

User Manual for Risk Based Supervision Module

1. Login into the BEFS Link for sharing the details on Risk Based Supervision (RBS) (<https://bef.s.bseindia.com/login.aspx>)
2. After successful Login, select “Risk Based Supervision” link and click on “Risk Based Supervision Form” (If option is not displayed, press F11 for view of full page) as below:  
(BEFS >> Risk Based Supervision >> Risk Bases Supervision Form)



3. Select the Financial Year: 2021-22 and the period: Apr21 – Mar22

Risk Based Supervision Form	
Member Code : 123456	Member Name : DUMMY
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Financial Year *: - [2021-2022] v	Period *: - [APR21-MAR22] v
<b>I. Details of Branches</b>	
1. Total No. Of Branches *: - [ 12 ]	2. No. Of Branches Inspected By Member During Period *: - [ 5 ]

4. Fill details and save the data.
5. For any changes, update the data and click update. **In case of no changes, go to step no.6**
6. Click Next Button.
7. Fill details on Page 2. For multiple records/to save data, enter the data and click on add button. All the numbers are to be entered in Rs.
8. Details of loans entered in the table shown below will be summed up and displayed at point no. 28 and 29.

G. Loans to Group Companies / Associates / Subsidiaries / Key Persons – details, Secured / Unsecured and Amount involved.							
Details of loans : - (Max Limit 15 records)							
Secured Loans (Rs.) *	Unsecured Loans (Rs.) *	Type	Name	Registration No.	Whether Active In Financial Market ?	Details Of Loans	Action
<input type="text"/>	<input type="text"/>	Associates v	<input type="text"/>	<input type="text"/>	Active v	<input type="text"/>	<input type="button" value="ADD"/>
Select	Secured Loans (Rs.)	Unsecured Loans (Rs.)	Type	Name	Registration No.	Whether Active In Financial Market?	Details Of Loans
<input type="checkbox"/>	10000.00	2000.00	ASSOCIATES	KUHGMJF	BGD	Active	PUIKUYTJHFYR
28. Secured Loans (Rs.) : - 10000.00				29. Unsecured Loans (Rs.) : - 2000.00			

Point 28 and 29 as below:

<input type="checkbox"/>	10000.00	2000.00	ASSOCIATES	KUHGMJF	BGD	Active	'PUJKUYTJHFIYR
28. Secured Loans (Rs.) : - 10000.00				29. Unsecured Loans (Rs.) : - 2000.00			

9. After filling all the fields on page 2, click on Next button.
10. Fill details on Page 3.

Financial Year : - 2021-2022      Period : - APR21-SEP21      Page 3/3

**I. Details of action taken by Police or any Foreign Regulator**

32. No. And Details Of Actions Initiated / Taken / Pending Against Member Or Its Employees By Police W.R.T. Frauds, Forgery Etc. :-

No. Of Instances Of Actions Initiated / Pending *:-	0	Details Of Action Initiated/Pending :-	1 test
No. Of Instances Of Actions Taken *:-	0	Details Of Action Taken :-	1 test

33. Whether Any Disciplinary Action Initiated / Pending/ Taken, Details And Penalty Levied By Any Foreign Regulator Against The Member For Regulatory Non-Compliances In Their Jurisdiction? :-

No. Of Instances *:-	1	Penalty Levied (In Rs) *:-	0.00
Details Of Disciplinary Action	Us		

**J. No. of Instances of sharing of Client Information**

34. No. Of Instances Of Sharing Client KYC Or Trade Information With Associate / Group Company / Third Party. \*:-

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**K. Disciplinary actions against Key Person of the Member**

35. No. Of Instances \*:- 3

Name Of Concerned Person *	Designation/Relation *	PAN No. *	Action Type	Penalty Levied/ Consent Amount (In Rs.) *	Action
			Select		ADD

11. Compliance officer details shall be auto- populated by the Exchange as per the details submitted to the Exchange.
12. Accepting both the undertaking is mandatory for the submission to reach the Exchange.
13. Save the data. The data/details can be modified before submitting the same.
14. Tick the undertaking
15. Submit the data/details. The data/details are not allowed to be modified after submitting the same. However, data/details saved/submitted can be viewed by the member.
16. The members will get the acknowledgement email to the registered email id of compliance officer.