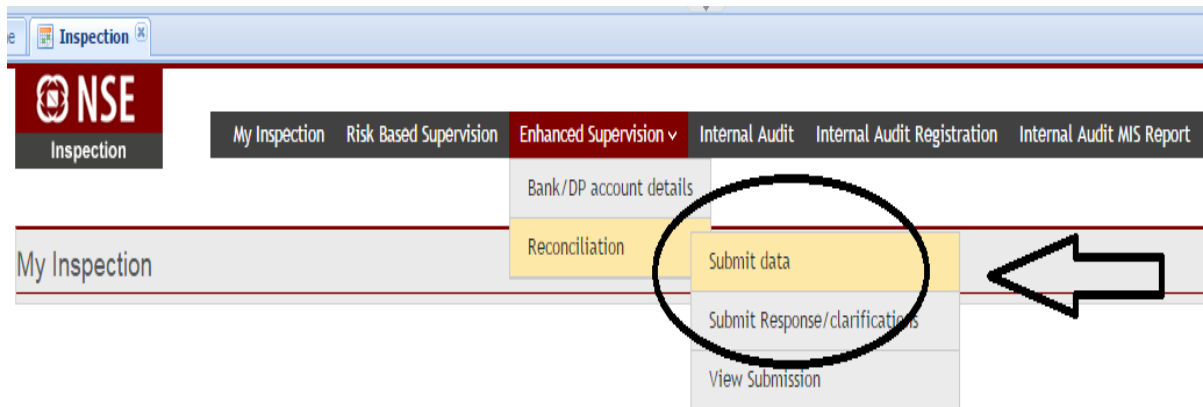
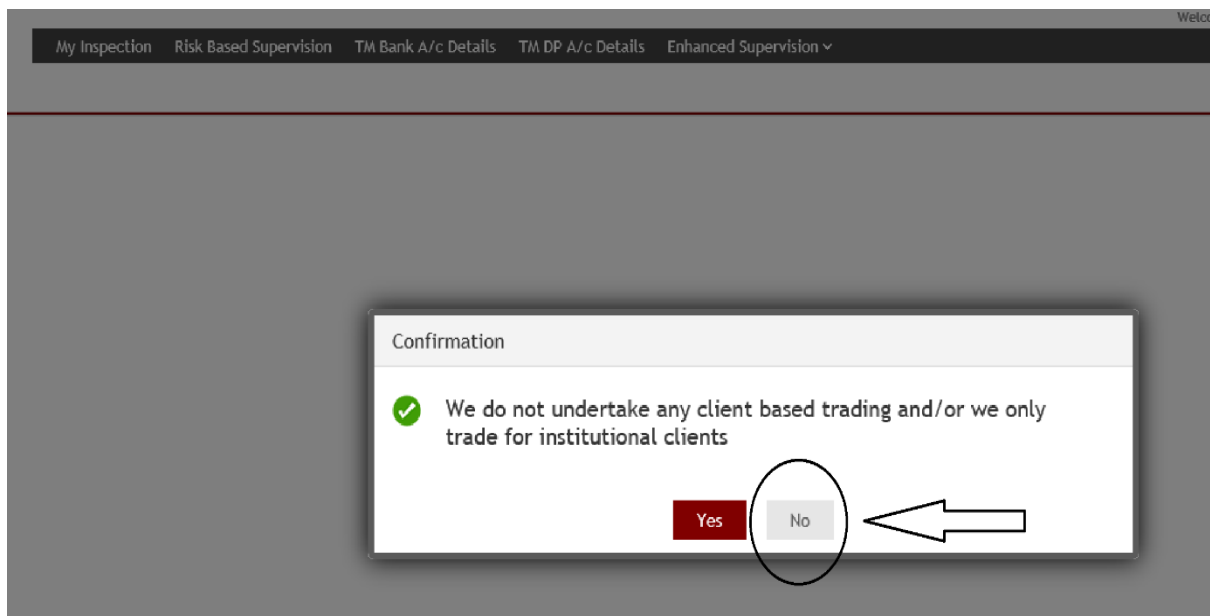


A. FOR SUMMITTING RECONCILIATION DATA

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.

My Inspection
Risk Based Supervision
Enhanced Supervision
Internal Audit

Enhanced Supervision

	Month	Year	Due Date	Link for Submission
1	JUN	2017	03-Jul-2017	Submit Details

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

My Inspection
Risk Based Supervision
Enhanced Supervision
Internal Audit
Internal Audit Registration
Internal Audit MIS Report

Upload
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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.

