



National Stock Exchange of India Ltd.

Surrender- User Manual

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1. Application submitted
2. Scrutiny of Physical application
3. NOC floated and NOC Received
4. Surrender Approved by NSECL (Surrender Approved)
5. Surrender Approved by SEBI (Surrendered Membership)

ABOUT THIS GUIDE

PURPOSE OF THIS GUIDE

This guide will enable you to use ‘Surrender Submission’ Module of the Electronic Member Interface Member Module and provides detailed procedures for the same.

WHO SHOULD READ THIS GUIDE

This guide is useful for Members to do ‘Total’, ‘Segmental’, ‘Clearing Membership’, and ‘Self Clearing Membership’ Surrender on ‘Surrender’ Module.

Customer Support

If you have any problems, questions, comments, or suggestions regarding Electronic Member Interface Member module, contact us at the address mentioned above. While contacting customer support, have the following information ready:

- Your NAME, Email address, phone number and FAX number
- The type of hardware including the server configuration and network hardware, if available
- The version of Electronic Member Interface Member Module
- The name and version of the operating system

Getting Started

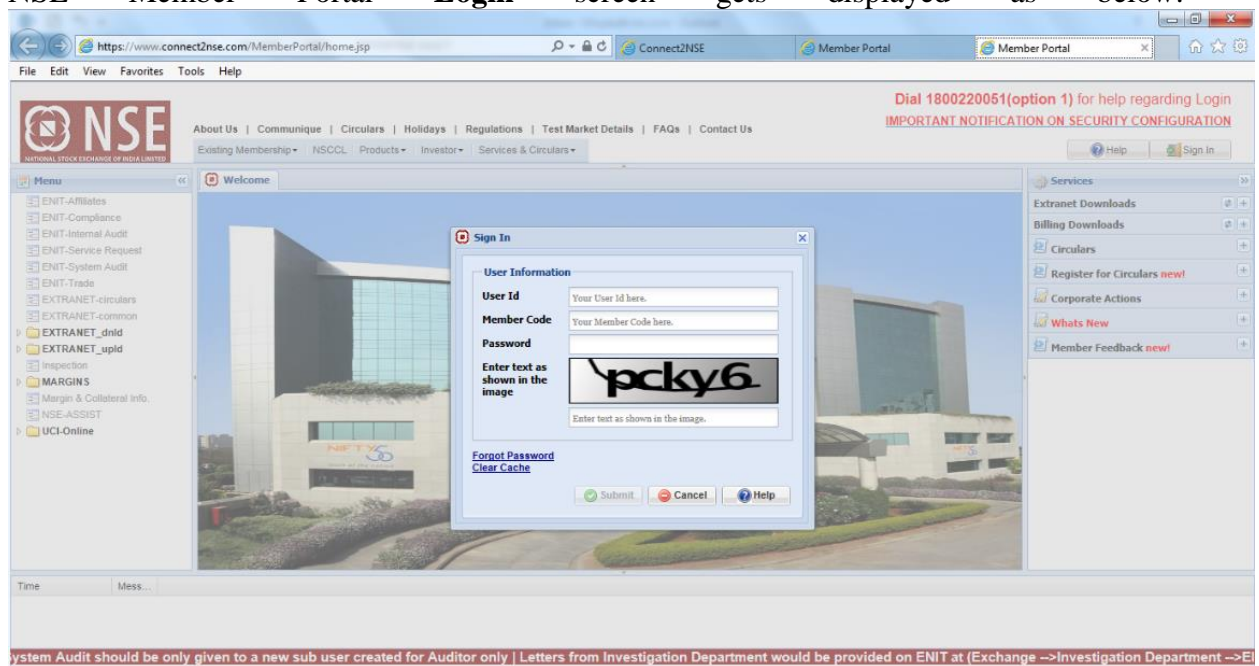
In this chapter, you will learn about ‘Surrender’ module.

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

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

To start the electronic member interface member module

1. Open Internet Explorer browser from the desktop.
2. Type <https://www.connect2nse.com/MemberPortal/home.jsp> in the address bar & then click the **Go** button from the browser.
1. NSE Member Portal **Login** screen gets displayed as below:



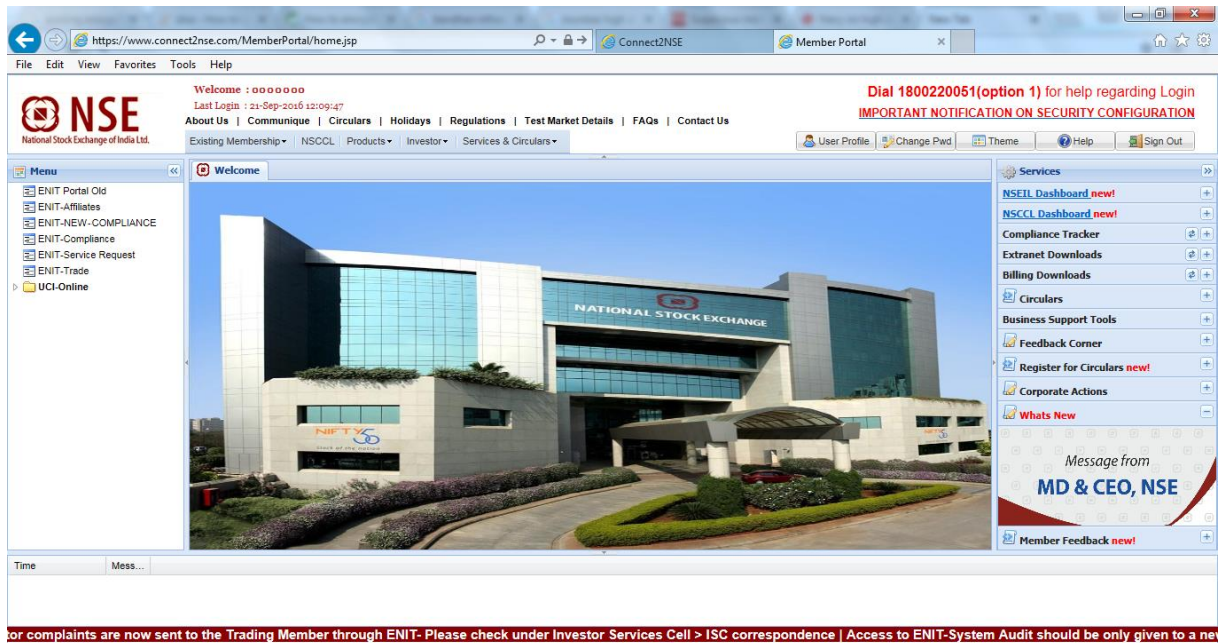
2. After entering the credentials, member needs to click on ‘Submit’ button to login.

User Id	<ul style="list-style-type: none"> ✓ Type the appropriate User id in this field. ✓ This field is alphanumeric. ✓ This field is mandatory.
Member Code	<ul style="list-style-type: none"> ✓ Type the appropriate member code of the member in this field. ✓ This field is numeric only. ✓ This field should accept 5 digit correct member code. ✓ This field is mandatory.

Password

- ✓ Type correct password in this field.
- ✓ This field accepts alphanumeric & special characters.
- ✓ This field is mandatory.

