

Annexure B

MANUAL FOR SUBMISSION OF INVENTORY OF ASSETS BY MEMBER AND AUDITOR

The submission of Inventory of assets is divided into three parts:

Part A – Member needs to fill the data and submit the data to Auditor for certification.

Part B – Auditor to certify the data provided by member.

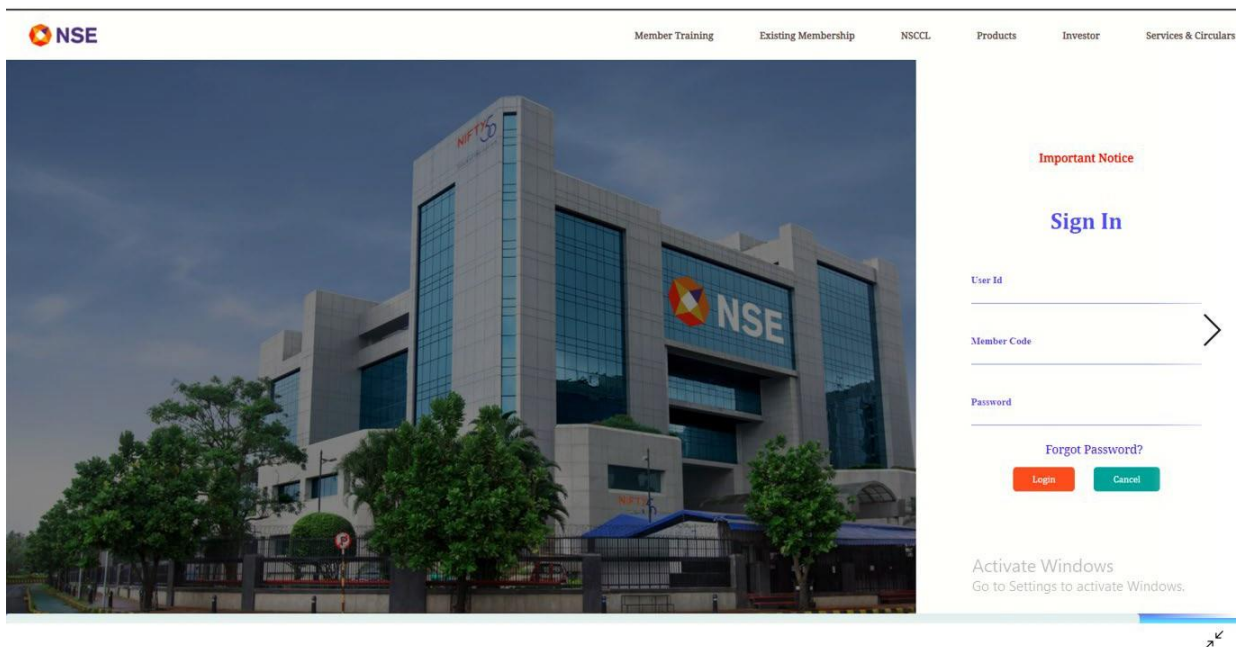
Part C – Member to submit the data to Exchange after certification of the Auditor.

PART A – BY MEMBER

Step: 1 - Open your Internet browser from the desktop.

Step: 2- Type <https://enit.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

Step:3 - NSE Member Portal Login screen will appear as below:



