

## ANNEXURE V

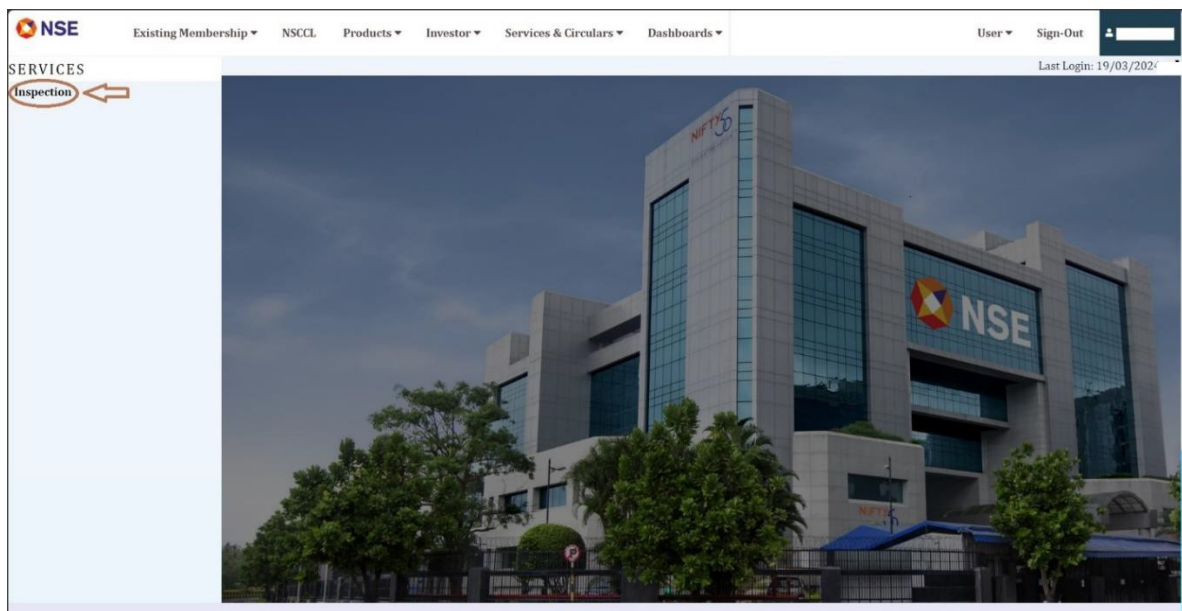
### MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

**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 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.FO.SLBM.CD.WD.M    | CA            | nseit_pphoi@vendo.rnse.co.in | Jun 19, 2014 12:16:03 PM |      |        |
| 2  | OCT-13 To MAR-14 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.M    | CA            | nseit_pphoi@vendo.rnse.co.in | Jun 19, 2014 2:05:18 PM  |      |        |
| 3  | APR-14 To SEP-14 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.M    | CA            | nseit_pphoi@vendo.rnse.co.in | Dec 16, 2014 1:57:48 PM  |      |        |
| 4  | OCT-14 To MAR-15 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Jun 8, 2015 10:59:51 AM  |      |        |
| 5  | APR-15 To SEP-15 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Dec 4, 2015 2:12:08 PM   |      |        |
| 6  | OCT-15 To MAR-16 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Jun 22, 2016 12:35:36 PM |      |        |
| 7  | APR-16 To SEP-16 | 129179        | N H Agrawal & Associates |                      | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Nov 9, 2016 12:40:04 PM  |      |        |
| 8  | OCT-16 To MAR-17 | 129179        | N H AGRAWAL & ASSOCIATES | 327511E              | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Jun 27, 2017 1:27:45 PM  |      |        |
| 9  | APR-17 To SEP-17 | 129179        | N H AGRAWAL & ASSOCIATES | 327511E              | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@vendo.rnse.co.in | Nov 9, 2017 2:46:41 PM   |      |        |
| 10 | OCT-17 To MAR-18 | 129179        | N H AGRAWAL & ASSOCIATES | 327511E              | CM.FO.SLBM.CD.WD.MJRF | CA            | nseit_pphoi@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: 5- 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.

