

## Member Portal User Guide for Inspection System

### 1: Login using following URL

<https://www.connect2nse.com/MemberPortal>

### 2: To enable Inspection tab in member Portal

1. Admin should assign Inspection service to member. Please use below navigation to assign service

Login→User Management→Modify User→Assign Role→Inspection→All (Click on checkbox)

**User Management - Modify User**

| User Id                       | Member Code | User Type | User Status | Modify User | Change Password | Delete | Assign Roles |
|-------------------------------|-------------|-----------|-------------|-------------|-----------------|--------|--------------|
| User Type: Sub User (5 Users) |             |           |             |             |                 |        |              |
| apole                         | INSP        | Sub User  | Disable     | [Icon]      | [Icon]          | [Icon] | [Icon]       |
| manoj                         | INSP        | Sub User  | Active      | [Icon]      | [Icon]          | [Icon] | [Icon]       |
| ptanna                        | INSP        | Sub User  | Active      | [Icon]      | [Icon]          | [Icon] | [Icon]       |
| rasina                        | INSP        | Sub User  | Active      | [Icon]      | [Icon]          | [Icon] | [Icon]       |
| supriya                       | INSP        | Sub User  | Active      | [Icon]      | [Icon]          | [Icon] | [Icon]       |

**Update Services : manoj**

| Services           | CD                       | CM                       | CLEARING                 | FO                       | ALL                                 | CD                       | CM                       | OTHERS                   | FO                       | MPD                      | DLB                      | WDM                      |
|--------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| ENT-System Audit   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ENT-Trade          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET-circulars | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET-common    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET_and       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET_upid      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Knowledge Builder  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NSE-ASIST          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| UCI-Online         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**Update** **Cancel** **Reset**

Please to introduce a single toll free no. 1800220051, for any queries related Membership, Inspection, Compliance & NC

### 3: Click on “Inspection” tab

**NSE**  
National Stock Exchange of India Ltd.

Last Login : 09 Feb 2016 11:33:05

**Menu**  
Inspection

**Welcome**

**NATIONAL STOCK EXCHANGE**

**NIFTY**

#### 4. Click on Risk Based Supervision

The screenshot shows the NSE Inspection & Exchange Compliance portal. The top navigation bar includes links for About Us, Communique, Circulars, Holidays, Regulations, Test Market Details, FAQs, and Contact Us. Below this, there are tabs for Existing Membership, NSCCL, Products, and Investor. The main content area has a header with the NSE logo and a navigation bar with tabs: My Inspection, Risk Based Supervision (highlighted with a red box), Enhanced Supervision, and Internal Audit. A dropdown menu is open under Risk Based Supervision, showing options: Risk Based Supervision and View Report. Below the navigation bar, there is a table titled 'My Inspection' with columns: Sr. No., Year, Quarter, and Inspection Type. The table contains five rows of data for the year 2015-16, all with Quarter Q4. The inspection types are REG, REG, REG, REG, and LPI.

| Sr. No. | Year    | Quarter | Inspection Type |
|---------|---------|---------|-----------------|
| 1       | 2015-16 | Q4      | REG             |
| 2       | 2015-16 | Q4      | REG             |
| 3       | 2015-16 | Q4      | REG             |
| 4       | 2015-16 | Q4      | REG             |
| 5       | 2015-16 | Q4      | LPI             |

#### 5. To submit RBS data for the current period, click on Risk Based Supervision under the main Risk Based Supervision tab.

The screenshot shows the NSE Inspection & Exchange Compliance portal. The top navigation bar includes links for About Us, Communique, Circulars, Holidays, Regulations, Test Market Details, FAQs, and Contact Us. Below this, there are tabs for Existing Membership, NSCCL, Products, and Investor. The main content area has a header with the NSE logo and a navigation bar with tabs: My Inspection, Risk Based Supervision (highlighted with a red box), Enhanced Supervision, and Internal Audit. A dropdown menu is open under Risk Based Supervision, showing options: Risk Based Supervision and View Report. Below the navigation bar, there is a table titled 'My Inspection' with columns: Sr. No., Year, Quarter, and Inspection Type. The table contains five rows of data for the year 2015-16, all with Quarter Q4. The inspection types are LPI, REG, REG, REG, and REG.

