

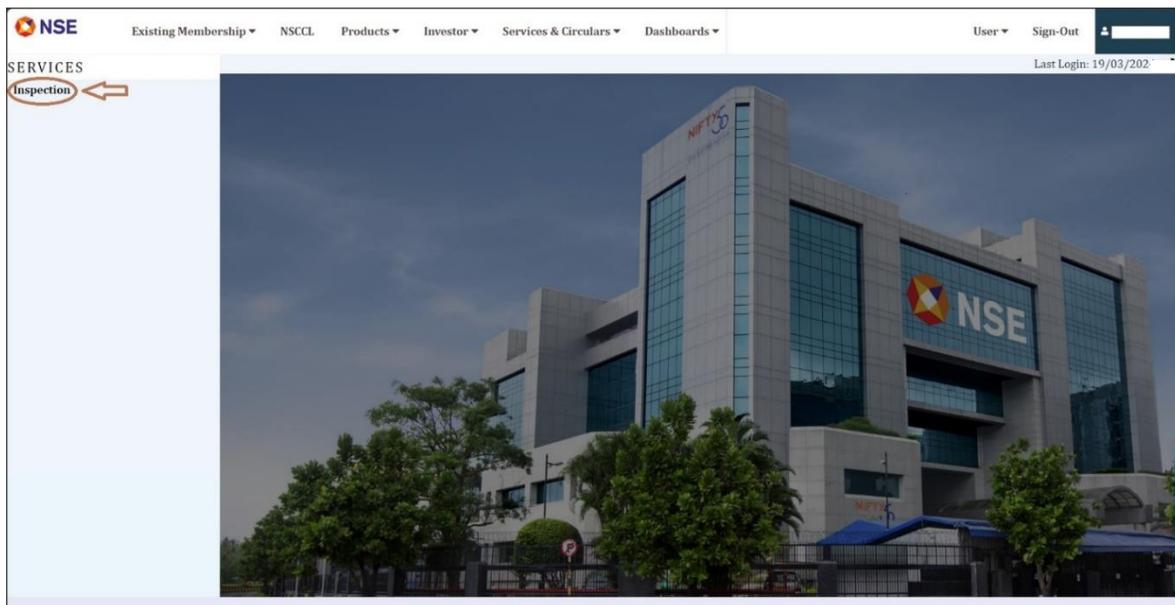
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

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:

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

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

Add Auditor

	Audit Period	Membership No	Firm Name	Firm Registration No	Segments	Qualification	Email ID	Created Date	Edit	Delete
1	OCT-13 To MAR-14	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD M	CA	nseit_pbh@vendo.rnse.co.in	Jun 19, 2014 12:16:03 PM		
2	OCT-13 To MAR-14	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD M	CA	nseit_pbh@vendo.rnse.co.in	Jun 19, 2014 2:05:18 PM		
3	APR-14 To SEP-14	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD M	CA	nseit_pbh@vendo.rnse.co.in	Dec 16, 2014 1:57:48 PM		
4	OCT-14 To MAR-15	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Jun 8, 2015 10:59:51 AM		
5	APR-15 To SEP-15	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Dec 4, 2015 2:12:08 PM		
6	OCT-15 To MAR-16	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Jun 22, 2016 12:35:36 PM		
7	APR-16 To SEP-16	129179	N H Agrawal & Associates		CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Nov 9, 2016 12:40:04 PM		
8	OCT-16 To MAR-17	129179	N H AGRAWAL & ASSOCIATES	327511E	CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Jun 27, 2017 1:27:45 PM		
9	APR-17 To SEP-17	129179	N H AGRAWAL & ASSOCIATES	327511E	CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	Nov 9, 2017 2:46:41 PM		
10	OCT-17 To MAR-18	129179	N H AGRAWAL & ASSOCIATES	327511E	CM.FOSLBM.CD.WD MJRF	CA	nseit_pbh@vendo.rnse.co.in	May 21, 2018 1:05:35 PM		

Page 1 of 1 | 50 | View 1 - 10 of 10

Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.

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.

