

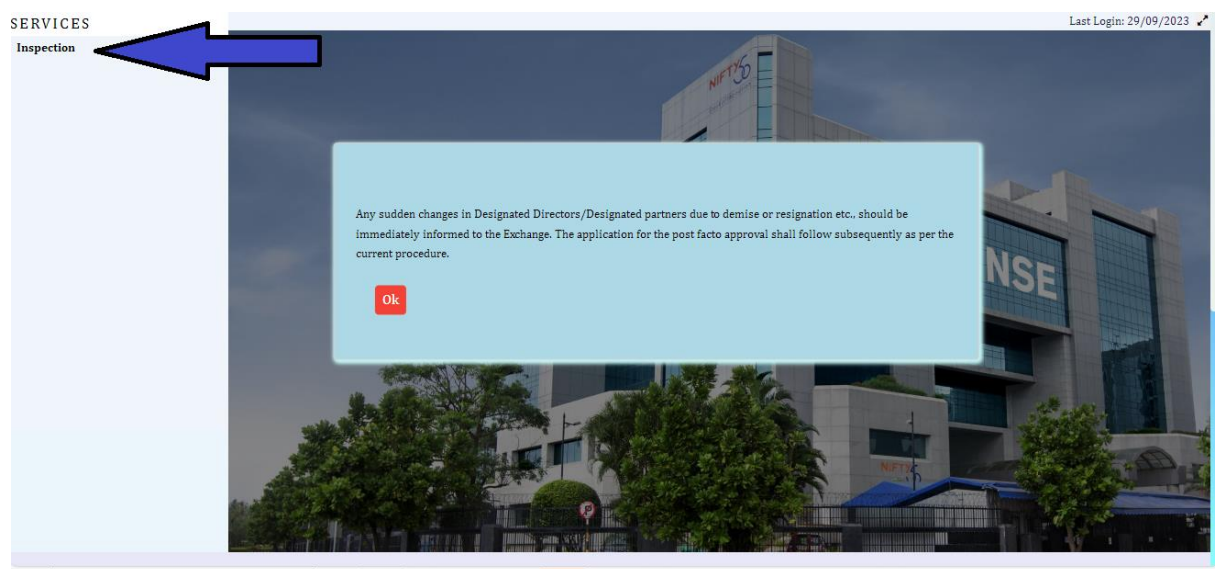
## National Stock Exchange of India Limited

### MANUAL FOR SUBMISSION OF CERTIFICATE:

Open Internet browser from the desktop.

Type <https://inspection.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

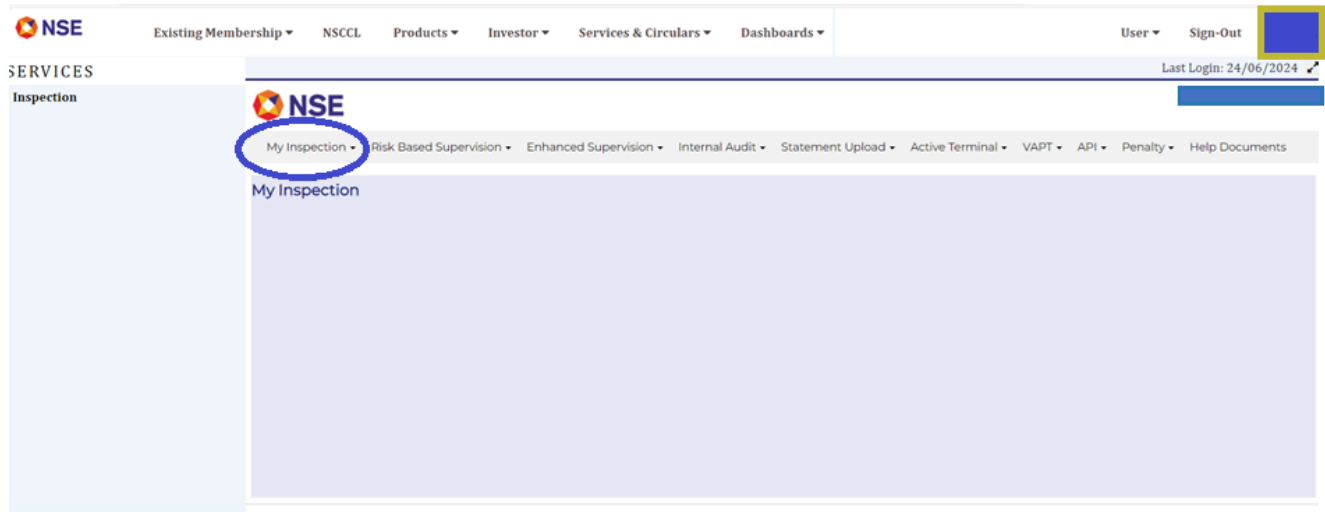
Login to Member Portal. After this step, below screen will be displayed along with the 'Inspection' tab at the left side.



