

National Stock Exchange Of India Limited**Department : COMPLIANCE**

Download Ref No: NSE/COMP/46108

Date : October 21, 2020

Circular Ref. No: 66/2020

To All Members,

Sub: Internal Risk Assessment of Registered Intermediaries

This is in continuation to Exchange circular Ref. no. NSE/COMP/45704 dated September 15, 2020 on Internal Risk Assessment of Registered Intermediaries wherein the Exchange has shared the data sets required for the said assessment and had asked the Members to collate the same. In this regard, a new module named- 'Internal Risk Assessment' has been developed in member portal under "ENIT-COMPLIANCE-NEW" service Menu for members to make their submission.

The data/information, consolidated across all Exchanges for the period April 2015 to March 2020, has to be submitted by all the active Members who have executed trades in the financial year 2019-20, latest by **October 31, 2020**. The submission should mandatorily be made electronically through the said module and no physical copies shall be submitted.

The detailed procedure for submitting the data/information through the module is enclosed herewith as **Annexure-A**.

All members are hereby advised to take note of the above and submit the sought information within the prescribed timelines.

For and on behalf of

National Stock Exchange of India Limited**Srijith Menon****Associate Vice President****Telephone No**

1800 266 0050

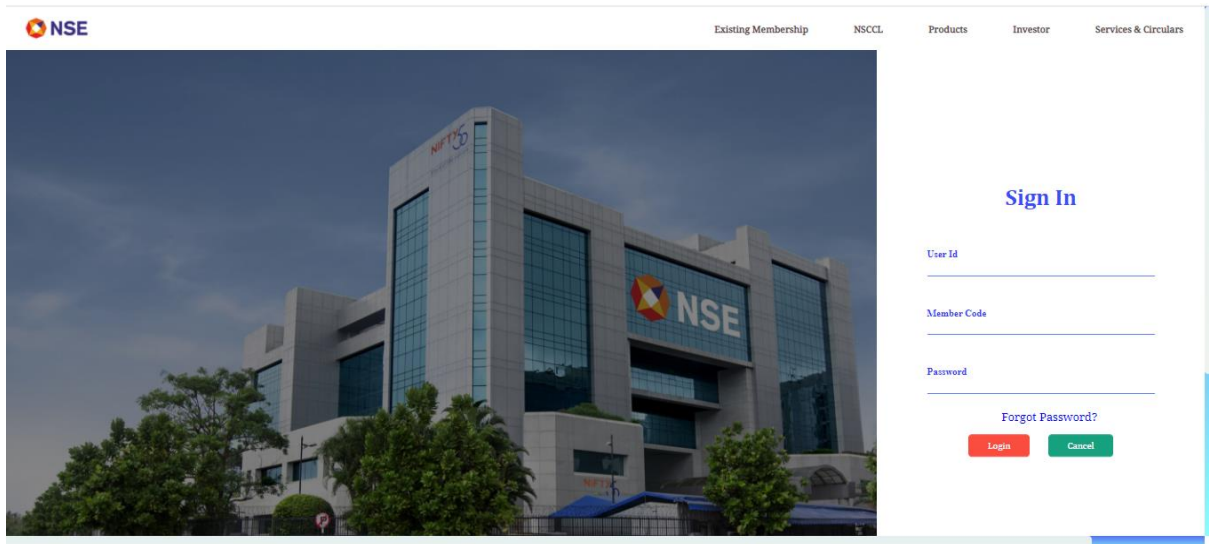
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compliance_mem@nse.co.in

