

## National Stock Exchange of India

### Circular

Department: Compliance	
Download Ref No: NSE/COMP/56766	Date: May 22, 2023
Circular Ref. No: 40/2023	

To All Members,

#### **Sub: Updation of KMP details**

As part of compliance with respect to Enhanced Supervision of Stock Brokers/Depository Participants, members are required to identify their Key Management Personnel (KMP) and update their PAN details on the Exchange platform.

Members are required to note that –

1. Members shall refer to the definition provided under Section 2(51) of the Companies Act, 2013, in order to ascertain Key Management Personnel which include (i) the Chief Executive Officer or the Managing Director or the Manager; (ii) the Company Secretary; (iii) the Whole-time Director; (iv) the Chief Financial Officer; and (v) such other officer as may be prescribed. Further, the Member can also identify and declare any one or more personnel as their KMP(s) from the given list as per their constitution: Directors, Compliance Officer, Proprietor, Partners or any other competent personnel as identified by the member.
2. Details of PAN, mobile no., phone no. and email id are required to be updated against the name of the personnel identified as KMP in ENIT portal (<https://enit.nseindia.com/MemberPortal/>) and the path is ENIT-NEW-Compliance>Compliance>Key Management Personnel>KMP Details. Detailed procedure is provided in Annexure A.
3. Members who have already submitted the details and have no changes to update need not make any further submission. However, members who are yet to submit the details or have changes to be updated are required to comply with the aforementioned requirement latest by **June 30, 2023**.

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## National Stock Exchange of India

### Circular

4. Failure to submit/upload the details within the prescribed timelines, would be treated as non-compliance and attract a levy of late submission charges of Rs. 10,000/- per KMP in accordance with Exchange circular ref. no. NSE/INSP/53530 dated September 2, 2022.
5. Members are also required to note that any change in the aforesaid information/details has to be updated within 7 days of such change. Failure to adhere will be treated as non-compliance.

Members are requested to ensure compliance with the above.

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

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

**Swati Sopare**  
**Senior Manager**

# National Stock Exchange of India

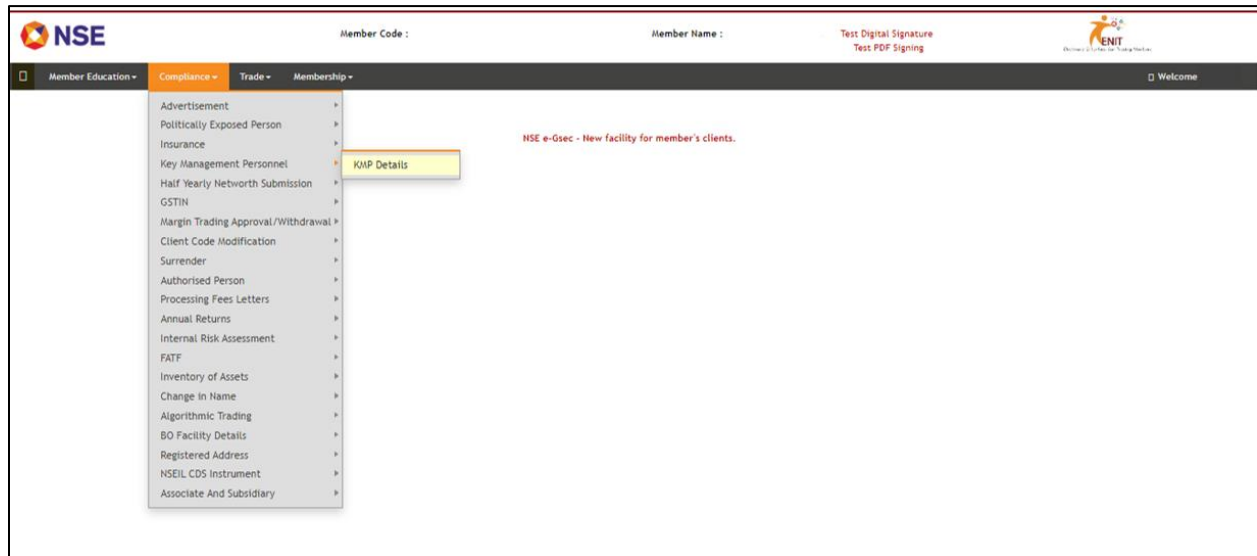
## Circular

### ANNEXURE – A

#### USER MANUAL - Key Management Personnel

##### 1. Navigate to KMP Details

- Login to ENIT - <https://enit.nseindia.com/MemberPortal/> with correct member credentials
- Click on ENIT-NEW-Compliance> Compliance>Key Management Personnel>KMP Details

