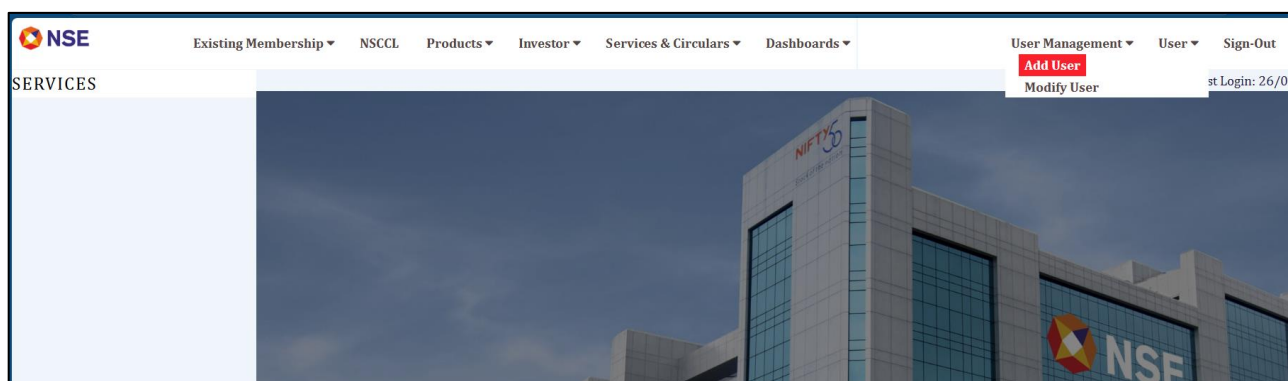


ANNEXURE V

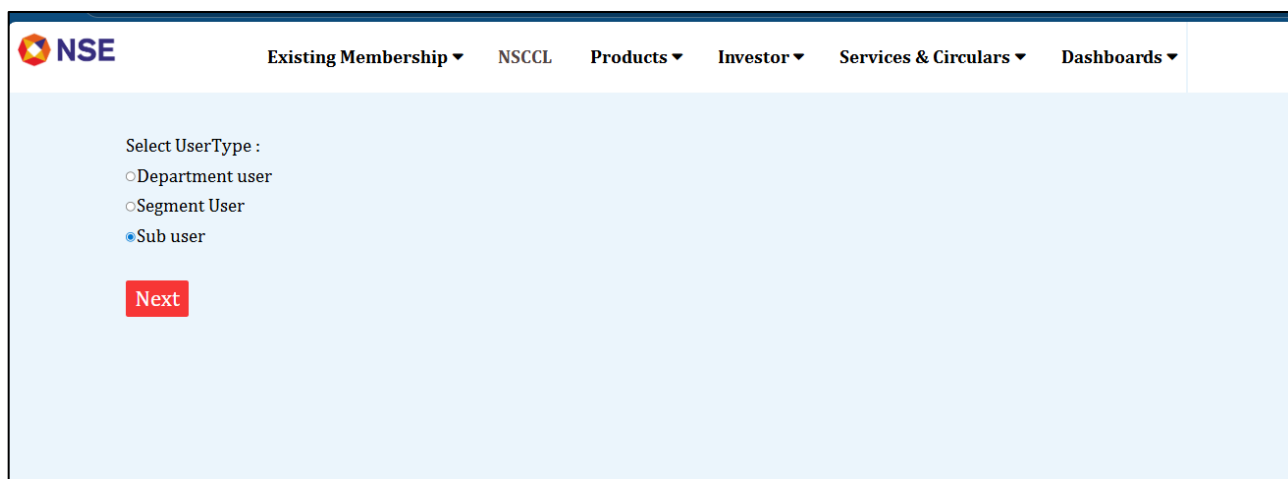
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

Step 1 : Auditor Login Creation

- Member shall login into member portal (<https://inspection.nseindia.com/MemberPortal/>) and below screen will be displayed.
- Member shall create the sub user from Member's ENIT admin login.
1st login in Member's ENIT admin login. Right hand side under User Management click on 'Add User'.



- Select Sub user and click on Next button.



Note: User ID and Password should be same as entered in Auditor's Registration

NSE

Existing Membership ▾

NSCCL

Products ▾

Investor ▾

Services & Circulars ▾

Dashboards ▾

User Management

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](#)