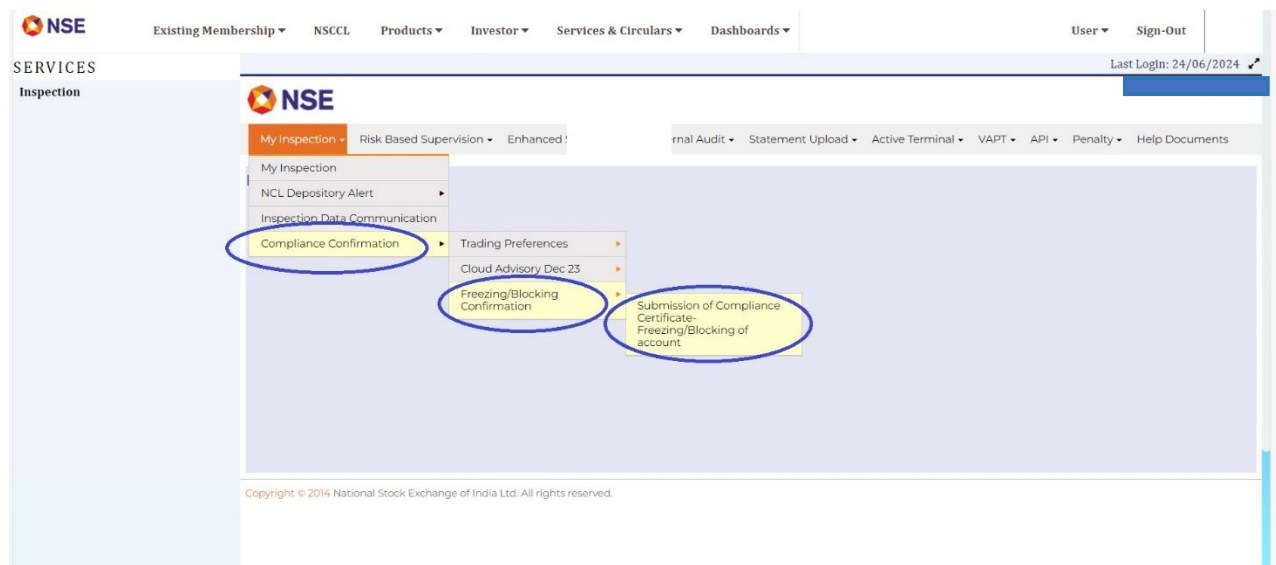
Double click on the 'Inspection' tab from the left-hand side & Inspection module will be launched.

Under the inspection tab, select My Inspection as per the screenshot below:

# National Stock Exchange of India Limited



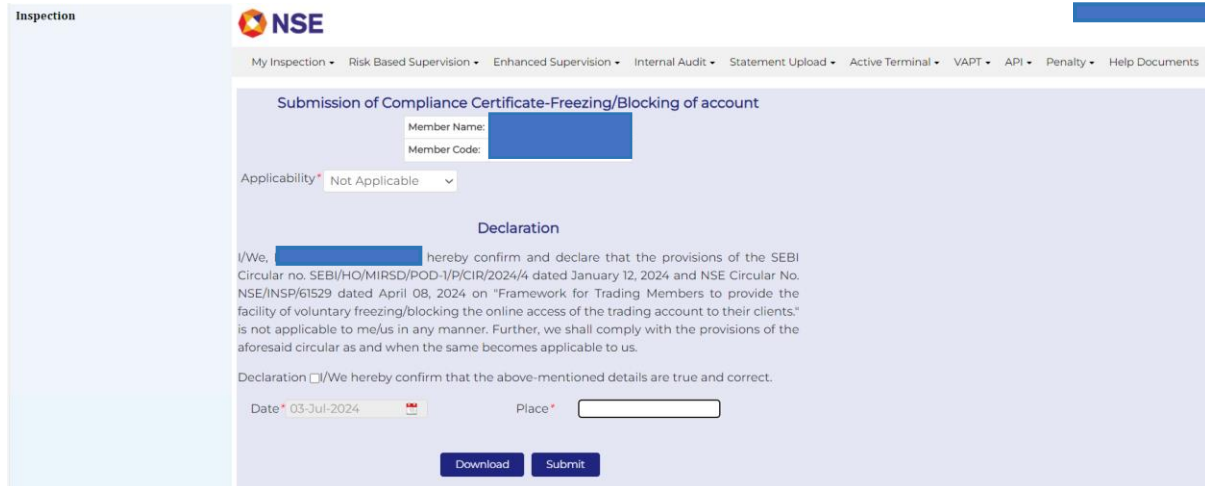
Under My Inspection select 'Compliance Confirmation → Freezing Blocking Confirmation → Submission of Compliance Certificate-Freezing/Blocking of Account' as per below screenshot:



# National Stock Exchange of India Limited

In case the provision of circular is not applicable, trading members are required to submit the declaration as follows:

Step 1: Fill all the fields.



