

## 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)

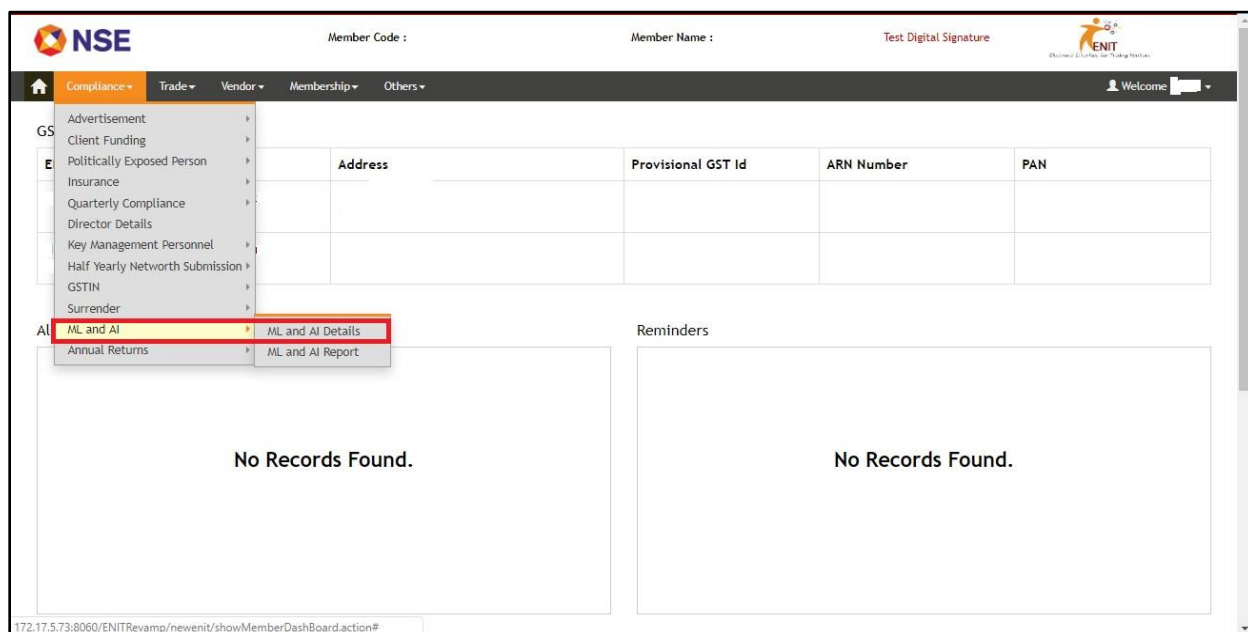
#### 1.1 Half yearly/Annual Compliance for ML and AI

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.



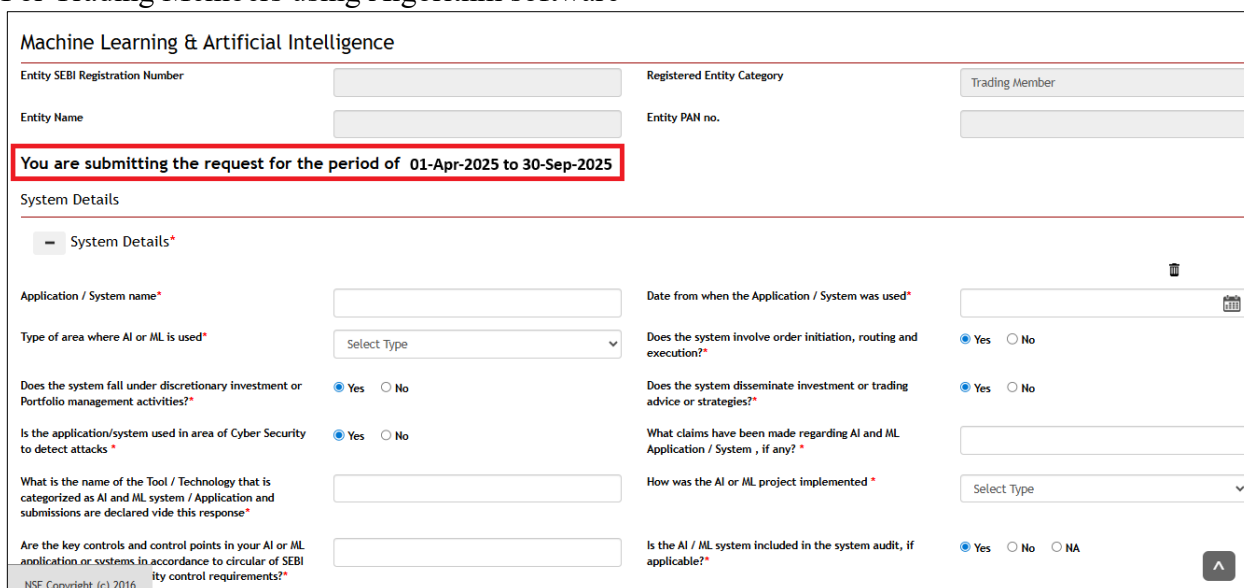
The screenshot shows the NSE Member Dashboard interface. At the top, there is a header with the NSE logo, Member Code, Member Name, Test Digital Signature, and a user profile icon. Below the header is a navigation bar with tabs: Compliance (selected), Trade, Vendor, Membership, and Others. A dropdown menu is open under the Compliance tab, listing various 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. The left section, labeled 'AI', contains a table with columns: Address, Provisional GST Id, ARN Number, and PAN. The table is empty, displaying 'No Records Found.' The right section, labeled 'Reminders', also displays 'No Records Found.' The footer of the dashboard shows the URL: 172.17.5.73:8060/ENITRevamp/newenit/showMemberDashBoard.action#.

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



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.

System Details

System Details\*

Application / System name\*

Type of area where AI or ML is used\*

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

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

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

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?

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

Date from when the Application / System was used\*

Does the system involve order initiation, routing and execution?

Does the system disseminate investment or trading advice or strategies?

What claims have been made regarding AI and ML Application / Systems , if any? \*

How was the AI or ML project implemented \*

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

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

Add Row

Does system audit report comply to circular no. SEBI/HO/MRSD/DOS2/CIR/P/2019/10 dated January 4, 2019 of SEBI\*

Is there any adverse comment in the System audit report\*

NIL Submission

Submit

Reset

## [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

Period\*

Entity SEBI Registration Number

Entity Name

System Details

System Details\*

Application / System name\*

Type of area where AI or ML is used\*

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

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

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

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?

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

Does system audit report comply to circular no. SEBI/HO/MRSD/DOS2/CIR/P/2019/10 dated January 4, 2019 of SEBI\*

Registered Entity Category

Trading Member

Confirmation

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

OK

Date from when the Application / System was used\*

Does the system involve order initiation, routing and execution?

Does the system disseminate investment or trading advice or strategies?

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

How was the AI or ML project implemented \*

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

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

Is there any adverse comment in the System audit report\*

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

AIML 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       |        | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

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