NSE

Member Training Existing Membership NSCL Products Investor Services & Circulars

Important Notice

Sign In

User Id

Member Code

Password

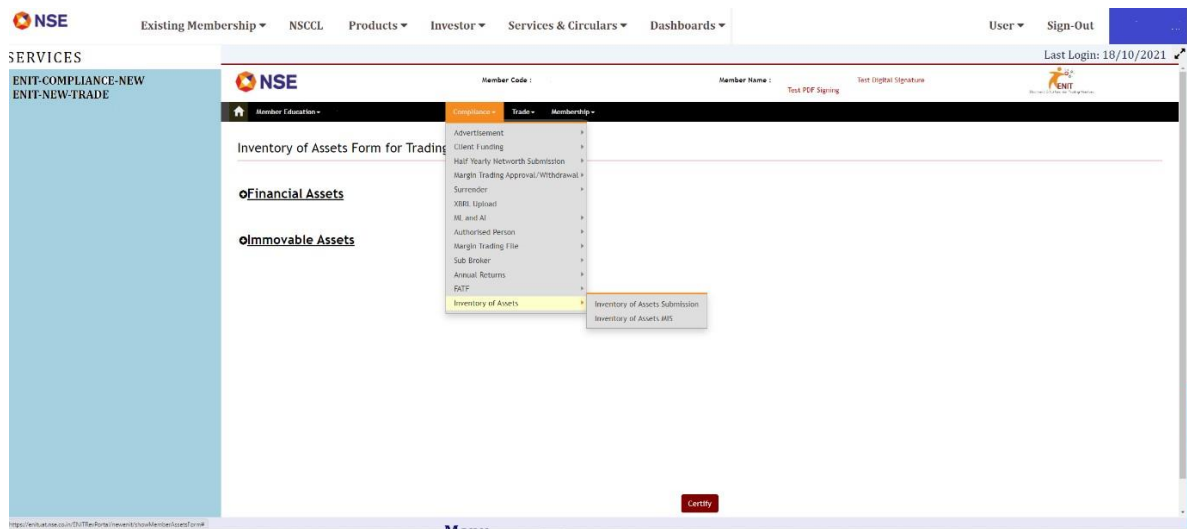
[Forgot Password?](#)

[Login](#) [Cancel](#)

Activate Windows
Go to Settings to activate Windows.

Step: 4- Select “ENIT-COMPLIANCE-NEW” tab at the left side

Select Inventory of assets – Inventory of Assets submission tab as displayed below from Compliance tab:



Step: 5- Click on ‘Financial Assets’ tab to fill the required details as mentioned in the screen:

Inventory of Assets Form for Trading Member

● **Financial Assets**

1	Name of financial assets	Total Balance as 31-Mar-2022(Rs. in Lakhs)
A	Cash in Hand	

2	Name of financial assets	Total no. of bank accounts	Total value as on 31-Mar-2022
A	Own Bank Balance		
B	Client bank balance		
C	Settlement A/c balance		

3	Name of financial assets	Total no. of FDR's and other deposits	Total value as on 31-Mar-2022 (Rs. in Lakhs)	Encumbrances such as Mortgage, hypothecation etc.	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022
A	FDR and other deposits						

4	Name of financial assets	Total no. of bank guarantee valid as on 31-Mar-2022	Total value as on 31-Mar-2022(Rs. in Lakhs)
A	Bank Guarantees		

5	Name of financial assets	Total Book value as on 31-Mar-2022 (Rs. in Lakhs)	Encumbrances such as Mortgage, hypothecation etc.	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022
A	Details of investments in Bonds/debentures/shares/mutual funds and others					

6	Name of financial assets	No. of subsidiary and associate companies	Total Book value as 31-Mar-2022 (Rs. in Lakhs)	Encumbrances such as pledge etc.	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022
A	Investment in subsidiary and associate companies						

7	Name of financial assets	Total no. of Personal Loans/advances given	Amount of Principal (Rs. in Lakhs)	Total Book value as 31-Mar-2022(Rs. in Lakhs)
A	Loans & advance given to Associates & group companies including Inter corporate Deposits			
B	Loans & advance given to Directors/Partners/Proprietor/related parties			
C	Loans & advance given to staff			

8	Name of financial assets	Total no. receivables	Total balance as 31-Mar-2022 (Rs. in Lakhs)	Total balance outstanding for more than 3 months as on 31-Mar-2022	Encumbrances such as Mortgage, hypothecation etc.	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022
A	Receivables from clients across Exchanges							
B	Receivables from others Non client entities							

Note:

- Own Bank Balance, Client Bank Balance and Settlement A/c Balance mentioned at point no. 2 shall be auto populated.
- FDRs and other deposits/BGs pledged with Exchange/Clearing Corporation need not be reported.

- Receivable from Client Across Exchanges - Member may consider clients across all licences under the Member entity towards receivables from client. Further for "Receivable from Client Across Exchanges" you are required to take the total of debit balances (receivable balances) for all your registered clients, whether custodian settled or not, as recorded in your books as on March 31, 2022. If the Brokerage amount is showing as debit in the client ledger as on March 31, 2021, it has to be shown.
- Receivable from Non-Client Entities - For this field Members are required to mention the total of debit balances (i.e. which is due to you) from non-client entities/persons, as recorded in your books as on March 31, 2022.

