

ANNEXURE V

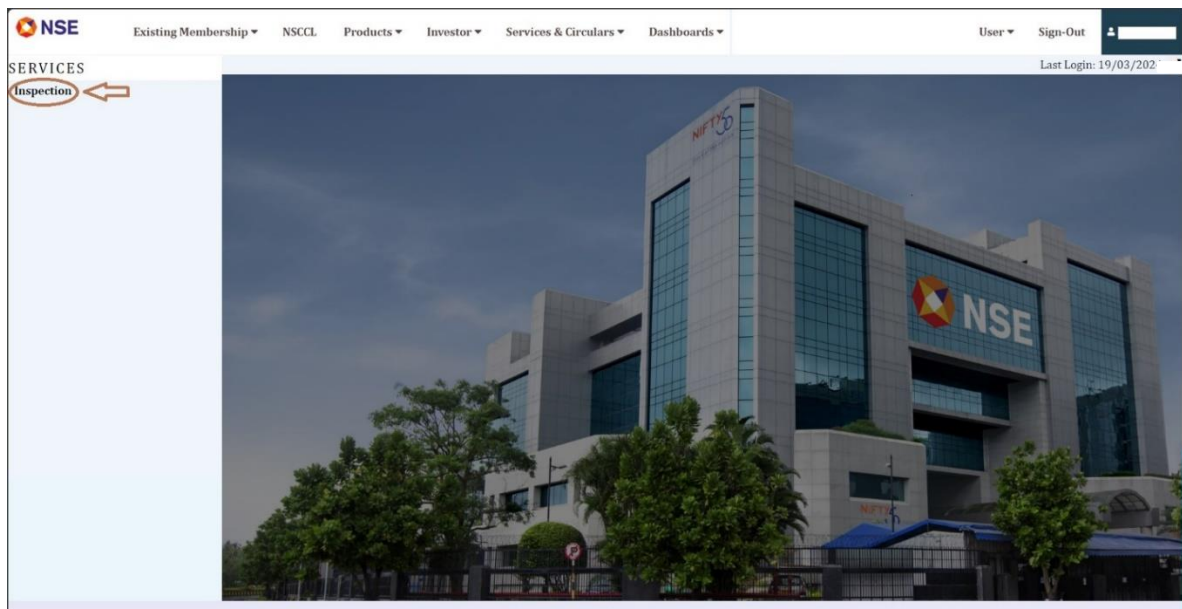
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

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

SERVICES
Inspection

NSE

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,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,CD,WD,MJRF	CA	nseit_pbh@vendo.rnse.co.in	Dec 4, 2015 12:42:08 PM		
6	OCT-15 To MAR-16	129179	N H Agrawal & Associates		CM,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,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,FQ,SLBM,CD,WD,MJRF	CA	nseit_pbh@vendo.rnse.co.in	May 21, 2018 1:05:35 PM		

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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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SERVICES
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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,FQ,CD	CA		Jun 24, 2014 9:19:52 PM			
2	APR-14 To SEP-14				CM,FQ,CD	CA		Dec 23, 2014 4:53:10 PM			
3	OCT-14 To MAR-15				CM,FQ,CD	CA		Jun 25, 2015 5:02:19 PM			
4	APR-15 To SEP-15				CM,FQ,CD	CA		Dec 17, 2015 1:39:27 PM			
5	OCT-15 To MAR-16				CM,FQ,CD	CA		Jun 30, 2016 11:26:14 AM			
6	APR-16 To SEP-16				CM,FQ,CD	CA		Dec 29, 2016 3:12:17 PM			
7	OCT-16 To MAR-17				CM,FQ,CD	CA		Jun 27, 2017 5:07:43 PM			

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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.

