



NSE KRA

Intermediary User Manual

Disclaimer

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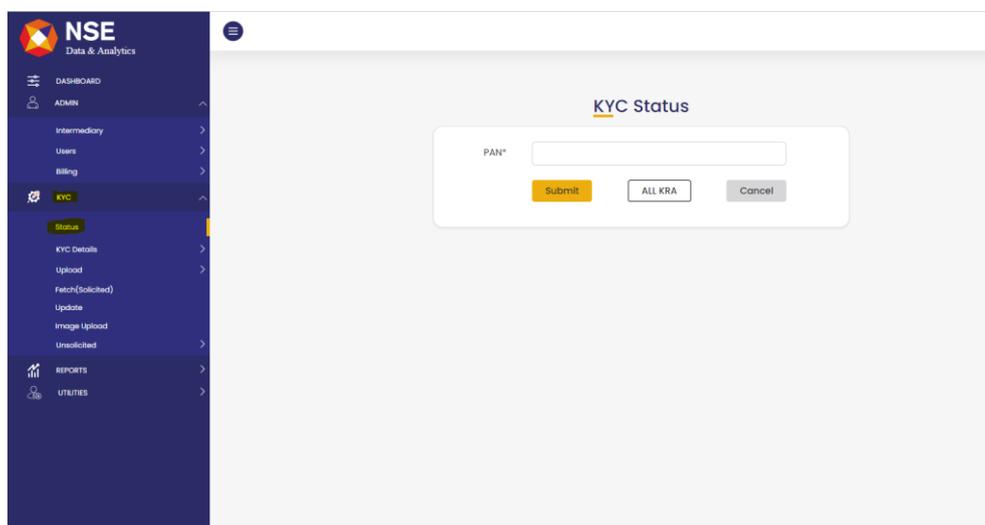
KYC

1. KYC Status:

By entering the PAN details, the intermediary can check the status of linked PANs. Enter the PAN number in the text box and click on “Submit” to get the PAN verification status details.

Steps:

1. Post Login
2. Navigate to KYC
3. Select Status



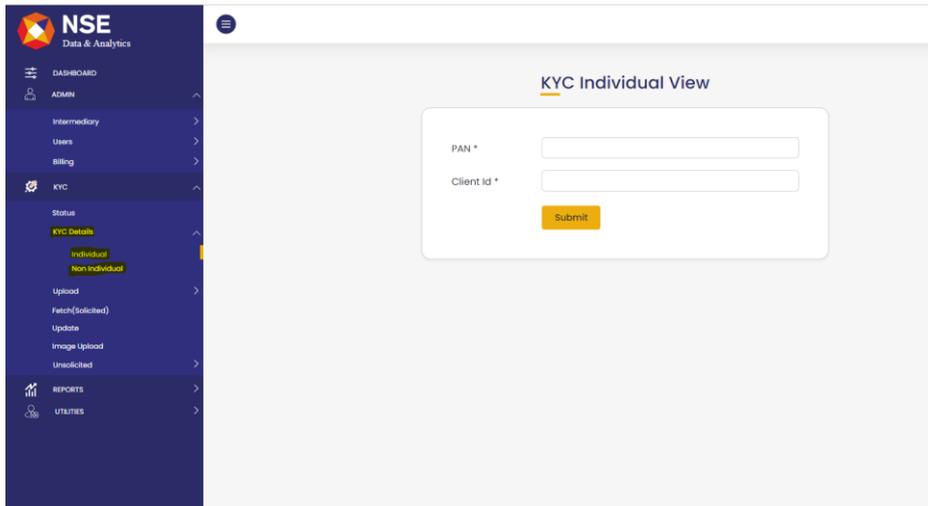
The screenshot shows the NSE Data & Analytics interface. On the left is a dark blue sidebar with a menu. The 'KYC' section is expanded, showing 'Status' as the selected option. The main content area is titled 'KYC Status' and contains a form with a text input field labeled 'PAN*', a yellow 'Submit' button, a grey 'ALL KRA' button, and a grey 'Cancel' button.

2. KYC Details:

By entering the PAN and the client ID (generated by the system), the client data along with the image can be viewed.

Steps:

1. Post Login
2. Navigate to KYC
3. Select KYC Details
4. Choose Individual/Non-Individual



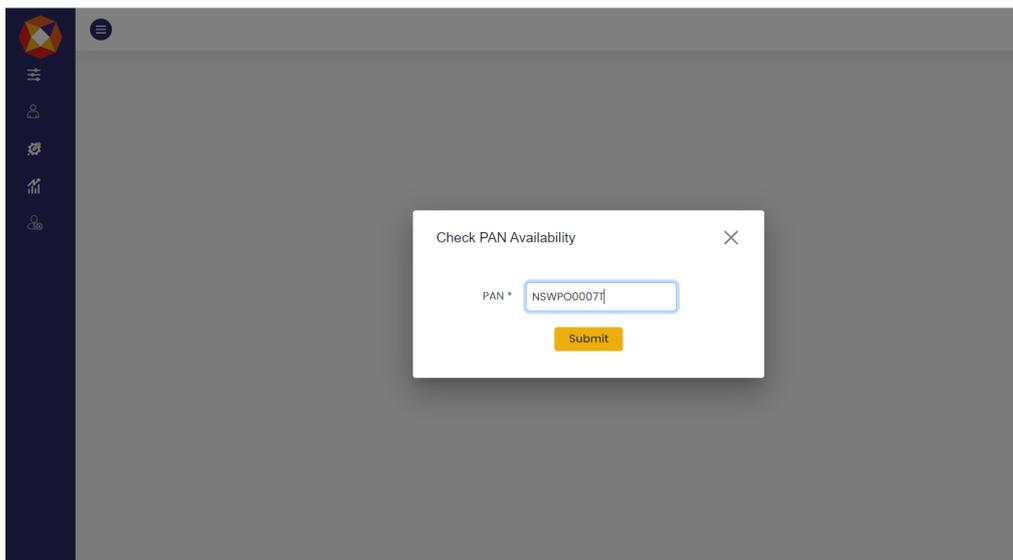
3. KYC Upload:

Prior to uploading KYC, the NSE KRA system will check the PAN availability across all KRAs. If the record is available with any KRA, it can be downloaded on the same page. If the record does not exist in the KRA system, the system will allow you to raise a new KYC request.

Steps:

1. Post Login
2. Navigate to KYC
3. Select Upload
4. Choose Single-Individual/Single Non-Individual

*For Existing PANs



KRA	STATUS	STATUS DATE	KYC DATE	MODIFY DATE	ACTION
NSE	Under Process	2023-11-24	2023-11-20	NA	NA
KARVY	-	-	-	-	-
CAMS	-	-	-	-	-
NDML	-	-	-	-	-
CVL	-	-	-	-	-

*For New Fresh PAN

KYC Individual Form

KYC Details

- KYC Status: Under Process
- Update Flag: NEW
- Name of the Applicant: *
- Father's/Husband's Name *
- Gender *
- Marital Status *
- Date of Birth *: dd-mm-yyyy
- PAN EXEMPT(Y/N) *
- PAN *: AWEPO888N
- Gross Annual Income Range
- Net Worth (in Rs.)

Address Details

Declaration

- Net Worth as on Date: dd-mm-yyyy
- Politically Exposed Person (PEP): ..Select..
- Occupation: ..Select..
- Occupation Details (For All): ..Select..
- Evidence / Documents provided in case of PAN exemption: ..Select..
- KYC MODE *: ..Select..
- UID (Only last 4 digits of UID/Aadhaar): ..Select..
- Status *: ..Select..
- Nationality *: ..Select..
- Proof of Identity Submitted *: ..Select..

Image Upload

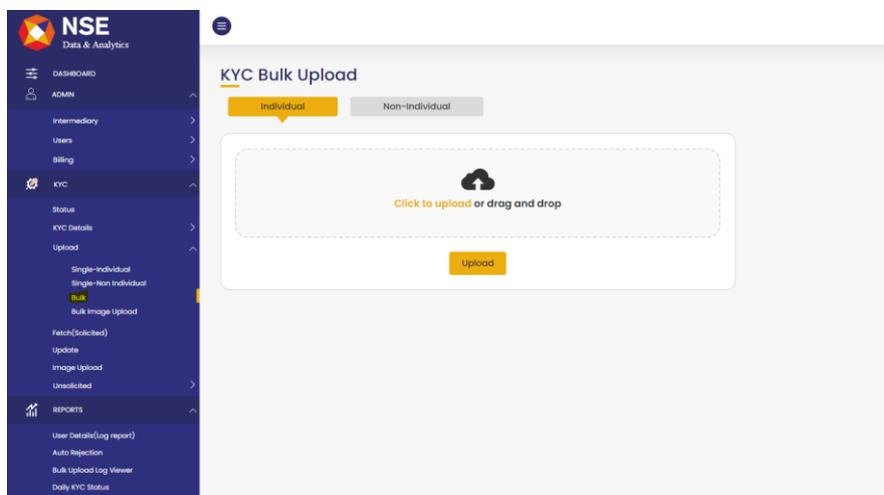
Next

4. New KYC and Modification Bulk Upload:

KYC details for up to 100,000 records can be uploaded in a pipe-delimited file. The 'File Format' is available under the 'UTILITIES' tab on the NSE KRA website (<https://www.nsekra.com>).

To upload:

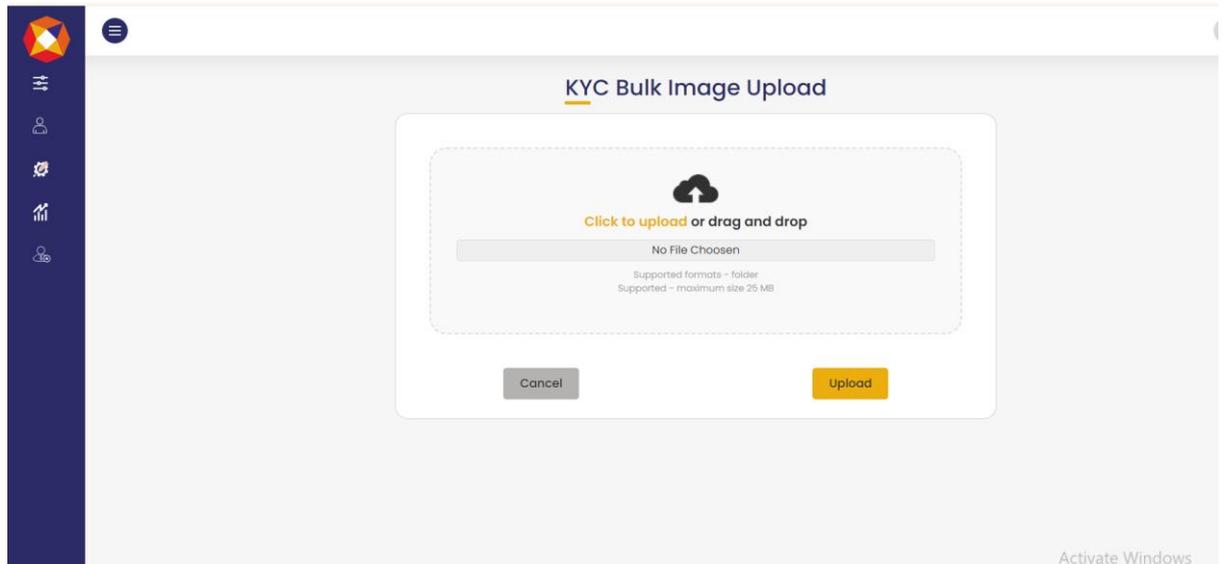
1. **Login** to the system.
2. Navigate to the **KYC** section.
3. Go to **Upload**.
4. Select **Bulk**.



