

Annexure A

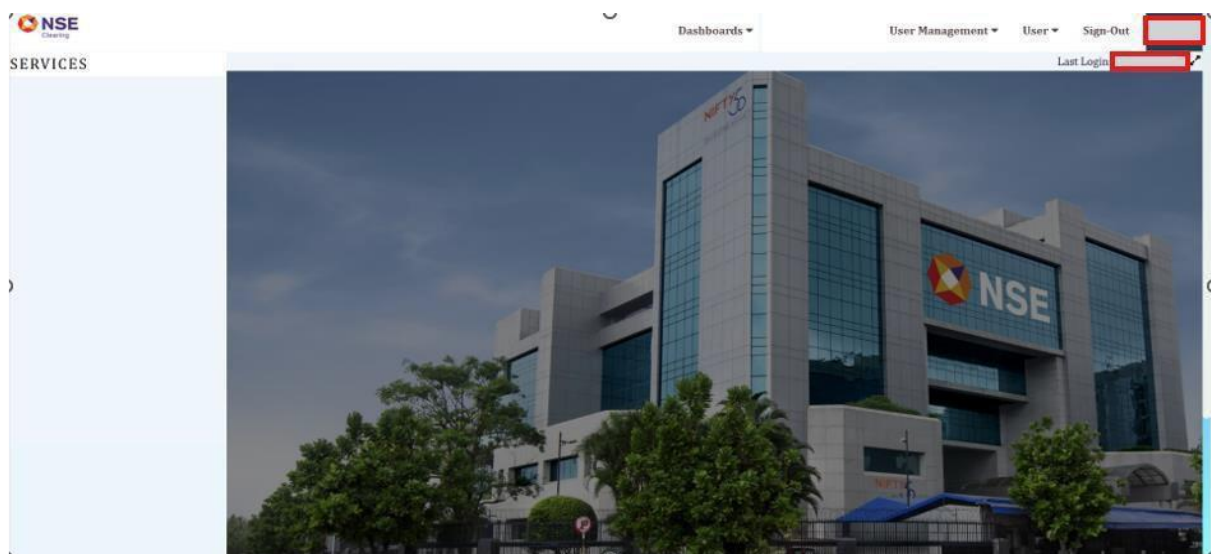
Manual for Submission of System Audit report by Member

- A. Admin Login - Creation of Sub user
- B. Creation of Sub User ID (For System Auditor) from admin login
- C. Portal login with Member's Sub User ID (For System Auditor Registration)
- D. Submission of Report by Member
- E. Member submission for ATR/Follow-on Audit

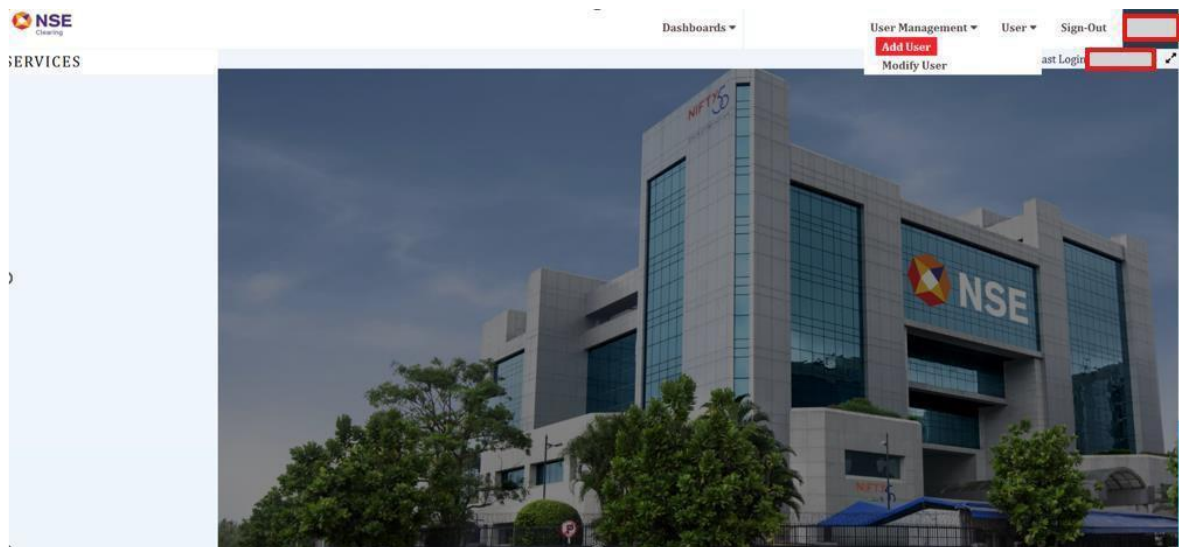
A. Admin Login - Creation of Sub user

The member (Admin) must first login to the NCL member portal and create a **Sub-user** account with the below steps.

