

ANNEXURE I

User Manual For Electronic Reporting For Artificial Intelligence (AI) And Machine Learning (ML) Applications And Systems Offered And Used By Members (Electronic NSE Interface For Trading Members)

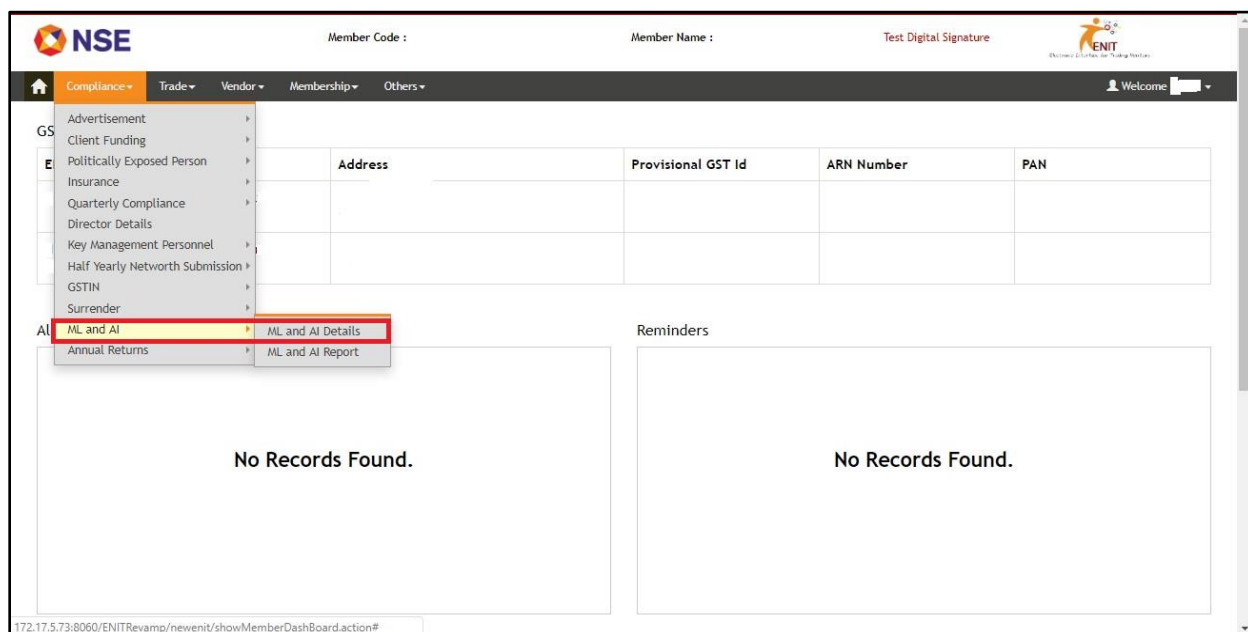
1.1 Half yearly/Annual Compliance for ML and AI

Trading members need to do the Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by them for every half year/annually as applicable. Using this module, user can submit the details.

1.1.1 ML and AI

[A] Open 'ML and AI' screen:

1. Login with correct member credentials.
2. Click on 'Compliance'.
3. Go to 'ML and AI'.
4. Select 'ML and AI details' & click on it.



The screenshot shows the NSE Member Dashboard interface. At the top, there is a header with the NSE logo, Member Code, Member Name, Test Digital Signature, and a user profile icon. Below the header is a navigation bar with tabs: Compliance, Trade, Vendor, Membership, and Others. The 'Compliance' tab is active, and a dropdown menu is open, showing various compliance-related options. The 'ML and AI' option is highlighted, and its sub-menu is visible, showing 'ML and AI Details' and 'ML and AI Report'. The main content area is divided into two sections: a table for 'ML and AI' details and a 'Reminders' section. Both sections display 'No Records Found.'.

Address	Provisional GST Id	ARN Number	PAN

Reminders

No Records Found.

Below screen will open & user has to fill all editable fields. This form will contain dropdowns, texts and fields to be filled.

‘Name of Trading Member, Entity SEBI Reg. No., Entity PAN No. and Registered Entity Category’ are the auto populated fields which are disabled.

The submission period (as applicable) will be populated on the screen as highlighted below in red.