5. Bulk Image Upload:

Intermediaries can upload a folder containing multiple images (up to 25MB) at once for several KYC records, whether they are in 'Submitted' or 'Existing KYC Data Received' status.

5. **Login** to the system.
6. Navigate to the **KYC** section.
7. Go to **Upload**.
8. Select **Bulk Image Upload**.

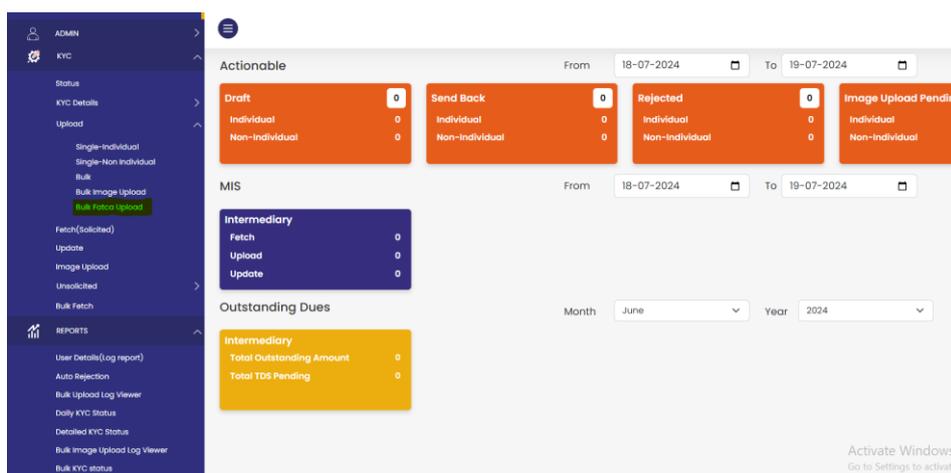


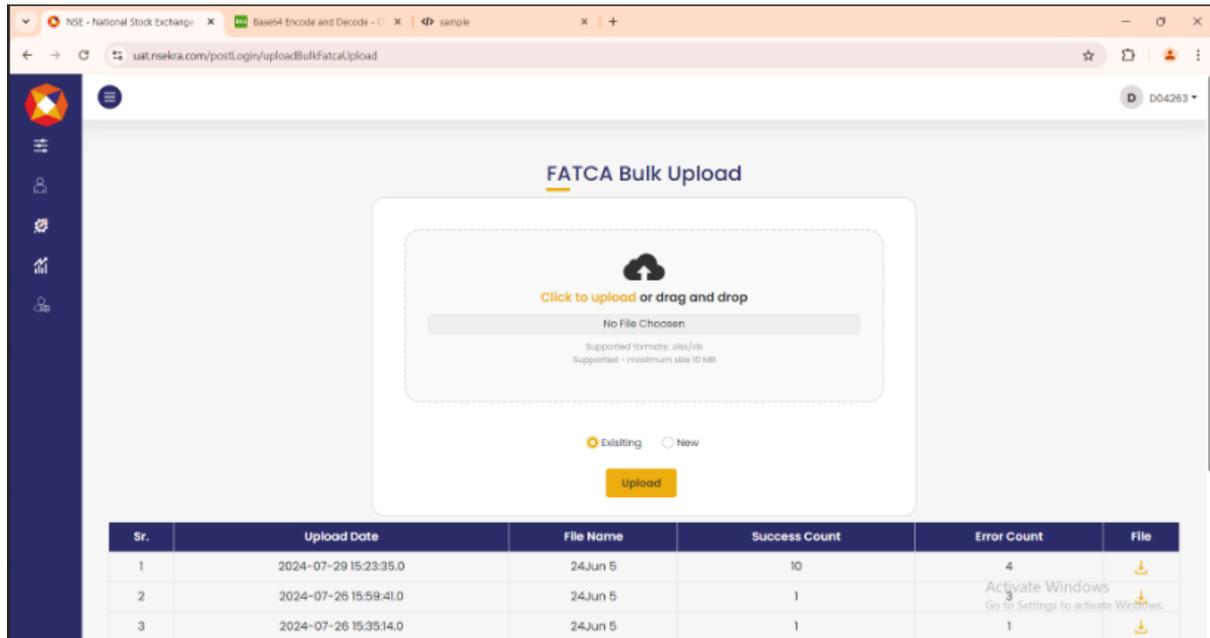
6. FATCA Bulk Upload:

Intermediaries can upload FATCA/CRS details in bulk for Residential, Non-residential, and Foreign National Individuals. By selecting the ‘Existing’ radio button, FATCA details for existing verified records can be uploaded, while the ‘New’ radio button should be used for records that are under process.

