



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

CAPITAL MARKET SEGMENT

Circular No: 038 /2011

Sub: Submission of Application for various NNF products through Electronic mode

Date: July 08, 2011

Download No.: 18314

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No. of Pages: 13

Dear Members,

This is further to Exchange circular no. NSE Circular NSE/CMO/0013/2000 dated May 12 2000, NSE/CMO/0235/2005 dated August 24 2005, and NSE/CMO/025/2011 dated May 17, 2011 on CTCL undertaking and Decision Support Tools / Algorithms for trading through Non-Neat front end respectively.

Trading members have represented to the Exchange to facilitate an early approval of various Non Neat id front end products for trading on the Exchange platform. Accordingly, to facilitate an efficient and speedy approval it is proposed to accept member applications through electronic mode. As such a facility is provided in ENIT to accept the requests for the following NNF applications:

1. CTCL Approval Process
2. Algorithm Approval Process
3. Enablement of Non Neat id

The procedure for submitting the application through ENIT is detailed in the Annexure

Further, it may be noted that digital signature is imperative for accepting the applications through ENIT at the Exchange. Hence, it is mandatory that all the applications sent electronically through NSE ENIT contain digital signature as allotted by the Exchange to Authorized personnel of the trading firm.

The circular is effective from July 12, 2011.

For and on behalf of

National Stock Exchange of India Ltd

Suprabhat Lala
Vice President

Annexure

Member can login to ENIT through corporate manager user id by entering User ID and password



1. NNF Process – CTCL undertaking submission:

CTCL undertaking submission is applicable for members who avail CTCL facility for the first time. Subsequently member is required to submit only CTCL documentation ie Network diagram and Board resolution with each vendor.

- For Members wanting to submit CTCL Undertaking, the user can view the Undertaking Submission option under 'NNF Process'.
- Members are required to fill in the required details as required in the format.

The screenshot shows a web browser window titled "User Module - Microsoft Internet Explorer". The address bar shows "http://www.nseindia.com". The page header includes the NSE ENIT logo and navigation links for Home and Logout. A left sidebar menu lists various options, with "NNF Process" and its sub-option "Undertaking Submission" highlighted with a red circle. The main content area displays a form titled "CTCL UNDERTAKING". Above the form, a note states: "(Note: Document to be stamped for Rs. 300/- or the value prevailing in your State, whichever is higher. Please execute document on Non-Judicial stamp paper/s or on paper franked from Stamp Office/authorised banks)". The form contains a paragraph for the member to fill in: "I / We _____, an individual / a firm registered under the Indian Partnership Act, 1932 / a Company / body corporate incorporated under the Companies Act of 1956 / _____ Act, 19____, and residing at / having our registered office at (hereinafter referred to as the 'Undersigned' which expression shall unless repugnant to the context include his / its successors, assigns and legal representatives) give this Undertaking IN FAVOUR of NATIONAL STOCK EXCHANGE OF INDIA LIMITED, a company incorporated under the Companies Act, 1956 and having its registered office at Exchange Plaza, Bandra-Kurla Complex, Bandra (East), Mumbai 400 051 (hereinafter referred to as 'NSEIL' which expression shall unless repugnant to the context include its successors, assigns and legal representatives)". Below this are two numbered "WHEREAS" clauses. The first clause states: "1. WHEREAS, NSEIL provides inter alia a Computer To Computer Link (hereinafter referred to as the 'CTCL facility' as well as facility to use internet) by which NSEIL provides a facility to its Trading Members to access the trading system of NSEIL." The second clause states: "2. WHEREAS, NSEIL makes available the CTCL / Internet based trading facility to its Trading Members on case to case basis, subject to such terms and conditions as NSEIL specifies from time to time in the Scheme Governing the use of facility relating to CTCL / Internet based trading (hereinafter referred to as the 'CTCL scheme') and one of the conditions is that each trading member willing to avail of the CTCL / internet based trading facility shall execute an undertaking in favour of NSEIL in the format prescribed by NSEIL and agree to abide by the same." At the bottom of the form, it says "Current Status is Not Submitted" and there is a "submit" button.