The screenshot shows the 'Add Internal Auditor' form on the NSE website. The form is titled 'Add Internal Auditor' and includes a note: '(*) Indicates Mandatory'. The form fields are as follows:

- Member Name
- Member Code
- Auditor Period: APR-24 To SEP-24
- Auditor Firm Registration No.: Select
- Auditor Firm Name: Select
- Auditor Membership No.: Select
- Auditor Email ID*
- PAN of the Auditor*
- Pan of the Audit Firm*
- Auditor name (Signing partner?)
- Issuance date of certificate of practice*: DD-MM-YYYY
- Expiry date of certificate of practice*: DD-MM-YYYY (Kindly provide details only if applicable)
- Certificate of Practice number*
- Date of term end*: DD-MM-YYYY
- Date of Appointment of an Auditor*: DD-MM-YYYY
- Auditor ID*
- Auditor Password*
- Auditor Qualification*: CA, CS, CMA, CM, FG, SLB, CB, WDM, DBPP, BP, AFS, SEBT, CD
- Internal Audit Report for Segment: CA/FG/SLB/CB/WDM/DBPP/CD

A note at the bottom states: 'I undertake to appoint the said auditor to conduct Internal Audit for the half year ended September, 2024 as per the requirement of SEBI and Exchange'.

All fields are Mandatory except 'Expiry Date of COP'.

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-24 To SEP-24 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/>

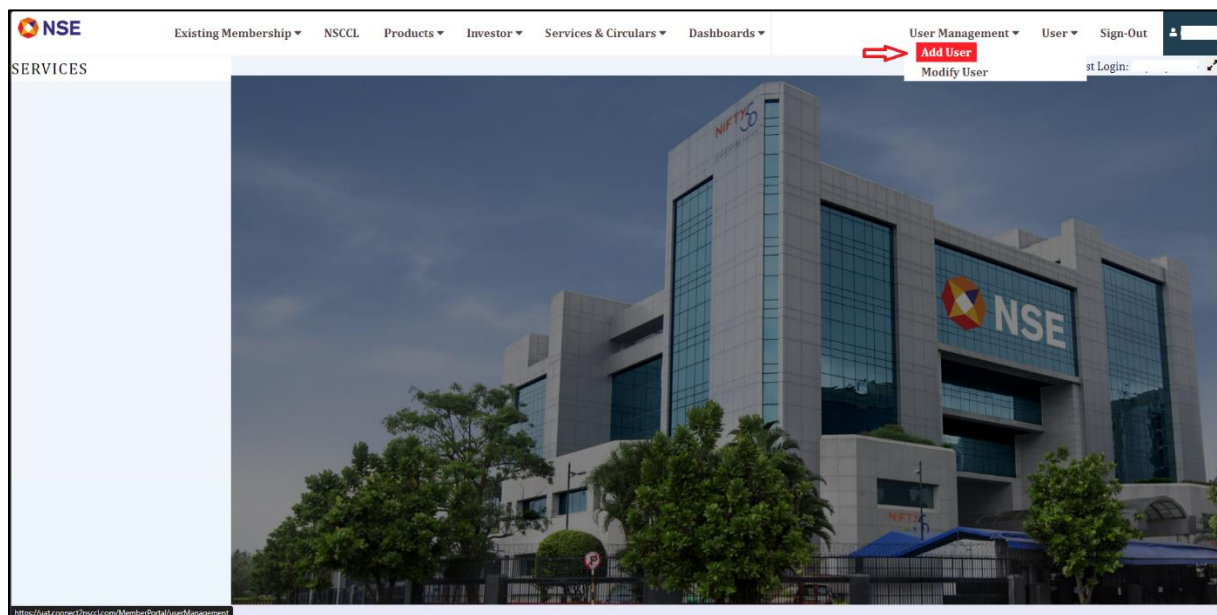
On clicking the above link for the first time, you will be prompted to change the password, Kindly change the password immediately.