*For Trading Members using Algorithm software

You are submitting for the period of 01-Oct-2024 to 31-Mar-2025

System Details

Application / System name*

Type of area where AI or HL is used*

Select Type

Does the system fall under discretionary investment or Portfolio management activities?*

☒ Yes ☐ No

Is the application/system used in area of Cyber Security to detect attacks *

☒ Yes ☐ No

What is the name of the Tool / Technology that is categorized as AI and HL system / Application and submissions are declared vide this response*

Are the key controls and control points in your AI or HL application or systems in accordance to circular of SEBI that mandate cyber security control requirements?*

Describe the application / system and how it uses AI / HL as portrayed in the product offering *

Does system audit report comply to circular no. SEBI/HO/NRSD/DO52/CIR/P/2019/10 dated January 4, 2019 of SEBI*

☒ Yes ☐ No ☐ NA

Date from when the Application / System was used*

Does the system involve order initiation, routing and execution?*

☒ Yes ☐ No

Does the system disseminate investment or trading advice or strategies?*

☒ Yes ☐ No

What claims have been made regarding AI and HL Application / System , if any? *

How was the AI or HL project implemented *

Select Type

Is the AI / HL system included in the system audit, if applicable?*

☒ Yes ☐ No ☐ NA

What safeguards are in place to prevent abnormal behavior of the AI or HL application / System *

Is there any adverse comment in the System audit report*

☒ Yes ☐ No ☐ NA

NSE Copyright (c) 2016
Add Row
⬆

*For other Trading Members

You are submitting the request for 01-Apr-2024 to 31-Mar-2025

System Details

Application / System name*

Type of area where AI or HL is used*

Select Type

Does the system fall under discretionary investment or Portfolio management activities?*

☒ Yes ☐ No

Is the application/system used in area of Cyber Security to detect attacks *

☒ Yes ☐ No

What is the name of the Tool / Technology that is categorized as AI and HL system / Application and submissions are declared vide this response*

Are the key controls and control points in your AI or HL application or systems in accordance to circular of SEBI that mandate cyber security control requirements?*

Describe the application / system and how it uses AI / HL as portrayed in the product offering *

Does system audit report comply to circular no. SEBI/HO/NRSD/DO52/CIR/P/2019/10 dated January 4, 2019 of SEBI*

☒ Yes ☐ No ☐ NA

Date from when the Application / System was used*

Does the system involve order initiation, routing and execution?*

☒ Yes ☐ No

Does the system disseminate investment or trading advice or strategies?*

☒ Yes ☐ No

What claims have been made regarding AI and HL Application / System , if any? *

How was the AI or HL project implemented *

Select Type

Is the AI / HL system included in the system audit, if applicable?*

☒ Yes ☐ No ☐ NA

What safeguards are in place to prevent abnormal behavior of the AI or HL application / System *

