

National Stock Exchange Of India Limited**Department : COMPLIANCE**

Download Ref No: NSE/COMP/44560

Date : June 04, 2020

Circular Ref. No: 48/2020

To All Members,

Sub: Mandatory Insurance Cover for the Period 2020-21

As per SEBI directive dated January 19, 1996 it is mandatory for every trading member to have an insurance cover.

Trading Members are therefore, requested to ensure that their Stock Brokers Indemnity Policy is in order for the period 2020-21 w.e.f. 1st June, 2020. Trading Members are required to submit the details for the same **through ENIT** on or before 31st July, 2020. Further, trading members who hold Stock Brokers Indemnity Policy expiring on any date other than May 31, 2020 will be granted a period of **one month** from the expiry date to submit the details of renewed policy.

Members are required to note that –

1. Submissions of details of Stock Brokers Indemnity Policy is required to be made only in electronic format through ENIT.
2. Procedure for submitting details of Stock Brokers Indemnity Policy in electronic format through ENIT is provided at **Annexure I**.
3. Members opting for the Stock Brokers Indemnity Policy through ANMI and BBF need not submit the details of Stock Brokers Indemnity Policy through ENIT.
4. Failure to submit the details on ENIT within the prescribed timelines, would be treated as non-compliance and attract a levy of late submission charges of Rs.100/- per day till the date of submission of required details.

Trading members are requested to ensure compliance of the above.

For and on behalf of

National Stock Exchange of India Limited

Nipa Simaria

Associate Vice President- Membership Compliance

TelephoneNo.	Email ID
1800 266 0050	compliance_mem@nse.co.in

ANNEXURE – I
USER MANUAL FOR ELECTRONIC UPLOAD OF PROOF OF
STOCK BROKERS INDEMNITY POLICY THROUGH ENITNEW COMPLIANCE'
(Electronic NSE interface for trading members)

To start the 'Electronic Member Interface' portal, Trading Member first needs to login to the Member Portal using the 'User Id, Member Code and Password'.

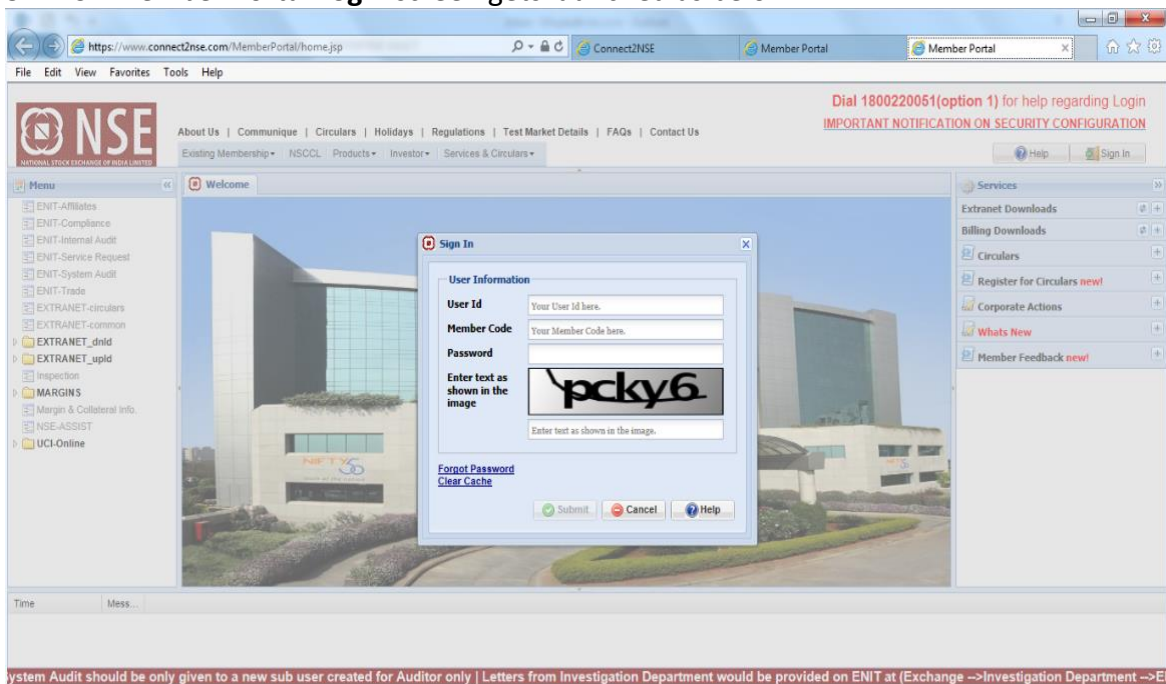
Then he needs to go to 'ENIT NEW COMPLIANCE' tab to get the access. It is advisable to use IE11 or higher versions of IE.

To start the electronic member interface user 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.

