

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/63264	Date: August 05, 2024
Circular Ref. No: 50/2024	

To All Members,

Sub: FATF Public statement on jurisdictions on call for action and increased monitoring – June 2024 Plenary

This is with reference to Exchange Circular Ref. No. NSE/ISC/62986 dated July 19, 2024 on “FATF Public statement on jurisdictions on call for action and increased monitoring – June 2024 Plenary”.

In furtherance to the aforesaid Circular, the Exchange has made necessary changes in FATF module in ‘ENIT New Compliance’ to capture the required information on the actions taken by members with regards to the jurisdictions mentioned by FATF. All members of the Exchange are required to update the actions taken by them in the prescribed format in the FATF module. In case if the same is not applicable, members may select ‘not applicable’ and submit declaration. Detailed procedure has been explained in the attached user manual (Annexure A).

The link for submission shall be enabled from Tuesday, August 06, 2024 and the due date for submission shall be Friday, August 23, 2024. All members are required to comply with the aforesaid requirements within the prescribed timelines to avoid any penal charges/disciplinary action for the non/late submission of the report as prescribed vide Exchange circular Ref. No. NSE/INSP/53530 dated September 02, 2022.

Members are advised to take note of the contents of the Circular and ensure strict compliance.

**For and on behalf of
National Stock Exchange of India Limited**

**Kapil Marwah
Associate Vice President**

National Stock Exchange of India Limited

In case of any clarifications, Members may contact our below offices:

Regional Office	CONTACT NO.	E MAIL ID
Ahmedabad (ARO)	079-49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915/17	inspection_cro@nse.co.in
Delhi (DRO)	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033-40400412 / 59	inspection_kolkata@nse.co.in
Mumbai (WRO)	022-26598200 / 022-61928200	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	



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 ‘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.

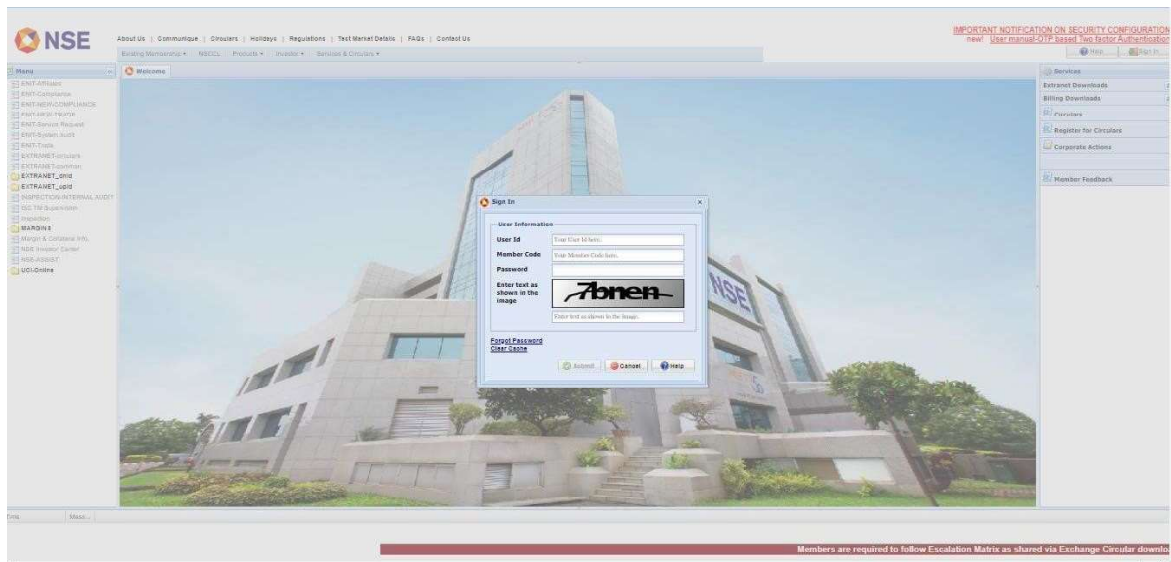
To start the electronic member interface user module