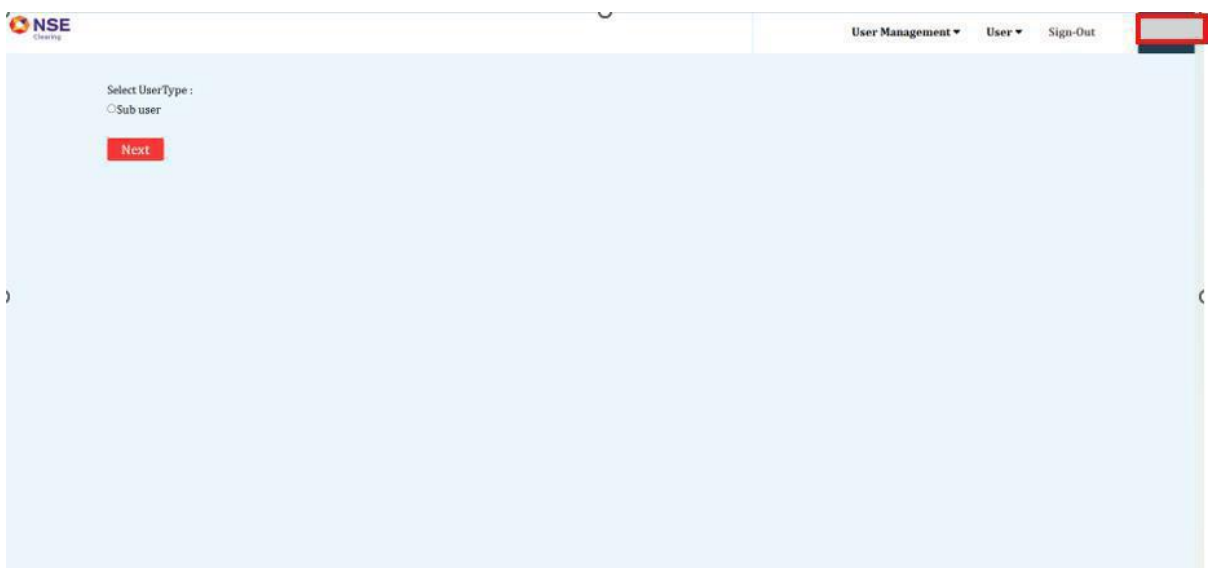
1. Open the NCL Member portal using the URL - <https://ims.connect2nsccl.com/NCLMemberPortal/>. Login in using the Admin Credentials for the dashboard screen for creation of sub user.



2. Click on “**User Management**” from the top right-hand side menu and Select “**Add User**” from the dropdown.



3. Select the option “**Sub User**” and click on **Next**.



4. On the user details screen, enter the mandatory information and click on **Next** to proceed to the role assignment screen.

User Details

User Id:* Name:*

Password:* Confirm Password:*

Address Line 1 : * Address Line 2 :

Mobile No. :* Std Code. :

Landline : Fax No. :

Email : *

* Indicates mandatory fields , and all fields are mandatory for NSE-ASSIST service.
[Password Policy](#)

- Assign the service to the sub user as **NCL INSPECTION** and submit to save the sub user.

| Services: | ALL | CM | CD | CO | DEBT | FO | MFSS | REPO | SLB | WDM |
|---------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| INSPECTION-INTERNAL AUDIT | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NCL_INSPECTION | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

B. Creation of Sub User ID (For System Auditor) from admin login

A separate sub user must be created for the system auditor from admin login. This sub user will be used by the Auditor to access the portal and submit the audit report.

- Follow the steps from 2 to 4 and on the service assignment screen, select the services as **Inspection - System audit** and submit.



