**Annexure - 3**

**User Manual for the Details of Clients Assets under Enhances Supervision Module.**

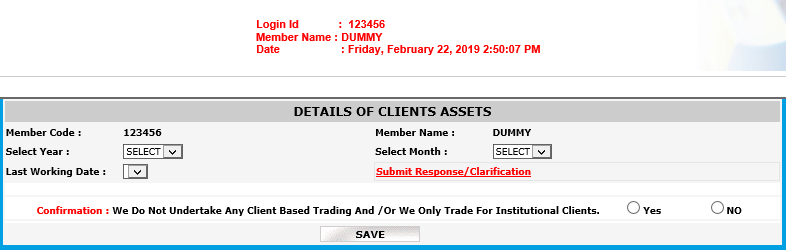
**Step 1:-** Login into the BEFS for submission of details of client funds and securities balances under Enhanced Supervision module. As mentioned in the below screen.



**Step 2:-** Click on Enhance Supervision –**Details of Clients Assets,** the screen below is viewable:



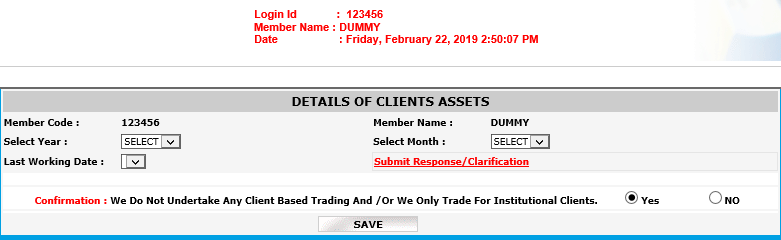
**Step 3:**- Click on the Details of Client Assets submenu tab, the next screen as below shall appear to the user:



User shall select the Year -> Month -> Last Working Date

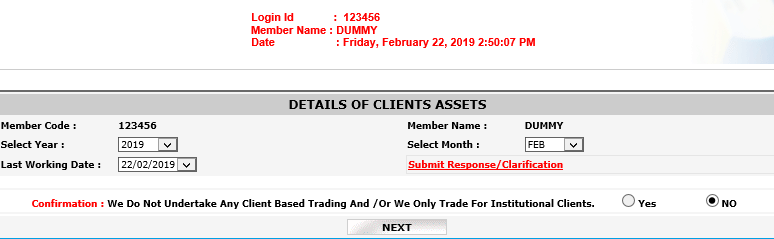
User shall be required to give the Confirmation: We do not undertake any client based trading and /or We only trade for institutional/Custodian settled clients – submitting as yes/no.

When the user clicks the “Yes” button, then the user shall be prompted towards the “Save” button.



System shall accept the entry and prompt the message: “Entry Accepted”.

When the user click the “No” button, the next option appears as below:





After entering the details in the screen, the user shall have after the option to save the details, after clicking the “Save” button, the system prompts the entry acceptance screen as below:



On clicking “Ok” option, the user shall be prompted to an option of “Back”, “Update” and “Next”

“Update” Option shall be used to edit and save the changes made.

“Next” option shall be used to move to the next page.

The screen below appears on clicking the “Next” button:



Also, the summary table shall appear on the screen as below:



The user shall be prompted the option to submit the details and also prompted to “Back” button.

User has to select the certification as per the screen, as **“I certify and confirm that the above details submitted to the Exchange for all segments, are correct and up to date”.**

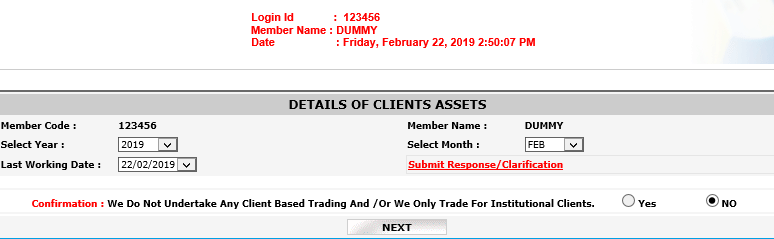
On submitting the details, the user shall be prompted by the system as below:



**Step 4:-** For bulk upload option, Stock brokers need to upload the file as per format given (i.e. csv – Coma Separated). Stock broker also need to do the naming convention as given below.:

**Clg No\_ddmmyyyy.csv**

For file format you can download form the exchange notice no. 20161212-32 dated December 12, 2016 (Also attached for Annexure - 2) same has been given on the BEFS link as mentioned in the below print screen.



The User on clicking the “ Next” button, Stock broker need to browse the file – click on undertaking then -will be shown the screen below:



**Step 5:-** If there is any problem in the file format then system will show an error.

Else click on Submit button.



The user has to click on Submit button appearing on the left side of the screen. On clicking the next button the screen below will appear wherein the details of the bulk file shall be reflected:



Note: In the screen above, if the value of “G” is negative, the member shall be prompted the alert in the system and required to offer the clarification/ explanation for the same. Further, the summary of the values for G, H, I & J shall be reflected on the screen as below:



For G, H, I & J, the members have to submit the clarifications/ explanations in case the value in not zero.

The user can select the check box for the undertaking and submit the details by clicking on submit button. The system prompts the user indicating message: “Record is submitted successfully”.

Stock broker can view the details, submitted by them in the below mentioned path. i.e. Enhances supervision- Enhance supervision report – Details of Client Asset report.



**Step 7:-**

The screen as below has to be used for submission of the clarification/explanation(in case of adverse alerts):



On clicking the red marked button, the user shall be prompted to the screen below:



On submitting the Justification, Corrective action taken and Preventive Action Description, the user shall be certify the explanation and submit the details by clicking the “Submit” Button.

If the Justification is not entered and submit button is clicked the user shall be prompted to enter the justification required.

On submission, the system shall prompt the record acceptance message to the user. The details once submitted shall not be editable.