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

My Inspection Risk Based Supervision Enhanced Supervision **Internal Audit** Statement Upload Active Terminal VAPT SAAS API Penalty

My Inspection

**Auditor Registration**

| Sr. No. | Case Id    | Year    | Inspection Type | Segment | Reminder |
|---------|------------|---------|-----------------|---------|----------|
| 2       | 2025-30637 | 2024-25 | LPI             | TM      | NA       |
| 3       | 2025-30633 | 2023-24 | OFFSITE         | TM      | NA       |
| 1       | 2025-30632 | 2024-25 | REG             | CM      | NA       |

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Click on Add Auditor to register a new Internal Auditor.

Existing Membership

NSCCL

Products

Investor

Services & Circulars

Dashboards

User

Sign-Out

Last Login: 25/03/2025

SERVICES

Inspection

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 3:09:32 PM |                      |      |        |
| 2 | APR-14 To SEP-14 |               |           |                      | CM.FOCD  | CA            |          | Dec 23, 2014 4:13:10 PM |                      |      |        |
| 3 | OCT-14 To MAR-15 |               |           |                      | CM.FOCD  | CA            |          | Jun 25, 2015 5:02:01 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 9:26:14 AM |                      |      |        |
| 6 | APR-16 To SEP-16 |               |           |                      | CM.FOCD  | CA            |          | Dec 29, 2016 3:12:07 PM |                      |      |        |
| 7 | OCT-16 To MAR-17 |               |           |                      | CM.FOCD  | CA            |          | Jun 27, 2017 5:07:43 PM |                      |      |        |

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View 1 - 14 of 14

Existing Membership

Products

Investor

Services & Circulars

Dashboards

User

Sign-Out

Last Login: 25/03/2025

SERVICES

Inspection

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 Internal Auditor

Member Name

Member Code

PN of the Member

Auditor Period

Auditor Firm Registration No

Auditor Firm Name

Auditor Membership No

Auditor Email ID

PN of the Auditor

PN of the Audit Firm

Auditor name (Signing partner)

Issuance date of certificate of practice

Expiry date of certificate of practice

Certificate of Practice number

Date of term end

Date of Appointment of an Auditor

Auditor ID

Auditor Password

Auditor Qualification

Internal Audit Report For Segment

LOHA SECURITIES LTD.

0778

OCT-14 To MAR-15

Select

Select

DD-MM-YYYY

DD-MM-YYYY

DD-MM-YYYY

DD-MM-YYYY

CA

FO

SLBA

CD

WOM

OBPP

RF

AFSS

DEBT

CD

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.

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: 6- 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 OCT-24 To MAR-25 has been successfully created.*

*Please find the details as under:*

*UserId: User ID*

*Password: Password*

*TM Name: Trading member nameTM*

*Code: Trading Member Code*

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

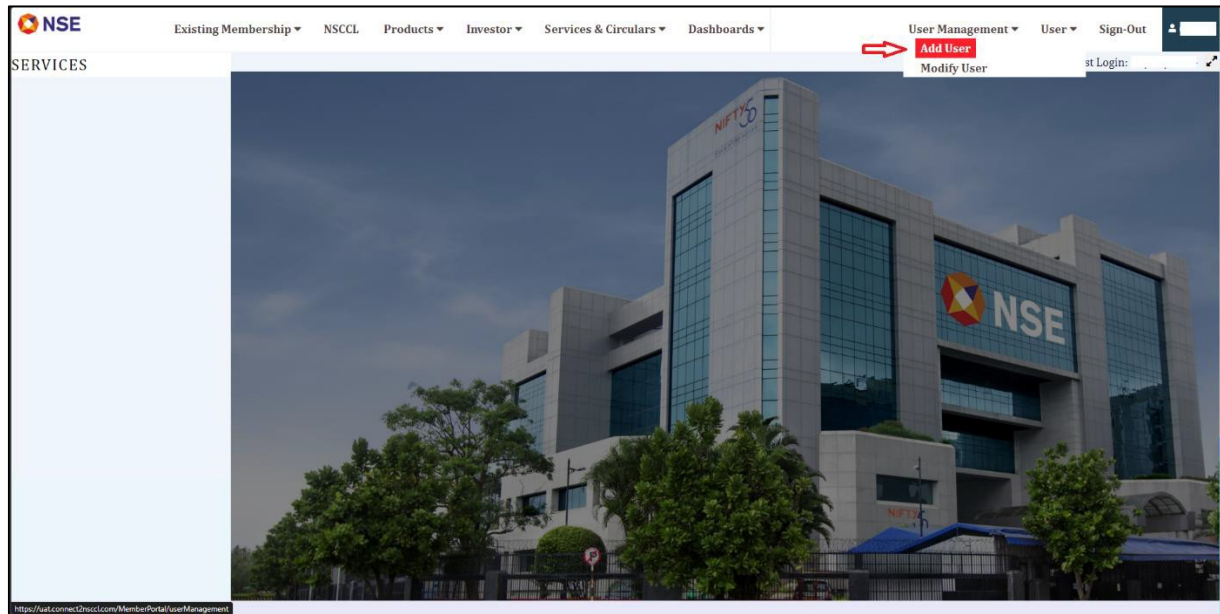
On clicking the above link for the first time, you will be prompted to change the password, kindly change the password immediately.

