

## ANNEXURE B

### MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY AUDITOR:

Upon registration of Auditor by member, the Internal Auditor shall receive the following indicative e-mail on his registered E mail ID.

*Dear Sir/Madam,*

*Your Registration for submission of Internal Auditor Report for the period Apr25 to Sep-25 has been successfully created.*

*Please find the details as under:*

*UserId: User ID*

*Password: Password*

*CM Name: Clearing member name*

*CM Code: Clearing Member Code*

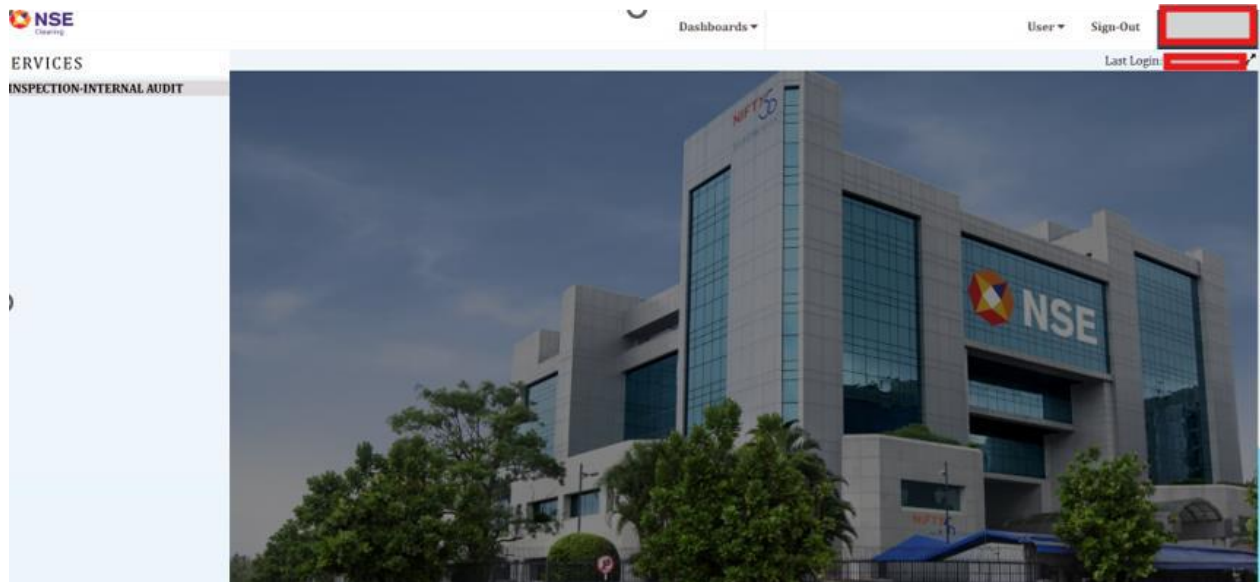
*Kindly click on the following link <https://ims.connect2nsccl.com/NCLMemberPortal/>*

*On clicking the above link for the first time, you will be prompted to change the password, kindly change the password immediately.*

*You are requested to initiate Internal Audit for the APR-25 to SEP-25 for CM, FO, CD,COM segment/s and submit Annexure I, II and V.*

*In case of any clarification, please contact the Member."*

1. The auditor has to login by Clicking on the URL provided in the email and login with the given credential.
2. Click on “Inspection-Internal Audit” under Menu at the left-hand side, Internal Audit Report MIS page will open.



3. Under Internal Audit MIS – by entering Auditor Membership Number and Audit Period, Auditor will find data as per below screen. Auditor has to enter the Auditor’s Membership No. and Audit Period and click on search.

The screenshot displays the 'Internal Audit Report MIS' form. At the top, there is a header with the NSE Clearing logo and navigation links. The form itself is titled 'Internal Audit Report MIS' and includes a note: '(\* Indicates Mandatory)'. Below this, there are two input fields: 'Auditor's Membership No.\*' and 'Audit Period\*'. A red error message is shown below these fields: 'You have entered incorrect Membership No or you have submitted the report for all of the segments assigned to you.' There are 'Search' and 'Reset' buttons next to the error message. Below the form, there is a 'New Report' button. At the bottom, there are two checkboxes for declarations: '1. We declare that the firm or at least one of the partners is having a minimum of 5 year's experience in carrying out audits' and '2. I/we hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAI, ICSI, ICMAI, RBI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.' A 'Submit' button is located at the bottom right of the form.