Inspection

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**Submission of Compliance Certificate-Freezing/Blocking of account**

Member Name:

Member Code:

Applicability\* Not Applicable

**Declaration**

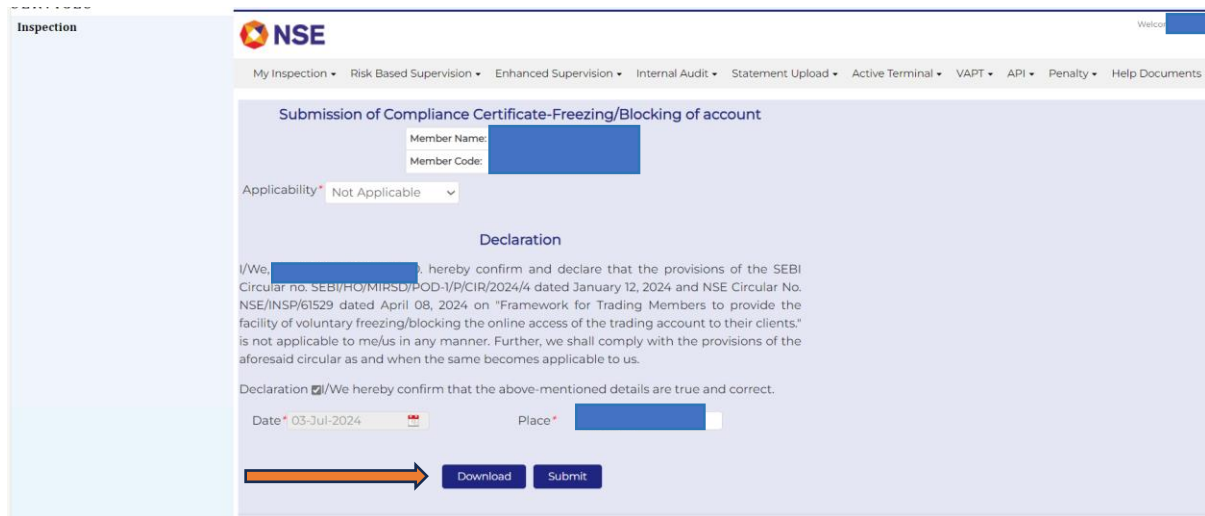
I/We,  hereby confirm and declare that the provisions of the SEBI Circular no. SEBI/HQ/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Circular No. NSE/INSP/61529 dated April 08, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients." is not applicable to me/us in any manner. Further, we shall comply with the provisions of the aforesaid circular as and when the same becomes applicable to us.

Declaration ☐ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 03-Jul-2024

Place\*

Step 2: Download the declaration for signing and uploading.



Inspection

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**Submission of Compliance Certificate-Freezing/Blocking of account**

Member Name:

Member Code:

Applicability\* Not Applicable

**Declaration**

I/We,  hereby confirm and declare that the provisions of the SEBI Circular no. SEBI/HQ/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Circular No. NSE/INSP/61529 dated April 08, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients." is not applicable to me/us in any manner. Further, we shall comply with the provisions of the aforesaid circular as and when the same becomes applicable to us.

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 03-Jul-2024

Place\*

Step 3: Sign the document using DSC of compliance officer or designated director

# National Stock Exchange of India Limited

SERVICES  
Inspection

Submission of Compliance Certificate-Freezing/Blocking of account

Applicability\* Not Applicable

I/We [Redacted] hereby confirm and declare that the facility of voluntary freezing/blocking of account is not applicable to me/us in any manner. Further, we state that the aforesaid circular as and when the same becomes applicable to me/us in any manner.

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 24-Jun-2024

Sign PDF

Signing Wizard

Select Digital Certificate  
You can choose a digital certificate from those available on your computer to sign your file.

Issued To	Issued By	Expiration Date
S-1-12-1-4192334662-11...	S-1-12-1-4192334662-11...	Wednesday, April 1, 2054 8:00
[Redacted]	ELCA Root CA	Tuesday, August 18, 2026 9:00

Click View to see the contents of your digital certificate

View...

Sign Cancel

Download Submit

Last Login: 24/06/2024

Inspection

My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal VAPT API Penalty Help Documents

Submission of Compliance Certificate-Freezing/Blocking of account

Member Name: [Redacted]  
Member Code: [Redacted]

Applicability\* Not Applicable

Declaration

I/We [Redacted] hereby confirm and declare that the facility of voluntary freezing/blocking of account is not applicable to me/us in any manner. Further, we state that the aforesaid circular as and when the same becomes applicable to me/us in any manner.

