

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 Based Supervision Form)



3. Select the Financial Year: 2022-23 and the period: Apr 22 – Mar 23

 A screenshot of the top part of a web form titled 'Risk Based Supervision Form'. It includes fields for 'Member Code : 123456' and 'Member Name : DUMMY'. There are links for 'USER MANUAL' and 'FAQ'. A 'Page 1/3' indicator is visible on the right. Below these are dropdown menus for 'Financial Year * : - 2022-2023' and 'Period * : - APR22-MAR23'.

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.

<input type="checkbox"/>	10000.00	2000.00	ASSOCIATES	KUHGMJF	BGD	Active	PUIKUYTJHFIVR
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.

Risk Based Supervision Form					
Financial Year : - 2022-2023		Period : - APR22-MAR23		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 *:-	<input type="text"/>	Details Of Action Initiated/Pending :-		<input type="text"/>	
No. Of Instances Of Actions Taken *:-	<input type="text"/>	Details Of Action Taken :-		<input type="text"/>	
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 *:-	<input type="text"/>	Penalty Levied (In Rs) *:-		<input type="text"/>	
Details Of Disciplinary Action		<input type="text"/>			
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. *:-					
<input type="text"/>					
K . Disciplinary actions against Key Person of the Member					
35. No. Of Instances *:- <input type="text"/>					
Name Of Concerned Person *	Designation/Relation *	PAN No. *	Action Type	Penalty Levied/ Consent Amount (In Rs.) *	Action
<input type="text"/>	<input type="text"/>	<input type="text"/>	Select <input type="text"/>	<input type="text"/>	<input type="text"/>
					<input type="button" value="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.