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

My Inspection ▾ Risk Based Supervision ▾ Enhanced Supervision ▾ **Internal Audit ▾** Statement Upload ▾ Active Terminal ▾ VAPT ▾ SAAS ▾ API ▾ Penalty ▾ Help Documents Contact Details Test Digital Signature

Add Auditor

	Audit Period	Membership No	Firm Name	Firm Registration No	Segments	Qualification	Email ID	Created Date	Conflict Of Interest	Edit	Delete
1	OCT-13 To MAR-14				CM.FOCD	CA		Jun 24, 2014 3:30:32 PM			
2	APR-14 To SEP-14				CM.FOCD	CA		Dec 23, 2014 4:53:10 PM			
3	OCT-14 To MAR-15				CM.FOCD	CA		Jun 25, 2015 5:02:19 PM			
4	APR-15 To SEP-15				CM.FOCD	CA		Dec 17, 2015 1:39:27 PM			
5	OCT-15 To MAR-16				CM.FOCD	CA		Jun 30, 2016 11:26:14 AM			
6	APR-16 To SEP-16				CM.FOCD	CA		Dec 29, 2016 3:12:57 PM			
7	OCT-16 To MAR-17				CM.FOCD	CA		Jun 27, 2017 5:07:43 PM			

Page 1 of 1 | 50 | View 1 - 10 of 10

Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.

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

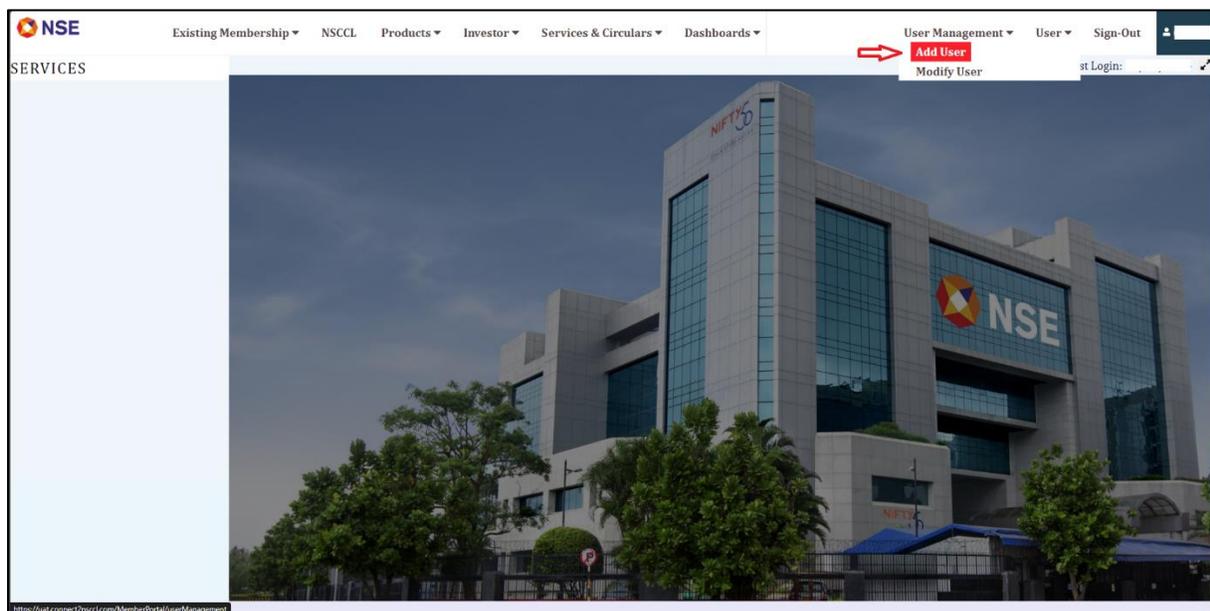
On clicking the above link for the first time, you will be prompted to change the password, Kindly change the password immediately.

You are requested to initiate Internal Audit for the APR-24 to SEP-24 for CM ,FO, CD segment/s and submit Annexure I & II.

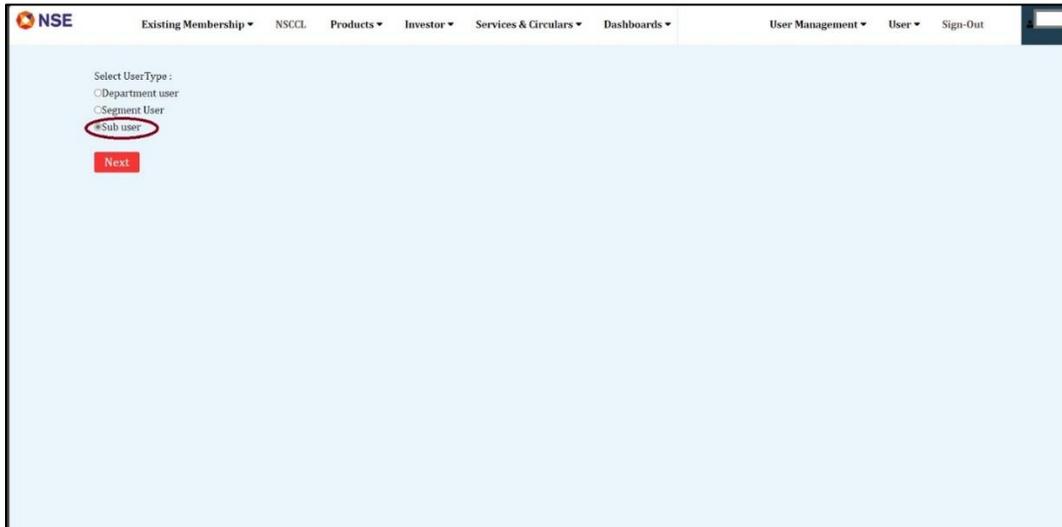
In case of any clarification, please contact the Member.

