National Stock Exchange of India Limited

Circular

Department: Compliance	
Download Ref No: NSE/COMP/65203	**Date: November 22, 2024**
Circular Ref. No: 101/2024	

To All Members,

Sub: Internal Risk Assessment of Registered Intermediaries

This has reference to Exchange circular reference nos. NSE/COMP/45704 dated September 15, 2020, NSE/COMP/46108 dated October 21, 2020 and NSE/COMP/55876 dated March 03, 2023 on Internal Risk Assessment of Registered Intermediaries.

In order to ascertain adherence to the AML/CFT norms and evaluate the implementation & effectiveness of measures to combat money laundering and terrorist financing, SEBI has advised the Exchanges to collate data/information from the Members relating to client risk categorization & due diligence, ML/TF risk assessment, Alert Generation System, conduct of AML/CFT related trainings, BO identification, record keeping etc. of all the active Members who have executed trades from April 2023 to March 2024.

Members are required to do the submission through New ENIT > Compliance > Internal Risk Assessment. The detailed procedure for submitting the data/information through the module is enclosed herewith as Annexure-A.

All members are advised to ensure the submission on or before November 28, 2024.

For any support, please reach out to the helpdesk on 1800 266 0050 (Select IVR option 3) or email at memcompliance_support@nse.co.in

For and on behalf of
National Stock Exchange of India Limited

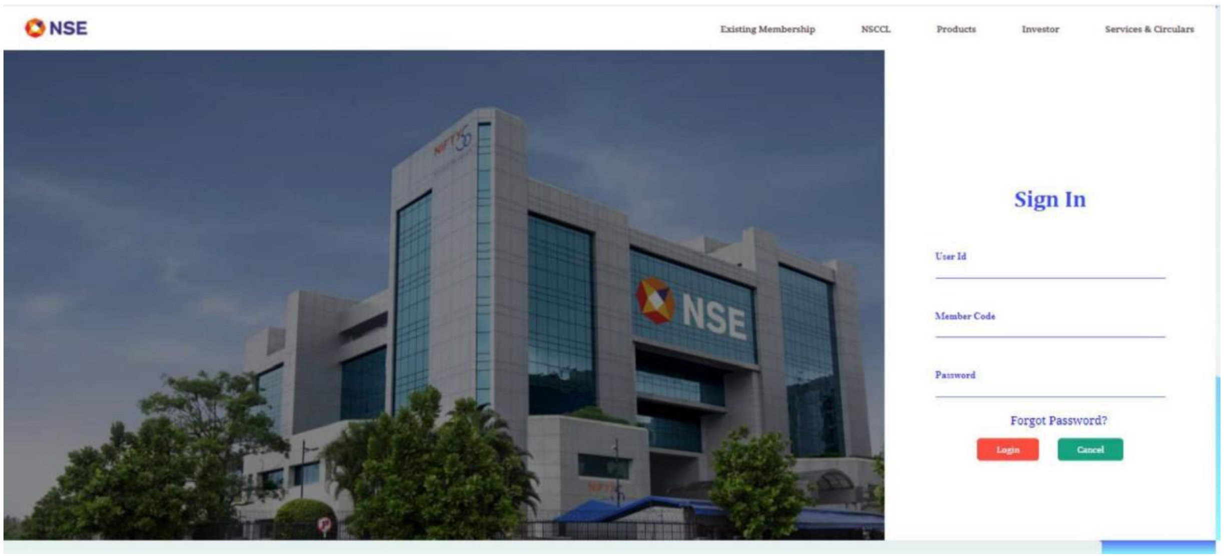
Anjali Kunde
Chief Manager

Telephone No	Email id
1800 266 0050 (Select IVR option 3)	memcompliance_support@nse.co.in