Steps:

1. **Login** to the system.
2. Navigate to the **KYC** section.
3. Go to **Upload**.
4. Select **Bulk FATCA Upload**.

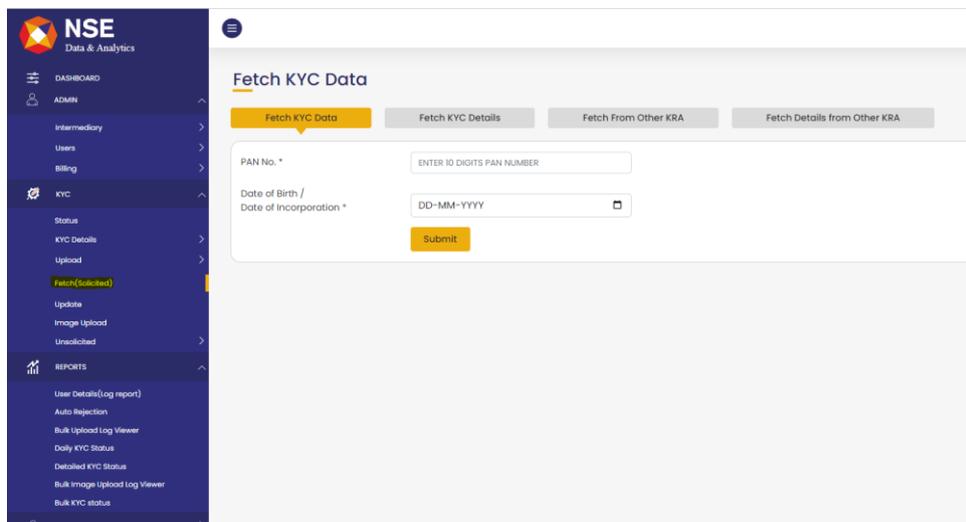


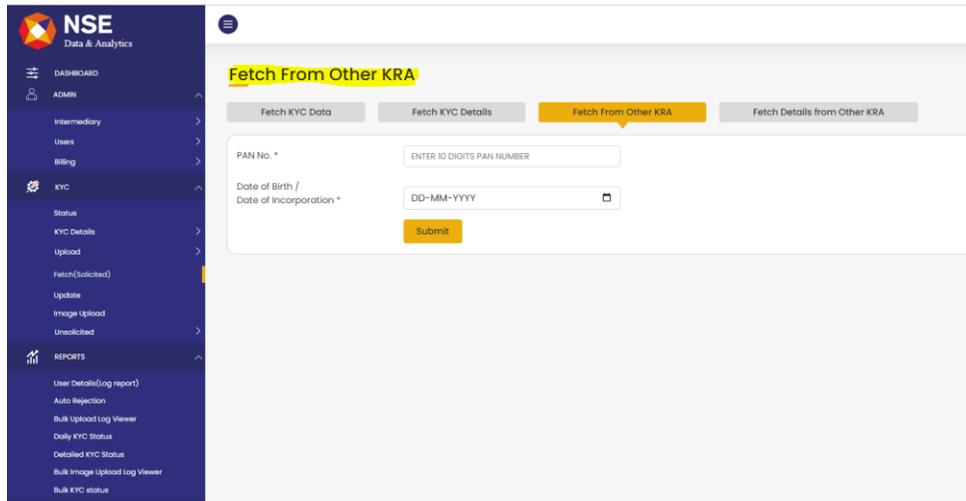


7. Fetch KYC Records (Solicited):

Users can download the details of KYC records available with NSE and other KRAs by following this path:

1. **Login** to the system.
2. Navigate to the **KYC** section.
3. Go to **Fetch (Solicited)**.
4. Select **Fetch KYC Data** or **Fetch from other KRA**.



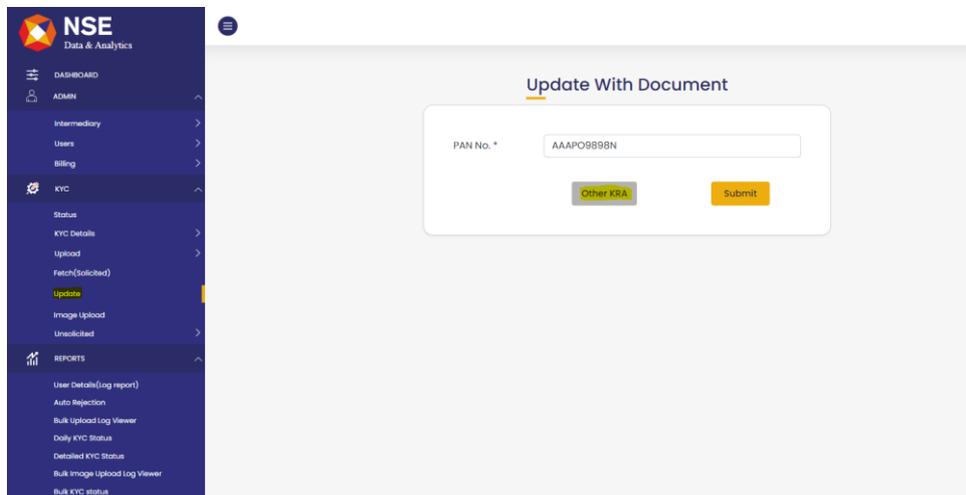


The screenshot shows the NSE Data & Analytics dashboard. The left sidebar contains a menu with categories: DASHBOARD, ADMIN, KYC, and REPORTS. The main content area is titled 'Fetch From Other KRA' and features four tabs: 'Fetch KYC Data', 'Fetch KYC Details', 'Fetch From Other KRA' (which is highlighted), and 'Fetch Details from Other KRA'. The form includes a 'PAN No. *' field with a placeholder 'ENTER 10 DIGITS PAN NUMBER', a 'Date of Birth / Date of Incorporation *' field with a placeholder 'DD-MM-YYYY', and a 'Submit' button.

