



**National Stock Exchange Ltd.**

**User Manual for FATF Module**

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## About This MANUAL

### PURPOSE OF THIS MANUAL

This manual will enable you to use FATF Module of the Electronic Member Interface User Module and provides detailed procedures for the same.

### WHO SHOULD READ THIS MANUAL

This manual is useful for anyone who is a user of Electronic Member Interface FATF module. The main functions of this module include:

- To Submit FATF Declaration as sought by Exchange from time to time

### HOW TO GET IN TOUCH

The following sections provide information on how to obtain support for the documentation and the software.

#### Documentation Support

NSE welcomes your comments and suggestions on the quality and usefulness of this document. For any questions, comments, or suggestions on the documentation, you can contact us at:

National Stock Exchange of India Limited.

Exchange Plaza, Block G,

Bandra-Kurla Complex, Bandra (East),

Mumbai – 400051

Tel – 022-26598100

#### Customer Support

If you have any problems, questions, comments, or suggestions regarding Electronic Member Interface User module, contact us at the address mentioned above. While contacting customer support, have the following information ready:

- Your NAME, Email address, phone number and FAX number
- The type of hardware including the server configuration and network hardware, if available
- The version of Electronic Member Interface User Module
- The name and version of the operating system

Getting Started

In this chapter, you will learn about ‘FATF’ module.

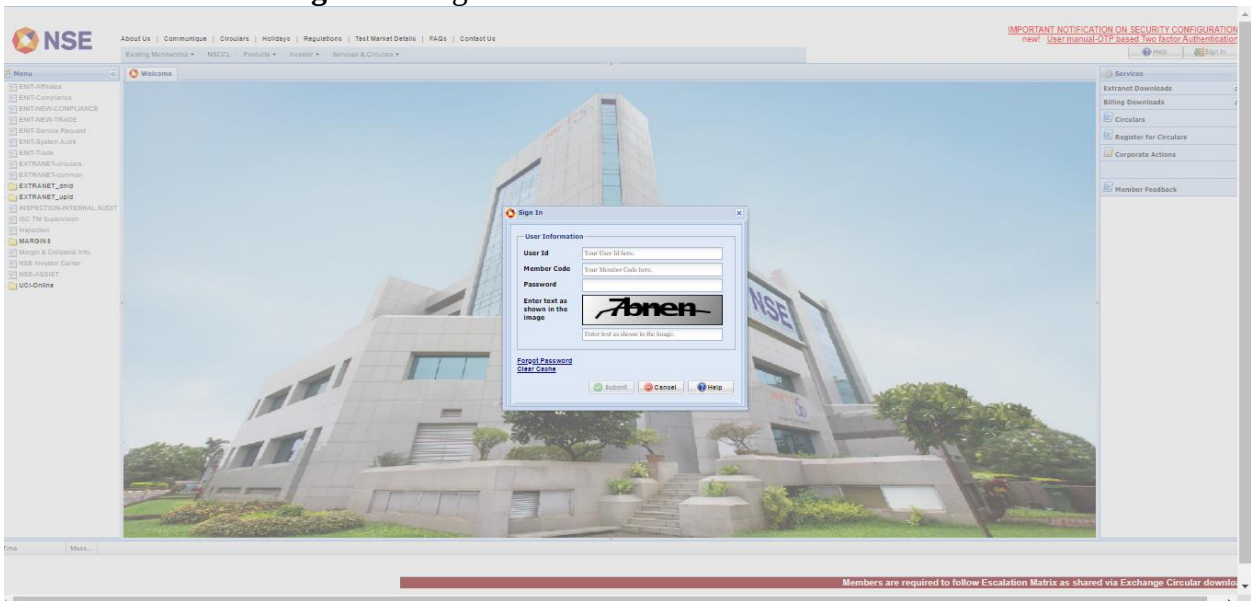
STARTING

To start the ‘Electronic Member Interface’ portal, Trading Member first needs to go log in to Member Portal using the ‘UserId, Member Code and Password’.

Then he needs to go to ‘ENIT NEW COMPLIANCE’ tab to get the access. It is advisable to use IE11 or higher versions of IE.

