

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)

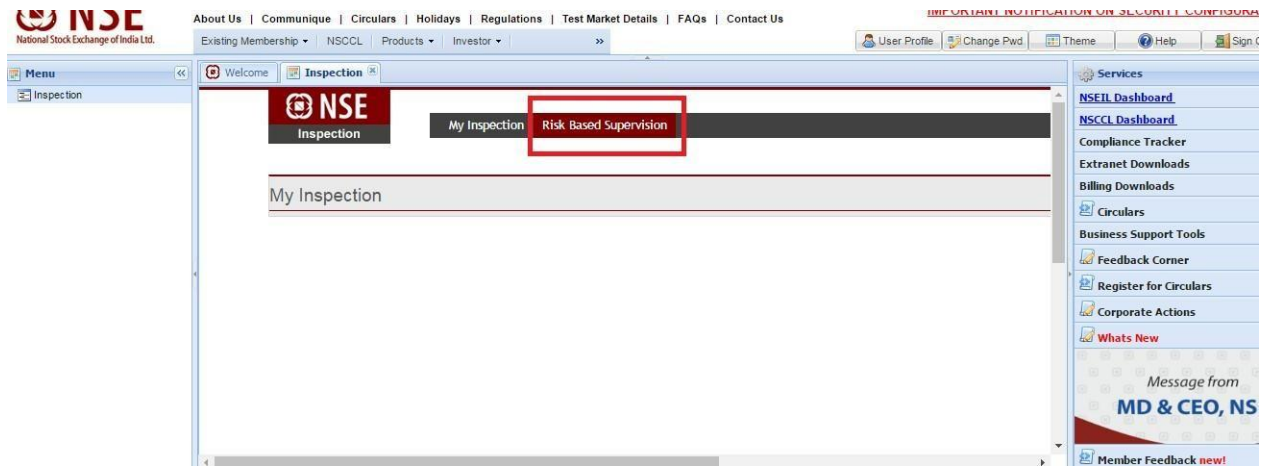
The screenshot shows the 'User Management' section of the NSE Member Portal. The 'Modify User' tab is selected. Below the navigation bar, there is a table of users. The 'Assign Roles' column for the user 'manoj' is highlighted with a red box, showing a dropdown menu with 'Inspection' selected. Below this, the 'Update Services' table is shown, with the 'ALL' checkbox under the 'Inspection' service highlighted with a red box.

Services	CD	CM	CLEARING	DEST	FO	ALL	CD	CM	DEST	OTHERS	FO	MFSD	SLB	WDM
ENIT-System Audit	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-Trade	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
EXTRANET-circulars	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
EXTRANET-common	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
EXTRANET_sno	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
EXTRANET_updt	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Inspection	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐	☐	☐	☐	☐
Knowledge Builder	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
NSE-ASDST	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
UCIOnline	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

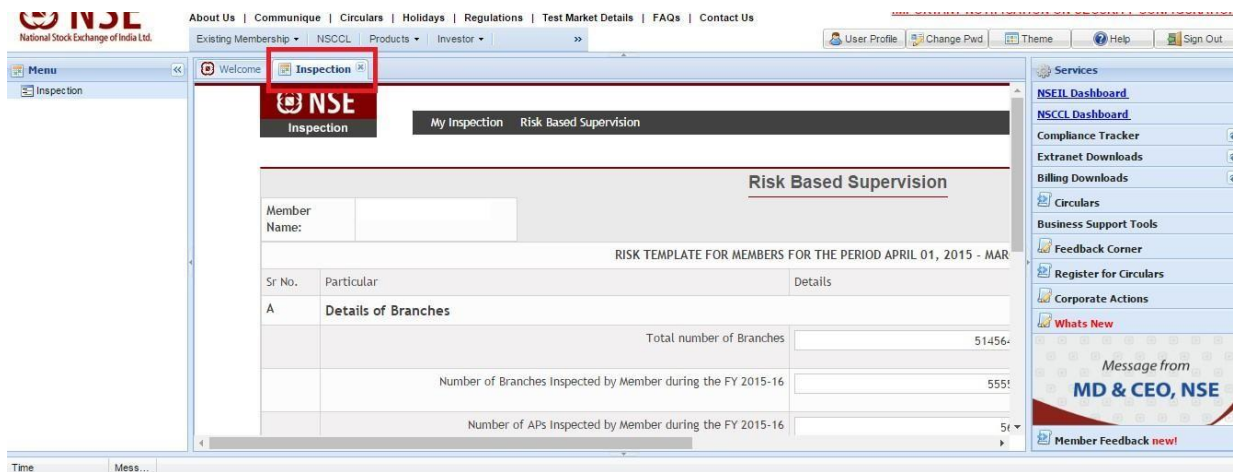
3: Click on "Inspection" tab

The screenshot shows the NSE Member Portal home page. The 'Inspection' tab is selected in the left-hand menu. The main content area displays a large image of the National Stock Exchange building.

4. Click on Risk Based Supervision



5. Maximize the current tab by double clicking Inspection tab



6. 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 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

7. Please ensure that all the details filled are correct and complete in all respect. Submit the form by clicking on "Submit" button.

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	