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 03-Jul-2024 Place\* [Redacted]

Select Signed File to Upload(Declaration)\*:

Choose File No file chosen  
(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_Freezing\_Declaration\_CurrentYear.pdf)

Download Submit

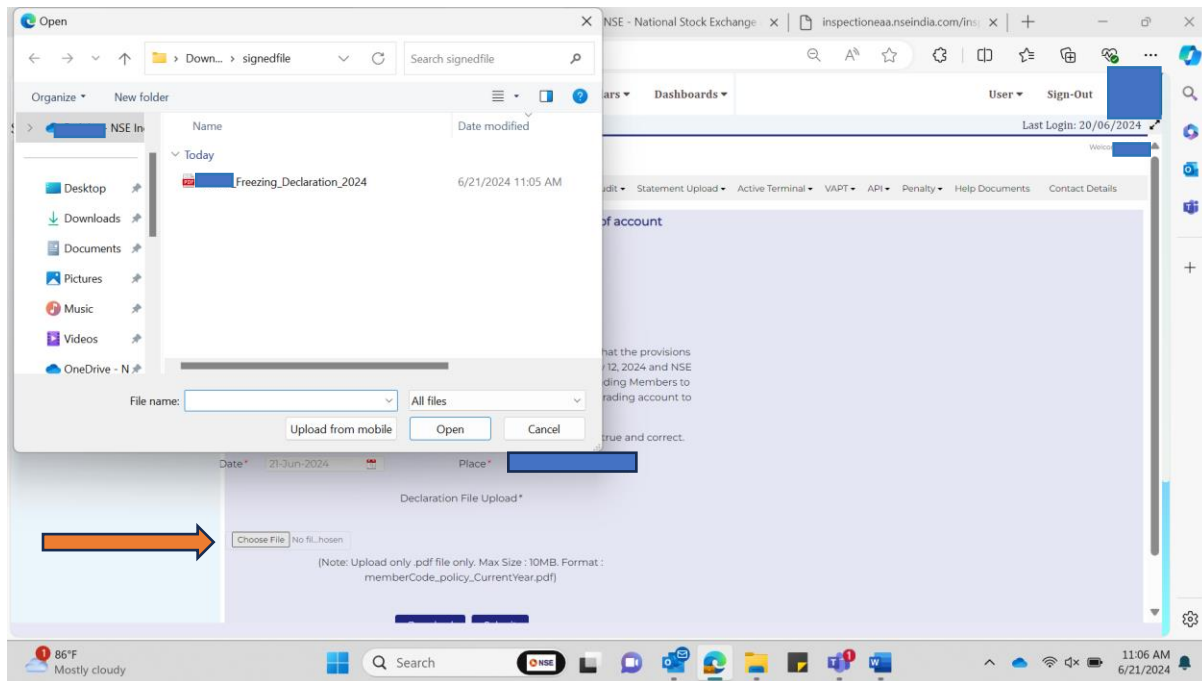
Message

Please upload the signed Certificate for Freezing and blocking declaration, path for the same is: C:\Users\[Redacted]\Desktop\[Redacted] Freezing and blocking declaration.pdf

