

Quarterly Submission – Process Guide

The facility for providing quarterly submission by trading members has been made available on the Member Surveillance Dashboard (MSD). Link for the same is <https://www.connect2nse.com/SurveillanceDashboard>. For further details regarding accessing of MSD, trading members may refer to NSE circular no. NSE/SURV/44477 dated May 27, 2020, pertaining to Member Surveillance Dashboard.

The quarterly submission shall be enabled on MSD starting from the 1st date from the end of the quarter. Trading members are required to make the submission within 15 days from the end of the quarter, failing which penalty shall be levied.

For the purpose of submission and extraction of reports, two tabs have been provided i.e.

- (i) Reports
- (ii) Exchange Submission

On clicking on the below tab, these options shall be visible:



1. Exchange Submission:

1.1 For quarterly submissions, trading members need to click on 'Exchange Submission' tab on their homepage

1.2 On clicking the tab 'Exchange Submission,' the below page shall open

Exchange Submission

TM

Upload type Select

Quarter Ended

☐ Nil Submit

Upload File Choose File No file chosen

Submit
[Download Sample File](#)

Upload Note

1. Headers and format has to be same per the sample format
2. Only csv file can be uploaded
3. No cell can be blank
4. Date format shall be ddmmyyyy
5. "Alerts referred to Exchange" should be less than or equal to "No. of alerts under process at the beginning of quarter" + "No. of new alerts generated in the quarter"
6. "No. of alerts pending / under process at the end of quarter" should be equal to "No. of alerts under process at the beginning of quarter" + "No. of new alerts generated in the quarter" - "No. of alerts Verified & closed in the quarter"
7. Count of Alerts referred to Exchange should match in Quarterly_Table 1 and Quarterly_Table 2. Any changes made in Table 1 under the header "Alerts referred to Exchange" should be followed by changes in Quarterly_Table 2
8. "No. of alerts under process at the beginning of quarter" should be equal to "No. of alerts pending / under process as per the previous quarter."

1.3 'Upload Type' shall provide a list of tables (Quarterly Table 1/Table2/Table3) that need to be uploaded

1.4 'Quarter Ended' shall provide details of the quarter for which the trading member intends to make submission

1.5 In case the trading member wishes to make NIL submission, the member shall check the 'Nil Submit' checkbox and click on submit

1.6 In case the trading member wishes to upload records, a bulk upload facility has been made available. Sample file format for the same has been provided in 'Download Sample File'

1.7 While uploading the file, trading members may please take a note of the following validations:

- 1.7.1 File structure to be as per the sample format provided
- 1.7.2 Only csv files can be uploaded
- 1.7.3 No cell can be blank
- 1.7.4 Date format shall be ddmmyyyy
- 1.7.5 'Alerts referred to Exchange' should be $\leq$ 'No. of alerts under process at the beginning of quarter' + 'No. of new alerts generated in the quarter'
- 1.7.6 'No. of alerts pending / under process at the end of quarter' should be = 'No. of alerts under process at the beginning of quarter' + 'No. of new alerts generated in the quarter' - 'No. of alerts Verified & closed in the quarter'
- 1.7.7 Count of Alerts referred to Exchange should match in Quarterly_Table 1 and Quarterly_Table 2. Any changes made in Table 1 under the header 'Alerts referred to Exchange' should also be made in Quarterly_Table 2
- 1.7.8 'No. of alerts under process at the beginning of quarter' should be = 'No. of alerts pending / under process as per the previous quarter'

1.8 Trading members may note that unless all three tables are uploaded/ nil submissions made, the reporting will be considered as pending

2. **Reports**

2.1 The details uploaded can be extracted by clicking on the tab 'Reports'

2.2 'Reports' page will open

Reports

TM Code

Export type

Info Alerts

From Date

From date

To Date

To date

Export Criteria

☒ Alert Generation Date

☐ Alert Replied Date

Submit

2.3 The 'Export Type' tab provides a list of reports that can be extracted

2.4 For extraction of quarterly submission, trading members shall select 'Export Type' Quarterly table 1 MIS/ Quarterly Table 2 MIS/ Quarterly table 3 MIS

2.5 Trading members need to select 'From Date' and 'To Date' and click on Submit