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:

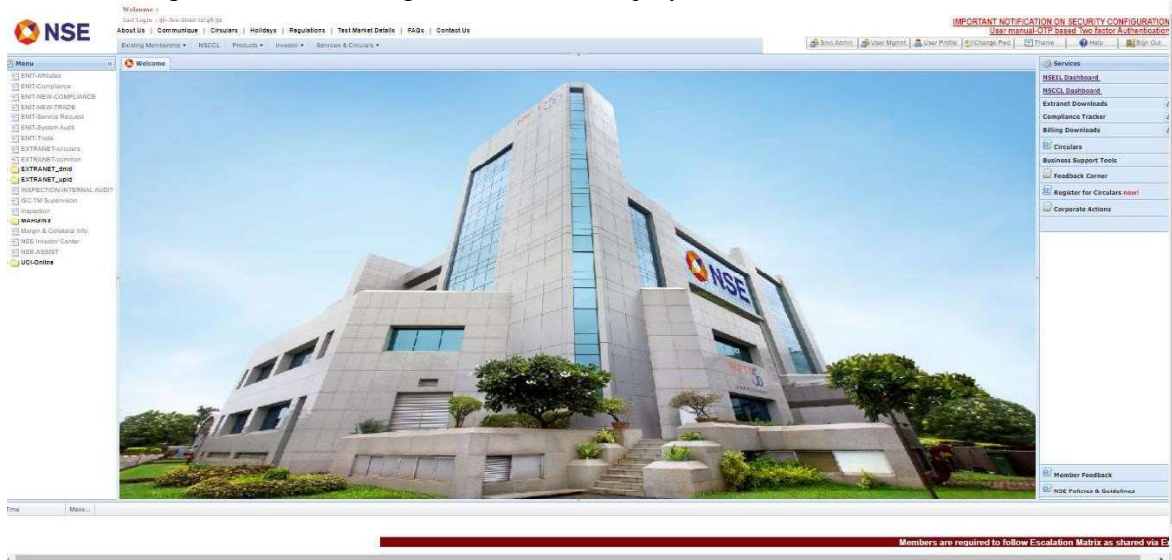


After entering the credentials, user needs to click on ‘Submit’ button to login.

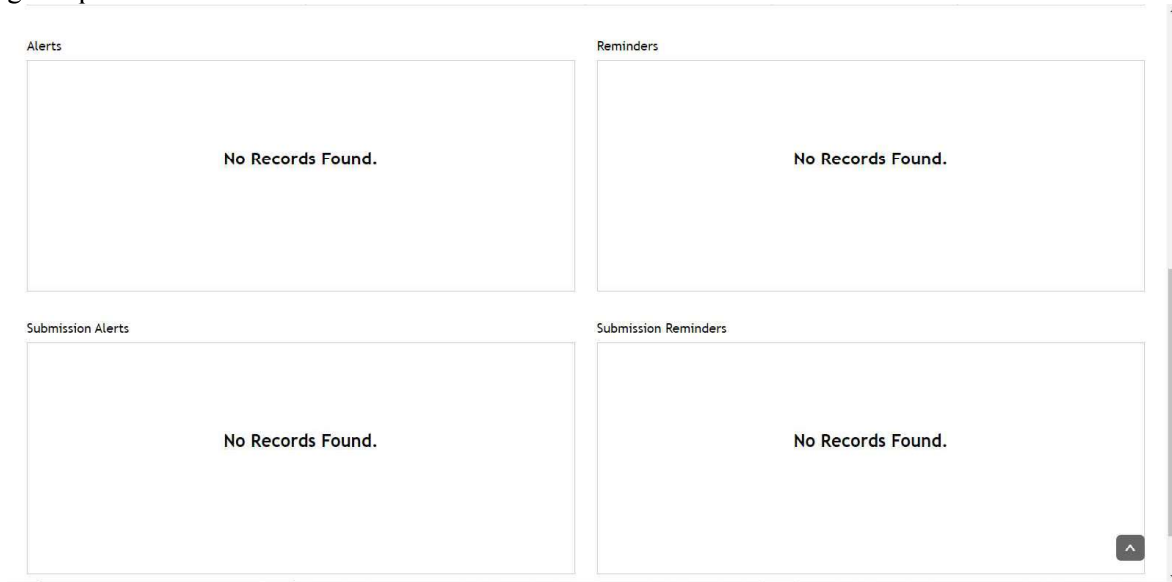
<p>UserId</p>	<ul style="list-style-type: none"> ✓ <i>Type the appropriate Userid in this field.</i> ✓ <i>This field is alphanumeric.</i> ✓ <i>This field is mandatory.</i>
<p>Member Code</p>	<ul style="list-style-type: none"> ✓ <i>Type the appropriate member code of the user in this field.</i> ✓ <i>This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