3. NSE Member Portal **Login** screen gets launched as below:

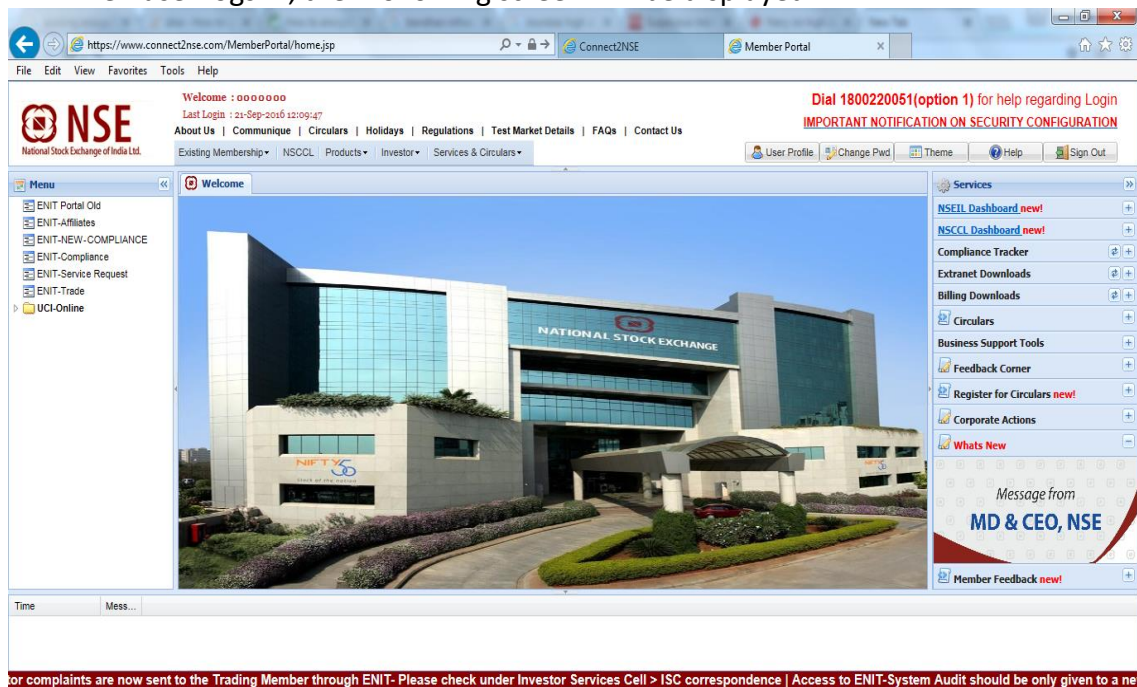


After entering the credentials, user needs to clicks on 'Submit' button to login.

UserId	<ul style="list-style-type: none"> ✓ Type the appropriate Userid 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 user in this field. ✓ This field is numeric only. ✓ This field should accept 5 digit correct member code.

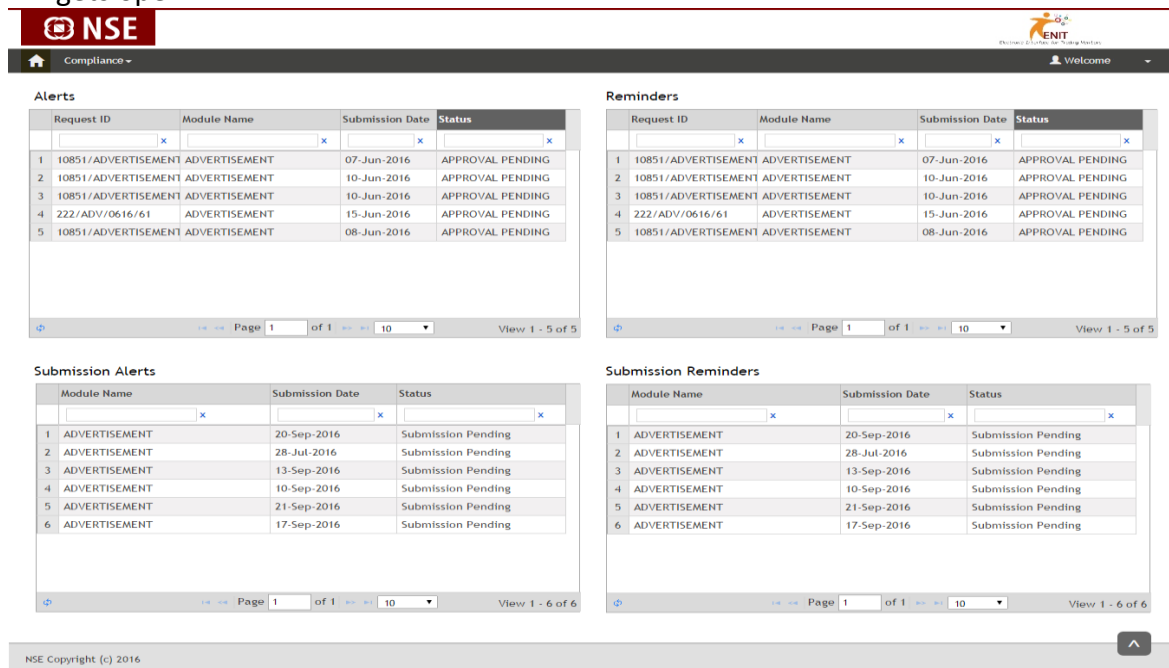
	✓ This field is mandatory.
Password	✓ Type correct password in this field. ✓ This field accepts alphanumeric & special characters. ✓ This field is mandatory.

4. When user logs in, then following screen will be displayed:



or complaints are now sent to the Trading Member through ENIT- Please check under Investor Services Cell > ISC correspondence | Access to ENIT-System Audit should be only given to a

