

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)

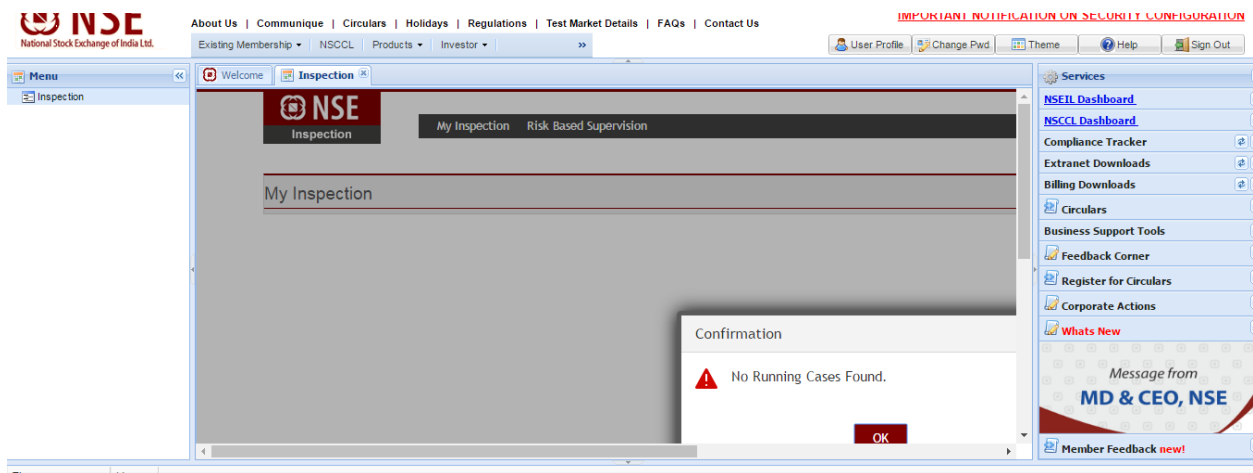
The screenshot shows the NSE Member Portal interface. The top navigation bar includes links like 'About Us', 'Communique', 'Circulars', 'Holidays', 'Regulations', 'Test Market Details', 'FAQs', and 'Contact Us'. The main menu on the left has 'User Management' selected, with 'Modify User' highlighted. The 'User Management' table lists users with columns for User ID, Member Code, User Type, User Status, Modify User, Change Password, Delete, and Assign Roles. The 'Assign Roles' column for the user 'manoj' is highlighted. Below this, the 'Update Services' table is shown, with the 'ALL' checkbox under the 'Inspection' service highlighted. The table has columns for Services, CD, CM, CLEARING, DEST, FO, ALL, and OTHERS. The 'Inspection' service is checked under the 'ALL' column. At the bottom, there are 'Update', 'Cancel', and 'Reset' buttons.

Services	CD	CM	CLEARING	DEST	FO	ALL	OTHERS
ENT-System Audit	☐	☐	☐	☐	☐	☐	☐
ENT-Trade	☐	☐	☐	☐	☐	☐	☐
EXTRANET-circulars	☐	☐	☐	☐	☐	☐	☐
EXTRANET-common	☐	☐	☐	☐	☐	☐	☐
EXTRANET_and	☐	☐	☐	☐	☐	☐	☐
EXTRANET_upid	☐	☐	☐	☐	☐	☐	☐
Inspection	☐	☐	☐	☐	☐	☒	☐
Knowledge Builder	☐	☐	☐	☐	☐	☐	☐
NSE-ASSIST	☐	☐	☐	☐	☐	☐	☐
UCI-Online	☐	☐	☐	☐	☐	☐	☐

