



National Stock Exchange Ltd.

User Manual for FATF Module

TABLE OF CONTENTS

1.	ABOUT THIS MANUAL.....	3
1.1	PURPOSE OF THIS MANUAL	3
1.2	WHO SHOULD READ THIS MANUAL.....	3
1.3	HOW TO GET IN TOUCH	3
1.3.1	DOCUMENTATION SUPPORT	3
1.3.2	CUSTOMER SUPPORT	3
2.	GETTING STARTED	4
2.1	STARTING	4
2.2	ELECTRONIC MEMBER INTERFACE.....	7
2.2.1	NAVIGATION BAR	7
3.	COMPLIANCES	8
3.1	FATF MODULE	8

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 'User Id, 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.

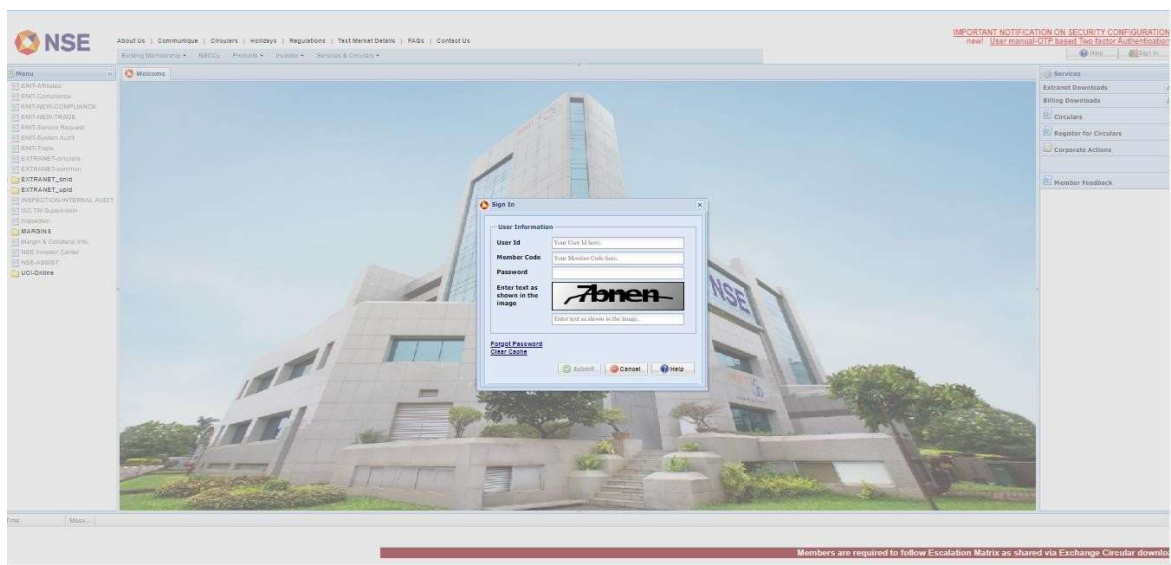
To start the electronic member interface user module

Open Internet Explorer browser from the desktop.

Type <https://www.connect2nse.com/MemberPortal/home.jsp>

Or <https://enit.nseindia.com/MemberPortal/> in the address bar and then click the **Go** button from the browser.

NSE Member Portal **Login** screen gets launched as below:

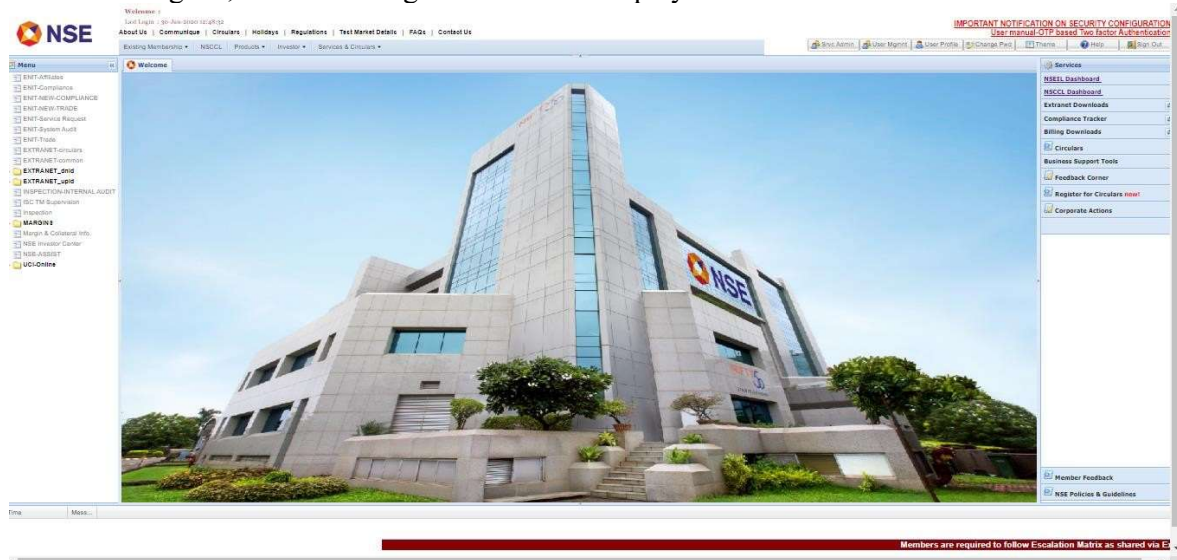


After entering the credentials, user needs to click on 'Submit' button to login.

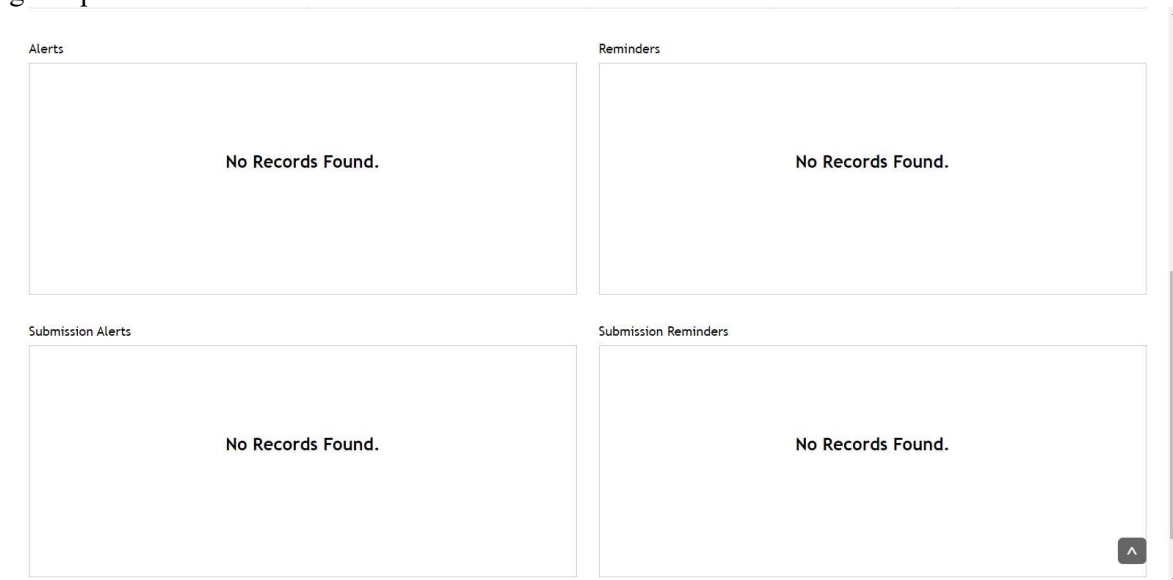
UserId	✓ Type the appropriate Userid in this field. ✓ This field is alphanumeric. ✓ This field is mandatory.
Member Code	✓ Type the appropriate member code of the user in this field. ✓ This field is numeric only. ✓ This field should accept 5 digit correct member code. ✓ This field is mandatory.

Password	✓ <i>Type correct password in this field.</i> ✓ <i>This field accepts alphanumeric & special characters.</i> ✓ <i>This field is mandatory.</i>
----------	--

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



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'.

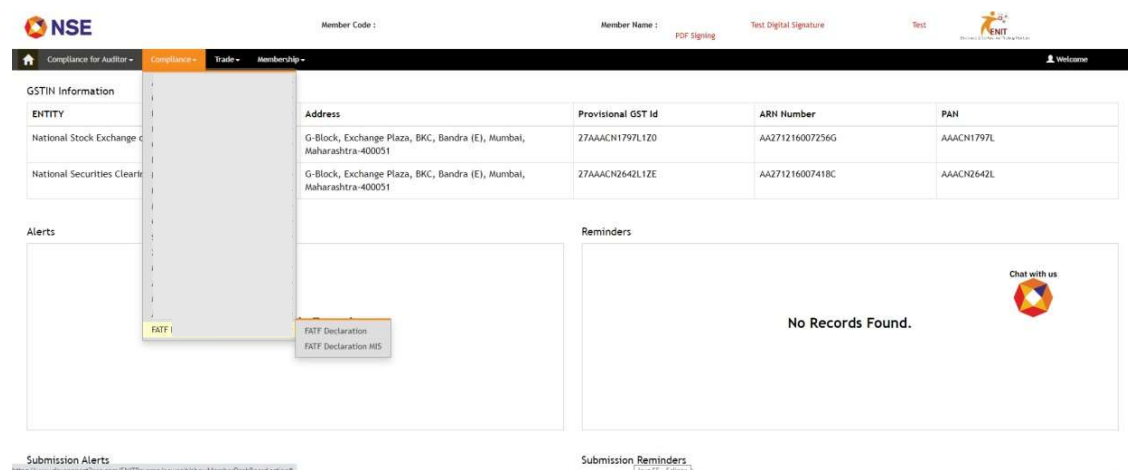
ELECTRONIC MEMBER INTERFACE

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:



'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.

