

NSE Clearing Limited

Circular

Department: Compliance	
Download Ref No: NCL/CMPL/72710	Date: February 09,2026
Circular Ref. No: 04/2026	

To All Members/Custodians

Sub: Revised FAQ on digital representation of penalty review requests

This has reference to the NCL circular NCL/CMPL/66692 dated February 14, 2025 on FAQ on digital representation of penalty review requests and NCL/CMPL/60651 dated February 12,2024 on Digital representation of Penalty Review Requests- new portal.

NCL vide circular NCL/CMPL/71983 stated that any new penalty review requests raised after December 24, 2025 must be raised in the new portal (<https://ims.connect2nsccl.com/NCLMemberPortal/>). Further, the submission of any new penalty request on old portal has been disabled.

The steps to be followed while submitting Penalty Review request on new portal have been shared as Annexure 1.

Further, the revised FAQ on penalty review request is also attached as Annexure 2.

**For and Behalf of
NSE Clearing Limited**

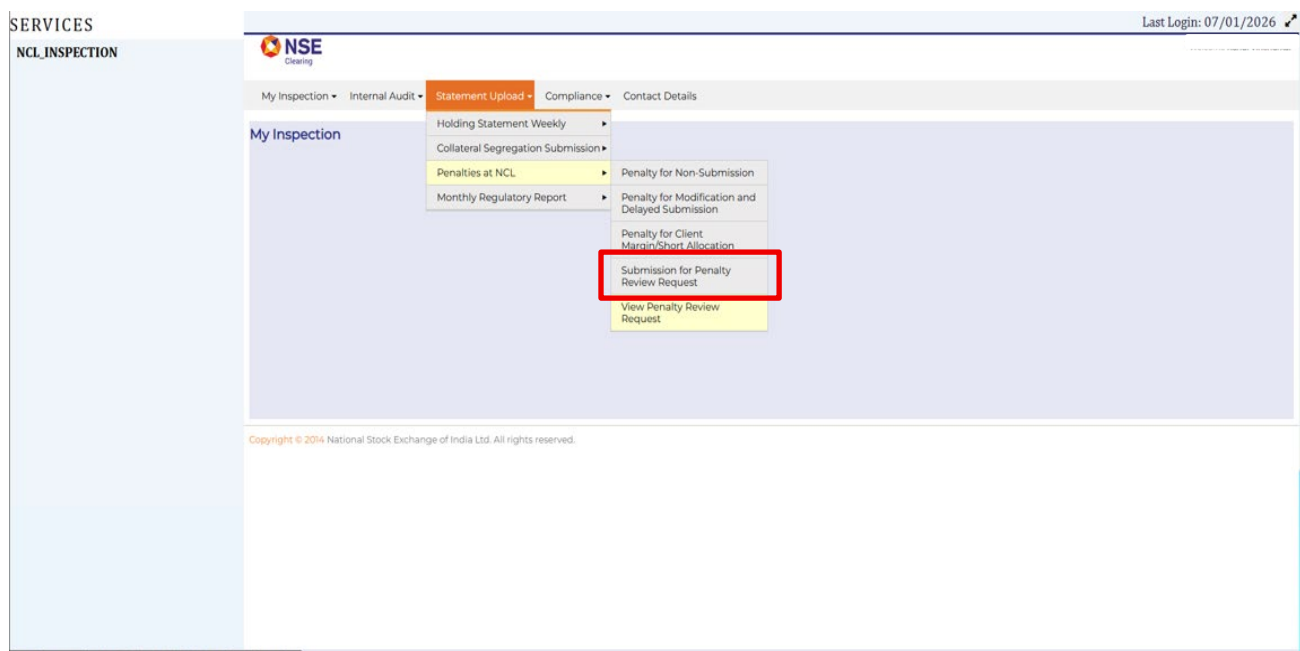
**Divya Potdar
Chief Manager**

Telephone No	Email id
1800 266 0050 IVR 2	membermonitoring@nsccl.co.in

Annexure 1

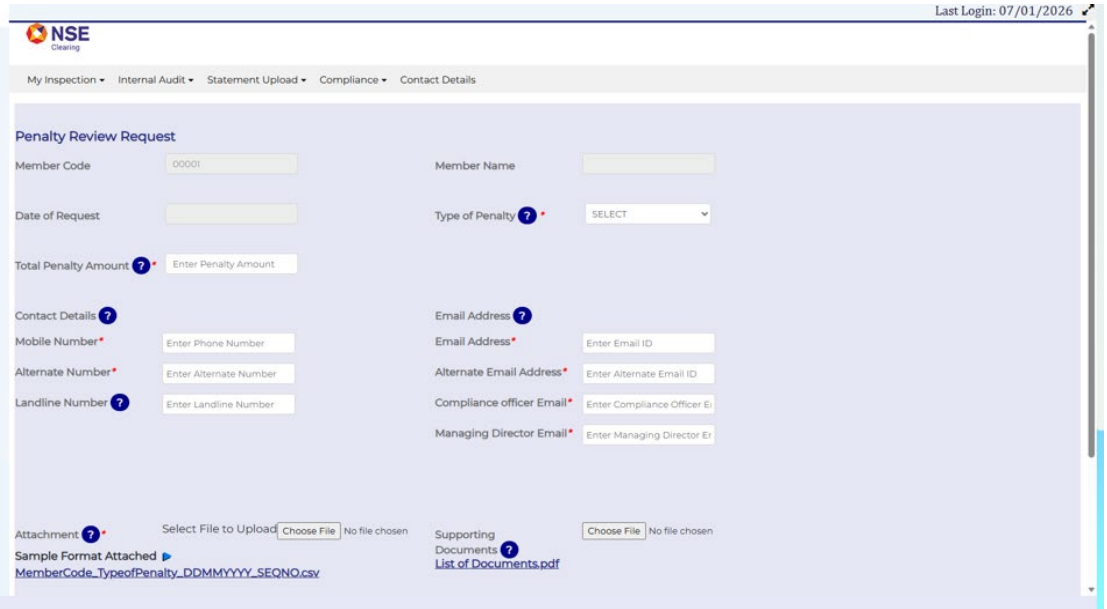
Part A – Steps for submitting Penalty Review Request

