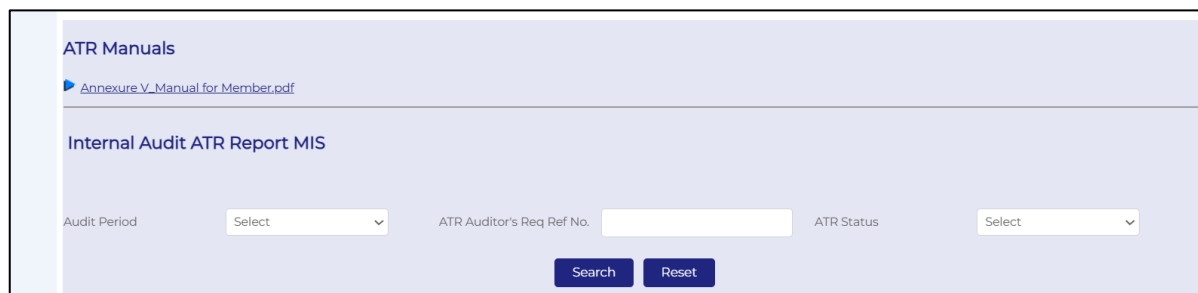


PART 1: MANUAL FOR SUBMISSION OF ACTION TAKEN REPORT (ATR) BY MEMBER

The manual for submission of Action Taken Report has been made available in the Member's login.



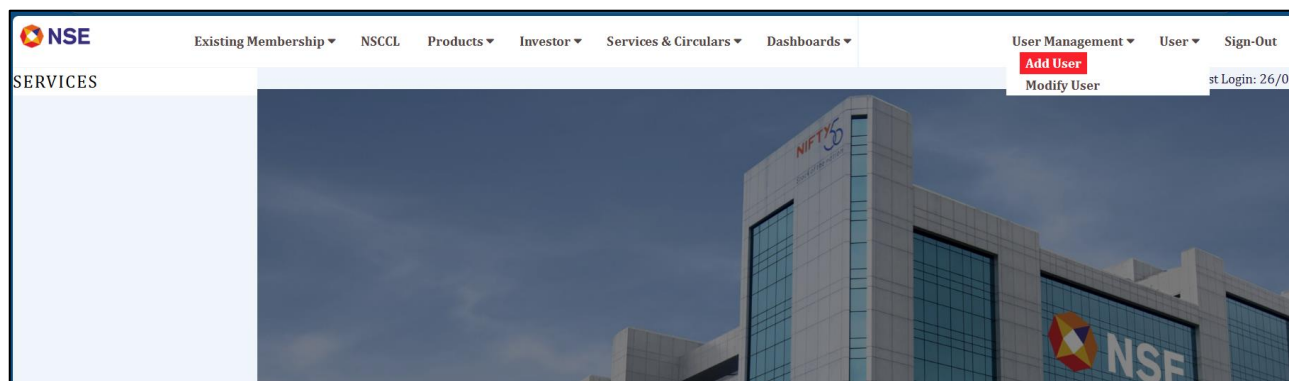
The screenshot shows a web interface for submitting an Action Taken Report (ATR). At the top, there is a section titled 'ATR Manuals' with a link to 'Annexure V_Manual for Member.pdf'. Below this is a section titled 'Internal Audit ATR Report MIS'. It contains three input fields: 'Audit Period' with a dropdown menu showing 'Select', 'ATR Auditor's Req Ref No.' with a text input field, and 'ATR Status' with a dropdown menu showing 'Select'. At the bottom of this section are two buttons: 'Search' and 'Reset'.

Step 1 : Auditor Login Creation

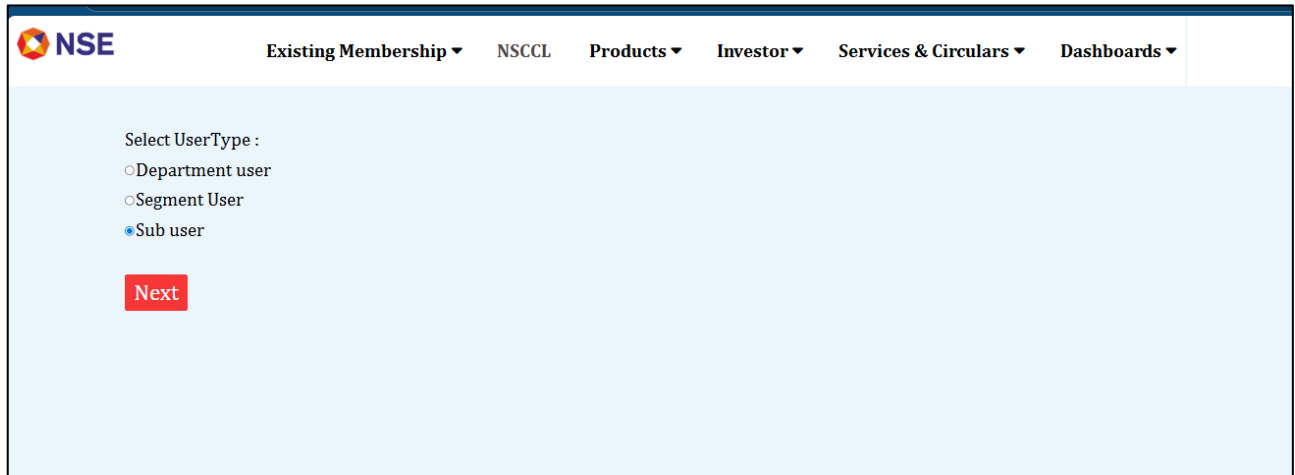
- Member shall login into member portal (<https://inspection.nseindia.com/MemberPortal/>) and below screen will be displayed.
- For creating the login for the auditor who has submitted the Internal Audit Report for relevant half year, member shall assign the role of 'Internal Audit-ATR' to the existing user ID of Internal Auditor or alternatively create a new sub-user using below-mentioned steps for ATR submission. If member wants to create login for auditor (other than Internal Auditor as mentioned above), Member shall create new sub user from Member's ENIT admin login.

Steps for creation of auditor login:-

1. 1st login in Member's ENIT admin login. Right hand side under User Management click on 'Add User'.



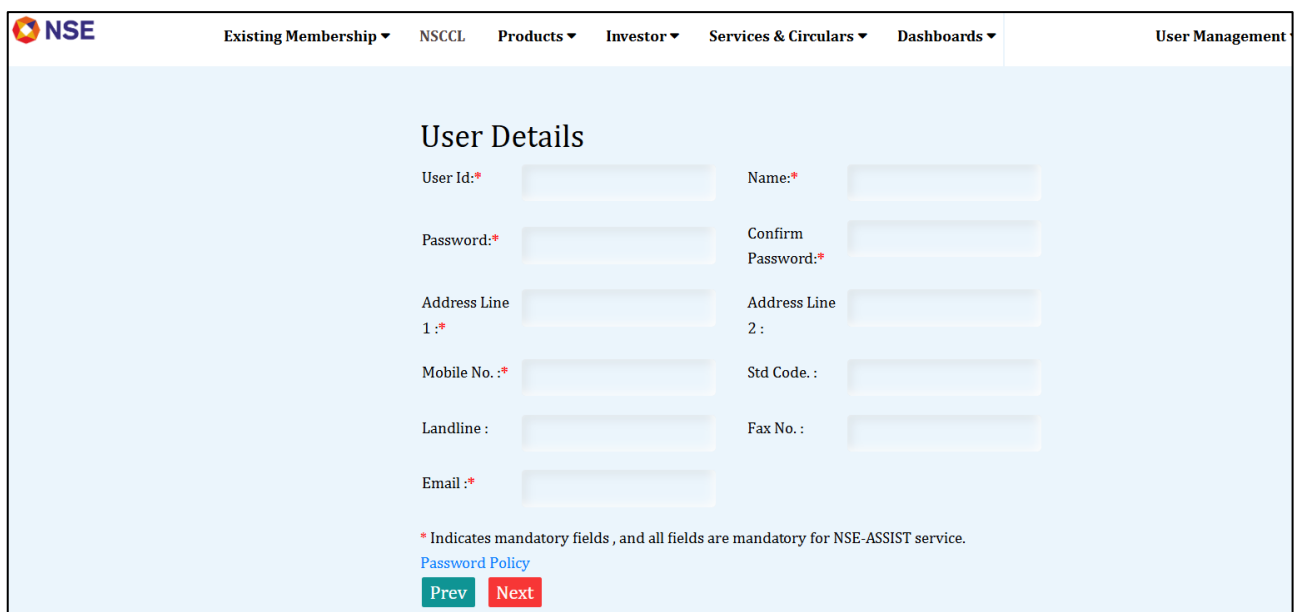
2. Select Sub user and click on Next button.



The screenshot shows the NSE website header with navigation links: Existing Membership, NSCCL, Products, Investor, Services & Circulars, and Dashboards. The main content area has a light blue background and contains the text "Select UserType :" followed by three radio button options: "Department user", "Segment User", and "Sub user". The "Sub user" option is selected. Below the options is a red "Next" button.