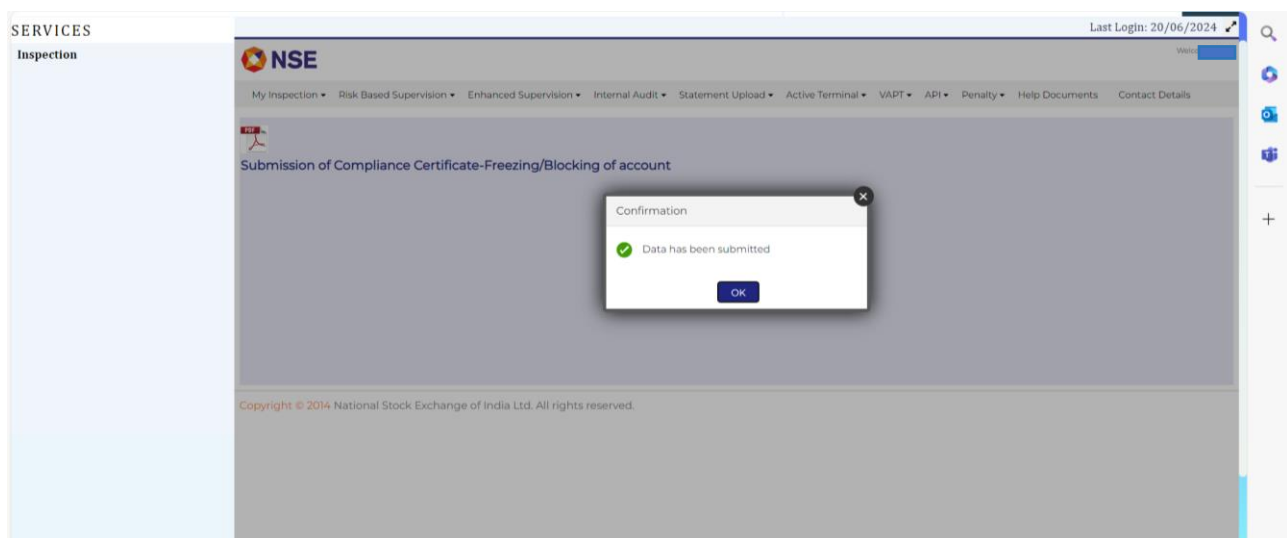
OK

# National Stock Exchange of India Limited

Step – 4: Upload the signed PDF



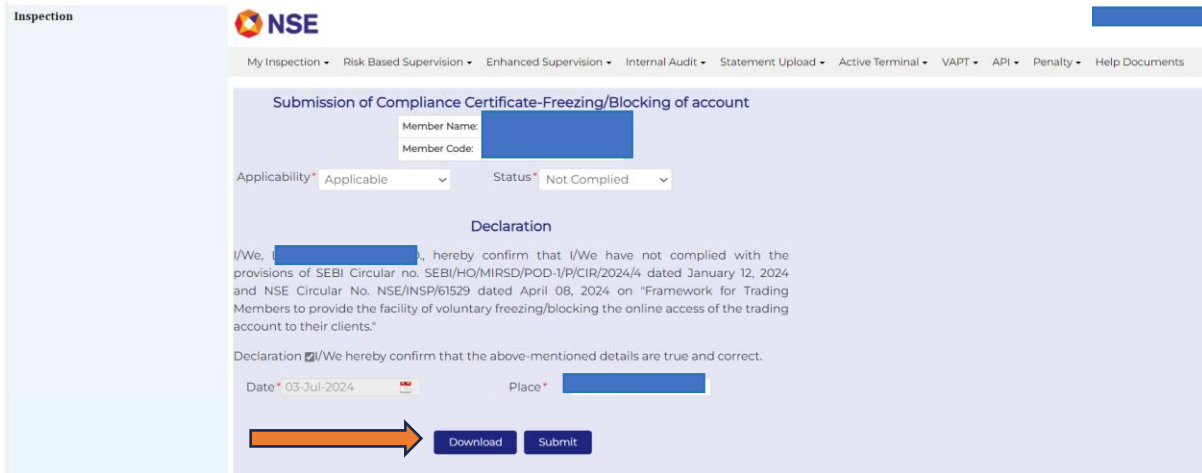
Step 5: Submit the declaration



# National Stock Exchange of India Limited

In case trading members have not complied with the provisions of the circular, trading members are required to submit the declaration as follows:

Step 1: Fill all the details and download the declaration for signing and uploading



Inspection

**NSE**

My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VAPT • API • Penalty • Help Documents

**Submission of Compliance Certificate-Freezing/Blocking of account**

Member Name:

Member Code:

Applicability\*  Status\*

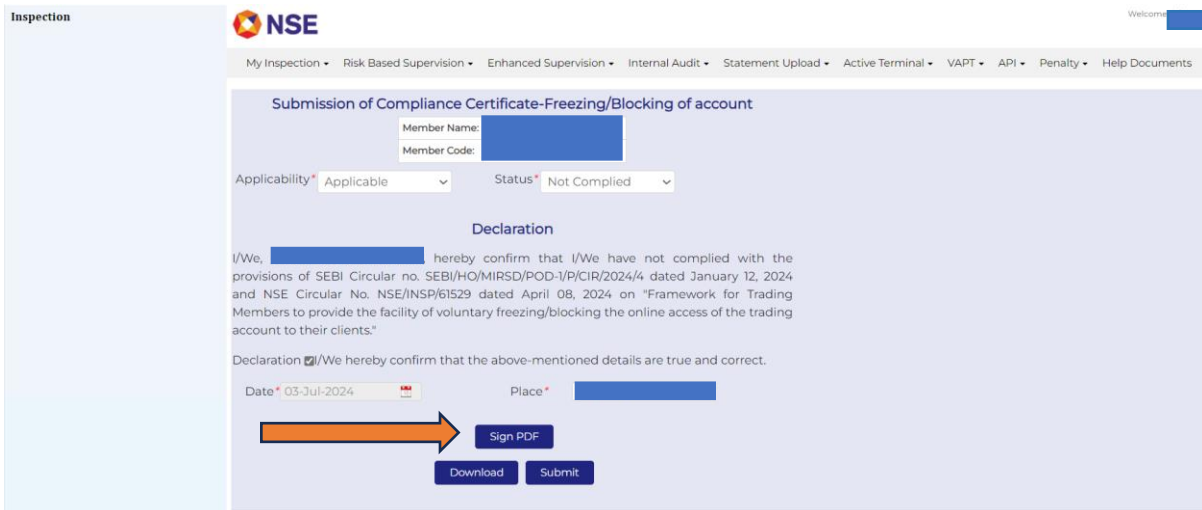
**Declaration**

I/We, , hereby confirm that I/We have not complied with the provisions of SEBI Circular no. SEBI/HO/MIRSD/POD-I/P/CIR/2024/4 dated January 12, 2024 and NSE Circular No. NSE/INSP/61529 dated April 08, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients."

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\*  Place\*

Step 2: Sign the document using DSC of compliance officer or designated director



Inspection

**NSE**

My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VAPT • API • Penalty • Help Documents

**Submission of Compliance Certificate-Freezing/Blocking of account**

Member Name:

Member Code:

Applicability\*  Status\*

**Declaration**

I/We, , hereby confirm that I/We have not complied with the provisions of SEBI Circular no. SEBI/HO/MIRSD/POD-I/P/CIR/2024/4 dated January 12, 2024 and NSE Circular No. NSE/INSP/61529 dated April 08, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients."