My Inspection
Risk Based Supervision
Enhanced Supervision
Internal Audit
Internal Audit Registration
Internal Audit MIS Report

Upload
Download template for excel upload

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

- 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:**
All data must be submitted

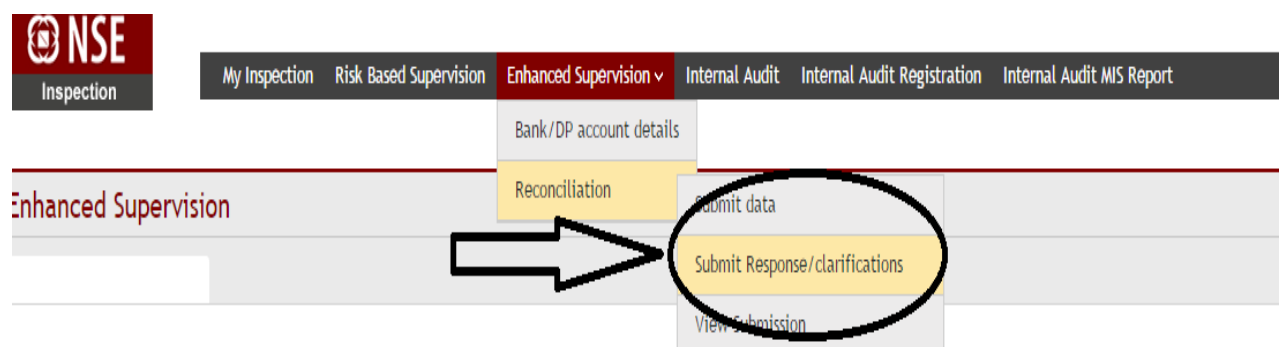
- After clicking the next button, you will be able to see the final result and the summary table showing the shortage/deficiencies (if any)
- Click certify (digital signature) and submit the data at the bottom of the page for the selected date.

B. FOR SUMITTING RESPONSE/CLARIFICATION

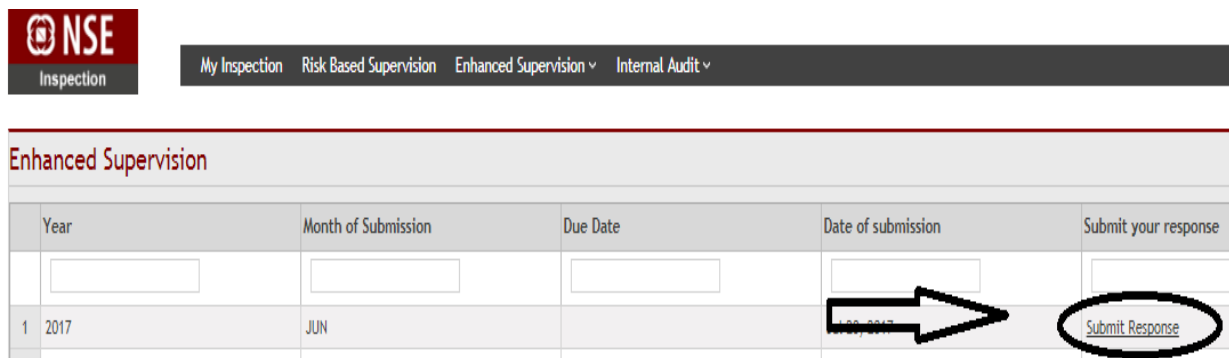
- Once the data is submitted, you are required to submit your clarification/response, in case of any shortages or deficiencies.
- Kindly proceed to submit your clarification/response by clicking on the “Submit Response/clarifications” link

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.