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.

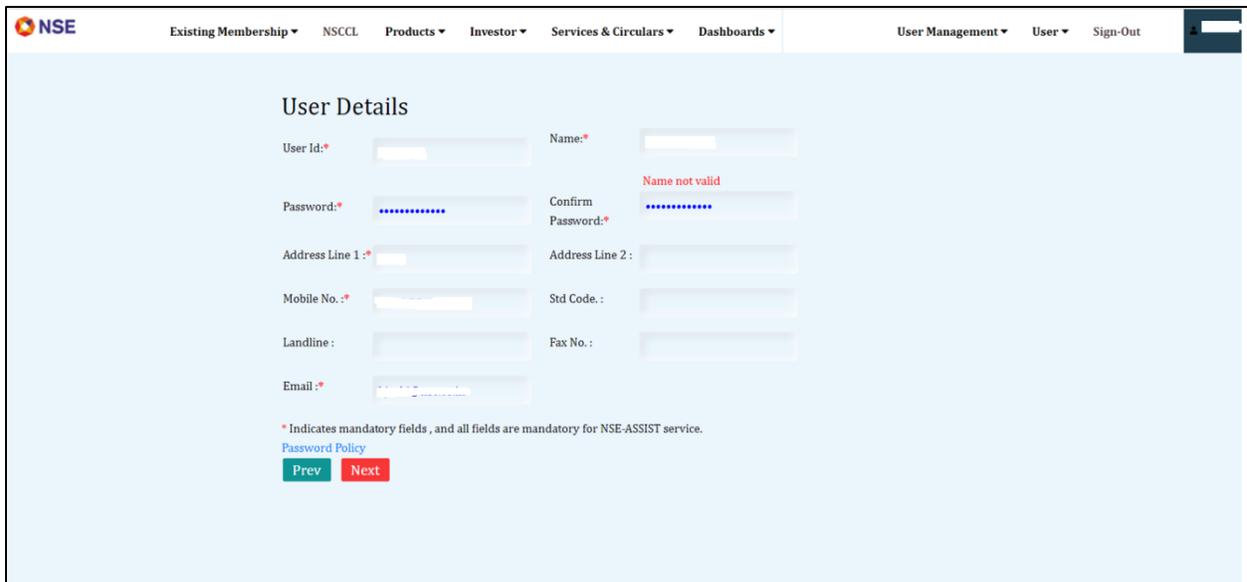


Select Sub user and click on Next button.



The screenshot shows the NSE user management interface. The top navigation bar includes 'Existing Membership', 'NSCL', 'Products', 'Investor', 'Services & Circulars', 'Dashboards', 'User Management', 'User', and 'Sign-Out'. The main content area displays a 'Select UserType' dropdown menu with three options: 'Department user', 'Segment User', and 'Sub user'. The 'Sub user' option is selected and circled in red. Below the dropdown is a red 'Next' button.