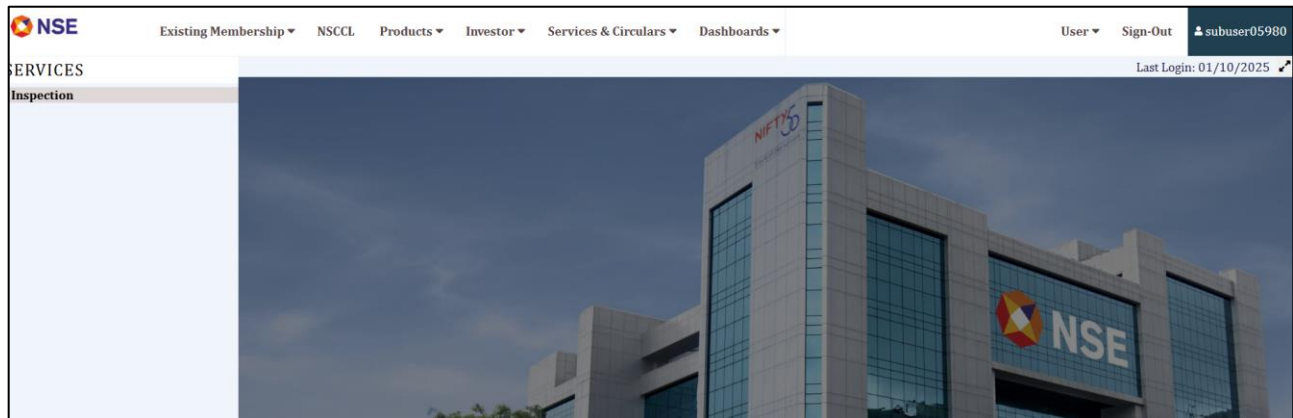
Prev

Next

- Assign '**INSPECTION- INTERNAL AUDIT**' role to the auditor and submit.

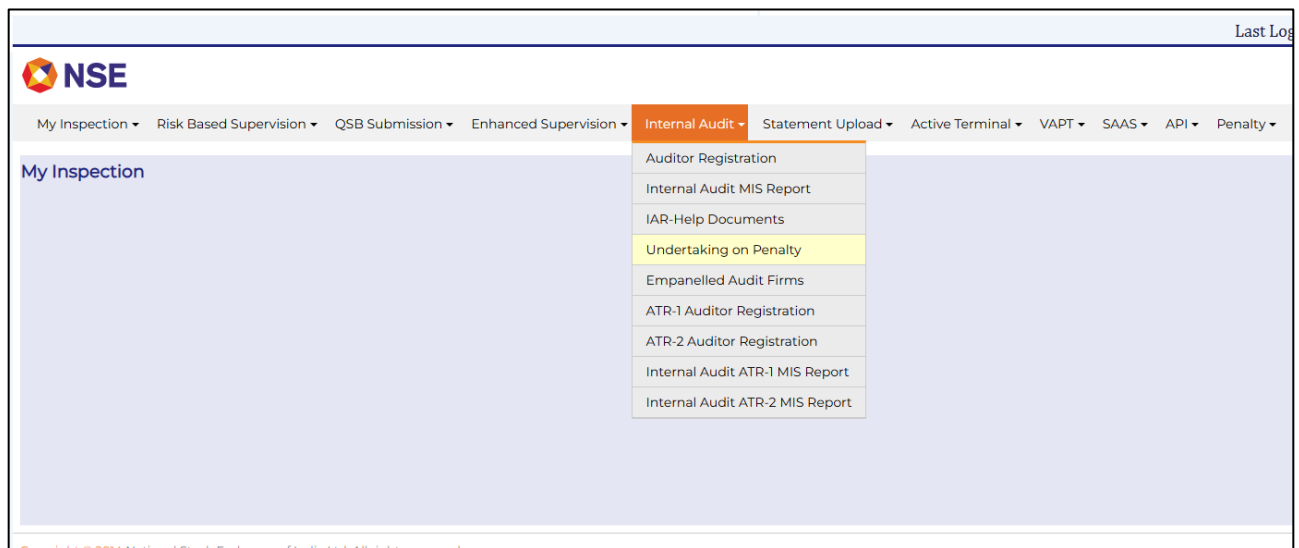
[illegible]

- For Auditor Registration, member shall login into Member portal using (<https://inspection.nseindia.com/MemberPortal/>) and below screen will be displayed. and Select 'Inspection' tab.



Step 2 : Submission of Undertaking on Penalty

- Member needs to submit the Undertaking on 'Penalty for Short collection / non-collection of client margin'.
- For submission of Undertaking, click on 'Internal Audit' tab and select 'Undertaking on Penalty'.



- Member shall select the applicable Trading Type and accordingly proceed with the submission of the same.
- 'Undertaking on Penalty' shall be applicable only to the members who are engaged in 'Proprietary and Clientele' & 'Only Clientele' trading type.

Last Login:

NSE

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

(* Indicates Mandatory)

Declaration of Penalty

Trading Type*: ☐ Proprietary ☒ Proprietary and Client ☐ Client only

TM Code* <input type="text" value="06378"/>	TM Name* <input type="text" value="SONANZA PORTFOLIO LTD."/>	Name of Designated Director* <input type="text"/>
Date* <input type="text" value="26-Sep-2025"/>	Place* <input type="text"/>	

Download Certificate for Declaration of Penalty [Declaration of Penalty](#)

Upload Certificate for Declaration of Penalty

Certificate for Declaration of Penalty [Sign PDF](#)

[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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- Members shall fill in the required details, after which the ‘Declaration of Penalty’ PDF will be generated.
 This PDF should be downloaded and digitally signed by the Designated Director using the E-lock application by clicking the ‘Sign PDF’ option and then submit the same.
- Where member has selected the Trading Type as ‘Proprietary’, the requirement of submitting the undertaking is not applicable. Member shall click on Submit to proceed further.