C. Portal login with Member's Sub User ID (For System Auditor Registration)

7. Open the portal <https://ims.connect2nsccl.com/NCLMemberPortal/> and login using the member's sub user credentials.

NSE Clearing

Contact US

Important Notice

Sign In

User Id
SubUser

Member Code
XXXX

Password

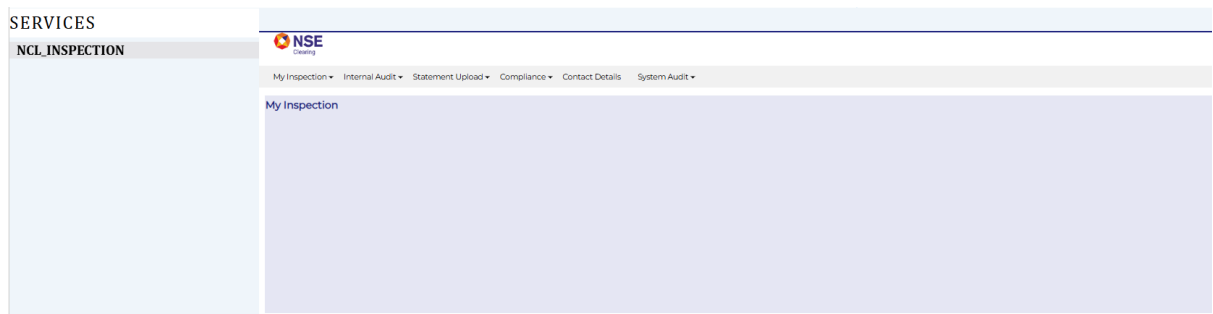
Ak2xmg

A k 2 x m g

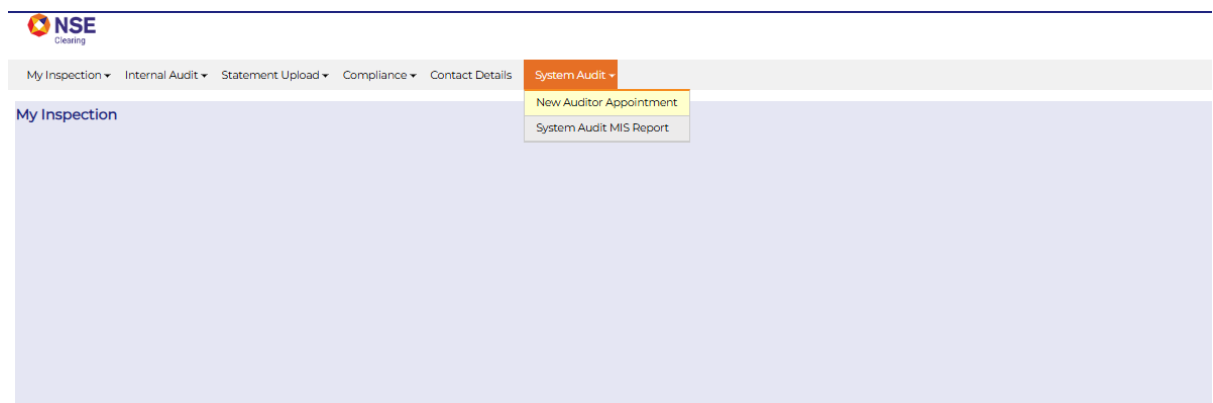
Forgot Password?