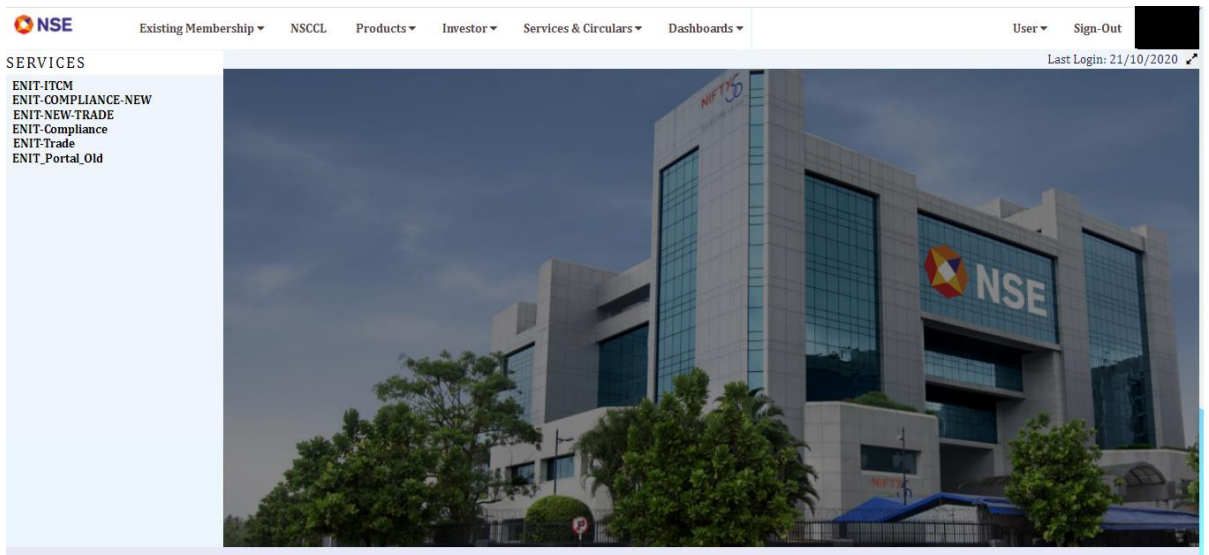
Annexure-A

Step-by Step Guide to submit the forms:

1. Login to Member Portal by typing <https://www.connect2nse.com/MemberPortal/home.jsp>



2. Enter the credentials and click the 'Submit' button.
3. Once user logs in, then following screen will be displayed:



4. Click on "ENIT-COMPLIANCE-NEW" tab under the Services Menu.
5. Under Compliance, select 'Internal Risk Assessment' Module. Upon clicking, the relevant page to submit the data shall be displayed.

Compliance	Trade	Membership
Advertisement		
Client Funding		
Politically Exposed Person		
Insurance		
Quarterly Compliance		
Director Details		
Key Management Personnel		
Half Yearly Networth Submission		
GSTIN		
Margin Trading Approval/Withdrawal		
Surrender		
XBRL Upload		
AML and AI		
Authorised Person		
Processing Fees Letters		
Margin Trading File		
Sub Broker		
Annual Returns		
Internal Risk Assessment		Internal Risk Assessment Form
FATF		Internal Risk Assessment Ris

Internal Risk Assessment Form

- General Information
- Risk Categorization and Periodic Updation of KYC
- Client Due Diligence
- Enhanced Due Diligence
- Implementation of Statutory and Regulatory orders
- Internal ML/TF Risk Assessment
- Questionnaire on sharing of information on KYC/AML/CFT (covering Recommendation 18 of FATF) and Alert Generation system
- AML alert generation system
- Beneficial Owner (BO) Identification
- Record Keeping
- Data on Trainings

6. The page will contain 12 sections. Kindly proceed to submit the applicable data in each of the sections.

7. Section 1 is mandatory for all type of Members. After filling section 1, you are required to select 'Applicable' or 'Not Applicable' in each of the remaining 11 sections based on the applicability.

Internal Risk Assessment Form

General Information

Asset Size:		Name of the Principle Officer:		Email Id of the Principle Officer:		Contact Number of Principle Officer:	
Mobile Number of Principle Officer:		Name of Compliance Officer:		Email Id of Compliance Officer:		Contact Number of Compliance Officer:	
Mobile Number of Compliance Officer:		Name of Designated Director:		Email Id of Designated Director:		Name of the Application/System/Software used for AML/CFT :	
No of Years In Broking Business:		No of Years Associated With Exchange:		Latest Net worth (As On 31-Mar-2020):		Brokerage Income for the FY 2019-20:	
Total Turnover for the FY 2019-20:		Type Of Client:	Select				

Risk Categorization and Periodic Updation of KYC

8. In case you submit 'Applicable', proceed to submit the data by clicking on '+' sign to expand the relevant section.

(Do not forget to click on 'SAVE' each form after filling. There is an option to 'RESET' as well if need be)

9. Provision to 'add or 'Delete row' has also been provided at relevant places. However, one row is mandatorily required to be filed.

Sr.No	Parameters*	Delete
1		
2		Delete
3		Delete

10. The upload of attachments is permissible in PDF (.pdf) and Zip formats.

11. After all forms are submitted, you will get a preview of the entire form. You may also click on 'SAVE as DRAFT' option if you wish to keep the form on Save mode.

Implementation of Statutory and Regulatory orders

Internal ML/TF Risk Assessment

Questionnaire on sharing of information on KYC/AML/CFT (covering Recommendation 18 of FATF) and Alert Generation system

AML alert generation system

Beneficial Owner (BO) Identification

Record Keeping

Data on Trainings

Audit and Governance

12. For making the submission click on the 'Declaration', then 'Certify' by affixing the digital signature and then click on 'Submit'. Once submitted, a message shall be displayed that form has been submitted successfully and a REF no. shall be generated.

13. Once submitted, you cannot neither edit the form nor delete it. Hence you are requested to kindly review the information/data thoroughly before submission.

14. If you wish to view the form after the submission, kindly click on the "Internal Risk Assessment MIS" tab under the 'COMPLIANCE' menu. You can view the submitted form by clicking on the Ref No. and the status shall be shown as 'SUBMIT to EXCHANGE'.

INTERNAL RISK ASSESSMENT MIS

Member Name

Member Code

Request Status

Select

Request Reference No

Statement From Date

Statement To Date

Applicability

Select

Search

Reset