

User Manual for Submission of IRA

1. Login using the following URL
<https://befsbseindia.com/login.aspx>
2. Navigation: Internal Risk Assessment>IRA Submission



3. Click on IRA Submission, you will get General information page to fill in the details as mentioned below. Select the period from drop down list and click on "Get Data"

Internal Risk Assessment Of Registered Intermediaries Form					
Member Code :	1233	Member Name :	DUMMY_1233		
GENERAL INFORMATION		RISK CATEGORISATION		DOCUMENTS UPLOAD	
Select Period :-	31-03-2022			GET DATA	
Sr. No.	Particulars				
1	Name Of The Stock Broker	FKJSJFK			
2	Asset Size (In Rs. Crores) At End Of 31-03-2022	123456			
3	Associated With Which Exchange	JDKFJDKJ=			
4	No. Of Years Of Association With The Exchange	16			
5	Single Point Of Contact In The Entity	DSFDSFDS			
6	Designated Director (Under PML) Name	DSFDSF			
7	No. Client (Individual And Institutional) As On 31-03-2022	1212			
8	Percentage Of High Risk Legal Customers As On 31-03-2022 (%)	25			
9	Percentage Of High Risk Individual Customers As On 31-03-2022	15			
10	Networth As On 31-03-2022 (In Rs. Crores)	5466.12			
11	Brokerage Income For The FY 2021-22 (In Rs. Crores)	64646.10			
12	Total Turnover For The FY 2021-22 (In Rs. Crores)	6666.10			
13	Services Provided By The Intermediary	dfdsfds			
14	Use Of Technology For Providing Services And For Compliances	adfsdf			
15	ML Risk Perception Wrt To The Services Provided (Mentioned Above)	adfsdf			
16	Percentage Of FPI Clients As On 31-03-2022 (%)	65			
17	Percentage Of Clients If Any, From Grey List Countries Of FATF And UNSC List (%)	45			
18	Percentage Of Clients To Whom You Are Providing Any Cross Border Services (%)	12			
19	Percentage Of Clients Against Whom Orders Of SEBI Have Been Passed In The Last 2 Years (%)	12			
20	Percentage Of Clients Against Whom Orders / Actions Have Been Passed By Other Agencies And Which Are In News (Scams) In The Last 2 Years (%)	12			

4. After filling all the details in General Information Sheet. Kindly click on save button to save your detail. You will get a message Data Successfully Saved.

Internal Risk Assessment of Registered Intermediaries Form					
Member Code :	123453	Member Name :			
GENERAL INFORMATION		RISK CATEGORISATION		DOCUMENTS UPLOAD	
Name of the Stock Broker	DUMMY_123453				
Asset size (in Rs. crores) at end of 31-03-2020	300				
Name of the Principal Officer	ABCD				
Email id of Principal Officer	abcd@mail.com				
Contact Number of Principal Officer (Landline with STD code)	1111111111111111				
Mobile Number of Principal Officer	2222222222				
Name of Compliance Officer					
Email ID of Compliance Officer					
Contact Number of Compliance Officer (Landline with STD code)					
Mobile Number of Compliance Officer					
Name of the Designated Director (under PML)					
Email id of the Designated Director					
No. of Clients (Unique across all Exchanges & Segments)					
No. of Years in Broking Business	15				
No. of Years association with Exchange	15				
Latest Networth (In Rs. Crores)	2000				
Brokerage Income for the FY 2019-20 (In Rs. Crores)	240				
Total Turnover for the FY 2019-20 (In Rs. Crores)	3000				
Name of the Application / System/ Software used for AML/CFT	XYZ SOFTWARE				
SAVE					

Message from webpage



DATA SUCCESSFULLY SAVED.

