

ANNEXURE V

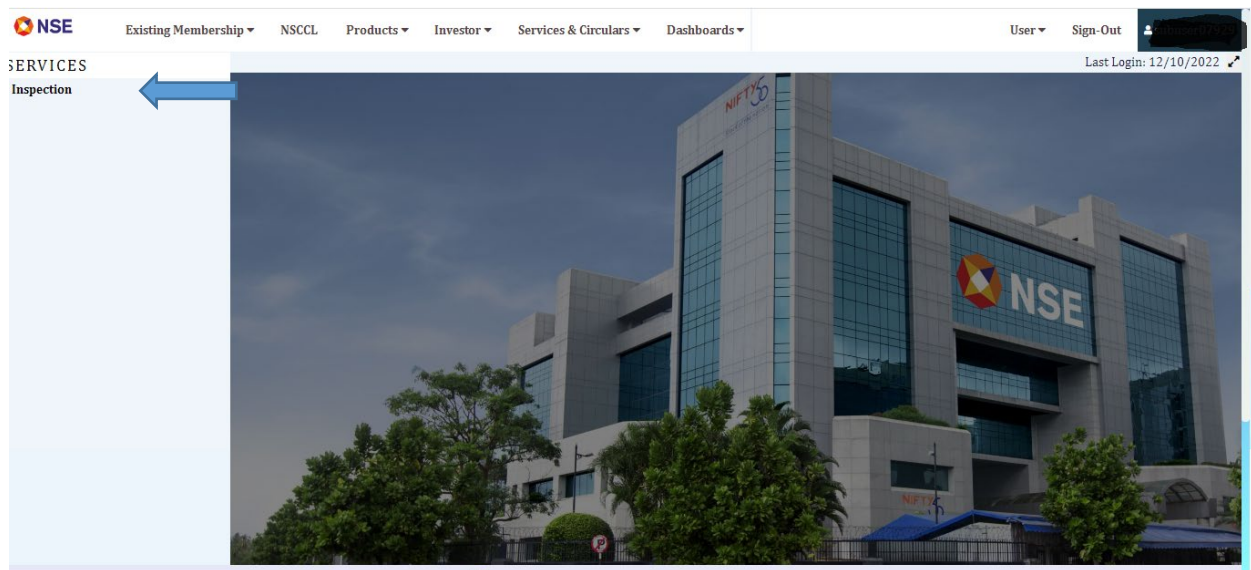
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

Step: 1 - Open Internet browser from the desktop.

Step: 2 - Type <https://inspection.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

Step: 3 - Login to Member Portal

Step: 4 - After this step, below screen will be displayed along with the 'Inspection' tab at the left side.



Double click on the 'Inspection' tab from the left-hand side & Inspection module will be launched:

NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out subuser07929 Last Login: 12/10/2022

SERVICES Inspection

NSE My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal API Help Documents Contact Details

My Inspection

Sr. No.	Year	Quarter	Inspection Type	Segment	Reminder
1	2016-17	Q1	REG	FO	NA
2	2018-19	Q2	REG	FO	NA
3	2017-18	Q1	REG	FO	NA
4	2018-19	Q2	REG	CMFOCD5	NA
5	2017-18	Q1	REG	CMFOCD5	NA
6	2016-17	Q1	REG	CMFOCD5	NA
7	2018-19	Q2	REG	CDS	NA
8	2016-17	Q1	REG	CDS	NA
9	2017-18	Q1	REG	CDS	NA

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For Internal Auditor Registration:

For each Internal Audit cycle, Members need to register their Internal Auditors.

Step: 6- For each Internal Audit cycle, Members need to register their Internal Auditor irrespective of auditor being an existing auditor. To do so, click on “Auditor Registration” from the dropdown available in the Internal Audit tab. “Auditor Registration” allows members to add new internal auditor with his details & also allows to view the details of auditors previously added.