Click on “OK”

INSPECTION-INTERNAL AUDIT

Clearing

Internal Audit ▾

(\* Indicates Mandatory)

### Internal Audit Report MIS

Auditor's Membership No.\* 539535

You have entered incorrect segments assigned to you.

**Attention!**  
Please select whether **Conflict Of Interest** as **Yes** or **No**  
**OK**

Member Name	Member Code	Segment	Audit Report Period	Status	Created Date	Updated Date	Signature1(Audit Annexure1)	Signature2(Audit Annexure2)	Edit ▾	Delete

4. After clicking on 'Search' button, auditor is required to click the 2 checkboxes and submit declaration (as per below screenshot). Also, auditor has to submit conflict of interest to the member (subsequently to be submitted by Member to the Clearing corporation from his login). 'New Report' button would be visible to the auditor only after Conflict of Interest is submitted by both Auditor and Member (First auditor then member).

☒ I/we hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAI, ICMAI, RBI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.

☒ We declare that the firm or at least one of the partners is having a minimum of 5 years experience in carrying out audits.

Conflict Of Interest: ☐ Yes ☒ No

Internal Audit ▾

(\* Indicates Mandatory)

### Internal Audit Report MIS

Auditor's Membership No.\*

Audit Period\* Select ▾

**Confirmation**  
Conflict Of Interest is submitted successfully by Auditor.  
**OK**

☐ I/we hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAI, ICMAI, RBI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.

☐ We declare that the firm or at least one of the partners is having a minimum of 5 years experience in carrying out audits.

**Submit**

5. On clicking, “New Report” button (As per above screenshot). The screen will move to the next page and auditor is required to fill certain details. Click ‘OK’ after reading all the point to proceed and fill all the details.

Internal Audit

Indicates Mandatory

Internal Audit Report MIS

Auditor's Membership No\*

54102

Audit Period\*

Search


Reset

Member Name	Member Code	Segment	Audit Report Period	Status	Created Date	Updated Date	Annexure1(Auditor End)	Annexure2(Auditor End)	Edit :	Delete

New Report

Page 1 of 0

No Records to Display


Creating

Welcome Auditor

⚠ Indicates Mandatory

### Internal Audit Report

Member Name:	<input type="text"/>
Member Code:	<input type="text"/>
Auditor Name: <sup>*</sup>	<input type="text"/>
Auditor Designation: <sup>*</sup>	<input type="text" value="Partner"/>
Type of Entity: <sup>*</sup>	<div>Select ▼</div>
Internal Auditor Firm Name: <sup>*</sup>	<input type="text"/>
Auditor Firm Registration No: <sup>*</sup>	<input type="text"/>
Auditor's Pin No.: <sup>*</sup>	<input type="text"/>
Pin of the Audit Firm: <sup>*</sup>	<input type="text"/>
Certificate of Practice No (COP): <sup>*</sup>	<input type="text"/>
Auditor report Certified by: <sup>*</sup>	CA
Auditor's Membership No: <sup>*</sup>	<input type="text"/>
Auditor's Email ID: <sup>*</sup>	<input type="text"/>
Auditor's Mobile No.: <sup>*</sup>	<input type="text"/>
UDIN No: <sup>*</sup>	<input type="text"/>
Audit Period:	<input type="text"/>
No. of active non institutional clients: <sup>*</sup>	<input type="text"/>

6. On the same page, auditor can either download the checklist (excel template) provided in the system or use the checklist provided in the circular for carrying out the internal Audit.

INSPECTION-INTERNAL AUDIT

Message: Data can be entered for segment and activity that is selected here.