NSE

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

(* Indicates Mandatory)

Declaration of Penalty

Trading Type*: ☒ Proprietary ☐ Proprietary and Client ☐ Client only

[Submit](#)


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Note: Internal Auditor shall not be able to submit the Internal Audit Report unless the said Undertaking is submitted by member.

Step 3 : Auditor Registration

- For each Internal Audit cycle, Members need to register their Internal Auditor irrespective of auditor being an existing auditor. To do so, click on ‘Internal Audit’ tab and 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.

After ensuring that all details have been correctly entered, click “Submit” to register the Auditor



My Inspection

Risk Based Supervision

QSB Submission

Enhanced Supervision

Internal Audit

Statement Upload

Active Terminal

VAPT

My Inspection

Auditor Registration

Internal Audit MIS Report

IAR-Help Documents

Undertaking on Penalty

Empanelled Audit Firms

ATR-1 Auditor Registration

ATR-2 Auditor Registration

Internal Audit ATR-1 MIS Report

Internal Audit ATR-2 MIS Report

Last Login: 01/10/2025

Welcome sub

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
1	OCT-13 To MAR-14	065201	SAHIB S CHOUDHARY & CO	326269E	CM,FO,CD,WDM	CA	nseit_pbhoi@vend or.nse.co.in	Jun 30, 2014 3:51:36 PM			
2	APR-14 To SEP-14	065201	SAHIB S CHOUDHARY & CO	326269E	CM,FO,CD,WDM	CA	nseit_pbhoi@vend or.nse.co.in	Jan 3, 2015 4:04:33 PM			
3	OCT-14 To MAR-15	065201	SAHIB S CHOUDHARY & CO	326269E	CM,FO,CD,WDM	CA	nseit_pbhoi@vend or.nse.co.in	Jun 11, 2015 12:20:56 PM			
4	OCT-14 To MAR-15	061688	PRADEEP S GOEL & CO.	325255E	CM,FO,CD,WDM	CA	nseit_pbhoi@vend or.nse.co.in	Jul 8, 2015 1:14:07 PM			
5	APR-15 To SEP-15	064665	VIRENDRA SURANA & CO	319179E	CM,FO,CD,WDM,IR F,DEBT	CA	nseit_pbhoi@vend or.nse.co.in	Dec 31, 2015 1:34:03 PM			
			VIRENDRA SURANA & CO	319179E	CM,FO,CD,WDM,IR F,DEBT	CA	nseit_pbhoi@vend or.nse.co.in	Jun 3, 2016 3:31:36 PM			

Auditor Period

Auditor Firm Registration No*

Auditor Firm Name**

Auditor Membership No*

Auditor Email ID*

PAN of the Auditor*

Pan 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 (CM/FO/SLBM/CD/WDM/OBPP/CO):*

Select

Select

DD-MMM-YYYY

DD-MMM-YYYY

CA CS CMA

☐ CM

☐ FO

☐ SLBM

☐ CD

☐ WDM

☐ OBPP

☐ IRF

☐ MFSS

☐ DEBT

☐ CO

☐ I undertake to appoint the said auditor to conduct Internal Audit for the half year ended September, 2025 as per the requirement of SEBI and Exchange

Note:

Kindly create Auditor Login ID through Member's Admin ID and register the same Login ID.

Auditor Login ID created through Member Admin ID should match with the Auditor Login ID registered.

Submit

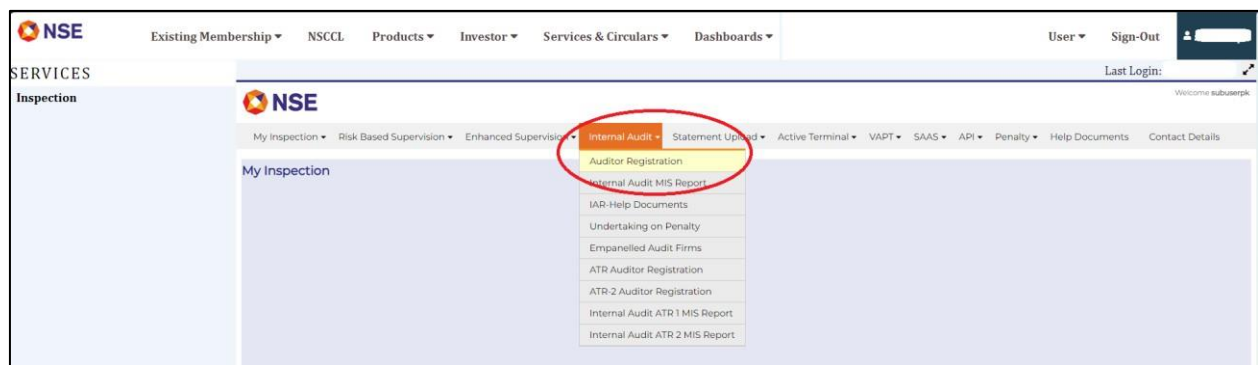
Reset

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

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 4 : Conflict of Interest

- After submission of 'Conflict of Interest' (COI) by Auditor, the Member will be able to submit it. Member shall access the 'Auditor Registration'tab and click on the 'Conflict of Interest' button.