To start the electronic member interface user module

- 1. Open Internet Explorer browser from the desktop.
- 2. Type <https://www.connect2nse.com/MemberPortal/home.jsp> in the address bar and then click the **Go** button from the browser.
- 3. NSE Member Portal **Login** screen gets launched as below:

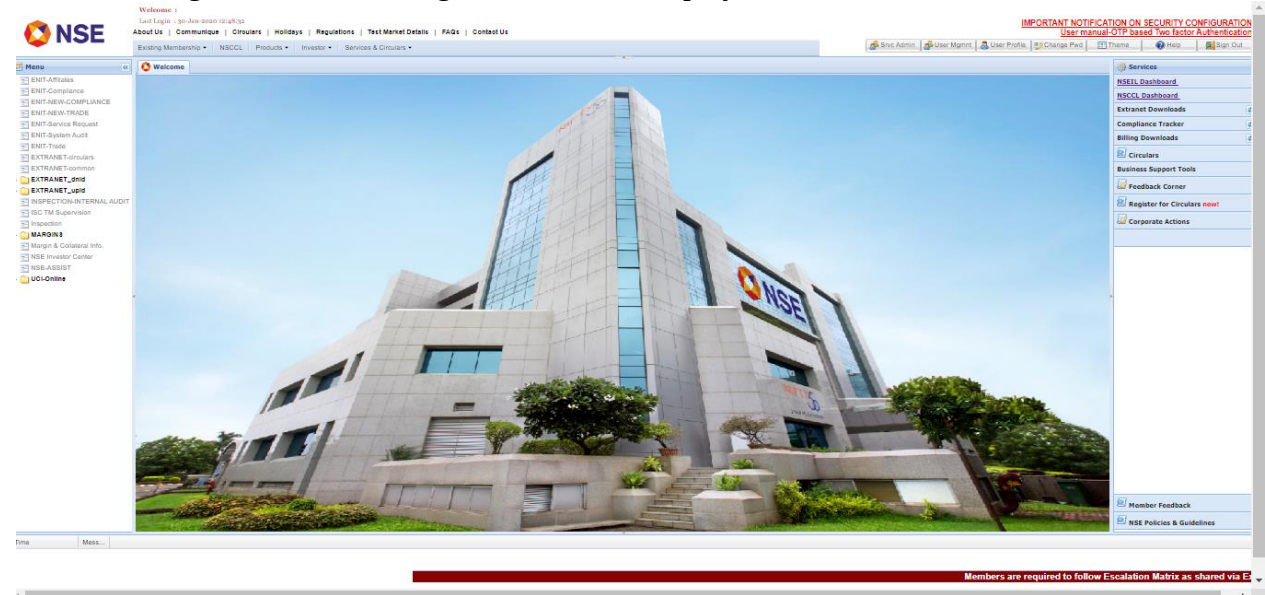


After entering the credentials, user needs to clicks on ‘Submit’ button to login.