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\*  Place\*

# National Stock Exchange of India Limited

Inspection

**NSE**

My Inspection • Risk Based

Submission of Compliance Certificate

Applicability\* Applicable

I/We, [Redacted], hereby confirm that the above-mentioned details are true and correct.

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 03-Jul-2024

Download Submit

**Signing Wizard**

Select Digital Certificate  
You can choose a digital certificate from those available on your computer to sign your file.

Issued To	Issued By	Expiration Date
S-1-12-1-4192334662-11...	S-1-12-1-4192334662-11...	Wednesday, April 1, 2054 8:00
	ELCA Root CA	Tuesday, August 18, 2026 9:00

Click View to see the contents of your digital certificate

View...

Sign Cancel

Inspection

**NSE**

My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VAPT • API • Penalty • Help Documents

Submission of Compliance Certificate-Freezing/Blocking of account

Member Name: [Redacted]  
Member Code: [Redacted]

Applicability\* Applicable Status\* Not

**Declaration**

I/We, [Redacted], hereby confirm that the above-mentioned details are true and correct.

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date\* 03-Jul-2024 Place\* [Redacted]

Select Signed File to Upload(Declaration)\*:  No file chosen  
(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_Freezing\_Declaration\_CurrentYear.pdf)

Download Submit

**Message**

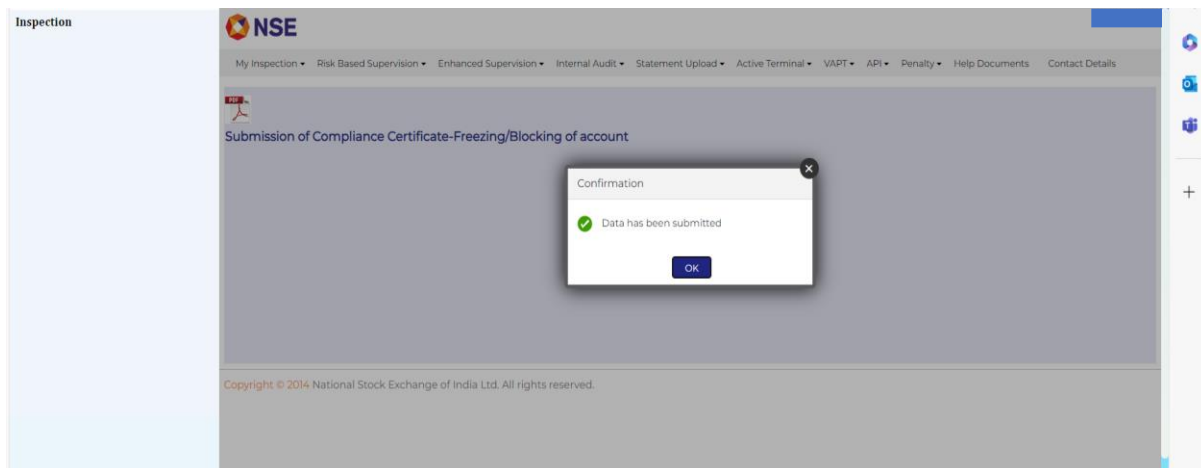
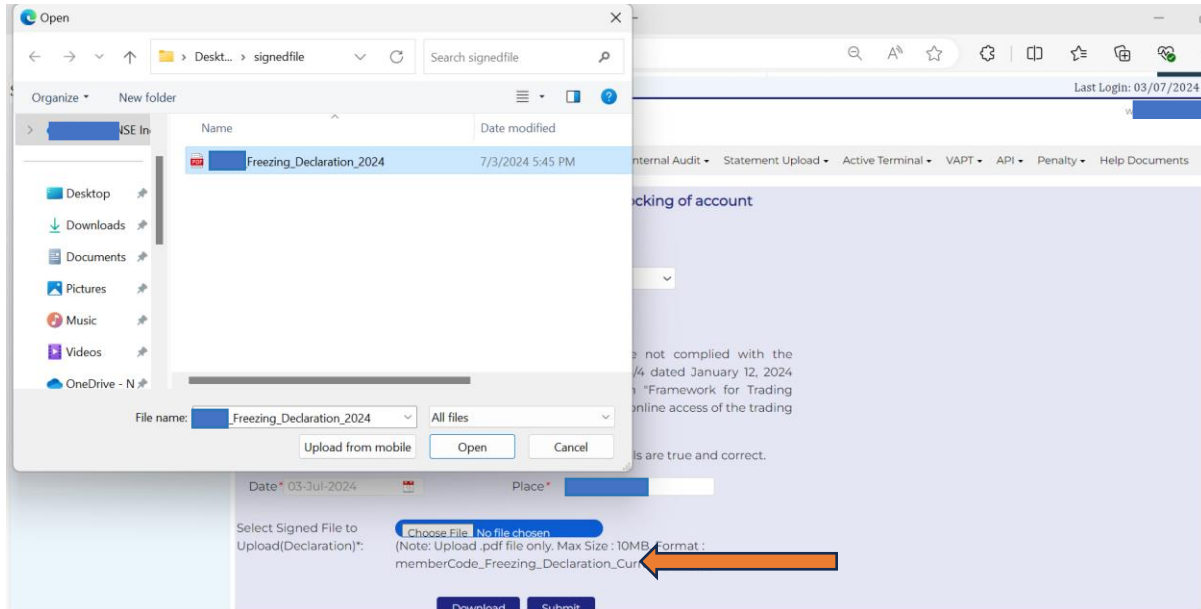
✓ Please upload the signed Certificate for Freezing and blocking declaration, path for the same is C:\Users\[Redacted]\Desktop\[Redacted] Freezing