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Add Auditor

Auditor Registration
Internal Audit MIS Report
IAR-Help Documents

Audit Period	Membership No	Firm Name	Firm Registration No	Segments	Undertaking on Penalty	Email ID	Created Date	Edit	Delete
1	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY	CM,FO,CD	CA	rseit_gbhori@vendo	Dec 28, 2015 11:54:03 AM		
2	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY	CM,FO,CD	CA	rseit_gbhori@vendo	Dec 28, 2015 12:52:56 PM		
3	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY	CM,FO,CD	CA	rseit_gbhori@vendo	Dec 28, 2015 1:02:19 PM		
4	APR-19 To SEP-19	410455	MONIKA AGARWAL & ASSOCIATES	CM,FO,CD,CO	CA	rseit_gbhori@vendo	Nov 18, 2019 12:56:12 PM		
5	OCT-21 To MAR-22	151515	Ankit	CM,FO,CD,CO	CA	abc@abc.com	May 9, 2022 1:06:55 PM		
6	OCT-21 To MAR-22	929292	TEST	WDM	CA	pmalokar@nse.co.in	May 11, 2022 2:24:33 PM		
7	OCT-21 To MAR-22	646464	TEST1	PCM	CA	abc@abc.com	May 11, 2022 5:13:28 PM		
8	OCT-21 To MAR-22	575757	DEF	IRF	CA	abc@abc.com	May 11, 2022 7:08:35 PM		
9	OCT-21 To MAR-22	171717	ASE	SLBM	CA	abc@abc.com	May 13, 2022 12:11:19 PM		
10	OCT-21 To MAR-22	848484	ABC	MFSS	CA	abc@abc.com	May 24, 2022 10:43:14 AM		

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https://isc-inspectionat.nseindia.com/inspectionhel8/IARAction_showAuditors

NSE Existing Membership ▾ NSCCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User ▾ Sign-Out subuser07 9

SERVICES Inspection Last Login: 12/10/2022

NSE My Inspection ▾ Risk Based Supervision ▾ Enhanced Supervision ▾ Internal Audit ▾ Statement Upload ▾ Active Terminal ▾ API ▾ Help Documents ▾ Contact Details

Add Auditor

	Audit Period	Membership No	Firm Name	Firm Registration No	Segments	Qualification	Email ID	Created Date	Edit *	Delete
1	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY		CM,FO,CD	CA	nseit_pbhol@vendo	Dec 28, 2015 11:54:03 AM		
2	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY		CM,FO,CD	CA	nseit_pbhol@vendo	Dec 28, 2015 12:52:56 PM		
3	APR-15 To SEP-15	535820	KUMAR AMIT & COMPANY		CM,FO,CD	CA	nseit_pbhol@vendo	Dec 28, 2015 1:02:19 PM		
4	APR-19 To SEP-19	410455	MONIKA AGARWAL & ASSOCIATES	019154C	CM,FO,CD,CO	CA	nseit_pbhol@vendo	Nov 18, 2019 12:56:12 PM		
5	OCT-21 To MAR-22	151515	Ankit	151515	CM,FO,CD,CO	CA	abc@abc.com	May 9, 2022 1:06:55 PM		
6	OCT-21 To MAR-22	929292	TEST	929292	WDM	CA	pmalokar@nse.co.in	May 11, 2022 2:24:33 PM		
7	OCT-21 To MAR-22	646464	TEST1	646464	PCM	CA	abc@abc.com	May 11, 2022 5:13:28 PM		
8	OCT-21 To MAR-22	575757	DEF	575757	IRF	CA	abc@abc.com	May 11, 2022 7:06:35 PM		
9	OCT-21 To MAR-22	171717	ASE	171717	SLBM	CA	abc@abc.com	May 13, 2022 12:21:19 PM		
10	OCT-21 To MAR-22	848484	ABC	848484	MFSS	CA	abc@abc.com	May 24, 2022 10:43:14 AM		

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Click on Add Auditor to register a new Internal Auditor.

An 'Edit' facility is given to the member to edit the segment in which the auditor is registered earlier, only if the report is not submitted by the auditor. In case, the report is submitted, member will not be able to edit the details of the auditor.

