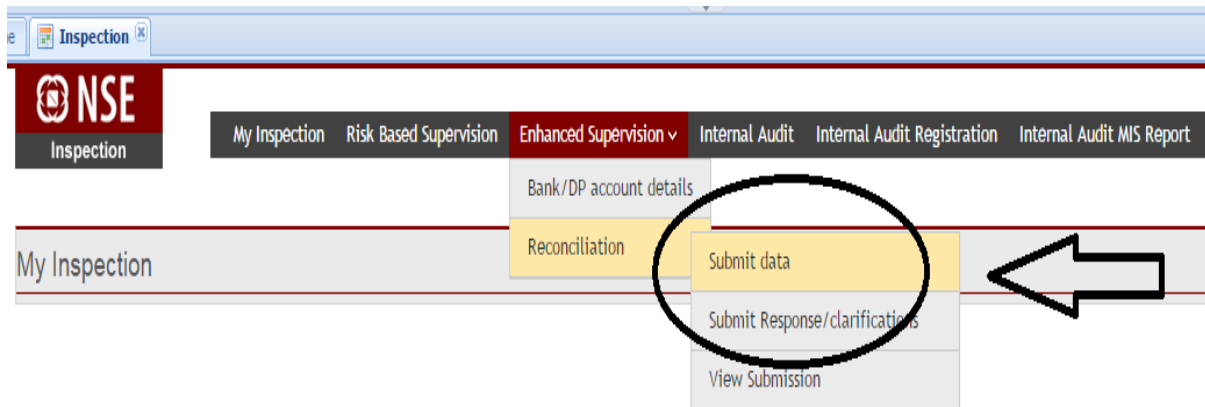
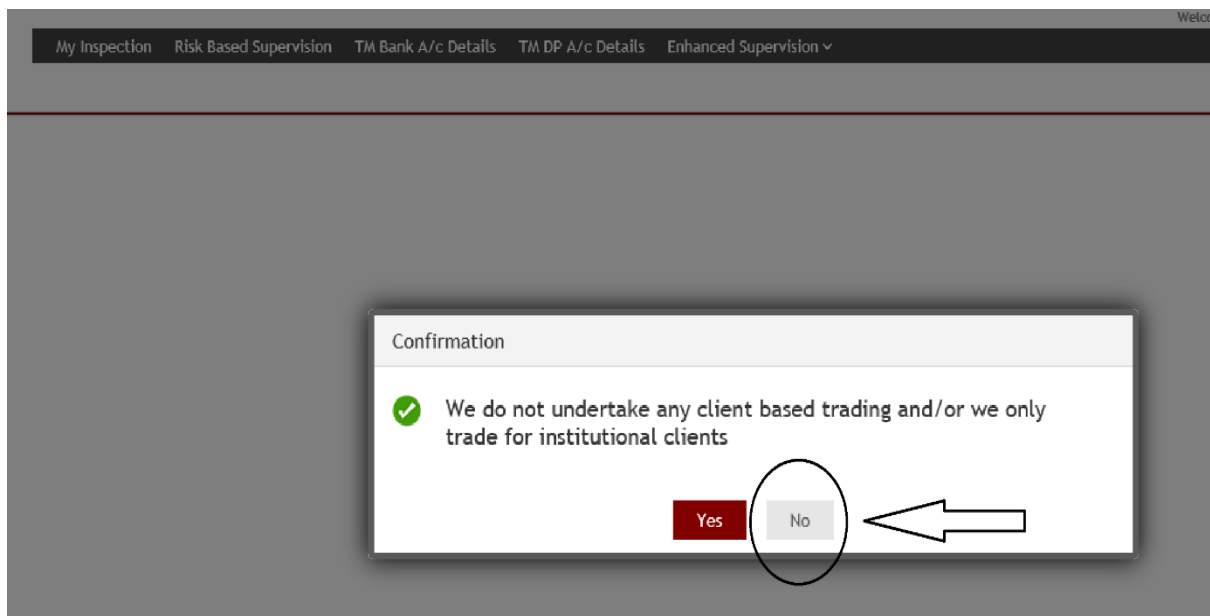


A. FOR SUMMITTING RECONCILIATION DATA

1. Login using following URL
<https://www.connect2nse.com/MemberPortal>
2. Navigation: Inspection--> Enhanced Supervision--> Reconciliation--> Submit data.
Click "Submit Data"



3. If member *undertakes client based trading* then click "No" and proceed to input the information sought.



- After clicking the “No” button, the next screen will show the link for the month for which the data has to be submitted. Click “Submit details” against the date to proceed to enter the information sought.

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Enhanced Supervision

	Month	Year	Start Date	Link for Submission
1	FEB	2017	15-Mar-2017	Submit Details

- Proceed to enter the details in the boxes provided. In each month data has to be provided as on the last day of the previous month.

