

MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY AUDITOR

Auditor Registration:

Step 1 :

- The Trading Member shall register the Internal Auditor for the half year through Member portal (Steps elaborated in Annexure V_Manual for Member)
- Upon registration of Auditor by member, 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-25 To SEP-25 has been successfully created.

Please find the details as under:

UserId:

Password :

TM Name :

TM 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.

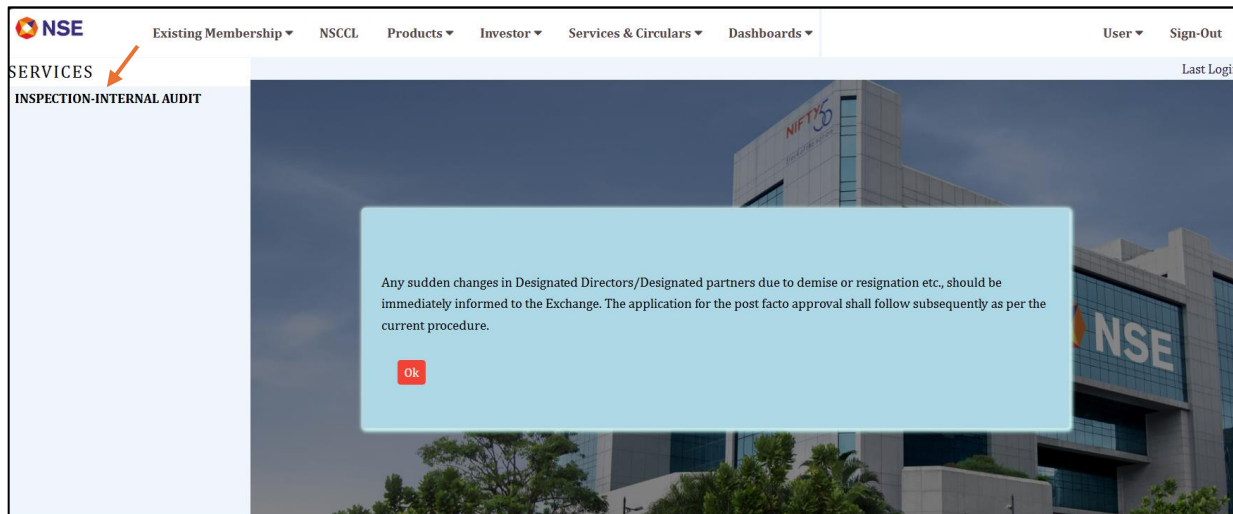
You are requested to initiate Internal Audit for the APR-25 To SEP-25 for segment/s and submit Annexure I & II.

In case of any clarification, please contact the Member.

Submission of Internal Audit Report:

Step 2:

- Click on the link mentioned in the email and proceed with submission using login credentials mentioned in the Auditor registration email.
(<https://inspection.nseindia.com/MemberPortal/>)
- Click on “Inspection-Internal Audit” under Menu at the left-hand side, Internal Audit Report MIS page will open.



- Under Internal Audit MIS – by entering Auditor Membership Number and Audit Period, Auditor shall click on 'Search' button the following screen will appear.

The screenshot shows the 'Internal Audit Report MIS' form. It includes a search section with a text input for 'Auditor's Membership No.' and a dropdown for 'Audit Period' (set to 'APR-25 To SEP-25'). Below the search section is a table with columns: Member Name, Member Code, Segment, Audit Report Period, Status, Created Date, Updated Date, Annexure1(Auditor End), Annexure2(Auditor End), Edit, and Delete. The table is currently empty. At the bottom, there are three checkboxes for declarations: 'I/we hereby declare that, I/we are not debarred or restrained from issuing any certificate by ICAI, ICSI, ICMAL, RBI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.', 'We declare that the firm or at least one of the partners is having a minimum of 5 year's experience in carrying out audits', and 'We declare that the Member has submitted appropriate Trading Type.' (highlighted with a red box). There are 'Submit' buttons for each declaration.

Step 3 :

- Auditor needs to select 3 checkboxes (including 'Trading Type' declaration – as highlighted above) Member will select the Trading Type while submitting the Undertaking on penalty and then the same will be confirmed by auditor.
- Member shall submit conflict of interest, subsequently to be submitted by Member to the Exchange from his login (First auditor then member)

INSPECTION-INTERNAL AUDIT

You have entered incorrect Membership No or you have submitted the report for all of the segments assigned to you.

Search Reset

Member Name	Member Code	Segment	Audit Report Period	Status	Created Date	Updated Date	Annexure1(Audit)	Annexure2(Audit)	Edit +	Delete

Attention!

Please select whether Conflict Of Interest as Yes or No

OK

Page 1 of 0

No records to view

- Upon successful submission of 'Conflict of Interest' following is displayed.

SERVICES

INSPECTION-INTERNAL AUDIT

NSE

Internal Audit

(* Indicates Mandatory)

Internal Audit Report MIS

Auditor's Membership No: *

Audit Period: *

Select

Confirmation

Conflict Of Interest is submitted successfully by Auditor.

OK

Submit

Note:

- To Read the data in correct format, please unzip the file and open with Notepad

Sampling Part-B

- Sample data such as top dates with highest turnover/ margin obligation during audit period, top clients with highest margin obligation during audit period as on March 31, 2025, has been made available below. List of top 150/100 sample clients have been shared in the descending order by value; however, the auditor may select the top clients as per the Sampling Criteria 1, 2 and 3 defined in Annexure III.

Last Login: 25/03/2025

Welcome XYZ

Note: 'New Report' button will not be visible to the auditor until member submits 'Undertaking on Penalty' and 'Conflict of Interest'.

Step 4 :

- Part A - Data Sharing :

Exchange has made available the data submitted by member to Exchange in various submissions to Auditor for verification.