You are requested to initiate Internal Audit for the OCT-24 to MAR-25 for CM, FO, CD segment/s and submit Annexure 1 & 2 and Annexure 3 (for QSB members).

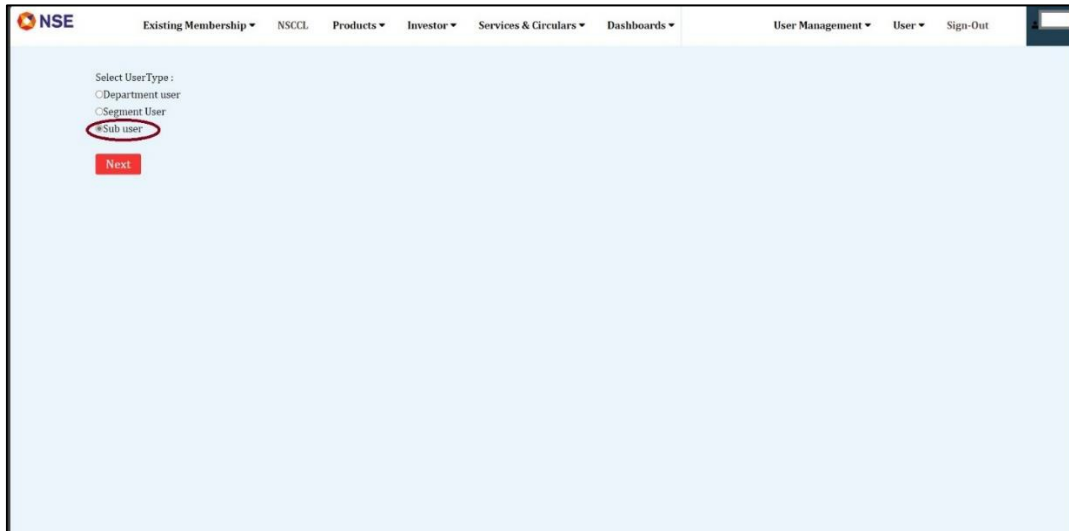
In case of any clarification, please contact the Member.

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

1<sup>st</sup> 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 ▾ NSCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User Management ▾ User ▾ Sign-Out

Select UserType :