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

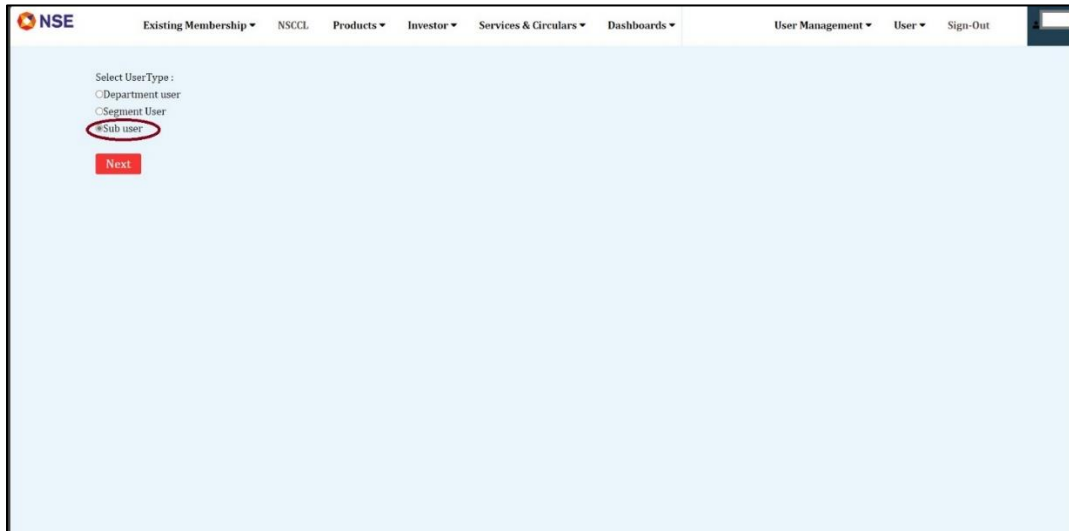
In case of any clarification, please contact the Member.

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.



NSE

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User Management ▾ User ▾ Sign-Out

Select UserType :

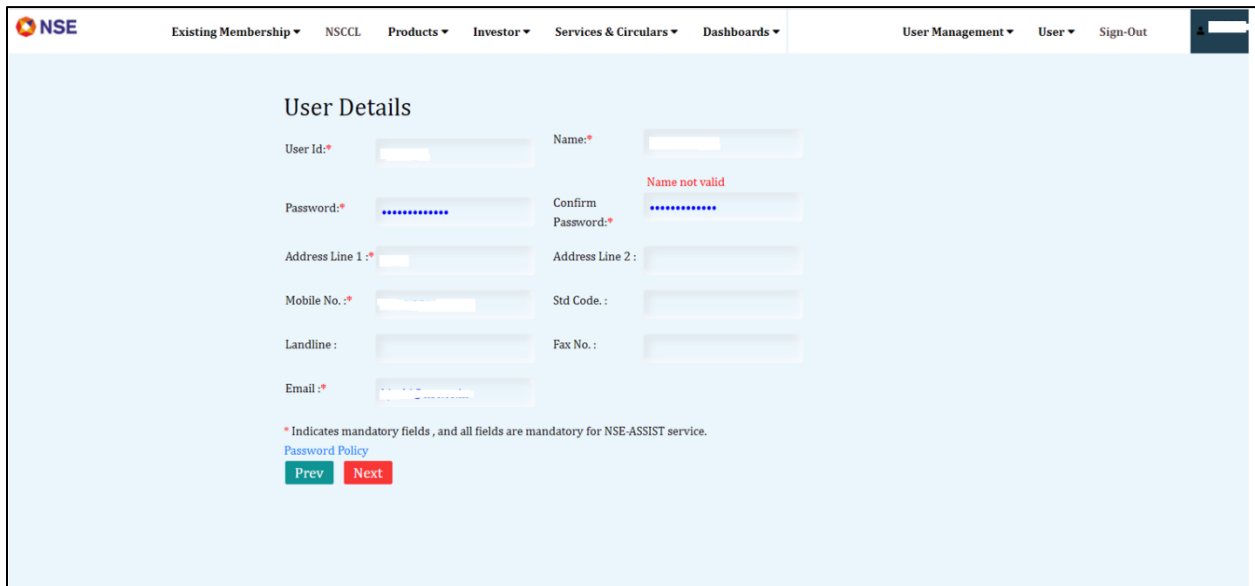
☐ Department user

☐ 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.



NSE

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

User Management ▾ User ▾ Sign-Out

User Details

User Id:*

Name:*

Confirm Password:*

Address Line 1 :*

Address Line 2 :

Mobile No. :*

Std Code. :

Landline :

Fax No. :

Email :*

Name not valid

* Indicates mandatory fields , and all fields are mandatory for NSE-ASSIST service.