NSE Existing Membership ▾ NSCCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User ▾ Sign-Out subuse

SERVICES Inspection Last Login: 03/04/2023

NSE My Inspection ▾ Risk Based Supervision ▾ Enhanced Supervision ▾ Internal Audit ▾ Statement Upload ▾ Active Terminal ▾ WPT ▾ API ▾ Help Documents ▾ Contact Details ▾ Test Digital Signature

(* Indicates Mandatory)

Add Internal Auditor

Member Name

Member Code

Auditor Period OCT-21 To MAR-23

Auditor Firm Name*

Auditor Firm Registration No*

Auditor Email ID*

Auditor PAN No.*

PAN of the Audit Firm*

Auditor ID*

Auditor Password*

Auditor Membership No*

Auditor Qualification* ☐ CA ☐ CS ☐ CMA

Internal Audit Report For Segment: (CM/FO/SLBM/CD/WDM/PCM/CO):*

☐ CM ☐ FO ☐ SLBM ☐ CD ☐ WDM ☐ PCM ☐ IRF ☐ MFSS ☐ DEBT ☐ CO

☐ I undertake to appoint the said auditor to conduct Internal Audit for the half year ended March, 2023 as per the requirement of SEBI and Exchange

Submit **Reset**

All fields are Mandatory.

Note – Member needs to enter auditor's correct email id so that after submitting the above form, auditor will receive his login credentials on his/her E mail along with the URL

Step: 7- After ensuring that all details have been correctly entered, click “Submit” to register the Auditor.

Upon registration, 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 APR-22 To SEP-22 has been successfully created.

Please find the details as under:

UserId: User Id

Password : Password

TM Name : Trading member name

TM Code : Trading member code

Kindly click on the following link <https://inspection.nseindia.com/MemberPortal/>

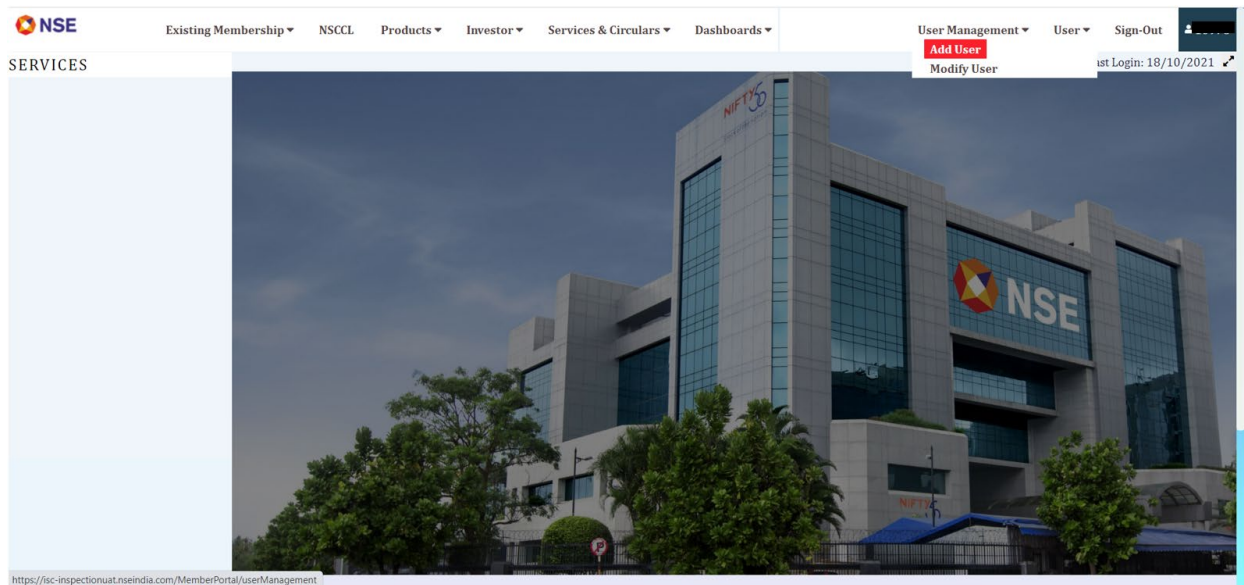
On clicking the above link for the first time, you will be prompted to change the password, Kindly change the password immediately.

You are requested to initiate Internal Audit for the APR-22 To SEP-22 for CM, FO, CD segment/s and submit Annexure I & II.

