

### User Manual for Risk Based Supervision Module

1. Login into the BEFS Link for sharing the details on Risk Based Supervision (RBS)

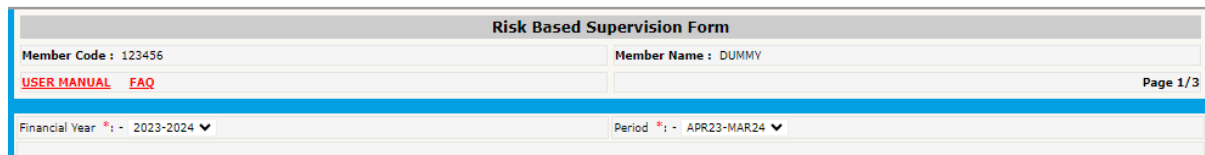
(<https://bef.s.bseindia.com/login.aspx>)

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: 2024-25 and the period: Apr 24 – Sep 24

A screenshot of the 'Risk Based Supervision Form' header. It includes fields for 'Member Code : 123456' and 'Member Name : DUMMY'. There are links for 'USER MANUAL' and 'FAQ'. The page number 'Page 1/3' is visible on the right. Below these fields are dropdown menus for 'Financial Year \* : - 2023-2024' and 'Period \* : - APR23-MAR24'.

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.

A screenshot of a table with columns for checkboxes, amounts, descriptions, and codes. Below the table, there are two summary rows: '28. Secured Loans (Rs.) : - 10000.00' and '29. Unsecured Loans (Rs.) : - 2000.00'.

<input type="checkbox"/>	10000.00	2000.00	ASSOCIATES	KUHGMJF	BGD	Active	PUIKUYTJHFYR
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 : - 2023-2024	Period : - APR23-MAR24	Page 3/3	
<b>I. Details of action taken by Police or any Foreign Regulator</b>			
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"/>		

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.