Internal Audit Report For Segment (CA/FO/SLBM/CD/CO):\*

☐ CA
☐ FO
☐ SLBM
☐ CD
☐ WDM
☐ OBPP
☐ IRF
☐ MFSS
☐ DEBT
☐ CO

SEBI Registration No.:

Activity Type (TRADING/CLEARING):\*

☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ PCM
☐ Tm-CM
☐ Tm-CM
☐ Tm-CM
☐ Tm-CM
☐ Tm-CM
☐ Tm-CM

Download Format to fill Compliance/NonCompliance

Download template for excel upload

Guidelines for Sample selection

Sample Details File

Attach Document to submit Compliance/NonCompliance(Downloaded Excel only):\*

Browse

Choose File IARN\_25.xlsx

Attach Document to submit Sample Details:\*

Browse

Choose File IARN\_ILS.zip

Declaration:\*

☐ I, hereby, declare that, I or any of my partners/ directors have no interest in or relation with the GOODWILL WEALTH MANAGEMENT PVT LTD other than the proposed internal audit assignment.

Submit to Next

Save As Draft

Attach Document to submit Compliance/NonCompliance(Downloaded Excel only):\*

Browse

Choose File No file chosen

Attach Document to submit Sample Details:\*

Browse

Choose File No file chosen

Declaration:\*

☐ I, hereby, declare that, I or any of my partners/ directors have no interest in or relation with the  other than the proposed internal audit assignment.

Submit to Next

Save As Draft

7. By clicking on 'Download template for excel upload' hyperlink, Auditor will be able to download the template in which he needs to indicate the compliance/Non- compliance/Not Applicable status for each checklist point and enter their remarks wherever required. After completing the entire checklist, Auditor shall proceed to upload the same sheet by *clicking the "browse" button*. (Auditors can also refer to the checklist provided in the circular for carrying out the internal Audit.

8. After completing the entire checklist, Auditor shall submit the sample details for both compliance and non-compliance instances. By clicking on 'Sample details file' hyperlink, Auditor will be able to download the template in which he needs to upload the Sample Verified Annexure for all the instances for which verification has been done. If any clause which is not applicable to member, auditor may fill "NA" in the mandatory field(s). The auditor has to download and fill the required details in 'IARNCLSEP25\_SAMPLE\_DETAILS' and zip the file (IARNCLSEP25\_SAMPLE\_DETAILS) .

9. Once it is uploaded and consent for declaration is provided, Click on 'Submit' button.

10. After submitting the same, "Non-Compliance" (NC) observations shall be reflected in the next screen and Auditor mandatorily needs to provide the details like no. of instances verified, no. of instances where

non-compliance is observed, % of Non-compliance observed and value involved in non-compliances to be provided wherever applicable.

Similarly, for “Not Applicable (N.A.)” points, auditors are required to mention appropriate remarks for non-applicability of the checklist point.

If auditor wants to provide additional information with regards to any other material observations with respect to non-compliances, auditor can enter details by adding or deleting rows as required.

Select	Observation	Remark
Contact Person	<input type="text"/>	Email Id <input type="text"/>
Telephone No.	<input type="text"/>	Cell <input type="text"/>
Address	<input type="text"/>	City <input type="text"/>
Pin Code	<input type="text"/>	State <input type="text"/>
<input type="button" value="Submit to Next"/>		
<input type="button" value="Save As Draft"/>		

11. Once, the auditor enters all the details & submits, he will get navigated to the next screen i.e. 'Internal Auditor Report' having the Annexure I (Auditor Certificate) & Annexure II (Audit Report) as PDF which needs to be downloaded by the Auditor. Auditors can also refer to annexures as provided in circular Annexure I (Auditor Certificate) & Annexure II (Audit Report) and fill on the required details and convert the same in pdf.

12. Auditor needs to digitally sign Annexure I & Annexure II by Download the files affixing the DSC. Once Annexure I & Annexure II files are signed, click on choose file and select the file to be uploaded. Submit the declaration and click on submit.

(\*) Indicates Mandatory

Internal Audit Report

Download Certificate for Internal Audit & Internal Audit Report

Download

[Internal Audit Certificate \(Annexure I\)](#)
[Audit Report \(Annexure 2\)](#)

Upload Certificate for Internal Audit & Internal Audit Report

Certificate for Internal Audit
 No file chosen

Internal Audit Report
 No file chosen

☐ I/We have conducted the Internal Audit for the half year ended on 30th September, 2025 on the captioned subject and guidelines thereof. Please find enclosed the Audit Report for your consideration and necessary action.