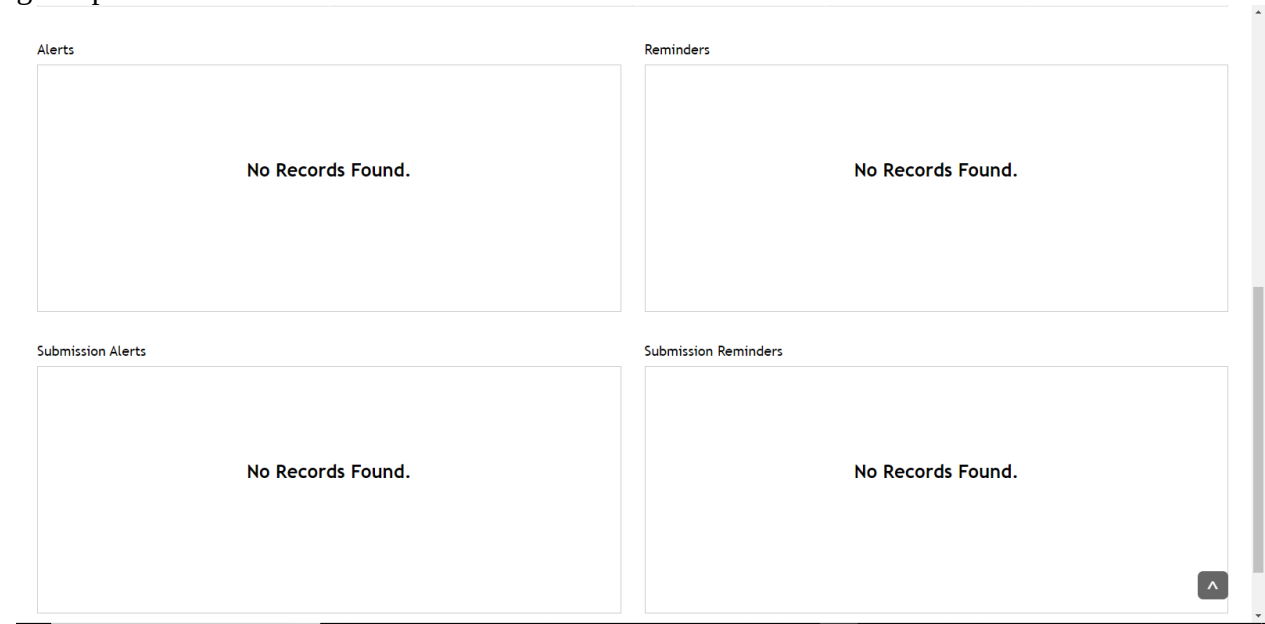
|             |                                                                                                                                                                                                                                                        |
|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| UserId      | <ul style="list-style-type: none"><li>✓ Type the appropriate Userid in this field.</li><li>✓ This field is alphanumeric.</li><li>✓ This field is mandatory.</li></ul>                                                                                  |
| Member Code | <ul style="list-style-type: none"><li>✓ Type the appropriate member code of the user in this field.</li><li>✓ This field is numeric only.</li><li>✓ This field should accept 5 digit correct member code.</li><li>✓ This field is mandatory.</li></ul> |

|          |                                                                                                                                                                                               |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Password | <ul style="list-style-type: none"><li>✓ Type correct password in this field.</li><li>✓ This field accepts alphanumeric &amp; special characters.</li><li>✓ This field is mandatory.</li></ul> |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

4. When user logs in, then following screen will be displayed:



5. When Trading Member opens 'ENIT NEW COMPLIANCE' tab, the main screen 'Dashboard' gets open:



When no records are available, then it will show 'No Records Found'.

## ELECTRONIC MEMBER INTERFACE

To navigate your way in the Electronic Member Interface (User), a proper understanding of the interface is essential. This section illustrates the various parts of the Electronic Member Interface (User) and their uses.

### Navigation Bar

The navigation bar displays the various options available in the Electronic Member Interface (User).

On clicking on 'Compliance', FATF module is available:

The screenshot shows the NSE Electronic Member Interface. The top navigation bar includes 'Compliance for Auditor', 'Compliance', 'Trade', and 'Membership'. The 'Compliance' menu is open, showing 'FATF' and 'FATF Declaration MIS'. The main content area displays 'GSTIN Information' with a table of entities and their details. The 'Alerts' section shows 'Submission Alerts' and 'Reminders'.

| ENTITY                                   | Address                                                              | Provisional GST Id | ARN Number      | PAN        |
|------------------------------------------|----------------------------------------------------------------------|--------------------|-----------------|------------|
| National Stock Exchange of India         | G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051 | 27AAACN1797L1Z0    | AA271216007256G | AAACN1797L |
| National Securities Clearing Corporation | G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051 | 27AAACN2642L1ZE    | AA271216007418C | AAACN2642L |

### ‘FATF’ module contains:

- FATF Declaration
- FATF Declaration MIS

### FATF Declaration

1. Login with correct member credentials.
2. Click on 'Compliance'.
3. Go to 'FATF'
4. Select 'FATF Declaration' and click on it.