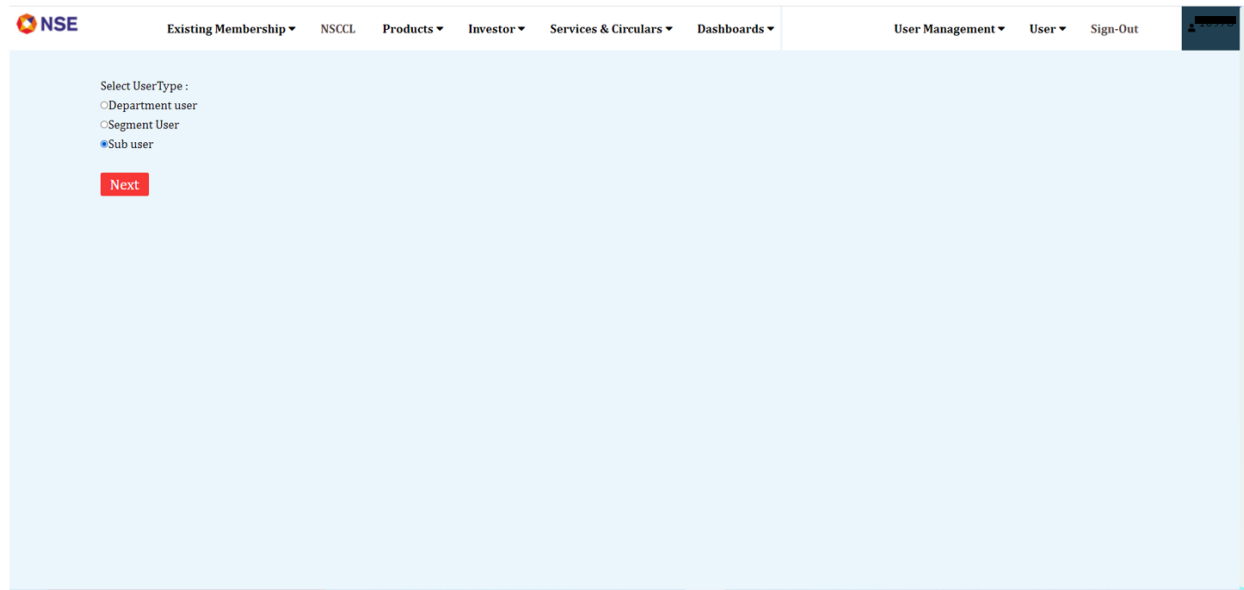
In case of any clarification, please contact the Member.

After Auditor’s Registration, member shall create the sub user from Member’s ENIT admin login.

1st login in Member’s ENIT admin login. Right hand side under User Management click on Add user.



Select Sub user and click on Next button



NSE

Existing Membership ▾ NSCCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾

User Management ▾ User ▾ Sign-Out

Select UserType :

