



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION	
Download Ref.No.: NSE/INSP/34616	Date : April 11, 2017
Circular Ref.No.: 303/2017	

All Trading Members and Clearing Members

Sub : Internal Audit of Trading members / Clearing members

This is to inform that all Trading / Clearing members are required to carry out complete Internal Audit for the **half year ended March 31, 2017** and submit the report electronically through the Inspection module in the Member portal **on or before June 30, 2017**. The Audit shall be conducted only by independent qualified Chartered Accountants or Company Secretaries or Cost & Management Accountants who are in practice and do not have any interest in or relation with the Member other than the internal Audit assignment.

The link for uploading the Internal Audit reports for the half year ended March 31, 2017 will be enabled on April 12, 2017. It may be noted that no documents are to be submitted in physical form to the Exchange.

Please find enclosed herewith following Annexures applicable for the internal audit report for half year ended March 31, 2017:

- Internal Audit certificate - **Annexure I.**
- Format of Internal Audit Report - **Annexure II.** (Excel File-"IARNSEMAR17")
- **Guidelines on sample selection** & other points to be noted - **Annexure III.**
- List of Indicative Processes & reference of Exchange/SEBI circulars - **Annexure IV.**
- Actions for non-compliances - **Annexure V.**
- Detailed Manual for submission of Internal Audit Report- **Annexure VI**

For issues related to digital signature, Members are requested to refer the "Digital Signature Installation Guide" available on Member Portal.

Auditors are requested to mandatorily adhere to the sample selection guidelines specified therein (Annexure-III) and mention the sample size selected along with details of the instances of Non- Compliance (if any) against each of the checklist points.

All members are requested to ensure compliance with the above.

**For and on behalf of
National Stock Exchange of India Limited**

**Srijith Menon
Senior Manager-Inspection**

Encl: As Above

In case of any clarifications, Members may contact our below offices:

CENTRE	CONTACT NO.	E MAIL ID
Ahmedabad	079-49008632	inspectionahm@nse.co.in
Chennai	044-28479915 / 17	inspection_cro@nse.co.in
Delhi	011-23459138/146/127	delhi_inspection@nse.co.in
Kolkata	033-40400411 / 406	inspection_kolkata@nse.co.in
Mumbai	022-25045264 / 271/ 081	compliance_wro@nse.co.in

Telephone No	Fax No	Email id
1800 2200 51	+91-22-26598194	compliance_assistance@nse.co.in