NSE											
My Inspection • Risk Based Supervision • QSI Submission • 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
	<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"/>
8	APR-17 to SEP-17	410227	ACCOUNTANTS PAREKH SHAH & LODHACHARTERED ACCOUNTANTS	107487W	CMJ-QCD	CA	nseit_pthoi@vendor.nse.co.in	Nov 29, 2017 2:47:29 PM			
9	OCT-17 to MAR-18	410227	Parekh Shah & Lodha	107487W	CMJ-QCD	CA	nseit_pthoi@vendor.nse.co.in	May 30, 2018 4:15:09 PM			
10	APR-18 to SEP-18	410227	PAREKH SHAH AND LODHA	107487W	CMJ-QCD	CA	nseit_pthoi@vendor.nse.co.in	Nov 28, 2018 6:56:42 PM			
11	OCT-18 to MAR-19	410227	PAREKH SHAH & LODHA	107487W	CMJ-QCD	CA	nseit_pthoi@vendor.nse.co.in	May 29, 2019 4:56:48 PM			
12	APR-19 to SEP-19	410227	PAREKH SHAH AND LODHA	107487W	CMJ-QCD	CA	nseit_pthoi@vendor.nse.co.in	Nov 27, 2019 12:43:15 PM			
13	OCT-20 to MAR-24	987654	bhbjhjh	213455W	CMJ-QCD	CA	chaubey@nse.co.in	Mar 27, 2024 10:40:10 AM			
14	APR-24 to SEP-24	345678	ABCD & Co	123456W	CMJ-QCD	CA	pikunte@nse.co.in	Oct 3, 2024 12:30:13 PM			
15	OCT-24 to MAR-25	123456	Vinayak Test New	12345A	CM	CA	nseit_mghanekar@nse.co.in	Mar 21, 2025 4:04:58 PM			
16	OCT-24 to MAR-25	123456	Vinayak Test New	12345A	SLBMJO	CA	nseit_mghanekar@nse.co.in	Mar 25, 2025 6:04:36 PM			
17	APR-25 to SEP-25	109139	A. Ajmera & Associates	123244W	CMJ-Q	CA	nseit_mghanekar@nse.co.in	Sep 16, 2025 5:44:01 PM			
Page 1 of 1 50 View 1 - 17 of 17											

- During submission of conflict of interest from member end, the following screen appears, and member shall submit the appropriate response.



[My Inspection](#)
[Risk Based Supervision](#)
[QSB Submission](#)
[Enhanced Supervision](#)
[Internal Audit](#)

(* Indicates Mandatory)

Conflict Of Interest


Member Name	
Member Code	
Auditor Period	APR-25 To SEP-25
Auditor Firm Name	
Auditor Firm Registration No	
Auditor Email ID	
Auditor name	
Auditor Membership No	
Conflict Of Interest*	<input type="radio"/> Yes <input checked="" type="radio"/> No

Submit to Exchange

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Step 5 : Internal Audit Report Submission- Member End

- Post COI submission, Auditor shall login to Auditor's login and process the Internal Audit Report.
- After submission of Internal Audit Report by the Auditor, the Member can view the Audit report by accessing the 'Internal Audit Report MIS' in 'Internal Audit' tab in the Member login.



[My Inspection](#)
[Risk Based Supervision](#)
[QSB Submission](#)
[Enhanced Supervision](#)
[Internal Audit](#)
[Statement Upload](#)
[Active Terminal](#)
[VAPT](#)
[SAAS](#)
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[My Inspection](#)

[Auditor Registration](#)
[Internal Audit MIS Report](#)
[IAR-Help Documents](#)
[Undertaking on Penalty](#)
[Empanelled Audit Firms](#)
[ATR-1 Auditor Registration](#)
[ATR-2 Auditor Registration](#)
[Internal Audit ATR-1 MIS Report](#)
[Internal Audit ATR-2 MIS Report](#)

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- Under 'Internal Audit MIS report' tab, Member shall select the period and click 'Search' button to view the Audit report submitted by the Auditor.

NSE Welcome Pratiksha

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

Internal Audit Report MIS

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

Request Ref. No.	Segment	Audit Report Period	Status	Rejection remarks(if any)	Date of Submission at Auditor end	Date of Submission at Member end	Annexure 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	etc
1	CDOPBP/FOCM	APR-25 To SEP-25	Submit To Member		Sep 26, 2025 9:50:43 PM		06378_IarSEP-25_A1_58662.pdf	06378_IarSEP-25_A2_58662.pdf				IARHSESEP25 SAMPLE DETAILS.xlsx	Yes	06378_Iar_Declaration Of Penalty.pdf	

Page 1 of 1

- To view the Audit report and to submit the management comments, Member shall click the "Request reference no." against the current submission and the following page will be displayed.

