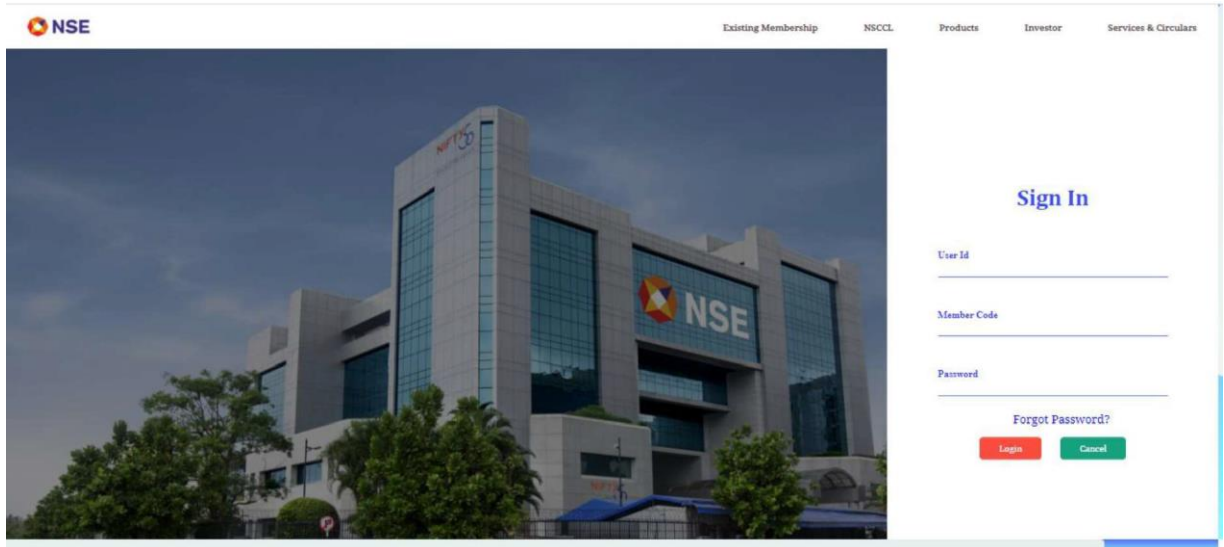


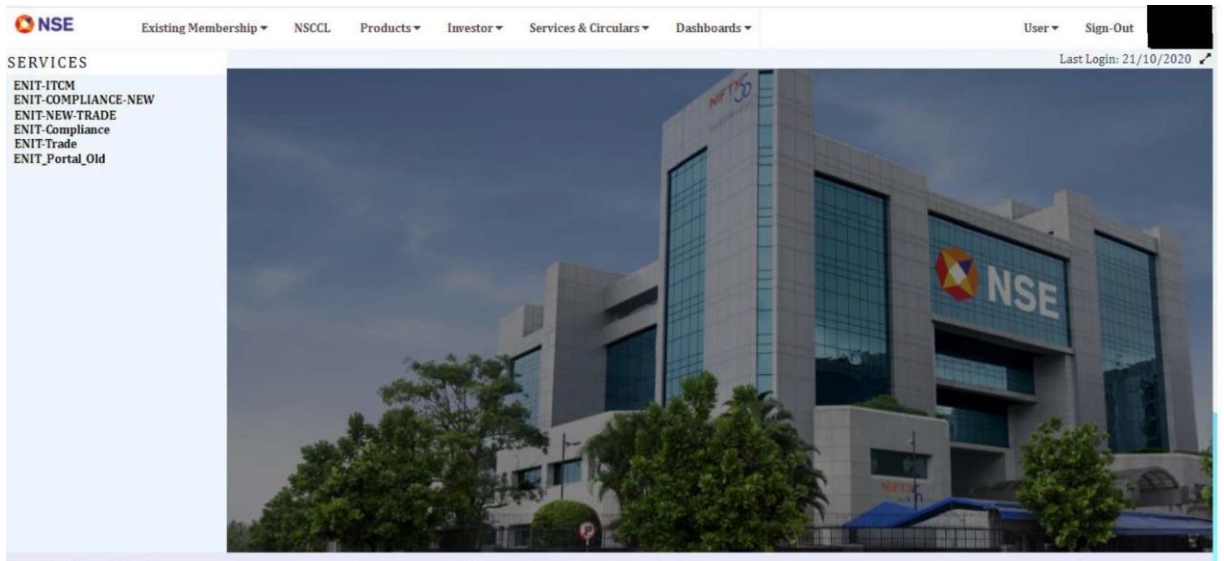
Annexure-A

Step-by Step Guide to submit the forms

