

Annexure B

Guidelines to submit the systems audit report

- i. Kindly refer Exchange circular no. NSE/MSD/40717 dated April 10, 2019 for submission process of Preliminary audit report, Action Taken Report (ATR) & Follow-on audit report and relevant Annexures.
- ii. Steps to submit the Preliminary audit report:

Category	Create login id in Member Portal	System Audit Registration & assign Audit Period in ENIT	Preliminary audit report submission in ENIT
New member (Member undergoing system audit for the 1st time)	Yes	Yes	1. System auditor shall submit the Preliminary system audit report to member. 2. Trading member shall enter management comments in the field provided and submit the Preliminary system audit report to the Exchange.
Existing member with a new auditor (Member has already undergone systems audit earlier, however wishes to change the auditor for the current period)	No	Yes (Mention existing login details, new audit firm’s details and new audit period)	
Existing member with old auditor (Member has already undergone systems audit earlier and wishes to conduct the current audit with existing auditor)	No	Yes (Mention existing login details, audit firm’s details and new audit period)	
Help Files			
Relevant help files on ENIT	Member System Audit > System Audit Help File > User Creation - Member Portal	Member System Audit > System Audit Help File > Auditor Registration	Member System Audit > System Audit Help File > Auditor Submission / Member Submission

***Note: Path on ENIT for System Audit is as follows:**

For Member:

Enit-NEW-TRADE->Trade->system audit->Display system audit registration. Enit-NEW-TRADE->Trade->system audit->Member MIS

For Auditor:

Enit-NEW-TRADE->Enit-system audit->Trade-> system audit->Auditor MIS
Enit-NEW-TRADE-> Enit-system audit->Trade-> system audit->system audit help file