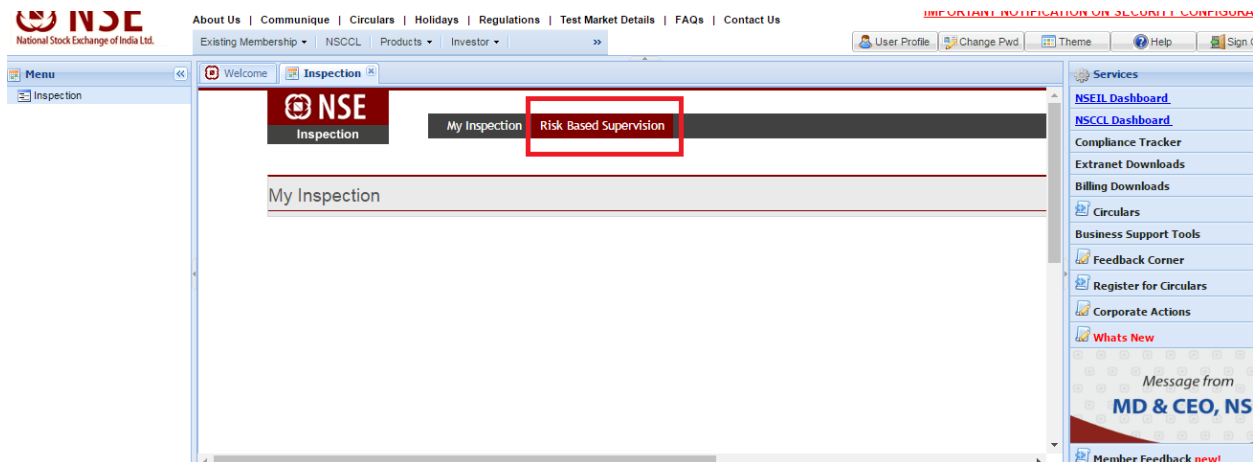
3: Click on “Inspection” tab

The screenshot shows the NSE Member Portal interface. The top navigation bar includes links like 'About Us', 'Communique', 'Circulars', 'Holidays', 'Regulations', 'Test Market Details', 'FAQs', and 'Contact Us'. The main menu on the left has 'Inspection' selected. The main content area shows a large image of the National Stock Exchange building with the NSE logo and the text 'NATIONAL STOCK EXCHANGE' and 'NIFTY 50'.

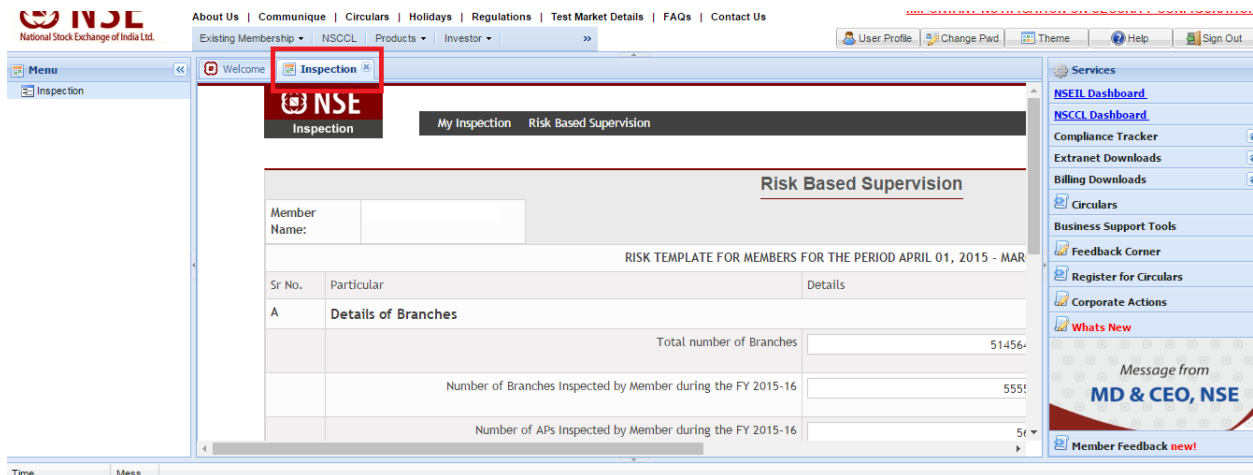
4. Click OK on all the alerts



5. Click on Risk Based Supervision



6. Maximise the current tab by double clicking Inspection tab



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
☐	1.	NIL	NIL	NIL	-----Select-- ▾
Add Row Delete Row					
Save as Draft Certify Submit					
Note: 1. "Key person" means and includes directors, promoters, compliance officer 2. "No. of Instances" means no. of inspections in which adverse observation was found relating to that area Example-1 : 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		4

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
☐	1.	NIL	NIL	NIL	-----Select-- ▾
Add Row Delete Row					
Save as Draft Certify Submit					
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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---	
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 OK Cancel				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		ation Number	Sector of the financial market in which the entity is active		
☐	1.	Test			Banking		
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.



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	51456
	Number of Branches Inspected by Member during the FY 2015-16	555
	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	55
	Number of sub-broker offices with voice recording facility	
	Number of AP offices with voice recording facility	45
3	Details of withdrawn/ termination of Sub-broker / AP	