

ANNEXURE “A”

Standard Operating Procedure for Screen based upload of full modification request directly to NDML system on NDML PANs where apart from changes in KYC attributes the Ultimate Beneficial Owner (UBO), shareholding pattern (SHP) and balance sheet (BS) can also be done by SRIs.

As per SEBI Circular on Know Your Client (KYC) norms for the securities market, under Clause 31, SRIs are mandated to periodically update and upload the following documents for non-individual entities:

1. Balance Sheet
2. Shareholding Pattern
3. Ultimate Beneficial Owner (UBO) Details

NDML has made available below functionalities for enabling SRIs to upload of UBO, SHP and BS to NDML. This can be used for annual compliance for existing KYC records.

1. Screen based one by one upload of full modification request **directly to NDML on NDMLPAN.**
2. Screen based one by one upload of full modification request **directly to NDML for records held with other-KRAs**
3. **Supplementary KYC updates** for annual upload of UBO, SHP and BS on NDMLPAN.

1) Step-by-Step Procedure for one by one upload of full modification request of UBO, SHP and BS upload to NDML on non individual PANs held with NDML.



Modification in Non Individual PAN held with NDML KRA

- **Menu Path:** Market Intermediary → Modify Details→ Non-Individual Modification.

Market Intermediary Module NSDL KRA

Welcome: ABH1 Last Login Date: 05-01-2026 HI ID: A1249 HI Name: TATA SECURITIES MODIFICATION Current Date: 06-01-2026

Home > KYC Modification Application Form(Non-Individual)> Search

Search

PAN : AAFCP9223 Application Request Id :
 Date From : dd/mm/yyyy Date To : dd/mm/yyyy

Total Records Found : 1

SP Instruction ID	PAN	Applicant Name	Registration No	Status
1000023119	AAFCP9223	BABUBHAI		ACCEPTED BY KRA

Under Non-Individual Modification MI gets the KYC Modification application search screen, Click on “New” button and enter non-individual PAN and click on Search button to fetch PAN detail for modification. If the PAN exists in NDML KRA, following output will be provided:

Once the data is fetched, other KYC attributes can be updated as per existing process. However, a new TAB has been added i.e. “**Supp Details**” for upload of UBO,SHP and BS details.

Market Intermediary Module NSDL KRA

Welcome: ABH1 Last Login Date: 07-01-2026 HI ID: A1348 HI Name: TATA SECURITIES MODIFICATION Current Date: 07-01-2026

Home > KYC Modification Application Form(Non-Individual)> New

Search | New

Instruction Details Status After Modification
 Application Request Id :
 Acknowledgement Number :
 Order Status :
 Instruction Details
 Application Request Id : 1000099319
 Acknowledgement Number : 148006010
 Order Status : ACCEPTED BY KRA

Supplementary Details

Document Type	Applicable Flag	Exempt Reason	Declaration Date	Document Date	Show Document
Ultimate Beneficial Owner	Yes	Please Select	25 10 2025	11 10 2024	Choose File No file chosen
Shareholding Pattern	Yes		25 10 2025	11 10 2024	Choose File No file chosen
Balance Sheet	Please Select				Choose File No file chosen

Current Date : 07-01-2026

As per screenshot, above field details are present in Supp Details Tab.

1. Dropdown under below Document type.

- Field Name: “**Supplementary Details**”

Dropdown Options: You can choose to upload the data / documents against all the below declaration categories or any one or more of these:

- Ultimate Beneficial Owner (UBO) Details
- Shareholding Pattern
- Balance Sheet

2. Details of information to be uploaded

- Select document type as Balance Sheet / UBO / SHP:
- Applicable Flag: Pl. refer to Annexure B.
- UBO Exempt Reason: If Flag “X” is selected in applicable flag. Pl. refer to Annexure B for exemption reasons.
- **Date Field:** Type the date. (DD/MM/YYYY). You need to provide the date corresponding to the Balance Sheet / UBO / SHP (Document Date) and also the date on which the said document has been submitted to you by the client (Declaration Date)
- **Validations:** Refer Annexure B.
- **File Upload Restrictions:** Maximum File Size: 5 MB (for each individual document).
- Nomenclature for document : PAN_UBO.pdf, PAN_BS.pdf, PAN_SHP.pdf

In case the SRI needs to make change only in UBO / SHP / BS information, it may leave all other KYC attributes unchanged

SRI is required to ensure that the respective documents are received from the authorized personnel of the client and the same are duly verified by the SRI before uploading to the KRA. Incorrectly uploaded documents are subject to be rejected.