Step:6- Click on ‘Immoveable Assets’ tab to fill the required details as mentioned in the below screen:

Immoveable Assets

Agricultural Land									
Sr No	Owned/Leased	Book value as 31-Mar-2022(Rs. in Lakhs)	Address	Area (in sq.ft.)	Encumbrances such as Mortgage, hypothecation etc	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022	
A	Select								ADD MORE

Non-agricultural Land									
Sr No	Owned/Leased	Book value as 31-Mar-2022(Rs. in Lakhs)	Address	Area (in sq.ft.)	Encumbrances such as Mortgage, hypothecation etc	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022	
A	Select								ADD MORE

Residential property									
Sr No	Owned/Leased	Book value as 31-Mar-2022(Rs. in Lakhs)	Address	Area (in sq.ft.)	Encumbrances such as Mortgage, hypothecation etc	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022	
A	Select								ADD MORE

Office Premises									
Sr No	Owned/Leased	Book value as 31-Mar-2022(Rs. in Lakhs)	Address	Area (in sq.ft.)	Encumbrances such as Mortgage, hypothecation etc	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022	
A	Select								ADD MORE

Others									
Sr No	Owned/Leased	Book value as 31-Mar-2022(Rs. in Lakhs)	Details of Assets	Encumbrances such as Mortgage, hypothecation etc	Amount of funds raised (Rs. In Lakhs)	Name of the Lender	Outstanding amount with lender as on 31-Mar-2022		
A	Select							ADD MORE	

SAVE Reset

Declaration* ☐ : I/We hereby declare that all the information provided is correct to the best of my knowledge

RESET Submit To Auditor

Certify

In the drop-down menu, you can select any of the one option from:

1. **Owned**
2. **Leased** – *It means the property which is registered in Member's name and given on lease by Member to some other entity/individual. If member is paying rent for any property/premises than the same shall not be required to be reported here.*
3. **Nil**

Note: In case nil is selected than mention “0” in all the other fields.

Step:7 – After filling all the details in both the tabs, tick mark the declaration option and click on certify tab to affix digital signature:

The screenshot shows the NSE website interface for the 'Inventory of Assets Form for Trading Member'. The header includes the NSE logo and navigation links for Compliance, Trade, and Membership. The form has two tabs: 'Financial Assets' and 'Immovable Assets'. Below the tabs, there is a declaration section with a checkbox and the text: 'Declaration: I/We hereby declare that all the information provided is correct to the best of my knowledge'. There are two buttons: 'RESET' and 'Submit To Auditor'. At the bottom of the form, there is a 'Certify' button.

Step:8 – After affixing digital signature, click on button – ‘Submit to Auditor’:

This screenshot is identical to the previous one, showing the NSE website interface for the 'Inventory of Assets Form for Trading Member'. The form has two tabs: 'Financial Assets' and 'Immovable Assets'. Below the tabs, there is a declaration section with a checkbox and the text: 'Declaration: I/We hereby declare that all the information provided is correct to the best of my knowledge'. There are two buttons: 'RESET' and 'Submit To Auditor'. At the bottom of the form, there is a 'Certify' button.

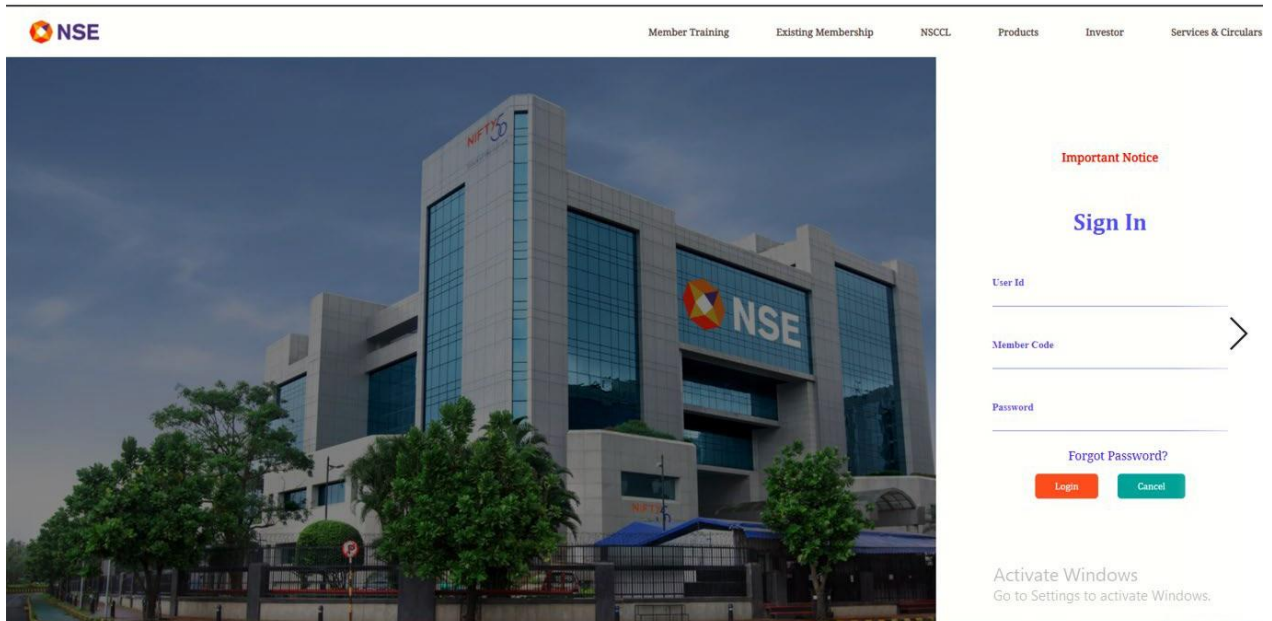
Note: Digital Signature is not mandatory.