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

The screenshot displays the NSEIL Electronic Member Interface. The top navigation bar includes 'Compliance for Auditor', 'Compliance', 'Trade', and 'Membership'. The 'Compliance' section is active, showing a sidebar with 'FATF' highlighted. The main content area is divided into 'GSTIN Information' and 'Alerts'. The 'GSTIN Information' table lists two entities: National Stock Exchange and National Securities Clearing Corporation, with their respective addresses, Provisional GST Id, ARN Number, and PAN. The 'Alerts' section shows a 'FATF' alert with a dropdown menu containing 'FATF Declaration' and 'FATF Declaration MIS'. The 'Reminders' section displays 'No Records Found.' and a 'Chat with us' button.

ENTITY	Address	Provisional GST Id	ARN Number	PAN
National Stock Exchange	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN1797L1Z0	AA271216007256G	AAAACN1797L
National Securities Clearing Corporation	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN2642L1ZE	AA271216007418C	AAAACN2642L

‘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 member dashboard. At the top, there are fields for Member Code, Member Name, PDF Signing, Test Digital Signature, and Test. Below this is a navigation bar with 'Compliance for Auditor', 'Compliance', 'Trade', and 'Membership'. The 'Compliance' section is active, showing 'GSTIN Information' and 'Alerts'. In the 'Alerts' section, a dropdown menu is open, highlighting 'FATF Declaration'. Other options in the dropdown are 'FATF Declaration' and 'FATF Declaration MS'. To the right, there is a 'Reminders' section with a 'No Records Found' message and a 'Chat with us' button. At the bottom, there are sections for 'Submission Alerts' and 'Submission Reminders'.

On clicking FATF Declaration, below page will appear

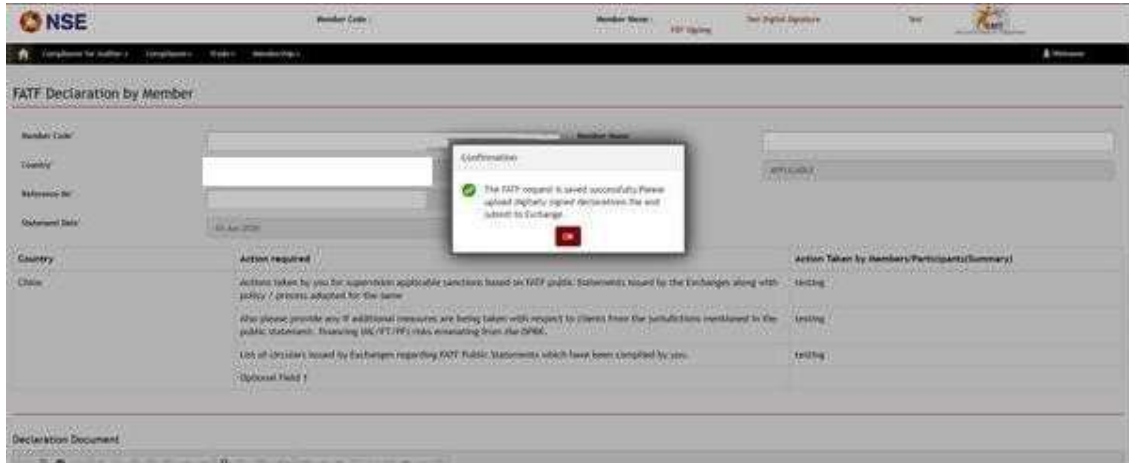
The screenshot shows the 'FATF Declaration by Member' form. It includes fields for Member Code, Member Name, Country (with a dropdown menu), and Applicability (with a dropdown menu). A 'Save and view declaration' button is located below the form fields.