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Data to be provided as on 28-Feb-2017

Sr.	Description	Amount(Rs.)	Remark
1.	Total of day end balance in all Client Bank Accounts (In Rs.)		Provide total EOD fund balance available in all Client Bank Accounts
2.	Collateral deposited with clearing corporation in form of Cash and Cash Equivalents (In Rs.)		Aggregate value of collateral deposited with Clearing corporations in form of Cash and Cash Equivalents (FD, BG, etc.) In case of BG, only funded portion of the BG shall be considered
3.	Collateral deposited with clearing member in form of Cash and Cash Equivalents (In Rs.)		Aggregate value of collateral deposited with your clearing member in form of Cash & Cash Equivalents (FD, BG, etc.) In case of BG, only funded portion of the BG shall be considered.
4.	Total Credit Balance of all clients (In Rs.)		Aggregate value of Credit Balances of all clients across stock exchanges (after adjusting for open bills of clients, un-cleared cheques deposited by clients and un-cleared cheques issued to clients & the margin obligation)
5.	Total debit balance of all clients (In Rs.)		Aggregate value of debit Balances of all clients as obtained from trial balance across stock

- An excel upload feature is also provided which may be used.

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Data to be provided as on 28-Feb-2017

Sr.	Description	Amount(Rs.)	Remark
1.	Total of day end balance in all Client Bank Accounts (In Rs.)		Provide total EOD fund balance available in all Client Bank Accounts
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3.	Collateral deposited with clearing member in form of Cash and Cash Equivalents (In Rs.)		Aggregate value of collateral deposited with your clearing member in form of Cash & Cash Equivalents (FD, BG, etc.) In case of BG, only funded portion of the BG shall be considered.
4.	Total Credit Balance of all clients (In Rs.)		Aggregate value of Credit Balances of all clients across stock exchanges (after adjusting for open bills of clients, un-cleared cheques deposited by clients and un-cleared cheques issued to clients & the margin obligation)
5.	Total debit balance of all clients (In Rs.)		Aggregate value of debit Balances of all clients as obtained from trial balance across stock

- After entering the details, click “Next” and proceed to submit the record by clicking the “Submit” button

7.	Value of Own Securities Deposited as Collateral with Clearing Member (In Rs.)	445564.00	Value of own non-cash collaterals i.e. securities which have been deposited with the clearing corporations
8.	Value of Non funded portion of the Bank Guarantee (In Rs.)	45454.00	Provide value of non-funded part of the BG
9.	Proprietary margin Obligation (In Rs.)	487444.00	Provide value of Exchange-wise proprietary margin obligations. It shall be the sum of Margin obligations in Cash & Derivative segment for proprietary trading positions.
10.	Margin utilized for positions of Credit Balance Clients (In Rs.)(MC)	86544.00	Margin utilised for positions of credit balance clients for all Exchanges
11.	Free/unblocked Collateral deposited with Clearing corporation (In Rs.)	787454.00	Value of unutilized collateral lying with the clearing corporations (Exchange wise)
12.	Free/unblocked Collateral deposited with Clearing Member (In Rs.)	457892.00	Value of unutilized collateral lying with your clearing Member (Exchange wise)

Notes:

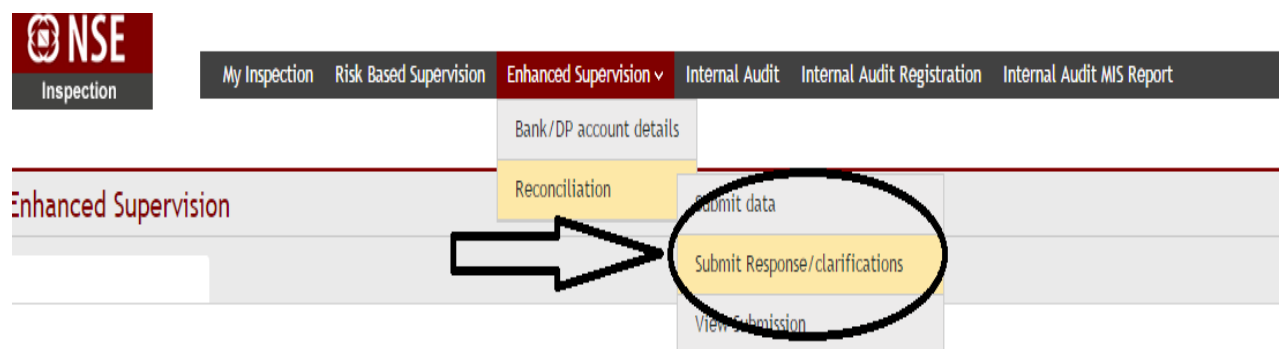
- After clicking the next button, you will be able to see the final result and the summary table showing the shortage/deficiencies (if any)
- Click certify (digital signature) and submit the data at the bottom of the page for the selected date.

