## Annexure-B

## 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/

🔀 Login	× +					٥	×
← → C ∆	enhancedsupervision.msei.in				* 🗆	6	:
		MSEI Module	It's wiser to	trade on MSE			
	Reasons to choose MSE		🙎 Username				
		METROPOLITAN STOCK EXC	Password				
	Lowest Membership Fee		Enter Code *	XXUE3 C			
	No Annual Fee	It's wiser to trade on	Forgot Password?				
	Free CTCLs and Algo Strateg	y Software	Lo	gin			
	100% utilisation of cash and	non-cash deposits	X	/SE			
	Lowest Transaction Charges	across Equity, Debt and Currency	METROPOLITAN S	TOCK EXCHANGE			
		RI Y ED					
		7	1				

2: By default, the login id of the compliance officer will have the Maker-Checked rights for submission of data. An sub-ordinate user can be created by clicking on the **My Profile** option on the top right hand-side ribbon and assigning the Maker and/or Checker rights to the specific user as below:

	XMSE				ە <u>م</u> ركى<
Literat September	Member Code	Member Nan	3e		User Name
Rad Dealer Repairment					
	Risk ba	ised Supervision > DASHBOARD			
	Risk Based Sup	ervision Dashboard			
	Sr.No.	Submission Period	Status	Remarks Log	Submission Log
	1	FY ended 31-Mar-18	Not Submitted to checker	0	•
	Total 1 records				
		© Copyr	ight 2017. All rights reserved. Metropolitan Sto	ck Exchange of India Ltd.	

		G4		$\mathbf{i}$	the second se
Enhanced Supervision	Enhanc	ed Supervision			
Fish theed	Broker Profile				
Supervision	Name:			TMID:	
	PAN No:			File ID:	
	Communicatio	on Details			Edit
	Name:			Validity:	Permanent
	Email:		compliancemsx@msei.in	Contact Number:	
	User				Add User
	Name	Email Id	Expiry Date	Status Action	
			No items found		• /

User can be added by clicking on the **Add User** button as mentioned below:

**Rights** can be assigned to the user as below:

			L	<u>с</u> Ф
Enhanced Supervision	Enhanced Supervision			
Rak based Supervision	User			Back to My Profile
	Name * Email *	Contact Number *	Password *	۲
	Expiry Date * 3112-2049 Module Permission	Select All Permissions		
	Client's Funds Lying with the Stock Broker Bank Account Details	Demat Account Details		
	Key Management Person Details	Periodic Client's Funds and Sec	curities Balance	
	Risk Based Surveillance Maker      Submit Reset	Risk Based Surveillance Check	er	

**3:** Click on the **Risk Based Supervision** -> **Maker** tab under the Main Menu. A form for entering the details will appear. Carefully fill 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.

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Linead Linear Linear Linear Linear Linear	Risk based Supervision	iber C	ode M	ember Name			User Name		
	<ul> <li>Submission Log Report</li> <li>Data Export</li> </ul>	Ri	sk based Supervision	Maker					
		sk Bas	ed Supervision Maker		Su	Ibmission for period ended:	FY ended 31-Ma	r-18 🖕 P	roceed
		ection	A: Details of Branches				Save Al	Submit to	Verifier
		\$r.No.	Particulars	Period	Details	Description			Save
		1	Total number of Branches	Ason 31/03/2018		Total Number of (Excluding AP and Branches withou also to be included	Branches of the M Sub broker Offices t any operational to d.	ember ) erminals	
		2	Number of Branches Inspected by Member	2017-18		Count of Branches	Inspected by Merr	tber during d	he perio
		3	Number of APs Inspected by Member	2017-18		Count of APs Insp	ected by Member d	luring the per	riod
		4	Number of Sub-broker Inspecte	d 2017-18		Count of Sub-Brok	iers inspected by M	lember durin	g the pe

	പ ര
Risk based Supervision Aaker	
Risk Based Supervision Maker Submission for period ended: FY ended 31-Mar-	18 - Proceed
Save All	Submit to Verifier
Section A: Details of Branches	×
Section B: Details of Branches / Sub-broker offices with voice recording system	X
Section C: Details of withdrawn/ termination of Sub-broker /AP	X
Section D: No of Sub-broker/AP and Internet trading clients	×
Section E: Number of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc.	X
Section F: Other Details	×
Section G: Loans given to group companies/ associates/ subsidiaries/ key persons – 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	×
	Risk based Supervision       Maker         Risk based Supervision Maker       Submission for period ended: FY ended 31-Mar.         Risk Based Supervision Maker       Submission for period ended: FY ended 31-Mar.         Section A: Details of Branches       Submission for period ended: FY ended 31-Mar.         Section A: Details of Branches       Section B: Details of Branches / Sub-broker offices with voice recording system         Section B: Details of Branches / Sub-broker offices with voice recording system       Section C: Details of withdrawn/ termination of Sub-broker /AP         Section D: No of Sub-broker/AP and Internet trading clients       Section D: No of Sub-broker/AP and Internet trading clients         Section D: No of Sub-broker/AP and Internet trading clients       Section F: Other Details         Section F: Other Details       Section F: Other Details         Section F: Other Details       Section A: Number of client taken by Police or any Foreign regulator         Section I: Details of action taken by Police or any Foreign regulator       Section I: Details of action taken by Police or any Foreign regulator         Section I: Details of Associates/Group Companies       Section I: Details of Associates/Group Companies