1. Holding statement reports for 2 dates
2. Running account settlement report UCC wise for 2 quarters *(New Addition)*
3. Member Bank Details Report
4. Member DP Details Report
5. Member DP Comm Bank Details Report
6. List of Registered Authorized Persons (AP)
7. SEBI Letter (if issued)

Last Login: 02/10/2024

Data Sharing	
Description	File Name
<input type="text"/>	<input type="text"/>
1 HOLDING STATEMENT REPORT_19092025	AABCD1804D_HS_19092025_01_SUCCESS.zip
2 HOLDING STATEMENT REPORT_09052025	AABCD1804D_HS_09052025_01_SUCCESS.zip
3 Running Account Settlement File (Quarter Ending : 30-SEP-2025)	AABCD1804D_OS_30092025_02_SUCCESS.zip
4 Running Account Settlement File (Quarter Ending : 30-SEP-2025)	AABCD1804D_OS_30092025_01_SUCCESS.zip
5 Running Account Settlement File (Quarter Ending : 30-JUN-2025)	AABCD1804D_OS_30062025_06_SUCCESS.zip
6 Running Account Settlement File (Quarter Ending : 30-JUN-2025)	AABCD1804D_OS_30062025_01_SUCCESS.zip

Member Bank Details Report

Member DP Details Report

Member DP Comm Bank Details Report

List of Registered Authorized Persons (AP)

05980_DIMENSIONAL_SEBI LETTER.pdf

Note:

- To Read the data in correct format, please unzip the file and open with Notepad

Step 5 :

Part B : Sampling Files:

For various Internal Audit checklist points, sample dates/ clients are provided in Auditor login.

- Date-wise Client Margin
- Top 100 Client Margin 6 Dates
- Top 100 Client Margin Audit Period
- Top Turnover Dates
- Total Turnover Top 100 Client Audit Period

Sampling Part-B					
<ul style="list-style-type: none"> Sample data such as top dates with highest turnover/ margin obligation during audit period, top clients with highest margin obligation during audit period as on September 30, 2025, has been made available below. List of top 100 sample clients have been shared in the descending order by value; however, the auditor may select the top clients as per the Sampling Criteria 1, 2 and 3 defined in Annexure III. 					
	Client Margin Obligation Date	Top 100 Client Margin 6 Dates	Date With Highest Turnover	Top 100 Client Margin	Total Turnover Top 100 Client
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Datewise ClientMargin	Top 100 Client Margin 6 Dates	Top turnover dates	Top 100 ClientMargin AuditPeriod	Total turnover top 100 client AuditPeriod

- On clicking, “New Report” button (As per below screenshot). The screen will move to the next page and auditor is required to fill details.

Welcome auditor

Internal Audit

(* Indicates Mandatory)

Internal Audit Report MIS

Auditor's Membership No.*

Audit Period*

APR-25 To SEP-25

Search

Reset

Member Name	Member Code	Segment	Audit Report Period	Status	Created Date	Updated Date	Annexure1(Auditor End)	Annexure2(Auditor End)	Edit +	Delete
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Page 1 of 0

No records to view

New Report

- **Step 6 :** Auditor shall fill all the details mentioned below (* Indicates Mandatory)

Note: 'No. of Branches inspected by the member' and 'No. of APs inspected by the member' are new fields to be filled by Auditor, wherever applicable.

(* Indicates Mandatory)		Internal Audit Report	
Member Name:			
Member Code:			
Auditor Name:*			
Auditor Designation:*		Partner	
Type of Entity:*		Select	
Internal Auditor Firm Name:*			
Auditor Firm Registration No:*			
Auditor's Pan No.:*			
PAN of the Audit Firm:*			
Certificate of Practice No.(COP):*			
Auditor report Certified by:*		CA	
Auditor's Membership No:*			
Auditor's Email ID:*			
Auditor's Mobile No.:*			
UDIN No:*			
Audit Period:		APR-25 To SEP-25	
No. of active non institutional clients:*			
No. of active institutional clients:*			
Type of Trading:*		<input type="radio"/> Only Proprietary <input type="radio"/> Only Clientele <input type="radio"/> Proprietary & Clientele	
Facility Providing:*		<input type="checkbox"/> Internet Trading facility <input type="checkbox"/> Margin Trading facility <input type="checkbox"/> DMA facility <input type="checkbox"/> Algo Trading facility <input type="checkbox"/> CTCL facility <input type="checkbox"/> Co-location facility	
No. of Branches in the beginning of the Audit Period:*			
No. of Branches opened during the Audit Period:*			
No. of Branches closed during the Audit Period:*			
No. of Branches inspected by the member:*		Applicable	
No. of APs inspected by the member:*		Applicable	
No. of Bank Accounts operated by the member:*			
No. of DP Accounts operated by the member:*			
Whether any regulatory action has been taken against internal auditor/any of the partner/director, if yes, please provide details:*		Yes	

- **Step 7 :** On the same page, auditor can either download the checklist (excel template) provided in the system or use the checklist provided in the circular for carrying out the internal Audit. Additionally, internal auditors are required to submit QSB Checklist (if applicable)

Note: Template hyperlink provided in the auditor login as per the below screenshot

/message: Data can be entered for segment and activity that is selected here.