3. After filling the required details, click on Next.

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

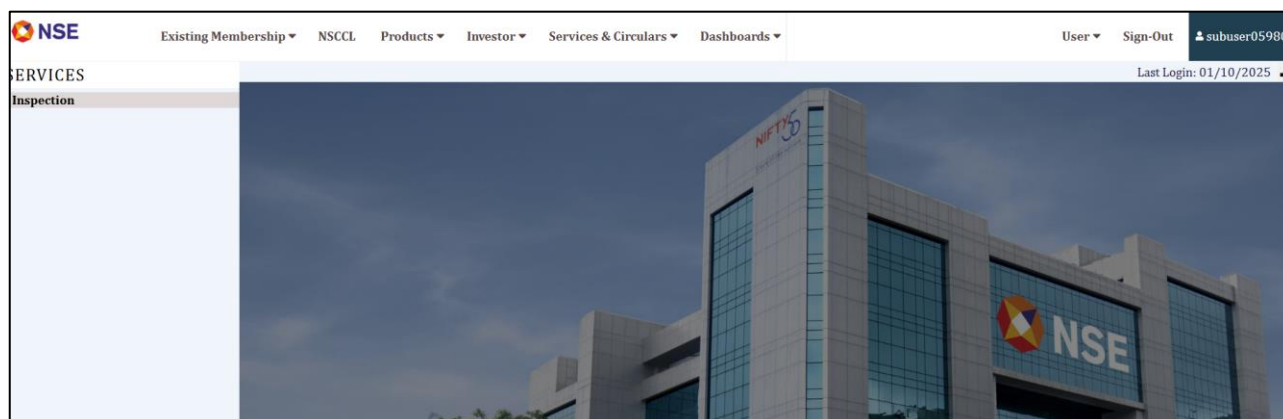


The screenshot shows the NSE website header with navigation links: Existing Membership, NSCCL, Products, Investor, Services & Circulars, Dashboards, and User Management. The main content area has a light blue background and contains the title "User Details". Below the title are several input fields for user registration: User Id, Name, Password, Confirm Password, Address Line 1, Address Line 2, Mobile No., Std Code., Landline, Fax No., and Email. Each field is marked with a red asterisk indicating it is mandatory. At the bottom, there is a note: "* Indicates mandatory fields , and all fields are mandatory for NSE-ASSIST service." followed by a link to "Password Policy". Below the link are two buttons: "Prev" and "Next".

4. Assign 'Internal Audit-ATR' role to the auditor and submit.

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"/>
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"/>
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"/>
EXTRANET_dnlid	<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"/>
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"/>
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"/>
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"/>
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"/>
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"/>
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"/>
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"/>
Inspection_bank_recon	<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_rhel_8	<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"/>
Internal Audit-ATR	<input checked="" 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"/>
NSE Investor Centre	<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"/>
NSE-ASSIST	<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"/>
UCI-Online	<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"/>
UCI-Online DEV	<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"/>
UCI-Online DEV2	<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"/>
WebAPP	<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_itrc	<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"/>

- 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.

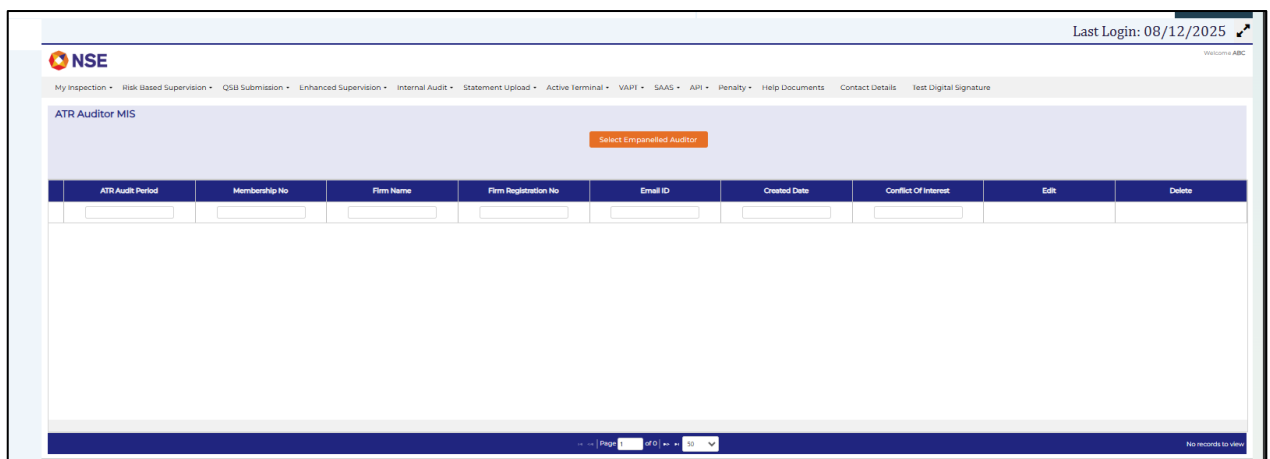
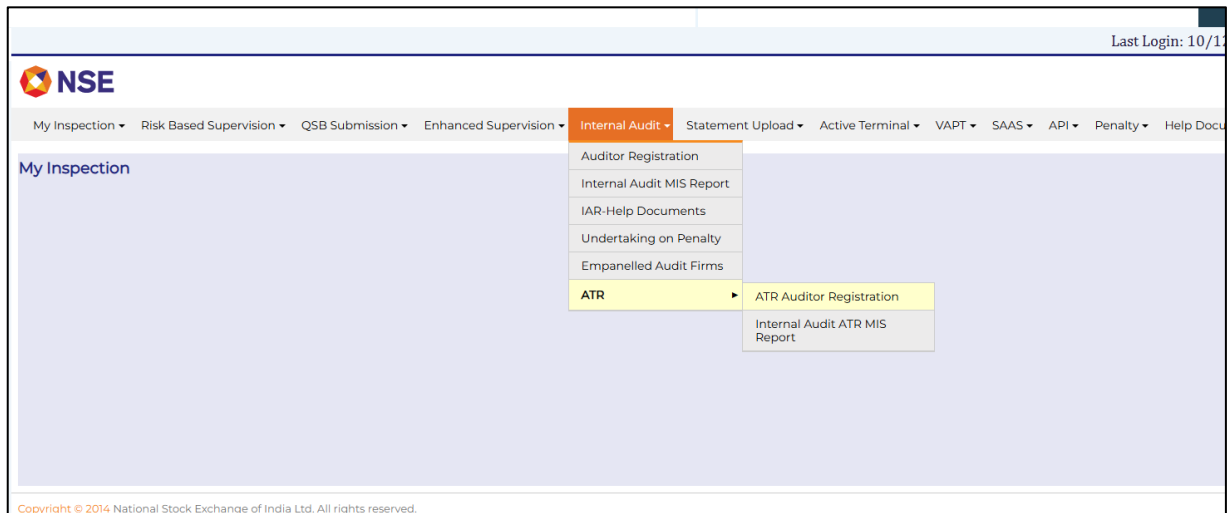


Step 2 : Auditor Registration

Members need to register their Auditor irrespective of auditor being an existing auditor. To do so, click on 'Internal Audit' tab and click on "ATR", "ATR Auditor Registration" from the dropdown available in the Internal Audit tab. Click on 'Select Empanelled Auditor' which allows members to add auditor with his details.

To select same auditor (who submitted internal audit report), select the checkbox 'select same auditor who submitted IAR', all the details will be auto populated, where member can edit few fields like 'Auditor ID', 'Auditor Password' details if necessary (updated details in case of new sub-user); 'Date of Appointment', 'Date of Term End' , 'Segment', etc.

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



NSE

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ATR Auditor MIS

Select Empanelled Auditor

ATR Audit Period	Membership No	Firm Name	Firm Registration No	Email ID	Created Date	Conflict Of Interest	Edit	Delete
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Page 1 of 1

No records to view

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)

Add Internal Auditor for ATR

☒ Select same auditor who submitted IAR

Member Name

Member Code

Pin of the Member*

Auditor Period

Type of Entity*

Auditor Firm Registration No*

Name of the Firm*

Address of the Firm*

Pin of the Firm*

Auditor Membership No*

Auditor Email ID*

Name of the Auditor*

Auditor Contact Detail*

Pin of the Auditor*

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 (CA/PO/SLBA/CD/WDM/DBPP/CO):*

Note:

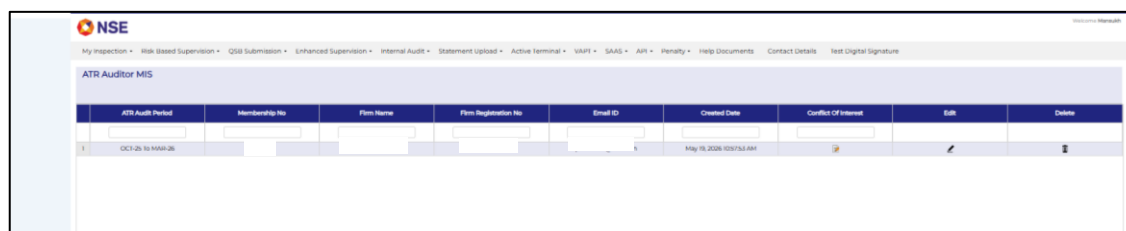
1. Kindly create Auditor login ID through Member Admin ID and register the same login ID.
2. Auditor login ID created through Member Admin ID should match with the Auditor login ID registered.