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



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

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

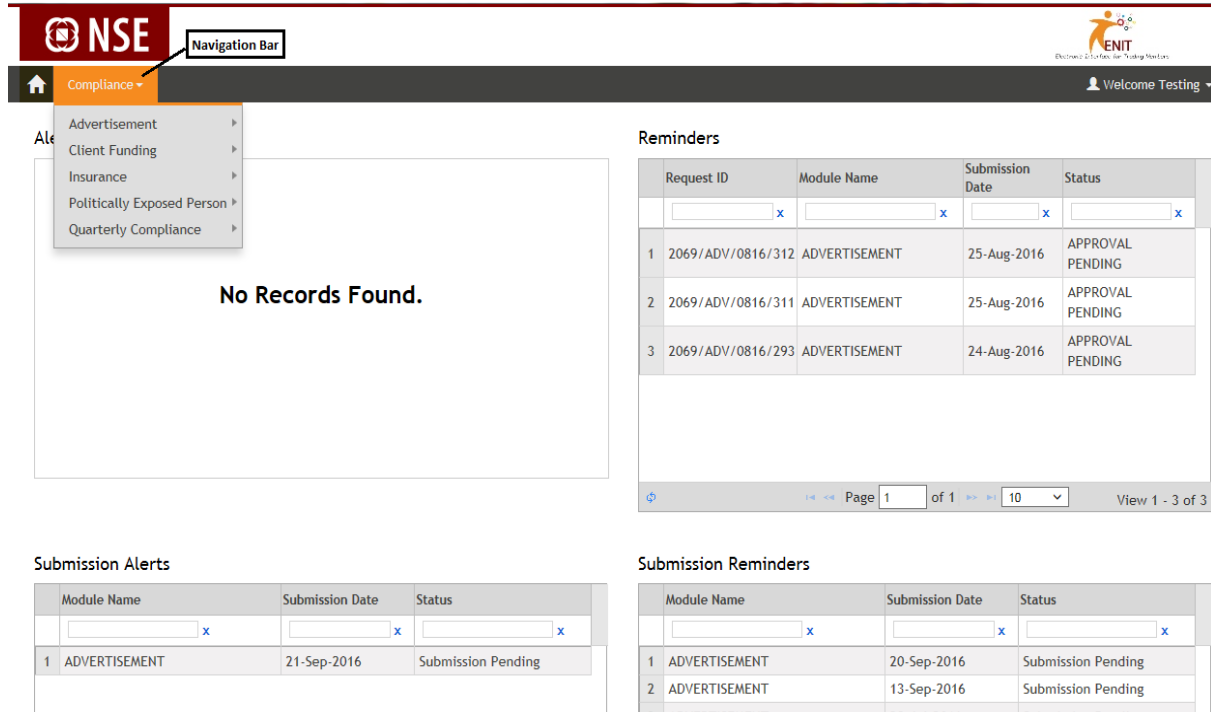
Module Name	Submission Date	Status	
1	ADVERTISEMENT	20-Sep-2016	Submission Pending
2	ADVERTISEMENT	28-Jul-2016	Submission Pending
3	ADVERTISEMENT	13-Sep-2016	Submission Pending
4	ADVERTISEMENT	10-Sep-2016	Submission Pending
5	ADVERTISEMENT	21-Sep-2016	Submission Pending
6	ADVERTISEMENT	17-Sep-2016	Submission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

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

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

ELECTRONIC MEMBER INTERFACE

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



The screenshot displays the NSE Electronic Member Interface (User) with the Compliance module selected. The Navigation Bar shows the following sub-modules: Advertisement, Client Funding, Insurance, Politically Exposed Person, and Quarterly Compliance. The main content area shows 'No Records Found.' for the Compliance module. The Reminders section displays a table of reminders for the Insurance module.

Request ID	Module Name	Submission Date	Status
1 2069/ADV/0816/312	ADVERTISEMENT	25-Aug-2016	APPROVAL PENDING
2 2069/ADV/0816/311	ADVERTISEMENT	25-Aug-2016	APPROVAL PENDING
3 2069/ADV/0816/293	ADVERTISEMENT	24-Aug-2016	APPROVAL PENDING

Submission Alerts

Module Name	Submission Date	Status
1 ADVERTISEMENT	21-Sep-2016	Submission Pending

Submission Reminders

Module Name	Submission Date	Status
1 ADVERTISEMENT	20-Sep-2016	Submission Pending
2 ADVERTISEMENT	13-Sep-2016	Submission Pending

Navigation Bar

The navigation bar displays the various options available in the Electronic Member Interface (User).

On clicking on 'Compliance' module, 'Insurance' module will be available as below:

Insurance module contains below sub modules:

- New Insurance
- Insurance Preview

Compliance

INSURANCE

Insurance is the protection from the financial loss. An entity which provides the insurance is known as 'Insurer or Insurance Company'. A person or the entity who buys the insurance is known as 'Insured or Policy Holder'. 'Premium' is the amount to be paid for the contract of insurance.

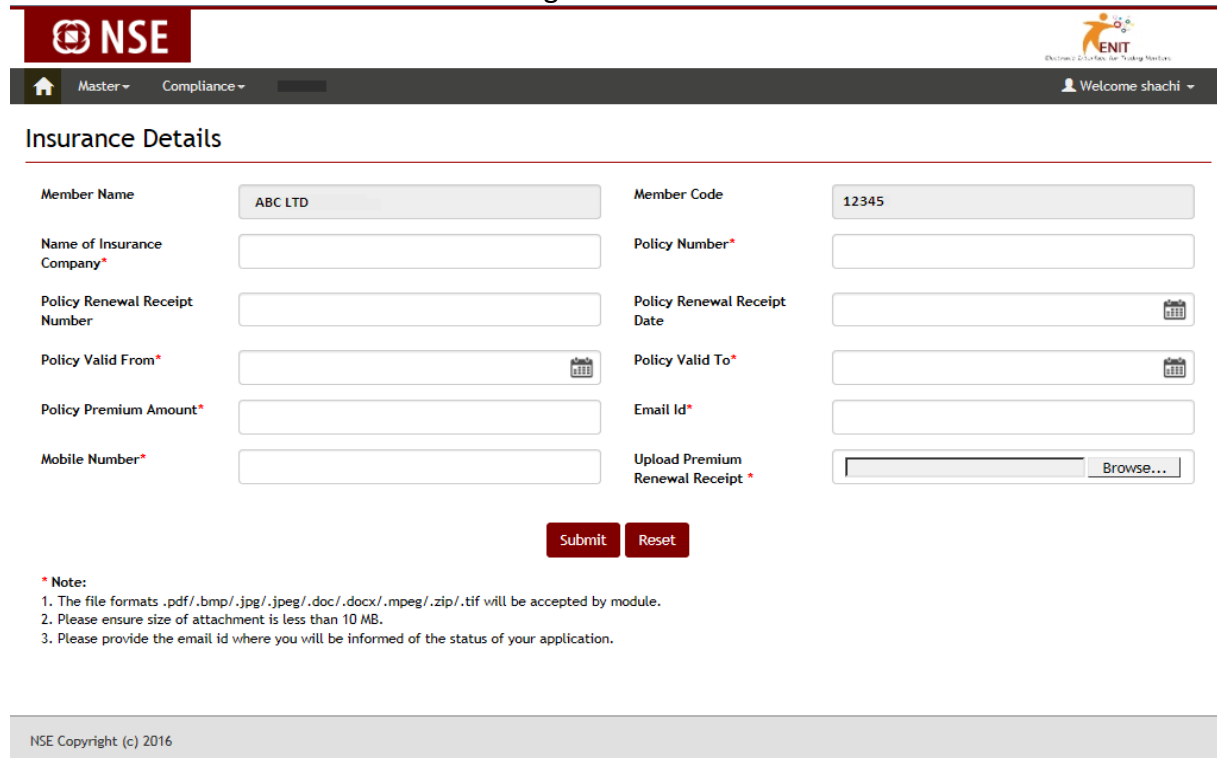
When policy gets issued, insured will get the policy number.