[Password Policy](#)

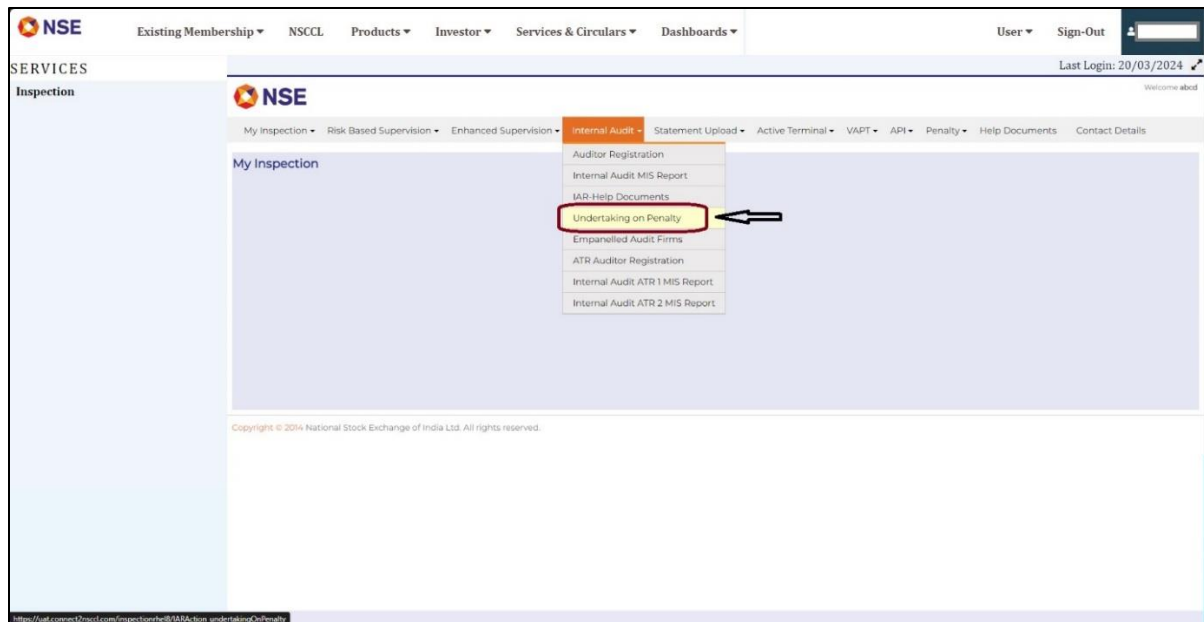
Prev Next

Give role to Auditor. Tick on

- INSPECTION- INTERNAL AUDIT and submit.

ENIT-INV-ASSETS-AUDITOR	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-ITCM	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-NEW-Service-Request	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-NEW-TRADE	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-NEW-TRADE-MCX	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Service Request	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-System 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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Trade	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENITHalfYearly	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT_Portal_Old	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-circulars	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-common	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-common-old	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_dnld	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_dnld_old	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_upld	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET_upld_old	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
ExtranetAPI-Registration	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extranet_New_Service	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
INSPECTION-CLEARING	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
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"/>	<input type="checkbox"/>	<input type="checkbox"/>
INSPECTION-INTERNAL AUDIT QC	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspectn_Bnchmrkng_Api	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Oracle	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Oracle_IA	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_QC	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Rhel8	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Rhel8_IA	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Structs	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection_Structs_IA	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>