The screenshot shows the NSEIL Compliance portal. The top navigation bar includes the NSE logo, Member Code, Member Name, PDF Signing, Test Digital Signature, Test, and a Welcome message. The left sidebar contains links for Compliance for Auditor, Compliance, Trade, and Membership. The main content area displays GSTIN Information, Alerts, and Reminders. A dropdown menu is open under the Compliance link, showing options like FATF Declaration, FATF Declaration HIS, and FATF Declaration MIS. The Reminders section shows "No Records Found."

On clicking FATF Declaration, below page will appear

The screenshot shows the "FATF Declaration by Member" form. It includes fields for Member Code, Member Name, Country (a dropdown menu), and Applicability (a dropdown menu). A "Save and view declaration" button is located at the bottom of the form.

Member then have to select the countries from the dropdown and Applicability. If the member selects Applicable, below page will appear

The screenshot shows the "FATF Declaration by Member" form with the Applicability dropdown set to "APPLICABLE". The form includes fields for Member Code, Member Name, Country, and a "Save and view declaration" button. Below the form, there is a section for "Action required" and "Action Taken by Member's/Participants(Summary)".

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.

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.

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.

FATF Declaration by Member

Member Code:

Country:

Reference No:

Statement Date:

Declaration Document:

Confirmation: The FATF request is shared successfully. Please upload digitally signed declaration file and submit to Exchange.

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.

Selection of process for applying Signature

Select process for applying Signature* :- ☐ Digital Signature Process ☒ Manual Signature Process

NOTE:-

- Please select the process of signing declaration file from (x)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.

System Generated PDF File:- 18723FATF_Declaration_1.pdf

Upload Client Details Excel File:- No file chosen

Click Here To Download Template Excel File

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

FATF Declaration by Member

Member Code:

Country:

Reference No:

Statement Date:

Declaration Document:

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.

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



Initiative for FATF Action Targeted

Welcome

Compliance for Auditor

FATF Declaration by Member

Member Code*

Country*

Reference No*

Statement Date*

Member Name*

Applicability*

Request Status*

SHAREKHAN LTD.

APPLICABLE

SUBMIT

XBR

ML and AI

Authorised Person

Margin Trading File

Annual Returns

FATF Declaration

Required

Optional Field 1

Country	Required	Action Taken by Members/Participants(Summary)
China	en 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/PF) risks emanating from the DPRK. List of circulars issued by Exchanges regarding FATF Public Statements which have been complied by you.	testing testing testing

Uploaded PDF File:

Uploaded Excel File:

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


Member Code :
Member Name :
PDF Signing
Test Digital Signature
Test



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

NSEIL

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.

The screenshot displays the NSEIL FATF DECLARATION MIS interface. At the top, there is a navigation bar with the NSE logo and links for Compliance for Auditor, Compliance, Trade, and Membership. Below this, the page title 'FATF DECLARATION MIS' is shown. The search filters are organized into two columns. The left column includes fields for Member Name, Request Status (a dropdown menu), Statement From Date, and Country (a dropdown menu). The right column includes fields for Member Code, Request Reference No., Statement To Date, and Applicability (a dropdown menu). A red 'Search' button and a 'Reset' button are positioned below the filters. The results are presented in a table with the following columns: S.No., Request Ref No., Member Name, Member Code, Status, Applicability, Country Name, Submit Date, As On Date, Download PDF, and Download Excel. A single entry is visible in the table with the following details: S.No. 1, Request Ref No. DATE China 2020 122, Member Name, Member Code, Status SUBMIT, Applicability APPLICABLE, Country Name China, Submit Date 18-JUN-2020, As On Date 10-JUN-2020, and Download buttons for PDF and Excel. At the bottom of the table, there is a pagination control showing 'Page 1 of 1' and a 'View 1 - 1 of 1' indicator.

S.No.	Request Ref No.	Member Name	Member Code	Status	Applicability	Country Name	Submit Date	As On Date	Download PDF	Download Excel
1	DATE China 2020 122			SUBMIT	APPLICABLE	China	18-JUN-2020	10-JUN-2020	Download	Download

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.