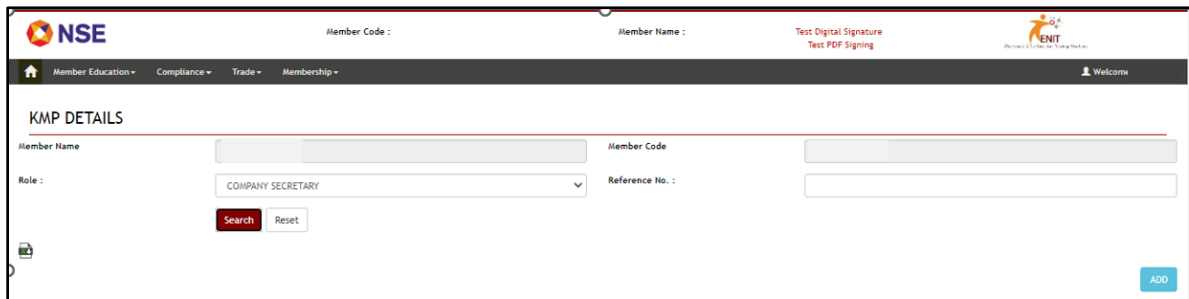


## National Stock Exchange of India

### Circular

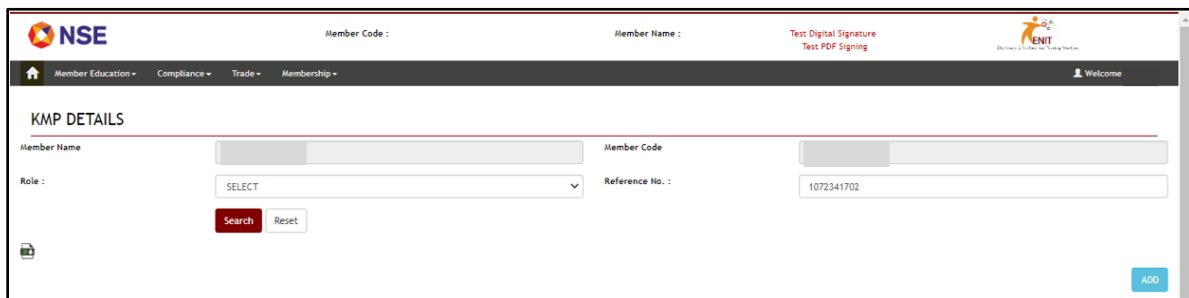
#### 2. Landing Page

- List of the KMP's assigned by the member are listed on the dashboard
- To view a specific KMP, member can select role under the Role dropdown and click on Search



The screenshot shows the NSE KMP DETAILS form. The form includes fields for Member Name, Member Code, Role (dropdown menu), and Reference No. The Role dropdown is currently set to 'COMPANY SECRETARY'. There are 'Search' and 'Reset' buttons below the Role dropdown. An 'ADD' button is located at the bottom right of the form.

- To view a specific KMP through Reference No., update reference no. and Search



The screenshot shows the NSE KMP DETAILS form. The form includes fields for Member Name, Member Code, Role (dropdown menu), and Reference No. The Role dropdown is currently set to 'SELECT'. The Reference No. field is filled with '1072341702'. There are 'Search' and 'Reset' buttons below the Role dropdown. An 'ADD' button is located at the bottom right of the form.

- Reset button will reset the selection done in Role and/or reference no.

