

Circular no.: MCX/S&I/728/2023

October 23, 2023

Surveillance Obligations for Trading Members

In terms of provisions of the Rules, Bye-Laws and Business Rules of the Exchange and partial modification to Exchange circular MCX/S&I/796/2020 in no: October dated 26. 2020 Master circular MCX/S&I/432/2023 and no: Dated June 30, 2023, the Trading Members of the Exchange are notified as under:

With a view to facilitate effective surveillance at the Trading Member level, the Exchange has been providing transactional alerts to Trading Members in accordance with above referred Exchange circulars, so as to facilitate the Trading Members to detect any abnormality (if any) w.r.t. Client trading activity at the initial stage itself.

As per the above-referred circulars, Members are required to provide the status of the transection alerts to the Exchange on a quarterly basis as per the format within 15 days from the last trading day of the respective quarter. In view of the same, the Exchange has introduced a new reporting format of "Surveillance Alerts" and details of the same are prescribed in Annexure.

The Exchange shall continue to provide these alerts to the Trading Members through website <u>https://www.mcxindia.com</u> \rightarrow Integrated Portal \rightarrow MRS Icon (Surveillance Alerts).

The Trading Members are requested to analyse these alerts and revert in case of adverse observations, if any, through MRS portal and/ or to the Exchange at transalert@mcxindia.com.

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Annexure - User manual for submission of MRS Details

Step 1. Please visit Exchange website <u>https://www.mcxindia.com</u> \rightarrow Integrated Portal \rightarrow MRS Icon (Surveillance Alerts)

Step 2. Login credential will be same as MMPI portal.

Please note:

1. Don't use back button at any point on the portal.

2. Do not leave the system idle for long interval, else the system would log out automatically.

Screen will appear as below:



Step 3. Login in MRS Icon (Surveillance Alerts). Please note Login credential will be same as MMPI portal



Step 4. When member logs in, the following screen will appear along with the "MRS Tab" at the left side.

Click on the "MRS" Tab

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MRS	arch									
Alerts Pending Request										
MRS Alerts		ert No	Alert Date	Alert Name	Member Id	Client Code	Member Submitted Dat	e Status		
MRS Alerts History							Items per page: 10 💌	0 of 0	<	>
MIS Report										_

Step 5. The below options are available

- Alerts pending Request
- MRS Alerts
- MRS Alerts History
- MIS Report

								<u> </u>	•
MRS	arch								
Alerts Pending Request									
MRS Alerts		Alert No	Alert Date	Alert Name	Member Id	Client Code	Member Submitted Date Status		
MRS Alerts History							Items per page: 10 - 0 of 0	< >	>
MIS Report									
1									

Step 6. On selecting the 'Alerts pending Request' the below page will be displayed. Please click on "Generate Report" button to get the details.

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Step 7. On selecting the 'MRS Alerts' the below page will be displayed.

								÷
MRS	From date	Ē	To date	🖻 Member ID	Alert	Name 👻	Alert Status	•
Alerts Pending Request								
MRS Alerts				View Export	to Excel			
MRS Alerts History								
MIS Report								
4								

• Please click on "Alert Name" button to get the details.

						±	
MRS	From data	👼 To data	_	Mambar D	COD Com	Alart Status	
Alerts Pending Pequest			•				
Alerts Fending Nequest			v	ew Export to Exc	COT		
MRS Alerts					STACA		
MRS Alerts History					SICA		
MIS Report					OrderSpoofing	-	
						•	
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Please click on "Alert status" button to get the details.

							1
MRS	From date	Ē	To date	🗂 Memb	er ID	Alert Name 🗸 🗸	Open
Alerts Pending Request				_			Closed
MRS Alerts				View	Export to Excel		
MRS Alerts History							
MIS Report							
4							

Then Press "View" button to get the details. Or Press "Export to Excel" to download the file.

Step 8. On selecting the 'MRS Alerts History' the below page will be displayed.

					±
MRS	From date	 To date		Member ID	Alert Name
Alerts Pending RequestMRS Alerts			View Exp	port to Excel	
MRS Alerts History					
MIS Report					

• Please click on "Alert Name" button to get the details.

						±
MRS	From date	Ē	To date	÷	Member ID	COP_Com
 Alerts Pending Request MRS Alerts 				View	port to Excel	COT STACA
 MRS Alerts History MIS Report 						SICA OrderSpoofing
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Step 9. On selecting the 'MIS Report' the below page will be displayed.

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MRS	Financial Year	•	Quarter	•	Member ID	Alert Name	*
Alerts Pending Request				_			
MRS Alerts				View	Export to Excel		
MRS Alerts History							
MIS Report							
4							

• Please click on "Alert Name" button to get the details.

						±
MRS	Financial Vaca		Quester		Marchas ID	
Alerts Pending Request	Financial Year	*	Quarter	*	Member ID	
				View	Export to Excel	COT
MRS Alerts						STACA
MRS Alerts History						SICA
MIS Report						OrderSpoofing
						•
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Members are requested to take note of the above.

Ayanansu Panda Asst.Vice President

Kindly contact Customer Support on 022 - 6649 4040 or send an email at customersupport@mcxindia.com for further clarification.