2 a) Step by step process for one by one upload of full Modification request on Non Individual PANs held with other KRAs

Procedure of OKRA PAN download and IOP modification is same as per existing process. MI has to take download of KYC PAN by providing combination of PAN and Applicant date of birth to fetch OKRA KYC data.



- **Menu Path:** Market Intermediary → KYC Download → Screen based download.

Market Intermediary Module  **NSDL KRA** Home | Change Password | Logout

Welcome: ABM11 Last Login Date: 27-01-2026 MI ID: A1248 MI Name: TATA SECURITIES MODIFICATION Current Date: 27-01-2026

[Home](#) > Inquiry on KYC

Inquiry on KYC

PAN : KFSCL1287V
NDML KYC Status : NOT AVAILABLE WITH NDML

DATA RECEIVED FROM KFINKRA IS AS BELOW

Instruction Details

Application Request Id :	123456	Order Status :	ON HOLD
Registration Number :	II	Applicant Type :	NONINDIVIDUAL
IDP Flag :	13456431	Application Date :	
Batch Code :		Modification/Update Date :	

Modify KYC Data

Identity Details | **Address Details** | **Other Details** | **FATCA Details** | **Supp Details** | **Documents Status**

Identity Details

* Indicates Mandatory Fields

Record Type :	SV ENTERPRISES	KYC Type :	NORMAL KYC
Name of the Applicant :		Father's/Spouse Name :	
Gender :		Marital Status :	
Date of Birth :	15/08/2025	Nationality :	
Date of Incorporation :		Date of Commencement :	30/08/2025
PAN Copy Flag :	Y	PAN Exempt No. :	
PAN :	KFSCL1287V	Exempt Pan :	
PAN Exempt ID Proof :	PAN	DOC Proof :	
Internal Reference :		KYC Status Date :	06/10/2025
Registration No.(e.g.CIN) :	123456	UID No / Non-Aadhaar Proof No (Voter ID, Driving License, Passport, Aadhaar) :	
Residential Status Of Individual :		Place of Incorporation :	HYDERABAD
IDP Flag :	Y	Date of the IDP :	03/08/2025

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Current Date : 27-01-2026

If the PAN is linked or mapped to MI, the KYC details are fetched and the remaining KYC attributes can be updated. Upon successful data fetch, the above screen is displayed with the KYC details, wherein the KYC PAN can be modified by selecting **“Modify Details”** for updation of UBO, SHP and BS documents..

Market Intermediary Module  **NSDL KRA** Home | Change Password | Logout

Welcome: ABM11 Last Login Date: 27-01-2026 MI ID: A1248 MI Name: TATA SECURITIES MODIFICATION Current Date: 27-01-2026

[Home](#) > Inquiry on KYC

Inquiry on KYC

PAN : KFSCL1287V
NDML KYC Status : NOT AVAILABLE WITH NDML

Instruction Details

Application Request Id :	123456	Order Status :	ON HOLD
Registration Number :	II	Applicant Type :	NONINDIVIDUAL
IDP Flag :	13456431	Application Date :	
Batch Code :		Modification/Update Date :	

Identity Details

* Indicates Mandatory Fields

Record Type :	<input type="radio"/> Existing Client <input checked="" type="radio"/> New Client	KYC Type :	NORMAL KYC
Name of the Applicant :	SV ENTERPRISES	Father's/Spouse Name :	
Gender :	<input type="radio"/> Male <input type="radio"/> Female	Marital Status :	<input type="radio"/> Single <input type="radio"/> Married
Date of Birth :	15/08/ / /	Nationality :	-- Please Select --
Date of Incorporation :	/ /	Date of Commencement :	30/08/ / /
PAN Copy Flag :	Yes	PAN Exempt No. :	
PAN :	KFSCL1287V	Exempt Pan :	
PAN Exempt ID Proof :	-- Please Select --	DOC Proof :	
Internal Reference :		KYC Status Date :	06/10/2025
Registration No.(e.g.CIN) :	123456	UID No / Non-Aadhaar Proof No (Voter ID, Driving License, Passport, Aadhaar) :	
Residential Status Of Individual :	<input type="radio"/> Resident Individual <input type="radio"/> Non Resident <input type="radio"/> Foreign National	Place of Incorporation :	HYDERABAD
Residential Status Proof for NRIs :	-- Please Select --	Date of the IDP :	03/08/ / /
Status :	-- Please Select --		
IDP Flag :	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> IDP Exempted		

