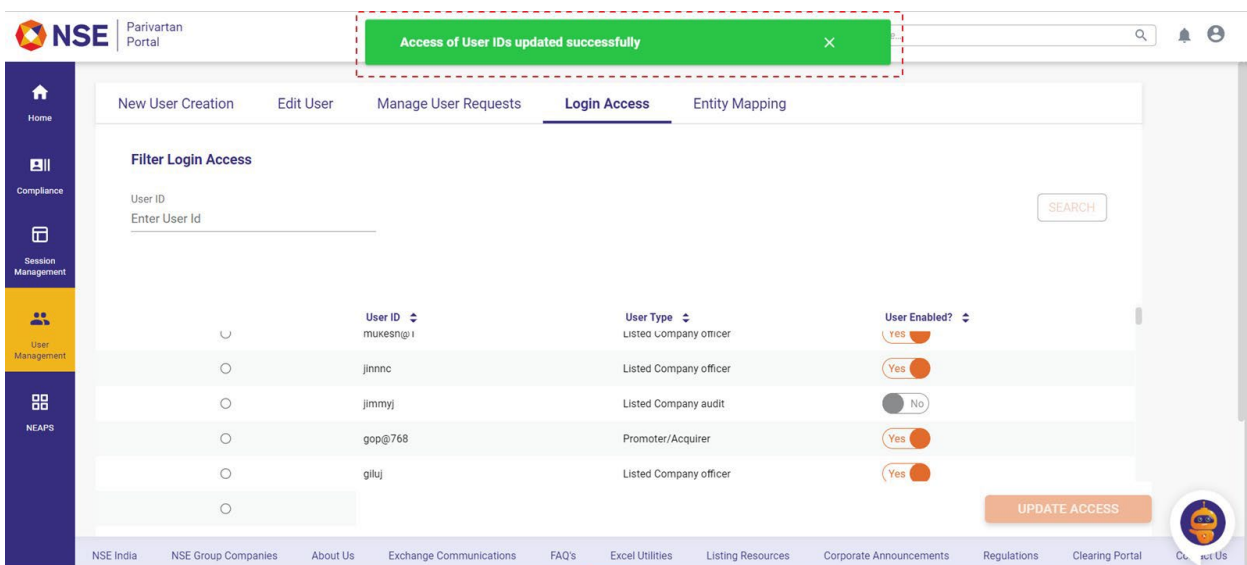
3.3.4 Activate/deactivate user login

Click 'Login access' on the top horizontal bar to activate or deactivate users' login. Search user ID in search box and click 'Search' to modify login access for specific user. You can view user status in the user list given below.



The screenshot shows the 'Login Access' page in the NSE Parivartan Portal. The top navigation bar includes 'New User Creation', 'Edit User', 'Manage User Requests', 'Login Access' (highlighted), and 'Entity Mapping'. A search bar is present for 'User ID'. Below the search bar, there is a table of users with columns for 'User ID', 'User Type', and 'User Enabled?'. The table lists four users: 'wheel@1', 'sanity', 'mukesh@1', and 'jinnnc', all of whom are 'Listed Company officer' and have their 'User Enabled?' status set to 'Yes'. An 'UPDATE ACCESS' button is located at the bottom right of the table. The footer contains links to 'NSE India', 'NSE Group Companies', 'About Us', 'Exchange Communications', 'FAQ's', 'Excel Utilities', 'Listing Resources', 'Corporate Announcements', 'Regulations', 'Clearing Portal', and 'Contact Us'.

System will display a success message on top in green box stating that user access has been updated successfully.