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



4. When Trading Member opens 'ENIT NEW COMPLIANCE' tab, the main screen 'Dashboard' gets open:

Compliance

Welcome

ENIT

Alerts

Request ID	Module Name	Submission Date	Status
1	10851/ADVERTISEMENT ADVERTISEMENT	07-Jun-2016	APPROVAL PENDING
2	10851/ADVERTISEMENT ADVERTISEMENT	10-Jun-2016	APPROVAL PENDING
3	10851/ADVERTISEMENT ADVERTISEMENT	10-Jun-2016	APPROVAL PENDING
4	222/ADV/0616/61 ADVERTISEMENT	15-Jun-2016	APPROVAL PENDING
5	10851/ADVERTISEMENT ADVERTISEMENT	08-Jun-2016	APPROVAL PENDING

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Reminders

Request ID	Module Name	Submission Date	Status
1	10851/ADVERTISEMENT ADVERTISEMENT	07-Jun-2016	APPROVAL PENDING
2	10851/ADVERTISEMENT ADVERTISEMENT	10-Jun-2016	APPROVAL PENDING
3	10851/ADVERTISEMENT ADVERTISEMENT	10-Jun-2016	APPROVAL PENDING
4	222/ADV/0616/61 ADVERTISEMENT	15-Jun-2016	APPROVAL PENDING
5	10851/ADVERTISEMENT ADVERTISEMENT	08-Jun-2016	APPROVAL PENDING

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Submission Alerts

Module Name	Submission Date	Status	
1	ADVERTISEMENT	20-Sep-2016	Submission Pending
2	ADVERTISEMENT	28-Jul-2016	Submission Pending
3	ADVERTISEMENT	13-Sep-2016	Submission Pending
4	ADVERTISEMENT	10-Sep-2016	Submission Pending
5	ADVERTISEMENT	21-Sep-2016	Submission Pending
6	ADVERTISEMENT	17-Sep-2016	Submission Pending

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Submission Reminders

Module Name	Submission Date	Status	
1	ADVERTISEMENT	20-Sep-2016	Submission Pending
2	ADVERTISEMENT	28-Jul-2016	Submission Pending
3	ADVERTISEMENT	13-Sep-2016	Submission Pending
4	ADVERTISEMENT	10-Sep-2016	Submission Pending
5	ADVERTISEMENT	21-Sep-2016	Submission Pending
6	ADVERTISEMENT	17-Sep-2016	Submission Pending

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

2.1 ELECTRONIC MEMBER INTERFACE

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

The screenshot shows the NSE Electronic Member Interface. The top navigation bar includes the NSE logo, Member Code (12345), Member Name (TEST), and a Welcome message. The main menu has tabs for Master, Compliance, Trade, and Membership. The Compliance menu is open, showing options like Advertisment, Client Funding, Politically Exposed Person, Insurance, Quarterly Compliance, Key Management Personnel, ISC TM Supervision, Director/Partner/Proprietor Details, Status Report, Half Yearly Networth Submission, Surrender, Annual Returns, and GSTIN. The main area displays two tables: 'GSTIN Information' and 'Alerts', both showing 'No records found'.

ENTITY	Address	Provisional GST Id	ARN Number	PAN
National Stock Exchange of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN1797L1Z0	AA271216007256G	AAACN1797L
National Securities Depository India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN2642L1ZE	AA271216007418C	AAACN2642L

Request ID	Submission Date	Status

No records found

Request ID	Module Name	Submission Date	Status

No records found

2.1.1 Navigation Bar

The navigation bar displays the various options available in the Electronic Member Interface. On clicking on 'Compliance' module, "Surrender->Surrender submission" module is available:

The screenshot shows the NSE Electronic Member Interface. The top navigation bar includes the NSE logo, Member Code (12345), Member Name (TEST), and a Welcome message. The main menu has tabs for Master, Compliance, Trade, and Membership. The Compliance menu is open, showing options like Advertisment, Client Funding, Politically Exposed Person, Insurance, Quarterly Compliance, Key Management Personnel, ISC TM Supervision, Director/Partner/Proprietor Details, Status Report, Half Yearly Networth Submission, Surrender, Annual Returns, and GSTIN. The 'Surrender Submission' option is highlighted. The main area displays two tables: 'GSTIN Information' and 'Alerts', both showing 'No records found'.

ENTITY	Address	Provisional GST Id	ARN Number	PAN
National Stock Exchange of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN1797L1Z0	AA271216007256G	AAACN1797L
National Securities Depository India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN2642L1ZE	AA271216007418C	AAACN2642L

Request ID	Submission Date	Status

No records found

Request ID	Module Name	Submission Date	Status

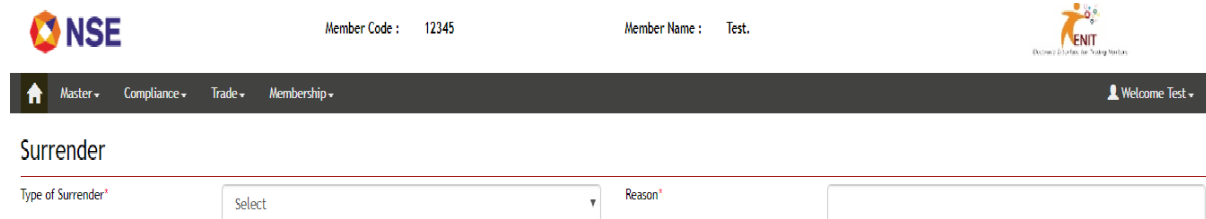
No records found

On clicking Surrender Submission module, “**Surrender**” page will get open.

3. Surrender Submission:

Surrender Submission module helps the Trading Member to surrender his total/partial membership. The member has to select Compliance->surrender->Surrender Submission option and submit the Surrender related data (depending on type for - Total, Segmental, Clearing Membership, Self-Clearing Membership) to the Exchange.

When member clicks the Surrender Submission menu, below default page will be displayed to him:



The screenshot displays the NSE Surrender Submission interface. At the top, the NSE logo is on the left, followed by 'Member Code : 12345' and 'Member Name : Test'. The NSEIL logo is on the right. Below this is a dark navigation bar with a home icon and links for 'Master', 'Compliance', 'Trade', and 'Membership'. A 'Welcome Test' message is on the far right. The main section is titled 'Surrender'. It contains a form with two fields: 'Type of Surrender' with a dropdown menu currently showing 'Select', and 'Reason' with an empty text input field.

There are total four types of surrender which are mentioned below and provided as drop down:

1. Total
2. Segmental
3. Clearing Membership.
4. Self-Clearing Membership.



Member Code : 12345

Member Name : Test.



Master ▾

Compliance ▾

Trade ▾

Membership ▾

Welcome Test ▾

Surrender

Type of Surrender*

- Select
- TOTAL
- SEGMENTAL
- CLEARING MEMBERSHIP
- SELF CLEARING MEMBERSHIP

Reason*

[A] Type of Surrender: Total

1. Login with correct credentials
2. Click on Compliance
3. Select Compliance->surrender->Surrender Submission
4. Click on Surrender Submission
5. Select Type of surrender as Total then below page will be opened.



Member Code : 12345

Member Name : Test.



Master ▾

Compliance ▾

Trade ▾

Membership ▾

Welcome 12345 ▾

Surrender

Type of Surrender*

Reason*

Email Address*

Add Instruments Details

Instrument Type*	Instrument Number*	Instrument Date*	Instrument Amount*	Delete
DD ▾	113131	23-Aug-2008	500000	-
CHEQUE ▾	646146	23-Aug-2018	200000	-

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="button" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="button" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B)*	<input type="button" value="Choose File"/> demo.pdf
4	ANNEXURE - II (C1) - UNDERTAKING TO NSEIL (Franked and common seal affixed)*	<input type="button" value="Choose File"/> demo.pdf
5	ANNEXURE - II (C2) - UNDERTAKING TO NSCCL (Franked and common seal affixed)*	<input type="button" value="Choose File"/> demo.pdf
6	ANNEXURE - II (C3) - LETTER FROM TM FOR CONVERSION OF DEPOSITS INTO FDR*	<input type="button" value="Choose File"/> demo.pdf
7	ANNEXURE - II (C4) - LETTER FROM BANK FOR CONVERSION OF DEPOSITS INTO FDR*	<input type="button" value="Choose File"/> demo.pdf
8	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary*	<input type="button" value="Choose File"/> demo.pdf
9	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary*	<input type="button" value="Choose File"/> demo.pdf
10	ANNEXURE - II (F)- Letter to SEBI applying for surrender*	<input type="button" value="Choose File"/> demo.pdf

11	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s) *	<input type="button" value="Choose File"/> demo.pdf
12	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same. *	<input type="button" value="Choose File"/> demo.pdf
13	Cheque/DD of an amount of Rs. 1,00,000 plus applicable service tax favouring NSEIL *	<input type="button" value="Choose File"/> demo.pdf

^

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The above Page consists of following fields & buttons:

- **'Type of Surrender'(Total):** From the dropdown mentioned in type of surrender, member can select data e.g.: "Total" option from the dropdown and the selected option will be displayed and rest of the Fields will get Enabled E.g **"Email Address"**, **"Add Instruments Details"**, **"Upload scanned Documents"** section will be enabled.
- **'Reason':** It is a Text box here member has to write the reason as to why he wants to surrender. (Max Length=500)
- **'Email Address':** It is a Textbox where a member has to enter email address. (Max length=50). Please note all the further communication w.r.t. the application will be sent to the mentioned email address.
- **'Add Instrument Details':** In this section Member can select **Instrument Type, Instrument Number, Instrument Date, Instrument Amount, Delete.**
 1. **Instrument Type:** It is a Dropdown where User can select DD or Cheque as Instrument Type.
 2. **Instrument Number:** It is a Textbox which accepts only numeric value and where member has to mention the Cheque/DD Number. (Max length=60).
 3. **Instrument Date:** Here Member has to select the Instrument date i.e Cheque or DD no from date picker.
 4. **Instrument Amount:** Here member has to select Instrument amount i.e Cheque or D.D amount, It accepts only numeric value and Max length=20. If any member has deducted TDS from the amount, then the member has to upload the letter for deducting the TDS alongwith the scanned copy of cheque under upload scanned documents.
 5. **Delete:** It is a button, by clicking on the – Symbol, a member can delete a particular instrument i.e. Check or DD Details.
- **Upload Scanned Documents:** Here, member will have to upload the mandatory & required documents. The page will have all the required documents' name & its respective sizes. Using the 'Choose File' button, member will be able to browse the documents & by clicking on the 'Upload documents button, he will be able to upload them successfully.
- **'Submit'** button will enable member to submit the entered details while **'Reset'** button will enable member to reset the entered details to the default values.

-When member will submit the application, a successful alert with reference no. will be displayed as follows:




The screenshot shows the NSE Surrender form with a confirmation dialog box in the center. The dialog box contains a green checkmark and the text: "Request submitted successfully. The request no is NSE/COMP/SURR/669/299". The background form shows the "Type of Surrender" as "TOTAL", "Reason" as "vfdcs", and "Email Address" as "r@g.com". The "Add Instruments Details" table has two rows: one for "DD" with instrument number "499646" and amount "156165165.0", and another for "CHEQUE" with instrument number "481616" and amount "2562622.0". The "Submit" button is visible at the bottom.


-When member will keep any mandatory field as blank & click on the submit button, error alert for each mandatory field and will be highlighted in red mark will be displayed 'Please fill the error fields' as shown below.

The screenshot shows the NSE Surrender form with error alerts for mandatory fields. The "Type of Surrender" is "TOTAL", "Reason" is blank, and "Email Address" is blank. The "Add Instruments Details" table has two rows, both with "Select" in the "Instrument Type" column. The "Upload Scanned Documents" section has 10 rows, each with a "Choose File" button and "No file chosen" text. All error alerts are highlighted in red.

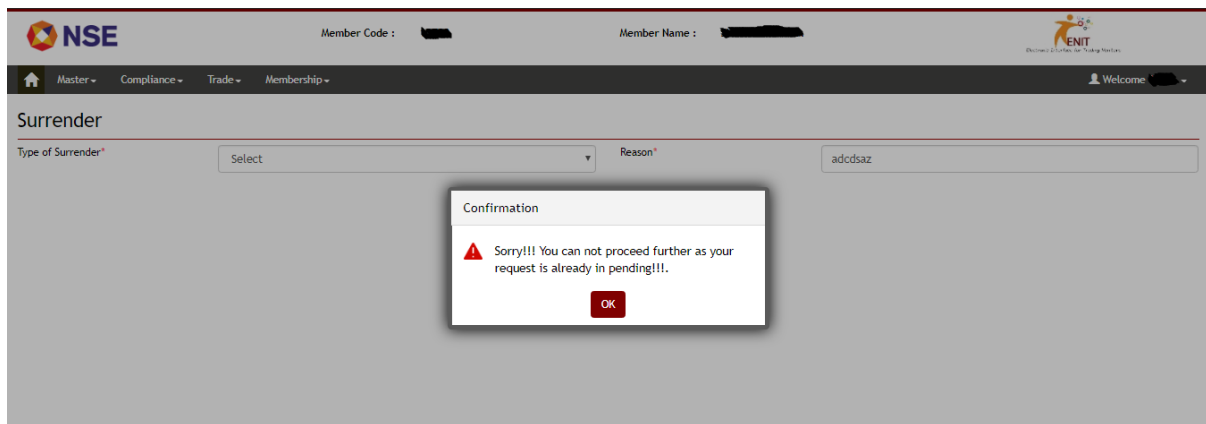
Instrument Type*	Instrument Number*	Instrument Date*	Instrument Amount*	Delete
Select				-
Select				-

Upload Scanned Documents	Choose File	No file chosen
1 APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	Choose File	No file chosen
2 DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	Choose File	No file chosen
3 ANNEXURE - II (B)*	Choose File	No file chosen
4 ANNEXURE - II (C1) - UNDERTAKING TO NSEIL (Franked and common seal affixed)*	Choose File	No file chosen
5 ANNEXURE - II (C2) - UNDERTAKING TO NSCCL (Franked and common seal affixed)*	Choose File	No file chosen
6 ANNEXURE - II (C3) - LETTER FROM TM FOR CONVERSION OF DEPOSITS INTO FDR*	Choose File	No file chosen
7 ANNEXURE - II (C4) - LETTER FROM BANK FOR CONVERSION OF DEPOSITS INTO FDR*	Choose File	No file chosen
8 ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary*	Choose File	No file chosen
9 ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary*	Choose File	No file chosen
10 ANNEXURE - II (F)- Letter to SEBI applying for surrender*	Choose File	No file chosen

11	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s) *	<input type="button" value="Choose File"/> No file chosen 
12	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same. *	<input type="button" value="Choose File"/> No file chosen 
13	Cheque/DD of an amount of Rs. 1,00,000 plus applicable service tax favouring NSEIL *	<input type="button" value="Choose File"/> No file chosen 

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If the member has already submitted a total surrender application and is trying to add a new entry, then below alert will be displayed:





The screenshot shows the NSEIL Surrender form. At the top, there is a header with the NSE logo, Member Code, Member Name, and a navigation bar with links: Master, Compliance, Trade, and Membership. The main form area is titled 'Surrender' and contains a 'Type of Surrender' dropdown menu (currently set to 'Select'), a 'Reason' text field (containing 'adodsaz'), and a 'Welcome' message. A confirmation alert box is displayed in the center of the form, stating: 'Confirmation', 'Sorry!!! You can not proceed further as your request is already in pending!!!', and an 'OK' button.

Note: The mandatory fields available in every module will be marked with * mark to highlight.

[B] Type of Surrender: Segmental

1. Login with correct credentials
2. Click on Compliance
3. Select Compliance->surrender->Surrender Submission
4. Click on Surrender Submission
5. Select Type of surrender as Segmental from the dropbox, then below page will be opened.



Member Code : 12345
 Member Name : Test.
 

Master Compliance Trade Membership
 Welcome 12345

Surrender

Type of Surrender* Reason*

Segment*

Email Address:*

Add Instruments Details

Instrument Type*	Instrument Number*	Instrument Date*	Instrument Amount*	Delete
<input type="text" value="DD"/>	<input type="text" value="416146"/>	<input type="text" value="23-Aug-2018"/>	<input type="text" value="51616161"/>	—
<input type="text" value="CHEQUE"/>	<input type="text" value="416166"/>	<input type="text" value="23-Aug-2018"/>	<input type="text" value="62566161"/>	—

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="text" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="text" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B)*	<input type="text" value="Choose File"/> demo.pdf
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="text" value="Choose File"/> demo.pdf
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="text" value="Choose File"/> demo.pdf
6	ANNEXURE - II (F)- Letter to SEBI applying for surrender*	<input type="text" value="Choose File"/> demo.pdf
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="text" value="Choose File"/> demo.pdf
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX,NCDEX or NMCE. If NA, an undertaking stating the same.*	<input type="text" value="Choose File"/> demo.pdf
9	Cheque/DD of an amount of Rs. 50,000 plus applicable service tax favouring NSEIL*	<input type="text" value="Choose File"/> demo.pdf
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="text" value="Choose File"/> demo.pdf

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- **‘Type of Surrender’(Segmental):** ‘From the dropdown mentioned in type of surrender, member can select data e.g.: “Segmental” option from the dropdown and the selected option will be displayed and rest of the Fields will get Enabled E.g “Email Address”, “Add Instruments Details”, “Upload scanned Documents” section will be enabled.
- **‘Reason’:** It is a Text box here member has to write the reason as to why he wants to surrender. (Max Length=500)
- **‘Email Address’:** It is a Textbox where a member has to enter email address. (Max length=50). Please note all the further communication w.r.t. the application will be sent to the mentioned email address.
- **“Add Instrument Details”:** In this section Member can select **Instrument Type, Instrument Number, Instrument Date, Instrument Amount, and Delete.**
 1. **Instrument Type:** It is a Dropdown where User can select DD or Cheque as Instrument Type.
 2. **Instrument Number:** It is a Textbox which accepts only numeric value and where member has to mention the Cheque/DD Number. (Max length=60).