NSE Inspection

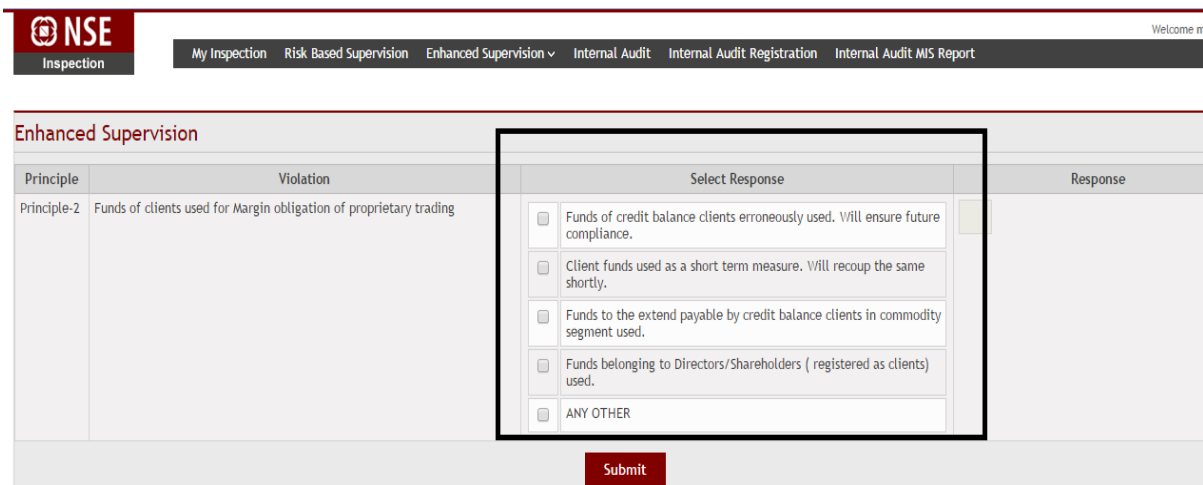
My Inspection Risk Based Supervision Enhanced Supervision Internal Audit

Enhanced Supervision

	Year	Month of Submission	Due Date	Date of submission	Submit your response
1	2017	JUN		JUN 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.



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Enhanced Supervision

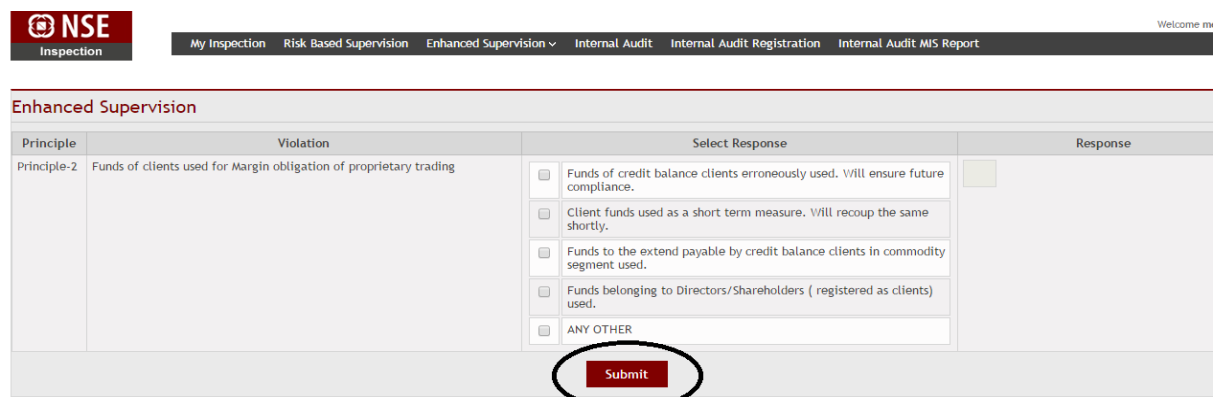
Principle	Violation	Select Response	Response
Principle-2	Funds of clients used for Margin obligation of proprietary trading	☐ Funds of credit balance clients erroneously used. Will ensure future compliance. ☐ Client funds used as a short term measure. Will recoup the same shortly. ☐ Funds to the extend 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.



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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

C. VIEW SUBMISSIONS

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

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

The screenshot shows the NSE Inspection portal interface. At the top, there is a navigation bar with the following links: My Inspection, Risk Based Supervision, Enhanced Supervision (selected), Internal Audit, Internal Audit Registration, and Internal Audit MIS Report. Below this, a dropdown menu for 'Enhanced Supervision' is open, showing options: Bank/DP account details, Reconciliation (selected), Submit data, and Submit Response/clarifications. A table titled 'My Inspection' is displayed below the dropdown. The table has columns: Sr. No., Year, Quarter, Segment, and Reminder. The first row of the table shows: 1, 2016-17, Q2, CMFOCDs, and NA. A large black arrow points from the 'Reconciliation' dropdown option to the 'View Submission' link in the table row.

Sr. No.	Year	Quarter	Segment	Reminder
1	2016-17	Q2	CMFOCDs	NA

End of Document