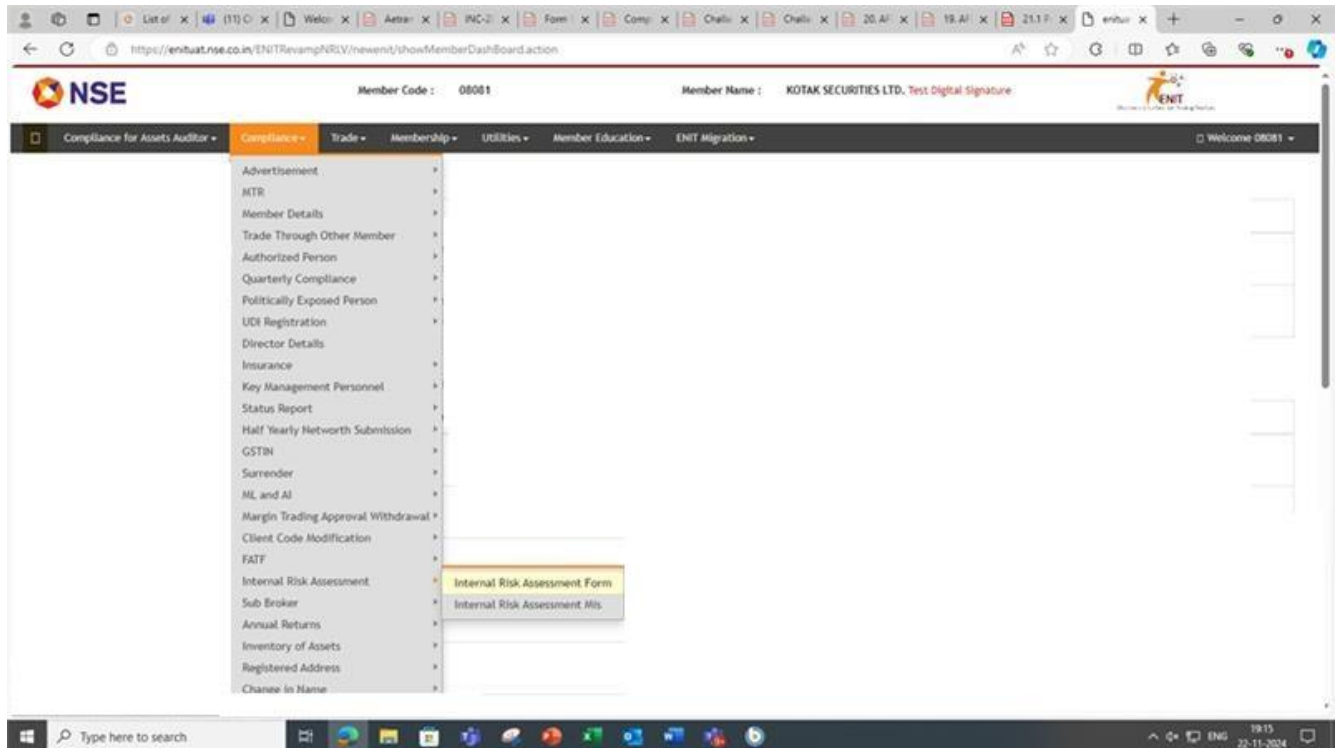
1. Login to Member Portal by typing <https://www.connect2nse.com/MemberPortal/home.jsp>