Submit Reset

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.

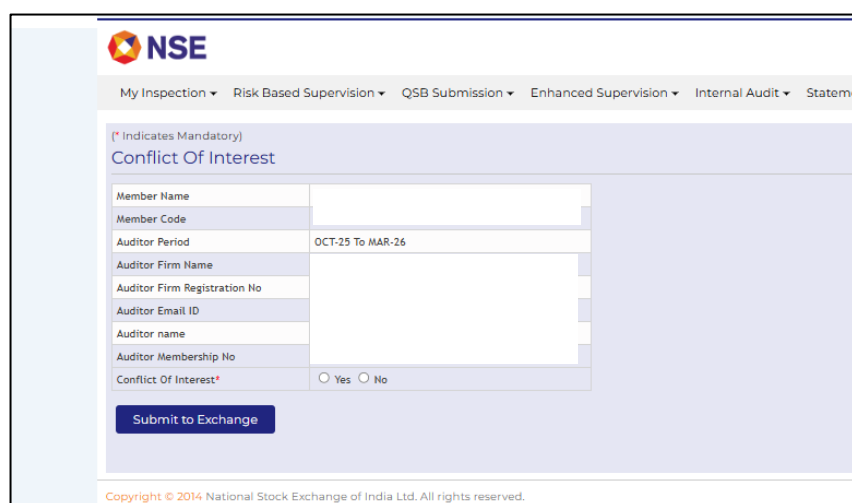
Step 3 : Conflict of Interest

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



ATR Audit Period	Membership No	Firm Name	Firm Registration No	Email ID	Created Date	Conflict of Interest	Edit	Delete
OCT-25 To MAR-26					May 15, 2025 10:57:52 AM			

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



(* Indicates Mandatory)

Conflict Of Interest

Member Name

Member Code

Auditor Period: OCT-25 To MAR-26

Auditor Firm Name

Auditor Firm Registration No

Auditor Email ID

Auditor name

Auditor Membership No

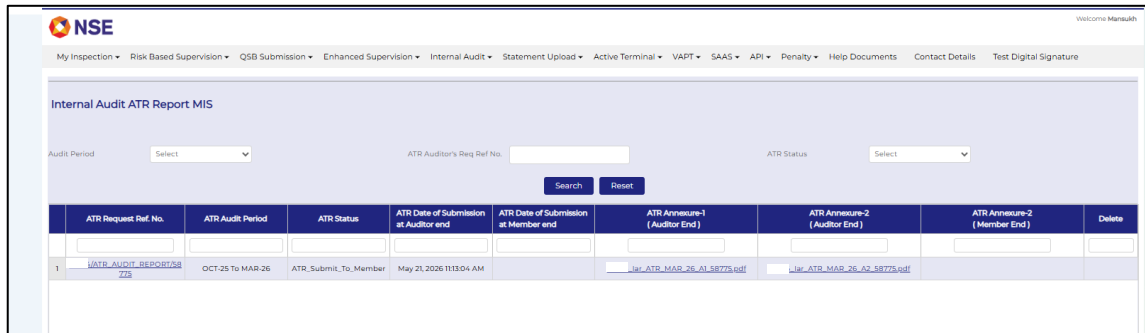
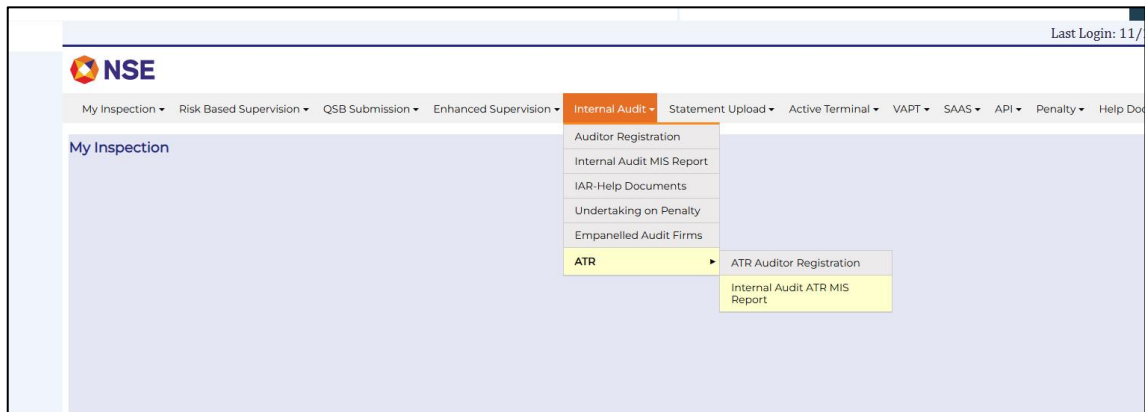
Conflict Of Interest* ☐ Yes ☐ No

Submit to Exchange

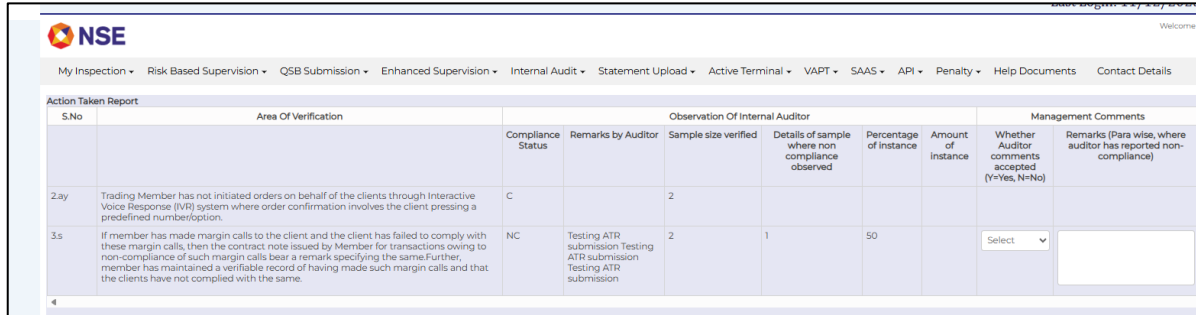
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Step 4 : Action Taken Report Submission- Member End

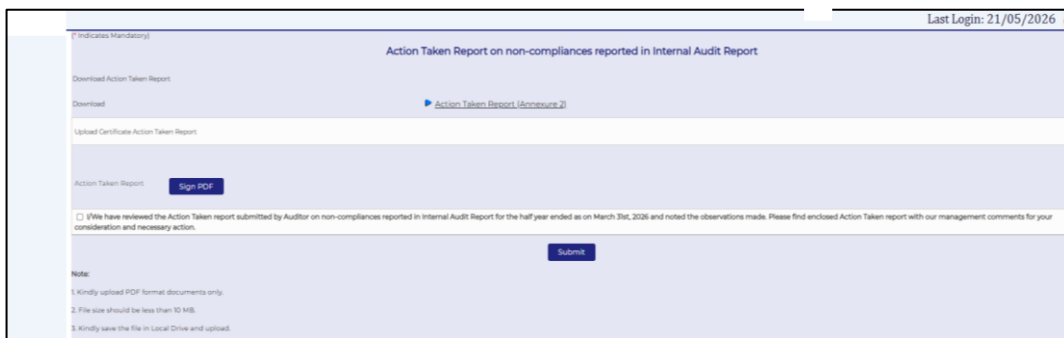
1. Post COI submission, Auditor shall login to Auditor’s login and process the Action Taken Report.
2. After submission of Action Taken Report by the Auditor, the Member can view the Audit report by accessing the ‘ATR’ in ‘Internal Audit’ tab in the Member login.
3. Under ‘Internal Audit ATR MIS report’ tab, Member shall select the period and click ‘Search’ button to view the ATR submitted by the Auditor.



- 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.



- The Member shall provide management comments for the non-complied clauses in ATR and indicate his acceptance (by selecting Y or N from the dropdown) for each compliance status marked by the Internal Auditor.
- Member shall proceed to fill the required details and the click the "Submit" button.
- Upon proceeding, Member shall download the Action Taken Report (Annexure 2) available in PDF format.



8. To digitally sign Action Taken Report, 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.

Last Login: 21/05/2026

(*) Indicates Mandatory)

Action Taken Report on non-compliances reported in Internal Audit Report

Download Action Taken Report

Download

Upload Certificate Action Taken Report

Action Taken Report

Choose File 0789A...ned.pdf

☒ I/We have reviewed the Action Taken report submitted by Auditor on non-compliances reported in Internal Audit Report for the half year ended as on March 31st, 2026 and noted the observations made. Please find enclosed Action Taken report with our management comments 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.