Trading Activity: Last Login: 2025-09-26 10:00:00

Facility Providing:

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:

No. of APs inspected by the member:

No. of Bank Accounts operated by the member:

No. of DP Accounts operated by the member:

Observation Sheet submitted by Auditor: [IARHSESEP25.xlsx](#)

QSB Observation Sheet submitted by Auditor: [IARHSESEP25.xlsx](#)

Annexure 1: [06378_IarSEP-25_A1_58662.pdf](#)

Annexure 2: [06378_IarSEP-25_A2_58662.pdf](#)

Annexure 3: [06378_IarSEP-25_A3_58662.pdf](#)

Sample Details File: [IARHSESEP25 SAMPLE DETAILS.xlsx](#)

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	IN200012107	Trading/Clearing

- The Member shall download the observation sheet in excel as well as QSB observation sheet (if applicable) and indicate his acceptance (by selecting Y or N from the dropdown) for each compliance status marked by the Internal Auditor.

Note: For QSB checklist, Member shall provide management comments and then upload the file.

- Once done, Member shall upload the same file by browsing and clicking the upload button.

My Membership		Products		Investor		Services & Circulars		Dashboards		User		Sign-Out
Last Login:												
1	2025-30637	LPI	Trading	AL Approved & Dispatched	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 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.				
3	2025-30637	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.				
Member has ensured that clients whose KYC records are												
Page 1 of 1 50												
Please attach the Internal Audit report(Submitted by Auditor)(.xlsx):						Browse* Choose File No file chosen						
Please attach QSB Audit report(.xlsx): <i>*(Kindly add Management Comments in excel file)</i>						Browse Choose File No file chosen						
Upload												
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- After uploading the files, Member will be redirected to the next page where he will be able to fill Management Comments for non-complied points only.

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 Remarks (Para wise, where auditor has reported non-compliance)
4.5	Trading member has done actual settlement of clients funds for the month/quarter as per the annual calendar for settlement (quarterly/monthly) prescribed by the Exchange.	NC	Observation Of Interns	2	2	100	100000	Y	
4.6i	Member has correctly reported to the Exchange the Securities holding balances for each of the DP account maintained by it. (Details of the difference between the actual data and the reported data should clearly be brought out)	NC	Observation Of Interns	2	1	50	100000	Y	
4.6u	Member has not funded its clients in contravention to the Exchange / SEBI requirements i.e. member has not granted further exposure to the clients when debit balances arise out of clients failure to pay the required amount and such debit balance has not continued beyond the fifth trading day, as reckoned from date of pay-in (Except in accordance with Margin Trading Guidelines)	NC	Observation Of Interns	2	1		100000	Y	
4.8h	Funds of clients having credit balance has used for margin obligation of respective client only and not for obligation of any other clients / Proprietary trading	NC	Observation Of Interns	2	1	50	100000	Y	

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

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	
Request Reference No.	Audit Period	Segment	S.No	Area Of Verification	Compliance Status	Remarks In case of observation	Management Comments
0778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CA	1.1	Risk profiling/categorisation of the clients has been done as per the written down policy of the member as per the PhLA master circular.	NC	Member has correctly reported to the Exchange the Securities holding balance	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
0778/AUDIT_REPORT/58466	APR-24 To SEP-24	CD FO CA	3.1	Member has maintained copies / duplicates of contract notes issued to clients in physical or electronic form.	NC	Member has correctly reported to the Exchange the Securities holding balance	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

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)
2025-30633	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	The funds used for margin trading is not obtained from approved sources only	NC	Adequate surveillance policy covering areas specified which has been approved by its Board / Partners / Proprietor	No	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
2025-30633	OFFSITE	OFFSITE	AL Approved & Dispatched	25-Oct-2024	Adequate surveillance policy covering areas specified which has been approved by its Board / Partners / Proprietor	NC	Adequate surveillance policy covering areas specified which has been approved by its Board / Partners / Proprietor	Yes	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

- Member shall proceed to fill the required details and the click the “Submit” button.
 - Upon proceeding, Member shall download the Internal Audit Report (Annexure 2) available in PDF format.
- 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.*
- To digitally sign Annexure 2 and 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.

My Inspection ▾ Risk Based Supervision ▾ QSB Submission ▾ 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, 2025 and noted the observations made. Please find enclosed Audit Report along with our management comments for your consideration and necessary action.

Submit

Note:

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

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The screenshot shows the NSE Internal Audit Report upload interface. A modal message box is displayed in the center, indicating an error. The message text is: "Please upload the signed Internal Audit Report, path for the same is C:\Users\pratikshas\OneDrive - NSE India Limited\Documents\IA submission- Mar 25\06378-26.09.25\Member end\06378_larSEP_25_A2_58662-signed.pdf". The modal has a red warning icon and an 'Ok' button. The background page shows the 'Internal Audit Report' section with a 'Choose File' button and a 'Sign PDF' button. A checkbox for review is also visible.