1. Login using following link: - <https://ims.connect2nsccl.com/NCLMemberPortal/>
2. Navigation: Login on Inspection Portal → Statement Upload → Penalties at NCL → Submission for Penalty Review Request



3. Upon clicking on “Submission for Penalty Review Request” the below screen shall be displayed:

SERVICES
NCL_INSPECTION



My Inspection Internal Audit Statement Upload Compliance Contact Details

Penalty Review Request

Member Code: 00001 Member Name: Date of Request: Type of Penalty: SELECT


Total Penalty Amount: Enter Penalty Amount

Contact Details: Mobile Number: Enter Phone Number Alternate Number: Enter Alternate Number Landline Number: Enter Landline Number

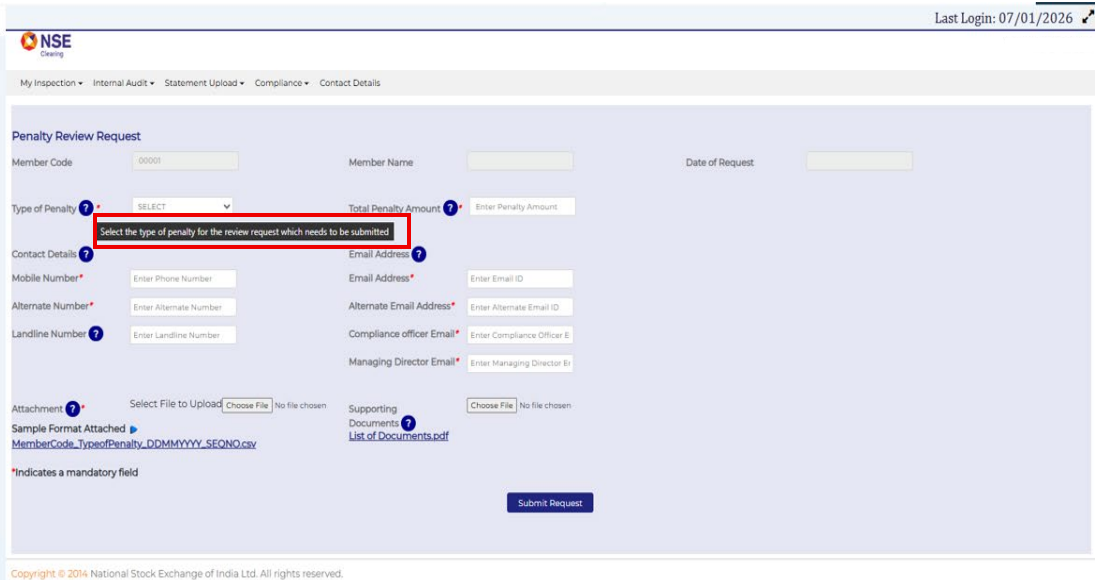
Email Address: Enter Email ID Alternate Email Address: Enter Alternate Email ID Compliance officer Email: Enter Compliance Officer Email Managing Director Email: Enter Managing Director Email

Attachment: Select File to Upload Choose File No file chosen Supporting Documents: Choose File No file chosen

Sample Format Attached: MemberCode_TypeofPenalty_DDMMYYYY_SEQNO.csv List of Documents.pdf

- Member code, Member Name and Date of Request shall be auto populated
- In order to get more information about each field, kindly place the cursor on the tooltip symbol as shown in the  screen below:

SERVICES
NCL_INSPECTION



My Inspection Internal Audit Statement Upload Compliance Contact Details

Penalty Review Request

Member Code: 00001 Member Name: Date of Request: Type of Penalty: SELECT Total Penalty Amount: Enter Penalty Amount

Contact Details: Mobile Number: Enter Phone Number Alternate Number: Enter Alternate Number Landline Number: Enter Landline Number

Email Address: Enter Email ID Alternate Email Address: Enter Alternate Email ID Compliance officer Email: Enter Compliance Officer Email Managing Director Email: Enter Managing Director Email

Attachment: Select File to Upload Choose File No file chosen Supporting Documents: Choose File No file chosen

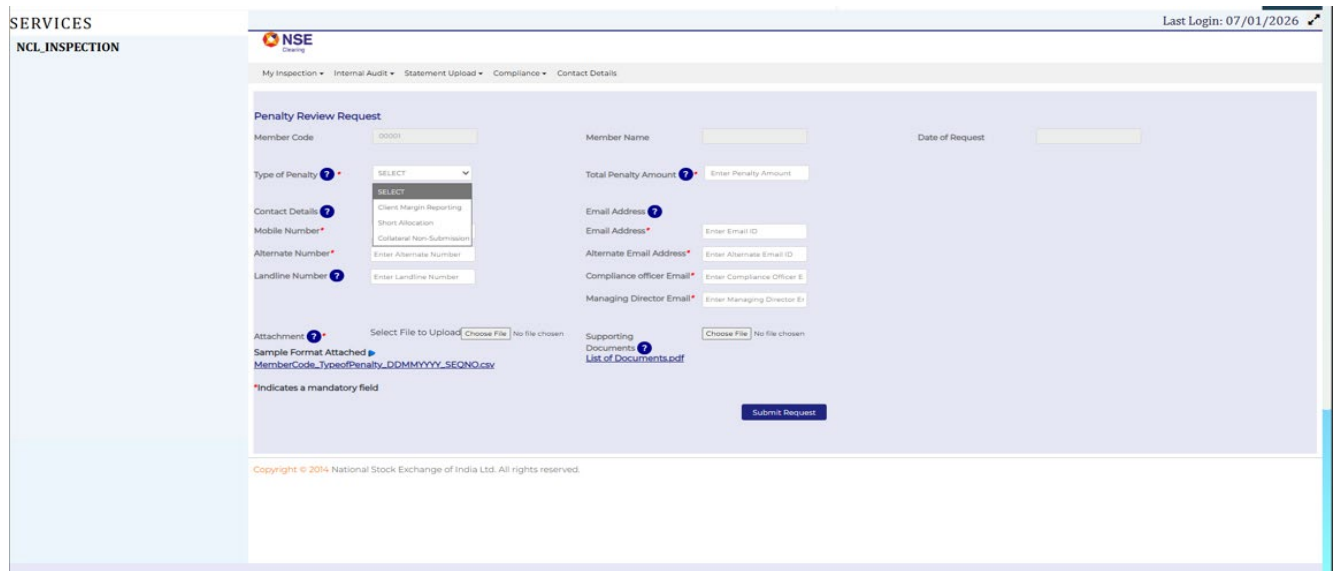
Sample Format Attached: MemberCode_TypeofPenalty_DDMMYYYY_SEQNO.csv List of Documents.pdf