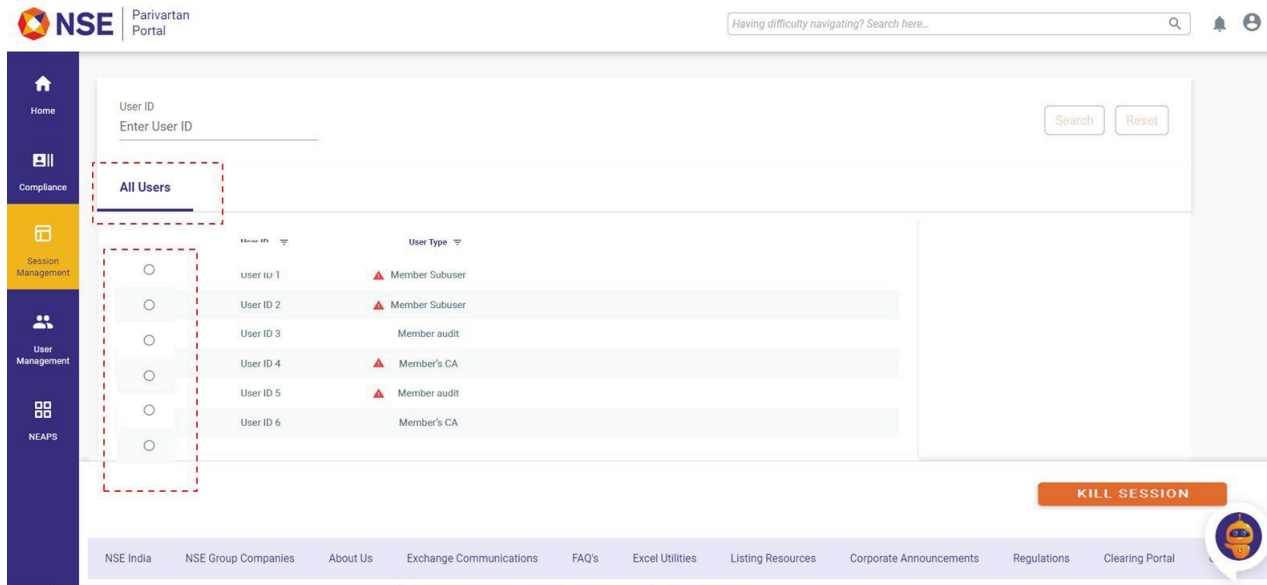


The screenshot shows the 'Login Access' page after a successful update. A green success message box at the top reads 'Access of User IDs updated successfully'. The table below shows the updated user status. The user 'mukesh@1' is now listed as 'Listed company officer' with a status of 'No'. The other users remain the same. The 'UPDATE ACCESS' button is still present at the bottom right. The footer is identical to the previous screenshot.

4 Session management (access only to Admin)

4.1 Navigate to 'All Users' screen

Click on 'Session Management' on left pane. 'All users' screen will open by default.



Having difficulty navigating? Search here...

User ID
Enter User ID

Search Reset

All Users

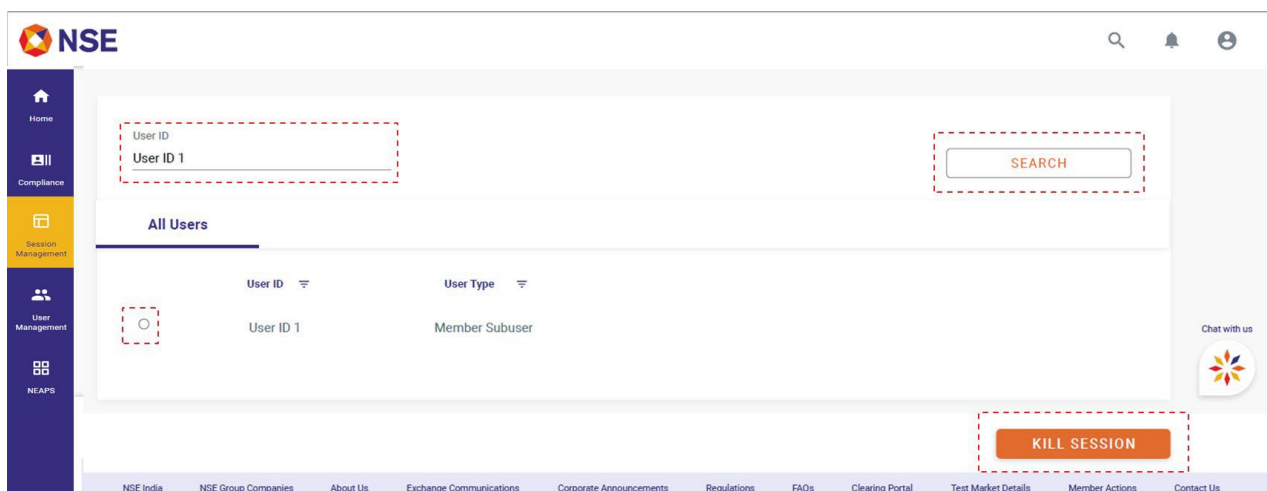
User ID	User Type
☐ user id 1	Member Subuser
☐ User ID 2	Member Subuser
☐ User ID 3	Member audit
☐ User ID 4	Member's CA
☐ User ID 5	Member audit
☐ User ID 6	Member's CA