B. FOR SUMITTING RESPONSE/CLARIFICATION

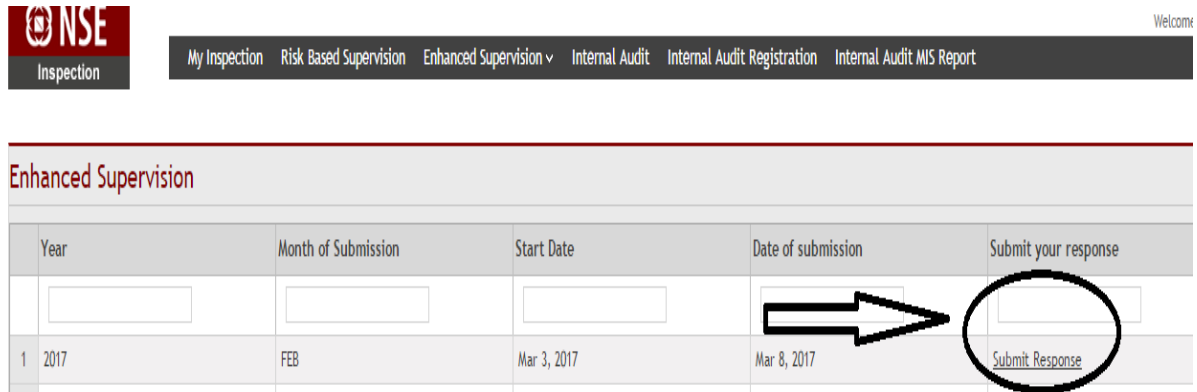
- Once the data is submitted, you are required to submit your clarification/response, in case of any shortages or deficiencies.
- Kindly proceed to submit your clarification/response by clicking on the “Submit Response/clarifications” link

Navigation: *Inspection--> Enhanced Supervision--> Reconciliation--> Submit Response/clarifications*

Click “Submit Response/clarifications”



- After clicking the submit response/clarification button, the next screen will show the date for which the shortages or deficiencies in any of the criteria have been identified. Click "Submit response" against the date to provide clarification sought.

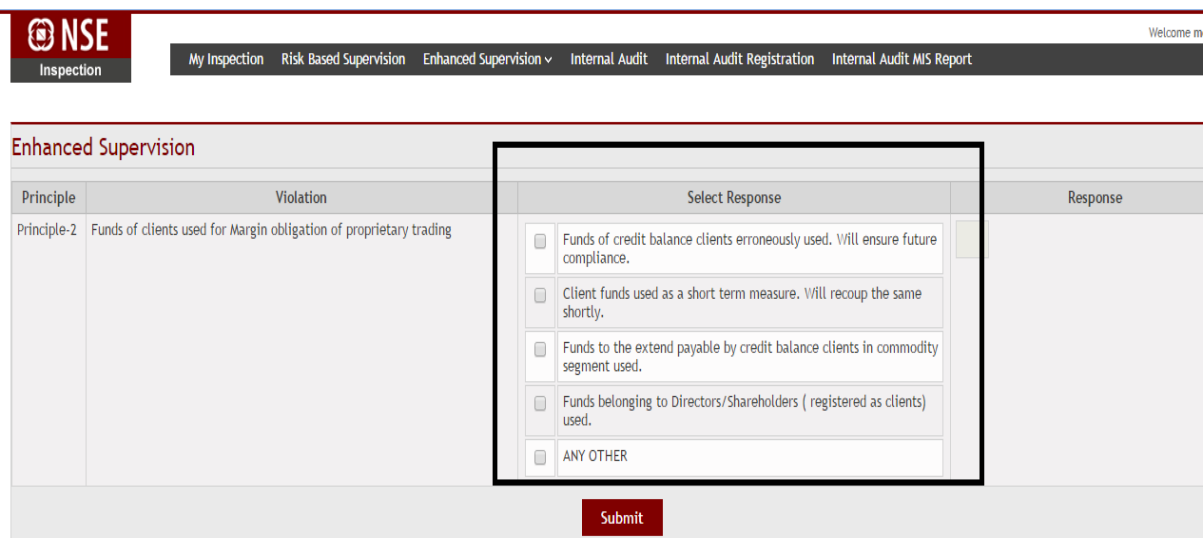


Enhanced Supervision

	Year	Month of Submission	Start Date	Date of submission	Submit your response
1	2017	FEB	Mar 3, 2017	Mar 8, 2017	Submit Response

In case of no shortage or deficiencies for a particular date, no details will be displayed on the page for that date.

- Proceed to select the response provided against the principal.



Enhanced Supervision

Principle	Violation	Select Response	Response
Principle-2	Funds of clients used for Margin obligation of proprietary trading	☐ Funds of credit balance clients erroneously used. Will ensure future compliance. ☐ Client funds used as a short term measure. Will recoup the same shortly. ☐ Funds to the extend payable by credit balance clients in commodity segment used. ☐ Funds belonging to Directors/Shareholders (registered as clients) used. ☐ ANY OTHER	

[Submit](#)

A list of pre-entered response is provided which can be selected as your response. Multiple selection is also allowed.

In case of any other response, kindly select "ANY OTHER" and proceed to input your response in the adjoining space provide

- After selecting the response, proceed to submit the response by clicking the “Submit” button.

C. VIEW SUBMISSIONS

- You can view your previous submissions by clicking on the “View Submission” link

Navigation: *Inspection--> Enhanced Supervision--> Reconciliation--> View Submission*
 Click “View Submission”.

End of Document