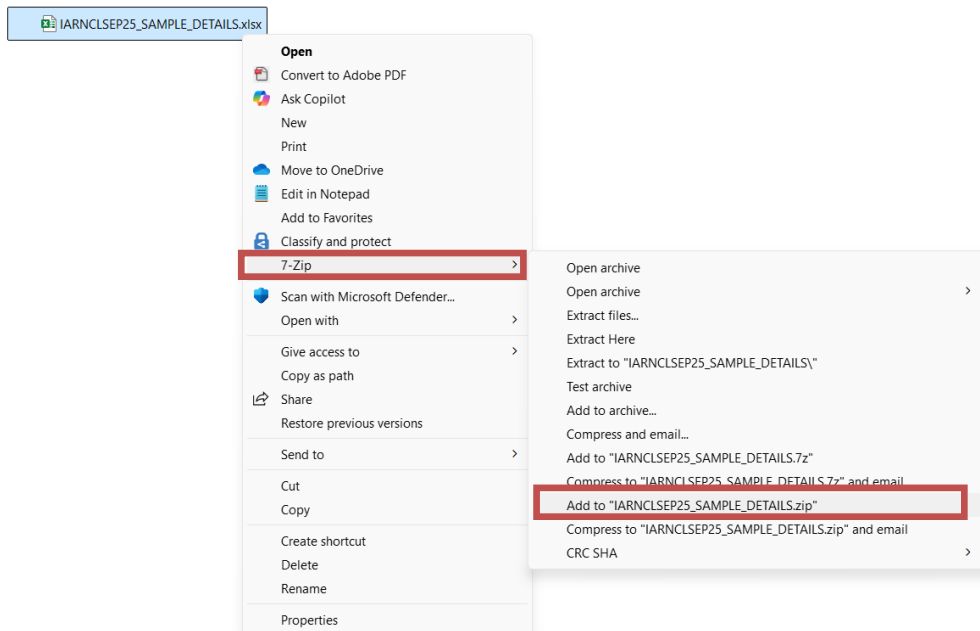
Submit

Note:

1. Kindly upload PDF format documents only.  
2. File size should be less than 10 MB.  
3. Kindly save the file in Local Drive and upload.

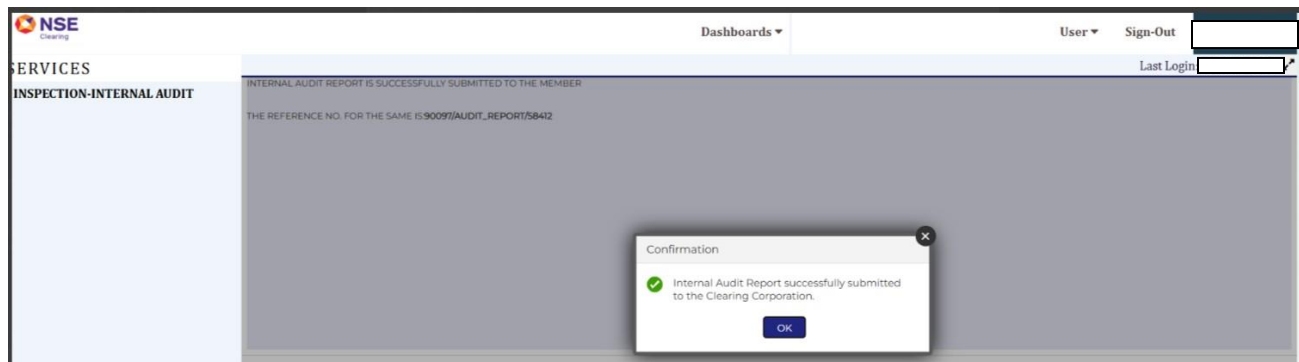
While uploading the Audit certificate (Annexure I) & Audit report (Annexure II) Auditor has to ensure the following:

- ✓ Upload the same files (Annexure I & II) in PDF format that was downloaded.
- ✓ File size should be less than 10 MB.
- ✓ File name should not be changed and should remain same as downloaded.
- ✓ Zip the Annexure V before uploading as follows



- ✓ Save the file on the system/desktop and upload.

Upload signed file of Annexure I & Annexure II and click submit. Once the files are submitted, the following screen shall be displayed.



The format for the reference no is Member code/Audit\_Report/ reference no.

**-END-**