KILL SESSION

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4.2 Search User ID & Kill Session

Search by typing specific user IDs in search box and click 'Search'. If search is valid, results will be displayed in table below. Select checkbox against that user and click 'Kill session'.



User ID
User ID 1

SEARCH

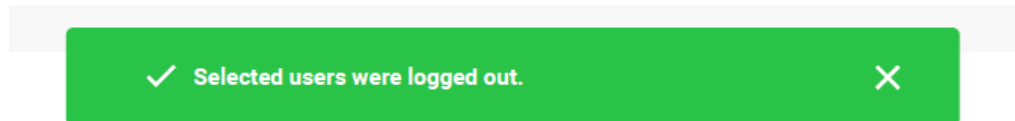
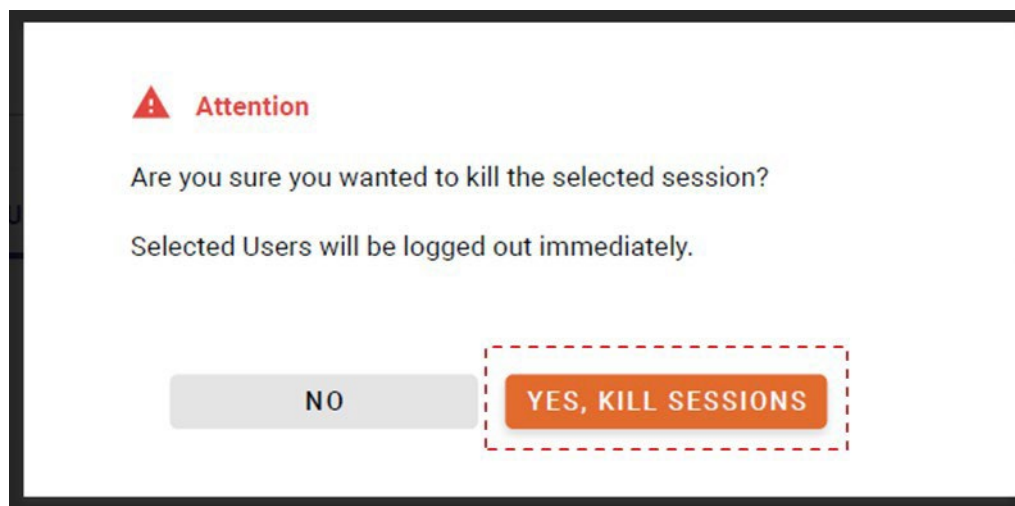
All Users