3. **Instrument Date:** Here Member has to select the Instrument date i.e Cheque or DD no from date picker.
4. **Instrument Amount:** Here member has to select Instrument amount i.e Cheque or D.D amount, It accepts only numeric value and Max length=20. If any member has deducted TDS from the amount, then the member has to upload the letter for deducting the TDS alongwith the scanned copy of cheque under upload scanned documents.
5. **Delete:** It is a button, by clicking on the – Symbol, a member can delete a particular instrument i.e. Check or DD Details.
- **Upload Scanned Documents:** Here, member will have to upload the mandatory & required documents. The page will have all the required documents' name & its respective sizes. Using the 'Choose File' button, member will be able to browse the documents & by clicking on the 'Upload documents button, he will be able to upload them successfully.

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A) *	<input type="button" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates) *	<input type="button" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B) *	<input type="button" value="Choose File"/> demo.pdf
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
6	ANNEXURE - II (F)- Letter to SEBI applying for surrender *	<input type="button" value="Choose File"/> demo.pdf
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s) *	<input type="button" value="Choose File"/> demo.pdf
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same. *	<input type="button" value="Choose File"/> demo.pdf
9	Cheque/DD of an amount of Rs. 50,000 plus applicable service tax favouring NSEIL *	<input type="button" value="Choose File"/> demo.pdf
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s) *	<input type="button" value="Choose File"/> demo.pdf

- **Submit** button will enable member to submit the entered details while **Reset** button will enable member to reset the entered details to the default values.

-When member will submit the application, a successful alert with reference no. will be displayed as follows:

The screenshot displays the NSEIL Surrender application interface. At the top, there are fields for Member Code and Member Name. Below this is a navigation bar with links for Master, Compliance, Trade, and Membership. The main section is titled 'Surrender' and contains a form with fields for Type of Surrender (set to TOTAL), Reason (set to vfdc), Email Address (set to r@g.com), and Add Instruments Details. A confirmation dialog box is overlaid on the form, stating: 'Confirmation' with a green checkmark icon, 'Request submitted successfully. The request no is NSE/COMP/SURR/669/299', and an 'OK' button. The background form shows two instrument entries: one for DD (Instrument Number 499646) and one for CHEQUE (Instrument Number 481616, dated 23-Aug-2018). At the bottom, there are 'Submit' and 'Reset' buttons.

If the member has already submitted a segmental surrender application for a particular segment and is trying to add a new entry, then below alert will be displayed:

The screenshot shows the NSEIL web application interface. At the top, there is a header with the NSE logo, Member Code, Member Name, and a user profile icon. Below the header is a navigation bar with links: Master, Compliance, Trade, and Membership. The main content area is titled 'Surrender'. It contains a form with 'Type of Surrender' (a dropdown menu) and 'Reason' (a text input field). A confirmation dialog box is displayed in the center of the screen, containing the text: 'Confirmation', 'Sorry!!! You can not proceed further as your request is already in pending!!!', and an 'OK' button.

Note: The mandatory fields available in every module will be marked with * mark to highlight.

[C] Type of Surrender: Clearing Membership

1. Login with correct credentials
2. Click on Compliance
3. Select Compliance->surrender->Surrender Submission
4. Click on Surrender Submission
5. Select Type of surrender as Clearing Membership then below page will be opened.

The screenshot shows the NSEIL web application interface for the 'Surrender' module. The header and navigation bar are the same as in the previous screenshot. The main content area is titled 'Surrender'. It contains a form with the following fields: 'Type of Surrender' (dropdown menu with 'CLEARING MEMBERSHIP' selected), 'Reason' (text input field with 'Not Intrested' entered), 'Segment' (dropdown menu with 'Debt Market' selected), and 'Email Address' (text input field with 'r@g.com' entered). Below the form is a section titled 'Add Instruments Details' which contains a table with the following columns: 'Instrument Type', 'Instrument Number', 'Instrument Date', 'Instrument Amount', and 'Delete'.

Instrument Type	Instrument Number	Instrument Date	Instrument Amount	Delete
DD	649641	23-Aug-2018	416364	—
CHEQUE	549641	23-Aug-2018	4515156	—

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="button" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="button" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B)*	<input type="button" value="Choose File"/> demo.pdf
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary*	<input type="button" value="Choose File"/> demo.pdf
6	ANNEXURE - II (C)- Letter to SEBI applying for surrender*	<input type="button" value="Choose File"/> demo.pdf
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same.*	<input type="button" value="Choose File"/> demo.pdf
9	Cheque/DD of an amount of Rs. 25,000 plus applicable service tax favouring NSCCL*	<input type="button" value="Choose File"/> demo.pdf
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf

- **‘Type of Surrender’(Clearing Membership):** From the dropdown mentioned in type of surrender, member can select data e.g.: “Clearing” option from the dropdown and the selected option will be displayed and rest of the Fields will get Enabled E.g “**Email Address**”, “**Add Instruments Details**”, “**Upload scanned Documents**” section will be enabled.
- **‘Reason’:** It is a Text box here member has to write the reason as to why he wants to surrender. (Max Length=500)
- **‘Email Address’:** It is a Textbox where a member has to enter email address. (Max length=50). Please note all the further communication w.r.t. the application will be sent to the mentioned email address.
- **“Add Instrument Details”:** In this section Member can select **Instrument Type, Instrument Number, Instrument Date, Instrument Amount, and Delete.**
 1. **Instrument Type:** It is a Dropdown where User can select DD or Cheque as Instrument Type.
 2. **Instrument Number:** It is a Textbox which accepts only numeric value and where member has to mention the Cheque/DD Number. (Max length=60)
 3. **Instrument Date:** Here Member has to select the Instrument date i.e Cheque or DD no from date picker.
 4. **Instrument Amount:** Here member has to select Instrument amount i.e Cheque or D.D amount, It accepts only numeric value and Max length=20. If any member has deducted TDS from the amount, then the member has to upload the letter for deducting the TDS alongwith the scanned copy of cheque under upload scanned documents.
 5. **Delete:** It is a button, by clicking on the – Symbol, a member can delete a particular instrument i.e. Check or DD Details.
- **Upload Scanned Documents:** Here, member will have to upload the mandatory & required documents. The page will have all the required documents’ name & its respective sizes. Using the ‘Choose File’ button, member will be able to browse the documents & by clicking on the ‘Upload documents button, he will be able to upload them successfully.

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="button" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="button" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B)*	<input type="button" value="Choose File"/> demo.pdf
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary*	<input type="button" value="Choose File"/> demo.pdf
6	ANNEXURE - II (C)- Letter to SEBI applying for surrender*	<input type="button" value="Choose File"/> demo.pdf
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same.*	<input type="button" value="Choose File"/> demo.pdf
9	Cheque/DD of an amount of Rs. 25,000 plus applicable service tax favouring NSCCL*	<input type="button" value="Choose File"/> demo.pdf
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf

- **‘Submit’** button will enable member to submit the entered details while **‘Reset’** button will enable member to reset the entered details to the default values.
- When member will submit the application, a successful alert with reference no. will be displayed as follows:

The screenshot shows the NSEIL Surrender application form. The 'Type of Surrender' is set to 'TOTAL' and the 'Reason' is 'vfdcs'. The email address is 'n@g.com'. A confirmation dialog box is displayed in the center, stating: 'Confirmation: Request submitted successfully. The request no is NSE/COMP/SURR/669/299'. Below the dialog, the 'Add Instruments Details' table is visible, showing two entries: one for 'DD' with instrument number '499646' and amount '156165165.0', and another for 'CHEQUE' with instrument number '481616' and amount '2562622.0'. The 'Submit' and 'Reset' buttons are at the bottom.


