

Annexure A

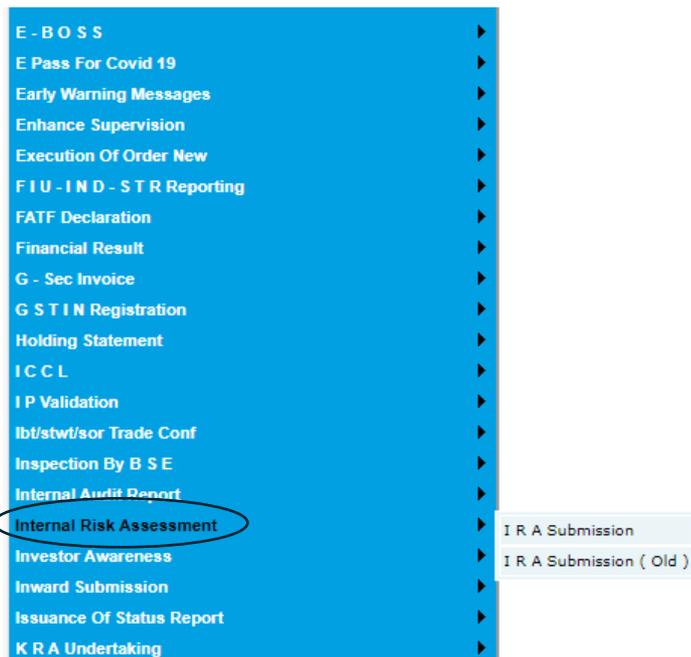
Step-by-Step Guide to submit the form:

- 1) Login using following URL <https://befs.bseindia.com/CheckLogin.aspx>

- 2) Enter the credentials and click the Submit button
- 3) Once the user logs in, then the following screen will be displayed:

Module Name	Filing Frequency	Duration	Action
AIML	Within 15 Days	Quarterly	Click Here
Cyber Security And Cyber Resilience	Within 60 Days	Yearly / Half Yearly	Click Here
Cyber Security Incident(S) Reporting	Within 15 Days	Quarterly	Click Here
Internal Audit Reporting	Within 60 Days	Half Yearly	Click Here
Networth Certificate	Within 60 Days	Yearly	Click Here
Networth Certificate	Within 30 Days For Margin Networth / Within 60 Days For Normal Networth	Half Yearly	Click Here
Reporting Of Bank Accounts	Within 7 Days From Opening/Closure Of Account	--	Click Here
Reporting Of Demat Accounts	Within 7 Days From Opening/Closure Of Account	--	Click Here
System Audit Reporting	Within 60 Days	Yearly / Half Yearly/ Once In A Two Year	Click Here
Undertaking Cum Imdenity Bond Upload	On Opening Of Every New Bank Account	--	Click Here
Uploading Of Holding Statement	For All Calendar Days Of The Reporting Day On T-1 Basis	Daily	Click Here
Vulnerability Assessment And Penetration Testing	--	Yearly	Click Here

- 4) Click on Internal Risk Assessment Menu:



5) Upon clicking on Internal Risk Assessment the relevant page will be displayed, select IRA Submission.



6) Upon Clicking on IRA Submission, the relevant page to submit the data will be displayed

Internal Risk Assessment Of Registered Intermediaries Form

Member Code : 123456 Member Name : DUMMY

GENERAL INFORMATION RISK CATEGORISATION

Select Period :- Select GET DATA

7) Proceed with entering the Member code and Member Name.

Internal Risk Assessment Of Registered Intermediaries Form

Member Code : 123456 Member Name : DUMMY

GENERAL INFORMATION RISK CATEGORISATION

Select Period :- Select GET DATA

8) After entering the Member code and Member Name, select the period 31-03-2024.

Internal Risk Assessment Of Registered Intermediaries Form

Member Code : 123456 Member Name : DUMMY

GENERAL INFORMATION RISK CATEGORISATION

Select Period :- 31-03-2024 ▼ GET DATA

Select

31-03-2022

31-03-2024

9) After selecting the period click on GET DATA and the following page will be displayed.

Internal Risk Assessment Of Registered Intermediaries Form

Member Code : 123456 Member Name : DUMMY

GENERAL INFORMATION RISK CATEGORISATION

Select Period :- 31-03-2024 ▼ GET DATA

Sr. No.	Particulars	
General Information		
1	Name of the Stock Broker	<input type="text"/>
2	Type of Registration / Service provided by the intermediary	<input type="text"/>
3	Asset Under Management / Turnover as on March 2024	<input type="text"/>
4	Single point of contact in the entity	<input type="text"/>
5	Designated Director (under PML) name	<input type="text"/>
6	No. of Clients (individual and non-individual) as on March 2024	<input type="text"/>
7	Percentage of High Risk Individual Customers	<input type="text"/>
8	Percentage of client on Electronic Transactions	<input type="text"/>
9	Percentage of FPI Clients	<input type="text"/>
10	Percentage of clients from Grey List countries of FATF and UNSC list	<input type="text"/>
11	Percentage of Legal Entity Customers / (Non-individual clients)	<input type="text"/>
12	Percentage of Total LE accounts for which BO identification has been carried out	<input type="text"/>
13	Use of technology for providing services and for the purpose of compliances	<input type="text"/>
14	Any cyber security concern/Malware/Ransomware/attack during FY 23-24	<input type="text"/>
15	Changes to internal policies/new AML related laws to prevent money laundering	Select ▼
16	Any advisory/warning issued to the Intermediaries for non-compliance by any Enforcement Authority during FY 23-24	Select ▼
17	ML Risk perception wrt to the services provided (mentioned above)	Select ▼
Record Keeping		
1	Does the entity maintain all necessary records on transactions, both domestic and international, following completion of the transaction. If yes, indicate the no of years for which records are maintained	Select ▼
2	Are the transaction records sufficient to permit reconstruction of individual transactions so as to provide, if necessary, evidence for prosecution of criminal activity.	Select ▼
Audit and Governance		
1	Is your KYC and AML regime subject to audit?	Select ▼
2	If so, what is the frequency?	<input type="text"/>
3	Does the internal auditor report their findings to the Audit Committee of the board?	Select ▼
4	System audit & cyber resilience audit	Select ▼
5	Does your company abide by specific reporting requirements by the Regulator and by the Financial Intelligence Unit on their portal	Select ▼
Information on Training		
As on 31/03/2024		