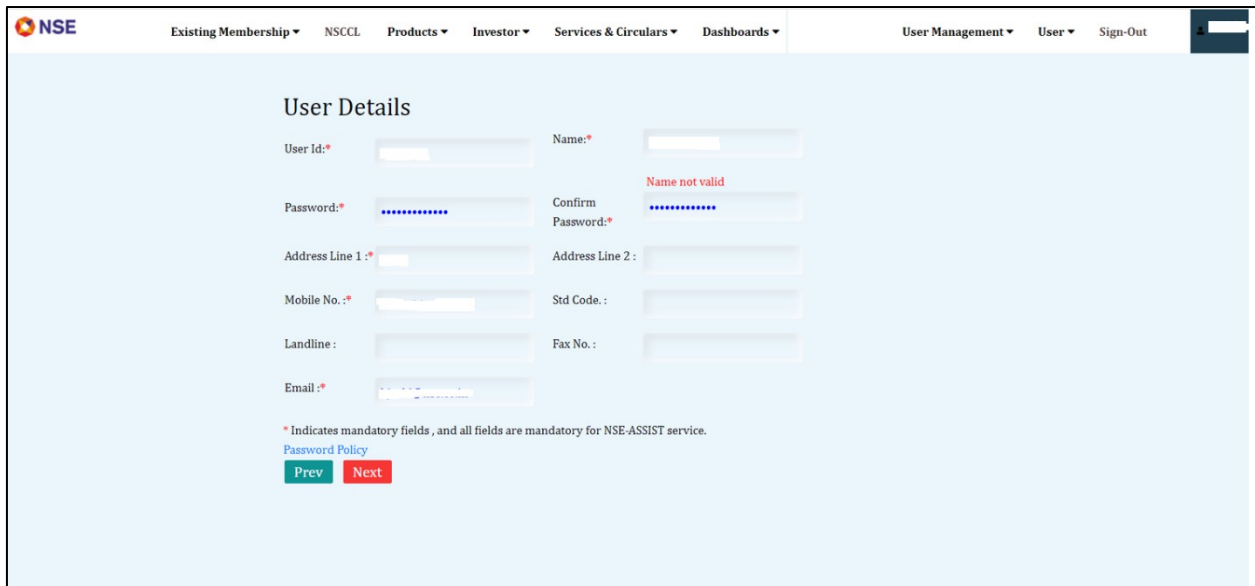
☐ Department user

☐ 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.



NSE

Existing Membership ▾ NSCL 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 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.




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

User ▾ Sign-Out 

Last Login: 20/03/2024 

SERVICES

Inspection



Welcome subuser

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

(\* Indicates Mandatory)

Declaration of Penalty

TM Code\*

TM Name\*

Name of Designated Director\*

Date\*

Place\*

Download Certificate for Declaration of Penalty

Declaration of Penalty

Download Undertaking

Upload Certificate for Declaration of Penalty

Certificate for Declaration of Penalty

Sign PDF

Downloaded File to be uploaded by affixing Digital Signature

Submit

Note:

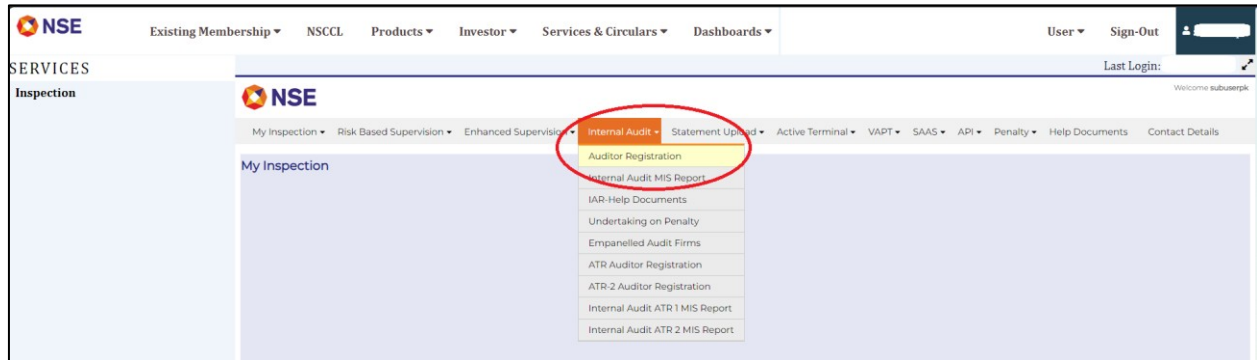
1. Kindly upload PDF format documents only.

2. File size should be less than 10 MB.

3. Kindly save the file in Local Drive and upload.

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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.



NSE Existing Membership Products Investor Services & Circulars Dashboards User Sign-Out subusermarch25 Last Login: 02/04/2025

My Inspection Risk Based Supervision QSB Submission Enhanced Supervision Internal Audit Statement Upload Active Terminal VAPT SAAS API Penalty Help Documents