Internal Audit Report For Segment (CM/FO/SLBM/CD/CO):*	<input type="checkbox"/> CM	<input type="checkbox"/> FO	<input type="checkbox"/> SLBM	<input type="checkbox"/> CD	<input type="checkbox"/> WDM	<input type="checkbox"/> OBPP	<input type="checkbox"/> IRF	<input type="checkbox"/> MFSS	<input type="checkbox"/> DEBT	<input type="checkbox"/> CO
SEBI Registration No:*										
Activity Type (TRADING/CLEARING):*	<input type="checkbox"/> TMCN	<input type="checkbox"/> Trading <input type="checkbox"/> Self-Clearing	<input type="checkbox"/> TMCN	<input type="checkbox"/> Trading <input type="checkbox"/> Self-Clearing	<input type="checkbox"/> Trading	<input type="checkbox"/> Trading	<input type="checkbox"/> Trading	<input type="checkbox"/> TMCN	<input type="checkbox"/> Trading <input type="checkbox"/> Self-Clearing	<input type="checkbox"/> Trading <input type="checkbox"/> Self-Clearing

Download Format to fill Compliance/NonCompliance [Download template for excel upload](#) [Guidelines for Sample selection](#) [Sample Details File](#) [Download template for QSB excel upload](#)

Attach Document to submit Compliance/NonCompliance(Downloaded Excel only):*

Browse No file chosen

Attach Document to submit Sample Details:*

Browse No file chosen

Attach Document to submit QSB checklist(Downloaded Excel only):*

Browse No file chosen

Declaration: *

☐ I, hereby, declare that, I or any of my partners/ directors have no interest in or relation with the DIMENSIONAL SECURITIES PVT. LTD other than the proposed internal audit assignment.

- **Step 8 :** By clicking on 'Download template for excel upload' & 'Download template for QSB excel upload' hyperlink, Auditor will be able to download the template in which he needs to indicate the Compliance/Non- compliance/Not Applicable status for each checklist point.

Note: Kindly use latest version of Excel to submit the Checklist.

- **Step 9 :** After completing the entire checklist, Auditor shall submit the sample details for both compliance and non-compliance instances. By clicking on 'Sample details file' hyperlink, Auditor will be able to download the template in which he needs to fill the required details for all the instances for which verification has been done. If any clause which is not applicable to member, auditor may fill "NA" in the mandatory field(s).

Note: Please ensure to use the same text in the "Particulars column" for each clause as provided in the template "Sample details file" while adding row for providing instances of sample details verified

- **Step 10 :** Format of sample files is as under: -

IARNSESEP25_SAMPLE_DETAILS

Clause	Particulars	UCC	PAN as per UCC	Name as per UCC	Sample Date	Amount
--------	-------------	-----	----------------	-----------------	-------------	--------

IARNSESEP25_AP_SAMPLE_DETAILS

Clause	Particulars	Name of AP	Report Compliance (C/NC/NA)	Remarks (in case of NC)
--------	-------------	------------	-----------------------------	-------------------------

- **Step 11 :** Both the sample details file should be zipped together directly into one zip folder (IARNSEMAR25_SAMPLE_DETAILS & IARNSEMAR25_AP_SAMPLE_DETAILS).

Note: Select both the sample files → right click & choose 'Show more options' → Select '7 -Zip' & select 'add to .zip' Name of Zip folder should be 'IARNSEMAR25_SAMPLE_DETAILS.zip'

- **Step 12 :** After completing the entire checklist, the auditor shall upload the sheet by clicking the 'browse' button and similarly fill and submit the QSB Checklist (if applicable) using the same button. Once it is uploaded and consent for declaration is provided, Click on 'Submit' button.
- **Step 13 :** After submission, the 'Non-Compliance' (NC) and 'Not Applicable' (NA) clauses will be displayed on the next screen.
 - a) For NC points, auditor shall provide remarks and, wherever applicable, include details such as the number of non-compliance instances, the percentage of non-compliance observed, and the value involved.
 - b) For NA points, auditors are required to mention appropriate remarks for non-applicability of the checklist point.

NON COMPLIANCE/NOT APPLICABLE CLAUSES							
S.No	Area Of Verification	Observation Of Internal Auditor					
		Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	percentage of instances where non-compliance is observed	amount/value involved where non-compliance is observed
1.b	Correct and updated KYC details/ information of the clients are uploaded in the UCC database of the exchange as per KYC details and the same is matching with KRA/ C-KYC database.	N.A		1			
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		1			

- c) For "Not Complied" points relating to point 9.m and 9.p regarding "Net worth", auditors are required to provide additional information













S.No	Area Of Verification	Observation Of Internal Auditor						Net-worth as reported by Member to the Exchange(s)	Net worth computed by Internal auditor (B)	Amount of discrepancy observed (in Rs)(c-a-b)	whether the Amount is leading to short-fall (Yes/No)(d)	If (d) is yes, Provide leading to short-fall
		Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	percentage of instances where non-compliance is observed	amount/value involved where non-compliance is observed					
9.m	Last submitted net worth certificate to the Exchange is correctly submitted. In case of incorrect reporting of networth is leading to shortfall, please specify in remarks.	NC		1st April 2025 to 30th September 2025		<input type="checkbox"/>					Select	
9.p	Member has maintained net worth as prescribed by the SEBI Gazette Notification No. SEBI/LAO-HRD/OW/2022/73 dated February 23, 2023.	NC		1st April 2025 to 30th September 2025		<input type="checkbox"/>					Select	

- d) For points 4.AI, 4.BV and 4.BX (as per screenshots below) - When auditor selects NC for any above-mentioned points, then auditor shall provide date-wise (C/NC) details in the format available on the Non-Compliance page.
In case the Internal Auditor wants to add or delete dates (rows), please click 'Add Row' or 'Delete Row'.

Note: Minimum 2 dates for point 4.AI and minimum 6 dates for points 4.BV & 4.BX. If Auditor has selected NC for points 4.AI, 4.BV and 4.BX, then he shall provide NC status for at least one date.

SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4.AI											
Sr No	Area of Verification	Compliance Status	Remarks in case of Observation	Date of Verification	ISIN	ISIN Name	Reporting done under Holding Submission to the Exchange	Reporting observed in Holding/DP statement	Difference	Value as on date	Whether any shortfall in securities (Yes/No)
1	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)	Select									Select
2	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)	Select									Select
Add Row		Delete Row									

SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4.BV										
Sr No	Area of Verification	Compliance Status	Remarks in case of Observation	Sample Dates Verified	Whether there is any impact on 'O' (Yes/No)	Whether there is any impact on margin reporting (Yes/No)	Whether there is any impact on settlement (Yes/No)	Field name under which incorrect reporting was done	Whether there is any misuse of clients funds reported (Yes/No)	Amount of violation
1	Member has correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to their respective Clearing Member/Clearing corporation.	Select ▼			Select ▼	Select ▼	Select ▼		Select ▼	
2	Member has correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to their respective Clearing Member/Clearing corporation.	Select ▼			Select ▼	Select ▼	Select ▼		Select ▼	
3	Member has correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to their respective Clearing Member/Clearing corporation.	Select ▼			Select ▼	Select ▼	Select ▼		Select ▼	

SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4.BX														
Sr No	Area of Verification	Compliance Status	Remarks in case of Observation	Sample Dates Verified	Confirm if correct reason code mentioned (Yes/No)	Reason Code mentioned in Collateral Segregation File	Correct Reason Code to be reported in Collateral Segregation File	Whether the balances retained with CA/SBs are reflecting in the account of SBs/CMs and/or in transit to CC	Whether there is any impact on "G" (Yes/No)	Whether there is any impact on margin reporting (Yes/No)	Whether there is any impact on settlement (Yes/No)	Field name under which incorrect reporting was done	Whether there is any misuse of clients funds reported (Yes/No)	Amount of violation
1	Trading Member shall ensure that clients' clear credit balances not placed with CC on account of justifiable reasons and the said clear credit balances are reported in the segregation file as "Retained with TM" or "Retained with CM", then such justifiable reasons have been reported to CC by next settlement day. Also, such clients' balances reported as retained with the SBs/CMs were available in USCB/CA/OSCB/BA/Settlement account of the SBs/CMs and/or in transit to the CC.	Select 			Select 				Select 	Select 	Select 		Select 	
2	Trading Member shall ensure that clients' clear credit balances not placed with CC on account of justifiable reasons and the said clear credit balances are reported in the segregation file as "Retained with TM" or "Retained with CM", then such justifiable reasons have been reported to CC by next settlement day. Also, such clients' balances reported as retained with the SBs/CMs were available in USCB/CA/OSCB/BA/Settlement account of the SBs/CMs and/or in transit to the CC.	Select 			Select 				Select 	Select 	Select 		Select 	

- **Step 14 :** Auditor shall provide compliance status as well as comments on previous inspection observations and previous 2 half year internal audit report observations (as per screenshots attached)

STATUS ON COMPLIANCE OF PREVIOUS INSPECTION OBSERVATIONS							
Inspection Case Details			Action Letter Details		Inspection Report Violations		
Case Id	Case Type	Activity Type	Action Letter Status	Action Letter Sent Date			
	OFFSITE	OFFSITE	AL Approved & Dispatched	15-Dec-2024	Violating Maintenance of the following books and records exchange write.		
						C	
	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	The funds used for margin trading is not obtained from approved sources only		
						NC	/
	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	Well documented risk management policy.		
						C	/
	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	Adequate surveillance policy covering areas specified which has been approved by its Board / Partners / Proprietor		
						NC	
	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	Inspection of branches/Registered Authorised persons (APs) not undertaken		
						C	
	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	Member has dealt with another Member for trading on the Exchange without prior approval of the Exchange		
						NC	

T-1 Report Details		T-1 Violation Details		Observation Of Internal Auditor	
Request Reference No.	Audit Period	Segment	S.No	Area Of Verification	Compliance Status
07778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CM	1.d	All the mandatory clauses/documents and Annexures such as KYC, details relating to trading account - rights and Obligation, Dos and Don'ts, RDD and Tariff sheet and contact details of senior officials and Investor Grievance Cell of the member as stipulated by SEBI/Exchanges have been included in the mandatory section of the Account opening document executed with the clients and no material details were omitted.	C
07778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CM	1.1	Risk profiling/categorization of the clients has been done as per the written down policy of the member as per the PMLA master circular.	NC
07778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CM	3.f	Daily Margin statement is issued to the respective clients with the details as specified and within the prescribed time limit. and Proof of delivery / dispatch/ log for dispatch is maintained.	NC
07778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CM	3.s	Member has maintained copies / duplicates of contract notes issued to clients in physical or electronic form.	NC

- Step 15 :** If auditor wants to provide additional information with regards to any other material observations with respect to non-compliances, auditor can enter details by adding or deleting rows as required.

Add Row

Delete Row

Any Material Observation

Select	Observation	Remark
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		

Contact Person

Email Id

Telephone No.

City

Address

State

Pin Code

Submit

- Step 16 :** Once the auditor enters all the details & submits it, he will get navigated to the nextscreen i.e. ‘Internal Auditor Report’ having the Annexure 1 (Auditor Certificate), Annexure 2 (Audit Report) & Annexure 3 (QSB Audit Report – if applicable)

*Note: Annexure 3 shall be converted & uploaded in PDF format and in **landscape orientation**. Please note that there is no option available to download the Annexure 3 PDF from the portal.*

Indicates Mandatory

Internal Audit Report

Download Certificate for Internal Audit & Internal Audit Report

Internal Audit Certificate (Annexure 1)

Audit Report (Annexure 2)

Upload Certificate for Internal Audit & Internal Audit Report

Certificate for Internal Audit

Sign PDF

Internal Audit Report

Sign PDF

QSB Audit Report (Annexure 3 in PDF)

Sign PDF

Kindly upload QSB Audit Report with file name : 07778_IarSEP_25_A3_58643.pdf

I/We have conducted the Internal Audit for the half year ended on 30th September, 2025 on the captioned subject and guidelines thereof. Please find enclosed the Audit Report for your consideration and necessary action.

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.