*Indicates a mandatory field

Submit Request

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6. All the mandatory fields with sign * should be mentioned for successful Case ID generation.
7. The mandatory fields include Type of Penalty, Total Penalty Amount, contact details, Email address and Attachment as shown below:



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Penalty Review Request

Member Code: 000001

Member Name: [Text Field]

Date of Request: [Text Field]

Type of Penalty: [SELECT]

Total Penalty Amount: [Text Field]

Email Address: [Text Field]

Alternate Email Address: [Text Field]

Compliance officer Email: [Text Field]

Managing Director Email: [Text Field]

Attachment: [Text Field]

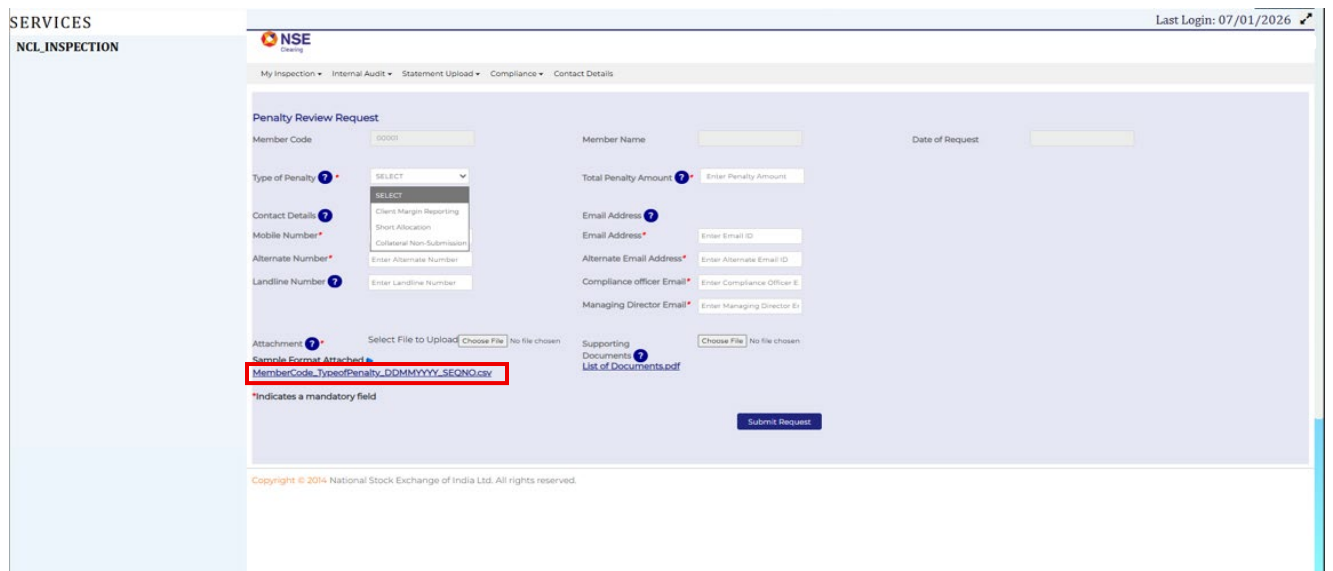
Sample Format Attached: [MemberCode_TypeofPenalty_DDMYYYY_SEQNO.csv](#)

*Indicates a mandatory field

Submit Request

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8. To download the sample format for attachment, click on the file name as displayed in the below screen:



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Penalty Review Request

Member Code: 000001

Member Name: [Text Field]

Date of Request: [Text Field]

Type of Penalty: [SELECT]

Total Penalty Amount: [Text Field]

Email Address: [Text Field]

Alternate Email Address: [Text Field]

Compliance officer Email: [Text Field]

Managing Director Email: [Text Field]

Attachment: [Text Field]

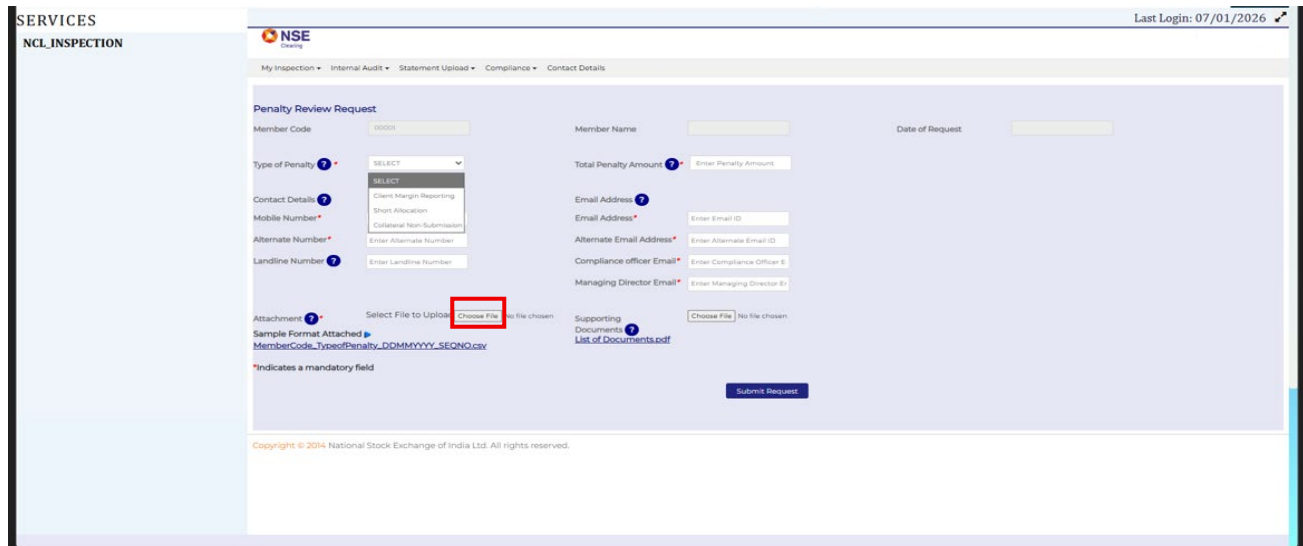
Sample Format Attached: [MemberCode_TypeofPenalty_DDMYYYY_SEQNO.csv](#)