Add Auditor

|    | Audit Period     | Membership No | Firm Name               | Firm Registration No | Segments               | Qualification | Email ID                       | Created Date             | Conflict Of Interest | Edit | Delete |
|----|------------------|---------------|-------------------------|----------------------|------------------------|---------------|--------------------------------|--------------------------|----------------------|------|--------|
| 7  | OCT-16 To MAR-17 | 012453        | B. Kaushik & Associates | 12453                | CM,FO,CD,SLBM          | CS            | nseit_pbholi@vend or.nse.co.in | May 15, 2017 3:55:03 PM  |                      |      |        |
| 8  | APR-17 To SEP-17 | A33558        | B KAUSHIK & ASSOCIATES  | 12453                | CM,FO,SLBM,CD          | CS            | nseit_pbholi@vend or.nse.co.in | Nov 23, 2017 1:00:19 PM  |                      |      |        |
| 9  | OCT-17 To MAR-18 | A33558        | B. Kaushik & Associates | 12453                | CD,FO,CM,SLBM          | CS            | nseit_pbholi@vend or.nse.co.in | May 17, 2018 10:27:32 AM |                      |      |        |
| 10 | APR-18 To SEP-18 | 0F9884        | B. Kaushik & Associates | 12453                | CM,FO,SLBM,CD,D EBT    | CS            | nseit_pbholi@vend or.nse.co.in | Nov 19, 2018 9:58:00 AM  |                      |      |        |
| 11 | OCT-18 To MAR-19 | 0F9884        | B Kaushik & Associates  | 12453                | CM,FO,SLBM,CD,D EBT,CO | CS            | nseit_pbholi@vend or.nse.co.in | May 23, 2019 12:13:37 PM |                      |      |        |
| 12 | APR-19 To SEP-19 | A36751        | Neha Arora & Associates | 15531                | CM,FO,CD,CO,SLB M,DEBT | CS            | nseit_pbholi@vend or.nse.co.in | Nov 22, 2019 2:42:14 PM  |                      |      |        |
| 13 | APR-23 To SEP-23 | 123456        | XYZ                     | 123456               | CM                     | CS            | chaubey@nse.co.i n             | Oct 2, 2023 7:43:28 PM   |                      |      |        |
| 14 | OCT-23 To MAR-24 | 987654        | bhbjhjh                 | 213455W              | IRF,SLBM,CD            | CA            | chaubey@nse.co.i n             | Mar 18, 2024 2:37:03 PM  |                      |      |        |
| 15 | APR-24 To SEP-24 | 123456        | PPK                     | 123456A              | FO,CM,CD               | CA            | nseit_mghanekar @nse.co.in     | Jan 7, 2025 2:31:36 PM   |                      |      |        |
| 16 | OCT-24 To MAR-25 | 123456        | ABC & Co                | 785923D              | CM,FO,CD,CO            | CA            | nseit_mghanekar @nse.co.in     | Mar 12, 2025 3:05:25 PM  |                      |      |        |

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

Inspection

Welcome XYZ

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

(\* Indicates Mandatory)

### Conflict Of Interest

|                              |   |
|------------------------------|---|
| Member Name                  |   |
| Member Code                  |   |
| Auditor Period               | OCT-24 To MAR-25  |
| Auditor Firm Name            |   |
| Auditor Firm Registration No | 9999999   |
| Auditor Email ID             |   |
| Auditor name                 |   |
| Auditor Membership No        | 222222  |
| Conflict Of Interest*        | <input checked="" type="radio"/> Yes <input type="radio"/> No |

Submit to Exchange

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Menu

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.