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

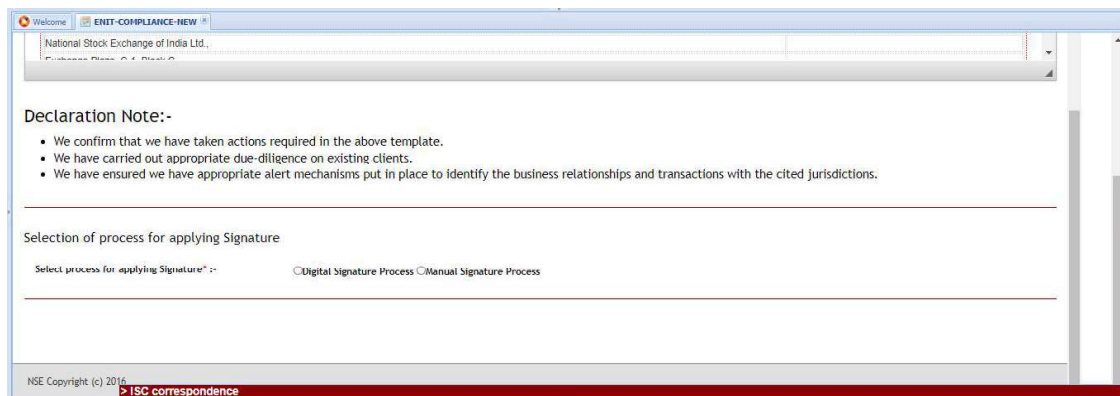
The screenshot shows the 'FATF Declaration by Member' form with the 'Applicability' dropdown set to 'APPLICABLE'. Below the form, there is a section for 'Action required' with a text area for providing additional measures. There is also a section for 'Action Taken by Member's Participants (Summary)' with a text area. A 'Save and view declaration' button is at the bottom.

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

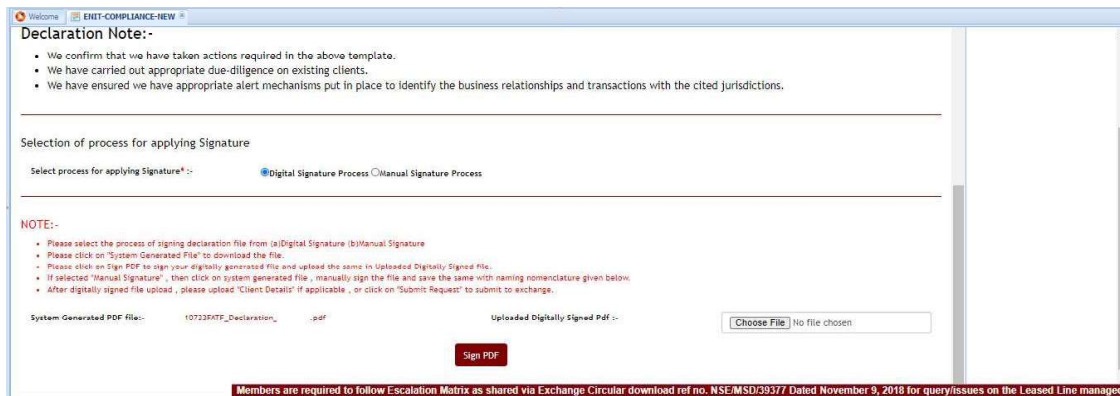
After entering all the details in the text area, the member has to click on the save and view declaration button. On clicking, the following pop-up will appear”