Is there any adverse comment in the System audit report*

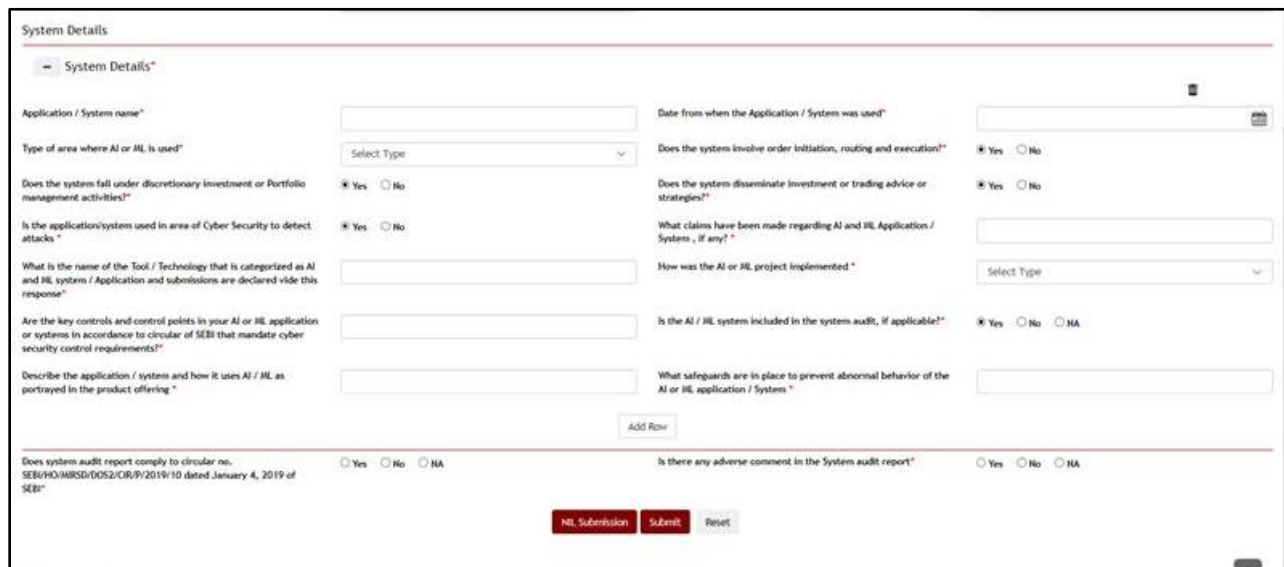
☒ Yes ☐ No ☐ NA

NSE Copyright (c) 2016
Add Row
⬆

User needs to fill/select other details as required in the form under ‘System Details 1’.

In case user wants to report more than one such AI-ML system, user needs to click on ‘Add Row’ button and a new ‘System Details 2’ will be available to fill the details. Similarly, user can create as many ‘System Details’ as he wants – by clicking on ‘Add Row’ button.

If AI-ML systems are not used by members and user wants to report accordingly, user needs to click on NIL submission.



[B] Submitting the details:

1. Once user has finished filling the details and clicked on Submit OR
2. User has clicked on NIL submission.

The successful alert is seen when user submits the details successfully. It will also generate a Reference No. as follows:

Machine Learning & Artificial Intelligence

Period¹ Select Type

Entity SEBI Registration Number Registered Entity Category Trading Member

Entity Name

System Details

System Details²

Application / System name³ System was used⁴

Type of area where AI or ML is used⁵ Select Type

Does the system fall under discretionary investment or Portfolio management activities?⁶ ☐ Yes ☐ No

Does the system involve order initiation, routing and execution?⁷ ☐ Yes ☐ No

Does the system disseminate investment or trading advice or strategies?⁸ ☐ Yes ☐ No

Is the application/system used in area of Cyber security to detect attacks ⁹ ☐ Yes ☐ No

What claims have been made regarding AI and ML Application / System , if any? ¹⁰

What is the name of the Tool / Technology that is categorized as AI and ML system / Application and submissions are declared vide this response¹¹

How was the AI or ML project implemented ¹²

Are the key controls and control points in your AI or ML application or systems in accordance to circular of SEBI that mandate cyber security control requirements?¹³ ☐ Yes ☐ No ☐ N/A

Is the AI / ML system included in the system audit, if applicable?¹⁴ ☐ Yes ☐ No ☐ N/A

Describe the application / system and how it uses AI / ML, as portrayed in the product offering ¹⁵

What safeguards are in place to prevent abnormal behavior of the AI or ML application / System ¹⁶

Does system audit report comply to circular no. SEBI/HO/IR/D0012/CIR/P/2019/10 dated January 4, 2019 of SEBI¹⁷ ☐ Yes ☐ No ☐ N/A

Is there any adverse comment in the System audit report?¹⁸ ☐ Yes ☐ No ☐ N/A

Confirmation

ML and AI request has been submitted successfully. Your reference id is

OK

When AI-ML submission is done successfully, the same will reflect under “ML and AI Report” section.

*Note – AI-ML Submission done till 01-Jul-2023 are quarterly submissions. Subsequent submissions made are half yearly/annually.



Member Code : Member Name : Test Digital Signature

Compliance for Assets Auditor • Compliance • Trade • Membership • Utilities • Member Education • ENIT Migration •

Welcome

Machine Learning & Artificial Intelligence Report

Member Name Member Code

Submission From Date Submission End Date

Period Start Date

AI/ML Submissions done till 01-Jul-2023 are quarterly submissions. Subsequent submission made are half yearly.

Search Reset

Sr. No.	Ref No	Member Code	Member Name	Period Start Date	Period End Date	Submission E
1						

Export: 

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