Existing Membership • Products • Investor • Services & Circulars • Dashboards •

User • Sign-Out • subusermar25

SERVICES

Inspection

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 end | Date of Submission at Member end | Annexure 1 (Auditor End) [Auditor Certificate] | Annexure 2 (Auditor End) [Internal Audit Report] | Annexure 3 (Auditor End) [QSB Audit Report] | Annexure 2 (Member End) [Internal Audit Report] | Annexure 3 (Member End) [QSB Audit Report] | Sample Details File | Declaration of Penalty |
|------------------|----------------------|---------------------|-----------|---------------------------|-----------------------------------|----------------------------------|--|--|---|---|--|---------------------|------------------------|
| 22               | CM.FO.SLBM, CD       | OCT-17 To MAR-18    | CONFIRMED |                           | May 22, 2018 12:57:27 PM          | May 22, 2018 11:32 PM            | 18_A1_480295.pdf                               | 18_A2_480295.pdf                                 |   | 18_A2_480295.pdf                                |  |                     | No                     |
| 23               | CM.FO.SLBM, CD       | APR-18 To SEP-18    | CONFIRMED |                           | Nov 27, 2018 5:15:41 PM           | Nov 27, 2018 5:28:55 PM          | 18_A1_51412.pdf                                | 18_A2_51412.pdf                                  |   | 18_A2_51412.pdf                                 |  |                     | No                     |
| 24               | CM.FO.SLBM, CODEBTGO | APR-19 To SEP-19    | SUBMIT    |                           | Nov 27, 2019 6:02:21 PM           | Nov 28, 2019 11:32:39 AM         | 19_A1_55782.pdf                                | 19_A2_55782.pdf                                  |   | 19_A2_55782.pdf                                 |  |                     | No                     |
| 25               | FOCM,                | APR-24 To SEP-24    | CONFIRMED |                           | Jan 7, 2025 3:35:51 PM            | Jan 7, 2025 3:44:07 PM           | 25_A1_58569.pdf                                | 25_A2_58569.pdf                                  |   | 25_A2_58569.pdf                                 |  | 18_A2_51412.pdf     | No                     |
| 26               | CD.SLBM,             | OCT-23 To MAR-24    | SUBMIT    |                           | Mar 19, 2024 12:50:15 PM          | Mar 19, 2024 2:14:02 PM          | 24_A1_58182.pdf                                | 24_A2_58182.pdf                                  |   | 24_A2_58182.pdf                                 |  | 18_A2_51412.pdf     | No                     |
| 27               | FO,                  | OCT-24 To MAR-25    | SUBMIT    |                           | Mar 28, 2025 7:37:52 PM           | Mar 28, 2025 10:06:34 PM         | 25_A1_58569.pdf                                | 25_A2_58569.pdf                                  |   | 25_A2_58569.pdf                                 |  | 25_A2_58569.pdf     | Yes                    |

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: 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 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,FQ,CD | OCT-15 To MAR-16    | CONFIRMED |                           | Jul 5, 2016 4:22:29 PM            | Jul 8, 2016 5:27:49 PM           | larMAR_16_A1_54791.pdf                        | larMAR_16_A2_54791.pdf                          | larMAR_16_A2_54791.pdf                         |                               | No                     |                                       |
| 15               | CM,FQ,CD | OCT-16 To MAR-17    | APPROVED  |                           | Jul 4, 2017 4:46:24 PM            | Jul 4, 2017 6:42:35 PM           | larMAR_17_A1_44202.pdf                        | larMAR_17_A2_44202.pdf                          | larMAR_17_A2_44202.pdf                         |                               | No                     |                                       |
| 16               | CM,FQ,CD | APR-17 To SEP-17    | CONFIRMED |                           | Nov 30, 2017 4:26:28 PM           | Nov 30, 2017 8:07:18 PM          | larSEP_17_A1_46979.pdf                        | larSEP_17_A2_46979.pdf                          | larSEP_17_A2_46979.pdf                         |                               | No                     |                                       |
| 17               | CM,FQ,CD | OCT-17 To MAR-18    | CONFIRMED |                           | May 31, 2018 8:36:48 PM           | Jun 1, 2018 1:44:16 PM           | larMAR_18_A1_50337.pdf                        | larMAR_18_A2_50337.pdf                          | larMAR_18_A2_50337.pdf                         |                               | No                     |                                       |
| 18               | CM,FQ,CD | APR-18 To SEP-18    | CONFIRMED |                           | Nov 29, 2018 7:06:46 PM           | Nov 29, 2018 7:52:23 PM          | larSEP_18_A1_52385.pdf                        | larSEP_18_A2_52385.pdf                          | larSEP_18_A2_52385.pdf                         |                               | No                     |                                       |
| 19               | CM,FQ,CD | OCT-18 To MAR-19    | CONFIRMED |                           | May 31, 2019 4:31:06 PM           | Jun 4, 2019 5:53:53 PM           | larMAR_19_A1_54641.pdf                        | larMAR_19_A2_54641.pdf                          | larMAR_19_A2_54641.pdf                         |                               | No                     |                                       |
| 20               | CM,FQ,CD | APR-19 To SEP-19    | SUBMIT    |                           | Dec 2, 2019 4:55:04 PM            | Dec 2, 2019 6:13:33 PM           | larSEP_19_A1_56825.pdf                        | larSEP_19_A2_56825.pdf                          | larSEP_19_A2_56825.pdf                         |                               | No                     |                                       |
| 21               | FQ,CM    | APR-24 To SEP-24    | SUBMIT    |                           | Sep 27, 2024 7:10:57 PM           | Sep 27, 2024 7:18:26 PM          | larSEP_24_A1_58333.pdf                        | larSEP_24_A2_58333.pdf                          | larSEP_24_A2_58333.pdf                         | JARNSEMD24_SAMPLE_DETAILS.zip | Yes                    | lar Doc JARNSEMD24_SAMPLE_DETAILS.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 Products Investor Services & Circulars Dashboards