					Save All Submit to Verifi			
Section	vection A: Details of Branches							
					Save			
Sr.No.	Particulars	Period	Details		Description			
1	Total number of Branches	Ason 31/03/2018		1	<ul> <li>Total Number of Branches of the Member (Excluding AP and Sub broker Offices)</li> <li>Branches without any operational terminals also to be included.</li> </ul>			
2	Number of Branches Inspected by Member	2017-18		0	Count of Branches Inspected by Member during the period			
3	Number of APs Inspected by Member	2017-18		0	Count of APs Inspected by Member during the period			
4	Number of Sub-broker Inspected by Member	2017-18		0	Count of Sub-Brokers Inspected by Member during the period			
< III >								
Section B: Details of Branches / Sub-broker offices with voice recording system 🗸								

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.

	Save All Submit to Verifier
Section A: Details of Branches	$\checkmark$

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	Dashboard     Maker	ies			Save All Submit to Verifier
Supervision	Submission Log Report     Data Export		Period	Details	Save
		hes	Ason 31/03/2018	1	Total Number of Branches of the Member (Excluding AP and Sub broker Offices)     Branches without any operational terminals also to be included.
		ispected ied	2017-18 2017-18	0	Count of Branches Inspected by Member during the period
		Inspected	2017-18	0	Count of Sub-Brokers Inspected by Member during the period

The Checker has the rights to submit the data to the exchange by **"Approving"** the data in case all the details filled in by the maker are correct. In case, the checker wants some data to be modified by the maker, the checker can do so by clicking the **"Disapprove"** button which will in-turn resubmit the data to the maker for correction and the form will be in an editable mode to the maker.

n	Risk based Supervision Chec	ker				
Risk Ba	sed Supervision Checker			Back to Index		
For Th	<b>1e Period:</b> 2017-18 <b>To Date:</b> 31/03/2018		Status: Approved: Broker	Approve Disapprove		
Section A: Details of Branches						
C. No.	Deutieulane	Devied	Detelle	Description		
<b>Sr.No.</b> 1	Particulars Total number of Branches	Period 2017-18	Details 1	Description   Total Number of Branches of the Member (Excluding AP and Sub broker Offices) Branches without any operational terminals also to be included.		
<b>Sr.No.</b> 1 2	Particulars Total number of Branches Number of Branches Inspected by Member	Period 2017-18 31/03/2018	Details 1 0	Description  • Total Number of Branches of the Member (Excluding AP and Sub broker Offices) • Branches without any operational terminals also to be included. Count of Branches Inspected by Member during the period		
<b>Sr.No.</b> 1 2 3	Particulars       Total number of Branches       Number of Branches Inspected       by Member       Number of APs Inspected       by Member	Period 2017-18 31/03/2018 31/03/2018	Details 1 0 0	Description         • Total Number of Branches of the Member (Excluding AP and Sub broker Offices)         • Branches without any operational terminals also to be included.         Count of Branches Inspected by Member during the period         Count of APs Inspected by Member during the period		

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

				\$ 6 O
Enhansed Supervision Rock Seed Supervision	Risk based Supervision Dashboard Maker Checker Submission Log Report Data Export	ion Submission Log Report		User Name
		Status Status	¢	Search: Approval
		FY ended 31-Mar-18	Apr 2 2018 12:02PM	Approved: Broker

The detailed data submitted can be viewed by clicking on the **Risk Based Supervision -> Data Export** tab under the Main Menu.

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Enhanced	Risk based Supervision	Member Name		User Name
Supervision	<ul> <li>Dashboard</li> </ul>			
Roak Based	• Maker			
Supervision	Checker     Submission Log Report	ion Submission Log Report		
	Data Export			
		Status		
		÷	÷	
		Excel		
				Search:
		ion Period	Last Modified	Approval
		FY ended 31-Mar-18	Apr 2 2018 12:02PM	Approved: Broker