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Go Links

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NSE ENIT

Home Logout

Print

Users
Exchange
Member
Trade
Pro
Enablement Disablement
Digital Certificate
Tools
Short Selling Disclosure
NNF Process
Undertaking Submission
Admin Report Submission
MIS Report
CTCL Approval
Downloads
Communication Log
Inspection
Internal Audit Report
FAQ
PDF Signing Demo
Accounts
PAN Card Details
Document Management
Disclaimer

(Note: Document to be stamped for Rs. 300/- or the value prevailing in your State, whichever is higher. Please execute document on Non-Judicial stamp paper/s or on paper franked from Stamp Office/authorised banks)

CTCL UNDERTAKING

I / We _____, an individual / a firm registered under the Indian Partnership Act, 1932 / a Company / body corporate incorporated under the Companies Act of 1956 / _____ Act, 19____, and residing at / having our registered office at (hereinafter referred to as the 'Undersigned' which expression shall unless repugnant to the context include his / its successors, assigns and legal representatives) give this Undertaking IN FAVOUR of NATIONAL STOCK EXCHANGE OF INDIA LIMITED, a company incorporated under the Companies Act, 1956 and having its registered office at Exchange Plaza, Bandra-Kurla Complex, Bandra (East), Mumbai 400 051 (hereinafter referred to as 'NSEIL' which expression shall unless repugnant to the context include its successors, assigns and legal representatives)

1. WHEREAS, NSEIL provides inter alia a Computer To Computer Link (hereinafter referred to as the "CTCL facility" as well as facility to use internet) by which NSEIL provides a facility to its Trading Members to access the trading system of NSEIL.

2. WHEREAS, NSEIL makes available the CTCL / Internet based trading facility to its Trading Members on case to case basis, subject to such terms and conditions as NSEIL specifies from time to time in the Scheme Governing the use of facility relating to CTCL / Internet based trading (hereinafter referred to as the "CTCL scheme") and one of the conditions is that each trading member willing to avail of the CTCL / internet based trading facility shall execute an undertaking in favour of NSEIL in the format prescribed by NSEIL and agree to abide by the same.

Current Status is Not Submitted

submit

Members who have already submitted CTCL undertaking and now applying for CTCL through a different vendor, need not furnish CTCL undertaking afresh. However, they are required to furnish the additional details such as name of the vendor, Notarized network diagram and Copy of Board resolution.

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Address Go Links

NSE ENIT Home Logout

- Users
- Exchange
- Member
- Trade
- Pro Enablement Disabement
- Digital Certificate
- Tools
- Short Selling Disclosure
- ▼ NNF Process
 - > Undertaking Submission
 - > Audit Report Submission
 - > MIS Report
 - > CTCL Approval
- Downloads
- Communication Log
- Inspection
- Internal Audit Report
- FAQ
- PDF Signing Demo
- Accounts
- PAN Card Details
- Document Management
- Disclaimer
- Help

Undertaking is already Approved, Please provide additional Vendor name, Network Diagram and Board Resolution

