

Member Portal User Guide for Inspection System

1: Login using following URL

<https://inspection.nseindia.com/MemberPortal/home.jsp>

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)

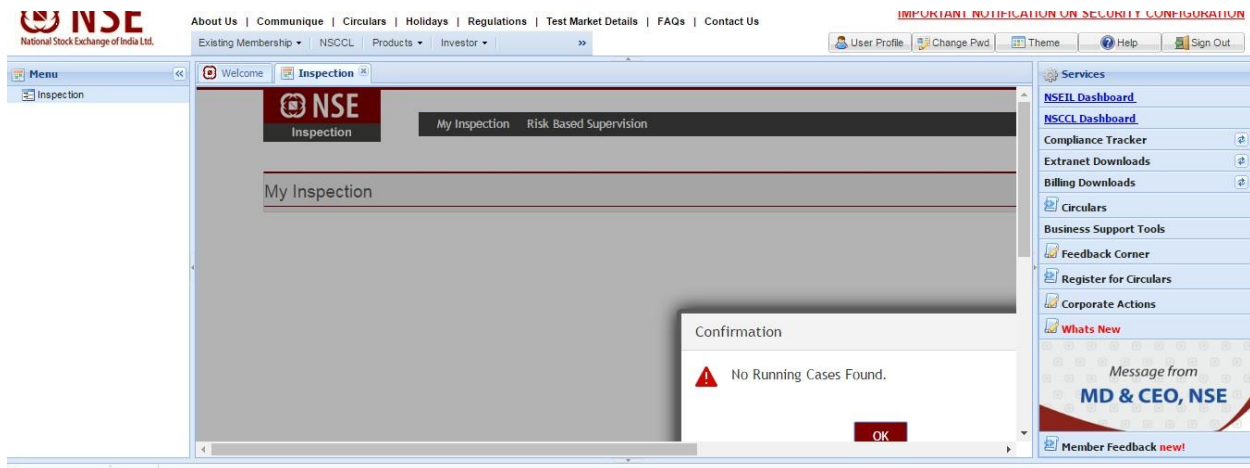
The screenshot shows the NSE Member Portal interface. At the top, there are navigation links: About Us, Communique, Circulars, Holidays, Regulations, Test Market Details, FAQs, and Contact Us. Below these are links for Existing Membership, NSCCL, Products, Investor, and Services & Circulars. The main header includes 'Welcome', 'User Management', and 'Add User'. The 'User Management' section has a 'Modify User' button highlighted. Below this is a table of users with columns: User ID, Member Code, User Type, User Status, Modify User, Change Password, Delete, and Assign Roles. The table lists five sub-users: apole, manoj, ptanna, rasina, and supriya. The 'Assign Roles' column for 'manoj' has a red box around the 'ALL' checkbox. Below the user table is the 'Update Services : manoj' section, which contains a table with columns for Services, CD, CM, CLEARING, DEST, FO, ALL, and OTHERS. The 'ALL' checkbox under the 'ALL' column is highlighted with a red box. At the bottom, there are 'Update', 'Cancel', and 'Reset' buttons. A footer message reads: 'Pleased to introduce a single toll free no. 1800220051, for any queries related Membership, Inspection, Compliance & NC'.

Services	CD	CM	CLEARING	DEST	FO	ALL	OTHERS
ENT-System Audit	☐	☐	☐	☐	☐	☐	☐
ENT-Trade	☐	☐	☐	☐	☐	☐	☐
EXTRANET-circulars	☐	☐	☐	☐	☐	☐	☐
EXTRANET-common	☐	☐	☐	☐	☐	☐	☐
EXTRANET_smd	☐	☐	☐	☐	☐	☐	☐
EXTRANET_upid	☐	☐	☐	☐	☐	☐	☐
Inspection	☐	☐	☐	☐	☐	☒	☐
Knowledge Builder	☐	☐	☐	☐	☐	☐	☐
NSE-ADST	☐	☐	☐	☐	☐	☐	☐
VOXOnline	☐	☐	☐	☐	☐	☐	☐