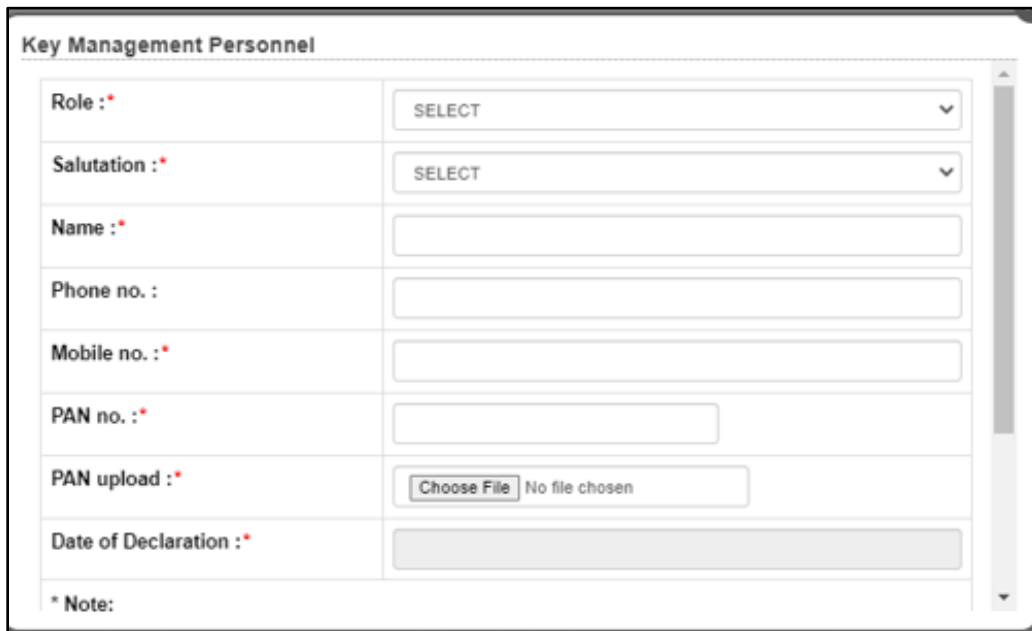
## National Stock Exchange of India

### Circular

#### 3. Add Key Management Personnel – New

- Click on Add button. Below screen will pop up to fill in details of KMP
- Select Role from the dropdown. If Role is selected as “Other”, then specify role in Other's column
- Select Salutation from the dropdown
- Minimum 10 digits is required for mobile number
- Fields marked with an asterisk (\*) are mandatory fields and the “Submit” button will be enabled only when all the mandatory fields are populated.
- Once all mandatory fields are populated, Click on “Submit” button

Note – Please ensure size of attachment is less than 8 MB. The file format .pdf will be accepted by the module.



The screenshot shows a web form titled "Key Management Personnel". The form contains the following fields:

Role : *	SELECT
Salutation : *	SELECT
Name : *	<input type="text"/>
Phone no. :	<input type="text"/>
Mobile no. : *	<input type="text"/>
PAN no. : *	<input type="text"/>
PAN upload : *	<input type="button" value="Choose File"/> No file chosen
Date of Declaration : *	<input type="text"/>


\* Note:

## National Stock Exchange of India

### Circular

Key Management Personnel	
Phone no. :	<input type="text"/>
Mobile no. : *	<input type="text"/>
PAN no. : *	<input type="text"/>
PAN upload : *	<input type="button" value="Choose File"/> No file chosen
Date of Declaration : *	<input type="text"/>
<b>* Note:</b> 1. Please ensure size of attachment is less than 8 MB. 2. The file formats .pdf will be accepted by module.	
<input type="button" value="Submit"/> <input type="button" value="Reset"/>	

- Notification is received that the request is submitted successfully along with the reference number

Confirmation	
	Request submitted successfully. The reference no. is 2069/KMP/0523/10912
<input type="button" value="OK"/>	

## National Stock Exchange of India

### Circular

#### 4. Edit Details of existing KMP

- Click on Edit button
- Role is not editable field, Name, Salutation, phone number, Mobile number, PAN, Pan upload, date of declaration, DIN are editable fields

Key Management Personnel	
Role :*	COMPLIANCE OFFICER
Salutation :*	Mr.
Name :*	ABC
Phone no. :	
Mobile no. :*	1236547896
PAN no. :*	DDDDD5555D <a href="#">edit</a>
PAN upload :*	
Date of Declaration :*	08-Nov-2019

#### 5. Deleting Existing KMP

- Click on the delete button
- System throws the below popup to confirm the deletion:

## National Stock Exchange of India

### Circular



- Click on delete if you wish to proceed
- If you click on Close the record will not be deleted
- Below pop up is received post deletion