Annexure-A

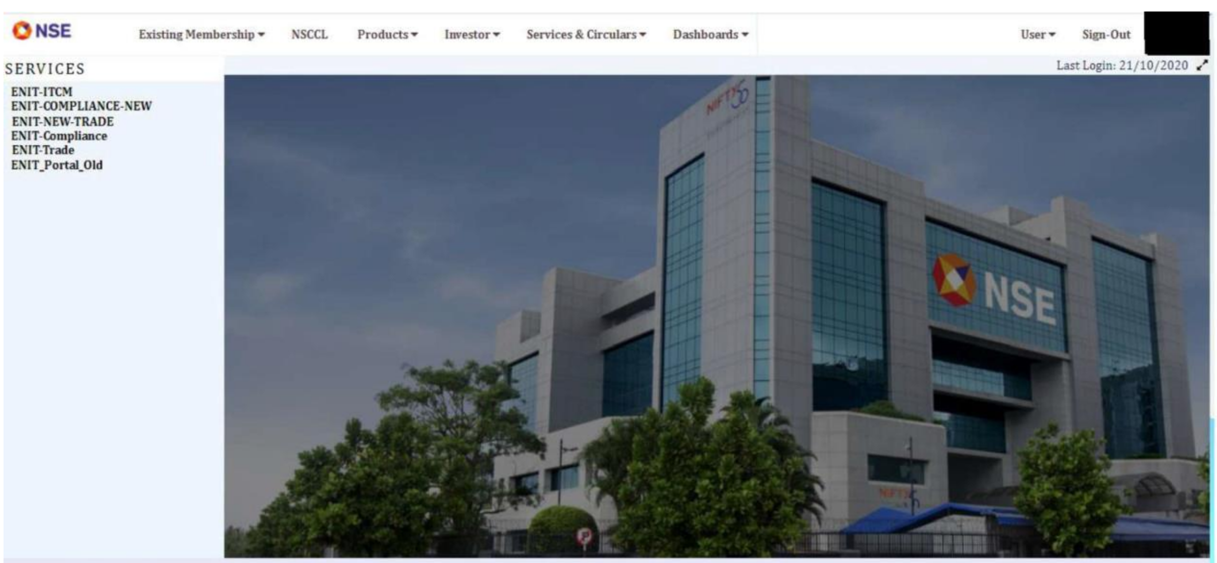
Step-by Step Guide to submit the forms

1. Login to Member Portal by typing https://www.connect2nse.com/MemberPortal/home.jsp



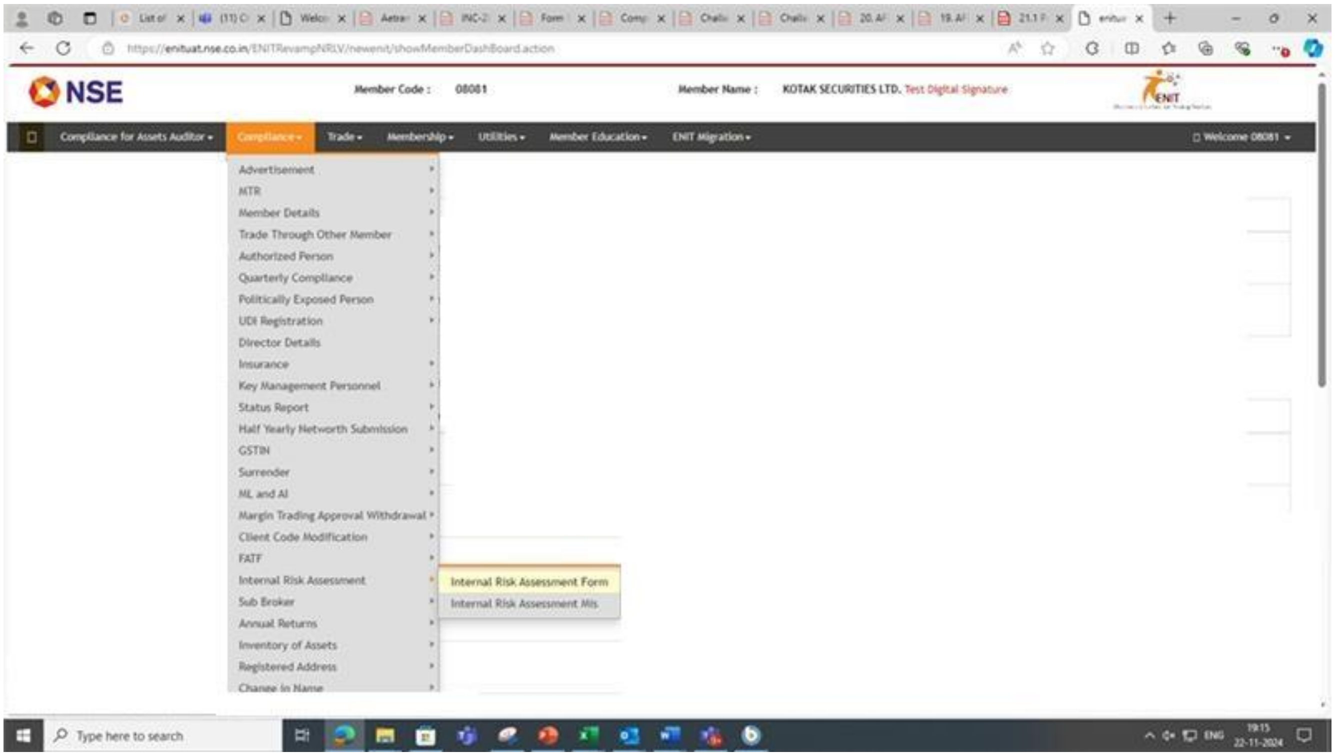
2. Enter the credentials and click the 'Submit' button.