8. Update:

Modifications to KYC records available with NSE and other KRAs can be submitted by following this path:

1. **Login** to the system.
2. Navigate to the **KYC** section.
3. Select **Update**.



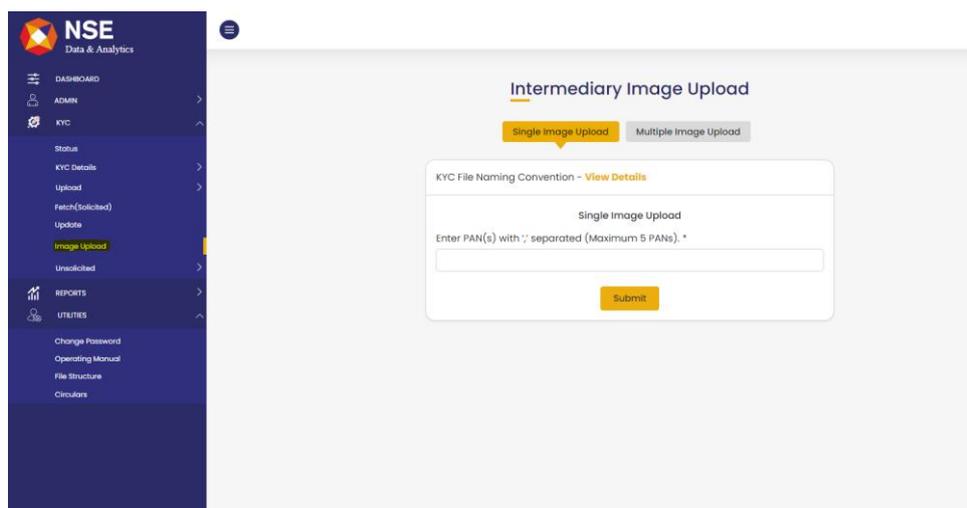
The screenshot shows the NSE Data & Analytics dashboard. The left sidebar is the same as in the previous screenshot. The main content area is titled 'Update With Document' and features a form with a 'PAN No. *' field containing the value 'AAAPO9898N'. Below the field are two buttons: 'Other KRA' and 'Submit'.

9. Image Upload:

Intermediaries can upload images for KYC records with either 'Submitted' or 'Existing KYC Data Received' status by following this path:

1. **Login** to the system.
2. Navigate to the **KYC** section.

3. Select **Image Upload**.



Images can be uploaded either as a multi-page file containing all documents or as separate images. Process for each is explained as below:

Single image Upload: KYC form and supporting documents should be scanned as a single image in '.tiff' or '.pdf' or '.zip' format.

1. The file name of the image should be the relevant PAN. e.g XXXXX0000X.tiff.
2. Image should be clear and legible.
3. Maximum of 5 image files can be uploaded.
4. Maximum size of a single image file:
 - i. Individual: 3 MB
 - ii. Non-Individual: 10 MB
5. Arrangement of documents in soft copy should be in below mentioned sequence.

KYC form	KYC form
PAN copy	PAN copy
POA	Company's POA
Modification documents, if any	Directors list
	Rest of the documents
	MOA & A
	Modification documents, if any

- Non-Individual: 10 MB
- Arrangement of documents in soft copy should be in below mentioned sequence
Individual Non-Individual

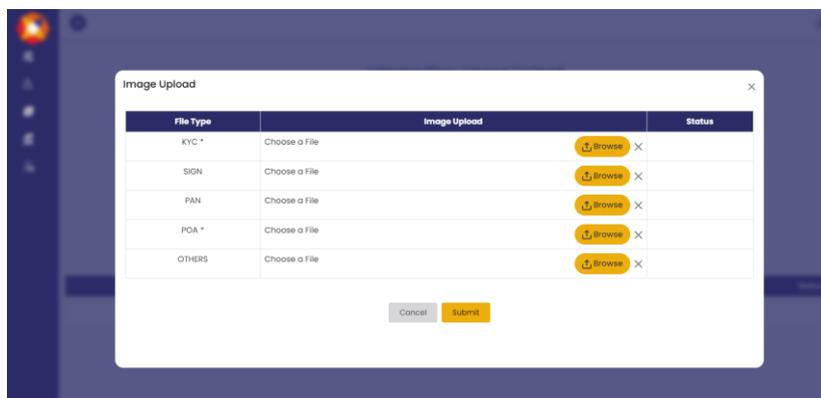
10. KYC form
11. PAN copy
12. POA

13. Modification documents if any
14. List of Directors.
15. Rest of the documents.
16. MOA & AOA
17. Modification documents if any.

Multiple Image Upload: KYC form and supporting documents should be scanned as a single image in '.tiff' and '.pdf' format.

1. Image should be clear and legible.
2. Maximum size of a per image file:
 - i. Individual: 3 MB
 - ii. Non-Individual: 10 MB
3. Total images should be less than 10 MB.
4. Arrangement of documents in soft copy should be in below mentioned sequence.