➤ While uploading the Audit Report (Annexure 2) & QSB Audit Report (Annexure 3- if applicable) Auditor has to ensure the following:

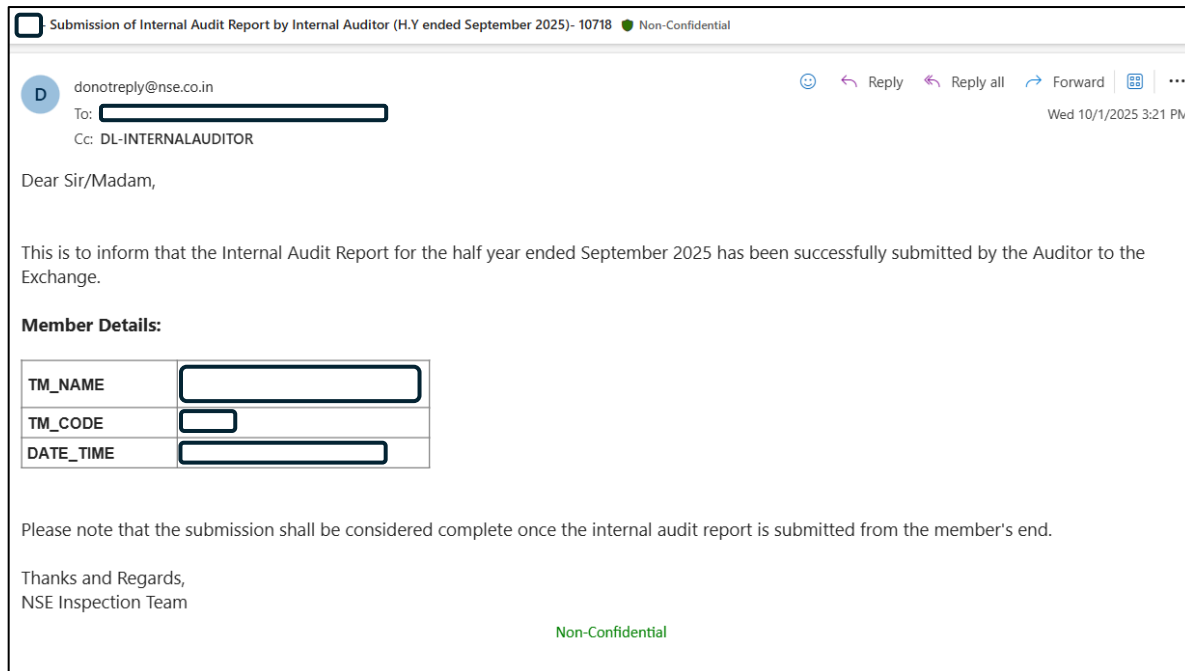
- File name should not be changed and should remain same as downloaded.
Add 'signed' at the end of the PDF name generated for uploading files.
Eg: 12345_larSEP_25_A2_58643-signed
- File size should be less than 10 MB.

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

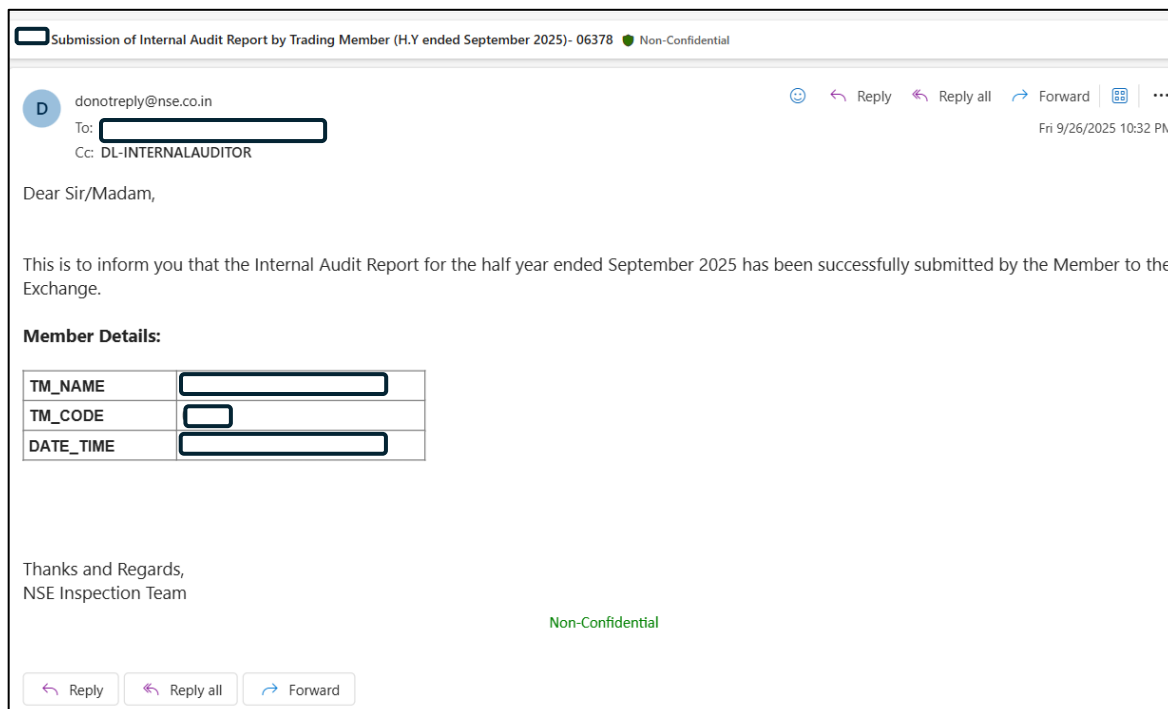
The screenshot shows the NSE Internal Audit Report upload interface after successful submission. A modal confirmation box is displayed in the center, stating: "Internal Audit Report successfully submitted to the Exchange." with a green checkmark icon. The modal has an 'Ok' button. The background page shows the 'Internal Audit Report' section with a 'Sign PDF' button and a 'Submit' button. A checkbox for review is also visible.