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

- **Step 17 :** To digitally sign Annexure 1, Annexure 2, Annexure 3 (if applicable)
Click on the 'Sign PDF'. Select the same PDF which was downloaded and digitally sign the same.
Signed PDF file will be generated in the signed file folder in the same path where original file is saved.
Once all the files are signed, then the 'Choose File' button will appear to upload the signed files.

(* Indicates Mandatory)

Internal Audit Report

Download Certificate for Internal Audit & Internal Audit Report

Download [Internal Audit Certificate \(Annexure 1\)](#)
[Audit Report \(Annexure 2\)](#)

Upload Certificate for Internal Audit & Internal Audit Report

Certificate for Internal Audit 07778_L_ned.pdf

Internal Audit Report 07778_L_ned.pdf

QSB Audit Report (Annexure-3 in PDF) 07778_L_ned.pdf

** Kindly upload QSB Audit Report with file name : 07778_larSEP_25_A1_58643.pdf*

☒ I/We have conducted the Internal Audit for the half year ended on 30th September, 2025 on the captioned subject and guidelines thereof. Please find enclosed the Audit Report for your consideration and necessary action.

Note:

1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.

- **Step 18 :** While uploading the Audit Certificate (Annexure 1), Audit Report (Annexure 2), QSB Audit Report (Annexure 3- if applicable) Auditor has to ensure the following:
 - ✓ File name should not be changed and should remain same as downloaded.
Add '-signed' at the end of the PDF name generated for uploading files.
Eg: 12345_larSEP_25_A1_58643-signed
 - ✓ File size should be less than 10 MB.

Upload signed file of Annexure 1, Annexure 2 & Annexure 3 (if applicable) and click submit. Once the files are submitted, the following screen shall be displayed.

SERVICES

INSPECTION-INTERNAL AUDIT

INTERNAL AUDIT REPORT IS SUCCESSFULLY SUBMITTED TO THE MEMBER

THE REFERENCE NO. FOR THE SAME IS 07778/AUDIT_REPORT/58568

Confirmation

✓ Internal Audit Report successfully submitted to the Exchange.

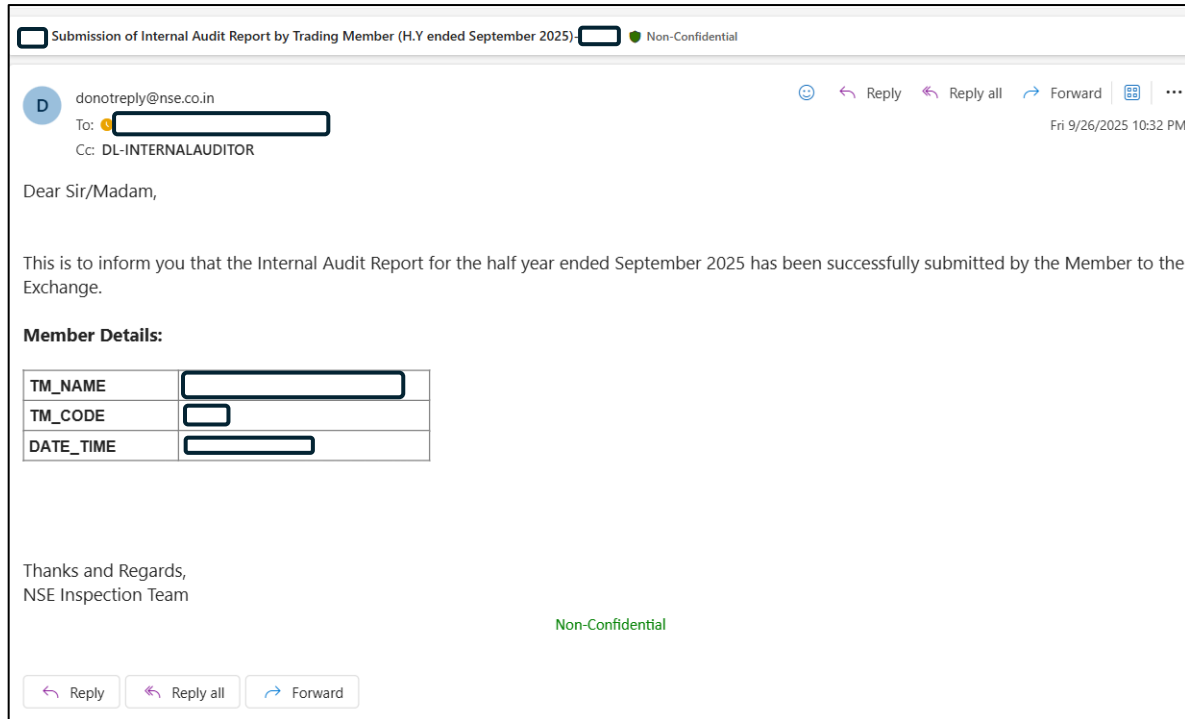
Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.

The format for the Reference no. is Member code/Audit_Report/ reference no.

- | Sl. No. | Audit Report Period | Status | Uploaded report | Uploaded QSB report | Annexure1
[Auditor Certificate] | Annexure2
[Internal Audit Report] | Annexure 3
[QSB Audit Report] | Sample Details File |
|---------|---------------------|--------|----------------------------------|---------------------|--|--|----------------------------------|---|
| | OCT-24 To MAR-25 | SUBMIT | IARNSEMAR25.xlsx | | 07814_IarMAR_25_A1_58569.pdf | 07814_IarMAR_25_A2_58569.pdf | | IARNSEMAR25-SAM_PLE_DETAILS.ziq |

- Once the Internal Audit Report is successfully submitted by the Auditor, an auto-generated email will be sent to both the Auditor and the Member. This email serves as a notification for the Member to complete their part of the submission process.

- Similarly, after successful submission of Internal Audit Report by Member an auto-generated email will be sent to the Member.