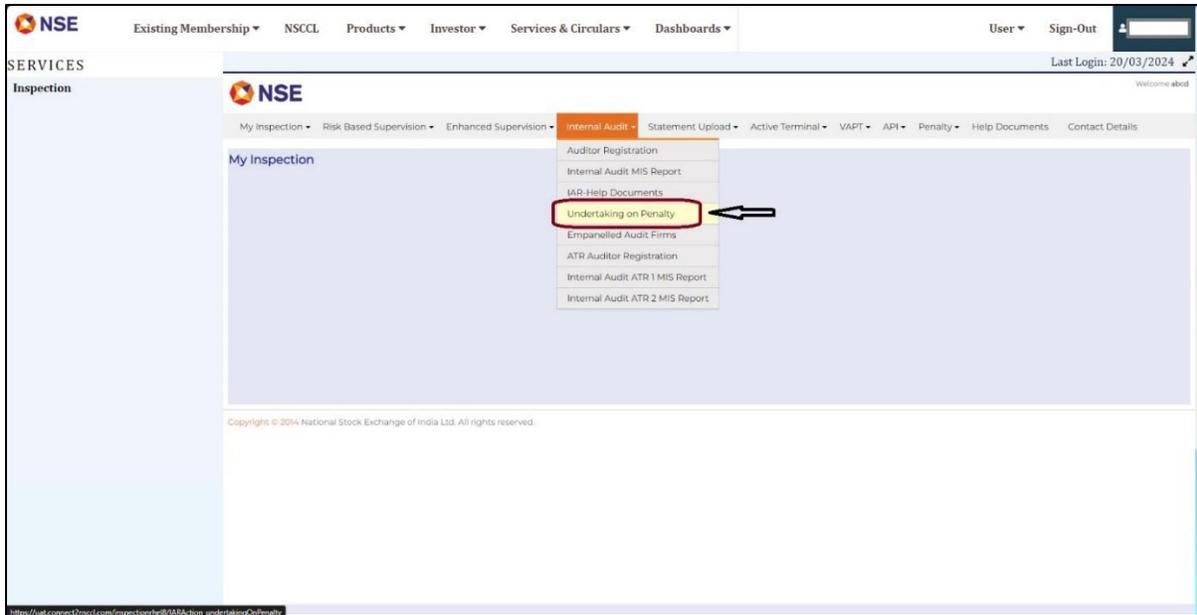
Add user details, "User ID and Password should be same as entered in Auditor's Registration. Add mobile number and email id of Auditor. Click on Next.



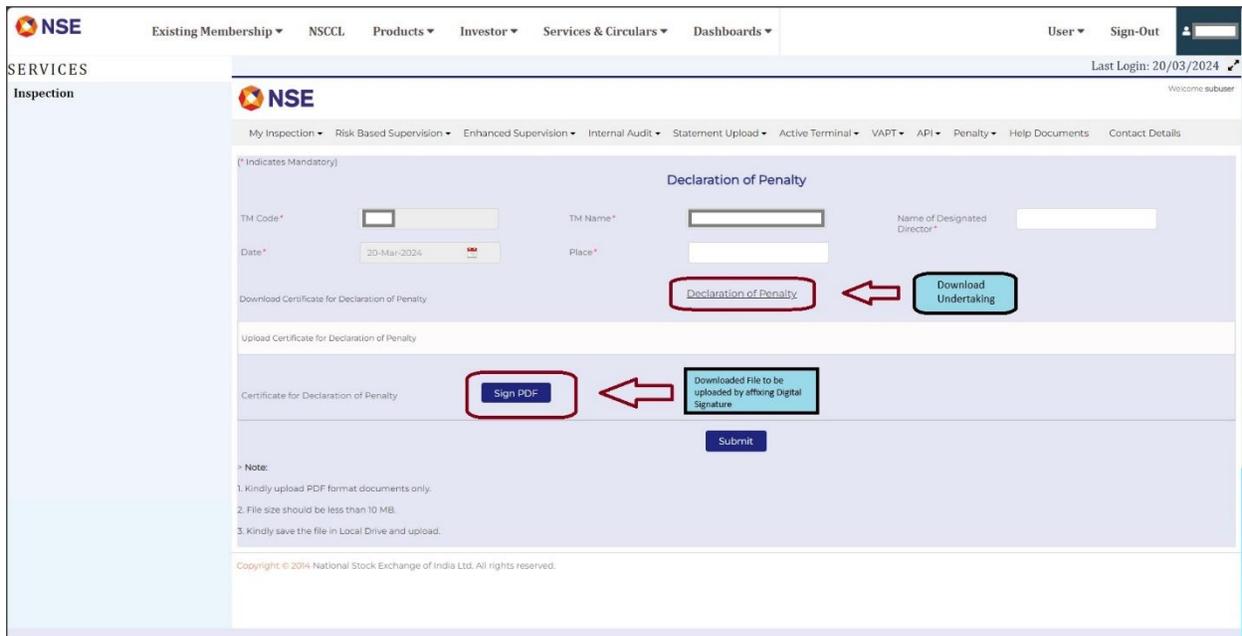
The screenshot shows the NSE user management interface with the 'User Details' form. The top navigation bar is the same as in the previous screenshot. The form contains the following fields:

- User Id:*
- Name:*
- Password:*
- Confirm Password:*
- Address Line 1:*
- Address Line 2:
- Mobile No.:*
- Std Code.:
- Landline:
- Fax No.:
- Email:*

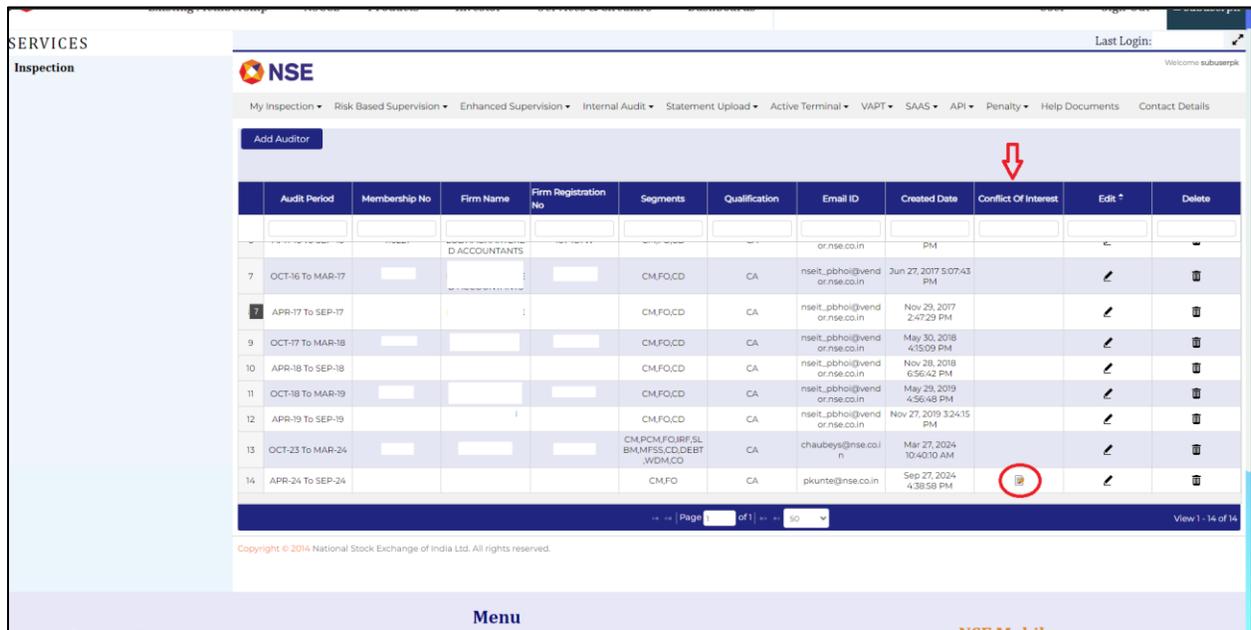
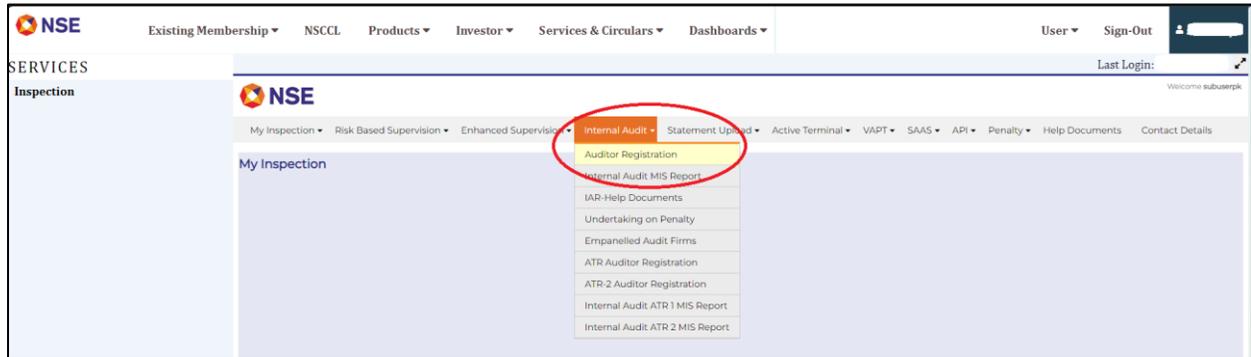
A red error message 'Name not valid' is displayed below the Name field. At the bottom of the form, there is a note: '* Indicates mandatory fields, and all fields are mandatory for NSE-ASSIST service.' Below this note is a link for 'Password Policy' and two buttons: 'Prev' and 'Next'.