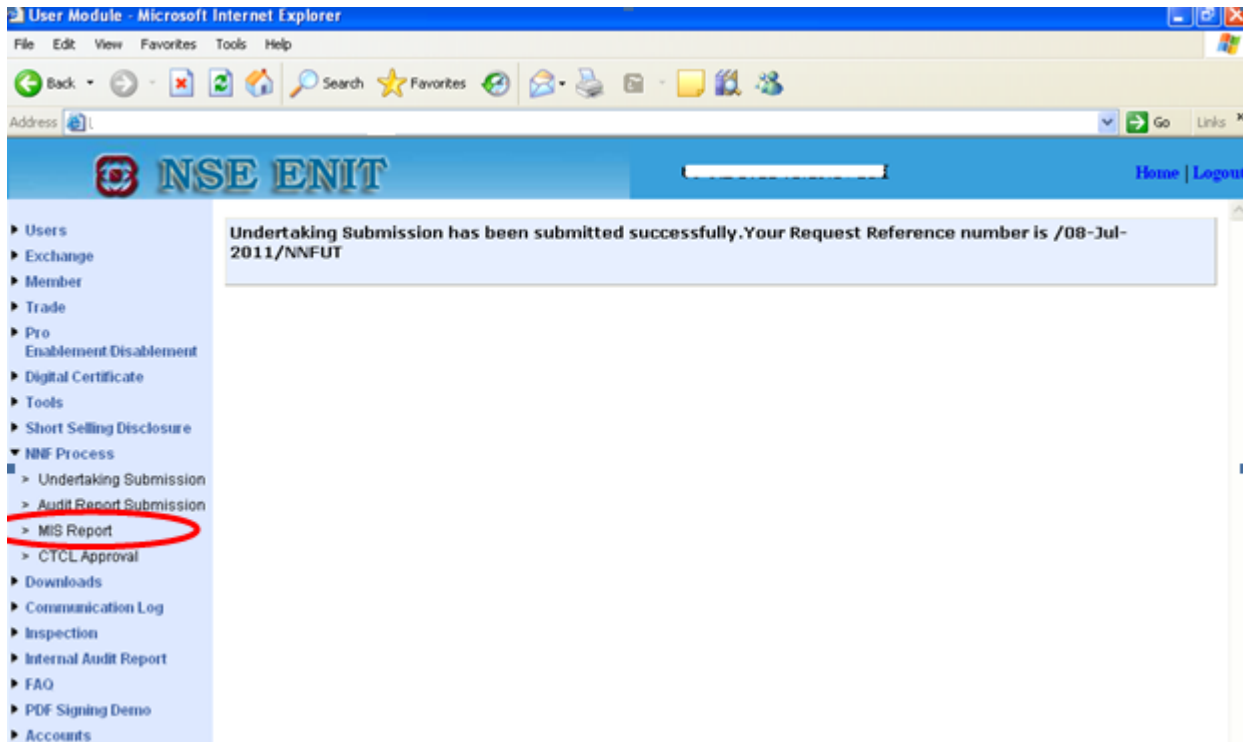
Vendor Name: --Select--

Network Diagram & Board Resolution: Browse...

Submit Reset

On successful submission of the required documents member would receive a reference number for all future correspondence with respect to the request furnished. Members would be able to view the requests with updated status in **MIS report**.

Members are required to submit CTCL undertaking in physical form only after the status of the request in the MIS report is updated from “submitted” to “Documents Awaited”.



2.NNF Process –CTCL approval - In-House CTCL Application

Members who intend to develop CTCL application software through non-empanelled vendor or In-House are required to furnish the application as given below:

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Address Go Links

NSE ENIT 08-Jul-2011 03:00:37 PM Home Logout

Users
Exchange
Member
Trade
Pro Enablement Disablement
Digital Certificate
Tools
Short Selling Disclosure
NNF Process
 > Undertaking Submission
 > Audit Report Submission
 > MIS Report
 > **CTCL Approval**
Downloads
Communication Log
Inspection
Internal Audit Report
FAQ
PDF Signing Demo
Accounts
PAN Card Details
Document Management
Disclaimer
Help

(* Indicates Mandatory)

CTCL Approval

Member Code*:	<input type="text"/>
Member Name*:	<input type="text"/>
CTCL Type*:	<input checked="" type="radio"/> In-House CTCL Application <input type="radio"/> Algo Application
Segment*:	<input checked="" type="checkbox"/> CM <input checked="" type="checkbox"/> F&O <input checked="" type="checkbox"/> CDS
Vendor Name*:	IN-HOUSE <input type="text"/>
Name of Product*:	---SELECT--- New Product <input type="text"/>
Version*:	New Version <input type="text"/>
Additional details to be provided (if any):	<input type="text"/>

Disclaimer

☐ We certify that all the statements are true and correct to the best of our knowledge. We are aware that in case any of the statements are found to be incorrect or false, we are liable for disciplinary action. *

Reset

Certify Data Submit Cancel

Additionally, members are required to provide the write up on the software.