Step 21 : Internal Audit Report Deletion Functionality

- The Internal Audit Report can be deleted either by the Auditor or the Member, till the due date of submission.
- Deletion of Audit Report submitted by Auditor-
 - The deletion request shall be sent from the Auditor login.
 - In the Auditor login, after entering the membership no. and Audit Period, the Auditor will be able to view the submitted report.

Request Ref. No.	Internal Auditor Firm Name	Segment	Audit Report Period	Status	Uploaded report	Uploaded QSB report	Annexure1 (Auditor Certificate)	Annexure2 (Internal Audit Report)	Annexure 3 (QSB Audit Report)	Sample Details File	Delete
05060/AUDIT_REPORT/58663	[]	CD/OCM	APR-25 to SEP-25	Submit to Member	AUDIT REPORT 25-26.pdf	AUDIT REPORT 25-26 QSB.pdf	05060_AUDIT-25-26_A1.pdf	05060_AUDIT-25-26_A2.pdf	05060_AUDIT-25-26_A3.pdf	AUDIT REPORT SAMPLE DETAILS FILE	

- As per the above screenshot, a deletion button has been made available. Auditor shall click on the icon, provide appropriate reasons for deletion of report and submit the request to the Member.
- To accept the deletion request, Member shall login to Member portal.
Member shall click on Internal Audit tab then click on Internal Audit Report MIS, where Member shall be able to view the deletion request in a separate tab. (As per screenshot below)

17	05980/AUDIT_REPORT/63352	CM.FO.CD.WDM, IRF	OCT-16 To MAR-17	APPROVED	Jun 30, 2017 12:00:00 AM	Jun 30, 2017 12:59:04 PM	Jun 30, 2017 6:32:33 PM	05980_IarMAB_1_7_A1_43512.pdf	05980_IarMAB_1_7_A2_43512.pdf	05980_IarMAB_1_7_A2_43512.pdf		No
18	05980/AUDIT_REPORT/47779	CM.FO.CD.WDM, IRF <td>APR-17 To SEP-17 <td>CONFIRMED <td>Nov 30, 2017 8:40:09 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>05980_IarSEP_17_A1_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td></td> <td>No</td> </td></td>	APR-17 To SEP-17 <td>CONFIRMED <td>Nov 30, 2017 8:40:09 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>05980_IarSEP_17_A1_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td></td> <td>No</td> </td>	CONFIRMED <td>Nov 30, 2017 8:40:09 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>Nov 30, 2017 9:06:44 PM</td> <td>05980_IarSEP_17_A1_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td>05980_IarSEP_17_A2_47779.pdf</td> <td></td> <td>No</td>	Nov 30, 2017 8:40:09 PM	Nov 30, 2017 9:06:44 PM	Nov 30, 2017 9:06:44 PM	05980_IarSEP_17_A1_47779.pdf	05980_IarSEP_17_A2_47779.pdf	05980_IarSEP_17_A2_47779.pdf		No
19	05980/AUDIT_REPORT/54788	CM.FO.CD.DEBT <td>OCT-18 To MAR-19 <td>CONFIRMED <td>May 31, 2019 10:37:10 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>05980_IarMAB_1_9_A1_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td></td> <td>No</td> </td></td>	OCT-18 To MAR-19 <td>CONFIRMED <td>May 31, 2019 10:37:10 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>05980_IarMAB_1_9_A1_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td></td> <td>No</td> </td>	CONFIRMED <td>May 31, 2019 10:37:10 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>May 31, 2019 10:51:42 PM</td> <td>05980_IarMAB_1_9_A1_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td>05980_IarMAB_1_9_A2_54788.pdf</td> <td></td> <td>No</td>	May 31, 2019 10:37:10 PM	May 31, 2019 10:51:42 PM	May 31, 2019 10:51:42 PM	05980_IarMAB_1_9_A1_54788.pdf	05980_IarMAB_1_9_A2_54788.pdf	05980_IarMAB_1_9_A2_54788.pdf		No
20	05980/AUDIT_REPORT/52457	CM.FO.CD.DEBT <td>APR-18 To SEP-18 <td>CONFIRMED <td>Nov 30, 2018 3:56:01 PM</td> <td>Dec 1, 2018 12:34:14 PM</td> <td>Nov 30, 2018 3:56:01 PM</td> <td>05980_IarSEP_1_8_A1_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td></td> <td>No</td> </td></td>	APR-18 To SEP-18 <td>CONFIRMED <td>Nov 30, 2018 3:56:01 PM</td> <td>Dec 1, 2018 12:34:14 PM</td> <td>Nov 30, 2018 3:56:01 PM</td> <td>05980_IarSEP_1_8_A1_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td></td> <td>No</td> </td>	CONFIRMED <td>Nov 30, 2018 3:56:01 PM</td> <td>Dec 1, 2018 12:34:14 PM</td> <td>Nov 30, 2018 3:56:01 PM</td> <td>05980_IarSEP_1_8_A1_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td>05980_IarSEP_1_8_A2_52457.pdf</td> <td></td> <td>No</td>	Nov 30, 2018 3:56:01 PM	Dec 1, 2018 12:34:14 PM	Nov 30, 2018 3:56:01 PM	05980_IarSEP_1_8_A1_52457.pdf	05980_IarSEP_1_8_A2_52457.pdf	05980_IarSEP_1_8_A2_52457.pdf		No
22	05980/AUDIT_REPORT/56691	CM.FO.CD.WDM, DEBT.CO <td>APR-19 To SEP-19 <td>SUBMIT</td> <td>Nov 30, 2019 2:36:56 PM</td> <td>Nov 30, 2019 2:57:05 PM</td> <td>Nov 30, 2019 2:57:05 PM</td> <td>05980_IarSEP_1_9_A1_56691.pdf</td> <td>05980_IarSEP_1_9_A2_56691.pdf</td> <td>05980_IarSEP_1_9_A2_56691.pdf</td> <td></td> <td>No</td> </td>	APR-19 To SEP-19 <td>SUBMIT</td> <td>Nov 30, 2019 2:36:56 PM</td> <td>Nov 30, 2019 2:57:05 PM</td> <td>Nov 30, 2019 2:57:05 PM</td> <td>05980_IarSEP_1_9_A1_56691.pdf</td> <td>05980_IarSEP_1_9_A2_56691.pdf</td> <td>05980_IarSEP_1_9_A2_56691.pdf</td> <td></td> <td>No</td>	SUBMIT	Nov 30, 2019 2:36:56 PM	Nov 30, 2019 2:57:05 PM	Nov 30, 2019 2:57:05 PM	05980_IarSEP_1_9_A1_56691.pdf	05980_IarSEP_1_9_A2_56691.pdf	05980_IarSEP_1_9_A2_56691.pdf		No