New Insurance

[A] Open 'New Insurance' form:

1. Login with correct member credentials
2. Click on 'Compliance'
3. Go to 'Insurance'
4. Select 'New Insurance'
5. Click on it

The below screen for New Insurance will get launched:



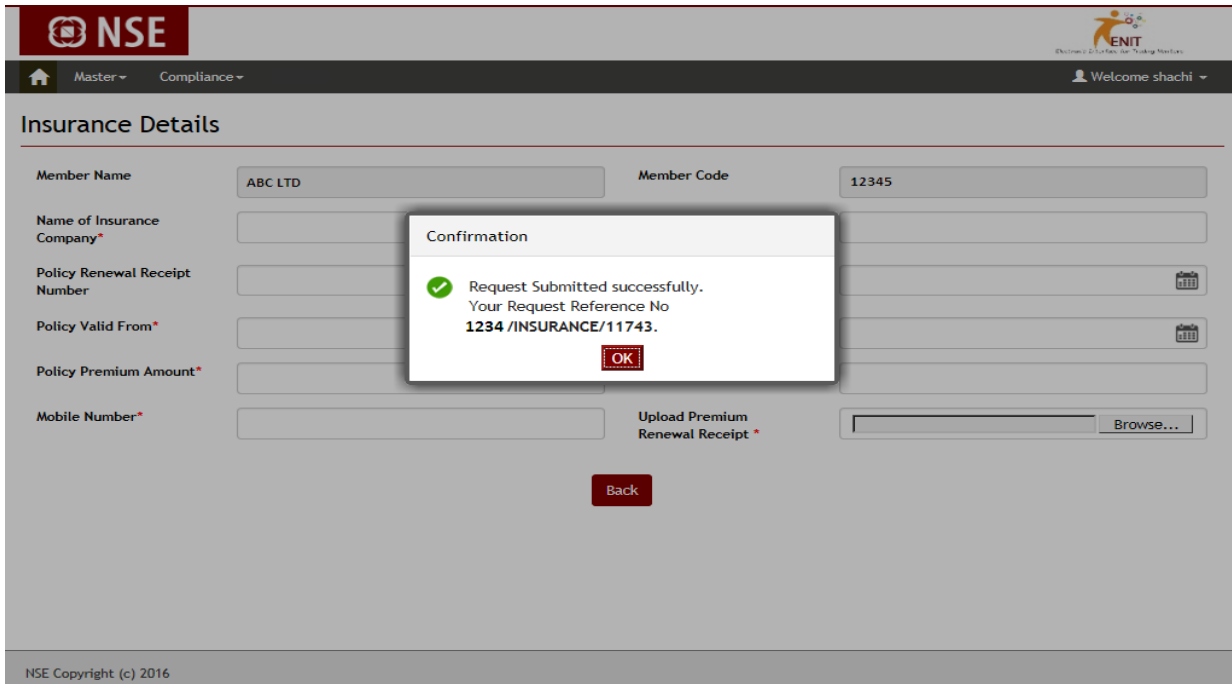
The screenshot shows the NSE Insurance Details form. The header includes the NSE logo and navigation links for Master, Compliance, and Insurance. The form fields are organized into two columns. The first column contains fields for Member Name (ABC LTD), Name of Insurance Company*, Policy Renewal Receipt Number, Policy Valid From* (with a calendar icon), Policy Premium Amount*, and Mobile Number*. The second column contains fields for Member Code (12345), Policy Number*, Policy Renewal Receipt Date (with a calendar icon), Policy Valid To* (with a calendar icon), Email Id*, and Upload Premium Renewal Receipt* (with a file upload button labeled 'Browse...'). Below the form are 'Submit' and 'Reset' buttons. A note at the bottom states: '* Note: 1. The file formats .pdf/.bmp/.jpg/.jpeg/.doc/.docx/.mpeg/.zip/.tif will be accepted by module. 2. Please ensure size of attachment is less than 10 MB. 3. Please provide the email id where you will be informed of the status of your application.'

The fields which are marked with * mark are mandatory to fill. This form contains text, alphanumeric, numeric, calendar, upload fields. It will have 'Submit & Reset' buttons. Here, the **Member Name** and **Member Code** will be auto populated and hence non editable.

[B] Submitting the Insurance details:

1. Enter Name of Insurance Company.
2. Enter Policy Number.
3. Enter Policy Renewal Receipt Number.[Non mandatory field]
4. Select Policy Renewal Receipt Date using the calendar.[Non mandatory field]
5. Select Policy Valid from & to Date using the calendar.
6. Enter Policy Premium Amount.
7. Enter correct Email Id.
8. Enter correct Mobile Number.
9. Upload the Premium Renewal Receipt.
10. Submit.

