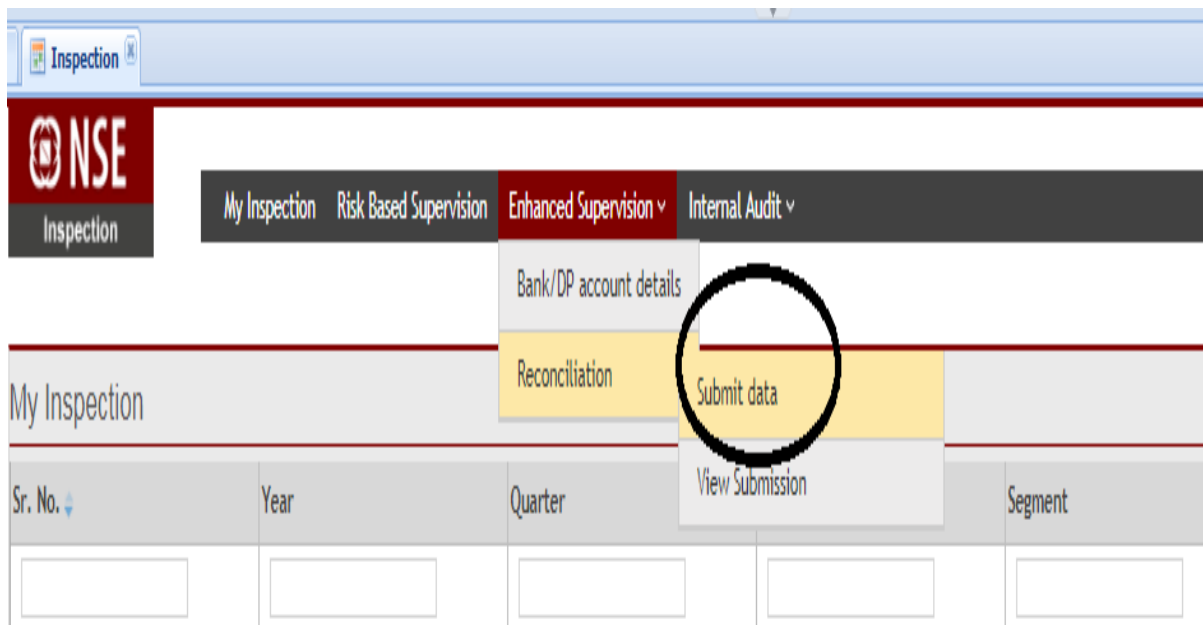
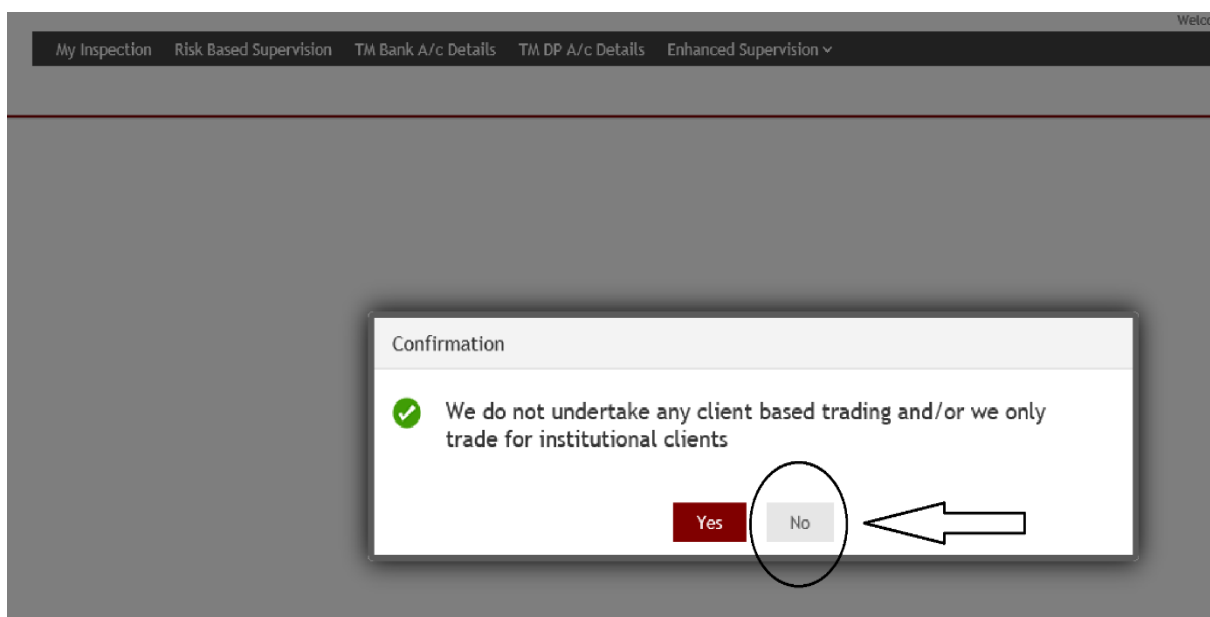