*Indicates a mandatory field

Submit Request

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9. To upload the Attachment, click on the “Choose File” button as displayed in the below screen:



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Penalty Review Request

Member Code: 00000 Member Name: Date of Request:

Type of Penalty: SELECT
 SELECT
 Client Margin Reporting
 Short Allocation
 Collateral Non-Submission

Contact Details: Mobile Number: Alternate Number: Landline Number:

Enter Alternate Number: Enter Landline Number:

Total Penalty Amount: Enter Penalty Amount:

Email Address: Enter Email ID: Alternate Email Address: Enter Alternate Email ID: Compliance officer Email: Enter Compliance Officer E: Managing Director Email: Enter Managing Director E:

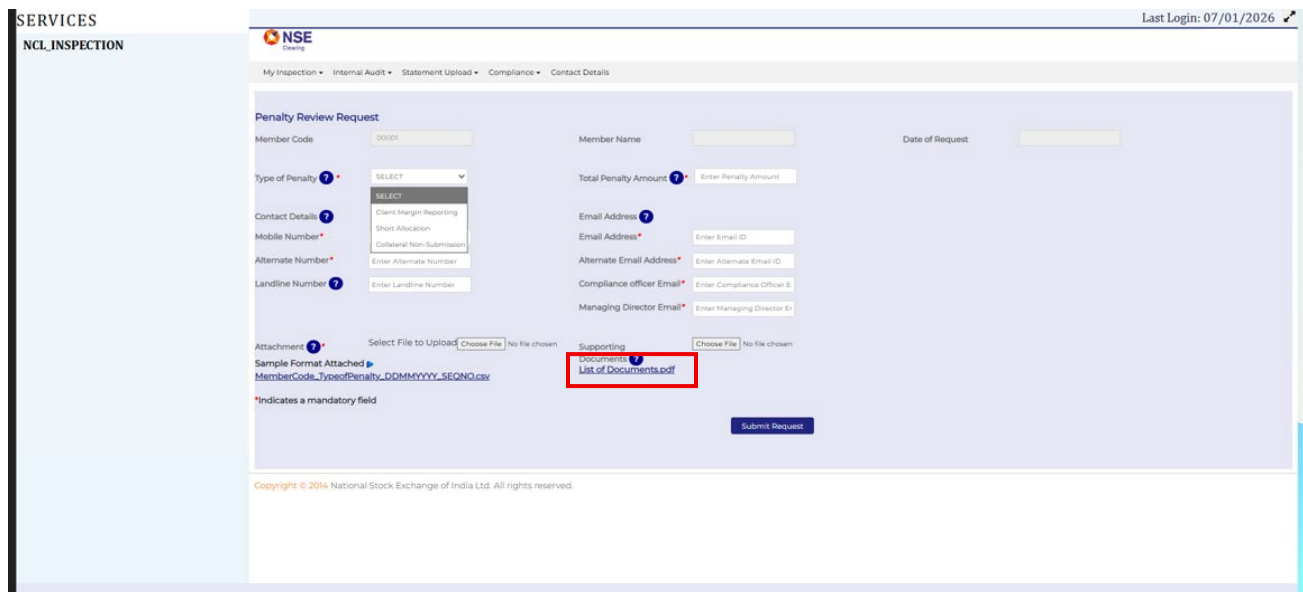
Attachment: Select File to Upload: Choose File No file chosen
 Sample Format Attached: MemberCode_TypeofPenalty_DOMMYYY_SEQNO.csv
 *Indicates a mandatory field

Supporting Documents: List of Documents.pdf

Submit Request

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10. To download the list of documents related to type of penalty review request, click on the pdf file as displayed in the screen below:



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Penalty Review Request

Member Code: 00000 Member Name: Date of Request:

Type of Penalty: SELECT
 SELECT
 Client Margin Reporting
 Short Allocation
 Collateral Non-Submission

Contact Details: Mobile Number: Alternate Number: Landline Number:

Enter Alternate Number: Enter Landline Number:

Total Penalty Amount: Enter Penalty Amount:

Email Address: Enter Email ID: Alternate Email Address: Enter Alternate Email ID: Compliance officer Email: Enter Compliance Officer E: Managing Director Email: Enter Managing Director E:

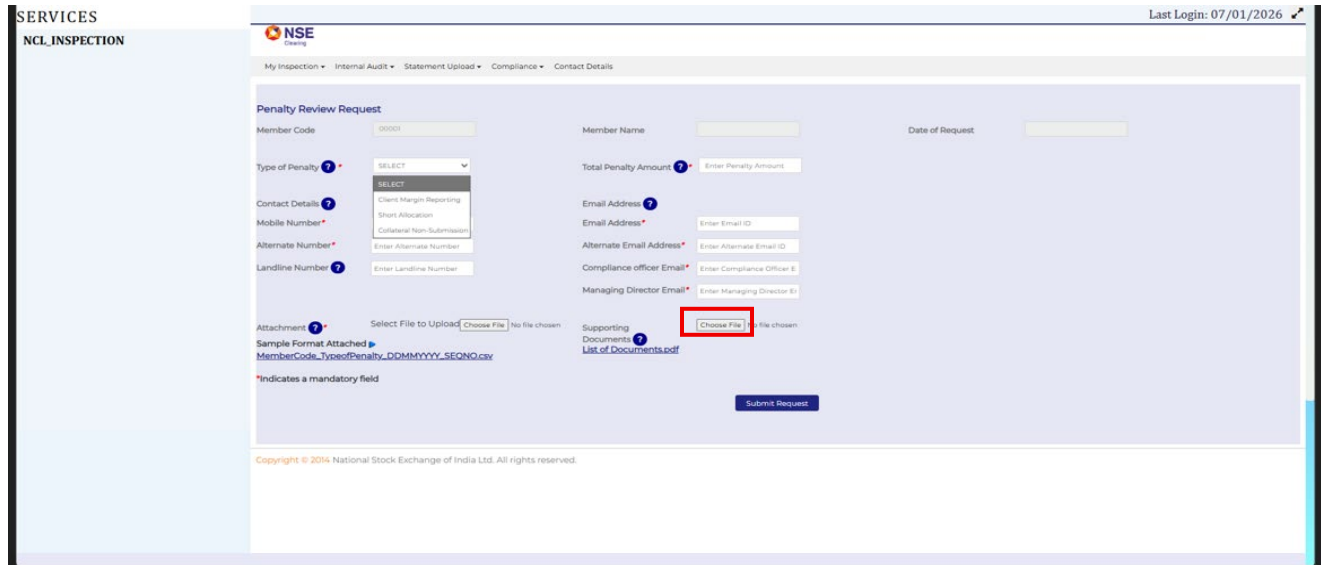
Attachment: Select File to Upload: Choose File No file chosen
 Sample Format Attached: MemberCode_TypeofPenalty_DOMMYYY_SEQNO.csv
 *Indicates a mandatory field

Supporting Documents: List of Documents.pdf

Submit Request

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11. To upload the Supporting Documents, click on the “Choose File” button as displayed in the below screen:



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Penalty Review Request

Member Code: 00001

Member Name: [Input Field]

Date of Request: [Input Field]

Type of Penalty: [SELECT]

Total Penalty Amount: [Input Field]

Contact Details: [Input Field]

Email Address: [Input Field]

Alternate Email Address: [Input Field]

Mobile Number: [Input Field]

Compliance officer Email: [Input Field]

Managing Director Email: [Input Field]

Alternate Number: [Input Field]

Landline Number: [Input Field]

Attachement: [Input Field] **Choose File** No file chosen

Supporting Documents: [Input Field] **Choose File** No file chosen

Sample Format Attached: [MemberCode_TypeofPenalty_DDMMYYYY_SEQNO.csv](#)

[List of Documents.pdf](#)

*Indicates a mandatory field

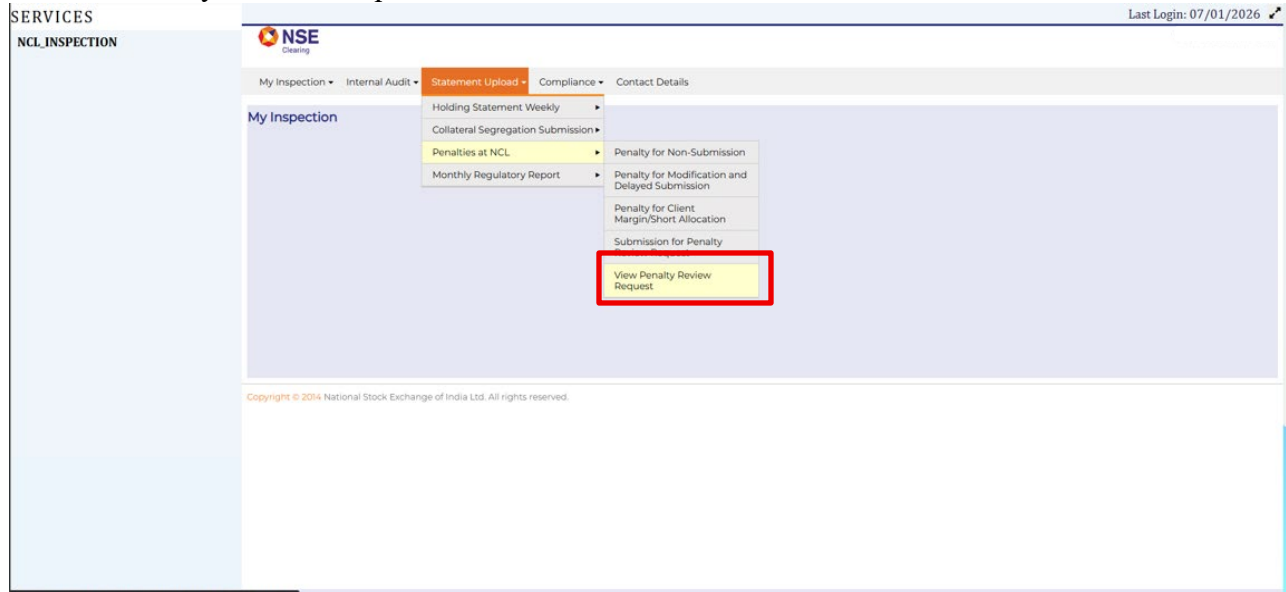
Submit Request

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12. On every successful submission of a review request, a Case ID gets generated based on the type of penalty selected for e.g. MM_NONSUB_XXXXX_01 (MM – Member monitoring, NONSUB – Type of Penalty, XXXXX- Member Code_01-CaseID Number)
13. Members may note no Case ID shall be generated in case of failure files.