10) Fill all the details and click on save

3	Asset Under Management / Turnover as on March 2024	<input type="text"/>
4	Single point of contact in the entity	<input type="text"/>
5	Designated Director (under PML) name	<input type="text"/>
6	No. of Clients (individual and non-individual) as on March 2024	<input type="text"/>
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4	System audit & cyber resilience audit	Select ▼
5	Does your company abide by specific reporting requirements by the Regulator and by the Financial Intelligence Unit on their portal	Select ▼
Information on Training		
As on 31/03/2024		
1	Total No. of Employees	<input type="text"/>
2	Does your entity provide training to employees that includes awareness on AML/CFT domain	Select ▼
3	No. of training programs/ organized/ arranged in AML/ CFT areas in the FY 23-24	<input type="text"/>
4	No. of employees trained	<input type="text"/>
5	No. of Employees who acquired internal/external certification in AML/CFT areas in the FY, if any	<input type="text"/>
6	Are any training certifications provided to employees?	Select ▼
7	Adequate systems & procedures in place to ensure screening of employees while hiring.	Select ▼
<input type="button" value="SAVE"/>		

11) After clicking on save, Select another option risk Categorisation.

Internal Risk Assessment Of Registered Intermediaries Form		
Member Code :	123456	Member Name : DUMMY
<input type="button" value="GENERAL INFORMATION"/> <input type="button" value="RISK CATEGORISATION"/>		
Period :- 31-03-2024		
Sr. No.	As on Date	31-03-2024
Risk categorisation and periodic updation of KYC		

12) After clicking on Risk categorization, the following page will appear

Sr. No.	As on Date	31-03-2024
Risk categorisation and periodic updation of KYC		
2	Parameters being used for risk categorisation: (and whether ML/ TF threat is factored in risk categorisation)	
(i)	<input type="text"/>	
(ii)	<input type="text"/>	
1.	No of clients, if any who are part of the UNSC sanctions List	<input type="text"/>
2.	Number of clients to whom you are providing any cross border services	<input type="text"/>
3.	Number of clients against whom orders of SEBI have been passed in the last 2 years	<input type="text"/>
4.	Number of clients against whom orders / actions have been passed by other Agencies and which are in news (scams) in the last 2 years	<input type="text"/>
Client Due Diligence (CDD)		
1.	Has the entity developed client acceptance policies and procedures to identify types and risks of client?	Select ▼
2.	Do the factors for risk perception at the time of on boarding include:	
a.	Clients location	Select ▼
b.	Occupation	Select ▼
c.	Identification of beneficial owner	Select ▼
d.	Income/Turnover	Select ▼
e.	PEP Status	Select ▼
3.	Is there a sufficient mechanism to ensure that no folios/ Accounts is opened in a fictitious/ benami name or on an anonymous basis	Select ▼
4.	Whether Entity has a clearly defined policy for acceptance of clients and has ensured that an account is not opened where the Entity is unable to apply appropriate client due diligence measures/KYC Policies.	Select ▼
Enhanced Due Diligence (EDD)		
Scenarios where EDD is applied (for eg, PEPs,)		
1	Measures adopted to carry out EDD such as - additional documents required etc. (If additional documents are sought from the customer for carrying out EDD, please specify the type of documents)	
(i)	<input type="text"/>	
(ii)	<input type="text"/>	
(iii)	<input type="text"/>	
2	EDD measures undertaken in case of PEPs:	
(i)	<input type="text"/>	

13) Fill in all the information and click on save

6.	Do you ensure that all the RFIs mandated by FIU are part of your internal processing	Select ▼
7.	Do you have any additional sources of alerts?	Select ▼
8.	Is there a mechanism to report attempted transactions that are suspicious?	Select ▼
9.	Identification and internal reporting of suspicious transactions to higher authorities	Select ▼
Additional comments/inputs provided by participants		
AML Alert generation System		
1.	Do you have mechanism for identifying suspected case of front running / market abuse / material breach of Code of conduct by employee(s) and their disclosed immediate relatives.	Select ▼
2.	Have you reported any instances of suspected case of front running / market abuse / material breach of Code of conduct by employee(s) and their disclosed immediate relatives to the relevant authorities	<input type="text"/>
CDD		
3.	To ensure confidentiality, is there a safeguard to prevent tipping-off?	Select ▼
Non Profit Organisation(NPO) Reporting		
1.	No. of NTRs filed	<input type="text"/>
2.	Does your EDD practice cover monitoring of NPOs	Select ▼
<input type="button" value="SAVE"/>		