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Home Links

Address: Go

NSE ENIT Home | Logout

CTCL Approval

*** Please note that Demo is required before providing approval for CTCL product
Please submit your Software Standard write up and report your readiness for Demo**

[Download Standardized software write up Annexure](#)

Please Upload Standardized software write up

Software Write up:

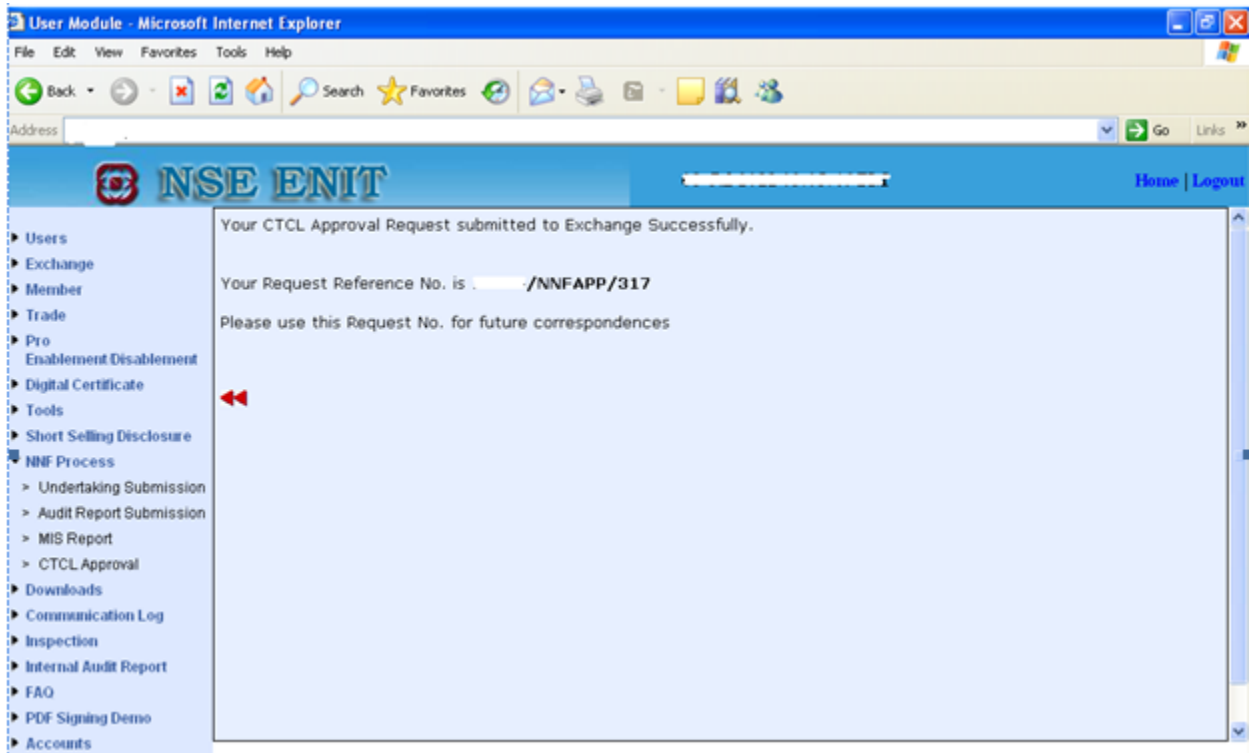
Kindly Attach any additional documents (if any)

1. Additional Attachments if any: - 2. Additional Attachments if any: - 3. Additional Attachments if any: - 4. Additional Attachments if any:

Left Menu:

- Users
- Exchange
- Member
- Trade
- Pro Enablement Disablement
- Digital Certificate
- Tools
- Short Selling Disclosure
- NSE Process
 - Undertaking Submission
 - Audit Report Submission
 - MIS Report**
 - CTCL Approval**
- Downloads
- Communication Log
- Inspection
- Internal Audit Report

On successful submission of the required documents member would receive a reference number for all future correspondence with respect to the request furnished. Members would be able to view the requests with updated status in **MIS report**.