| Sr. No. | Year    | Quarter | Inspection Type |
|---------|---------|---------|-----------------|
| 1       | 2015-16 | Q4      | LPI             |
| 2       | 2015-16 | Q4      | REG             |
| 3       | 2015-16 | Q4      | REG             |
| 4       | 2015-16 | Q4      | REG             |
| 5       | 2015-16 | Q4      | REG             |

#### 6. Maximise the current tab by double clicking Inspection tab

The screenshot shows the NSE Inspection & Exchange Compliance portal. The top navigation bar includes links for About Us, Communique, Circulars, Holidays, Regulations, Test Market Details, FAQs, and Contact Us. Below this, there are tabs for Existing Membership, NSCCL, Products, and Investor. The main content area has a header with the NSE logo and a navigation bar with tabs: My Inspection, Risk Based Supervision (highlighted with a red box), Enhanced Supervision, and Internal Audit. A dropdown menu is open under Risk Based Supervision, showing options: Risk Based Supervision and View Report. Below the navigation bar, there is a form titled 'Risk Based Supervision' for Member Name: KHANDWALA SECURITIES LTD. The form includes a table for 'Details of Branches' with columns: Sr No., Particular, and Details. The table contains three rows of data for the year 2015-16, all with Quarter Q4. The inspection types are LPI, REG, REG, REG, and REG.

| Sr No. | Particular                                                                      | Details |
|--------|---------------------------------------------------------------------------------|---------|
| A      | Details of Branches                                                             |         |
|        | Total number of Branches                                                        |         |
|        | Number of Branches Inspected by Member during the half year ended Sept 30, 2017 |         |
|        | Number of APs Inspected by Member during the half year ended Sept 30, 2017      |         |

7. In the above step a form for entering the details will appear. Carefully fill the form as per the details collated by you in the boxes against each of the line items. You may also save the form as draft for later submission.

| Associate/ group companies along with details of registration and whether active in any sector of the financial market.                                                                                                                                                                                                                                       |       |                                     |                                      | Name and registration number of Associate & group companies of the Member whether they are active in any sector of financial market |                                                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------------------------------------|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| Select                                                                                                                                                                                                                                                                                                                                                        | S.No. | Name of the Associate/Group Company | PAN Number                           | Registration Number                                                                                                                 | Sector of the financial market in which the entity is active |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                      | 1.    | NIL                                 | NIL                                  | NIL                                                                                                                                 | -----Select-- ▾                                              |
| <div> <div>Add Row</div> <div>Delete Row</div> </div>                                                                                                                                                                                                                                                                                                         |       |                                     |                                      |                                                                                                                                     |                                                              |
| <div> <div>Save as Draft</div> <div>Certify</div> <div>Submit</div> </div>                                                                                                                                                                                                                                                                                    |       |                                     |                                      |                                                                                                                                     |                                                              |
| <b>Note:</b><br>1. "Key person" means and includes directors, promoters, compliance officer<br>2. "No. of Instances" means no. of inspections in which adverse observation was found relating to that area<br><br><b>Example-1 :</b> Only the observations need to be considered for number of Instances. Eg. Observations during the FY 2015-16 inspections. |       |                                     |                                      |                                                                                                                                     |                                                              |
| Inspection Observations in one SEBI inspection                                                                                                                                                                                                                                                                                                                |       |                                     | No. of non-compliances in inspection |                                                                                                                                     | No. of Instances for above purpose                           |
| Mixes of client funds and securities                                                                                                                                                                                                                                                                                                                          |       |                                     | 24 clients                           |                                                                                                                                     | 1                                                            |