NSE

Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Compliance for Auditor



Compliance



Trade



Membership



PDF Signing



Test Digital Signature



Test



Member Name :



Welcome



Member Code :



Com

FATF Declaration by Member

Member Code\*

Member Name\*

Country\*

Applicability\*

APPLICABLE

Statement Date\*

10-Jun-2020

Action required

Actions taken by you for supervision applicable sanctions based on FATF public Statements issued by the Exchanges along with policy / process adopted for the same \*

Also please provide any if additional measures are being taken with respect to clients from the jurisdiction mentioned in the public statement, financing (ML/TF/PP) risks emanating from the DPRK. \*

List of circulars issued by Exchanges regarding FATF Public Statements which have been complied by you.

Action Taken by Member/s/Participant(s) Summary

Save and view declaration

Note: Content of Action required will vary from country to country. The above is just for representation purpose.

After entering all the details in the text area, the member has to click on the save and view declaration button. On clicking, the following pop-up will appear”

After clicking OK, the below page will appear. Here the member has 2 options with respect to signature. In case if digital signature is not available with the member, member may opt for manual signature.

To select Digital Signature, please select the radio button-Digital Signature process.



Declaration Document

To: 18-Jun-2020

Membership Compliance Department,  
National Stock Exchange of India Ltd.

**NOTE:-**

- Please click on "System Generated File" to download the file.
- Please click on Sign PDF to sign your digitally generated file and upload the same in Uploaded Digitally Signed File.
- After digitally signed file upload, please upload "Client Details" if applicable, or click on "Submit Request" to submit to exchange.

System Generated PDF File: FNTY\_Declaration .pdf

Uploaded Digitally Signed PDF :-

Choose File No file chosen

Sign PDF

NSE Copyright (c) 2016

Member then have to download the system generated pdf file and then click on sign pdf. After that, select system generated pdf file from the download location and digitally sign the pdf. Post that, member has to click on upload digitally signed pdf and select the signed pdf file.

Declaration Document

To: 18-Jun-2020

Membership Compliance Department,  
National Stock Exchange of India Ltd.

**NOTE:-**

- Please click on "System Generated File" to download the file.
- Please click on Sign PDF to sign your digitally generated file and upload the same in Uploaded Digitally Signed File.
- After digitally signed file upload, please upload "Client Details" if applicable, or click on "Submit Request" to submit to exchange.

System Generated PDF File: FNTY\_Declaration .pdf

Uploaded Digitally Signed PDF :-

Choose File FNTY\_Declaration\_signed.pdf

Sign PDF

Upload Client Details Excel File:

Choose File No file chosen

Click Here To Download Template Excel File

Submit Request

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Post pdf file upload, member has to upload a excel file as per the template has been provided. Member is required to download template excel, feed the data in the excel and upload the same excel file. After excel is attached, member has to click on submit request. When request is successfully submitted a pop-up will be shown stating your request has been submitted successfully.

To opt for Manual signature, select Manual Signature process. Click on system generated declaration file to download. Print the same and sign the document manually. Upload the scan of the signed document. Naming convention of the document should be system generated file name followed by “-signed.pdf”.

When the member clicks on OK button, a summary of the request submitted by the member shall be displayed.

In case the FATF declaration is not applicable to the member, member needs to select ‘Not applicable’ as the applicability. Then Click on Save and view Declaration.

The screenshot shows the 'FATF Declaration by Member' page on the NSEIL portal. A confirmation pop-up is displayed in the center, stating: 'Confirmation: The FATF request is saved successfully. Please upload digitally signed declaration file and submit to Exchange.' The background form includes fields for Member Code, Country (Germany), Reference No., and Statement Date (18-Jun-2020). There is also a 'Declaration Document' section with a file upload area.

On clicking OK on the pop up, below page will appear, wherein the member has to select the type of signature and then upload the signed (either digitally signed or manually signed) document. Detailed steps explained above.

The screenshot shows the 'Selection of process for applying Signature' page. It has two radio buttons: 'Digital Signature Process' (selected) and 'Manual Signature Process'. A red box highlights a 'NOTE' section with the following instructions:

- Please select the process of signing declaration file from (a) Digital Signature (b) Manual Signature
- Please click on "System Generated File" to download the file.
- Please click on "Sign PDF" to sign your digitally generated file and upload the same in 'Uploaded Digitally Signed File'.
- If selected "Manual Signature", then click on system generated file, manually sign the file and save the same with naming nomenclature given below.
- After digitally signed file upload, please upload "Client Details" if applicable, or click on "Submit Request" to submit to exchange.

