

National Stock Exchange of India

Circular

Department: MEMBER COMPLIANCE	
Download Ref No: NSE/COMP/ 61375	Date: March 28, 2024
Circular Ref. No: 13/2024	

To All Members,

Sub: Empanelment of Backoffice vendors

This is with reference to Exchange Circular Ref. No: NSE/COMP/53088 dated July 26, 2022, and NSE/COMP/54706 dated December 02, 2022, on “Empanelment of Backoffice vendors” wherein Members were informed about the procedure for empanelment of Backoffice vendors with the Exchange.

In line with representations received from the Members and Vendor Association, the Exchange has reviewed and revised the required Undertakings for both Members and Backoffice Vendors. This revision aims to streamline the submission process and ensure greater efficiency. Detailed guidelines regarding these revisions are outlined below:

Procedure for Empanelment:

The operating guidelines to be followed by the members for empaneling Backoffice vendor / In-house developed software is provided in **Annexure A**.

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.

All Members are advised to take note of the above and bring the provisions of this circular to the notice of the Backoffice Vendors and ensure the conformance and compliances to the above requirements by May 31, 2024.

For and on behalf of
National Stock Exchange of India Limited

Pradnya Pinto
Chief Manager

National Stock Exchange of India

Annexure A: Operating Guidelines

I. Operating guidelines for developing backoffice facility In-house: -

The Members developing Backoffice software in-house, are required to submit below list of documents through the online portal ENIT and through physical copy* is as under:

List of Documents	Annexure
Member Application format	Annexure I
Undertaking for Inhouse Backoffice Facility	Annexure II
Auditors Report	Annexure IV
Auditors Certificate	Annexure V
Criteria / Aspects of Testing	Annexure VII

* Members are required to submit the aforementioned documents within 7 days from the submission of the application through online portal ENIT, at the registered address provided below.

II. Operating guidelines for Backoffice Vendors desirous of being empaneled with Exchange: -

Vendors seeking empanelment with the Exchange are required to submit the following list of documents via physical copy to the registered address provided below:

List of Documents	Annexure
Undertaking for Backoffice Facility	Annexure III
Auditors Report	Annexure IV
Auditors Certificate	Annexure V
Vendor Application format	Annexure VI
Criteria / Aspects of Testing	Annexure VII

III. Address for sending the hard copies -

National Stock Exchange of India Ltd.,
Exchange Plaza, C-1, Block G,
Bandra Kurla Complex,
Bandra (E)
Mumbai – 400051