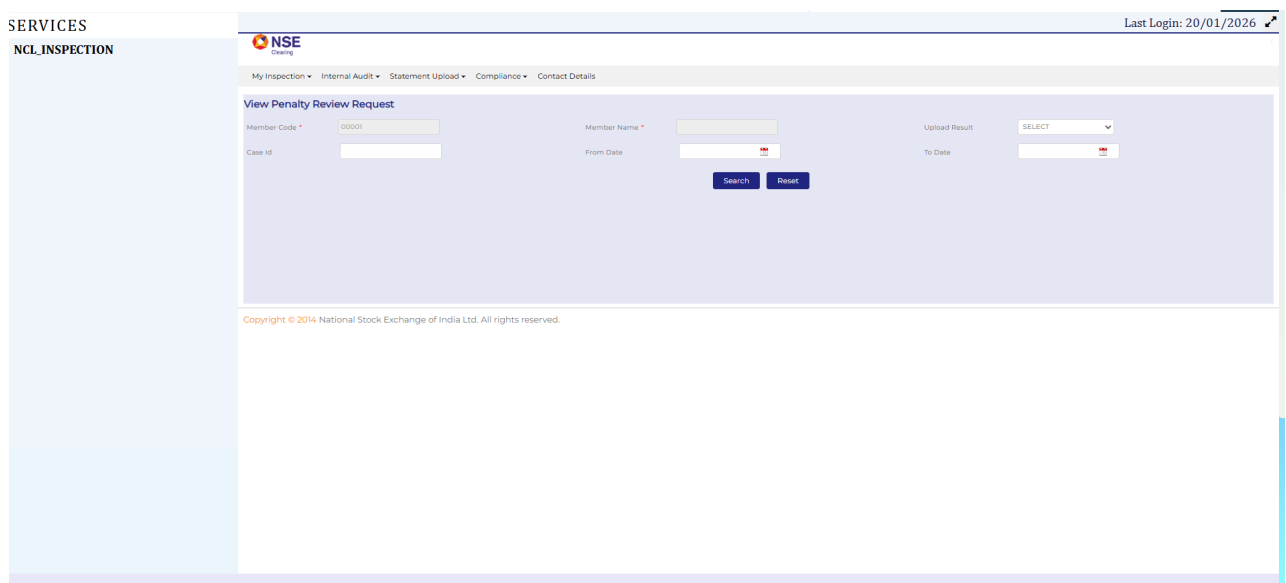
Part B – Steps for viewing the Penalty Review Request

1. Navigation: Login on Inspection Portal → Statement Upload → Penalties at NCL → View Penalty Review Request



The screenshot shows the NSE Clearing Inspection Portal interface. The left sidebar contains 'SERVICES' and 'NCL_INSPECTION'. The main header shows 'Last Login: 07/01/2026'. The navigation menu includes 'My Inspection', 'Internal Audit', 'Statement Upload', 'Compliance', and 'Contact Details'. The 'Statement Upload' menu is expanded, showing options like 'Holding Statement Weekly', 'Collateral Segregation Submission', 'Penalties at NCL', and 'Monthly Regulatory Report'. The 'Penalties at NCL' option is further expanded, showing a list of penalties: 'Penalty for Non-Submission', 'Penalty for Modification and Delayed Submission', 'Penalty for Client Margin/Short Allocation', 'Submission for Penalty', and 'View Penalty Review Request'. The 'View Penalty Review Request' option is highlighted with a red box.

2. Upon clicking on “View Penalty Review Request”, the below screen shall be displayed: -



The screenshot shows the 'View Penalty Review Request' screen in the NSE Clearing Inspection Portal. The left sidebar contains 'SERVICES' and 'NCL_INSPECTION'. The main header shows 'Last Login: 20/01/2026'. The navigation menu includes 'My Inspection', 'Internal Audit', 'Statement Upload', 'Compliance', and 'Contact Details'. The 'Statement Upload' menu is expanded, showing options like 'Holding Statement Weekly', 'Collateral Segregation Submission', 'Penalties at NCL', and 'Monthly Regulatory Report'. The 'Penalties at NCL' option is further expanded, showing a list of penalties: 'Penalty for Non-Submission', 'Penalty for Modification and Delayed Submission', 'Penalty for Client Margin/Short Allocation', 'Submission for Penalty', and 'View Penalty Review Request'. The 'View Penalty Review Request' option is highlighted with a red box.

- Upon clicking on the “View All” button under the comments field, the below screen shall be displayed: -

SERVICES
NCL_INSPECTION

Last Login: 20/01/2026

My Inspection Internal Audit Statement Upload Compliance Contact Details

View Penalty Review Request

Back

Comment *

Submit

Characters: 0/2000

	Create Date	Case Id	Status	Admin Comments	Member Comments
1	Dec 4, 2025 10:55:51 AM	MM_SA_01	Rejected	for testing of appeal - initial phase	
2	Sep 26, 2025 11:49:18 AM	MM_SA_01	Submitted		

Page 1 of 1

View 1 - 2 of 2

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- In the comment box shown in the above image, now members can also provide their comment (**upto 2000 characters**) against the comment given by NCL and click on submit button to upload the comment.
- Review request submitted along with Excel Attachment can be downloaded under View Penalty Review Request screen as displayed below: -

SERVICES
NCL_INSPECTION

Last Login: 20/01/2026

My Inspection Internal Audit Statement Upload Compliance Contact Details

View Penalty Review Request

Member Code * 00001 Member Name * Upload Result SELECT

Case Id From Date 01-Jan-2025 To Date 01-Dec-2025

Search Reset

	Comments	Type of Penalty	Excel Attachment	Mobile Number	Alternate Mobile Number	Email Address	Alternate Email Address
	View All	SA	20201_SA_20192025_01_SUCCESS.xls	8655732480	8655732480	apoorva@nsccl.co.in	apoorva@nsccl.co.in
		SA	20201_SA_20192025_01_FAILURE.xls	8655732480	8655732480	apoorva@nsccl.co.in	apoorva@nsccl.co.in

Page 1 of 1

View 1 - 2 of 2

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8. To view the Supporting Documents, click on the “View All” button as displayed in the below screen: -