Page 1 of 1 View 1 : 22 of 22

Delete Audit Report

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

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	Declaration of Penalty Certificate	Auditor Remarks	Delete
	05980_IarSEP_25_A1_58663.pdf	05980_IarSEP_25_A2_58663.pdf	05980_IarSEP_25_A3_58663.pdf			IARNSSEP25_SAMP LE_DETAILS.rtf	Yes	05980_Iar_Declaration of Penalty.pdf	Remarks	

- e) Member shall click on delete icon (as highlighted above), provide appropriate reasons for deletion and delete the report.

Last Login: 02/10/2025

13	05980/AUDIT_REPORT/19854	CM.FO.CD.WDM	APR-14 To SEP-14	CONFIRMED	Jan 5, 2015	Jan 5, 2015	05980_IarSEP_1_4_A1_19854.pdf	05980_IarSEP_1_4_A2_19854.pdf	05980_IarSEP_1_4_A2_19854.pdf		No
14	05980/AUDIT_REPORT/13804	CM.FO.CD.WDM, IRF	OCT-15 To MAR-16	CONFIRMED			05980_IarMAB_1_6_A2_13804.pdf	05980_IarMAB_1_6_A2_13804.pdf	05980_IarMAB_1_6_A2_13804.pdf		No
15	05980/AUDIT_REPORT/39385	CM.FO.CD.WDM, IRF	APR-16 To SEP-16	CONFIRMED			05980_IarSEP_1_8_A2_39385.pdf	05980_IarSEP_1_8_A2_39385.pdf	05980_IarSEP_1_8_A2_39385.pdf		No
16	05980/AUDIT_REPORT/48564	CM.FO.CD.WDM	OCT-17 To MAR-18	CONFIRMED			05980_IarMAB_1_8_A2_48564.pdf	05980_IarMAB_1_8_A2_48564.pdf	05980_IarMAB_1_8_A2_48564.pdf		No
17	05980/AUDIT_REPORT/646	CM.FO.CD.WDM	OCT-08 To MAR-09	SUBMIT			05980_IarMAB_1_7_A2_646.pdf	05980_IarMAB_1_7_A2_646.pdf	05980_IarMAB_1_7_A2_646.pdf		No
18	05980/AUDIT_REPORT/63352	CM.FO.CD.WDM, IRF	OCT-16 To MAR-17	APPROVED			05980_IarSEP_17_A1_43512.pdf	05980_IarSEP_17_A2_43512.pdf	05980_IarSEP_17_A2_43512.pdf		No
19	05980/AUDIT_REPORT/47779	CM.FO.CD.WDM, IRF	APR-17 To SEP-17	CONFIRMED			05980_IarSEP_17_A1_47779.pdf	05980_IarSEP_17_A2_47779.pdf	05980_IarSEP_17_A2_47779.pdf		No
20	05980/AUDIT_REPORT/54788	CM.FO.CD.DEBT	OCT-18 To MAR-19	CONFIRMED			05980_IarMAB_1_9_A1_54788.pdf	05980_IarMAB_1_9_A2_54788.pdf	05980_IarMAB_1_9_A2_54788.pdf		No
21	05980/AUDIT_REPORT/52457	CM.FO.CD.DEBT	APR-18 To SEP-18	CONFIRMED			05980_IarSEP_1_8_A1_52457.pdf	05980_IarSEP_1_8_A2_52457.pdf	05980_IarSEP_1_8_A2_52457.pdf		No
22	05980/AUDIT_REPORT/56691	CM.FO.CD.WDM, DEBT.CO	APR-19 To SEP-19	SUBMIT	Nov 30, 2019 2:36:56 PM	Nov 30, 2019 2:57:05 PM	05980_IarSEP_1_9_A1_56691.pdf	05980_IarSEP_1_9_A2_56691.pdf	05980_IarSEP_1_9_A2_56691.pdf		No

Page 1 of 1 View 1 : 22 of 22

Delete Audit Report

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

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	Declaration of Penalty Certificate	Auditor Remarks	Delete
	05980_IarSEP_25_A1_58663.pdf	05980_IarSEP_25_A2_58663.pdf	05980_IarSEP_25_A3_58663.pdf			IARNSSEP25_SAMP LE_DETAILS.rtf	Yes	05980_Iar_Declaration of Penalty.pdf	Remarks	

Confirm

Are you sure you want to delete the Audit Report??

Also provide remarks for the same

Remarks*

- f) Once the report is deleted following screen will be displayed and report will be deleted.