OK

5. Then click on Risk Categorisation Tab, to fill in the details & Save the data

Internal Risk Assessment Of Registered Intermediaries Form

Member Code : 1234 Member Name : DUMMY_1234

Period :- 31-03-2022

Sr. No.	As On Date	31-03-2022
1	Data On Risk Categorisation Of Customers For The Last Five Financial Years:	
(A)	Individual Customers	Low (%) 70
		Medium (%) 28
		High (%) 2
		Total (%) 100%
(B)	Legal Entity Customers	Low (%) 80
		Medium (%) 19
		High (%) 1
		Total (%) 100%
(C)	How The Entity Perceives Itself On The ML And PF Riskiness Parameter	Medium
2	Parameters Being Used For Risk Categorisation: (And Whether ML/ TF Threat Is Factored In Risk Categorisation)	
(i)	<input type="text" value="sdkfjdkfjksj"/>	
(ii)	<input type="text" value="sjkfjadskfjdsjk"/>	
(iii)	<input type="text" value="jksjdskfjkdsl"/>	

6. Click on Document Upload > Download the template and fill in the details in all sheets and provide a proper naming convention for eg. 123_IRA.xlsx attach in first browse button.

Further also scan all the policies and provide a proper naming convention for eg. 123_Policy.pdf and attach in 2nd Browse button. Click on Save Button.

Internal Risk Assessment of Registered Intermediaries Form

Member Code : 123453 Member Name : DUMMY_123453

[Download Template](#)

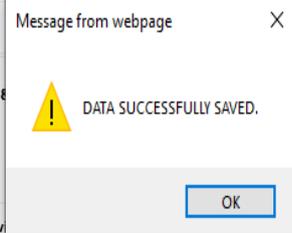
1. Upload IRA Excel File *:-
File Name :- ClgNo_IRA.xls/xlsx

2. Upload Policies Pdf File *:-
File Name :- ClgNo_Policy.pdf

Kindly scan all the below mentioned policies & attach as single file in above browse button with proper naming convention.

1. AML Policy
2. ML Risk Policy
3. TF Risk Policy
4. AML Alert Generation Policy

*I/We hereby confirm that the data provided herein is accurate, correct and complete



7. Then Click on Submit Button

Internal Risk Assessment of Registered Intermediaries Form

Member Code : 123453 Member Name : DUMMY_123453

[Download Template](#)

1. Upload IRA Excel File *:-
File Name :- ClgNo_IRA.xls/xlsx

2. Upload Policies Pdf File *:-
File Name :- ClgNo_Policy.pdf

Kindly scan all the below mentioned policies & attach as single file in above browse button with proper naming convention.

1. AML Policy
2. ML Risk Policy
3. TF Risk Policy
4. AML Alert Generation Policy

*I/We hereby confirm that the data provided herein is accurate, correct and complete

8. After clicking on Submit you will receive popup message “Request Submitted Successfully”.

The screenshot displays the 'Internal Risk Assessment of Registered Intermediaries Form' for Member Code 123453 and Member Name DUMMY_123453. The form is divided into three tabs: GENERAL INFORMATION, RISK CATEGORISATION, and DOCUMENTS UPLOAD. A red banner at the top reads 'Please wait while your request is being processed...'. A 'Download Template' link is visible in the top right. The form contains two main sections for file uploads: '1. Upload IRA Excel File' and '2. Upload Policies Pdf File'. Below these are instructions to 'Kindly scan all the below mentioned policies' and a list of policy types (AML, ML, TF, AML Alert). A confirmation checkbox is checked. A modal dialog box titled 'Message from webpage' is centered on the screen, displaying a yellow warning icon and the text 'REQUEST SUCCESSFULLY SUBMITTED' with an 'OK' button.

9. Then after clicking ok on the popup message you will receive another pop up message “The details have been successfully submitted to the Exchange. You will receive acknowledgement email shortly”

This screenshot shows the same form as above, but with a different modal dialog box. The dialog box, titled 'Message from webpage', contains a yellow warning icon and the text: 'The details have been successfully submitted to the Exchange. You will receive an Acknowledgement email shortly'. An 'OK' button is present at the bottom of the dialog. At the bottom of the form, a red banner states 'YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED'.