Individual	File Name	Non Individual	File Name
KYC form	KYC	KYC form	Others
Signature	SIGN	SIGN	SIGN
PAN	PAN	Company's PAN	PAN
POA	POA	Company's POA	POA
Others	OTHERS	Others	OTHERS

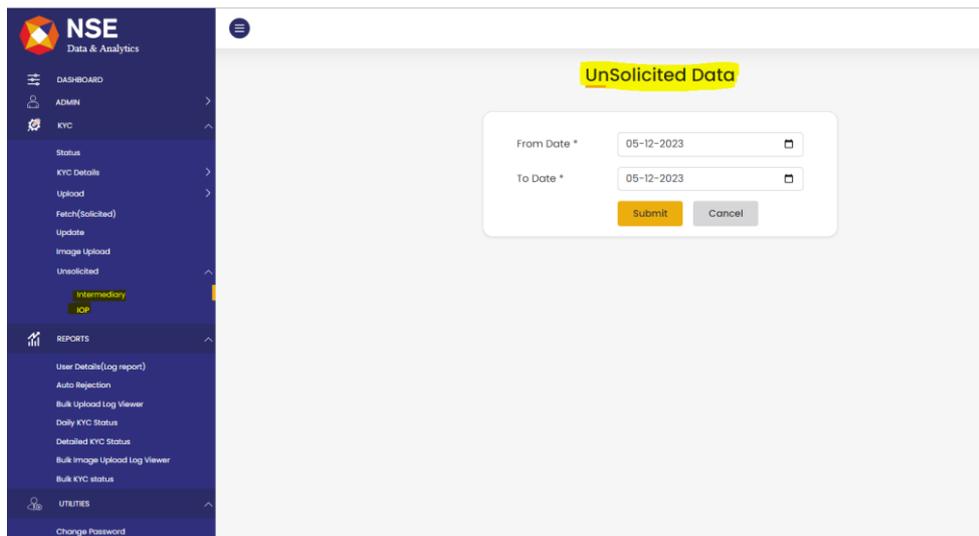


10. Unsolicited:

For any linked record either uploaded or downloaded by an intermediary in the KRA system, the latest feed for the record will be available in the unsolicited section.

Steps:

1. **Login** to the system.
2. Navigate to the **KYC** section.
3. Select **Unsolicited Data**.

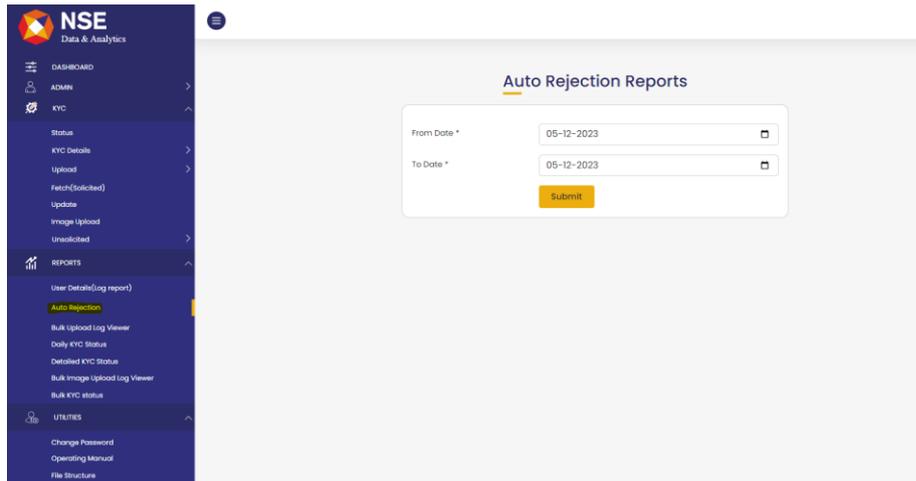


Reports

1. Auto Rejection:

Users can access data for all system-rejected KYC records, where the KYC record is either placed on hold or rejected, by following this path:

1. **Login** to the system.
2. Navigate to the **Reports** section.
3. Select **Auto Rejection**.