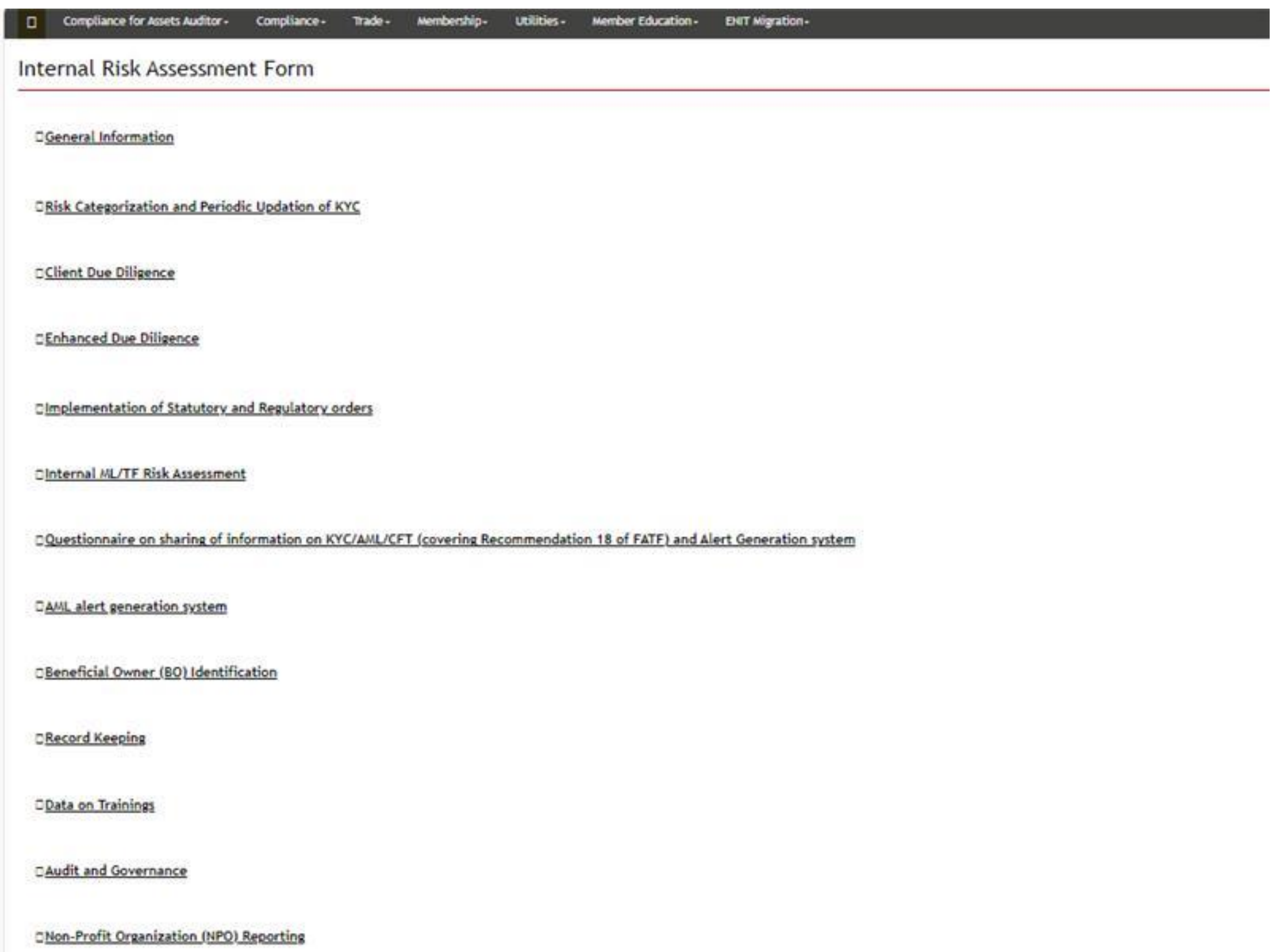
3. Once user logs in, then following screen will be displayed:



4. Click on "ENIT-COMPLIANCE-NEW" tab under the Services Menu.

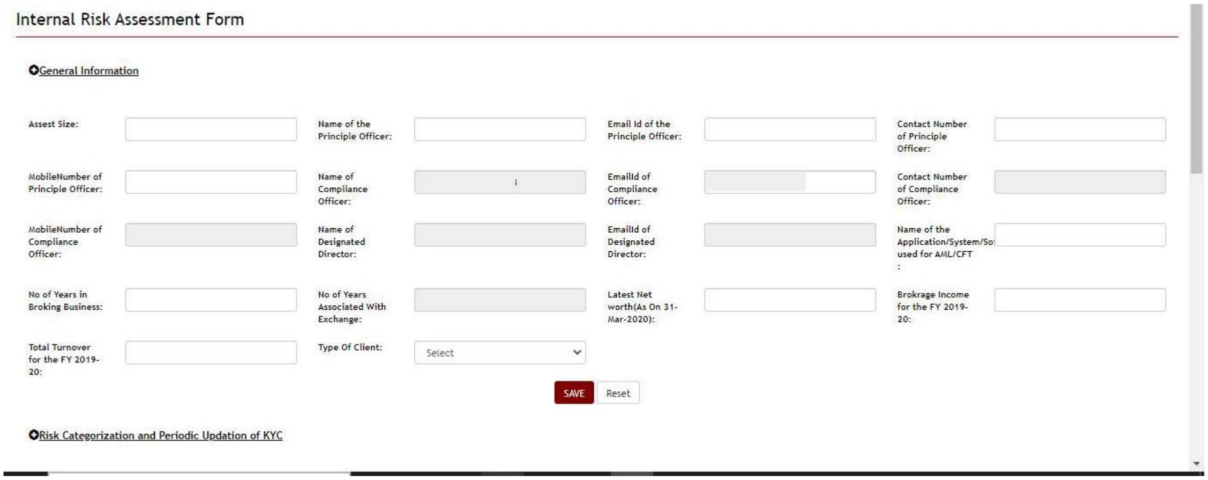
5. Under Compliance , select 'Internal Risk Assessment' Module. Upon clicking, the relevant page to submit the data shall be displayed.





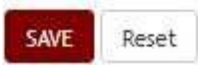
6. The page will contain 13 sections. Kindly proceed to submit the applicable data in each of the sections.

7. Section 1 is mandatory for all type of Members. After filling section 1, you are required to select “Applicable” or “Not Applicable” in each of the remaining sections based on the applicability.