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 member must obtain the 'Conflict of Interest (COI)' declaration from the internal auditor and share it with the stock exchange. Once the auditor submits the Conflict of Interest declaration from auditor login, the member will access the "Auditor Registration" tab and submit their own 'Conflict of Interest'(COI) by clicking on the 'Conflict of Interest button'. The member will select the response for "Conflict of Interest" and submit the declaration to the exchange.



During submission of conflict of interest from member end, the following screen appears:



(* Indicates Mandatory)
Conflict Of Interest

Member Name	[Redacted]
Member Code	[Redacted]
Auditor Period	APR-24 To SEP-24
Auditor Firm Name	[Redacted]
Auditor Firm Registration No	[Redacted]
Auditor Email ID	[Redacted]
Auditor name	[Redacted]
Auditor Membership No	[Redacted]
Conflict Of Interest*	<input type="radio"/> Yes <input checked="" type="radio"/> No

Conflict Of Interest is already submitted by Member!

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.

SERVICES
Inspection

Last Login: [Redacted]
Welcome

My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VAPT • SAAS • API • Penalty • Help Documents • Contact Details

Internal Audit Report MIS

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

Request Ref. No.	Segment	Audit Report Period	Status	Rejection remarks(if any)	Date of Submission at Auditor end	Date of Submission at Member end	Annexure (Auditor End) [Auditor Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure2 (Member End) [Internal Audit Report]	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate
14	CM,FO,CD	OCT-15 To MAR-16	CONFIRMED		Jul 5, 2016 4:22:29 PM	Jul 8, 2016 5:27:49 PM	16_A1_34721.pdf	16_A2_34791.pdf	16_A2_34791.pdf		No	
15	CM,FO,CD	OCT-16 To MAR-17	APPROVED		Jul 4, 2017 4:46:24 PM	Jul 4, 2017 6:43:35 PM	17_A1_44202.pdf	17_A2_44202.pdf	17_A2_44202.pdf		No	
16	CM,FO,CD	APR-17 To SEP-17	CONFIRMED		Nov 30, 2017 4:26:28 PM	Nov 30, 2017 8:07:18 PM	17_A1_46979.pdf	17_A2_46979.pdf	17_A2_46979.pdf		No	
17	CM,FO,CD	OCT-17 To MAR-18	CONFIRMED		May 31, 2018 8:36:48 PM	Jun 1, 2018 1:44:16 PM	18_A1_50337.pdf	18_A2_50337.pdf	18_A2_50337.pdf		No	
18	CM,FO,CD	APR-18 To SEP-18	CONFIRMED		Nov 29, 2018 7:06:46 PM	Nov 29, 2018 7:52:23 PM	18_A1_52196.pdf	18_A2_52196.pdf	18_A2_52196.pdf		No	
19	CM,FO,CD	OCT-18 To MAR-19	CONFIRMED		May 31, 2019 4:31:06 PM	Jun 4, 2019 5:53:53 PM	19_A1_54641.pdf	19_A2_54641.pdf	19_A2_54641.pdf		No	
20	CM,FO,CD	APR-19 To SEP-19	SUBMIT		Dec 2, 2019 4:55:04 PM	Dec 2, 2019 6:13:33 PM	19_A1_56825.pdf	19_A2_56825.pdf	19_A2_56825.pdf		No	
21	FO,CM	APR-24 To SEP-24	SUBMIT		Sep 27, 2024 7:10:57 PM	Sep 27, 2024 7:18:26 PM	24_A1_58333.pdf	24_A2_58333.pdf	24_A2_58333.pdf	IARNSESEP24_SAMPLE_DETAILS	Yes	19_A1_Declaration_of_Penalty.pdf

Menu

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.