9. While uploading the Action Taken Report, member 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_lar_ATR_Mar_26_A2_58643-signed
- ✓ File size should be less than 10 MB.

Upload signed file of Action Taken Report and click submit. Once the files are submitted, the following screen shall be displayed.

Last Login: 21/05/2026

(*) Indicates Mandatory)

Action Taken Report on non-compliances reported in Internal Audit Report

Download Action Taken Report

Download

Upload Certificate Action Taken Report

Action Taken Report

Sign PDF

☐ I/We have reviewed the Action Taken report submitted by Auditor on non-compliances reported in Internal Audit Report for the half year ended as on March 31st, 2026 and noted the observations made. Please find enclosed Action Taken report with our management comments 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.

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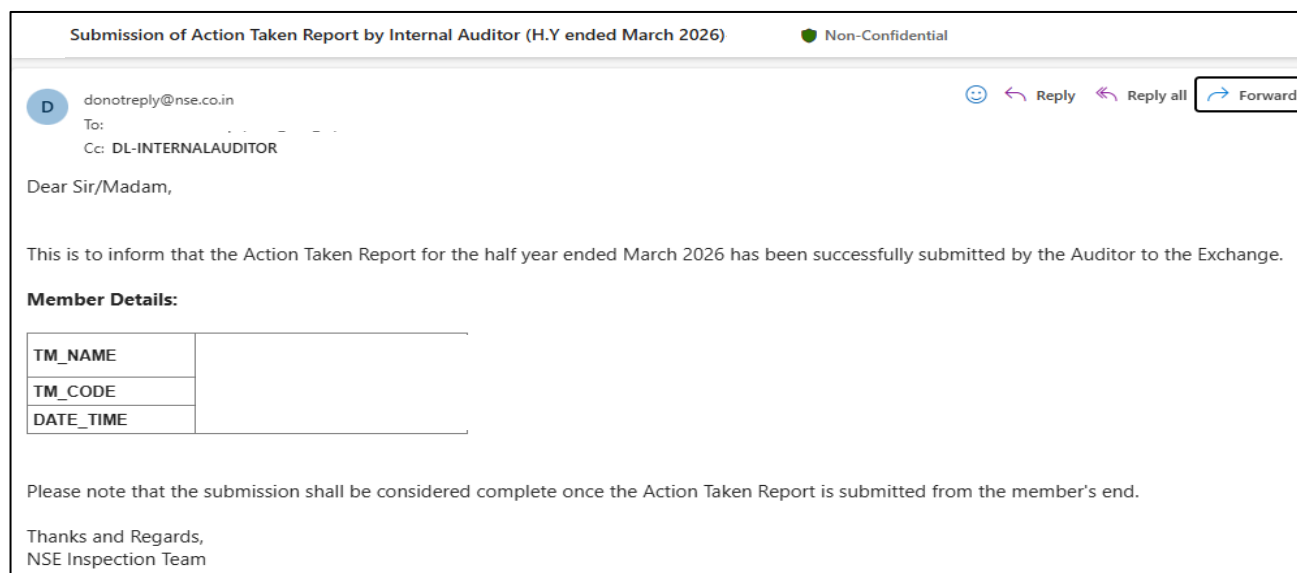
Confirmation

✓ Action Taken Report successfully submitted to the Exchange.

OK

Step 5 : Acknowledgement of Report Submission

Once the Action Taken 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 Action Taken Report by Member an auto-generated email will be sent to the Member.

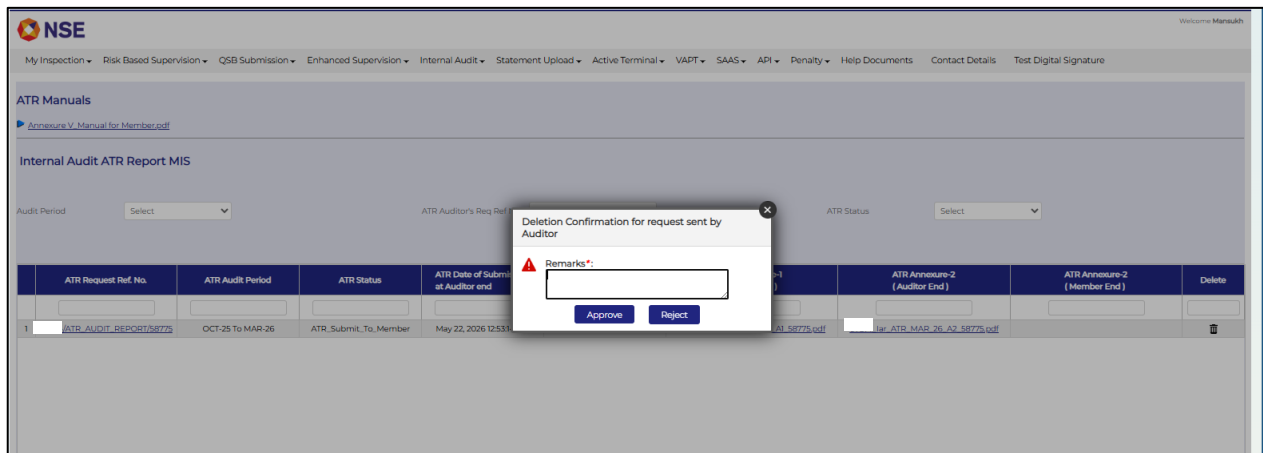


Step 6 : Action Taken Report Deletion Functionality

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

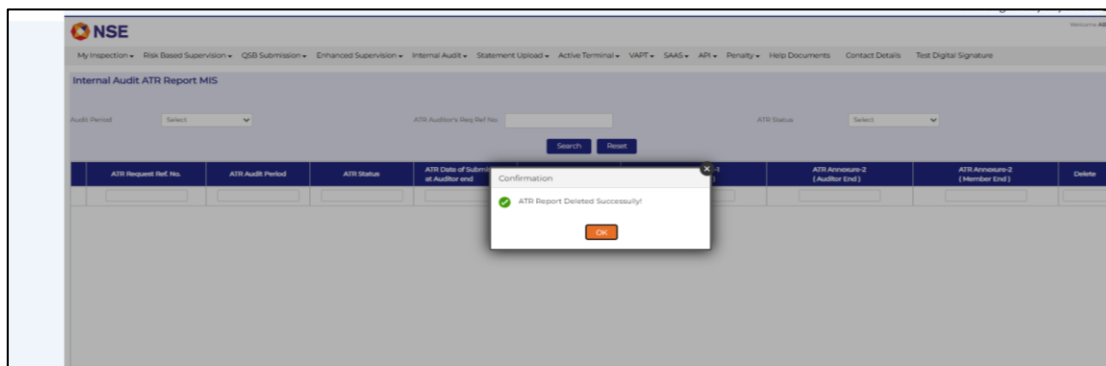
ATR Request Ref. No.	ATR Auditor Firm Name	ATR Period	ATR Status	ATR Annexure 1 [Auditor Certificate]	ATR Annexure 2 [Action Taken Report]	Delete
4/ATR_AUDIT_REPORT/58775		OCT-25 To MAR-26	ATR_Submit_To_Member	[ar_ATR_MAP_26_A1_58775.pdf]	[ar_ATR_MAP_26_A2_58775.pdf]	

- c) 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.
- d) To accept the deletion request, Member shall login to Member portal. Member shall click on Internal Audit tab then click on Internal Audit ATR Report MIS, where Member shall be able to view the deletion request. (As per screenshot below)



The screenshot shows the NSE Internal Audit ATR Report MIS interface. A modal window titled "Deletion Confirmation for request sent by Auditor" is displayed over the table. The modal has a "Remarks*" text area and "Approve" and "Reject" buttons. The background table shows ATR details for request 4/ATR_AUDIT_REPORT/58775.

- e) Member shall click on delete icon (as highlighted above), provide appropriate reasons for deletion and delete the report.
- f) Once the report is deleted following screen will be displayed and report will be deleted successfully.



The screenshot shows the NSE Internal Audit ATR Report MIS interface. A modal window titled "Confirmation" displays the message "ATR Report Deleted Successfully!" with an "OK" button. The background table is visible but partially obscured.

- Deletion of Action Taken Report submitted by Member-

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

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Internal Audit ATR Report MIS

Audit Period: ATR Auditor's Reg Ref No.: ATR Status:

ATR Request Ref. No.	ATR Audit Period	ATR Status	ATR Date of Submission at Auditor end	ATR Date of Submission at Member end	ATR Annexure-1 (Auditor End)	ATR Annexure-2 (Auditor End)	ATR Annexure-2 (Member End)	Delete	
1	[ATR_AUDIT_REPORT/8775]	OCT-25 To MAR-26	ATR_SUBMIT	May 21, 2026 11:03:04 AM	May 21, 2026 12:31:30 PM	[w_ATR_MAR_26_A3_8775.pdf]	[w_ATR_MAR_26_A3_8775.pdf]	[w_ATR_MAR_26_A3_8775.pdf]	<input type="button" value="Delete"/>

- c) 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.