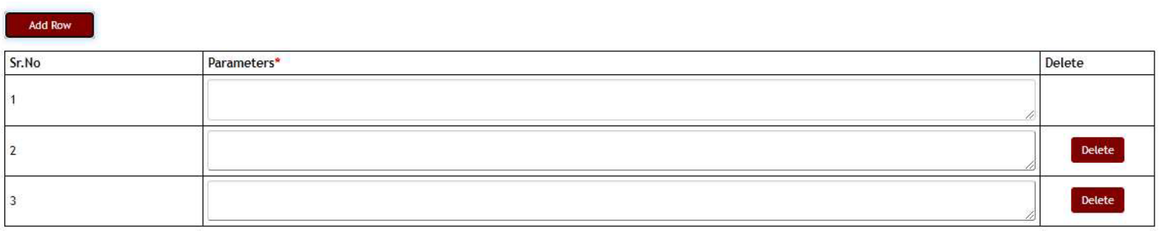


8. In case you submit “Applicable”, proceed to submit the data by clicking on ‘+’ sign to expand the relevant section.

(Do Not forget to click on ‘SAVE’ each form after filling. There is an option to ‘RESET” as well if need be.)

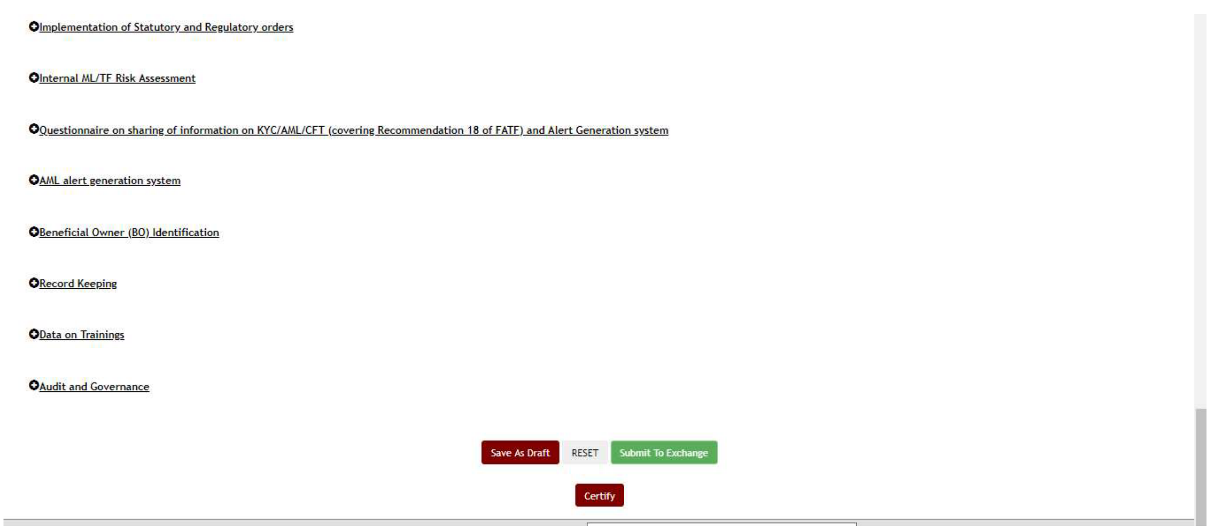


9. Provision to ‘add’ or ‘delete’ row has also been provided at relevant places. However, one row is mandatorily required to be filled.



10. The upload of attachments is permissible in PDF (.pdf) and Zip formats.

11. After all forms are submitted, you will get a preview of the entire form. You may also click on ‘SAVE as DRAFT’ option if you wish to keep the form on Save mode.



12. For making the submission click on the 'Declaration', then 'Certify' by affixing the digital signature and then click on 'Submit'. Once submitted, a message shall be displayed that form has been submitted successfully and a REF no. shall be generated.

13. Once submitted, you cannot edit the form nor delete it. Hence you are requested to kindly review the information/data thoroughly before submission.

14. If you wish to view the form after submission, kindly click on "Internal Risk Assessment MIS" tab under the "COMPLIANCE" menu. You can view the submitted form by clicking on the ref. no. and the status shall be shown as 'SUBMIT to EXCHANGE".