8. Once complete, click on the “Certify Data” to attach the digital signature.

| Associate/ group companies along with details of registration and whether active in any sector of the financial market.                                                                                                                                                                                                                                       |       |                                     |                                      | Name and registration number of Associate & group companies of the Member whether they are active in any sector of financial market |                                                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------------------------------------|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| Select                                                                                                                                                                                                                                                                                                                                                        | S.No. | Name of the Associate/Group Company | PAN Number                           | Registration Number                                                                                                                 | Sector of the financial market in which the entity is active |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                      | 1.    | NIL                                 | NIL                                  | NIL                                                                                                                                 | -----Select-- ▾                                              |
| <div> <div>Add Row</div> <div>Delete Row</div> </div>                                                                                                                                                                                                                                                                                                         |       |                                     |                                      |                                                                                                                                     |                                                              |
| <div> <div>Save as Draft</div> <div>Certify</div> <div>Submit</div> </div>                                                                                                                                                                                                                                                                                    |       |                                     |                                      |                                                                                                                                     |                                                              |
| <b>Note:</b><br>1. "Key person" means and includes directors, promoters, compliance officer<br>2. "No. of Instances" means no. of inspections in which adverse observation was found relating to that area<br><br><b>Example-1 :</b> Only the observations need to be considered for number of Instances. Eg. Observations during the FY 2015-16 inspections. |       |                                     |                                      |                                                                                                                                     |                                                              |
| Inspection Observations in one SEBI inspection                                                                                                                                                                                                                                                                                                                |       |                                     | No. of non-compliances in inspection |                                                                                                                                     | No. of Instances for above purpose                           |
| Mixes of client funds and securities                                                                                                                                                                                                                                                                                                                          |       |                                     | 24 clients                           |                                                                                                                                     | 1                                                            |

9. Please ensure that all the details filled are correct and complete in all respect

1. ☐ .....Select--> .....Select--> .....Select--> .....Select--> .....Select--> .....Select-->

**Add Row** **Delete Row**

**L Details of Associates/Group Companies**

Associate/ group companies along with details of registration and whether active in any s

192.168.17.61 says:  
Please ensure that this is the final data. No changes will be allowed after certifying the data

**Select** **S.No.** **Name of the Associate** **Registration Number** **Sector of the financial market in which the entity is active**

☐ 1. Test

**Add Row** **Delete Row**

**Save as Draft** **Certify** **Submit**

**Note:**

1. "Key person" means and includes directors, promoters, compliance officer

10. Select the digital signature and then submit the form by clicking on "Submit" button.

**NSE Inspection** **My Inspection** **Risk Based Supervision** **welcome memo**

**Risk Based Supervision**

**Member Name:** **Request Submission Status:** **Submitted to Exchange**

| Sl. No. | Particulars                                                         | Details |
|---------|---------------------------------------------------------------------|---------|
| 1       | Details of Branches                                                 |         |
|         | Total number of Branches                                            | 5145    |
|         | Number of Branches Inspected by Member during the FY 2015-16        | 55      |
|         | Number of APs Inspected by Member during the FY 2015-16             | !       |
|         | Number of Sub-broker Inspected by Member during the FY 2015-16      | !       |
| 2       | Details of branches/ sub-broker offices with voice recording system |         |
|         | Number of branches with voice recording facility                    | 5!      |
|         | Number of sub-broker offices with voice recording facility          |         |
|         | Number of AP offices with voice recording facility                  | 4!      |
| 3       | Details of withdrawn/ termination of Sub-broker / AP                |         |

11. To view the earlier RBS submissions, you may click on view report.

**NSE National Stock Exchange of India Ltd.** **About Us** **Communique** **Circulars** **Holidays** **Regulations** **Test Market Details** **FAQs** **Contact Us** **User manual:Two factor Authentication**

**Existing Membership** **NSCCL** **Products** **Investor** **User Profile** **Change Pwd** **Theme** **Help** **Sign Out**

**Menu** **Welcome** **Inspection** **My Inspection** **Risk Based Supervision** **Enhanced Supervision** **Internal Audit**

**Risk Based Supervision** **View Report**

| Sr. No. | Year    | Quarter | Inspection Type |
|---------|---------|---------|-----------------|
| 1       | 2015-16 | Q4      | LPI             |
| 2       | 2015-16 | Q4      | REG             |
| 3       | 2015-16 | Q4      | REG             |
| 4       | 2015-16 | Q4      | REG             |
| 5       | 2015-16 | Q4      | REG             |

**Services** **NSEIL Dashboard new!** **NSCCL Dashboard new!** **Compliance Tracker** **Extranet Downloads** **Billing Downloads** **Circulars** **Business Support Tools** **Feedback Corner** **Register for Circulars** **Corporate Actions**