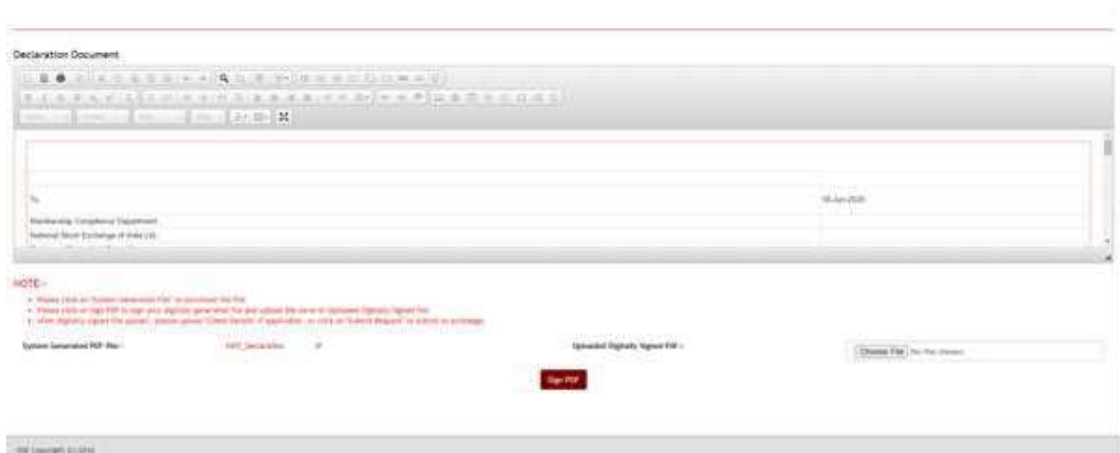


After clicking OK, the below page will appear. Here the member has 2 options with respect to signature. In case if digital signature is not available with the member, member may opt for manual signature.



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





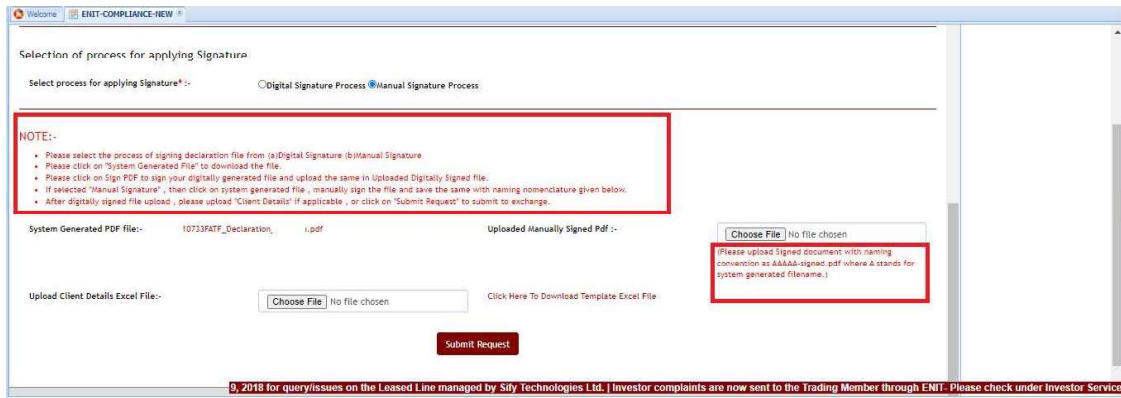
Member then have to download the system generated pdf file and then click on sign pdf. After that, select system generated pdf file from the download location and digitally sign the pdf. Post that, member has to click on upload digitally signed pdf and select the signed pdf file.