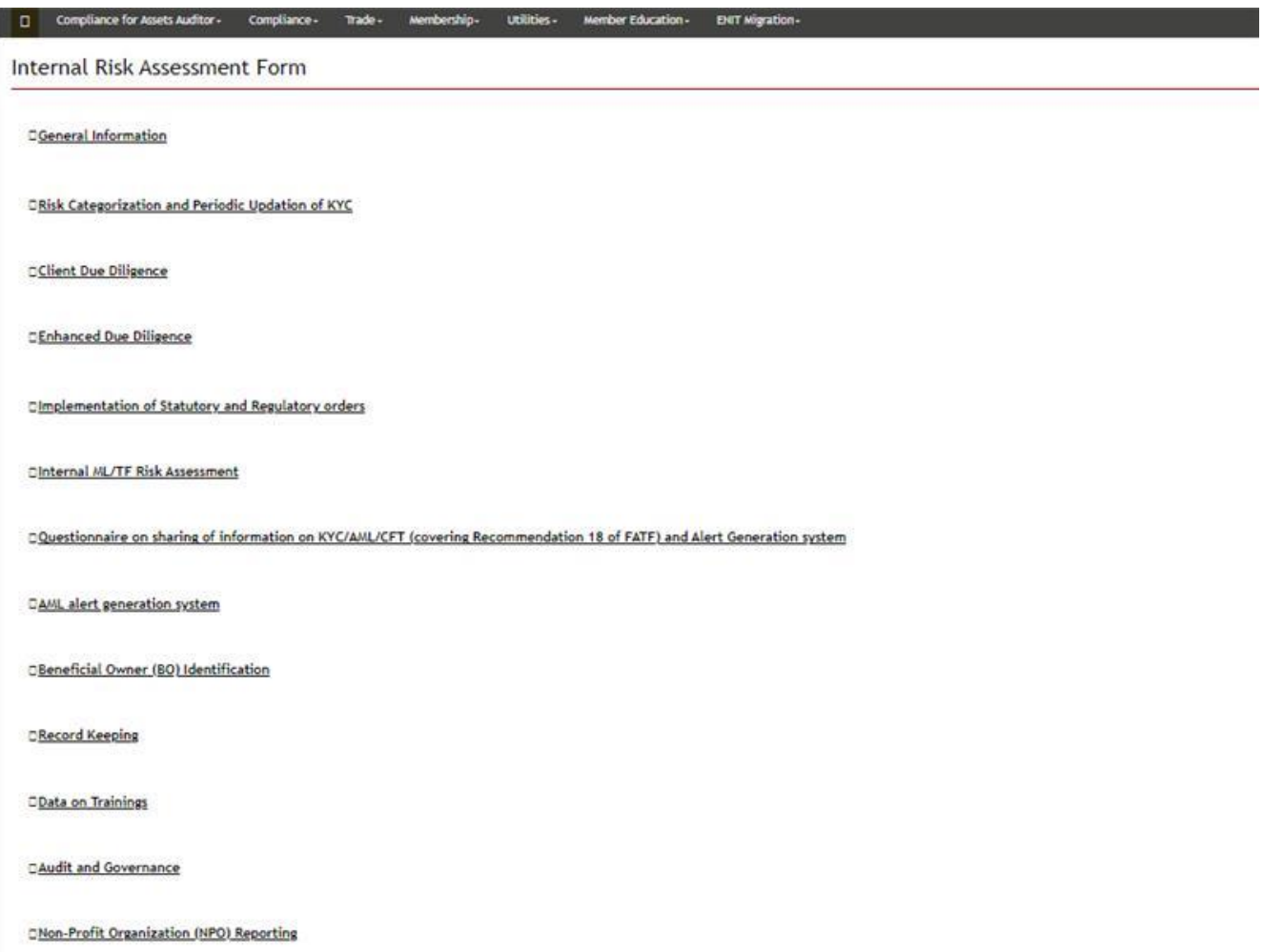
2. Enter the credentials and click the 'Submit' button.
3. Once user logs in, then following screen will be displayed:



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.



The screenshot shows the NSE Member Dashboard for Member Code 08081 and Member Name KOTAK SECURITIES LTD. The 'Compliance' tab is selected, and the 'Internal Risk Assessment Form' is highlighted in the dropdown menu. The Windows taskbar at the bottom shows the date as 22-11-2024 and time as 19:15.



The screenshot displays the 'Internal Risk Assessment Form' with the following sections:

- [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](#)
- [Audit and Governance](#)
- [Non-Profit Organization \(NPO\) Reporting](#)

6. The page will contain 13 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 sections based on the applicability.

Internal Risk Assessment Form

General Information

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

Risk Categorization and Periodic Update 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 filled.

Sr.No	Parameters*	Delete
1	<input type="text"/>	
2	<input type="text"/>	<input type="button" value="Delete"/>
3	<input type="text"/>	<input type="button" value="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 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 submission, kindly click on "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	<input type="text"/>	Member Code	<input type="text"/>
Request Status	<input type="text" value="Select"/>	Request Reference No	<input type="text"/>
Statement From Date	<input type="text" value=""/> 	Statement To Date	<input type="text" value=""/> 
Applicability	<input type="text" value="Select"/>		