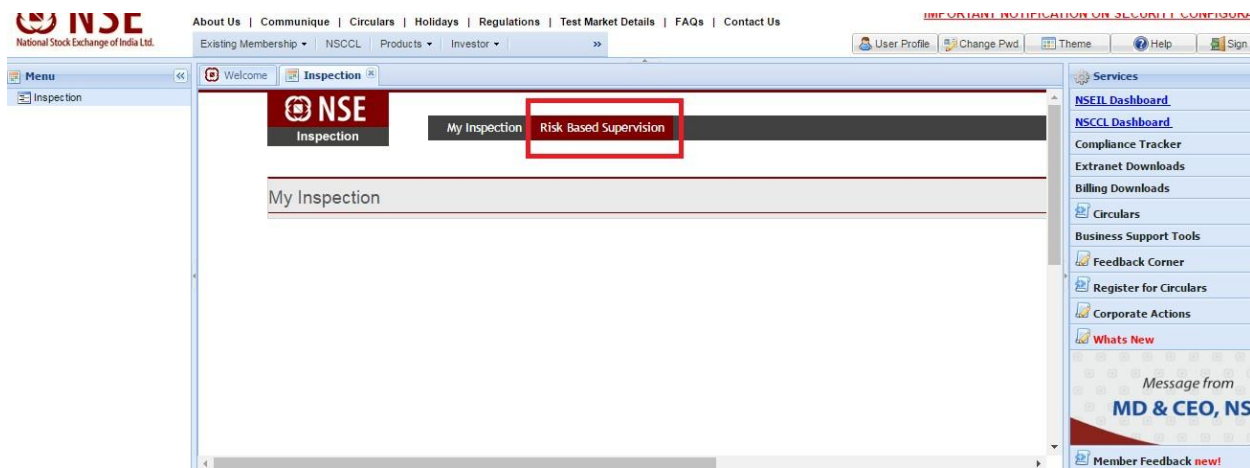
3: Click on "Inspection" tab

The screenshot shows the NSE Member Portal interface. At the top, there are navigation links: About Us, Communique, Circulars, Holidays, Regulations, Test Market Details, FAQs, and Contact Us. Below these are links for Existing Membership, NSCCL, Products, Investor, and Services & Circulars. The main header includes 'Welcome' and 'Menu'. The 'Menu' section has a red box around the 'Inspection' tab. Below the menu is a large image of the National Stock Exchange building. At the bottom, there are 'User Profile' and 'Change Pwd' buttons. A footer message reads: 'Pleased to introduce a single toll free no. 1800220051, for any queries related Membership, Inspection, Compliance & NC'.

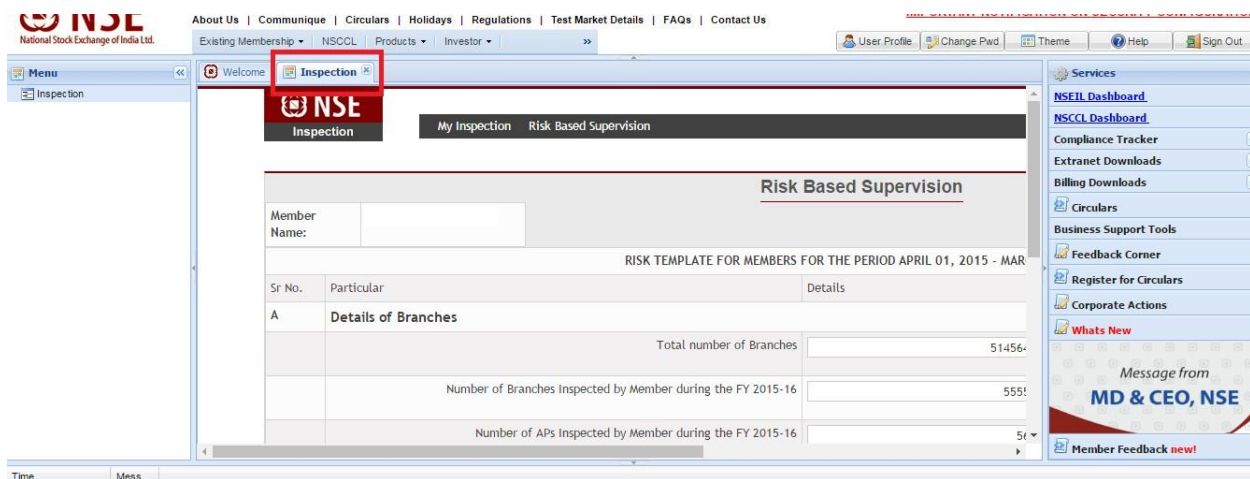
4. Click OK on all the alerts



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

Select	S.No.	Name of the Associate	Registration Number	Sector of the financial market in which the entity is active
☐	1.	Test		Banking

Add Row **Delete Row**

Details of Associates/Group Companies

Associate/ group companies along with details of registration and whether active in any sector of financial market

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

OK **Cancel**

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.



Inspection

My Inspection

Risk Based Supervision

welcome memo

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	1
	Number of Sub-broker Inspected by Member during the FY 2015-16	1
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	