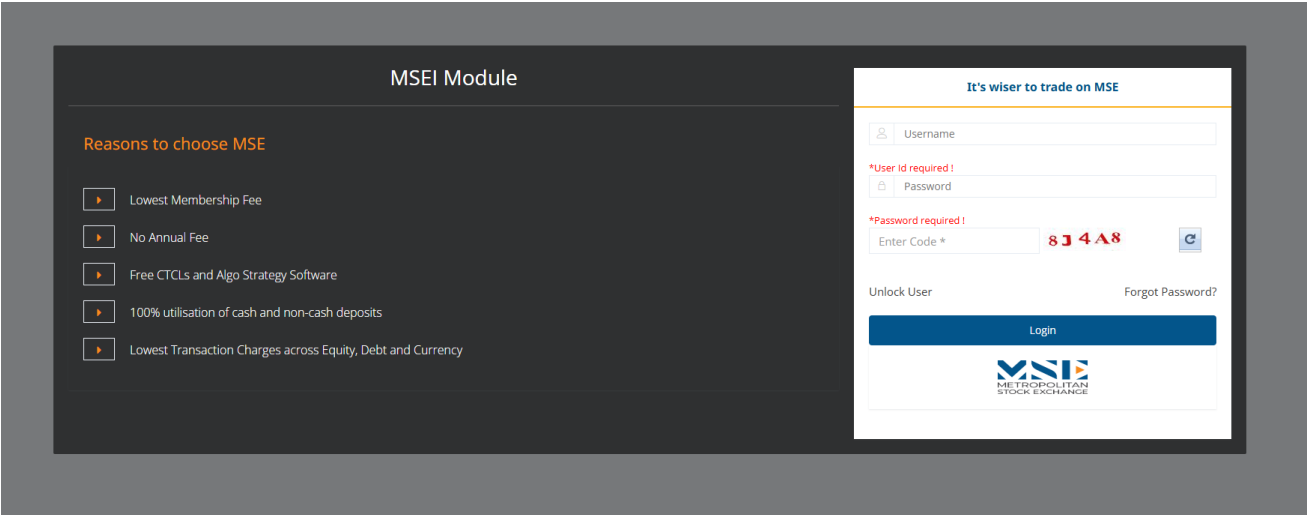


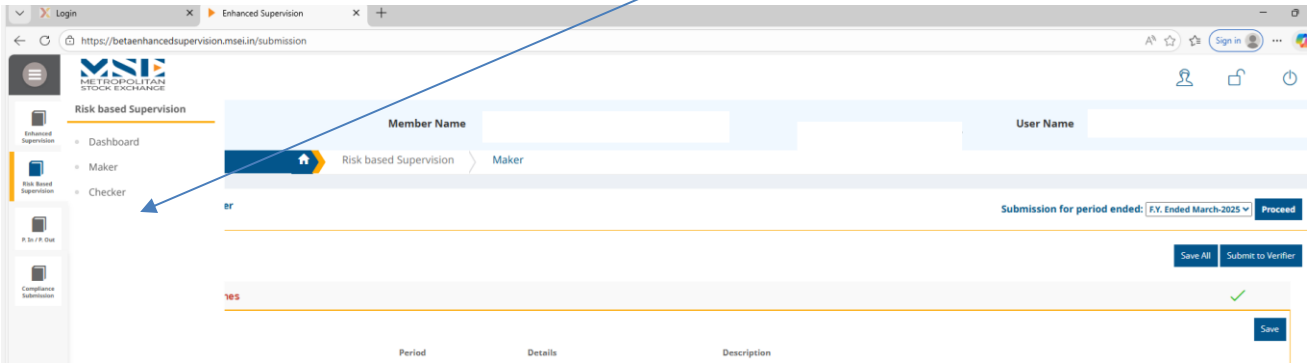
User Guide for Submission of data under Risk based Supervision

1: Login to the system through following URL using the user id and password

<https://enhancedsupervision.msei.in/>



2: Login id of the Trading Member User will have the **Maker-Checker** rights for submission of data.



3: Click on the **Risk Based Supervision** -> Maker tab under the Main Menu. A form for entering the details will appear. Carefully fill in the form as per the details collated by you in the boxes against each of the line items. You may also save the form as draft for later submission.