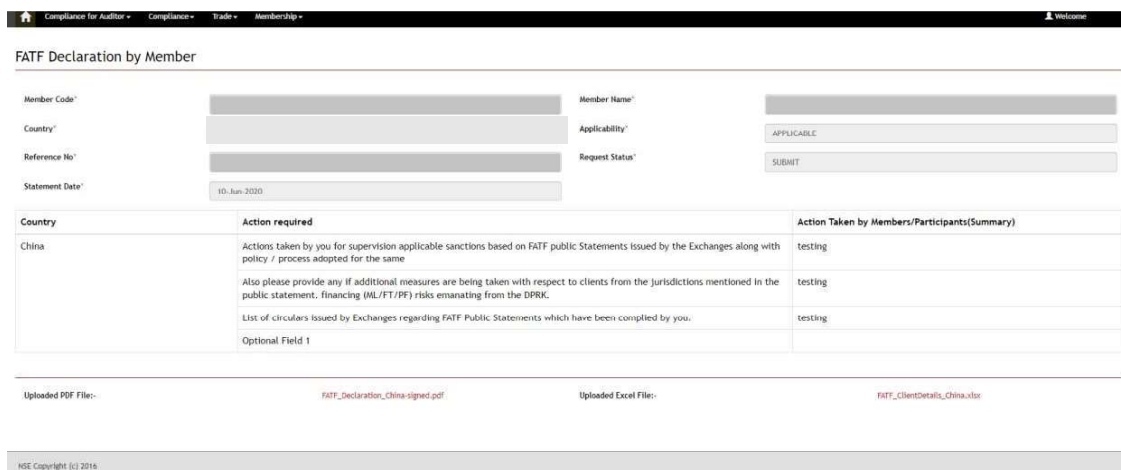
Post pdf file upload, member has to upload a excel file as per the template has been provided. Member is required to download template excel, feed the data in the excel and upload the same excel file. After excel is attached, member has to click on submit request. When request is successfully submitted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



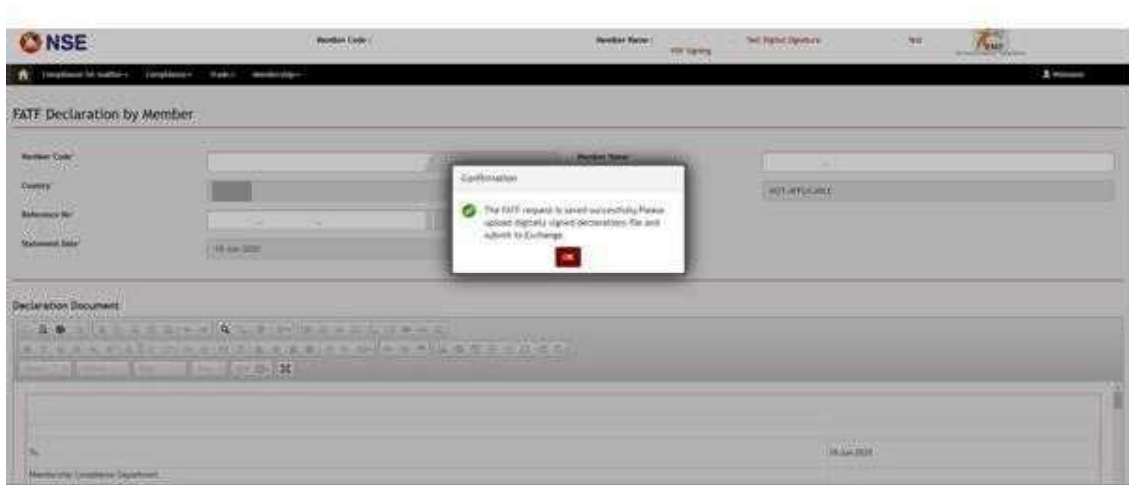
To opt for Manual signature, select Manual Signature process. Click on system generated declaration file to download. Print the same and sign the document manually. Upload the scan of the signed document. Naming convention of the document should be system generated file name followed by “-signed.pdf”.