SERVICES

NCL_INSPECTION

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Derivatives

Last Login: 20/01/2026

My InspectionInternal AuditStatement UploadComplianceContact Details

View Penalty Review Request

Member Code *

Member Name *

Upload ResultSELECT

Case Id

From Date01-Jan-2025

To Date01-Dec-2025

Search

Reset

Type of Penalty	Excel Attachment	Mobile Number	Alternate Mobile Number	Email Address	Alternate Email Address	Supporting Documents	Edit
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
SA	00001_SA_26/09/2025_OI_SUCCESS.docx	8656732480	8656732480	apoorva@nsecl.co.in	apoorva@nsecl.co.in	<div>View All</div>	
SA	00001_SA_25/09/2025_OI_FAILURE.docx	8656732480	8656732480	apoorva@nsecl.co.in	apoorva@nsecl.co.in		

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View 1 - 2 of 2

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9. After clicking on the “View All” button under the Supporting Documents field, the below screen shall be displayed: -

SERVICES

NCL_INSPECTION

Last Login: 20/01/2026

NSE
Clearing

My Inspection ▾ Internal Audit ▾ Statement Upload ▾ Compliance ▾ Contact Details

View Penalty Review Request

[Back](#)

	Last Document Update	Supporting Documents
1	Sep 26, 2025 11:51:33 AM	00001_SA_26092025_DOC_01.xls

Page 1 of 1

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10. To download the supporting document, click on the file name as displayed in the below screen: -

SERVICES
NCL_INSPECTION

Last Login: 20/01/2026

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

View Penalty Review Request

Back

	Last Document Update	Supporting Documents
1	Sep 26, 2025 11:51:33 AM	00001_SA_26092025_DOC_01.jpg

Page 1 of 1

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11. To upload additional supporting documents, select the Case ID and click on the “Edit” button as displayed in the below screen: -

SERVICES
NCL_INSPECTION

Last Login: 20/01/2026

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details

View Penalty Review Request

Member Code * Member Name * Upload Result

Case Id From Date To Date

Search Reset

Type of Penalty	Excel Attachment	Mobile Number	Alternate Mobile Number	Email Address	Alternate Email Address	Supporting Documents	Edit
SA	00001_SA_26092025_01_SUCCESS.xlsx	8655732480	8655732480	apiorva@nsecl.co.in	apiorva@nsecl.co.in	View All	Edit
SA	00001_SA_26092025_01_FAILURE.xlsx	8655732480	8655732480	apiorva@nsecl.co.in	apiorva@nsecl.co.in		

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Part C – Guidelines for submitting Attachment.

1. The file shall be in .csv format only and subsequently convert to .zip file.
2. One zip file shall contain one csv file only. The naming convention MemberCode_TypeofPenalty_DDMMYYYY_SEQNO of zip file shall be same as that of csv file (kindly refer sample format mentioned in Part A Point No. 8)

For e.g.:

- Member code- 5-digit member code
 - Type of penalty
 - CMR- Client margin penalty
 - SA- Short allocation
 - NONSUB- Collateral non submission
 - System Date- Date on which the penalty review request is being submitted
3. File size shall not exceed 200 MB.
 4. Batch/Seq No. starts from 01 and incremental thereon, in case of multiple file uploads.
 5. Members are required to check the “View Penalty Review Request” window under **Penalties at NCL** for success/failure status of the uploaded file(s). If the submission status of a file is ‘failure’, members will have to correct the record with failureremarks and re-upload the entire file with the same batch number and corrected data.
 6. Member may note that even if a single record is rejected in a file, then the entire file post rectification needs to be re-uploaded.

Part D – Guidelines for submitting Supporting Documents.

1. The file shall be in .pdf format only and subsequently convert to .zip file.
2. One zip file shall contain one pdf file only. The naming convention of the zip file shall be MEMCODE_TYPEOFPENALTY_DDMMYYYY_DOC_SEQNO.
3. File size shall not exceed 15MB.
4. Batch/Seq No. starts from 01 and incremental thereon, in case of multiple file uploads.
5. If the submission of supporting document has failed, then file needs to be rectified as per the message displayed in the pop-up window and it should be uploaded with the same batch number.
6. In case, additional supporting documents are required to be submitted, Members should follow the user manual mentioned in Part B Point No. 11.

Annexure 2

1. When to raise penalty review request?

Penalties related to client collateral segregation, client margin reporting and short allocation are generated and made available on the member portal on a daily basis. Members are advised to check the portal for penalty related information. In the event of any discrepancy or need for clarification regarding penalty or penalty review, request must be raised through portal. Any request raised through emails shall not be considered.

2. Within how many days member should report the discrepancy to NCL?

Clearing members should reach out to NCL within 7 working days from the date of penalty being made available in the portal in terms of NCL/CMPL/58063 dated August 23, 2023.

In case the member does not reach out to NCL within 7 days, members are required to give justification at the time of raising review request through portal, for reaching out to NCL with such delay and such cases shall be only taken up further on a case-to-case basis.

3. How to raise the review request?

The procedure to raise the review request is given in Annexure 1 of this circular.

4. What is considered as a valid review request raised through portal?

Any review request which has status as “Success” shall be considered as a valid review request.

5. How to check the status of review request submitted through portal?

After submitting the review request popup will come confirming submission of request. Members are required to check the status of the review request in the tab “View status”. In case of failure, members are required to check the remarks column.

Based on the review request raised by the member, an initial check is done by the NCL team regarding the nature of review. If additional documents/clarification is required from the member, a comment is added by the NCL team in the portal against the relevant Case id within the given timeline. Members are requested to provide all documents related to penalty review request through portal only. Any details/documents provided through emails will not be accepted.

All communication related to penalty review requests shall be made by NCL with the member

through the portal. Members are also requested to make all communications regarding their review request through portal and no emails shall be sent in this regard.

Members shall be given a reasonable time period to submit the necessary clarification. If the necessary clarification does not reach NCL within such time, such review requests shall not be taken up for further consideration and the request will be returned

6. How can the member communicate with NCL regarding their penalty review request in response to comments added by NCL?

Member can add comment through portal in response to comment added by NCL.

7. Frequent issues faced by members while raising penalty review request through the portal

a) What should the member do in case it gets error because of date format in the file MemberCode_TypeofPenalty_DDMMYYYY_SEQNO i.e the csv file?