PART B – BY AUDITOR

Step: 1 - Open your Internet browser from the desktop.

Step: 2- Type <https://enit.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

Step:3 - NSE Member Portal Login screen will appear as below for auditor to login:



NSE

Member Training Existing Membership NSCL Products Investor Services & Circulars

Important Notice

Sign In

User Id

Member Code

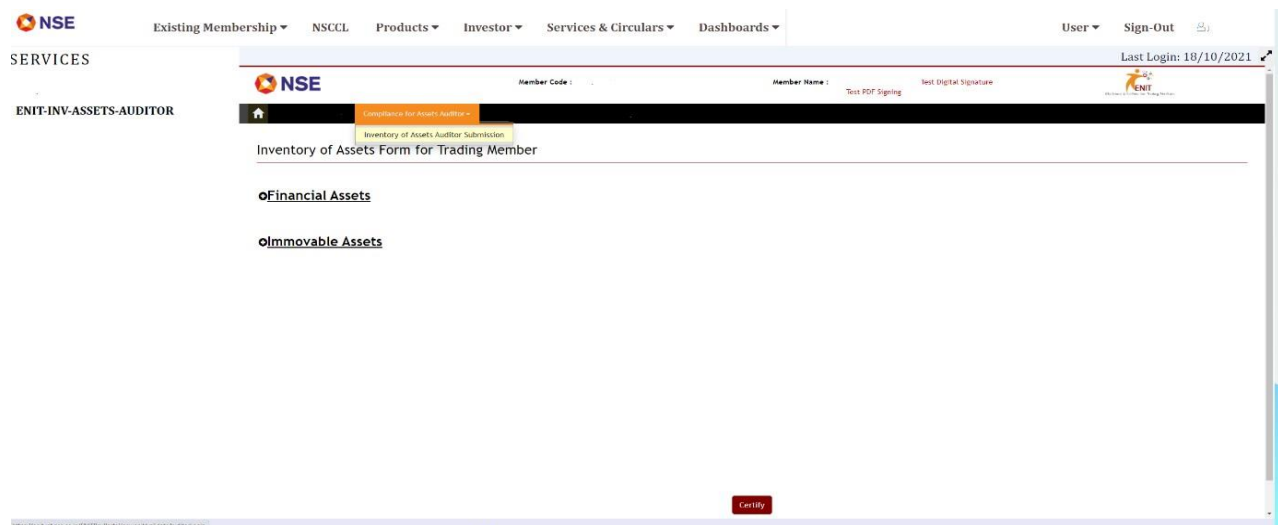
Password

Forgot Password?

Login Cancel

Activate Windows
Go to Settings to activate Windows.

Step:4 – Auditor can view the below screen, select the tab ‘Inventory of Asset-Auditor Submission’ from Compliance module.



NSE

Existing Membership NSCL Products Investor Services & Circulars Dashboards

User Sign-Out

Last Login: 18/10/2021

ENIT-INV-ASSETS-AUDITOR

NSE

Member Code: Member Name: Test PDF Signing Test Digital Signature

Compliance for Assets Auditor

Inventory of Assets Auditor Submission

Inventory of Assets Form for Trading Member

Financial Assets

Immovable Assets

Certify

Step 5: After checking all the details entered by member in the tabs –‘Financial assets and Immoveable assets’, auditor needs to tick the declaration and select any of the one option mentioned below:

- 1. Approved – If auditor finds everything in order, click on Approved. Auditor has to then certify the form by affixing the digital signature by clicking on ‘Certify’ tab**

Inventory of Assets Form for Trading Member

[Financial Assets](#)

[Immoveable Assets](#)

Declaration: I/We hereby declare that all the information provided is correct to the best of my knowledge

RESET Approved Return To Member

Certify

- 2. Return to member – In case any discrepancy is observed, click on this button.**

If Auditor selects ‘Return to member’, then auditor has to provide reasons of deficiency as mentioned below in the screen and click on submit.