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



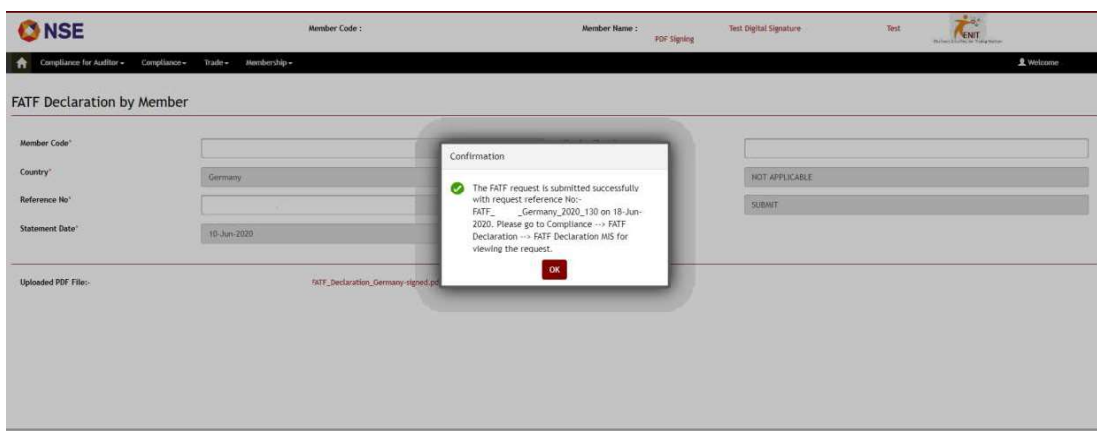
In case the FATF declaration is not applicable to the member, member needs to select ‘Not applicable’ as the applicability. Then Click on Save and view Declaration.



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.



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



NSEIL

FATF Declaration MIS

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

Country	Description	Action Taken by Members/Participants(Summary)
China	...n by you for supervision applicable sanctions based on FATF public Statements issued by the Exchanges along with ...cess adopted for the same	testing
	...al measures are being taken with respect to clients from the jurisdictions mentioned in the ...T/PF) risks emanating from the DPRK.	testing
	List of circulars issued by Exchanges regarding FATF Public Statements which have been complied by you.	testing
	Optional Field 1	

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

Member Name: [Text Field] Member Code: [Text Field]

Request Status: [Select] Request Reference No: [Text Field]

Statement From Date: [Date Picker] Statement To Date: [Date Picker]

Country: [Select] Applicability: [Select]

[Search] [Reset]

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 NSE FATF DECLARATION MIS interface. At the top, there is a navigation bar with the NSE logo and user information including Member Code, Member Name (PDF Signing), Test Digital Signature, and Test. Below the navigation bar, there are tabs for Compliance for Auditor, Compliance, Trade, and Membership. The main section is titled "FATF DECLARATION MIS" and contains several filter fields: Member Name, Member Code, Request Status (dropdown), Request Reference No., Statement From Date, Statement To Date, Country, and Applicability (dropdown). A Search button and a Reset button are located below the filters. Below the filters is a table with the following columns: S.No., Request Ref.No., Member Name, Member Code, Status, Applicability, CountryName, Submit Date, As On Date, Download Pdf, and Download Excel. The table contains one row with the following data: S.No. 1, Request Ref.No. [DATE_China_2020-120](#), Member Name, Member Code, Status SUBMIT, Applicability ADP/IC/AR/IF, CountryName China, Submit Date 18-03-2020, As On Date 18-03-2020, Download Pdf Download, and Download Excel Download. At the bottom of the table, there is a pagination control showing Page 1 of 1 and a View 1 - 1 of 1 button.

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.