Login Cancel

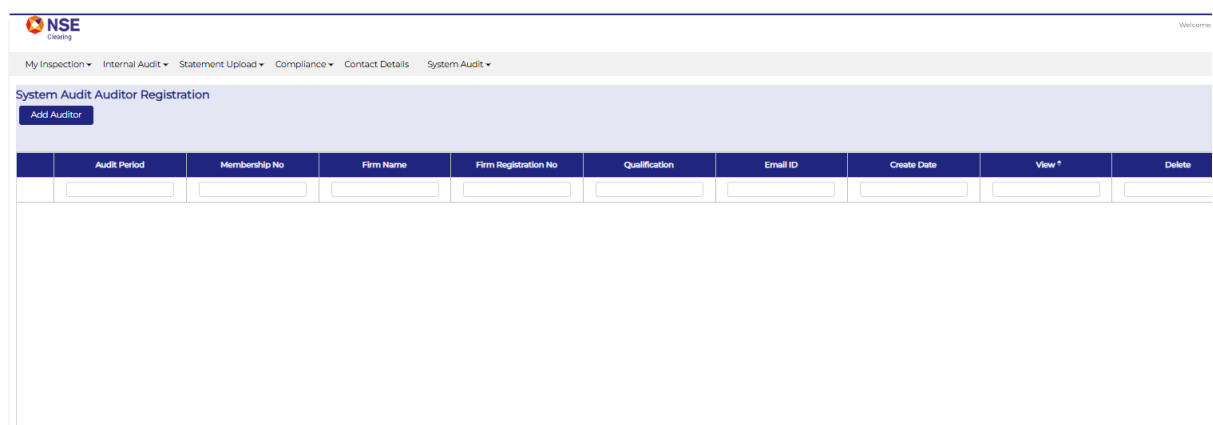
8. Click on **NCL_Inspection** to open the inspection dashboard in the left hand side of the portal.



9. In the top navigation bar, click on **System Audit** and from the drop down menu, select **New Auditor Appointment**.



10. On the System Auditor registration page, click the **Add Auditor** button.



11. The auditor registration form will open, fill in all the fields.

Note: the auditor credentials created during subuser creation shall remain the same.

Add Auditor

(*)Indicates Mandatory

member name

member Code

Auditor Period

APR-25 TO MAR-26

Auditor Firm Registration No*

Select

Auditor Firm Name*

Select

Auditor membership No*

Auditor Email ID*

Pin of the Auditor*

Pin of the Audit Firm*

Auditor name (Signing partner)*

Auditor Qualification*

☐ CA
☐ CS
☐ CMA

Issuance date of certificate of practice*

DD-MM-YYYY

Expiry date of certificate of practice*

DD-MM-YYYY

Certificate of Practice number*

Date of Appointment of an Auditor*

DD-MM-YYYY

Date of term end*

DD-MM-YYYY

Audit Team details

Lead Partner name *

Lead Partner Number *

Team Size (Ind. Lead Partner) *

Experience Letter * (Incap-Allowed .pdf only, max size 10 mb)

Choose File

No file chosen

Qualification Certificate (CSA, CSM, CMA, CISP) *

Choose File

No file chosen

Appointment Letter of Auditor * (Incap-Allowed .pdf only, max size 10 mb)

Choose File

No file chosen

Compliance Checklist

| Particular | Applicability | Remarks |
|---|---------------|---------|
| Auditor appointed as per SEBI/CC norms and TOR* | Select | |
| Governing Board approved the appointment of the Auditor* | Select | |
| Auditors have not exceeded 3 successive audits* | Select | |
| Cooling-off period of two years followed for auditor reappointment* | Select | |

Auditor Selection Norms

| Selection Norm | Applicability | Remarks |
|---|---------------|---------|
| Lead Auditor has minimum 3 years of demonstrable experience in IT audit of securities/financial sector* | Select | |
| Audit team has experience in areas covered under TOR* | Select | |
| Audit teams include certified professionals (CSA, CSM, CMA, CISP)* | Select | |
| Auditors have experience with frameworks like CoBIT / ISO 27001* | Select | |
| Auditor is capable of conducting forensic audits if required* | Select | |
| Auditors have no conflict of interest (no consulting engagement in last 3 years)* | Select | |
| Auditors have no pending cases indicating incompetence or unsuitability* | Select | |
| Auditor is empanelled with CERT-in on date of appointment and report submission* | Select | |
| Additional criteria defined by PCN for auditor selection are met* | Select | |

Declaration of No Conflict of interest on PCN/Audit Letter *

☐ Yes
☐ No

Auditor ID*

Auditor Password*

PCN Team Liaising with System Auditor Size *

☐ Yes
☐ No

The Audit team, who are responsible for direct liaison with the system auditor, at least one of the members has thorough knowledge and experience in handling system audit*

Back

Submit

Reset

Upon successful submission an intimation email will be sent to the auditor to proceed with the Audit report submission.