- If the member has already submitted a clearing membership application for a particular segment and is trying to add a new entry, then below alert will be displayed:

The screenshot shows the NSEIL Surrender application form. The 'Type of Surrender' is set to 'Select' and the 'Reason' is 'adcdsaz'. An error message dialog box is displayed in the center, stating: 'Confirmation: Sorry!!! You can not proceed further as your request is already in pending!!!'. The 'Submit' and 'Reset' buttons are at the bottom.

Note: The mandatory fields available in every module will be marked with * mark to highlight.

[D] Type of Surrender: Self Clearing Membership

1. Login with correct credentials
2. Click on Compliance
3. Select Compliance->surrender->Surrender Submission
4. Click on Surrender Submission
5. Select Type of surrender as Self Clearing Membership then below page will be opened.

NSE Member Code : 12345 Member Name : Test.  Welcome 12345

Surrender

Type of Surrender* Reason*

Segment*


Email Address*

Add Instruments Details

Instrument Type*	Instrument Number*	Instrument Date*	Instrument Amount*	Delete
<input type="text" value="CHEQUE"/>	<input type="text" value="645641"/>	<input type="text" value="23-Aug-2018"/>	<input type="text" value="58496416"/>	<input type="text" value="-"/>
<input type="text" value="CHEQUE"/>	<input type="text" value="554546"/>	<input type="text" value="23-Aug-2018"/>	<input type="text" value="5451223"/>	<input type="text" value="-"/>

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="text" value="Choose File demo.pdf"/>
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="text" value="Choose File demo.pdf"/>
3	ANNEXURE - II (B)*	<input type="text" value="Choose File demo.pdf"/>
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="text" value="Choose File demo.pdf"/>
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary*	<input type="text" value="Choose File demo.pdf"/>
6	ANNEXURE - II (C)- Letter to SEBI applying for surrender *	<input type="text" value="Choose File demo.pdf"/>
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="text" value="Choose File demo.pdf"/>
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same. *	<input type="text" value="Choose File demo.pdf"/>
9	Cheque/DD of an amount of Rs. 25,000 plus applicable service tax favouring NSCCL*	<input type="text" value="Choose File demo.pdf"/>
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="text" value="Choose File demo.pdf"/>

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- **‘Type of Surrender’(Self Clearing Membership):** From the dropdown mentioned in type of surrender, member can select data e.g.: “Self-Clearing” option from the dropdown and the selected option will be displayed and rest of the Fields will get Enabled E.g “Email Address”, “Add Instruments Details”, “Upload scanned Documents” section will be enabled.
- **‘Reason’:** It is a Text box here member has to write the reason as to why he wants to surrender. (Max Length=500)

- **‘Email Address’:** It is a Textbox where a member has to enter email address. (Max length=50). Please note all the further communication w.r.t. the application will be sent to the mentioned email address.
- **“Add Instrument Details”:** In this section Member can select **Instrument Type, Instrument Number, Instrument Date, Instrument Amount, and Delete.**
 6. **Instrument Type:** It is a Dropdown where User can select DD or Cheque as Instrument Type.
 7. **Instrument Number:** It is a Textbox which accepts only numeric value and where member has to mention the Cheque/DD Number. (Max length=60)
 8. **Instrument Date:** Here Member has to select the Instrument date i.e Cheque or DD no from date picker.
 9. **Instrument Amount:** Here member has to select Instrument amount i.e Cheque or D.D amount, It accepts only numeric value and Max length=20. If any member has deducted TDS from the amount, then the member has to upload the letter for deducting the TDS alongwith the scanned copy of cheque under upload scanned documents.
 10. **Delete:** It is a button, by clicking on the – Symbol, a member can delete a particular instrument i.e. Check or DD Details.
- **Upload Scanned Documents:** Here, member will have to upload the mandatory & required documents. The page will have all the required documents’ name & its respective sizes. Using the ‘Choose File’ button, member will be able to browse the documents & by clicking on the ‘Upload documents button, he will be able to upload them successfully.

Upload Scanned Documents

1	APPLICATION FOR SURRENDER- ANNEXURE - II (A)*	<input type="button" value="Choose File"/> demo.pdf
2	DULY CERTIFIED COPY OF BOARD RESOLUTION (Only applicable for corporates)*	<input type="button" value="Choose File"/> demo.pdf
3	ANNEXURE - II (B)*	<input type="button" value="Choose File"/> demo.pdf
4	ANNEXURE - II (D) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
5	ANNEXURE - II (E) CERTIFIED BY Chartered Accountant / Company Secretary *	<input type="button" value="Choose File"/> demo.pdf
6	ANNEXURE - II (C)- Letter to SEBI applying for surrender*	<input type="button" value="Choose File"/> demo.pdf
7	Photocopy of single SEBI registration number/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf
8	Details of registration, in case the member or any entity connected/related to the member, is member of any Commodity Derivatives Exchange such as MCX, NCDEX or NMCE. If NA, an undertaking stating the same. *	<input type="button" value="Choose File"/> demo.pdf
9	Cheque/DD of an amount of Rs. 25,000 plus applicable service tax favouring NSCCL*	<input type="button" value="Choose File"/> demo.pdf
10	ORIGINAL SEBI CERTIFICATE(s)/ AFFADIVIT AND FIR COPY FOR LOSS OF ORIGINAL SEBI CERTIFICATE(s)*	<input type="button" value="Choose File"/> demo.pdf

- **‘Submit’** button will enable member to submit the entered details while **‘Reset’** button will enable member to reset the entered details to the default values.
- When member will submit the application, a successful alert with reference no. will be displayed as follows:

The screenshot shows the 'Surrender' form in the NSEIL system. A confirmation dialog box is displayed in the center, stating: 'Request submitted successfully. The request no is NSE/COMP/SURR/669/299'. The background form includes fields for 'Type of Surrender' (set to 'TOTAL'), 'Reason' (set to 'vfdcs'), 'Email Address' (set to 'r@g.com'), and a table for 'Add Instruments Details' with columns for 'Instrument Type', 'Instrument Number', 'Instrument Amount', and 'Delete'.

- If the member has already submitted a self-clearing membership application for a particular segment and is trying to add a new entry, then below alert will be displayed:

The screenshot shows the 'Surrender' form with a confirmation dialog box displaying an error message: 'Sorry!!! You can not proceed further as your request is already in pending!!!'. The background form shows 'Type of Surrender' set to 'Select' and 'Reason' set to 'adcdsaz'.

Note: The mandatory fields available in every module will be marked with * mark to highlight.

3. Surrender MIS:

When member submits an application for surrender, member can see the status of his application under Surrender MIS. To check the Status after Login, The navigation bar displays the various options available in the Electronic Member Interface. On clicking on 'Compliance' module, "Surrender-> Surrender MIS" module is available:

The screenshot shows the NSEIL system interface. The 'Compliance' module is selected in the navigation bar, and a dropdown menu is open showing 'Surrender Submission' and 'Surrender MIS' (highlighted with a red box). Below the menu, there are two tables. The first table, titled 'ENTITY', lists details for 'National Stock Exchange of India Limited'. The second table, titled 'Reminders', shows a list of requests with columns for 'Request ID', 'Module Name', 'Submission Date', and 'Status'. Both tables currently display 'No records found'.

When Member clicks on **Surrender MIS** Option, following Page is opened. Here, member can check the Status For his surrender Application by using Request Reference No.

The screenshot shows the NSE Surrender MIS web application. At the top, there is a header with the NSE logo, navigation links (Master, Compliance, Trade, Membership), and user information (Member Code: 12345, Member Name: TEST, Welcome 12345). Below the header, the page title is "Surrender MIS". The main form contains input fields for "Member Name" (with "TEST" entered), "Member Code" (with "12345" entered), "Request Ref. No." (empty), and "Surrender Stages" (a dropdown menu with "Select" as the current selection). There are "Search" and "Reset" buttons at the bottom of the form.

Total Surrender

When Member Files an application for surrender, it goes through various Approval Stages at the Exchange/SEBI and for every Approval Stage an **email** will be sent to the Member. At the same time, member can see the Status of application under “**Surrender MIS**”.

The various approval stages w.r.t. Total surrender application are listed as below.