OK



## National Stock Exchange of India Limited

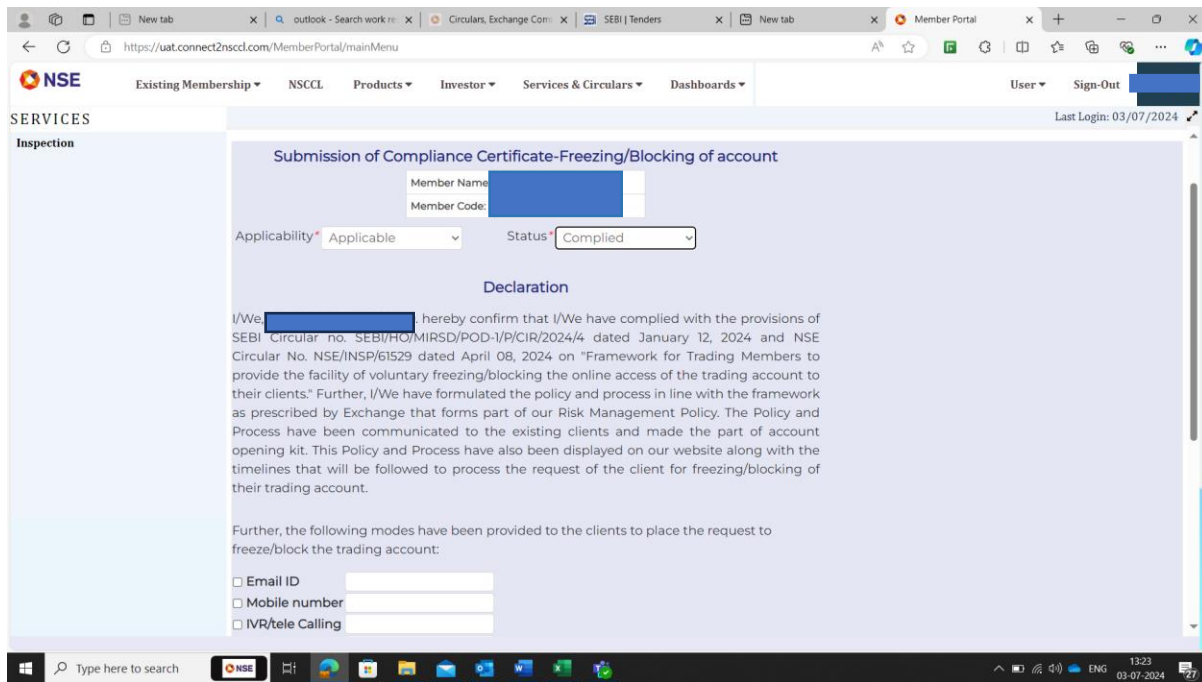
Step 3: Upload the signed Declaration and submit



# National Stock Exchange of India Limited

In case trading members have complied with the provisions of the circular, trading members are required to submit the declaration as follows:

Step 1: Fill the all the fields



The screenshot shows the NSE Member Portal interface. The main heading is "Submission of Compliance Certificate-Freezing/Blocking of account". Below this, there are input fields for "Member Name" and "Member Code". There are also dropdown menus for "Applicability" (set to "Applicable") and "Status" (set to "Complied").

**Declaration**

I/We, [redacted], hereby confirm that I/We have complied with the provisions of SEBI Circular No. SEBI/HQ/MIRSD/POD-I/P/CIR/2024/4 dated January 12, 2024 and NSE Circular No. NSE/INSP/61529 dated April 08, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients." Further, I/We have formulated the policy and process in line with the framework as prescribed by Exchange that forms part of our Risk Management Policy. The Policy and Process have been communicated to the existing clients and made the part of account opening kit. This Policy and Process have also been displayed on our website along with the timelines that will be followed to process the request of the client for freezing/blocking of their trading account.

