



National Stock Exchange of India Ltd.

Reporting of Authorised Person (AP) Inspections by Members

User Manual

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1. About This Guide

1.1 PURPOSE OF THIS GUIDE

This guide will enable you to use 'Authorised Persons' Module of the Electronic Member Interface Member Module and provides detailed procedures for the same.

1.2 WHO SHOULD READ THIS GUIDE

This guide is useful for Trading Members to submit the Reporting of Authorised Person (AP) Inspections carried out by Members

1.3 HOW TO GET IN TOUCH

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

1.3.1 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 mail us at memcompliance_support@nse.co.in or contact us at:

National Stock Exchange of India Limited.
Exchange Plaza, Block G,
Bandra-Kurla Complex, Bandra (East),
Mumbai – 400051
Tel – 022-26598100

1.3.2 CUSTOMER SUPPORT

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

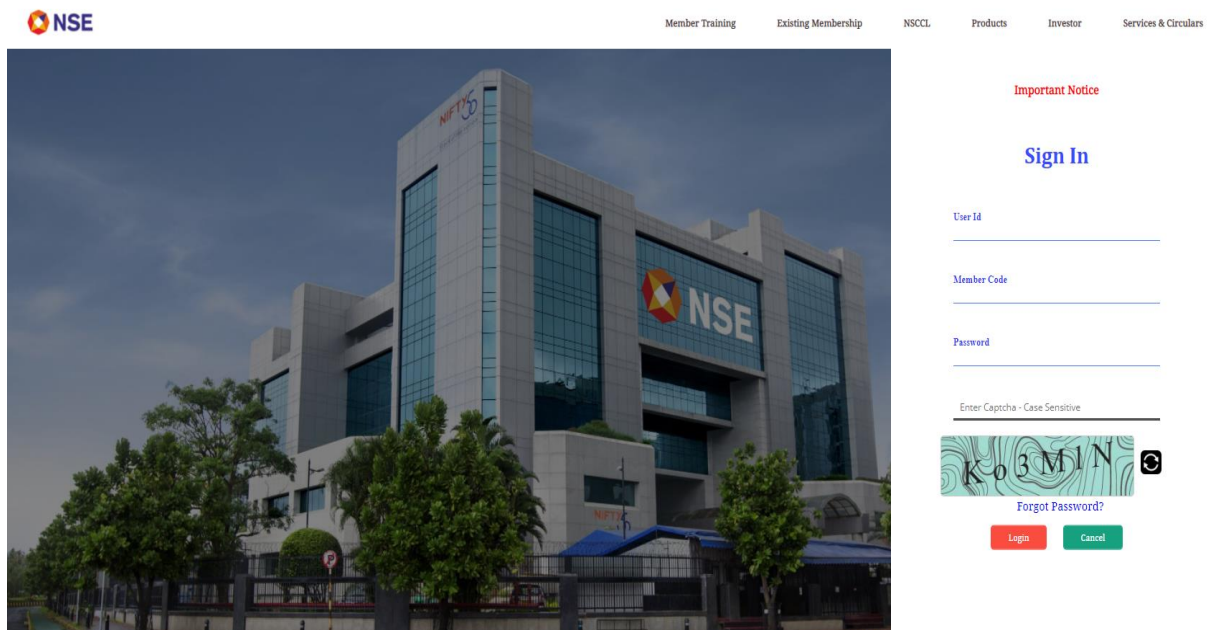
- **Your NAME, Email address, phone number and FAX number**
- **The type of hardware including the server configuration and network hardware, if available**
- **The version of Electronic Member Interface Member Module**
- **The name and version of the operating system**

2. GETTING STARTED

1. Open browser from the desktop.

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

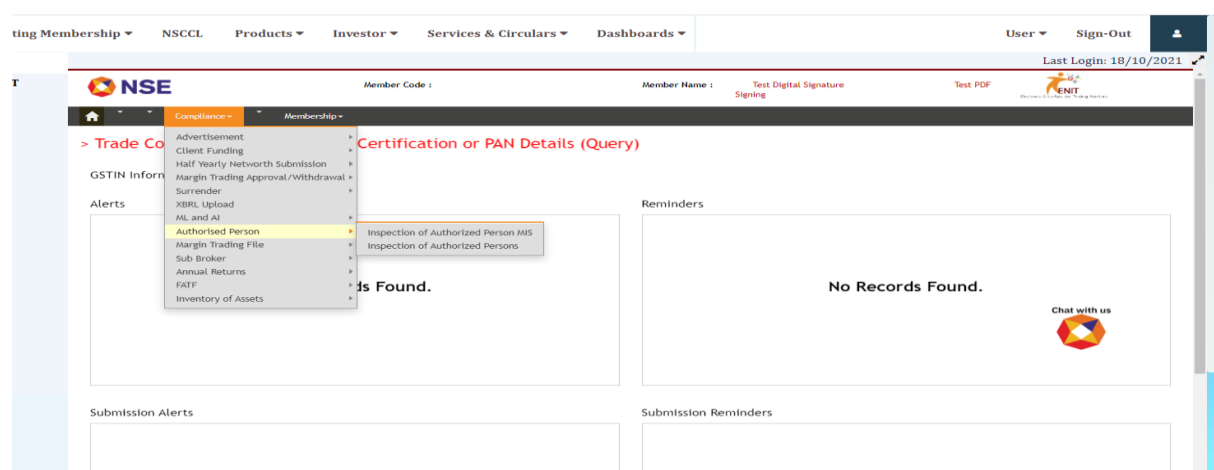
3. NSE Member Portal Login screen gets launched as below:



4. Click on NEW-COMPLIANCE

ENIT-COMPLIANCE-NEW

5. Click on Compliance → Authorised Persons → Inspection of Authorised Persons



6. The following screen will be displayed:

The screenshot shows the NSE Authorised Person Inspection interface. At the top, there are navigation tabs: 'ing Membership', 'NSCCL', 'Products', 'Investor', 'Services & Circulars', and 'Dashboards'. The 'Dashboards' tab is active. Below this, there are links for 'Member Education', 'Compliance for Assets Auditor', 'Compliance', 'Trade', and 'Membership'. The main heading is 'Authorised Person Inspection'. On the left, there are input fields for 'Member Code', 'Financial Period' (a dropdown menu), 'Due Date', and 'Upload Excel File' (a 'Choose File' button). On the right, there are input fields for 'Member Name', 'As on Date', and 'File Template Download'. The 'File Template Download' field shows a link to 'AUTH_PERSON_INSP_MEM_CODE.xlsx', which is circled in red. A red arrow points to this link. At the bottom right, there is a 'Submit Request' button.

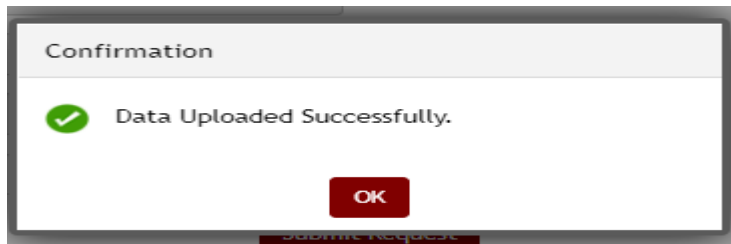
Download the blank template as shown above i.e. from “File Template Download” Tab and fill the required information. Ensure that the fields are updated as “Yes”, “No” or “NA” only (in columns E, F, G, H, J, L, M, N, O, P and R). In case of any other entry the file will fail to get uploaded. Ensure that Basis of Inspection must be “Yes” in either of the 3 columns (columns E, F and G). In case of any irregularities, please mention adequate details at the place provided including the details of the action taken. The AP inspection details have to be provided irrespective of the status of AP on the date of file upload. Exchange may seek additional details from the Members as and when required.

7. Once the data is filled, select the period (financial period) from the drop down and proceed to upload the same. The File can be uploaded as shown below:

The screenshot shows the same NSE Authorised Person Inspection interface. The 'Choose File' button under 'Upload Excel File' is highlighted with a black box. An arrow points from this box to a text box that says 'Click “Choose File” Tab to Upload Excel File'. The 'File Template Download' field still shows the link to 'AUTH_PERSON_INSP_MEM_CODE.xlsx'.

Please ensure that the date of inspections is within the financial year which has been selected while uploading.

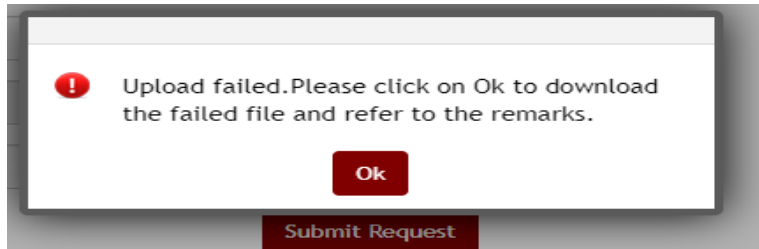
8. Once data is uploaded successfully following screen will be displayed:



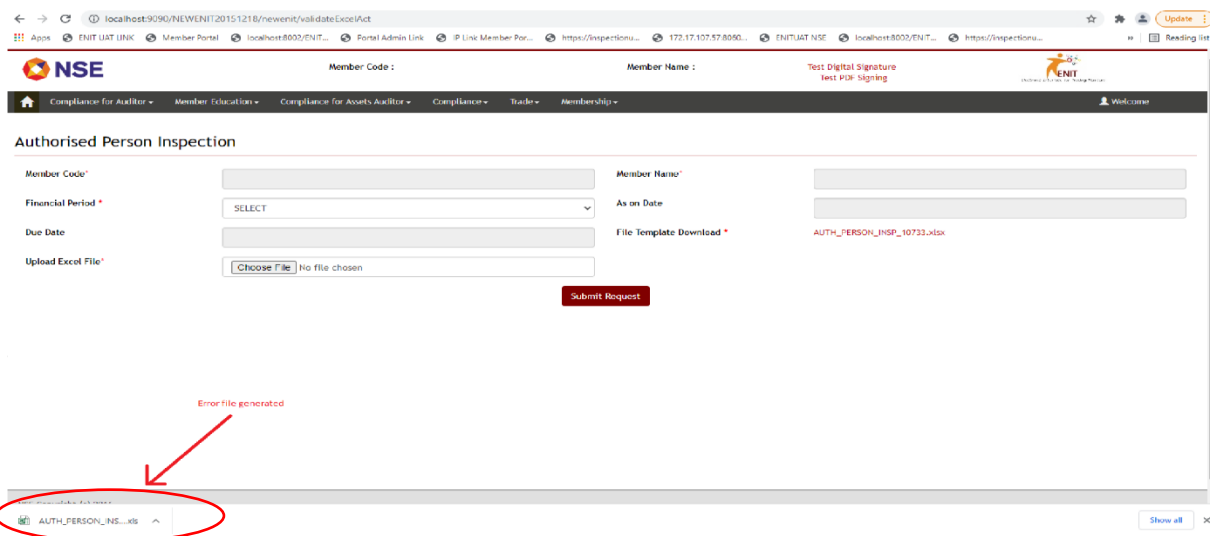
Note:

- The size of the file should not exceed 10 MB.
- Once the file is uploaded for a particular period, Members may make modification in the file, by downloading the MIS (refer point no. 10 below) and re-upload the revised file (after making the changes) by selecting the same period. The revised file will overwrite the previous uploaded file.
- The latest file submitted for the particular period will be treated as final.
- Inspections undertaken during a particular quarter shall be reported within one month from end of the said quarter. The system will be closed for uploading data for the financial year after the end of one month from the end of the financial year i.e. post April 30, XXXX.

9. If the uploaded file has any errors, the following screen will be displayed:



Once "Ok" button is clicked the error file will be downloaded as shown below:



The reason for rejection will be mentioned in the error file. Members shall correct the deficiencies and re-upload the file.

10. Reporting of incidence of assured returns or any unauthorised schemes operated by the AP within 2 working days.

Members are required to mandatorily report any incidence, observed by them, involving assured returns or any unauthorised schemes operated by the AP, to the Exchange, within 2 working days. Members shall take note of the following:

- In case of no previous submission for the period in which the incidence is observed**

Members will follow the process as given in points 6 to 8. Members will enter “Yes” at appropriate “Basis of Inspection” column in the downloaded template and proceed to enter the details. Please ensure that date of incidence falls within the period selected.

- In case previous submission has been made for the particular period in which the incidence is observed**

Members shall download the submitted file from the MIS (refer point 11 below) and add the incidence in the file along with the already existing records. The revised file will overwrite the previous uploaded file and the latest file submitted will be treated as final. Please ensure that date of incidence falls within the period selected

11. MIS of data uploaded can be downloaded from below Tab. Members may select a particular period from the dropdown and get the MIS for that period.

AUTHORISED PERSON INSPECTION MIS

Member Name	<input type="text"/>	Member Code	<input type="text"/>
Request Reference No	<input type="text"/>	Financial Period	<input type="text"/>
		<input type="button" value="Search"/>	<input type="button" value="Reset"/>

Sr. No.	Member Code	Ref No	Financial Period	Status	Upload Date
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
2		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
3		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
4		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
5		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
6		AUTH_PERSON/INSP/194	01 April 2020 to 31 March 2021	SUBMIT	18-OCT-2021
7		AUTH_PERSON/INSP/193	01 April 2021 to 31 March 2022	SUBMIT	18-OCT-2021
8		AUTH_PERSON/INSP/193	01 April 2021 to 31 March 2022	SUBMIT	18-OCT-2021
9		AUTH_PERSON/INSP/193	01 April 2021 to 31 March 2022	SUBMIT	18-OCT-2021
10		AUTH_PERSON/INSP/193	01 April 2021 to 31 March 2022	SUBMIT	18-OCT-2021

Modifications in the uploaded file

In case of any changes (addition/deletion/modification) in the record, Members can download the MIS from the above screen and make the changes.

- **In case of any addition**, Members shall add the record in the downloaded file (MIS) along with existing records and upload the revised file. Please ensure that date of inspection falls within the period selected
- **In case of any deletion**, Members can delete the respective record/s from the downloaded file (MIS) and upload the revised file
- **In case of modification** in an existing record, Members can make the required changes in the downloaded file (MIS) and upload the revised file

After making the changes Members shall re-upload the revised file by selecting the same period, as per the process mentioned given in point no. 6 to 8 above

The revised file will overwrite the previous uploaded file and the latest file submitted will be treated as final.