Step 6 : Acknowledgement of Report Submission

- 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.

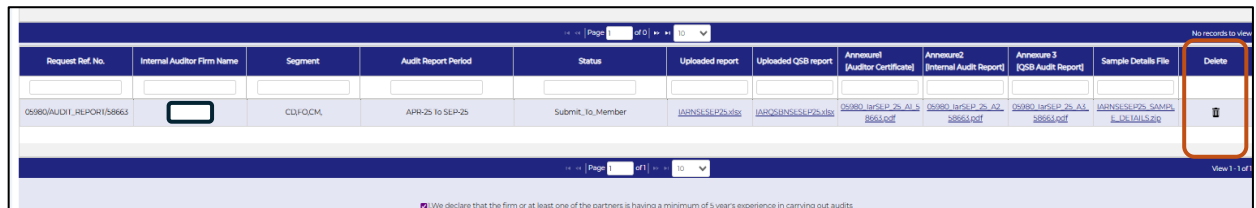


- Similarly, after successful submission of Internal Audit Report by Member an auto-generated email will be sent to the Member.



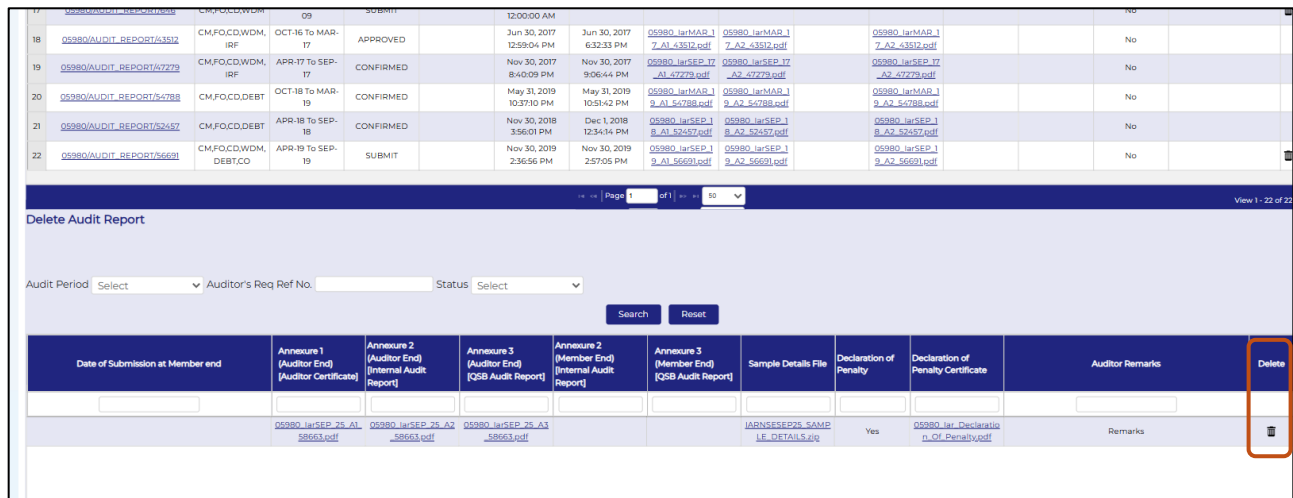
Step 7 : Internal Audit Report Deletion Functionality

- Going forward, 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	Annexure 1 (Auditor Certificate)	Annexure 2 (Internal Audit Report)	Annexure 3 (QSB Audit Report)	Sample Details File	Delete
05980/AUDIT_REPORT/58663		CM.FOCDM	APR-25 To SEP-25	Submit To Member	IARNSEPS25_SAMP	IARNSEPS25_SAMP	05980_IarSEP_25_A1_58663.pdf	05980_IarSEP_25_A2_58663.pdf	05980_IarSEP_25_A3_58663.pdf	IARNSEPS25_SAMP_58663.pdf	