NSE Welcome Member

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

ATR Manuals

[Download V-Manual for Member.pdf](#)

Internal Audit ATR Report MIS

Audit Period: ATR Auditor's Reg Ref No.: ATR Status:

Deletion Confirmation for request raised by Member

Remarks*:

ATR Request Ref. No.	ATR Audit Period	ATR Status	ATR Date of Submission at Auditor end	ATR Date of Submission at Member end	ATR Annexure-2 (Auditor End)	ATR Annexure-2 (Member End)	Delete	
1	[ATR_AUDIT_REPORT/8775]	OCT-25 To MAR-26	ATR_SUBMIT	May 21, 2026 11:03:04 AM	May 21, 2026 12:31:30 PM	[w_ATR_MAR_26_A3_8775.pdf]	[w_ATR_MAR_26_A3_8775.pdf]	<input type="button" value="Delete"/>

- 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)

(*) Indicates Mandatory)

Action Taken Report MIS

Auditor's Membership No.: Audit Period*:

You have already submitted the ATR report for all of the segments assigned to you.

Conflict Of Interest: ☐ Yes ☒ No

ATR Request Ref. No.	ATR Auditor Firm Name	ATR Period	ATR Status	ATR Annexure 1 [Auditor Certificate]	ATR Annexure2 [Action Taken Report]	Delete
1	[ATR_AUDIT_REPORT/8775]	OCT-25 To MAR-26	ATR_SUBMIT	[w_ATR_MAR_26_A1_8775.pdf]	[w_ATR_MAR_26_A2_8775.pdf]	<input type="button" value="Delete"/>

Page 1 of 1 View 1 of 1

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

The screenshot displays the 'Action Taken Report MIS' interface. A modal dialog box titled 'Deletion Confirmation for request sent by Member' is centered on the screen. The dialog contains a red warning triangle icon, a 'Remarks*' text input field, and 'Approve' and 'Reject' buttons. The background interface includes a sidebar with 'ATR Manuals' and 'Annexure V Manual for Auditor.pdf'. The main content area has a form with fields for 'Auditor's Membership No.*' and 'Audit Period*'. Below the form is a table with columns: 'ATR Request Ref. No.', 'ATR Auditor Firm Name', 'ATR Period', 'ATR Status', 'ATR Annexure 1 [Auditor Certificate]', 'ATR Annexure 2 [Action Taken Report]', and 'Delete'. The table contains one row with data: 'ATR_AUDIT_REPORT/58775', a redacted firm name, 'OCT-25 To MAR-26', 'ATR_SUBMIT', and two redacted annexure links. A 'Delete' icon is visible in the 'Delete' column. The footer shows 'Page 1 of 1' and 'View 1: 1 of 1'.

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

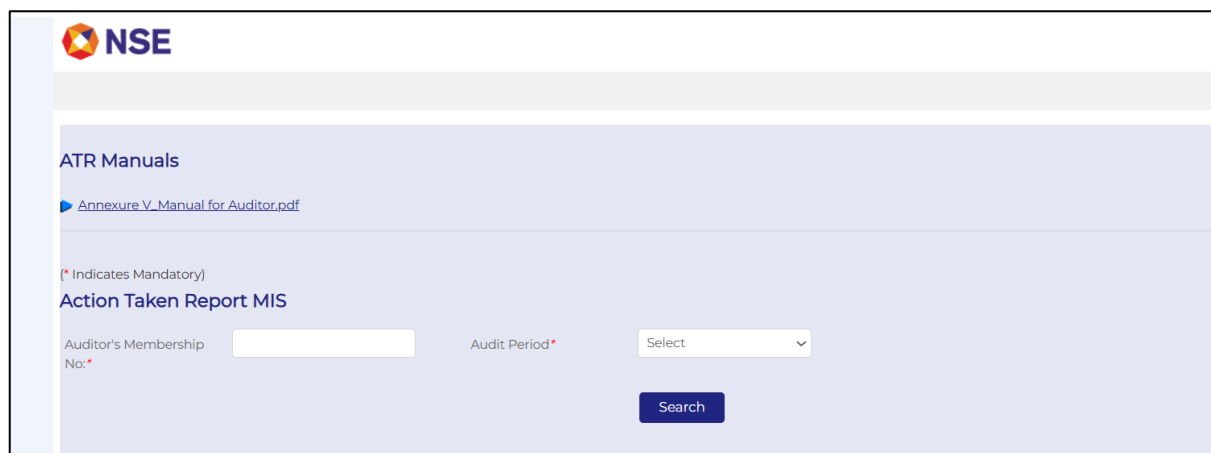
The screenshot shows the 'Action Taken Report MIS' interface after a successful deletion. A modal dialog box titled 'Confirmation' is displayed, featuring a green checkmark icon and the message 'ATR Report Deleted Successfully!'. The dialog has an 'OK' button. The background interface is the same as in the previous screenshot, but the modal dialog is now the primary focus. The footer includes the NSE logo and the text 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'.

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

-END-

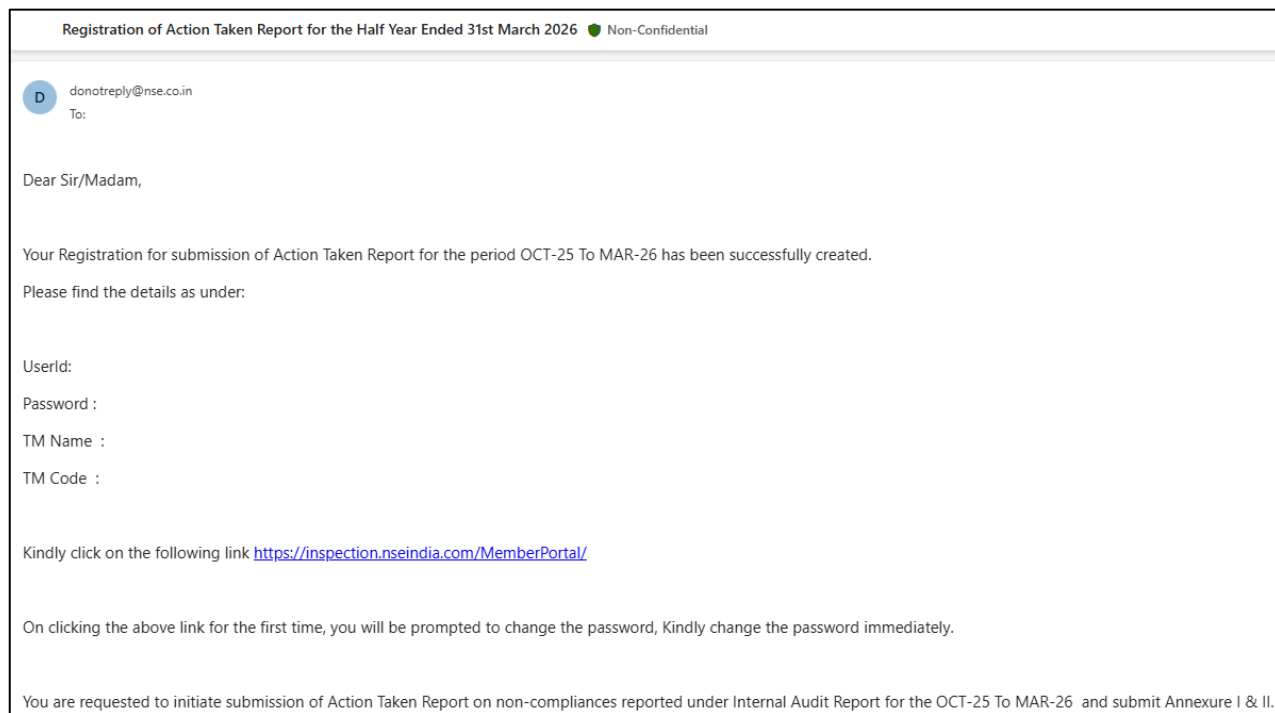
PART 2 : MANUAL FOR SUBMISSION OF ACTION TAKEN REPORT (ATR) BY AUDITOR

The manual for submission of Action Taken Report has been made available in the Auditor's login



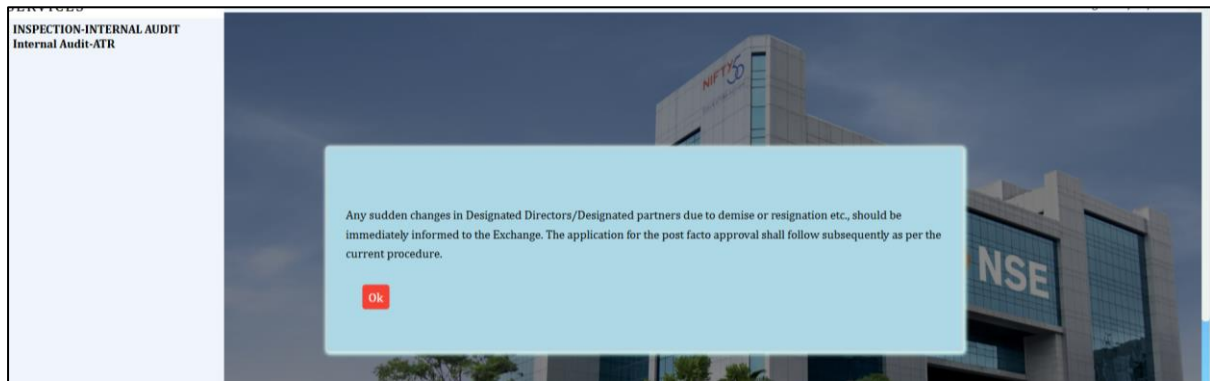
Step 1 : Auditor Registration:

- The Trading Member shall register the Auditor for ATR for the relevant half year through Member portal (Steps elaborated in ATR Manual for Member)
- Upon registration of Auditor by member, the Auditor shall receive the following e-mail on his registered E mail ID.