12. The member will be able to see the registered auditor details in the system auditor registration tab.

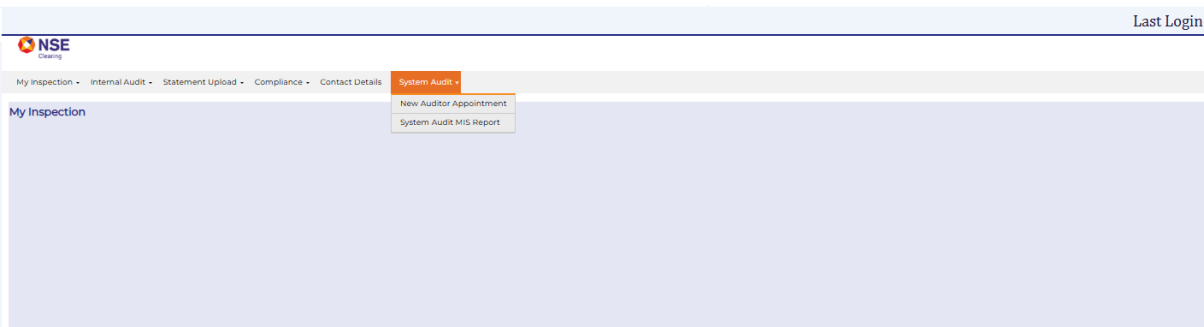
| | | | | | | | | | |
|---|------------------|---------------|-----------|----------------------|---------------|----------|-------------------------|------|--------|
| <div><div>NSE</div><div>Listing</div></div> <div>My InspectionInternal AuditStatement UploadComplianceContact DetailsSystem Audit</div> <div>System Audit Auditor Registration</div> <div>Add Auditor</div> | | | | | | | | | |
| | Audit Period | Membership No | Firm Name | Firm Registration No | Qualification | Email ID | Create Date | View | Delete |
| 1 | APR-25 TO MAR-26 | | | | | | May 14, 2026 3:41:15 PM | | |

D. Submission of Report by Member

13. Member shall login into the Portal and click on https://ims.connect2nsccl.com/NCLMemberPortal/NCL_Inspection.



14. Go to **System Audit** navigation bar and click on **System Audit MIS Report** from the dropdown menu.



15. To view the Auditors report, member shall Click on the **Request Reference number** to open and review the report against the current submission.

| Request Ref No. | NTR Submission | Member Name | Member Code | Audit Report Period | Status | Rejection Remarks (if Any) | Date of submission at Auditor End | Date of Submission in Member End | Date of Confirmation/Not Confirmed | System Certificate Uploaded by Auditor | Tor Report Uploaded by Auditor | System Report Uploaded by Auditor | Governing Board uploaded by Member | Tor Report Uploaded by Member | ATIS Follow-on Required | ATIS Follow-on Submitted | ATIS Follow-on Submission Date |
|-----------------|----------------|-------------|-------------|---------------------|---------------------|----------------------------|-----------------------------------|----------------------------------|------------------------------------|--|--------------------------------|-----------------------------------|------------------------------------|-------------------------------|-------------------------|--------------------------|--------------------------------|
| 1 | | | | APR-25 TO MAR-26 | Submitted to Member | | | | | Download | Download | Download | | | | | |

16. Member can view the observation sheet submitted by the System Auditor and upload the Governing board approval (File nomenclature: Year_Membercode i.e 20XX-20XX_XXXXX)

17. Download the **“TOR Format/Annexure 2 by Auditor ”** and provide comments to upload in the portal.

18. Upload the TOR file/Annexure

System Audit Report

(Indicates Mandatory)

Member Name: [Redacted]

Member Code: [Redacted]

Firm Registration Number: [Redacted]

Audit Firm Name: [Redacted]

Audit Period: APR-25 TO MAR-26

Observation Sheet Submitted by the Auditor: [Redacted]

System Audit Certificate: [Download](#) (66.13 KB .pdf)

TOR Format / Annexure 2 by Auditor: [Download](#) (30.10 KB .xlsx)

Annexure 3: [Download](#) (29.67 KB .xlsx)

Annexure 4: [Download](#) (29.67 KB .xlsx)

Digital Sign Pdf TOR(Annexure 2) by Auditor: [Download](#) (46.40 KB .pdf)

Governing Board * (note- Allowed .pdf only, max size 10 mb, Eg-YEAR_MEMBERCODE(20XX-20XX_XXXXX))

TOR file / Annexure 2* (note- Allowed .xlsx only, max size 10 mb, Eg-TOR_YEAR_MEMBERCODE(TOR_20XX-20XX_XXXXX))

Back Save Draft Submit

19. Click on Submit to proceed.

20. For each Non complied / Not Applicable points, member must provide Management comments in response to the auditors observation.