On submitting all details successfully, successful alert with Request Reference Number will be displayed as below:



Insurance Details

Member Name: ABC LTD Member Code: 12345

Name of Insurance Company*

Policy Renewal Receipt Number

Policy Valid From*

Policy Premium Amount*

Mobile Number*

Upload Premium Renewal Receipt * Browse...

Back

Confirmation

Request Submitted successfully.
Your Request Reference No
1234 /INSURANCE/11743.

OK

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The Reference No. format is “MemberCode/INSURANCE/Unique Request No.”

‘Name of Insurance Company’ will accept only alphanumeric characters.

‘Policy Number’ accepts accept only numbers.

‘Policy Renewal Receipt Number’ accepts alphanumeric characters.

‘Policy Premium Amount’ accepts only numbers. It will not accept any alphabets & special characters.

‘Email id’ field will accept only the correct email ids in the following format –

name@domainname.com or name@domainname.co.in

User has to provide the correct email id because the status of the submitted application will be sent on it.

‘Mobile No’ field will not accept any alphabet or special character. It will not also accept less than 10 digit number.

User is able to upload only following formats which will be less than 10MB in size :

- .pdf
- .bmp
- .jpg
- .jpeg
- .doc
- .docx
- .mpeg
- .zip
- .tif

‘Reset’ button will reset the data to the default blank values/options.

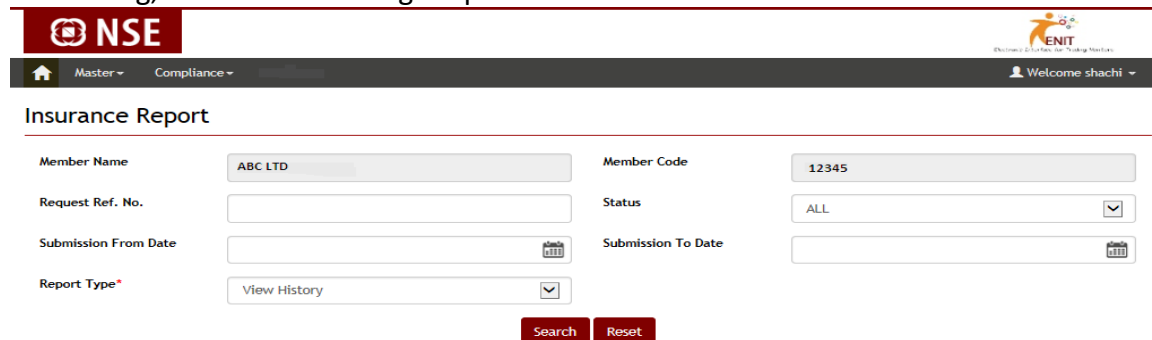
Insurance Preview

Using this module, user can view/export all his new & old Insurance Details submitted.

[A] Open Insurance Preview screen:

1. Login with correct member credentials
2. Click on 'Compliance'
3. Go to 'Insurance'
4. Select 'Insurance Preview'
5. Click on it

On clicking, below screen will get open:



The screenshot shows the 'Insurance Report' interface. At the top, there's a header with the NSE logo and navigation tabs for 'Master' and 'Compliance'. Below this, the 'Insurance Report' title is displayed. The form contains several input fields: 'Member Name' (pre-filled with 'ABC LTD'), 'Member Code' (pre-filled with '12345'), 'Request Ref. No.' (empty), 'Status' (dropdown menu with 'ALL' selected), 'Submission From Date' (calendar icon), 'Submission To Date' (calendar icon), and 'Report Type' (dropdown menu with 'View History' selected). At the bottom of the form, there are 'Search' and 'Reset' buttons.

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Here, **Member Name** & **Member Code** fields will be auto populated & non editable.

'Request Ref.No.' field accepts alphanumeric & / special character.

'Submission from & to Date' is a calendar type & user can select the appropriate date using it.

'Status' is a dropdown list & must contain following options:

- All
- New
- Revised
- Not Approved
- Approved

'Record Type' is a dropdown list and contains options as:



- View Current
- View History

'Reset' button reset the data to the default options/values.

'Search' button helps user to fetch the report on the screen.

When user clicks on the 'Search' button, a default MIS report will be displayed along with an

'Export' hyperlink as follows:

Master
Compliance

Welcome shachi

Insurance Report

Member Name

Member Code

Request Ref. No.

Status

Submission From Date

Submission To Date

Report Type*
[Export](#)

Search



Reset

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
<input type="text" value="12345/INSURANCE/1"/>	<input type="text" value="test"/>	<input type="text" value="123"/>	<input type="text" value="5297840.0"/>	<input type="text" value="01-Jun-2015"/>	<input type="text" value="31-May-2016"/>	<input type="text" value="APPROVED"/>	<input type="text" value="---"/>
1	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
2	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
3	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
4	12345/INSURANCE/1	FINAL TEST	333	333	01-Jun-2016	18-Oct-2016	REVISED
	THE ORIENTAI						Download

‘Export’ helps user to get the details in a CSV format.

[B] MIS Report generation on default fields:

On default, the Report Type will be ‘View History’ & Status will be ‘All’. Hence all submitted Insurance details which are currently submitted by user must be displayed as follow:

Master
Compliance

Welcome shachi

Insurance Report

Member Name

Member Code

Request Ref. No.