The error in the date format could be because of two reasons as below: -

- Date in the file name i.e. MemberCode_TypeofPenalty_DDMMYYYY_SEQNO has to be the date on which the member is uploading the file in the portal.

For eg, if member is uploading the review request on Feb 10, 2025 for trade date Feb 3, 2025, the date in the file name above shall be MemberCode_TypeofPenalty_10022025_SEQNO

- The trade date format entered inside the file (i.e. csv) MemberCode_TypeofPenalty_DDMMYYYY_SEQNO is not in dd-Mmm-yyyy

Example is given below: -

Trade Date	Clearing Member Code	Trading Member Code	CP code	UCC	Seg	Type of Penalty	Review Reason Category	Detailed Description	Penalty Amount
21-Nov-24	XXXXX	XXXXX		123	CM	SA	Technical issue	Details are attached with supporting documents.	18.37

The trade date given above i.e. 21-Nov-2024 should be mandatorily in dd-Mmm-yyyy format.

Members should ensure that under the column “Penalty Amount” in the table above,

UCC/CP/TM wise penalty amounts should be put based on the final penalty files/penalty details downloaded by NCL to the member and not on the basis of provisional penalty files.

Further, the “Penalty Amount” should be excluding GST.

b) What should the member do in case it gets error for Detailed Description?

Issue in Detailed Description: - For error “*Please enter correct detailed description up to 2000 characters*”, the description provided in the csv file should be less than 2000 characters. Should the member need to provide additional information, they may create a PDF document and upload it as supporting documentation for reference.

c) What should the member ensure while uploading supporting documents?

At the time of raising review request, member should describe the entire chronology of events due to which penalty was levied for the impacted clients.

For a member to upload documents as supporting, a zip folder should contain only one supporting document only in PDF format. e.g. for 3 supporting documents, 3 zip folders need to be uploaded.

It may be further noted that currently supporting documents in the form of excel cannot be uploaded, hence members may convert the excel into pdf and upload the same.

Member should ensure that in the file name of supporting documents i.e. MEMCODE_TYPEOFPENALTY_DDMMYYYY_DOC_SEQNO, the date shall be the date on which the supporting document file is being uploaded by the member on portal.

d) What should member do when the status of the review request “Processing”?

If the file went on Processing status and remains the same for more than an hour, the member is required to raise the concern by email to membermonitoring team (membermonitoring@nsccl.co.in). The team shall take up with the IT team and provide a resolution for the same.

e) When raising the review request for CP clients, should the member fill the TM code in the csv file?

Yes, Members are mandatorily required to enter the TM code in the csv while raising the request for CP code.

- f) Can member raise multiple review requests for the same combination of i.e. trade date, segment, tm code, CP/ client, irrespective of the status of the review request (i.e. whether the status is Success/Failure/Processing)?**

No

- g) Which special characters are allowed in detailed description?**

Special characters that are allowed in the Detailed Description column in the csv file are -
, . : ; = @ # & *

8. What minimum details should a CA certificate include?

The CA certificate should include minimum details mentioned below –

1. Trade date
2. UCC/CP Code
3. Cash collateral (as per actual books of account)
4. Non-cash collateral (Value of non-cash collateral post haircut in terms of NSE/INSP/66840 dated February 24,2025)
5. Total collateral (summation of Cash and Non-cash collateral)
6. Initial margin obligation (minimum margin as per SA04/05)
7. Total EOD margin obligation (As per MG12/13)
8. Allocation done as per CC02 file
9. Initial/Minimum margin actually collected (as per books of accounts)
10. Total EOD margin actually collected (as per books of accounts)
11. Shortfall if any (Initial/Minimum)
12. Shortfall if any EOD
13. Collateral Upstream to CC (Yes/No)

Kindly note that the CA certificate provided should be preferably from CA firms empaneled with Exchanges.

- 9. What should the member provide for seeking review of penalty where penalty was generated for UCC code but member erroneously reported segregation for that client under CP code or vice versa?**

In such cases at the time of raising review request in portal, the member should provide the UCI

details of the client which will clearly reflect the UCC code, CP code, name and PAN of the client.

10. What should the member provide for seeking review of penalty due to change of clearing member?

In such cases at the time of raising review request in portal, member should provide any supporting to substantiate the old clearing member, new clearing member, effective date from when the change was done.

11. What should the member provide for seeking review of penalty due to any issue/delay at the bankor depository's end?

In such cases at the time of raising review request in portal, the member should provide confirmation from the bank or the depository regarding the specific issue/client which is impacted and for which penalty review is sought by the member.

12. How will the member get to know the outcome of their penalty request raised?

The decision of the Relevant Authority will be communicated through portal. Members need to check the status and comment added by NCL for their penalty request.

13. What should the member provide for seeking review of penalty due to technology failure?

In the event that a penalty arises due to a technological issue attributable to the member, the member should furnish a Root Cause Analysis (RCA) report to NCL. The RCA must be presented on the member's official letterhead and bear the signature of the Chief Technology Officer, provided the software or back-office system is owned by the member.

Conversely, if the software is supplied by a vendor, the RCA must be issued on the vendor's letterhead. The RCA must state the remediation measures undertaken by the member or vendor, including the effective dates from which such issues have been addressed.

The indicative format of the RCA is given below: -

Root Cause Analysis report (RCA) (on the letterhead of Members/ Vendor)	
1. Name of the Member Member Code:	
2. Date and time of technical glitch incident <ul style="list-style-type: none"> • Date of incident • Time of Incident 	
3. Date and Time of recovery <ul style="list-style-type: none"> • Date of recovery • Time of Recovery • Duration of the Incident 	
4. Incident Description & chronology of events (please use additional sheets if required)	
5. Category of incident (hardware, software application, server, network, bandwidth, vendor related, other-please specify)	
6. Business Impact:	
7. Immediate action taken (please give full details. Use additional sheets if required)	
8. Action taken to prevent such incident infuture	
Name and signature of software vendor /CTO Date:	