NSE Clearing System Audit User

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details • System Audit •

NON COMPLIANCE/NOT APPLICABLE CLAUSES

Note

| Sr.No | Area of Verification | Compliance Status | ATR Required | Follow-on Audit Required | Auditor's Remark | Whether Auditor comment Accepted | Management Comments |
|-------|----------------------|-------------------|-------------------------------------|--------------------------|------------------|----------------------------------|---------------------|
| 2 | IT environment | | | | | | |
| 23 | Organization details | | | | | | |
| a | Name | NC | <input checked="" type="checkbox"/> | <input type="checkbox"/> | | Y | |
| b | Address | N/A | <input type="checkbox"/> | <input type="checkbox"/> | | Y | |

COMPLIANCE CLAUSES

COMPLIANCE CLAUSES

Note

| Sr.No | Area of Verification | Compliance Status |
|-------|---|-------------------|
| 1 | The scope of audit shall encompass all the IT resources including hardware, software, network, policies, procedures etc. of PDCs (Primary Data Centre (PDC), Disaster Recovery Site (DRS) and Near Site (NS), if applicable). | C |
| 2 | IT environment | |
| 23 | Organization details | |
| a | Name | NC |
| b | Address | N/A |
| c | IT team size (in house- employees) | C |
| d | IT team size (vendors) | C |
| 22 | IT and network set up and usage | |
| a | PDC, DRS, NS and Regional/ Branch offices (location, owned/ outsourced), if applicable | C |
| b | Connectivity amongst PDC, NS and DRS, if applicable | C |
| c | IT infrastructure / applications pertaining to the activities done as a PCM | C |
| d | System Architecture | C |
| e | Network architecture | C |
| f | Telecommunication network | C |
| 3 | IT Governance | |
| 31 | Whether IT Governance framework exists to include the following: | |
| a | IT organization structure including roles and responsibilities of key IT personnel. | C |
| b | IT governance processes including policy making, implementation and monitoring to ensure that the governance principles are followed. | C |
| 32 | IT policies and procedures | |
| a | Whether the organization has a defined and documented IT policy. If yes, is it approved by the Governing Board (G3)? | C |

21. Member needs to download the Consolidated TOR report and digitally sign the PDF by affixing DSC and upload the same.

22. Check the declaration box and confirm the report is digitally signed before submitting the report to NSE Clearing.

NSE Clearing System Audit User

My Inspection • Internal Audit • Statement Upload • Compliance • Contact Details • System Audit •

System Audit Report

Download Report with Auditor comment: [Consolidated_Member_TOR_report_2025-2026.pdf](#)

Upload System Audit Report

Consolidate Annexure: No file chosen

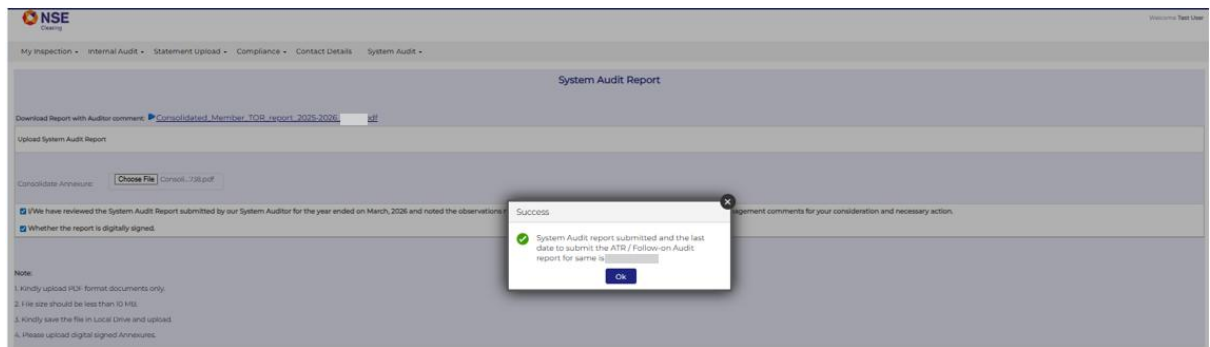
☐ I/We have reviewed the System Audit Report submitted by our System Auditor for the year ended on March, 2026 and noted the observations made. Please find enclosed System Audit Report along with our management comments for your consideration and necessary action.