Intimation of Deficiency

Reason of Deficiency

Close Submit

Declaration: I/We hereby declare that all the information provided is correct to the best of my knowledge

Approved Return To Member

Certify

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PART C – BY MEMBER

Step:1 – Once the Auditor sends the data to member, then the member can check the status in the tab – “Inventory of Assets – MIS”.

If any rejection is mentioned by auditor than Member has to again submit the data after doing the required correction to Auditor. (Follow step 7 & 8 of Part A)

The screenshot shows the NSE website interface for the 'Inventory of Assets Form for Trading Member'. The header includes the NSE logo, Member Code, Member Name, and Text Digital Signature fields. The main content area has two sections: 'Financial Assets' and 'Immovable Assets'. Below these is a declaration checkbox with the text 'I/We hereby declare that all the information provided is correct to the best of my knowledge'. There are two buttons: 'RESET' and 'Submit To Auditor'. At the bottom, there is a 'Certify' button.

Step 2: If Auditor approves the data, member needs to tick the declaration and click on ‘Certify’ tab to affix the digital signature

This screenshot is similar to the previous one, but the 'Submit To Auditor' button has been replaced by a 'Submit To Exchange' button. The 'Certify' button remains at the bottom. The declaration checkbox is still present with the same text.

Step 3: After affixing digital signature, click on the button ‘Submit to Exchange’.

NSE

Member Code : Member Name : Text Digital Signature

Compliance Trade Membership

Inventory of Assets Form for Trading Member

[Financial Assets](#)

[Immovable Assets](#)

Declaration: ☐ I/We hereby declare that all the information provided is correct to the best of my knowledge

Submit To Exchange

Certify

Step:4 – Member can check the status of submission of Inventory of Assets by clicking on the tab ‘Inventory of Assets – Inventory of Assets MIS’ as shown below:

NSE

Existing Membership NSCL Products Investor Services & Circulars Dashboards

User Sign-Out Last Login: 18/10/2021

SERVICES

ENIT-COMPLIANCE-NEW
ENIT-NEW-TRADE

NSE

Member Code : Member Name : Text PDF Signing Text Digital Signature

Member Education Trade Membership

Inventory of Assets Form for Trading

[Financial Assets](#)

[Immovable Assets](#)

Advertisement
Client Funding
Half Yearly Networth Submission
Margin Trading Approval/Withdrawal
Surrender
XBRL Upload
IN and AI
Authorized Person
Margin Trading File
Sub Broker
Annual Returns
BTF
Inventory of Assets

Inventory of Assets Submission
Inventory of Assets MIS

Certify

Step:5-The below screen will appear after submitting the data to Exchange. The status will appear as “Submit To Exchange”

The screenshot displays the NSE (National Stock Exchange) web interface. At the top, there is a header with the NSE logo, navigation tabs for Compliance, Trade, and Membership, and user information including Member Code, Member Name, and a Test Digital Signature. Below the header, the main section is titled "ASSETS OF MEMBER MIS". It contains several input fields: Member Name, Member Code, Request Status (a dropdown menu currently showing "Select"), Request Reference No., Statement From Date, and Statement To Date. A "Search" button and a "Reset" button are located below these fields. Below the search area is a table with the following columns: S/N, Request Ref.No, Member Code, Status, and As on Date. The table contains one row with the following data: S/N: 1, Request Ref.No: [redacted], Member Code: [redacted], Status: SUBMIT TO EXCHANGE, and As on Date: 01-OCT-21. At the bottom of the table, there is a pagination bar showing "Page 1 of 1" and a "View 1 of 1" link. The footer of the page states "NSE Copyright (c) 2016".

S/N	Request Ref.No	Member Code	Status	As on Date
1	[redacted]	[redacted]	SUBMIT TO EXCHANGE	01-OCT-21

Note: Member can view the other Status such as Save, Submit to Auditor, Return by Auditor, Approved by Auditor, Submit to Exchange as per the status of the submission.

-END-