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's End	Annexure 1 (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	Declaration of Penalty Certificate
05980/AUDIT_REPORT/7417	CM.FO.CD.WDM	APR-09 To SEP-09	SUBMIT		Dec 15, 2010 12:00:00 AM					No	
05980/AUDIT_REPORT/7416	CM.FO.CD.WDM	OCT-09 To MAR-10	SUBMIT		Jun 24, 2010 12:00:00 AM					No	
05980/AUDIT_REPORT/7403	CM.FO.CD.WDM	APR-10 To SEP-10	SUBMIT		Dec 27, 2010 12:00:00 AM					No	
05980/AUDIT_REPORT/7649	CM.FO.CD.WDM	APR-11 To SEP-11	SUBMIT		Dec 15, 2011 12:00:00 AM					No	
05980/AUDIT_REPORT/7606	CM.FO.CD.WDM	OCT-10 To MAR-11	SUBMIT		Jun 29, 2011 12:00:00 AM					No	
05980/AUDIT_REPORT/7677	CM.FO.CD.WDM	APR-12 To SEP-12	SAVE		Jan 4, 2013 5:45:49 PM					No	
05980/AUDIT_REPORT/7911	CM.FO.CD.WDM	OCT-11 To MAR-12	SUBMIT		Jun 29, 2012 4:33:02 PM					No	
05980/AUDIT_REPORT/7297	CM.FO.CD.WDM	APR-13 To SEP-13	APPROVED		Dec 31, 2013 1:36:28 PM					No	
05980/AUDIT_REPORT/7034	CM.FO.CD.WDM	OCT-12 To MAR-13	SUBMIT		Jul 3, 2013 3:26:17 PM					No	
05980/AUDIT_REPORT/6868	CM.FO.CD.WDM	OCT-13 To MAR-14	SUBMIT		Jul 14, 2014 4:09:47 PM	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf		No	
OCT-14 To MAR-15					Jul 14, 2015	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf			

Page 1 of 1

• Deletion of Audit Report submitted by Member-

- The deletion request shall be sent from the Member login.
- In Internal Audit tab, click on Internal Audit Report MIS then the following screen will be displayed.

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's End	Date of Submission at Member End	Annexure 1 (Auditor End) (QSB Audit Report)	Annexure 2 (Member End) (Internal Audit Report)	Annexure 3 (Member End) (QSB Audit Report)	Annexure 4 (Member End) (Internal Audit Report)	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate	Delete
05980/AUDIT_REPORT/7403	CD.OB.PP.QCM	APR-25 To SEP-25	SUBMIT		Sep 26, 2025 9:50:13 PM	Sep 26, 2025 10:52:05 PM	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	Yes	05980_140714040947.pdf	<input type="button" value="Delete"/>

- As per the above screenshot, a deletion button has been made available. Member shall click on the icon, provide appropriate reasons for deletion of report and submit the request to the Auditor.

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's End	Date of Submission at Member End	Annexure 1 (Auditor End) (QSB Audit Report)	Annexure 2 (Member End) (Internal Audit Report)	Annexure 3 (Member End) (QSB Audit Report)	Annexure 4 (Member End) (Internal Audit Report)	Sample Details File	Declaration of Penalty	Declaration of Penalty Certificate	Delete
05980/AUDIT_REPORT/7403	CD.OB.PP.QCM	APR-25 To SEP-25	SUBMIT		Sep 26, 2025 9:50:13 PM	Sep 26, 2025 10:52:05 PM	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	05980_140714040947.pdf	Yes	05980_140714040947.pdf	<input type="button" value="Delete"/>

Confirm


Are you sure you want to delete the Audit Report??

Also provide remarks for the same

Remarks*

- d) To accept the deletion request, Auditor shall login to Auditor portal.
- e) In the Auditor login, after entering the membership no. and Audit Period, the Auditor will be able to view the deletion request in a separate tab. (As per screenshot below)

Last Login: 02/10/2025

Request Ref. No.	Internal Auditor Firm Name	Segment	Audit Report Period	Status	Uploaded report	Uploaded QSB report	Annexure1 (Auditor Certificate)	Annexure2 (Internal Audit Report)	Annexure 3 (QSB Audit Report)	Sample Details File	Delete
06378/AUDIT_REPORT/58662	PS & Co.	CD/BBP/ICMA	APR-25 TO SEP-25	Request_For_Report_Deletion_By_Member	View Details		06378_14SEP-25_A1-58662.pdf	06378_14SEP-25_A2-58662.pdf		ANNEXURE3-58662-5-15-1415-58662.pdf	

Page 1 of 1

☒ I/we hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAL, ICS, ICMA, RSI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.

☐ I/we declare that the firm or at least one of the partners is having a minimum of 5 year's experience in carrying out audits.

Conflict Of Interest: ☐ Yes ☒ No

☒ I/we declare that the Member has submitted appropriate trading type.

Data Sharing

Description	File Name
-------------	-----------


- f) Auditor shall click on delete icon (as highlighted above), provide appropriate reasons for deletion and delete the report.

Confirm

Are you sure you want to delete the Audit Report
06378/AUDIT_REPORT/58662?

Also provide remarks for the same
Remarks*

Submit

Request Ref. No.	Internal Auditor Firm Name	Segment	Audit Report Period	Status	Uploaded report	Uploaded QSB report	Annexure1 (Auditor Certificate)	Annexure2 (Internal Audit Report)	Annexure 3 (QSB Audit Report)	Sample Details File	Delete
06378/AUDIT_REPORT/58662	PS & Co.	CD/BBP/ICMA	APR-25 TO SEP-25	Request_For_Report_Deletion_By_Member	View Details		06378_14SEP-25_A1-58662.pdf	06378_14SEP-25_A2-58662.pdf		ANNEXURE3-58662-5-15-1415-58662.pdf	

Page 1 of 1

☒ I/we hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAL, ICS, ICMA, RSI, SEBI or by other regulator/law enforcement agency. Further no regulatory action has been taken against internal auditor/partner/director.

☐ I/we declare that the firm or at least one of the partners is having a minimum of 5 year's experience in carrying out audits.

Conflict Of Interest: ☐ Yes ☒ No

☒ I/we declare that the Member has submitted appropriate trading type.

Data Sharing

Description	File Name
-------------	-----------

- g) Once the report is deleted following screen will be displayed and report will be deleted.

Note: Please note that if the Internal Audit Report submitted by the member is deleted, the corresponding report submitted by the auditor will also be deleted.

-END-