Risk Based Supervision Maker

Submission for period ended: FY. Ended March-2025 **Proceed**

Section A: Details of Branches ✓

Section B: Details of Branches / APs offices with order placement facility ✗

Section C: Details of withdrawn/ termination of AP ✗

Section D: No of AP and Internet trading clients (MSE only). ✗

Section E: No. of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc. registered as on September 30, 2025 ✗

Section F: Other Details ✗

Section G: Loans given to group companies/ associates/ subsidiaries/ key persons during the assessment period – details, secured/ unsecured and amount involved. ✗

Section H: Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member ✗

Section I: Details of action taken by Police or any Foreign regulator ✗

Section J: Number of Instances of sharing of client information ✗

Section K: Disciplinary actions against key persons of the Member ✗

Section L: Details of Associates/Group Companies/Related Parties ✗

Maker

Section B: Details of Branches / APs offices with order placement facility ✗

S.No	Particulars	Period	Details	Description
3	Number of branches having order placement facility	As on 31/03/2025		Count of branches as on the assessment period as per SEBI circular SEBI/HO/MRSD/DOP1/CR/P/2018/54 dated March 22, 2018.
5	Number of Sub-broker offices with voice recording facility	As on 31/03/2025	0	Note: This Field is not applicable. Count of Sub-broker offices of the members with voice recording facility.
7	Number of APs offices having order placement facility	As on 31/03/2025		Count of APs offices of the member as on the assessment period as per SEBI circular SEBI/HO/MRSD/DOP1/CR/P/2018/54 dated March 22, 2018.

Section C: Details of withdrawn/ termination of AP ✗

Section D: No of AP and Internet trading clients (MSE only). ✗

Section E: No. of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc. registered as on September 30, 2025 ✗

Section F: Other Details ✗

Section G: Loans given to group companies/ associates/ subsidiaries/ key persons during the assessment period – details, secured/ unsecured and amount involved. ✗

Section H: Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member ✗

Section I: Details of action taken by Police or any Foreign regulator ✗

Section J: Number of Instances of sharing of client information ✗

Section K: Disciplinary actions against key persons of the Member ✗

Section L: Details of Associates/Group Companies/Related Parties ✗

Section M: Actions initiated/ taken/ pending against the stock broker, its employees, key persons", controlling person ✗

Section N: Details of Associates/Group Companies/Related Parties ✗

its employees, key persons", controlling person by SEBI, SAT, Courts, Consumer Forums, stock exchanges, other regulators, etc. pertaining to securities market operations in the period

Sr.No.	Particulars	Period	Details	Description
42	No. of Instances of non-compliances	Ason 31/03/2025	1	Count of instances as per sheet
42	Penalty levied (In Rs)	Ason 31/03/2025	1	Amount as per sheet

Section N: Details of Branch and Aps

Once the data is ready to submit (i.e. all the necessary details are correctly filled in by the user (maker), the data should be submitted to the Checker for verification.

Risk Based Supervision Maker

Submission for period ended: F.Y. Ended March-2025

Proceed

Save All

Submit to Verifier

The checker can then in its login, view the details submitted by the Maker for verification by Click on the Risk Based Supervision -> Checker tab under the Main Menu.

Enhanced Supervision

Risk Based Supervision

P. In / P. Out

Compliance Submission

Risk based Supervision

Dashboard

Maker

Checker

ME STO

Dashboard of Checker

Risk Based Supervision > Checker

Risk Based Supervision Checker

For the Period: F.Y. Ended March-2025 | Status: [Dropdown]

[View Details](#)

Show: 10 entries | Search: [Input]

Sr.No.	For The Year	To Date	Approval	Action
1	2024-25	31/03/2025	Not Submitted to checker	[Icon]

Total 1 records

The Checker has the rights to submit the data to the exchange by “Approving” the data in case all the data/information are correct, by clicking on status and then they will have option to approve and reject the data.

Risk Based Supervision > Checker

Risk Based Supervision Checker

For the Period: F.Y. Ended March-2025 | Status: Submitted to Checker

[View Details](#)

Show: 10 entries | Search: [Input]

Sr.No.	For The Year	To Date	Approval
No items found			

The status of the data submitted can be viewed by clicking on the Risk Based Supervision -> Submission Log Report tab under the Action.

Risk Based Supervision > Checker

Risk Based Supervision Checker

For the Period: F.Y. Ended March-2025 | Status: [Dropdown]

[View Details](#)

Show: 10 entries | Search: [Input]

Sr.No.	For The Year	To Date	Approval	Action
1	2024-25	31/03/2025	Not Submitted to checker	[Icon]

Total 1 records

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The detailed data submitted can be viewed by clicking on the Risk Based Supervision -> View the data tab under the **View Details**

The screenshot shows a web application titled "Risk Based Supervision Checker". It features a sidebar on the left with "Risk Based Supervision" and "Compliance Submissions" options. The main area has filters for "For the Period" (F.Y. Ended March-2025) and "Status". Below these is a "View Details" button. A table displays one record with columns: Sr.No., For The Year, To Date, Approval, and Action. The record shows "1" for Sr.No., "2024-25" for For The Year, "31/03/2025" for To Date, and "Not Submitted to checker" for Approval. The Action column contains a "View Details" button, which is highlighted by a blue arrow. The footer includes a copyright notice for Metropolitan Stock Exchange of India Ltd. and a Windows taskbar at the bottom.

Sr.No.	For The Year	To Date	Approval	Action
1	2024-25	31/03/2025	Not Submitted to checker	View Details