Status

Submission From Date

Submission To Date

Report Type*
[Export](#)

Search

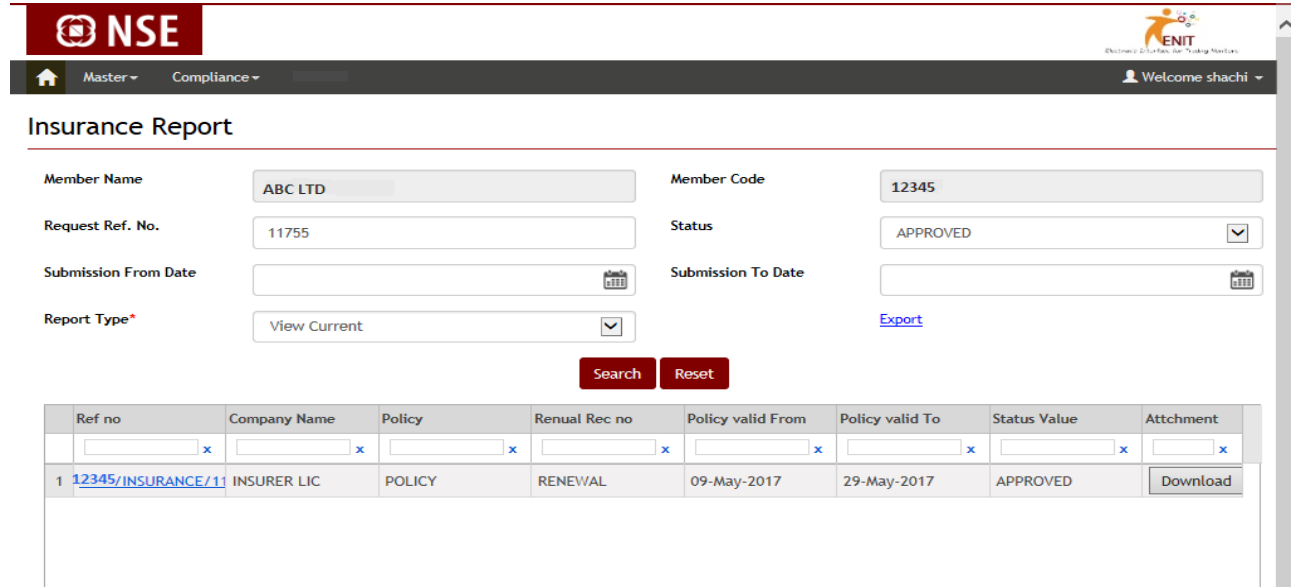
Reset

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
<input type="text" value="12345/INSURANCE/1"/>	<input type="text" value="test"/>	<input type="text" value="123"/>	<input type="text" value="5297840.0"/>	<input type="text" value="01-Jun-2015"/>	<input type="text" value="31-May-2016"/>	<input type="text" value="APPROVED"/>	<input type="text" value="---"/>
1	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
2	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
3	12345/INSURANCE/1	test	123	5297840.0	01-Jun-2015	31-May-2016	APPROVED
4	12345/INSURANCE/1	FINAL TEST	333	333	01-Jun-2016	18-Oct-2016	REVISED
	THE ORIENTAI						Download

[C] MIS Report generation on filtrated fields:

This helps user to get the Insurance Details on his choice of selecting the information. The user can filter using any specific data and can search for the particular Insurance details. In the generated MIS Report, the ‘Request Reference No.’ & ‘Submitted File i.e. Attachment’ are hyperlinks i.e. they are clickable. By default, it will display 10 requests per page. User can sort it to 20 & 30 requests.

On filtration, the screen will be launched as follow:



Insurance Report

Member Name: ABC LTD Member Code: 12345

Request Ref. No.: 11755 Status: APPROVED

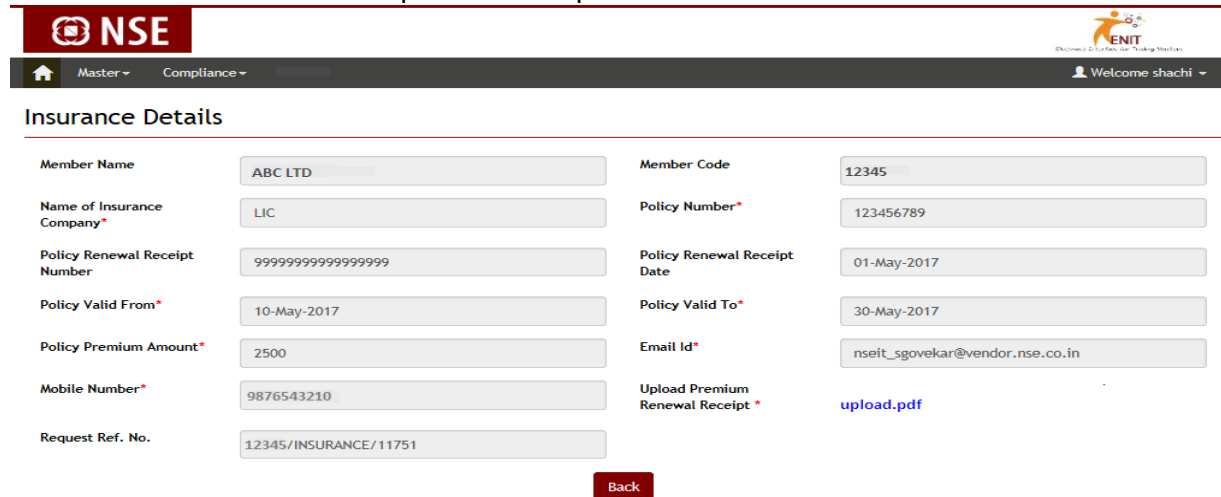
Submission From Date: Submission To Date:

Report Type*: View Current [Export](#)

[Search](#) [Reset](#)

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment	
1	12345/INSURANCE/11755	INSURER LIC	POLICY	RENEWAL	09-May-2017	29-May-2017	APPROVED	Download

When user clicks on any Request Ref.No. , it will take user to the screen where he will find all the submitted details for that particular Request Ref. No. as follow:



Insurance Details

Member Name: ABC LTD Member Code: 12345

Name of Insurance Company*: LIC Policy Number*: 123456789

Policy Renewal Receipt Number: 9999999999999999 Policy Renewal Receipt Date: 01-May-2017

Policy Valid From*: 10-May-2017 Policy Valid To*: 30-May-2017

Policy Premium Amount*: 2500 Email Id*: nseit_sgovekar@vendor.nse.co.in

Mobile Number*: 9876543210 Upload Premium Renewal Receipt*: [upload.pdf](#)


Request Ref. No.: 12345/INSURANCE/11751


[Back](#)

Here, all the previously submitted details are visible but are disabled. User can download the related attachment by clicking on it as shown above.