Further, the following modes have been provided to the clients to place the request to freeze/block the trading account:

- ☐ Email ID [redacted]
- ☐ Mobile number [redacted]
- ☐ IVR/tele Calling [redacted]

# National Stock Exchange of India Limited

Step 2: Select minimum two modes that have been provided to clients to place the request to freeze/block the trading account

Inspection

Further, the following modes have been provided to the clients to place the request to freeze/block the trading account:

☐ Email ID

☐ Mobile number

☐ IVR/tele Calling

☐ Chatbot

☐ Application

☐ Website

☐ Others

Declaration ☐/We hereby confirm that the above-mentioned details are true and correct.

Date \* 24-Jun-2024  Place \*

Declaration File Upload \*

(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

Select File to Upload(Policy)\*:

(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

Step 3: Attach the updated RMS Policy with nomenclature “membercode\_policy\_currentyear”

Inspection

Further, the following modes have been provided to the clients to place the request to freeze/block the trading account:

☒ Email ID

☒ Mobile number

☐ IVR/tele Calling


☐ Chatbot

☐ Application

☐ Website

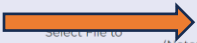
☐ Others

Declaration ☒/We hereby confirm that the above-mentioned details are true and correct.

Date \* 24-Jun-2024  Place \*

Declaration File Upload \*

(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

Select File to Upload(Policy)\*: 

(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

# National Stock Exchange of India Limited

Step 4: Download and Sign the document using DSC of compliance officer or designated director

Inspection

☒ Email ID   
☒ Mobile number   
☐ IVR/tele Calling   
☐ Chatbot   
☐ Application   
☐ Website   
☐ Others

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date \*  Place \*

Declaration File Upload \*

[Sign PDF](#)

Select File to Upload(Policy)\*:    
 (Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

[Download](#) [Submit](#)

Step 5: Upload the declaration and submit

Inspection

☒ Email ID   
☒ Mobile number   
☐ IVR/tele Calling   
☐ Chatbot   
☐ Application   
☐ Website   
☐ Others

Declaration ☒ I/We hereby confirm that the above-mentioned details are true and correct.

Date \*  Place \*

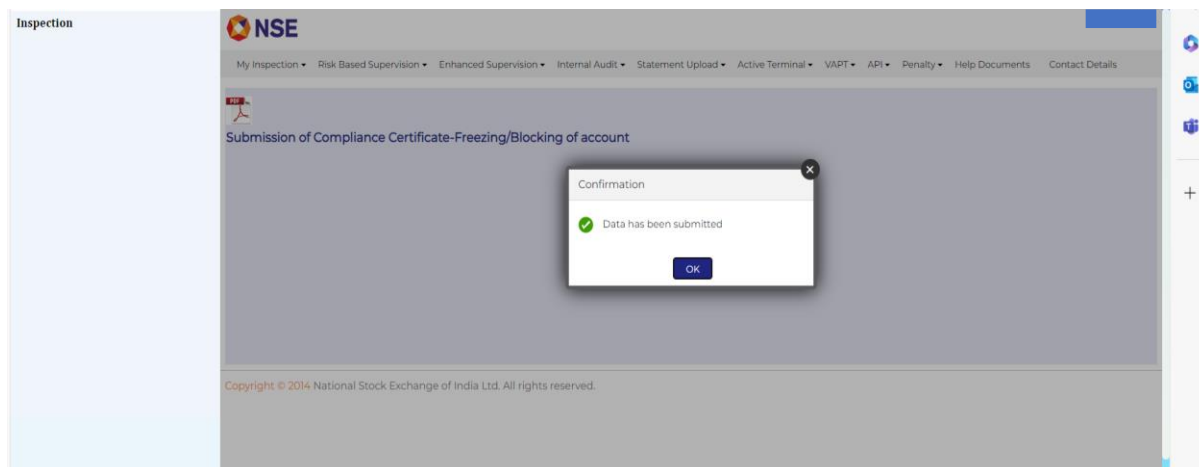
Declaration File Upload \*

(Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

Select File to Upload(Policy)\*:    
 (Note: Upload .pdf file only. Max Size : 10MB. Format : memberCode\_policy\_CurrentYear.pdf)

[Download](#) [Submit](#)

# National Stock Exchange of India Limited



## Points to remember:

1. Following details are required to be updated by member.  
 Applicability:  
 Status:  
 Minimum two Modes for placing request :  
 Place:  
 Note - Further, please note data once submitted cannot be edited.
2. If the circular is applicable to the member and the member has complied with the provisions of the circular then RMS Policy to be uploaded with nomenclature **"membercode\_policy\_currentyear"**
3. Once all the details are filed in the declaration form, the form is required to be downloaded and signed using DSC of **"Compliance Officer or Designated Director"**
4. The declaration must be uploaded with the nomenclature **"membercode\_Freezing\_Declaration\_current year"**

Successful submission shall be visible to members as per the below screen on path "My Inspection → Compliance Confirmation → Freezing Blocking Confirmation → Submission of Compliance Certificate-Freezing/Blocking of Account":

## National Stock Exchange of India Limited

**Inspection**

 **NSE**

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**Submission of Compliance Certificate-Freezing/Blocking of account**

 Declaration File

 Policy File

+

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