1. Application submitted
2. Scrutiny of Physical application
3. Disabled (Disablement on trading platform).
4. Public notification period
5. NOC floated and NOC Received
6. Surrender Approved (Surrender Approved by Exchange)
- 6.1 Details of FDRs (if applicable)
7. Sent to SEBI
8. Surrendered Membership (Surrender Approved by SEBI)



1. Application submitted: When Exchange Approves the Application submitted, the status Becomes ‘Application submitted’. Member will be receiving a mail with a covering letter attached. Member has to affix the duly signed covering letter on the physical set of documents and send it to the Exchange.

Surrender MIS



Member Name	TEST	Member Code	12345
Request Ref. No.	NSE/COMP/SURR/672/301	Surrender Stages	Select
<input type="button" value="Search"/> <input type="button" value="Reset"/>			

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>
1	NSE/COMP/SURR/672/301	Application submitted	TOTAL		Your scanned documents pertaining to the application for Total Surrender membership of Capital Market, Currency derivatives, Futures and options Segments has been verified by the Exchange with reference no : reqNo You are required to send the original set of documents alongwith the duly signed covering letter attached herewith to NSE- Membership Compliance Department, Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai, 400051. In case of any queries/ clarifications, please contact us on 1800220051 or email us at :Abcd@nse.co.in;

2. Scrutiny of Physical application: Once the physical set of documents are received by the Exchange and on successful scrutiny of the same, the status becomes “Scrutiny of Physical application”.

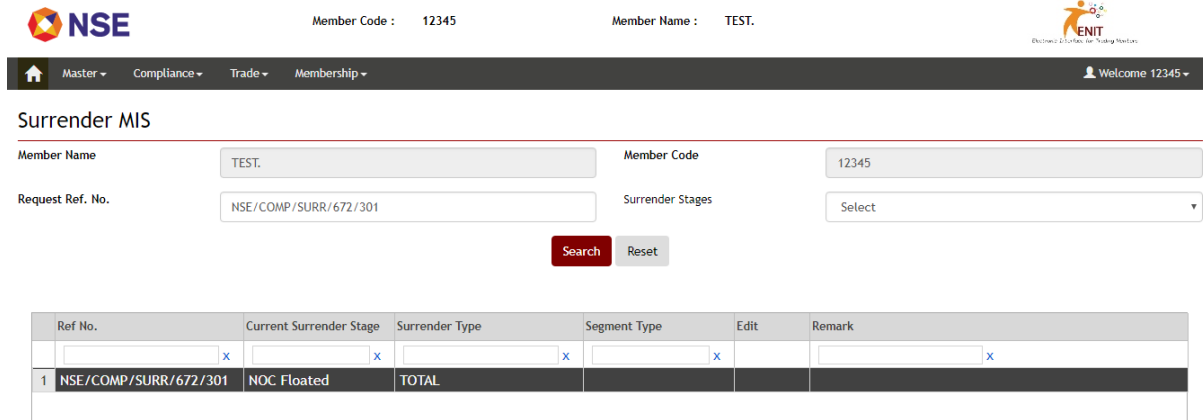
		Member Code : 12345	Member Name : TEST.		
<div>Master Compliance Trade Membership</div> <div>Welcome 12345</div>					
Surrender MIS					
Member Name	TEST.	Member Code	12345		
Request Ref. No.	NSE/COMP/SURR/672/301	Surrender Stages	Select		
<input type="button" value="Search"/> <input type="button" value="Reset"/>					
Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>
1	NSE/COMP/SURR/672/301	Scrutiny of Physical application	TOTAL		

3. Disabled: When, the Exchange disables the member on trading platform, the status becomes “Disabled”. For members who have never been enabled on any segment, this stage will not be visible.

		Member Code : 12345	Member Name : TEST.		
<div>Master Compliance Trade Membership</div> <div>Welcome 12345</div>					
Surrender MIS					
Member Name	TEST.	Member Code	12345		
Request Ref. No.	NSE/COMP/SURR/672/301	Surrender Stages	Select		
<input type="button" value="Search"/> <input type="button" value="Reset"/>					
Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>
1	NSE/COMP/SURR/672/301	Disabled	TOTAL		

4. Public notification period: When the Exchange has issued public notification, then the status becomes “Public notification period” and member can view the date of issuance and expiry of public notification.

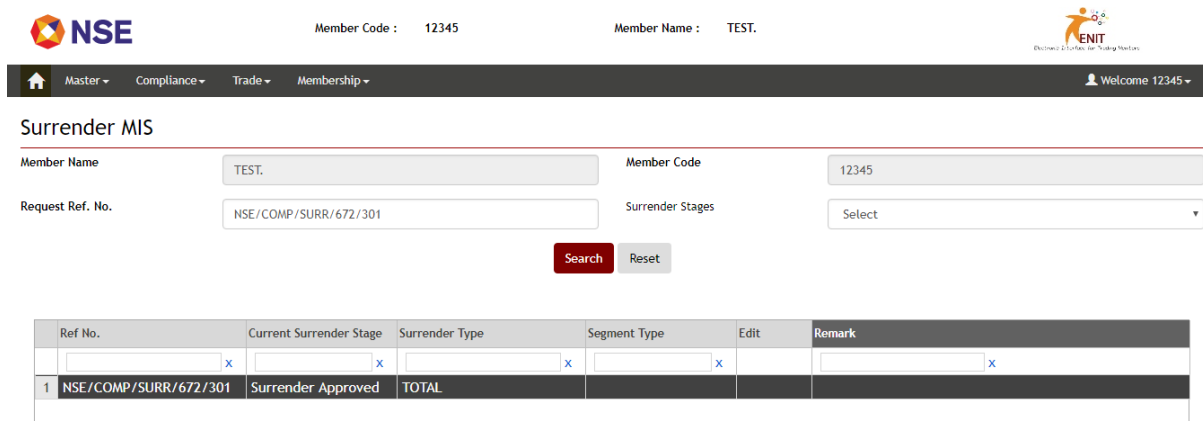
5. **NOC floated and NOC received:** After the expiry of public notification, when the Exchange seeks internal NOCs from all the respective departments, the status becomes “NOC Floated” and when NOCs are received from all the respective departments, the status becomes “NOC Received”



The screenshot shows the NSE Surrender MIS interface. At the top, the NSE logo is on the left, and the member code (12345) and member name (TEST.) are in the center. On the right is the ENIT logo. Below the header is a navigation bar with links: Master, Compliance, Trade, and Membership. A welcome message 'Welcome 12345' is on the far right. The main section is titled 'Surrender MIS'. It contains a form with the following fields: Member Name (TEST.), Member Code (12345), Request Ref. No. (NSE/COMP/SURR/672/301), and Surrender Stages (a dropdown menu set to 'Select'). Below the form are 'Search' and 'Reset' buttons. A table displays the current status of the surrender:

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/SURR/672/301	NOC Floated	TOTAL		


6. **Surrender Approved:** After receiving all the internal NOCs, once the Exchange approves the surrender, the status becomes “Surrender Approved”




The screenshot shows the NSE Surrender MIS interface with the same header and navigation bar as the previous one. The 'Surrender Stages' dropdown menu is now set to 'Surrender Approved'. The table below shows the updated status:

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/SURR/672/301	Surrender Approved	TOTAL		

Further, on approval of surrender by the Exchange, the member will receive the surrender approval letter on his mentioned mail address and can also download the surrender approval letter on ENIT:



Member Code : 12345
 Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name:

Member Code:

Request Ref. No.:

Surrender Stages:

Search
Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Surrender Approval Date	Edit	Remark	Surrender Approval Letter
1	NSE/COMP/SURR/669/25	Surrender Approved	TOTAL	24-Aug-2018			Download


6.1 Details of FDRs: For members whose deposits have to be kept under 3 year lock-in period, they have an option of getting the deposits converted into FDRs. On successful conversion into FDRs, members may view the details of FDRs in the following manner:

FDR Details


FDR No.	FDR Amount	FDR In Favour Of	FDR Create Date	Receipt Date	Deposit Release Date	Bank Name	Document Download
1 6456	546546	NSEIL	Jul 9, 2018 7:29:14 PM	10-Jul-2018	23-Jul-2018	Canara Bank	Download

View 1 - 1 of 1

7. Sent to SEBI: Once the Exchange approves the surrender and the application is referred to SEBI for SEBI's approval, the Status becomes "Sent to SEBI"



Member Code : 12345
 Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name:

Member Code:


Request Ref. No.:


Surrender Stages:

Search
Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/SURR/672/301	Sent to SEBI	TOTAL		

8. Surrendered Membership: On receipt of SEBI approval, the status becomes "Surrendered Membership"



Member Code : 12345
Member Name : TEST.


Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name
TEST.

Member Code
12345

Request Ref. No.
NSE/COMP/SURR/672/301

Surrender Stages
Select

Search
Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/SURR/672/301	Surrendered Membership	TOTAL		

Further, on approval of surrender by SEBI, the member will receive the letter issued by the Exchange confirming SEBI approval on his mentioned mail address and can also download the letter on ENIT:

Member Name
TEST.

Member Code
12345

Request Ref. No.

Surrender Stages
SEBI CONFIRMATION

Search
Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	SEBI Confirmation Date	Edit	Remark	SEBI Confirmation Letter
1	NSE/COMP/SURR/669/25	Surrendered Membership	TOTAL	31-Aug-2018			Download

Segmental Surrender Stages:

When Member Files an application for surrender, it goes through various Approval Stages at the Exchange/SEBI and for every Approval Stage an **email** will be sent to the Member. At the same time, member can see the Status of application under “**Surrender MIS**”.

The various approval stages w.r.t. segmental surrender application are listed as below.

1. Application submitted
2. Scrutiny of Physical application
3. Disabled (Disablement on trading platform)
4. NOC floated NOC Received
5. Surrender Approved (Surrender Approved by Exchange)
6. Surrendered Membership (Surrender Approved by SEBI)


1. Application submitted: When Exchange Approves the Application submitted, the status becomes 'Application submitted'. Member will be receiving a mail with a covering letter attached. Member has to affix the duly signed covering letter on the physical set of documents and send it to the Exchange.

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0317/24	Surrender Stages	Select
<input type="button" value="Search"/> <input type="button" value="Reset"/>			


Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	Application submitted	SEGMENTAL	Capital Market		Your scanned documents pertaining to the application for Total Surrender membership of Capital Market, Currency derivatives, Futures and options Segments has been verified by the Exchange with reference no :reqNo You are required to send the original set of documents alongwith the duly signed covering letter attached herewith to NSE- Membership Compliance Department, Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai, 400051. In case of any queries/ clarifications, please contact us on 1800220051 or email us at :Abcd@nse;

2. Scrutiny of Physical application: Once the physical set of documents are received by the Exchange and on successful scrutiny of the same, the status becomes "Scrutiny of Physical application".



Member Code : 12345

Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0317/24	Surrender Stages	Select
<input type="button" value="Search"/> <input type="button" value="Reset"/>			

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	Scrutiny of Physical application	SEGMENTAL	Capital Market		

3. Disabled: When, the Exchange disables the member on trading platform on that particular segment, the status becomes "Disabled". For members who have never been enabled on that particular segment, this stage will not be visible.

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0317/24	Surrender Stages	Select

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	Disabled	SEGMENTAL	Capital Market		

4. **NOC floated and NOC Received:** When the Exchange seeks internal NOCs from all the respective departments, the status becomes “NOC Floated” and when NOCs are received from all the respective departments, the status becomes “NOC Received”



Member Code : 12345

Member Name : TEST.


[Home](#)
[Master](#)
[Compliance](#)
[Trade](#)
[Membership](#)

Welcome 12345

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0317/24	Surrender Stages	Select

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	NOC floated	SEGMENTAL	Capital Market		

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0317/24	Surrender Stages	Select

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	NOC Received	SEGMENTAL	Capital Market		

5. **Surrender Approved:** After receiving all the internal NOCs, once the Exchange approves the surrender, the status becomes “Surrender Approved”

Member Code : 12345 Member Name : TEST.

Member Name: TEST. Member Code: 12345

Request Ref. No.: NSE/COMP/0317/24 Surrender Stages: Select

Search Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	Surrender Approved	SEGMENTAL	Capital Market		aa

Further, on approval of surrender by the Exchange, the member will receive the surrender approval letter on his mentioned mail address and can also download the surrender approval letter on ENIT:

Member Code : 12345 Member Name : TEST.


Member Name: TEST. Member Code: 12345

Request Ref. No.: NSE/COMP/0217/12 Surrender Stages: SURRENDER APPROVAL


Search Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Surrender Approval Date	Edit	Remark	Surrender Approval Letter
1 NSE/COMP/0217/12	Surrender Approved	SEGMENTAL		28-Apr-2017		aa	Download

6. **Surrendered Membership:** On receipt of SEBI approval, the status becomes “Surrendered Membership”



Member Code : 12345
Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name

TEST.

Member Code

12345

Request Ref. No.

NSE/COMP/0317/24

Surrender Stages


Select

Search


Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/0317/24	Surrendered Membership	SEGMENTAL	Capital Market	

Further, on approval of surrender by SEBI, the member will receive the letter issued by the Exchange confirming SEBI approval on his mentioned mail address and can also download the letter on ENIT:



Member Code : 12345
Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name

TEST.

Member Code

12345

Request Ref. No.

NSE/COMP/0217/12

Surrender Stages

SEBI CONFIRMATION

Search

Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Surrender Approval Date	Edit	Remark	Surrender Approval Letter
1	NSE/COMP/0217/12	Surrender Membership	SEGMENTAL	28-Apr-2017		aa	Download

Clearing/Self-Clearing Membership Surrender Stages:

When Member Files an application for surrender, it goes through various Approval Stages at the Exchange/SEBI and for every Approval Stage an **email** will be sent to the Member. At the same time, member can see the Status of application under “**Surrender MIS**”.

The various approval stages w.r.t. clearing/self-clearing membership surrender application are listed as below.

1. Application submitted
2. Scrutiny of Physical application
3. NOC floated and NOC Received
4. Surrender Approved
5. Surrendered Membership

1. Application submitted: When Exchange Approves the Application submitted, the status becomes ‘Application submitted’. Member will be receiving a mail with a covering letter


attached. Member has to affix the duly signed covering letter on the physical set of documents and send it to the Exchange.

Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0217/12	Surrender Stages	Select


Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>
1 NSE/COMP/0217/12	Application submitted	CLEARING MEMBERSHIP	Capital Market		Your scanned documents pertaining to the application for Total Surrender membership of Capital Market, Currency derivatives, Futures and options Segments has been verified by the Exchange with reference no : reqNo You are required to send the original set of documents alongwith the duly signed covering letter attached herewith to NSE- Membership Compliance Department, Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai, 400051. In case of any queries/ clarifications, please contact us on 1800220051 or email us at :Abcd@nse;

2. Scrutiny of Physical application: Once the physical set of documents are received by the Exchange and on successful scrutiny of the same, the status becomes “Scrutiny of Physical application”.



Member Code : 12345

Member Name : Test.




Master ▾ Compliance ▾ Trade ▾ Membership ▾
Welcome 12345 ▾


Surrender MIS

Member Name	TEST.	Member Code	12345
Request Ref. No.	NSE/COMP/0217/12	Surrender Stages	Select

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>
1 NSE/COMP/0217/12	Scrutiny of Physical application	CLEARING MEMBERSHIP	Capital Market		

3. NOC floated and NOC Received: When the Exchange seeks internal NOCs from all the respective departments, the status becomes “NOC Floated” and when NOCs are received from all the respective departments, the status becomes “NOC Received”



Member Code : 12345
Member Name : TEST.


Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name TEST. Member Code 12345
Request Ref. No. NSE/COMP/0317/24 Surrender Stages Select

Search Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	NOC floated	SEGMENTAL	Capital Market		


Surrender MIS


Member Name TEST. Member Code 12345
Request Ref. No. NSE/COMP/0317/24 Surrender Stages Select

Search Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0317/24	NOC Received	SEGMENTAL	Capital Market		

4. **Surrender Approved:** After receiving all the internal NOCs, once the Exchange approves the surrender, the status becomes “Surrender Approved”



Member Code : 12345
Member Name : Test.