RAJESH	PARTNERS	KFSPL1195T		HOUSE NO 10-11	PRAKASH NAGAR ROAD NC
-- Please Select --	-- Please Select --				
-- Please Select --	-- Please Select --				
-- Please Select --	-- Please Select --				

FATCA Details

Is FATCA applicable

☒ Yes
☐ No

PAN :

KFSCL1287V

Place Of Birth :

-- Please Select --

Fatca Other services :

-- Please Select --

Date Of Declaration :

03 / 08 / 2025

No Of Countries With Tax Residency : *

-- Please Select --

Country Of Birth :

-- Please Select --

Supplementary Details

Document Type	Applicable Flag	Exempt Reason	Declaration Date	Document Date	Show Document
-- Please Select --	-- Please Select --	-- Please Select --			<div>Choose File</div> <div>No file chosen</div>
-- Please Select --	-- Please Select --				<div>Choose File</div> <div>No file chosen</div>
-- Please Select --	-- Please Select --				<div>Choose File</div> <div>No file chosen</div>

Documents Status

Filer 1 :

Filer 2 :

Filer 3 :

Error Description :

Dump Type :

S

Download Date :

27/01/2026 10:57:14

KRA Info :

KFIN

Signature :

Documents : *

Choose file

No file chosen

The KYC form alongwith supporting documents will have to be uploaded as per extant process. Further, the details of UBO, BS and SHP to be updated have to be entered and the documents as per nomenclature below wherever the details are to be updated will have to be uploaded by SRIs as additional documents as per the nomenclature below:

- a.PAN_UBO.pdf
- b.PAN_BS.pdf
- c. PAN_SHP.pdf

2 b) Step by step process for one by one upload of partial Modification request on Non Individual PANs held with other KRAs ie only update of UBO or BS or SHP is to be done without any change in other KYC attributes

If SRIs want to update only UBO or SHP or BS details without changing any other KYC attributes in KYC records held with Other KRAs, SRIs should download the KYC record. The KYC details will be fetched on the screen, and the supporting documents will be available either in the respective SRIs SFTP folder or via the screen-based OKRA Image Download function.

The same downloaded documents as provided by the respective Other KRA can be reuploaded on as is basis alongwith additional supporting documents related to UBO, BS or SHP as the case may be, details of which are to be updated in KYC record. The screenshots as in process provided in sr no 2a above remain the same for this process.

The structure of the existing KYC document upload will remain unchanged. The documents as per nomenclature below wherever the details are to be updated will have to be uploaded by SRIs as additional documents as per the nomenclature below:

- a.PAN_UBO.pdf
- b.PAN_BS.pdf
- c. PAN_SHP.pdf

3)Step-by-Step Procedure screen based one by one upload of “Supplementary documents” upload directly to NDML system on NDML PANs



1. Upon login in KRA system, navigate to KYC Supplementary Document upload Screen

- **Screen:** MI Dashboard
- **Menu Path:** Market Intermediary → KYC Supplementary Document → Upload Document
- **Action:**
 - Click “**Upload Document**” next to **KYC Supplementary Document**



2. Enter PAN and Validate

- **Screen:** Upload Screen – PAN Search
- **Action:**
 - Enter **PAN** (Non-individual only)

- Click **Search**

Market Intermediary Module

Welcome: SAHEER Last Login Date: 25-06-2025 MI ID: A1706 MI Name: PAYTM MONEY TESTING Current Date: 25-06-2025

Home > KYC Supplementary > Upload Document

KYC Supplementary Document

* PAN : FATCA5458 Search

Name: SAHEER | Status: ACCEPTED BY KRA | Category: BANK

Document Type : * -- Please Select --

Declaration Date : * 25-06-2025

Document Date (As on Date) : *

Upload Document : * (pdf max upto 5mb) Choose File No file chosen

Submit Document Reset

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Current Date : 25-06-2025

• Validation:

- KYC Status must be **ACCEPTED BY KRA**
- PAN must belong to a **mapped MI entity**

Market Intermediary Module

Welcome: SAHEER Last Login Date: 25-06-2025 MI ID: A1706 MI Name: PAYTM MONEY TESTING Current Date: 25-06-2025