3.NNF Process –CTCL approval - Algo Application

Members desirous of seeking approval for ‘Approved Algorithms’ shall make an application to the Exchange by furnishing the required details as given below:

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail News RSS Feeds

Address Go Links

NSE ENIT 06-08-2011 05:40:27 PM Home Logout

CTCL Approval

(* Indicates Mandatory)

Member Code *	<input type="text"/>
Member Name *	<input type="text"/>
CTCL Type *	<input type="radio"/> In-House CTCL Application <input checked="" type="radio"/> Algo Application
Product Type *	<input checked="" type="radio"/> ALGO
Category *	<input checked="" type="radio"/> CTCL <input type="radio"/> DMA
Tick By Tick (TBT) *	<input checked="" type="radio"/> TBT <input type="radio"/> NON TBT
Sub Category *	<input checked="" type="radio"/> Approved Algo CTCL <input type="radio"/> Non Approved Algo CTCL
Algo Type *	--- SELECT ---
Segment *	<input type="checkbox"/> CM <input type="checkbox"/> F&O <input type="checkbox"/> CDS
Vendor Name *	--Select--
Name of the Algo Strategy *	--Select--
Version *	--Select--

Certify Data Submit Cancel

Left Menu:

- Users
- Exchange
- Member
- Trade
- Pro Enablement/Disablement
- Digital Certificate
- Tools
- Short Selling Disclosure
- NNF Process
 - Undertaking Submission
 - Audit Report Submission
 - Ins Report
 - CTCL Approval**
 - Downloads
- Communication Log
- Inspection
- Internal Audit Report
- FAQ
- PDF Signing Demo
- Accounts
- PAN Card Details
- Document Management
- Disclaimer
- Help

Members desirous of seeking approval for 'Non Approved Algorithms' shall make an application to the Exchange by furnishing the required details as given below:

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Home

Address Go Links

NSE ENIT Home | Logout

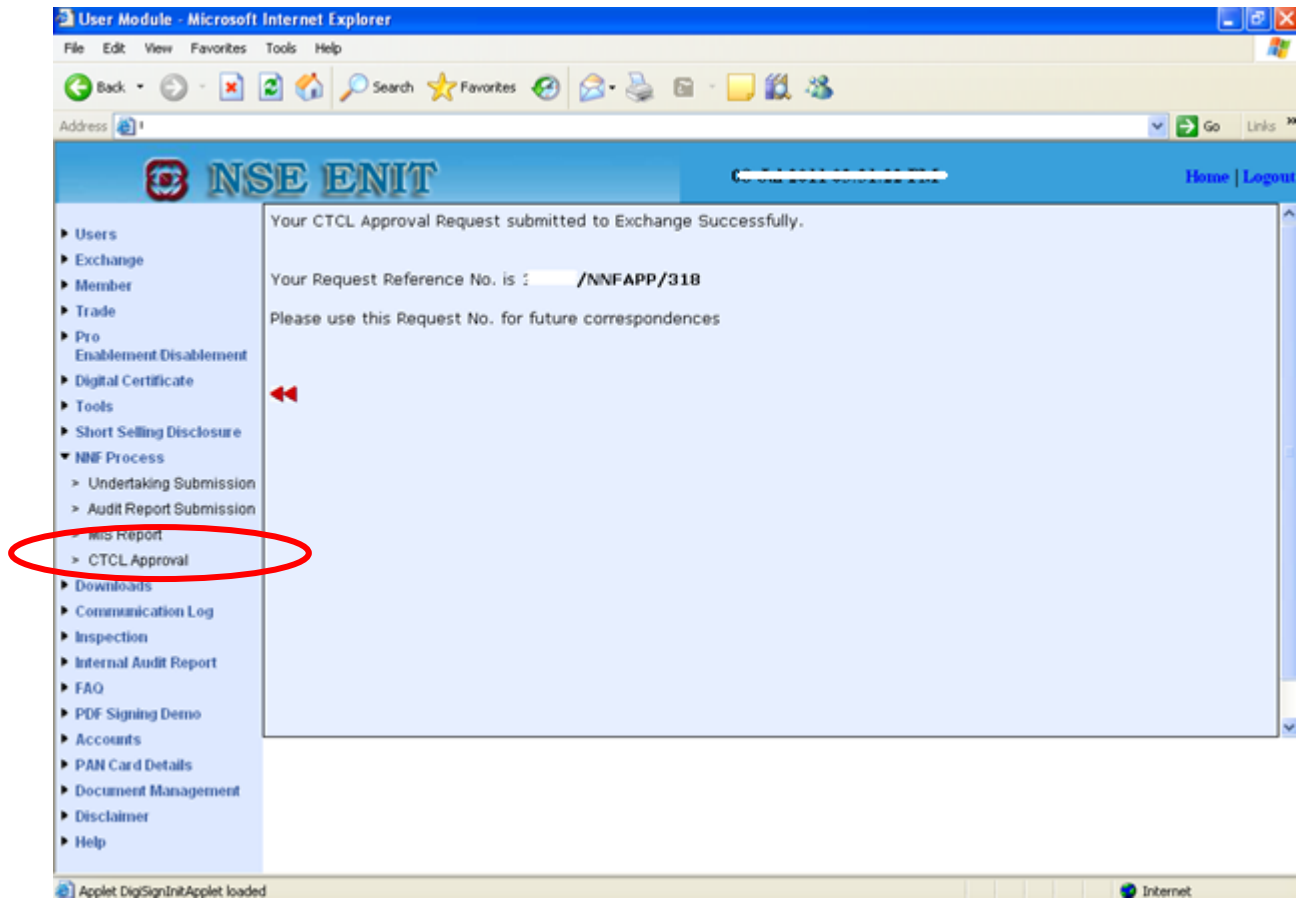
Users
Exchange
Member
Trade
Pro Enablement/Disablement
Digital Certificate
Tools
Short Selling Disclosure
NMF Process
 > Undertaking Submission
 > Audit Report Submission
 > MIS Report
 > **CTCL Approval**
Downloads
Communication Log
Inspection
Internal Audit Report