Master Compliance Trade Membership
Welcome 12345

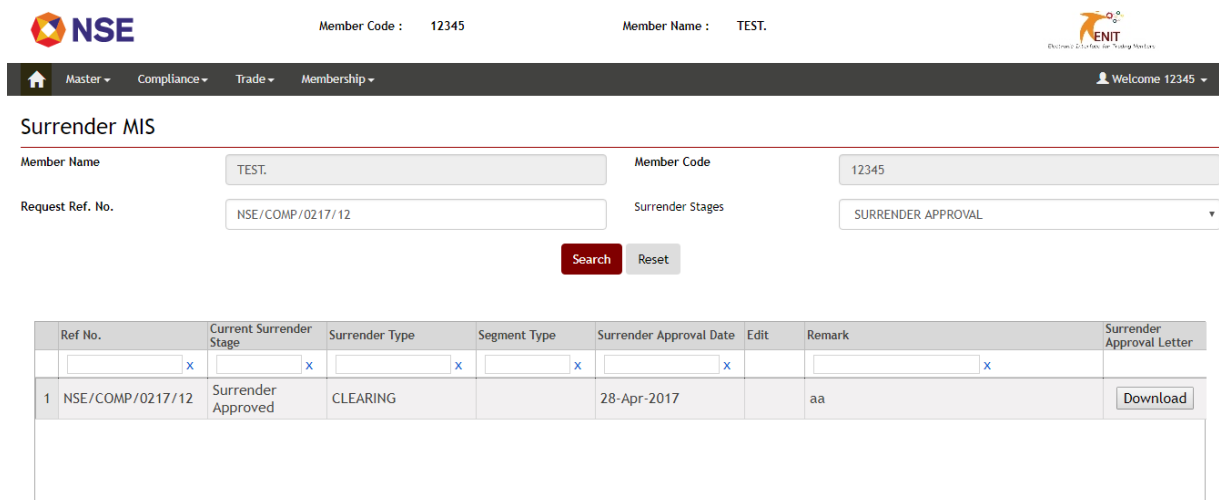
Surrender MIS

Member Name TEST. Member Code 12345
Request Ref. No. NSE/COMP/0217/12 Surrender Stages Select

Search Reset

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1 NSE/COMP/0217/12	Surrender Approved	CLEARING MEMBERSHIP	Capital Market		

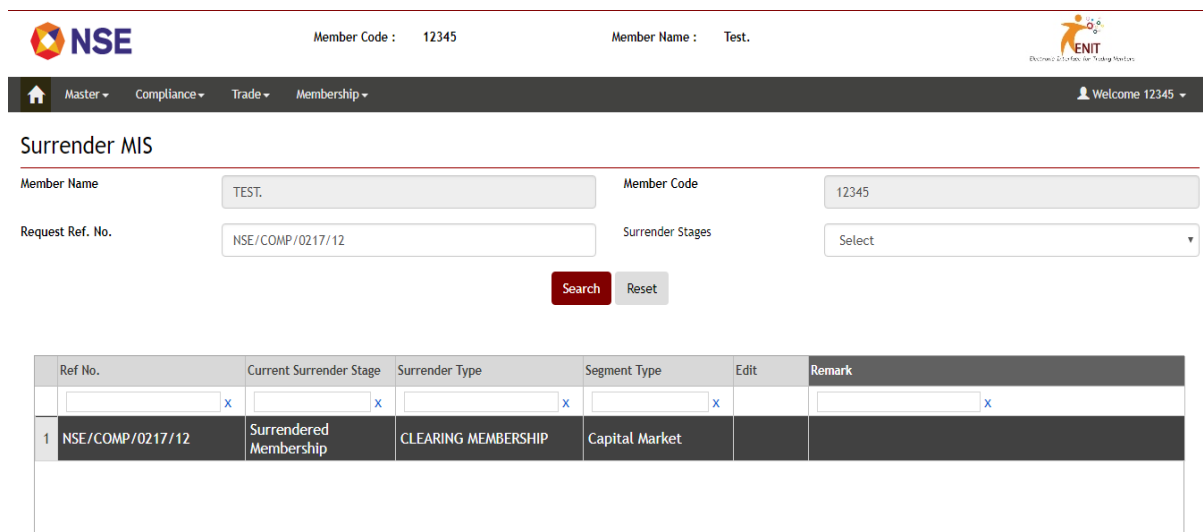
Further, on approval of surrender by the Exchange, the member will receive the surrender approval letter on his mentioned mail address and can also download the surrender approval letter on ENIT:



The screenshot shows the NSEIL Surrender MIS interface. At the top, the NSE logo is on the left, and the member details (Member Code: 12345, Member Name: TEST.) are in the center. The ENIT logo is on the right. Below the header, there is a navigation bar with links: Master, Compliance, Trade, and Membership. The main heading is 'Surrender MIS'. Below this, there are input fields for Member Name (TEST.), Member Code (12345), Request Ref. No. (NSE/COMP/0217/12), and Surrender Stages (SURRENDER APPROVAL). There are 'Search' and 'Reset' buttons. Below the form is a table with columns: Ref No., Current Surrender Stage, Surrender Type, Segment Type, Surrender Approval Date, Edit, Remark, and Surrender Approval Letter. The table contains one row with the following data: Ref No. 1, Current Surrender Stage NSE/COMP/0217/12, Surrender Type Surrender Approved, Segment Type CLEARING, Surrender Approval Date 28-Apr-2017, Remark aa, and a Download button for the Surrender Approval Letter.

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Surrender Approval Date	Edit	Remark	Surrender Approval Letter
1	NSE/COMP/0217/12	Surrender Approved	CLEARING	28-Apr-2017		aa	Download


5. **Surrendered Membership:** On receipt of SEBI approval, the status becomes “Surrendered Membership”




The screenshot shows the NSEIL Surrender MIS interface. At the top, the NSE logo is on the left, and the member details (Member Code: 12345, Member Name: TEST.) are in the center. The ENIT logo is on the right. Below the header, there is a navigation bar with links: Master, Compliance, Trade, and Membership. The main heading is 'Surrender MIS'. Below this, there are input fields for Member Name (TEST.), Member Code (12345), Request Ref. No. (NSE/COMP/0217/12), and Surrender Stages (Select). There are 'Search' and 'Reset' buttons. Below the form is a table with columns: Ref No., Current Surrender Stage, Surrender Type, Segment Type, Edit, and Remark. The table contains one row with the following data: Ref No. 1, Current Surrender Stage NSE/COMP/0217/12, Surrender Type Surrendered Membership, Segment Type CLEARING MEMBERSHIP, Remark Capital Market.

Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/0217/12	Surrendered Membership	CLEARING MEMBERSHIP		Capital Market

Further, on approval of surrender by SEBI, the member will receive the letter issued by the Exchange confirming SEBI approval on his mentioned mail address and can also download the letter on ENIT:



Member Code : 12345 Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345

Surrender MIS

Member Name:

Member Code:


Request Ref. No.:

Surrender Stages:


Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Surrender Approval Date	Edit	Remark	Surrender Approval Letter
1	NSE/COMP/0217/12	Surrender Membership	Clearing	28-Apr-2017		aa	<input type="button" value="Download"/>

Deficiencies/Observations in the application

When the Exchange finds any deficiency/observation w.r.t. the surrender application, then the Exchange will raise the same in the current stage of surrender and the same will be visible under remark as “Member Deficiency”. Here, member can edit this request by clicking on Edit icon and can submit the required clarification/document for the deficiency/observation raised by the Exchange as given below:



Member Code : 12345 Member Name : TEST.



Master Compliance Trade Membership
Welcome 12345


Surrender MIS


Member Name:

Member Code:


Request Ref. No.:

Surrender Stages:


Ref No.	Current Surrender Stage	Surrender Type	Segment Type	Edit	Remark
1	NSE/COMP/SURR/669/299	Public notification period	TOTAL		Member Deficiency

 Member can edit and submit the Document which is stated as Deficiency document by admin.

By clicking on submit button member can submit his response:



Member Code : 12345Member Name : TEST.


Electronic & Surfactant for Trading Markets

[Home](#) [Master](#) [Compliance](#) [Trade](#) [Membership](#) Welcome 12345

Surrender MIS

Member Name

Test

Member Code

12345

Request Ref. No.

NSE/COMP/SURR/669/29

Surrender Stage

Ref No.

Current Surrender Sta

1

NSE/COMP/SURR/669/299

Public notification period

Remark Of Deficiency

Reply From Member

Found

Upload Document

Choose File

demo.pdf

Submit

Close