Request Ref. No.	Segment	Audit Report Period	Status	Rejection remarks(if any)	Date of Submission at Auditor end	Date of Submission at Member end	Annexure1 (Auditor End) [Auditor Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure2 (Member End) [Internal Audit Report]	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate
14	CM.FO.CD	OCT-15 To MAR-16	CONFIRMED		Jul 5, 2016 4:22:29 PM	Jul 8, 2016 5:27:49 PM	16_A1_34791.pdf	16_A2_34791.pdf	16_A2_34791.pdf		No	
15	CM.FO.CD	OCT-16 To MAR-17	APPROVED		Jul 4, 2017 4:46:24 PM	Jul 4, 2017 6:42:35 PM	17_A1_44202.pdf	17_A2_44202.pdf	17_A2_44202.pdf		No	
16	CM.FO.CD	APR-17 To SEP-17	CONFIRMED		Nov 30, 2017 4:26:28 PM	Nov 30, 2017 8:07:18 PM	17_A1_44979.pdf	17_A2_44979.pdf	17_A2_44979.pdf		No	
17	CM.FO.CD	OCT-17 To MAR-18	CONFIRMED		May 31, 2018 8:36:48 PM	Jun 1, 2018 1:46:16 PM	18_A1_50337.pdf	18_A2_50337.pdf	18_A2_50337.pdf		No	
18	CM.FO.CD	APR-18 To SEP-18	CONFIRMED		Nov 29, 2018 7:06:46 PM	Nov 29, 2018 7:52:23 PM	18_A1_52196.pdf	18_A2_52196.pdf	18_A2_52196.pdf		No	
19	CM.FO.CD	OCT-18 To MAR-19	CONFIRMED		May 31, 2019 4:31:06 PM	Jun 4, 2019 5:53:53 PM	19_A1_54661.pdf	19_A2_54661.pdf	19_A2_54661.pdf		No	
20	CM.FO.CD	APR-19 To SEP-19	SUBMIT		Dec 2, 2019 4:55:04 PM	Dec 2, 2019 6:13:33 PM	19_A1_56875.pdf	19_A2_56875.pdf	19_A2_56875.pdf		No	
21	FO,CM	APR-24 To SEP-24	SUBMIT		Sep 27, 2024 7:10:57 PM	Sep 27, 2024 7:18:26 PM	24_A1_58333.pdf	24_A2_58333.pdf	24_A2_58333.pdf	IARNSESEP24_SAMPLE_DETAILS_L524	Yes	IAR_Declaration_of_Penalty.pdf

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.

Request Ref. No.	Segment	Audit Report Period	Status	Rejection remarks(if any)	Date of Submission at Auditor end	Date of Submission at Member end	Annexure1 (Auditor End) [Auditor Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure2 (Member End) [Internal Audit Report]	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate
1	CM.FO.SL.BMC.D	OCT-08 To MAR-09	SUBMIT		Jun 24, 2009 1:00:00 AM						No	
2	CM.FO.SL.BMC.D	APR-09 To SEP-09	SUBMIT		Apr 15, 2009 12:00:00 AM						No	
3	CM.FO.SL.BMC.D	APR-09 To SEP-09	SAVE		Dec 21, 2009 3:50:15 PM						No	
4	CM.FO.SL.BMC.D	OCT-09 To MAR-10	SUBMIT		Jun 10, 2010 12:00:00 AM						No	
5	CM.FO.SL.BMC.D	OCT-09 To MAR-10	SAVE		Jun 18, 2010 3:39:54 PM						No	
6	CM.FO.SL.BMC.D	OCT-10 To MAR-11	SUBMIT		Apr 20, 2011 12:00:00 AM						No	
7	CM.FO.SL.BMC.D	APR-13 To SEP-13	APPROVED		Dec 18, 2013 11:19:22 AM						No	
8	CM.FO.SL.BMC.D	APR-10 To SEP-10	SUBMIT		Dec 10, 2010 12:00:00 AM						No	
9	CM.FO.SL.BMC.D	OCT-12 To MAR-13	SUBMIT		Apr 18, 2013 11:19:22 AM						No	

No. of Branches inspected by the member:	<input type="text" value="2"/>						
No. of APs inspected by the member:	<input type="text" value="2"/>						
No. of Bank Accounts operated by the member:	<input type="text" value="2"/>						
No. of DP Accounts operated by the member:	<input type="text" value="2"/>						
Observation Sheet submitted by Auditor:							
Annexure 1:	IARSEP_24_A1_58336.pdf						
Annexure 2:	IARSEP_24_A2_58336.pdf						
Sample Details File:	IARNSESEP24_SAMPLE_DETAILS.zip						
Report Submitted By Member:							
Annexure 2(Member End):							
Segment	SEBI registration number	Activity (Trading/Clearing/Trading and Clearing)					
GM	INZ000212107	Trading/Clearing					
FO	INZ000212107	Trading/Self-Clearing					
Sr No.	Area Of Verification	Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	Whether Auditor comments accepted	Remarks (Para wise, where auditor has reported non-compliance)
1	Client registration documentation / Anti Money Laundering compliance						
	All relevant Client Registration Documents executed with clients in compliance with SEBI circulars and supporting						

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:

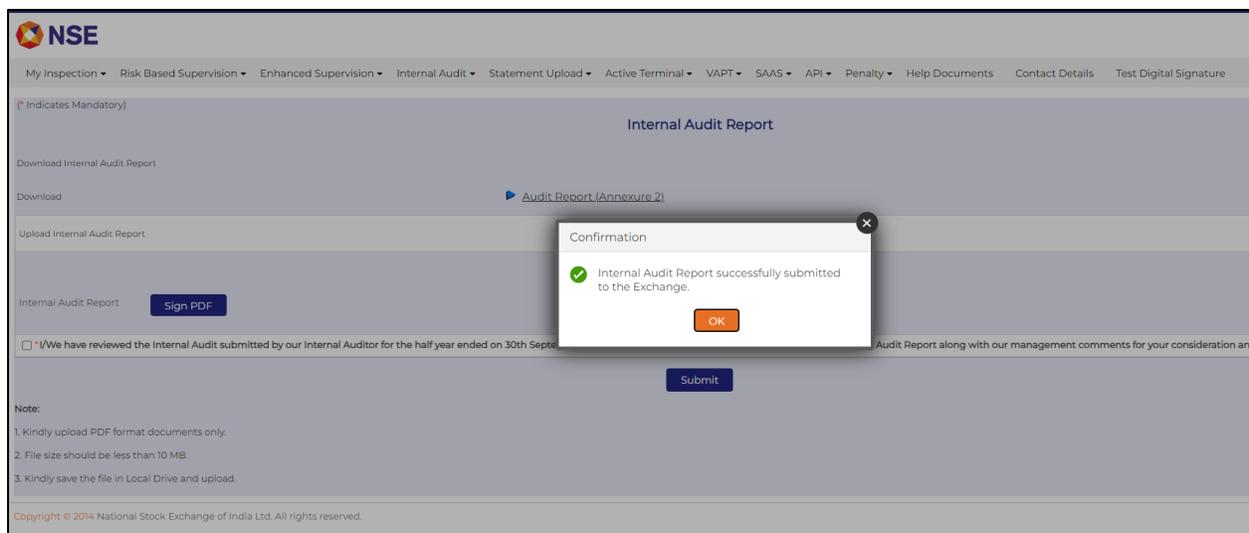
 Welcome									
My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VADT • SAAS • API • Penalty • Help Documents • Contact Details • Test Digital Signature									
Internal Audit Report									
S.No	Area Of Verification	Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	Percentage of instance	Amount of instance	Whether Auditor comments accepted	Remarks (Para wise, where auditor has reported non-compliance)
4.5	Trading member has done actual settlement of clients funds for the month/quarter as per the annual calendar for settlement (quarterly/monthly) prescribed by the Exchange.	NC	Observation Of Internu	2	2	100	100000	Y	
4.6a	Member has correctly reported to the Exchange the Securities holding balances for each of the DP account maintained by it. (Details of the difference between the actual data and the reported data should clearly be brought out)	NC	Observation Of Internu	2	1	50	100000	Y	
4.6u	Member has not funded its clients in contravention to the Exchange / SEBI requirements i.e. member has not granted further exposure to the clients when debit balances arise out of clients failure to pay the required amount and such debit balance has not continued beyond the fifth trading day, as reckoned from date of pay-in (Except in accordance with Margin Trading Guidelines)	NC	Observation Of Internu	2	1		100000	Y	
4.6h	Funds of clients having credit balance has used for margin obligation of respective client only and not for obligation of any other clients / Proprietary trading	NC	Observation Of Internu	2	1	50	100000	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.

After submission of the report, the following screen shall appear:



The screenshot displays the NSE (National Stock Exchange of India) Internal Audit Report submission interface. The page title is "Internal Audit Report". The interface includes a navigation menu at the top with options like "My Inspection", "Risk Based Supervision", "Enhanced Supervision", "Internal Audit", "Statement Upload", "Active Terminal", "VAPT", "SAAS", "API", "Penalty", "Help Documents", "Contact Details", and "Test Digital Signature". Below the navigation, there are sections for "Download Internal Audit Report" and "Upload Internal Audit Report". A "Sign PDF" button is visible. A confirmation dialog box is overlaid on the page, displaying a green checkmark and the message: "Confirmation Internal Audit Report successfully submitted to the Exchange." with an "OK" button. Below the dialog, there is a "Submit" button and a note section with instructions: "1. Kindly upload PDF format documents only.", "2. File size should be less than 10 MB.", and "3. Kindly save the file in Local Drive and upload." The footer contains the copyright notice: "Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved."

-END-