- 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)



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				IARNSEPS25_SAMP_58663.pdf	Yes	05980_Iar_Declaration_of_Penalty.pdf	Remarks	

- 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/79854	CM.FO.CD.WDM	APR-14 To SEP-14	CONFIRMED	Jan 5, 2015	Jan 5, 2015	05980_IarSEP-1_4_A2_16854.pdf	05980_IarSEP-1_4_A2_16854.pdf	No	
14	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM, IRF	OCT-15 To MAR-16	CONFIRMED			05980_IarMAR-1_6_A2_16854.pdf	05980_IarMAR-1_6_A2_16854.pdf	No	
15	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM, IRF	APR-16 To SEP-16	CONFIRMED			05980_IarSEP-1_6_A2_16854.pdf	05980_IarSEP-1_6_A2_16854.pdf	No	
16	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM	OCT-17 To MAR-18	CONFIRMED			05980_IarMAR-1_8_A2_16854.pdf	05980_IarMAR-1_8_A2_16854.pdf	No	
17	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM	OCT-08 To MAR-09	SUBMIT					No	
18	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM, IRF	OCT-16 To MAR-17	APPROVED			05980_IarMAR-1_7_A2_16854.pdf	05980_IarSEP-17_A2_16854.pdf	No	
19	05980/AUDIT_REPORT/79854	CM.FO.CD.WDM, IRF	APR-17 To SEP-17	CONFIRMED			05980_IarSEP-17_A2_16854.pdf	05980_IarSEP-17_A2_16854.pdf	No	
20	05980/AUDIT_REPORT/79854	CM.FO.CD.DEBT	OCT-18 To MAR-19	CONFIRMED			05980_IarMAR-1_9_A2_16854.pdf	05980_IarSEP-1_8_A2_16854.pdf	No	
21	05980/AUDIT_REPORT/79854	CM.FO.CD.DEBT	APR-18 To SEP-18	CONFIRMED			05980_IarSEP-1_8_A2_16854.pdf	05980_IarSEP-1_8_A2_16854.pdf	No	
22	05980/AUDIT_REPORT/79854	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_A2_16854.pdf	05980_IarSEP-1_9_A2_16854.pdf	No	

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Delete Audit Report

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

Search Reset

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_16854.pdf	05980_IarSEP-25_A2_16854.pdf	05980_IarSEP-25_A3_16854.pdf			IARSEP25_SAMPLE_DETAILS.rtf	Yes	05980_Iar_Declaration_of_Penalty.pdf	Remarks	

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

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 Auditor's	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
1	05980/AUDIT_REPORT/7247	CM.FO.CD.WDM	APR-09 To SEP-09	SUBMIT	Dec 27, 2010 12:00:00 AM					No	
2	05980/AUDIT_REPORT/7316	CM.FO.CD.WDM	OCT-09 To MAR-10	SUBMIT	Jun 24, 2010 12:00:00 AM					No	
3	05980/AUDIT_REPORT/7303	CM.FO.CD.WDM	APR-10 To SEP-10	SUBMIT	Dec 27, 2010 12:00:00 AM					No	
4	05980/AUDIT_REPORT/7649	CM.FO.CD.WDM	APR-11 To SEP-11	SUBMIT	Dec 18, 2010 12:00:00 AM					No	
5	05980/AUDIT_REPORT/7670	CM.FO.CD.WDM	OCT-10 To MAR-11	SUBMIT	Jun 29, 2010 12:00:00 AM					No	
6	05980/AUDIT_REPORT/7077	CM.FO.CD.WDM	APR-12 To SEP-12	SAVE	Jan 4, 2013 5:45:49 PM					No	
7	05980/AUDIT_REPORT/7611	CM.FO.CD.WDM	OCT-11 To MAR-12	SUBMIT	Jun 29, 2012 4:33:02 PM					No	
8	05980/AUDIT_REPORT/7267	CM.FO.CD.WDM	APR-13 To SEP-13	APPROVED	Dec 31, 2013 1:36:28 PM					No	
9	05980/AUDIT_REPORT/7934	CM.FO.CD.WDM	OCT-12 To MAR-13	SUBMIT	Jul 3, 2013 3:26:17 PM					No	
10	05980/AUDIT_REPORT/7686	CM.FO.CD.WDM	OCT-13 To MAR-14	SUBMIT	Jul 14, 2014 4:09:47 PM	05980_IarMAR-1_4_A1_16858.pdf	05980_IarMAR-1_4_A2_16858.pdf	05980_IarMAR-1_4_A2_16858.pdf		No	
			OCT-14 To MAR-15		Jul 15, 2015	05980_IarMAR-1_4_A1_16858.pdf	05980_IarMAR-1_4_A2_16858.pdf	05980_IarMAR-1_4_A2_16858.pdf		No	

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- 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.

- 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.

- To accept the deletion request, Auditor shall login to Auditor portal.
- 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)

-END-