User Sign-Out subuser

SERVICES

Inspection

No. of bank Accounts operated by the member: 04

No. of DP Accounts operated by the member: 05

Observation Sheet submitted by Auditor: JARNSEMAR25.xlsx

QSB Observation Sheet submitted by Auditor: JAROSRBNSEMAR25.xlsx

Annexure 1: larMAR\_25\_A1\_58568.pdf

Annexure 2: larMAR\_25\_A2\_58568.pdf

Annexure 3: larMAR\_25\_A3\_58568.pdf

Sample Details File: JARNSEMAR25\_SAMPLE\_DETAILS.zip

Report Submitted By Member:

Annexure 2(Member End):

QSB Report Submitted By Member:

Annexure 3(Member End):

| Segment    | SEBI registration number | Activity (Trading/Clearing/Trading and Clearing) |
|------------|--------------------------|--|
| CM/Trading | undefined                | Trading/Clearing-CM/Trading                      |

If Auditor submits QSB checklist (wherever applicable) in Auditor login, Management has to provide comments for the same and submit the report.

The Member shall download the observation sheet in excel as well as QSB observation sheet (if applicable) (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.

**NSE** Existing Membership ▾ Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User ▾ Sign-Out subuser Last Login: 28/03/2025

**SERVICES**  
**Inspection**

| S.No | 2025-30637 | LPI | Trading | AL Approve d & Dispatch ed  | 01- Apr- 2024 | The funds used for margin trading is not obtained from approved sources only                            | C  | clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated.                         |
|------|------------|-----|---------|---|---------------|---|----|---|
| 2    | 2025-30637 | LPI | Trading | AL Approve d & Dispatch ed <td>01- Apr- 2024</td> <td>Inspection of branches/Registered Authorised persons (APs) not undertaken</td> <td>NC</td> <td>Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated.</td>                               | 01- Apr- 2024 | Inspection of branches/Registered Authorised persons (APs) not undertaken                               | NC | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. |
| 3    | 2025-30637 | LPI | Trading | AL Approve d & Dispatch ed <td>01- Apr- 2024</td> <td>Member has dealt with another Member for trading on the Exchange without prior approval of the Exchange</td> <td>NC</td> <td>Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated.</td> | 01- Apr- 2024 | Member has dealt with another Member for trading on the Exchange without prior approval of the Exchange | NC | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. |

Page 1 of 1 50 View 1 - 10 of 10

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

Browse\* Choose File No file chosen

Please attach QSB Audit report(.xlsx):  
*(Kindly add Management Comments in excel file)*

Browse Choose File No file chosen

Upload

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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** 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**

| 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 | Management Comments |
|------|---|-------------------|--------------------------------|----------------------|---|------------------------|--------------------|-----------------------------------|---------------------|
| 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 Intern          | 2                    | 2   | 100                    | 10000              | 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 Intern          | 2                    | 1   | 50                     | 10000              | Y                                 |                     |
| 4.au | 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 Intern          | 2                    | 1   |                        | 10000              | 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 Intern          | 2                    | 1   | 50                     | 10000              | Y                                 |                     |


Hide/Show

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.

Auditor shall provide compliance status as well as comments on previous inspection observations and previous 2 half year internal audit report observations.