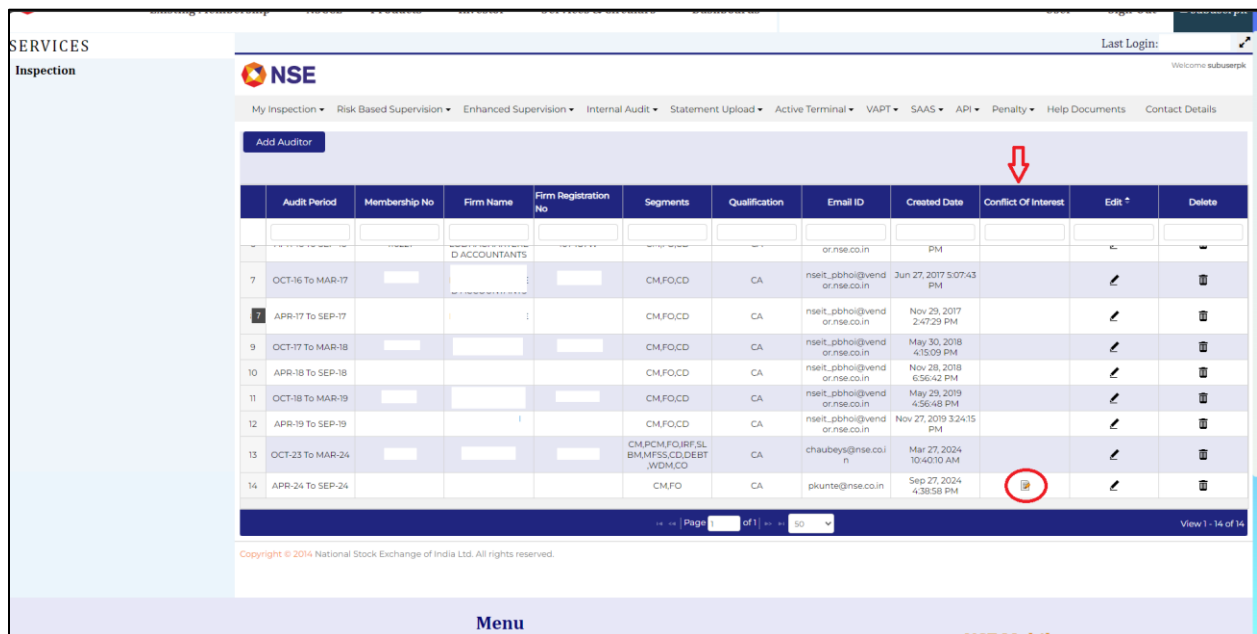
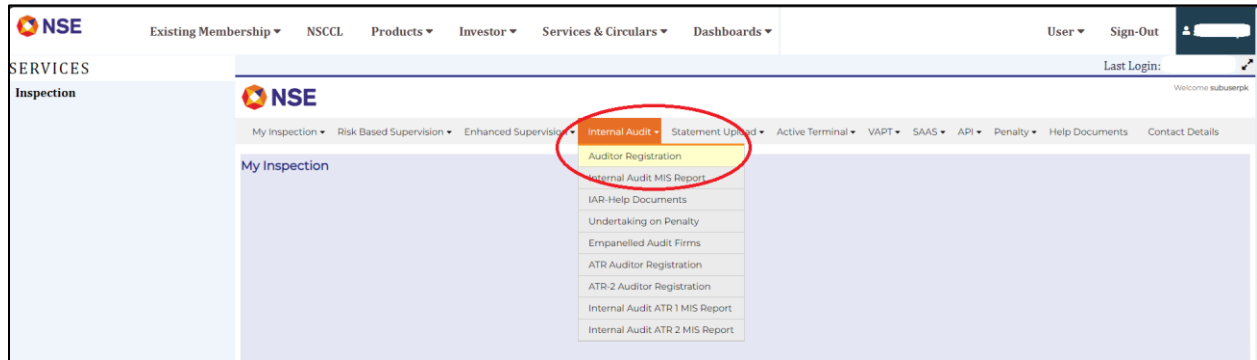
Before submission of Internal Audit Report by the Auditor, Members need to submit the Undertaking on 'Penalty for Short collection / non-collection of client margins' in accordance with Exchange circular NSE/INSP/52711 dated June 23, 2022. As prescribed in the circular, Designated Director of the trading 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 website. The form includes fields for TM Code, TM Name, Date (20-Mar-2024), and Place. There is a 'Name of Designated Director' field. Below these fields, there is a 'Download Certificate for Declaration of Penalty' button and a 'Download Undertaking' button. A red arrow points from the 'Download Undertaking' button to the 'Declaration of Penalty' button. Below the 'Declaration of Penalty' button, there is a 'Sign PDF' button and a 'Downloaded File to be uploaded by affixing Digital Signature' button. A red arrow points from the 'Downloaded File to be uploaded by affixing Digital Signature' button to the 'Sign PDF' button. At the bottom, there is a 'Submit' button. 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 copyright notice at the bottom is 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'