☐ Whether the report is digitally signed.

Note:

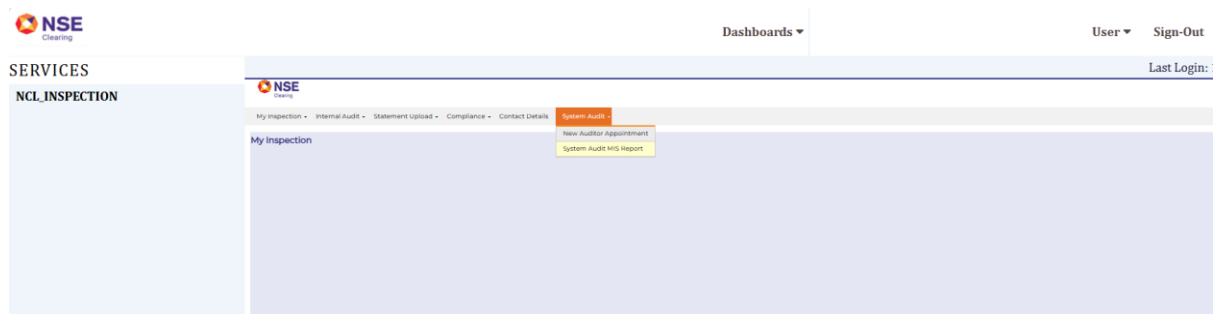
1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.
4. Please upload digital signed Annexures.

23. A confirmation message will be displayed confirming the report has been submitted to NSE Clearing.

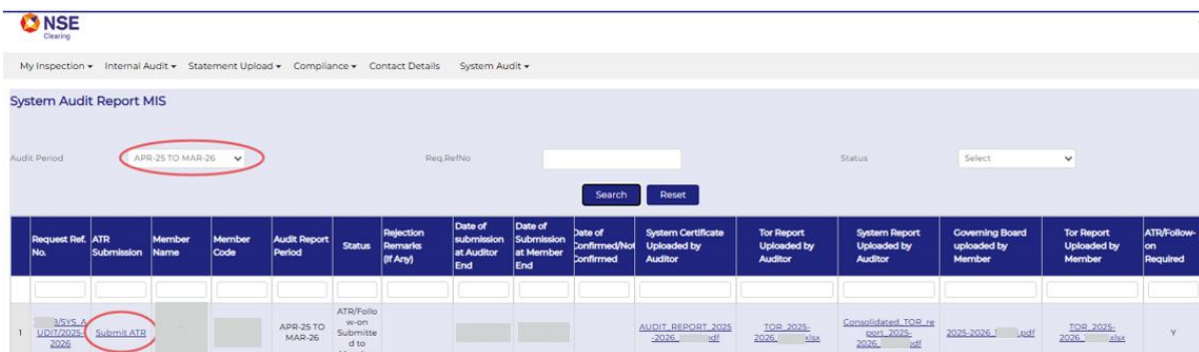


E. Member submission for ATR/Follow-on Audit

24. Member login to the portal and click on **NCL inspection> System Audit> Select Audit MIS report.**



25. On the **System Audit MIS** page, Select the **Audit Period** and click on **Submit ATR** to open the submission detail page.



26. Review the ATR/Follow-on Audit submitted by the auditor and provide management comments against each observation from the auditor.

| Sr No | Area of Verification | Compliance Status | Auditor Comments | Management Comments | ATR Comment By Auditor | Follow-on Audit Required | ATR Required | uploaded ATR | Management comments on ATR / Follow on audit |
|-------|---|-------------------|------------------|---------------------|------------------------|--------------------------|--------------|--------------------------|--|
| 10.1 | Ageing analysis of technology complaints | NC | | | | No | Yes | Download | |
| 11.1 | Observation(s) based on previous Audit Report (s) | NC | | | | Yes | No | Download | |

27. Click on Submit to provide the submission of ATR to NCL.

-----End of document-----