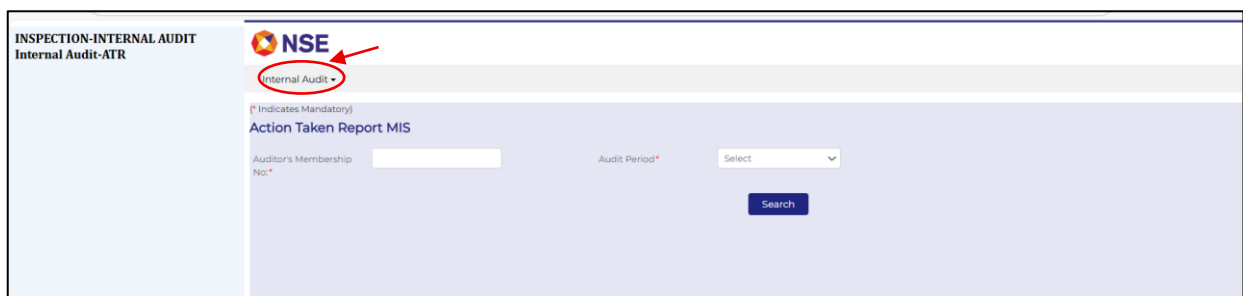


Step 2 : Submission of Action Taken Report:

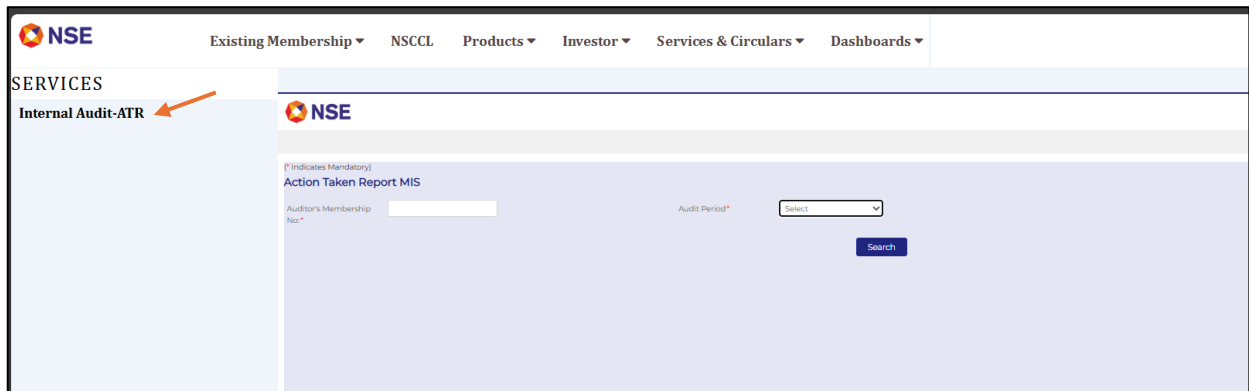
1. Click on the link mentioned in the email and proceed with submission using login credentials mentioned in the Auditor registration email.
(<https://inspection.nseindia.com/MemberPortal/>)
2. Click on "Internal Audit - ATR" under Menu at the left-hand side, Action Taken Report MIS page will open.



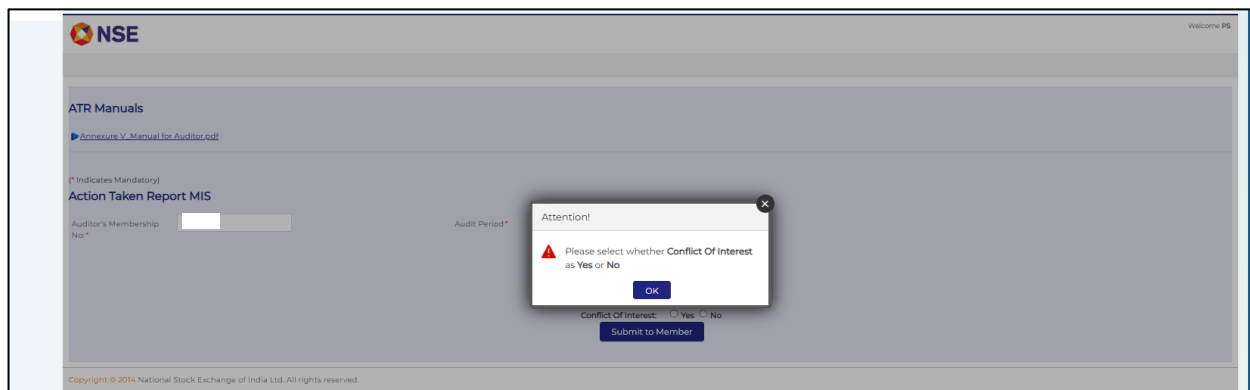
3. In case, 'Internal Audit-ATR' right is given to the existing internal auditor, then auditor shall click on 'Internal Audit' (as per screenshot attached) and select 'Internal Audit-ATR' from the dropdown.



4. New auditor shall click on 'Internal Audit-ATR' and proceed.



5. Under Action Taken Report MIS – by entering Auditor Membership Number and Audit Period, Auditor shall click on search button the following screen will appear.



6. Auditor shall submit conflict of interest, subsequently to be submitted by Member to the Exchange from his login (First auditor then member)

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

The screenshot shows the NSE Internal Audit-ATR portal. A confirmation dialog box is displayed in the center, stating: "Conflict Of Interest is submitted successfully by Auditor for ATR." The background shows the "Action Taken Report MIS" form with fields for "Auditor's Membership No." and "Audit Period".

8. Upon submission of 'Conflict of Interest' from member end, auditor shall proceed with the submission of Action Taken Report.

9. Auditor shall login into the portal using membership number and audit period.

10. Auditor shall be able to download the Internal Audit report submitted by the Internal Auditor and Trading Member for the relevant half year as shown in below screenshot.

The screenshot displays the "Internal Audit Report MIS" interface. It includes a table of non-compliance clauses and a table of ATR sample details for non-compliances observed in 4.Ai.

Request Ref. No	Member Name	Member Code	Segment	Audit Report Period	Status	Date of Submission at Auditor end	Date of Submission at Member end	Report Uploaded By Auditor	Annexure1(Auditor End)	Annexure2(Auditor End)	Sample Details File	Report Uploaded By Member	As En

Page 1 of 10

NON COMPLIANCE CLAUSES

Enter UDIN No* :

S.No	Area Of Verification	Auditor Observation (IAR)	Management Comments (IAR)	Observation Of Internal Auditor
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.	ARWAW EJRLSJRLES SEJRLKSJELRS SEJRLJRLSJ	FDSPJSE PJSESTYS RES	<div>Compliance Status</div> <div>Remarks in case of observation</div> <div>Sample size verified</div> <div>Details of sample where non compliance observed</div> <div>percentage of instances where non-compliance is observed</div> <div>amount/value involved where non-compliance is observed</div>

ATR 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/OP 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

Add Row Delete Row

ATR SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4.Bv

11. All the non-compliances in the Internal Audit Report for the respective half year shall be populated in the Auditor login for ATR submission.

12. Auditor shall select current compliance status 'Non-Compliance' (NC)/ 'Complied' (C) for all the non-complied clauses reported in the Internal Audit Report











- For NC points (including QSB violations wherever applicable), 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.
- For NC points relating to point 9.M and 9.P regarding "Net worth", auditors are required to provide additional information






















c) For points 4.AI, 4.BU and 4.BW (as per screenshots below) - in the format available on the Non-Compliance page.
In case the Auditor wants to add or delete dates (rows), please click 'Add Row' or 'Delete Row'.

NON COMPLIANCE/NOT APPLICABLE CLAUSES

You do not have any Non-Complied Clause.

SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4 BU

Sr No	Area of Verification	Compliance Status	Remarks In case of Observation	Sample Dates Verified	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 impact of Client Asset 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 	

SAMPLE DETAILS FOR NON-COMPLIANCES OBSERVED IN 4 BW															
Sr No	Area of Violation	Compliance Status	Remarks in case of Observation	Sample Dates Verified	Confirms if correct record as mentioned (Yes/No)	Reason Code mentioned in California Ingestion File	Correct Reason Code in California Ingestion File	Whether the tobacco related with C&C are reflecting in the account of SDC&C activity in transit to CC	Whether there is any impact on SDC's CC	Whether there is any impact on freight payment (Yes/No)	Whether there is any impact on settlement (Yes/No)	Whether there is any impact on payment (Yes/No)	Field name under which business reporting was done	Whether there is any risk of loss reported (Yes/No)	Amount of violation
1	Tobacco Member should ensure that clients' clear credit balances and placed with CC on account of justifiable reasons and the first court order balances are reported in the transportation file as "Received with SDC" or "Received with CA". Should such justifiable reasons have been reported to CC by next settlement day. Also, such clients' balances reported as received with the SDC-C&C were available in SDC&C SDC-C&C Settlement account of the SDC-C&C and is in transit to the CC.	Select 			Select 			Select 	Select 	Select 	Select 	Select 		Select	
2	Tobacco Member should ensure that clients' clear credit balances are placed with CC on account of justifiable reasons and the first court order balances are reported in the transportation file as "Received with SDC" or "Received with CA". Should such justifiable reasons have been reported to CC by next settlement day. Also, such clients' balances reported as received with the SDC-C&C were available in SDC&C SDC-C&C Settlement account of the SDC-C&C and is in transit to the CC.	Select 			Select 			Select 	Select 	Select 	Select 	Select 		Select	
3	Tobacco Member should ensure that clients' clear credit balances and placed with CC on account of justifiable reasons and the first court order balances are reported in the transportation file as "Received with SDC" or "Received with CA". Should such justifiable reasons have been reported to CC by next settlement day. Also, such clients' balances reported as received with the SDC-C&C were available in SDC&C SDC-C&C Settlement account of the SDC-C&C and is in transit to the CC.	Select 			Select 			Select 	Select 	Select 	Select 	Select 		Select	

d) Auditor can use 'Save As Draft' functionality while submission of ATR.

[illegible]

13. Once the auditor enters all the details & submits it, he will get navigated to the next screen i.e. 'Action Taken Report' where Annexure 1 (ATR Certificate), Annexure 2 (Action Taken Report) will be generated through the system.

Note: Format of ATR Certificate is provided at the end of the document for reference.

(* indicates Mandatory)

Action Taken Report on non-compliances reported in Internal Audit Report

Download Action Taken Report

Download

- [▶ Action Taken Report Certificate \(Annexure 1\)](#)
- [▶ Action Taken Report \(Annexure 2\)](#)

Upload Certificate Action taken report

Certificate for Action Taken Report [Sign PDF](#)

Action Taken Report [Sign PDF](#)

☐ We have conducted the audit to verify and certify the compliance status of the violations reported in Internal Audit for the half year ended on 31st March, 2026 on the captioned subject and guidelines thereof. Please find enclosed the Action Taken Report 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.

14. To digitally sign Action Taken Report Certificate (Annexure 1), Action Taken Report (Annexure 2). 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)

Action Taken Report on non-compliances reported in Internal Audit Report

Download Action Taken Report

Download	▶ Action Taken Report Certificate (Annexure 1) ▶ Action Taken Report (Annexure 2)
----------	--

Upload Certificate Action Taken Report

Certificate for Action Taken Report

No file chosen

Action Taken Report

No file chosen

☐ I/We have conducted the audit to verify and certify the compliance status of the violations reported in Internal Audit for the half year ended on 31st March, 2026 on the captioned subject and guidelines thereof. Please find enclosed the Action Taken Report for your consideration and necessary action.

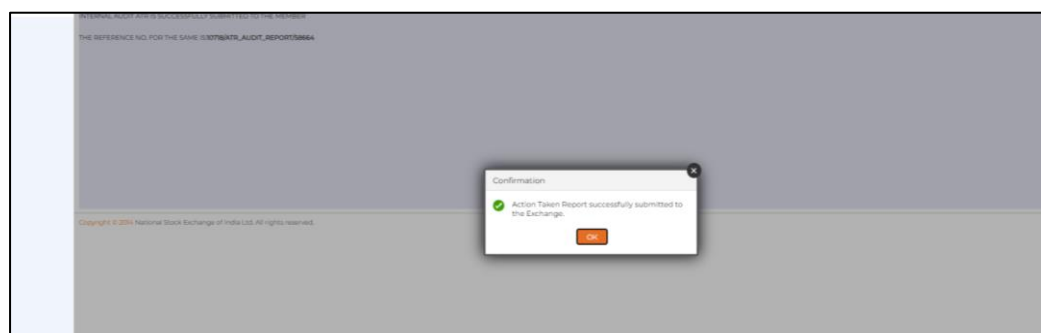
Note:

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.

15. While uploading the ATR Certificate (Annexure 1), ATR (Annexure 2), Auditor shall 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_lar_ATR_MAR_26_A2_58643-signed
File size should be less than 10 MB.

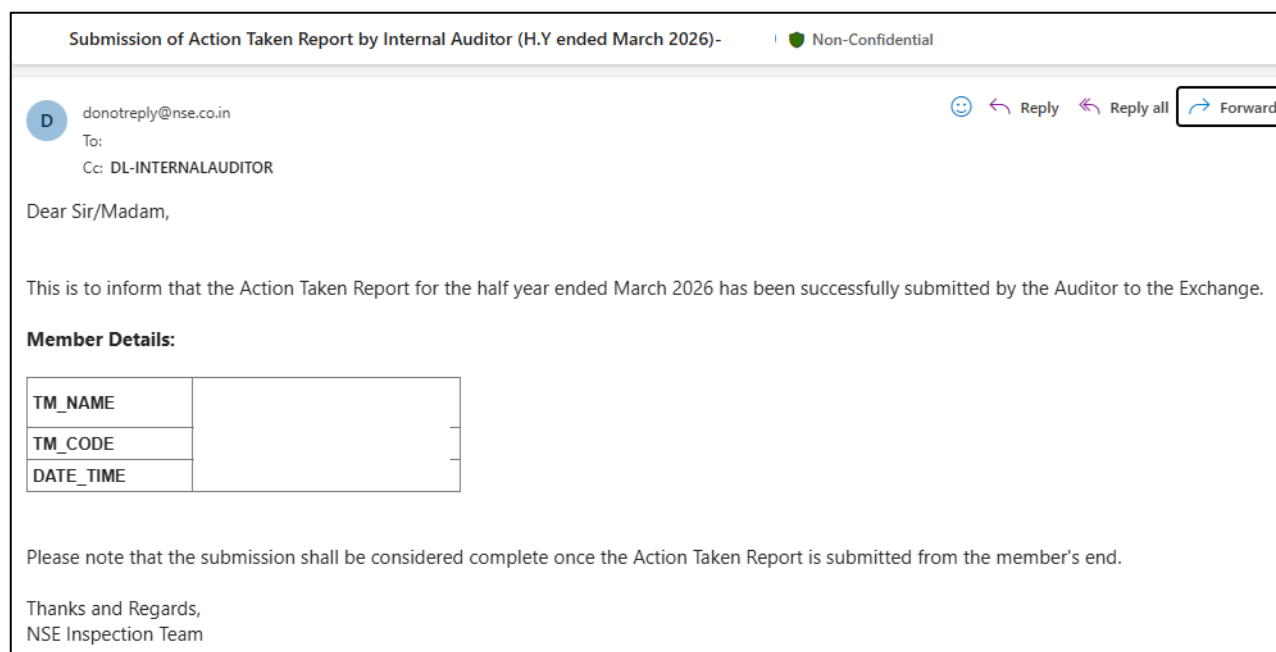
16. Upload signed file of Annexure 1 & Annexure 2 and click submit. Once the files are submitted, the following screen shall be displayed.



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

Step 3 : Acknowledgement of Report Submission

Once the Action Taken 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 Action Taken Report by Member an auto-generated email will be sent to the Member.



Step 4 : Action Taken Report Deletion Functionality

Action Taken Report can be deleted either by the Auditor or the Member, till the due date of submission.

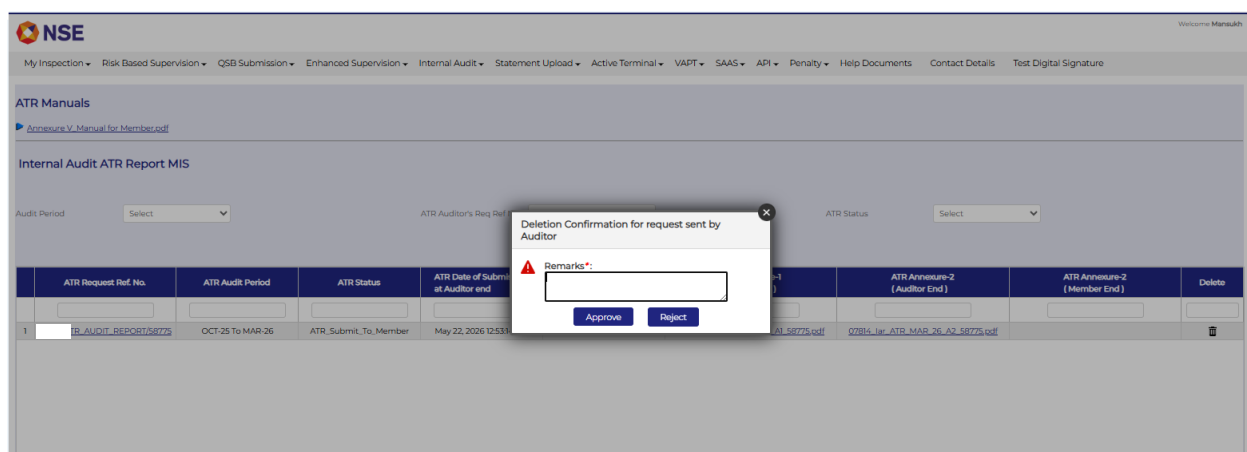
Deletion of Action Taken Report submitted by Auditor-


1. The deletion request shall be sent from the Auditor login.
2. In the Auditor login, after entering the membership no. and Audit Period, the Auditor will be able to

view the submitted report.