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:

SERVICES

Inspection

Last Login:

Welcome subuserpk

My Inspection

Risk Based Supervision

Enhanced Supervision

Internal Audit

Statement Upload

Active Terminal

VAPT

SAAS

API

Penalty

Help Documents

Contact Details

(* Indicates Mandatory)

Conflict Of Interest

Member Name

Member Code

Auditor Period

Auditor Firm Name

Auditor Firm Registration No

Auditor Email ID

Auditor name

Auditor Membership No

Conflict Of Interest*

Yes

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:

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

Select

Auditor's Req Ref No.

Status

Select

Search

Reset

Request Ref. No.	Segment	Audit Report Period	Status	Rejection remarks(if any)	Date of Submission at Auditor and	Date of Submission at Member and	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	[AUDIT_R EPORT/5479]	CM,FQ,CD	OCT-15 To MAR-16	CONFIRMED	Jul 5, 2016 4:22:29 PM	Jul 8, 2016 5:27:49 PM	[ArMAR_16_A1_3479].pdf	[ArA2_5479].pdf	[ArA2_3479].pdf		No	
15	[AUDIT_R EPORT/54202]	CM,FQ,CD	OCT-16 To MAR-17	APPROVED	Jul 4, 2017 4:46:24 PM	Jul 4, 2017 6:42:35 PM	[ArMAR_17_A1_44202].pdf	[ArMAR_17_A2_44202].pdf	[ArMAR_17_A2_44202].pdf		No	
16	[AUDIT_R EPORT/46979]	CM,FQ,CD	APR-17 To SEP-17	CONFIRMED	Nov 30, 2017 4:26:28 PM	Nov 30, 2017 8:07:18 PM	[ArSEP_17_A1_46979].pdf	[ArSEP_17_A2_46979].pdf	[ArSEP_17_A2_46979].pdf		No	
17	[AUDIT_R EPORT/50337]	CM,FQ,CD	OCT-17 To MAR-18	CONFIRMED	May 31, 2018 8:36:48 PM	Jun 1, 2018 1:44:16 PM	[ArMAR_18_A1_50337].pdf	[ArMAR_18_A2_50337].pdf	[ArMAR_18_A2_50337].pdf		No	
18	[AUDIT_R EPORT/52196]	CM,FQ,CD	APR-18 To SEP-18	CONFIRMED	Nov 29, 2018 7:06:46 PM	Nov 29, 2018 7:52:23 PM	[ArSEP_18_A1_52196].pdf	[ArSEP_18_A2_52196].pdf	[ArSEP_18_A2_52196].pdf		No	
19	[AUDIT_R EPORT/54661]	CM,FQ,CD	OCT-18 To MAR-19	CONFIRMED	May 31, 2019 4:31:06 PM	Jun 4, 2019 5:53:53 PM	[ArMAR_19_A1_54661].pdf	[ArMAR_19_A2_54661].pdf	[ArMAR_19_A2_54661].pdf		No	
20	[AUDIT_R EPORT/56825]	CM,FQ,CD	APR-19 To SEP-19	SUBMIT	Dec 2, 2019 4:55:04 PM	Dec 2, 2019 6:13:33 PM	[ArSEP_19_A1_56825].pdf	[ArSEP_19_A2_56825].pdf	[ArSEP_19_A2_56825].pdf		No	
21	[AUDIT_R EPORT/58333]	FO,CM	APR-24 To SEP-24	SUBMIT	Sep 27, 2024 7:10:57 PM	Sep 27, 2024 7:18:26 PM	[ArSEP_24_A1_58333].pdf	[ArSEP_24_A2_58333].pdf	[ArSEP_24_A2_58333].pdf	[ArNSESEP24_SAMPLE_DETAIL_58333]	Yes	[Ar_Disclosure of Pen Adv.pdf]

Menu

NSE M L L L

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.