Below the note, there are sections for 'System Generated PDF File' (showing a file named '1073FATF\_Declaration\_1.pdf') and 'Uploaded Manually Signed Pdf' (with a 'Choose File' button). A red box highlights a note for the manually signed PDF: 'Please upload Signed document with naming convention as AAAA-signed.pdf where A stands for system generated filename.' There is also an 'Upload Client Details Excel File' section with a 'Choose File' button. A 'Submit Request' button is at the bottom.

After submitting the request, the following pop-up will appear:

The screenshot shows the 'FATF Declaration by Member' page after submission. A confirmation pop-up is displayed, stating: 'Confirmation: The FATF request is submitted successfully with request reference No:- FATF\_...\_Germany\_2020\_130 on 18-Jun-2020. Please go to Compliance --> FATF Declaration --> FATF Declaration MIS for viewing the request.' The background form shows the 'Member Code', 'Country' (Germany), 'Reference No.', and 'Statement Date' (10-Jun-2020). The 'Uploaded PDF File' section shows a file named 'FATF\_Declaration\_Germany-signed.pdf'.

FATF Declaration MIS

After submitting the request the member can view the submitted request by clicking on FATF->FATF Declaration MIS.

NSE

Member Code :

Member Name :

PDF Signing

Test Digital Signature

Test

ENT

Exchange of Information for Trading Purposes

Compliance for Auditor

Compliance

Trade

Membership

Welcome

FATF Declaration MIS

Member Code\*

Country\*

Reference No\*

Statement Date\*

Member Name\*

Applicability\*

Request Status\*

SHAREKHAN LTD.

APPLICABLE

SUBMIT

Country

China

XBR

ML and AI

Authorised Person

Margin Trading File

Annual Returns

FATF Declaration

FATF Declaration MIS

Required

in by you for supervision applicable sanctions based on FATF public Statements issued by the Exchanges along with

cess adopted for the same

al measures are being taken with respect to clients from the jurisdictions mentioned in the

T/PPF) risks emanating from the DPRK.

List of circulars issued by Exchanges regarding FATF Public Statements which have been complied by you.

Optional Field 1

Action Taken by Members/Participants(Summary)

testing

testing

testing

Uploaded PDF File:-

Uploaded Excel File:-

After clicking on FATF Declaration MIS the following page will appear.

NSE

Member Code :

Member Name :

PDF Signing

Test Digital Signature

Test

ENT

Exchange of Information for Trading Purposes

Compliance for Auditor

Compliance

Trade

Membership

Welcome

FATF DECLARATION MIS

Member Name

Request Status

Statement From Date

Country

Member Code

Request Reference No

Statement To Date

Applicability

Select

Select

Select

Select

Select

Select

Search

Reset

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12) Member can click on Search Button of the MIS page and view all the requests submitted by the member or the member can also search for some specific data by entering data in the filter fields provided.



Member Code :Member Name :PDF SigningTest Digital SignatureTest

Compliance for AuditorComplianceTradeMembership

Welcome

FATF DECLARATION MIS

Member NameRequest StatusStatement From DateCountry

Member CodeRequest Reference NoStatement To DateApplicability

SearchReset

| Sr. No. | Request Ref.No                      | Member Name | Member Code | Status | Applicability | CountryName | Submit Date | As On Date  | Download Pdf             | Download Excel           |
|---------|-------------------------------------|-------------|-------------|--------|---------------|-------------|-------------|-------------|--------------------------|--------------------------|
| 1       | <a href="#">FATF_China_2020_129</a> |             |             | SUBMIT | APPLICABLE    | China       | 18-JUN-2020 | 10-JUN-2020 | <a href="#">Download</a> | <a href="#">Download</a> |

Page 1 of 1

View 1 - 1 of 1

Member can download the Excels, PDF Files from the MIS by clicking on the download button. Member can also see the summary data submitted by clicking on the reference number.