A. FOR SUMMITTING RECONCILIATION DATA

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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Month	Year	Due Date	Link for Submission
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.

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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

7. 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:**

8. After clicking the next button, you will be able to see the final result and the summary table showing the shortage/deficiencies (if any)
9. In case of any shortages or deficiencies in any of the principal, summary table will show a list of pre-entered response against the principal

In case of no shortage or deficiencies for any principal, response details will not be displayed against that principal.

Summary Table

Enhanced Supervision

Principle	Violation	Possible misuse Value	Select Response	Response
Principle-1	Amount fund used for own purpose	N.A.		
Principle-1	Amount of fund of own firm used for margin clients		☐ Temporary funding of Debit Balance clients ☐ Related entity account adjustment ☐ Funds belonging to Directors/Shareholders (registered as clients) used ☐ Funds of credit balance clients erroneously used. Will ensure future compliance ☐ Funds to the extend payable by credit balance clients in commodity segment used. ☐ ANY OTHER	
Principle-2	Funds of clients used for Margin obligation of proprietary trading	0		
Principle-3	Funds of credit balance clients used for Margin obligations of debit balance clients and proprietary trading	0		

10. Proceed to select the response provided against the principal.

Summary Table

Enhanced Supervision

Principle	Violation	Possible misuse Value	Select Response	Response
Principle-1	Amount fund used for own purpose	N.A.		
Principle-1	Amount of funds of one client used for another client	7	☐ Temporary funding of Debit Balance clients ☐ Related entity account adjustment ☐ Funds belonging to Directors/Shareholders (registered as clients) used ☐ Funds of credit balance clients erroneously used. Will ensure future compliance ☐ Funds to the extend payable by credit balance clients in commodity segment used. ☐ ANY OTHER	
Principle-2	Funds of clients used for Margin obligation of proprietary trading	0		

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

11. After submitting the response, proceed to submit the data/ response by clicking the “Submit” button.

Summary Table

Enhanced Supervision

Principle	Violation	Possible misuse Value	Select Response	Response
Principle-1	Amount fund used for own purpose	746,546,544,829	☐ 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	Funds belonging to Directors/Shareholders (registered as clients) used.
Principle-1	Amount of funds of one client used for another client	876	☐ Temporary funding of Debit Balance clients ☐ Related entity account adjustment ☒ Funds belonging to Directors/Shareholders (registered as clients) used ☐ Funds of credit balance clients erroneously used. Will ensure future compliance ☐ Funds to the extend payable by credit balance clients in commodity segment used. ☐ ANY OTHER	
Principle-2	Funds of clients used for Margin obligation of proprietary trading	0		
Principle-3	Funds of credit balance clients used for Margin obligations of debit balance clients and proprietary trading	0		

Back

Submit

B. REVISED SUBMISSION OF THE DATA

1. In case of any genuine errors, member can submit the revised details within 2 working days from the date of submission by clicking the “view submission” tab

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

2. After clicking the view submission tab, the next screen will show the all submission made by the member. Click “Submit revised figures” against the respective date to submit revised data.

	Month	Year	Due Date	Date of Submission	View Details	Revised Submission
1	AUG	2017	01-Sep-2017	28-Sep-2017	View Details	Submit Revised Figures
2	JUL	2017	01-Aug-2017	24-Jul-2017	View Details	

Note: No modifications shall be allowed after Re-Submission of the data to the Exchange or after 2 working days from the date of the submission.

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”.

My Inspection	Reconciliation	Submit data	View Submission