SERVICES

Inspection

NSE

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	Annexure1 (Auditor End) [Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure3 (Member End) [Internal Audit Report]	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate
14	AUDIT_B EPORT54791	CMFOCD OCT-15 To MAR-16	CONFIRMED		Jul 5, 2016 4:22:29 PM	Jul 6, 2016 5:27:49 PM	16_A1_34791.pdf	16_A2_34791.pdf	16_A3_34791.pdf		No	
15	AUDIT_B EPORT54302	CMFOCD OCT-16 To MAR-17	APPROVED		Jul 4, 2017 4:46:24 PM	Jul 4, 2017 6:42:35 PM	17_A1_44302.pdf	17_A2_44302.pdf	17_A3_44302.pdf		No	
16	AUDIT_R EPORT46979	CMFOCD APR-17 To SEP-17	CONFIRMED		Nov 30, 2017 4:26:20 PM	Nov 30, 2017 8:07:18 PM	17_A1_46979.pdf	17_A2_46979.pdf	17_A3_46979.pdf		No	
17	AUDIT_B EPORT50337	CMFOCD 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_A3_50337.pdf		No	
18	AUDIT_B EPORT52126	CMFOCD APR-18 To SEP-18	CONFIRMED		Nov 29, 2018 7:06:46 PM	Nov 29, 2018 7:52:23 PM	18_A1_52126.pdf	18_A2_52126.pdf	18_A3_52126.pdf		No	
19	AUDIT_B EPORT54661	CMFOCD 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_A3_54661.pdf		No	
20	AUDIT_B EPORT56825	CMFOCD 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_A3_56825.pdf		No	
21	AUDIT_B EPORT58333	FOCM 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_A3_58333.pdf	IARNSEP24_SAMPLE_DETAILS.pdf	Yes	IAR Declaration of Penalty.pdf

Menu

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

SERVICES

Inspection


NSE

My Inspection • Risk Based Supervision • Enhanced Supervision • Internal Audit • Statement Upload • Active Terminal • VAPT • 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	Annexure1 (Auditor End) [Certificate]	Annexure2 (Auditor End) [Internal Audit Report]	Annexure3 (Member End) [Internal Audit Report]	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate
1	EPORT269	CMFOCD MAR-09	SUBMIT		Jun 24, 2009 12:00:00 AM						No	
2	EPORT332	CMFOCD APR-09 To SEP-09	SUBMIT		Feb 15, 2009 12:00:00 AM						No	
3	EPORT131	CMFOCD APR-09 To SEP-09	SAVE		Dec 24, 2009 3:50:15 PM						No	
4	EPORT269A	CMFOCD MAR-10	SUBMIT		Jun 10, 2010 12:00:00 AM						No	
5	EPORT269B	CMFOCD MAR-10	SAVE		Jun 18, 2010 3:59:54 PM						No	
6	EPORT269C	CMFOCD MAR-10	SUBMIT		Jun 20, 2010 12:00:00 AM						No	
7	EPORT269D	CMFOCD APR-10 To SEP-10	APPROVED		Dec 5, 2010 11:52:22 AM						No	
8	EPORT2507	CMFOCD APR-10 To SEP-10	SUBMIT		Dec 10, 2010 12:00:00 AM						No	
9	EPORT2508	CMFOCD APR-10 To SEP-10	SUBMIT		Sep 15, 2010						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:	 IARNSESEP24.xlsx
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)
CM	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)
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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 • VAPT • SAAS • API • Penalty • Help Documents • Contact Details • Test Digital Signature

Internal Audit Report		Observation Of Internal Auditor						Management Comments	
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.s	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 Interns	2	2	100	100000	Y	
4.ai	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 Interns	2	1	50	100000	Y	
4.aj	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 Interns	2	1		100000	Y	
4.bh	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 Interns	2	1	50	100000	Y	

4
5

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. A modal window titled "Confirmation" is centered on the screen, indicating that the "Internal Audit Report successfully submitted to the Exchange." with an "OK" button. The background interface includes a navigation bar with links such as "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". The main content area is titled "Internal Audit Report" and contains sections for "Download Internal Audit Report" (with a "Download" button and a link to "Audit Report (Annexure 2)"), "Upload Internal Audit Report", and a "Sign PDF" button. At the bottom, 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 of the page states "Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved."

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