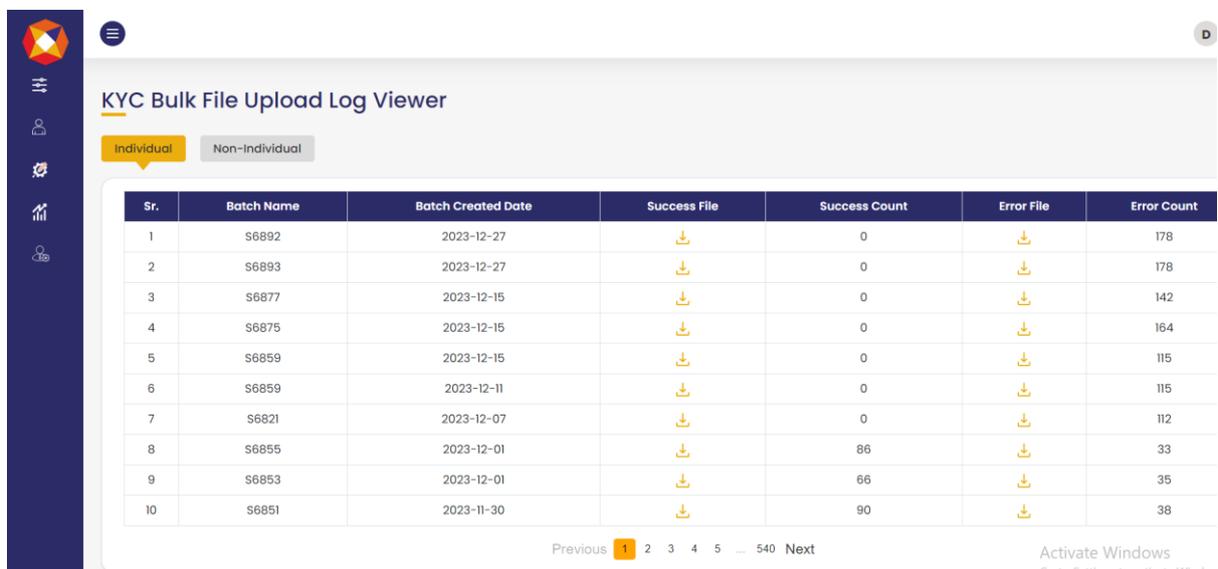


2. Bulk Upload Log Viewer:

Upon successful upload of the KYC bulk upload file, the response file will be available on this page. PANs that were unsuccessful in the upload will be listed in the 'Error' file, along with remarks explaining the reasons for the failure. Similarly, PANs that were successfully uploaded will be listed in the 'Success' file.

Steps:

1. **Login** to the system.
2. Navigate to the **Reports** section.
3. Select **Bulk Upload Log Viewer**.

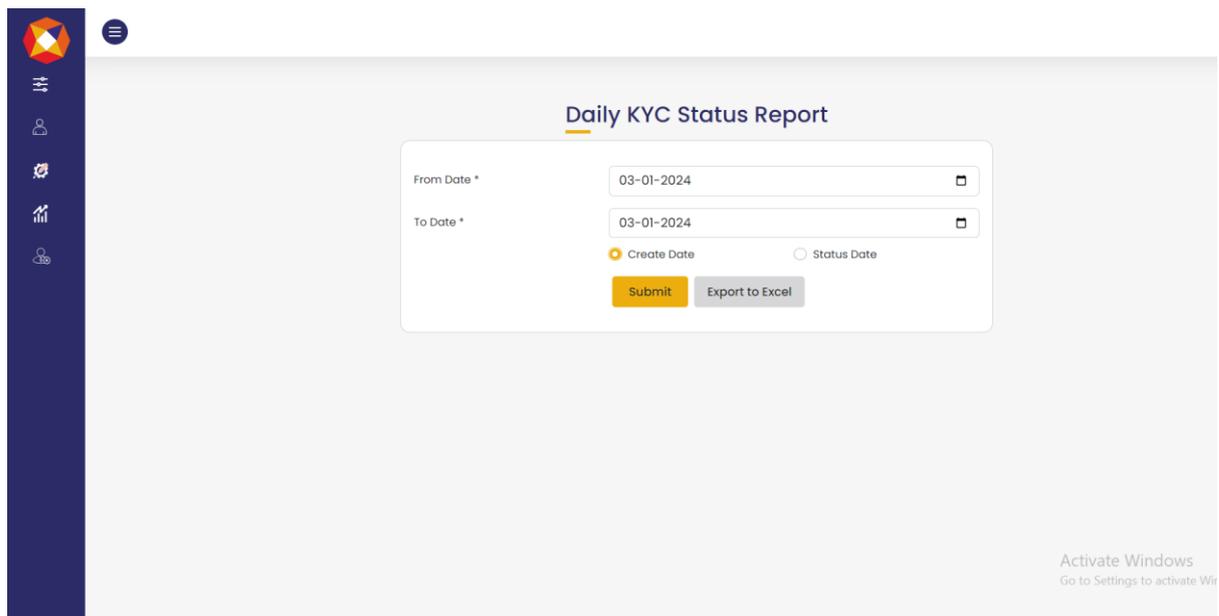


3. Daily KYC Status:

Intermediaries can check the status of the PANs uploaded for a specified period by following this path:

Steps:

1. **Login** to the system.
2. Navigate to the **Reports** section.
3. Select **Daily KYC Status**.



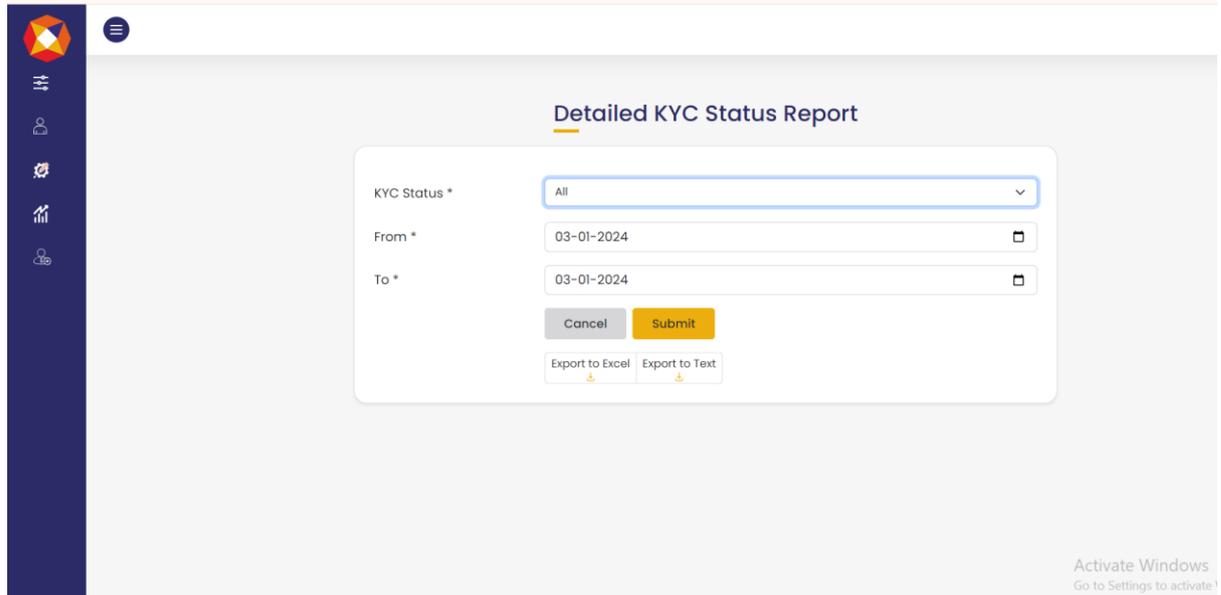
The screenshot displays the 'Daily KYC Status Report' form. On the left, there is a dark blue sidebar with a logo at the top and several navigation icons. The main content area is light gray and contains the following form elements:

- From Date ***: A date input field with the value '03-01-2024' and a calendar icon.
- To Date ***: A date input field with the value '03-01-2024' and a calendar icon.
- Radio Buttons**: Two radio buttons are present. The first is labeled 'Create Date' and is selected (indicated by a yellow dot). The second is labeled 'Status Date' and is unselected.
- Buttons**: Two buttons are located at the bottom of the form: a yellow 'Submit' button and a gray 'Export to Excel' button.

In the bottom right corner of the page, there is a watermark that reads 'Activate Windows Go to Settings to activate Win'.

4. Detailed KYC Status:

All details of the PAN uploaded in the system will be available in the **Detailed KYC Status**. Intermediaries can retrieve KYC details of a PAN created or updated within the selected period. Additionally, there is an option to download this report in a utility format.



The screenshot shows the 'Detailed KYC Status Report' interface. It features a dark blue sidebar on the left with various icons. The main content area has a white background with a title 'Detailed KYC Status Report'. Below the title is a form with the following fields:

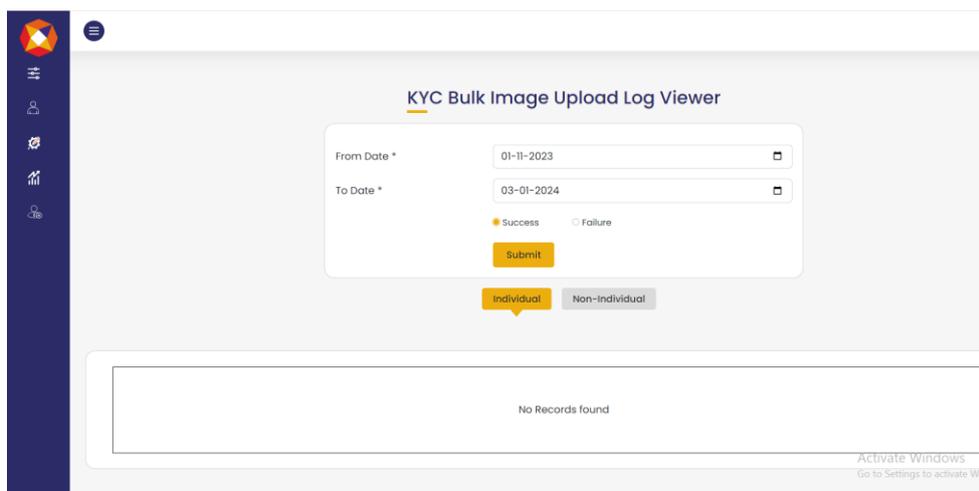
- KYC Status *: A dropdown menu with 'All' selected.
- From *: A date input field with '03-01-2024' and a calendar icon.
- To *: A date input field with '03-01-2024' and a calendar icon.

Below the form are two buttons: 'Cancel' (grey) and 'Submit' (yellow). At the bottom of the form are two buttons: 'Export to Excel' and 'Export to Text', both with download icons.

At the bottom right of the page, there is a watermark: 'Activate Windows Go to Settings to activate'.

5. Bulk Image Upload Log Viewer:

Upon successful upload of the KYC bulk image files, the response file will be accessible on this page. PANs that failed to upload will be listed in the 'Failure' section, along with remarks explaining the reasons for the failure. Similarly, PANs that were successfully uploaded will be displayed in the 'Success' section."



The screenshot shows the 'KYC Bulk Image Upload Log Viewer' interface. It features a dark blue sidebar on the left with various icons. The main content area has a white background with a title 'KYC Bulk Image Upload Log Viewer'. Below the title is a form with the following fields:

- From Date *: A date input field with '01-11-2023' and a calendar icon.
- To Date *: A date input field with '03-01-2024' and a calendar icon.

Below the form are two radio buttons: 'Success' (selected) and 'Failure'. Below the radio buttons is a yellow 'Submit' button. At the bottom of the form are two buttons: 'Individual' (yellow) and 'Non-Individual' (grey).

Below the form is a large empty box with the text 'No Records found' centered inside.

At the bottom right of the page, there is a watermark: 'Activate Windows Go to Settings to activate'.

6. Bulk KYC Status:

By uploading a text file containing a list of PANs, intermediaries can check the status of up to 100,000 PANs in NSE KRA. The first row of the text file should contain the intermediary ID, and all subsequent rows should contain the PANs.