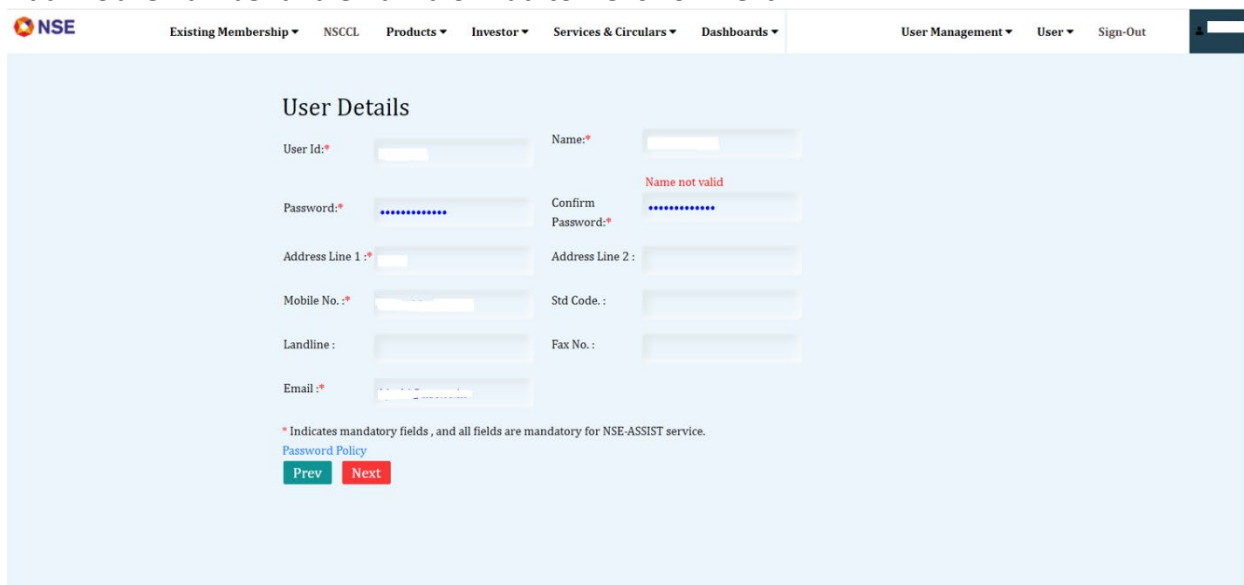
☐ Department user

☐ Segment User

☒ Sub user

Next

Add user details, “User ID and Password should be same as entered in Auditor’s Registration. Add mobile number and email id of Auditor. Click on Next.



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Existing Membership ▾ NSCCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾

User Management ▾ User ▾ Sign-Out

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](#)

Prev Next

Give following role to Auditor. Tick on

- INSPECTION – INTERNAL AUDIT and submit.

Before submission of Internal Audit Report by the Auditor, Members need to submit the Undertaking on 'Penalty for Short collection / non-collection of client margins' in accordance with Exchange circular NSE/INSP/52711 dated June 23, 2022. As prescribed in the circular, Designated Director of the trading member shall submit the stated Undertaking duly certified by digital signature only. Facility to submit the same has been provided under 'Internal Audit Tab' in member portal as per the below screenshot. Internal Auditor shall not be able to submit the Internal Audit Report unless the said Undertaking is submitted by member.

TM Code and TM Name will be auto populated. Members are required to mention the name of their 'Designated Director' along with Place. Prefilled "Declaration of Penalty" is required

to be downloaded and digitally signed by the 'Designated Director' using E-lock Application by clicking on Sign PDF option after which Submit option will be enabled.

The screenshot shows the 'Declaration of Penalty' form on the NSE portal. The form has several input fields: TM Code, TM Name, Date (12-Oct-2022), Place, and Name of Designated Director. Below the form, there are two main sections: 'Download Certificate for Declaration of Penalty' with a link 'Declaration of Penalty' (highlighted by a blue arrow from a text box 'Download Undertaking'), and 'Upload Certificate for Declaration of Penalty' with a 'Sign PDF' button (highlighted by a blue arrow from a text box 'Downloaded file to be uploaded by affixing Digital Signature'). A 'Submit' button is located at the bottom right of the form. A note at the bottom states: '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.' The footer mentions 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'

Now Auditor can login to Auditor's login and process the Internal Audit Report.

Once the Internal Audit report is submitted by the Auditor, the Member can view the Audit report by accessing the "Internal Audit MIS report" tab in the Member portal.

The screenshot shows the 'Add Internal Auditor' form on the NSE portal. The form has several input fields: Member Name, Member Code, Auditor Period, Auditor Firm Name, Auditor Firm Registration No, Auditor Email ID, Auditor PAN No, Auditor Id, Auditor Password, Auditor Membership No, and Auditor Qualification. A dropdown menu is open, showing options: Auditor Registration, Internal Audit MIS Report (highlighted with a blue arrow), IAR-Help Documents, and Undertaking on Penalty. The form also includes checkboxes for Auditor Qualification (CA, FO, SLBM, CD, WDM, PCMA, IRF, AIFSS, DEBT, CO) and a checkbox for 'I undertake to appoint the said auditor to conduct Internal Audit for the half year ended September, 2022 as per the requirement of SEBI and Exchange'. The URL at the bottom is 'https://isc-inspectionuat.nseindia.com/inspectionrhe8/IARAction_IarMisMember'.

Internal Audit MIS Report:

On clicking the “Internal Audit MIS report” tab, Member will select the period of Internal Audit submission and click “SEARCH” button to view the current Audit report submitted by the Auditor or any previously submitted Audit reports.

NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out Last Login: 12/10/2022

SERVICES
Inspection

NSE My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal API Help Documents Contact Details

Internal Audit Report MIS

Audit Period: Auditor's Req Ref No.: Status:

Request Ref. No.	Segment	Audit Report Period	Status	Reject/remark any	Annexure1 (Auditor End) [Auditor Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure2 (Member End) [Internal Audit Report]	Sample Details File	Declaration
1 07929/AUDIT_REPORT/150	CH_FO_CD	OCT-08 To MAR-09	SUBMIT						NO
2 07929/AUDIT_REPORT/162	CH_FO_CD	APR-09 To SEP-09	SUBMIT						NO
3 07929/AUDIT_REPORT/3034	CH_FO_CD	OCT-09 To MAR-10	SUBMIT						NO
4 07929/AUDIT_REPORT/5274	CH_FO_CD	OCT-10 To MAR-11	SUBMIT						NO

Submission by Member:

To view the Audit report and to submit the management comments, Member shall click the “Request reference no.” against the current submission. Once clicked, the following page shall be displayed.

NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out Last Login: 12/10/2022

SERVICES
Inspection

NSE My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal API Help Documents Contact Details Test Digital Signature

Internal Audit Report

Member Name:

Member Code:

Auditor Name:

Auditor Designation:

Internal Auditor Firm Name:

Auditor Firm Registration No.:

Auditor report Certified by:

Auditor's Membership No.:

Audit Period:

Date of Submission by Auditor's member:

No. of APs inspected by the member:	
No. of Bank Accounts operated by the member:	32
No. of DP Accounts operated by the member:	32
Segment:	PCM
SEBI registration number:	
Activity (Trading/Clearing/Trading and Clearing):	Clearing-PCM
Observation Sheet submitted by Auditor:	WANGSESEP16.xlsx
Annexure 1:	08236_IarSEP_16_A1_23008.pdf
Annexure 2:	08236_IarSEP_16_A2_23008.pdf
Report Submitted By Member:	
Annexure 2(Member End):	

Member to download the excel file

Please attach the Internal Audit report(Submitted by Auditor)(.xlsx):

Browse*

The Member shall download the observation sheet in excel (as shown above) and indicate his acceptance (by selecting Y or N from the dropdown) for each compliance status marked by the Internal Auditor. Once done, Member shall upload the same file by browsing and clicking the upload button.

Once the member uploads the excel by incorporating 'Whether Auditor Comments accepted' he will be redirected to the next page where he will be able to fill Management Comments for non-complied points only:

NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out

SERVICES Inspection

Internal Audit Report

S.No	Area Of Verification	Observation Of Internal Auditor				Management Comments	
		Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	Whether Auditor comments accepted	Remarks (If any, where auditor has reported non-compliance)
1.a	All relevant Client Registration Documents executed with clients in compliance with SEB circulars and supporting collected from the clients are available and are easily retrievable.	NC	1.a	21213321	1.a	Y	
1.b	SEC is allotted to all the clients registered during the audit period & the same is timely uploaded to the Exchange.	NC	1.b	13123210	1.b	Y	
1.ad	Members have displayed the documents relating to rights & obligations, written risk disclosure documents, etc & don't in vernacular languages on their own website (if any) and copy of the same is provided to clients on request.	NC	1.ad	1010018 as 21st Nov 2018	1.ad	Y	
3.b	Trading member has issued contract notes only for trades done under the rules, bye-laws & regulations of the Exchange and not otherwise.	NC	3.b	87961778	3.b	Y	
4.b	Receipts/payment of funds and receipt/delivery of securities/information are received/transferred from/to respective clients only.	NC	4.b	1010018 as 21st Nov 2018	4.b	Y	

This screen will display only non-compliance points as marked by the Auditor. Once done, Member shall proceed to fill the contact person name and his/her e mail ID and the click the “Submit” button.

Once submitted, member will be navigated to the next screen i.e. ‘Internal Auditor Report’ having Audit Report (Annexure 2) as PDF which needs to be downloaded by the Member.

The Member needs to attach the downloaded Audit report (Annexure 2) by clicking on the “browse” button and uploading the same. Once uploaded a “Sign” button shall appear. Member shall proceed to submit the reports by affixing the digital signature by clicking the “Sign” button and ticking the declaration.

NSE My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Standardization Upload Help Documents Contact Details Test Digital Signature

Welcome 06000 dummy

(* Indicates Mandatory)

Internal Audit Report

Download Internal Audit Report

Download [Audit Report \(Annexure 2\)](#)

Upload Internal Audit Report

Internal Audit Report

☒ I/We have reviewed the Internal Audit submitted by our Internal Auditor for the half year ended on 30th September, 2018 and noted the observations made. Please find enclosed Audit Report along with our management comments for necessary action.

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.

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To be downloaded

Downloaded file to be uploaded by affixing Digital Signature

-END-