Home > KYC Supplementary > Upload Document

KYC Supplementary Document

* PAN : FATCA5458 Search

Name: SAHEER | Status: ACCEPTED BY KRA | Category: BANK

Document Type : * -- Please Select --

Declaration Date : * 25-06-2025

Document Date (As on Date) : *

Upload Document : * (pdf max upto 5mb) Choose File No file chosen

Submit Document Reset

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Current Date : 25-06-2025

3. As per screenshot above field details are present in KYC Supplementary Document Tab.

1. Dropdown under below Document type.

- Field Name: **“Document type”**

Dropdown Options: You can choose to upload the data / documents against all the below declaration categories or any one or more of these:

- Ultimate Beneficial Owner (UBO) Details
- Shareholding Pattern
- Balance Sheet

2. Details of information to be uploaded

- Select document type as Balance Sheet / UBO / SHP:
- UBO Exempt Reason: If Flag “X” is selected in applicable flag. Pl. refer to Annexure B for exemption reasons.

- **Date Field:** Type the date. (DD/MM/YYYY). You need to provide the date corresponding to the Balance Sheet / UBO / SHP (Document Date) and also the date on which the said document has been submitted to you by the client (Declaration Date)
- **Validations:** Refer Annexure B.
- **File Upload Restrictions:** Maximum File Size: 5 MB (for each individual document).
- Nomenclature for document : PAN UBO.pdf, PAN BS.pdf , PAN SHP.pdf
- On successful submission status is shown as **“Pending Verification at NDMLKRA”**

Declaration date can be current date or any date falling between document date and current date. **Document date** has to be date of latest Shareholding Pattern, UBO and Balance sheet document which is uploaded.

- ❖ **Standard Operating Procedure for upload of fresh registration request on non individual category of KYC holders through any of the channels (screen based one by one, screen based in bulk and through API) for upload of latest details of Ultimate Beneficial Owner (UBO), latest shareholding pattern (SHP) and latest balance sheet (BS).**

1) There is no change in current process or file formats followed by SRIs for upload of fresh registration requests on PANs of non individual category of KYC holders. The details of UBO, latest SHP and last 2 years BS will have to be uploaded as part of the document uploaded to NDML.

2) Once the registration request is verified and processed at NDML and status of such request is changed from Under Process to KYC registered then SRIs are requested to immediately upload a partial modification request on the said PAN follow the **Standard Operating Procedure for Screen based one by one upload of partial modification request directly to NDML system on NDML PANs for upload of latest details of Ultimate Beneficial Owner (UBO), latest shareholding pattern (SHP) and latest balance sheet (BS).**

(refer page nos 6 to 8 of this document)

Important points for IOP based modifications w.r.t. inclusion of updates of UBO, BS, and SHP along with updates to solicited and unsolicited downloads.

- 1) In the case of a full modification where KYC data, including UBO, SHP, and BS details, is being changed and also in case of partial modification wherein only UBO, SHP, and BS details are getting updated/modified then the related documents of UBO, SHP, and BS documents will not be appended/attached in existing KYC PDF document (i.e. the structure of existing KYC documents upload will remain unchanged) and these documents will be uploaded by SRIs as additional documents as per nomenclature below.
 - a. PAN_UBO.pdf
 - b. PAN_BS.pdf
 - c. PAN_SHP.pdf
- 2) The documents will continue to be exchanged among KRAs as per existing process and no change in the same. However, now multiple pdf documents may be part of zip file getting shared as part of solicited downloads, unsolicited downloads or IOP based modifications.
- 3) In case of Solicited and unsolicited downloads, the UBO/BS/SHP record with corresponding documents of latest date will be provided in ZIP file as is shared as on date among KRAs for onward sharing with SRIs.
- 4) As on date, all KRAs allow for a modification request to get uploaded if there is a modification request under process on a PAN. The same procedure will continue for full as well as (partial) modification requests.

For eg.:- In case where only UBO details are uploaded by SRI in type o8 modification request then unless such request gets verified/processed at KRA end no new modification request be raised on such PAN.

- 5) The processing status of partial modification requests will be treated at par to a full modification request and status of the same would also get displayed as response of KYC inquiry (IOP 1) by all KRAs as Registered, On hold or Rejected on same lines as that of full modification request. However, acceptance and processing of such partial modification requests i.e. only UBO / SHP / BS updates will have no impact on the primary KYC status.