(* Indicates Mandatory)

CTCL Approval

Member Code *	<input type="text"/>
Member Name *	<input type="text"/>
CTCL Type *	<input type="radio"/> In-House CTCL Application <input checked="" type="radio"/> Algo Application
Product Type *	<input checked="" type="radio"/> ALGO
Category *	<input checked="" type="radio"/> CTCL <input type="radio"/> DMA
Tick By Tick (TBT) *	<input checked="" type="radio"/> TBT <input type="radio"/> NON TBT
Sub Category *	<input type="radio"/> Approved Algo CTCL <input checked="" type="radio"/> Non Approved Algo CTCL
Algo Type *	--- SELECT ---
Segment *	<input type="checkbox"/> CM <input type="checkbox"/> F&O <input type="checkbox"/> CDS
Vendor Details	
Vendor Name *	<input type="text"/>
Vendor Contact Name *	<input type="text"/>
Vendor Contact No *	<input type="text"/>

On successful submission of the required documents member would receive a reference number for all future correspondence with respect to the request furnished. Members would be able to view the requests with updated status in **MIS report**.



4. Procedure for requesting for Non Neat User id without NEAT login:

The procedure for requesting for Non-neat user ids without NEAT login facility is given below:
Member can either request for an altogether a new user id or request for conversion of an existing user id for the above purpose.

The option is provided under:

- Exchange>User request>Without Digital sign>Request for new non-neat user
- Exchange>User request>Without Digital sign>conversion for non-neat user

User Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites

Address Go Links

NSE ENIT Home | Logout

Request for Status Report

Status Of Application

User Request

- Without Digital Sign
 - Request for New User
 - Change User Name
 - Shifting of User ID
 - Disable User ID
 - Double/Tri Lock User ID
 - Change User Status
 - Enable/Disable SLBM
 - Message Configuration
 - Conversion :Neat to Non Neat User
 - Request for New NON NEAT User**
 - NON NEAT Request Status
 - Active NEAT IDs
- With Digital Sign

New Notifications

To update contact details kindly [Click Here](#) [Print](#)

[Application Formats](#)

MEMBERS DETAILS

Name	<input type="text"/>
Old Name	<input type="text"/>
CODE	<input type="text"/>
SEBI Registration no	<input type="text"/>
SEBI Registration Date	<input type="text"/>
Segment	Capital Market And Futures and Options
Year of Incorporation	<input type="text"/>
Year of NSE Membership	<input type="text"/>
Constitution	CORPORATE
Status	<input type="text"/>
Listed	NA

On successful submission of the request member would receive a reference number for all future correspondence with respect to the request furnished. Members would be able to view the requests in **NON-neat Request status**.