'Back' button navigates user back to the default Insurance Preview scree.

The user can also download the attachment from the Report page by clicking on the 'Attachment' as below:





Electronic Data Interchange for Trading Members

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

Welcome shachi

Insurance Report

Member Name:

Request Ref. No.:

Submission From Date:

Report Type*:

Member Code:

Status:

Submission To Date:

[Export](#)

Search


Reset


Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attchment
<input type="text" value="12345/INSURANCE/11"/>	<input type="text" value="INSURER LIC"/>	<input type="text" value="POLICY"/>	<input type="text" value="RENEWAL"/>	<input type="text" value="09-May-2017"/>	<input type="text" value="29-May-2017"/>	<input type="text" value="APPROVED"/>	<input type="text" value="Download"/>

Using this 'Download' button, TM can download & save the uploaded document

[D] MIS Report on entering the specific details into the blank search fields:

User can enter any specific details, say Member Code, can also find the related MIS Report.





Electronic Data Interchange for Trading Members

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

Welcome shachi

Insurance Report

Member Name:

Request Ref. No.:

Submission From Date:

Report Type*:

Member Code:

Status:

Submission To Date:

[Export](#)

Search

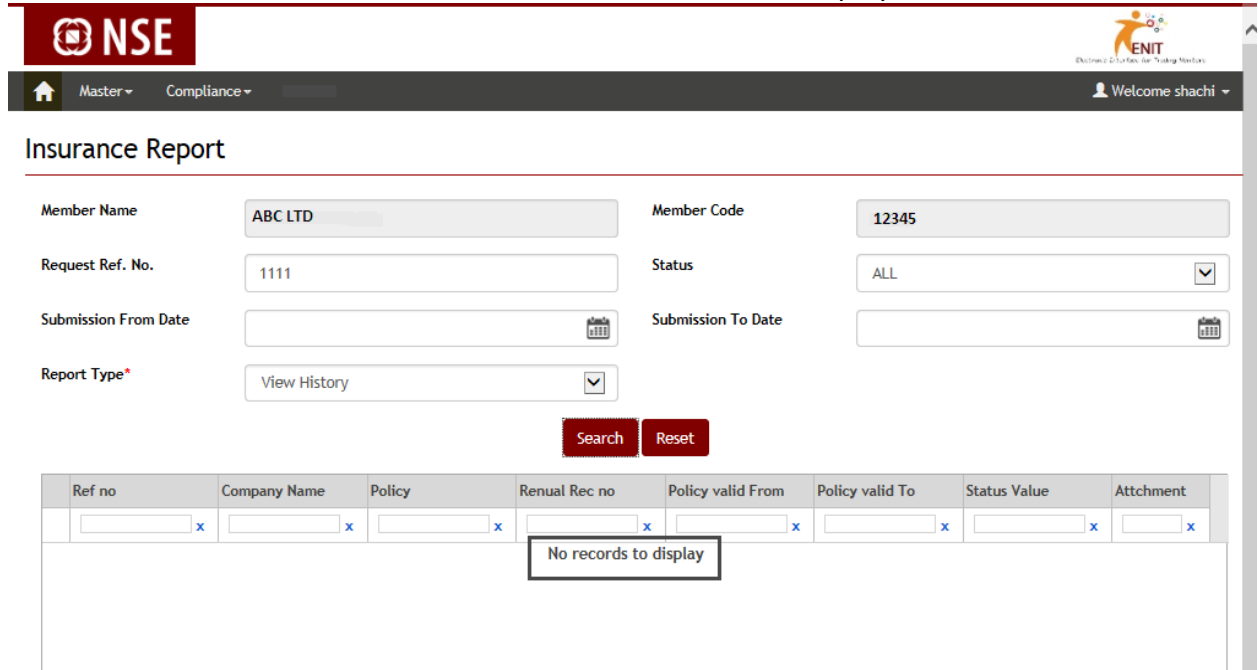
Reset

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attchment
<input type="text" value="12345/INSURANCE/11"/>	<input type="text" value="FINAL TEST"/>	<input type="text" value="333"/>	<input type="text" value="333"/>	<input type="text" value="01-Jun-2016"/>	<input type="text" value="18-Oct-2016"/>	<input type="text" value="REVISED"/>	<input type="text" value="Download"/>

TM can find the details using these blank search boxes

[E] When no record is available on the filtered results:

When no records are available, it will show as 'No records to display' as follow:

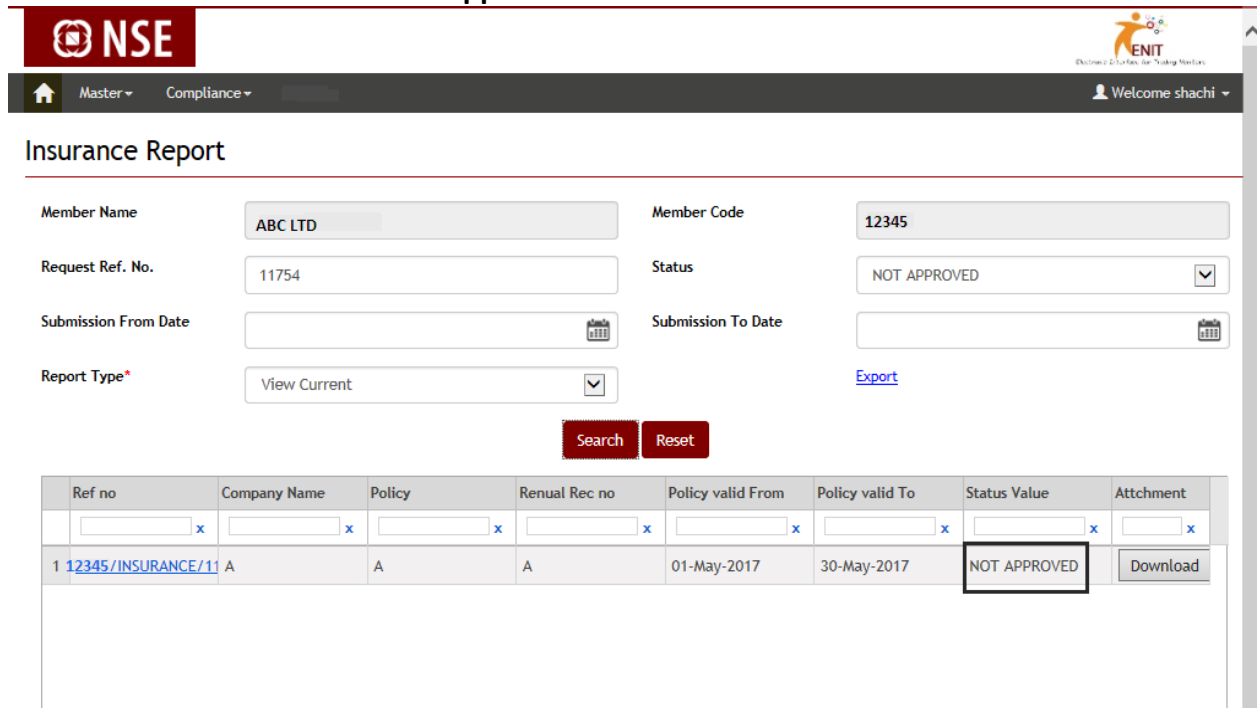


The screenshot shows the NSE Insurance Report interface. The header includes the NSE logo and navigation links. The main form contains fields for Member Name (ABC LTD), Member Code (12345), Request Ref. No. (1111), Status (ALL), Submission From Date, Submission To Date, and Report Type (View History). Below the form are Search and Reset buttons. The table below the form is empty, with a message 'No records to display' centered in the table area.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attchment
No records to display							

[F] When Exchange rejects the request:



When Exchange does not approve the member's submitted request, then member will get intimated with the status as '**Not Approved**' as below:



The screenshot shows the NSE Insurance Report interface. The header includes the NSE logo and navigation links. The main form contains fields for Member Name (ABC LTD), Member Code (12345), Request Ref. No. (11754), Status (NOT APPROVED), Submission From Date, Submission To Date, and Report Type (View Current). Below the form are Search and Reset buttons, and an Export link. The table below the form contains one record with status 'NOT APPROVED'.

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attchment
1	12345/INSURANCE/11	A	A	01-May-2017	30-May-2017	NOT APPROVED	Download

When user opens such rejected request, the mandatory fields will get enabled for him to re-enter the details & hence '**Revise, Reset & Back**' buttons will be available as below:

Master
Compliance
Welcome shachi

Insurance Details

Member Name	ABC LTD	Member Code	12345
Name of Insurance Company*	qeweqw	Policy Number*	21123123
Policy Renewal Receipt Number	345345345	Policy Renewal Receipt Date	04-Feb-2017
Policy Valid From*	08-Feb-2017	Policy Valid To*	31-Oct-2017
Policy Premium Amount*	2500	Email Id*	nseit_sgovekar@vendor.nse.co.in
Mobile Number*	9898565916	Upload Premium Renewal Receipt	<input type="text"/> Browse...
Request Ref. No.	12345/INSURANCE/11060	Remarks	Request is rejected



[168010_VendorDoc \(2\).pdf](#)

Revise
Reset
Back

* Note:

1. The file formats .pdf/.bmp/.jpg/.jpeg/.doc/.docx/.mpeg/.zip/.tif will be accepted by module.
2. Please ensure size of attachment is less than 10 MB.
3. Please provide the email id where you will be informed of the status of your application.

When user clicks on the Revise button, a successful alert with the old reference no will be displayed as:





Master
Compliance
Welcome shachi

Insurance Report

Member Name	ABC LTD	Member Code	12345
Request Ref. No.			ALL
Submission From Date			
Report Type*	View History		

Confirmation


Request Submitted successfully.
Your Request Reference No
12345/INSURANCE/11060.



OK

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When request gets re-submitted, the status will get changed to 'Revised' in the MIS report as below:

[G] When Exchange approves the request:

When Exchange approves the member's submitted request, the status will get updated as Approved & when user opens it, all details will be visible but member will not be able to edit it. Only Back button will be displayed as below:

Master Compliance
Welcome shachi

Insurance Report

Member Name
ABC LTD

Member Code
12345

Request Ref. No.
11756

Status
ALL

Submission From Date

Submission To Date

Report Type*
View Current

[Export](#)

Search

Reset

Ref no	Company Name	Policy	Renual Rec no	Policy valid From	Policy valid To	Status Value	Attachment
1	12345/INSURANCE/11	test company.	ABCD12345	QWERTY12345QWERTY	01-Sep-2014	28-May-2019	APPROVED

Download




Master Compliance
Welcome shachi

Member Name
ABC LTD

Member Code
12345

Name of Insurance Company*
test company.

Policy Number*
ABCD12345

Policy Renewal Receipt Number
QWERTY12345QWERTY

Policy Renewal Receipt Date
30-May-2017

Policy Valid From*
01-Sep-2014

Policy Valid To*
28-May-2019

Policy Premium Amount*
25000

Email Id*
nseit_sgovekar@vendor.nse.co.in

Mobile Number*
9876543210

Upload Premium Renewal Receipt *
digiprajwaladigi_signed.pdf

Request Ref. No.
12345/INSURANCE/11756

Back

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Note – When Exchange takes any action against TM's submitted request, TM will receive the same through the submitted email id.