Similarly, management comments are to be provided for the observation where auditor has provided the compliance status as “NC”.


|   |                  |  |            |   |                                 |   |                                   |  |         |
|---|------------------|--|------------|---|---------------------------------|---|-----------------------------------|--|---------|
|  |                  | Existing Membership ▾  | Products ▾ | Investor ▾  | Services & Circulars ▾          | Dashboards ▾  | User ▾                            | Sign-Out   | subuser |
| SERVICES  |                  | Last Login: 28/03/2025   |            |   |                                 |   |                                   |  |         |
| Inspection  |                  | 2025   |            |   |                                 |   |                                   |  |         |
|   |                  | NON-COMPLIANCES REPORTED IN THE INTERNAL AUDIT REPORTS FOR PREVIOUS TWO HALF YEARS |            |   |                                 |   |                                   |  |         |
| T-1 Report Details  |                  | T-1 Violation Details  |            |   | Observation Of Internal Auditor |   | Management Comments               |  |         |
| Request Reference No.   | Audit Period     | Segment  | S.No       | Area Of Verification  | Compliance Status               | Remarks in case of observation  | Whether Auditor Comments Accepted | Remarks (Para wise, where auditor has reported non-compliance) |         |
| /AUDIT_REPORT/58466   | APR-24 To SEP-24 | CD FO CM   | 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                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | Yes                               |  |         |
| /AUDIT_REPORT/58466   | APR-24 To SEP-24 | CD FO CM   | 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                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | No                                |  |         |
| /AUDIT_REPORT/58466   | APR-24 To SEP-24 | CD FO CM   | 4.bw       | Member has correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to their respective Clearing Member/Clearing corporation.   | NC                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | Yes                               |  |         |

|  |           |  |                          |                              |   |                                 |   |                                   |  |
|--|-----------|--|--------------------------|------------------------------|---|---------------------------------|---|-----------------------------------|--|
|  |           | Existing Membership ▾                                    | Products ▾               | Investor ▾                   | Services & Circulars ▾  | Dashboards ▾                    | User ▾  | Sign-Out                          | subuser  |
| SERVICES   |           | Last Login: 28/03/2025                                   |                          |                              |   |                                 |   |                                   |  |
| Inspection   |           | STATUS ON COMPLIANCE OF PREVIOUS INSPECTION OBSERVATIONS |                          |                              |   |                                 |   |                                   |  |
| Inspection Case Details  |           | Action Letter Details                                    |                          | Inspection Report Violations |   | Observation Of Internal Auditor |   | Management Comments               |  |
| Case Id  | Case Type | Activity Type  | Action Letter Status     | Action Letter Sent Date      |   | Compliance Status               | Remarks in case of observation  | Whether Auditor Comments Accepted | Remarks (Para wise, where auditor has reported non-compliance) |
| 2025-30837   | LPI       | Trading  | AL Approved & Dispatched | 01-Apr-2024                  | Inspection of branches/Registered Authorised persons (APs) not undertaken                               | NC                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | Yes                               |  |
| 2025-30837   | LPI       | Trading  | AL Approved & Dispatched | 01-Apr-2024                  | Member has dealt with another Member for trading on the Exchange without prior approval of the Exchange | NC                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | Yes                               |  |
| 2025-30837   | LPI       | Trading  | AL Approved & Dispatched | 01-Apr-2024                  | Well documented risk management policy.   | NC                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. | No                                |  |
| 2025-30837   | OFFSITE   | OFFSITE  | AL                       | 24-Sep-2024                  | The funds used for margin trading is not obtained from approved sources                                 | NC                              | Member has ensured that clients whose KYC records are not found to be valid by KRA after the validation process are allowed to transact in securities market only after their KYC is validated. |                                   |  |

Once submitted, member will be navigated to the next screen i.e. ‘Internal Auditor Report’ having Audit Report (Annexure 2), QSB Report (for QSB members) (Annexure 3) as PDF which needs to be downloaded by the Member.

The Member needs to attach the downloaded Audit report (Annexure 2) & QSB Report (for QSB members) (Annexure 3) 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:



My Inspection

Risk Based Supervision

Enhanced Supervision

Internal Audit

Statement Upload

Active Terminal

VAPT

SAAS

API

Penalty

Help Documents

Contact Details

Test Digital Signature

(\*) Indicates Mandatory

Internal Audit Report

Download Internal Audit Report

Download

Audit Report (Annexure 2)

Upload Internal Audit Report

Internal Audit Report

Sign PDF

☐

I/We have reviewed the Internal Audit submitted by our Internal Auditor for the half year ended on 30th September 2014 and hereby confirm that the Internal Audit Report along with our management comments for your consideration and approval.

Submit

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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Confirmation

✓

Internal Audit Report successfully submitted to the Exchange.

OK

-END-