User ID	User Type
☐ User ID 1	Member Subuser

KILL SESSION

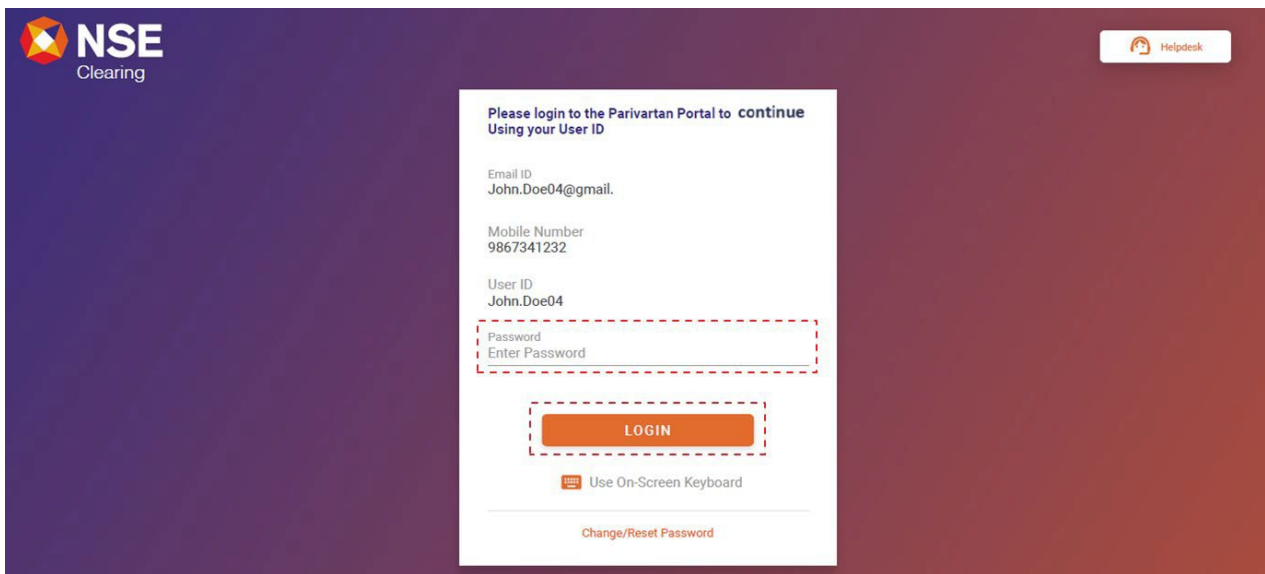
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System will display pop-up asking for confirmation to kill selected sessions. Click 'Yes, kill sessions' to logout selected users immediately. System will display a success message on top in green box stating that selected users have been logged out successfully.



5 Recertify user

Your registered email ID will receive an email asking you to recertify your account for security reasons every 3 months. Click the link in email to reach login screen. Enter your current password and click 'Login' (other details pre-populated). If password is correct, you will be considered certified.



Note:

- If user does not recertify within 15 days of receiving the email, his/her user ID will be disabled.
- User would be barred from logging-in in future and would be asked to contact Member company's administrator.

Annexure B

Guidelines pertaining to statutory auditors

As per the guidelines mentioned in the SEBI circular reference no. SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016:

I) No stockbroker shall appoint or re-appoint—

- a) an individual as statutory auditor for more than one term of five consecutive years;
and
- b) an audit firm as statutory auditor for more than two terms of five consecutive years:

II) Provided that—

- i. An individual statutory auditor who has completed his term under clause I (a) above shall not be eligible for re-appointment as statutory auditor for the same stock broker for five years from the completion of his term.
- ii. An statutory audit firm which has completed its term under clause I (b) above, shall not be eligible for re-appointment as statutory auditor for the same stock broker for five years from the completion of such term:

Provided further that as on the date of appointment no statutory audit firm having a common partner or partners to the other audit firm, whose tenure has expired for a stock broker immediately preceding the financial year, shall be appointed as statutory auditor of the same stock broker for a period of five years.

The above provisions are applicable from the financial year April 01, 2017 - March 31, 2018.

All the members are required to take note of the same and ensure adherence to the provisions.