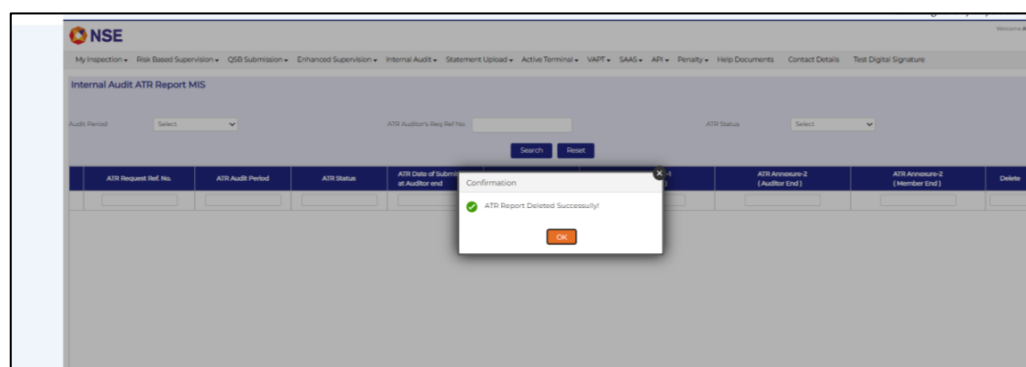
ATR Request Ref. No.	ATR Auditor Firm Name	ATR Period	ATR Status	ATR Annexure 1 [Auditor Certificate]	ATR Annexure 2 [Action Taken Report]	Delete
1	IBR_AUDIT_REPORT/58775		OCT-25 To MAR-26	ATR_Submit_To_Member	View ATR_MAR_26_A2_58775.pdf View ATR_MAR_26_A2_58775.pdf	

- 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 ATR Report MIS, where Member shall be able to view the deletion request. (As per screenshot below)



ATR Request Ref. No.	ATR Audit Period	ATR Status	ATR Date of Submission at Auditor end	ATR Date of Submission at Member end	Delete
1	IBR_AUDIT_REPORT/58775	OCT-25 To MAR-26	ATR_Submit_To_Member	May 22, 2026 12:53	

- Member shall click on delete icon (as highlighted above), provide appropriate reasons for deletion and delete the report.
- Once the report is deleted following screen will be displayed and report will be deleted successfully.



Deletion of Action Taken Report submitted by Member-

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

NSE Welcome Mansukh

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 ATR Report MIS

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

ATR Request Ref. No.	ATR Audit Period	ATR Status	ATR Date of Submission at Auditor end	ATR Date of Submission at Member end	ATR Annexure-1 (Auditor End)	ATR Annexure-2 (Auditor End)	ATR Annexure-2 (Member End)	Delete	
1	ATR_AUDIT_REPORT/58775	OCT-25 To MAR-26	ATR_SUBMIT	May 21, 2026 11:13:04 AM	May 21, 2026 12:31:30 PM	[ur_ATR_MAR_26_A1_58775.pdf]	[ur_ATR_MAR_26_A2_58775.pdf]	[ur_ATR_MAR_26_A3_58775.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.

NSE Welcome Mansukh

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

ATR Manuals

[Annexure V- Manual for Member.pdf](#)

Internal Audit ATR Report MIS

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

Deletion Confirmation for request raised by Member

Remarks*:

ATR Request Ref. No.	ATR Audit Period	ATR Status	ATR Date of Submission at Auditor end	ATR Date of Submission at Member end	ATR Annexure-1 (Auditor End)	ATR Annexure-2 (Auditor End)	ATR Annexure-2 (Member End)	Delete	
1	07814/ATR_AUDIT_REPORT/58775	OCT-25 To MAR-26	ATR_SUBMIT	May 21, 2026 11:13:04 AM	May 21, 2026 12:31:30 PM	[07814-ur_ATR_MAR_26_A1_58775.pdf]	[07814-ur_ATR_MAR_26_A2_58775.pdf]	[07814-ur_ATR_MAR_26_A3_58775.pdf]	<input type="button" value="Delete"/>

- 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)

(* Indicates Mandatory)

Action Taken Report MIS

Auditor's Membership No*: Audit Period*:

You have already submitted the ATR report for all of the segments assigned to you.

Conflict Of Interest: ☐ Yes ☒ No

ATR Request Ref. No.	ATR Auditor Firm Name	ATR Period	ATR Status	ATR Annexure 1 (Auditor Certificate)	ATR Annexure2 (Action Taken Report)	Delete
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Delete"/>
ATR_AUDIT_REPORT/58775	<input type="text"/>	OCT-25 To MAR-26	ATR_SUBMIT	[ur_ATR_MAR_26_A1_58775.pdf]	[ur_ATR_MAR_26_A2_58775.pdf]	<input type="button" value="Delete"/>

Page 1 of 1 View 1 of 1

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

ATR Manuals

[Annexure V Manual for Auditor.pdf](#)

(* Indicates Mandatory)

Action Taken Report MIS

Auditor's Membership No.*

Audit Period*

You have

need to you.

Deletion Confirmation for request sent by Member

⚠

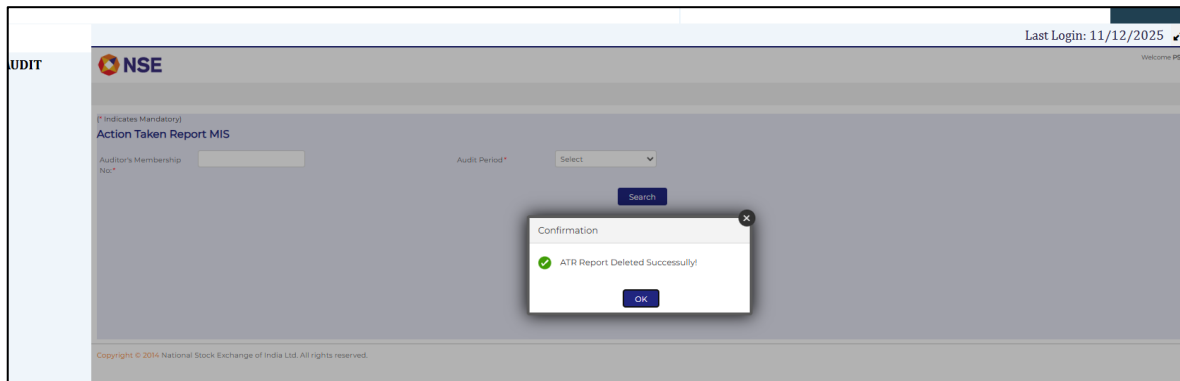
Remarks*:

Approve

Reject

ATR Request Ref. No.	ATR Auditor Firm Name	ATR Period	ATR Status	ATR Annexure1 (Auditor Certificate)	ATR Annexure2 (Action Taken Report)	Delete
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4/ATR_AUDIT_REPORT/58775	<input type="text"/>	OCT-25 To MAR-26	ATR_SUBMIT	[sr-ATR_MAR-26_A1-58775.pdf]	[sr-ATR_MAR-26_A2-58775.pdf]	

7. Once the report is deleted following screen will be displayed and report will be deleted successfully.



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

-END-

CERTIFICATE ON ACTION TAKEN FOR NON-COMPLIANCES
REPORTED IN INTERNAL AUDIT

We have examined the relevant books of accounts, records and documents maintained by M/s. _____, (name of the trading member) bearing SEBI registration number _____) a member of the National Stock Exchange of India Limited for the following segments to verify and certify the compliance on action taken by the Member for the non-compliances reported in the internal audit report for the half year ended _____.

Segment (Capital Market / Equity Derivatives Segment / Debt Segment / Currency Derivatives/Securities Lending & Borrowing segment/Commodity Derivative Segment)	Activity - Trading	SEBI registration number

The purpose of this Audit is to examine that the processes, procedures followed, and the operations carried out by the Trading Member are as per the applicable Acts, Rules, Regulations, Bye-laws and Circulars prescribed by SEBI and the Stock Exchange.

We have obtained all the information and explanations, which to the best of our knowledge and belief were necessary for the purpose of this Audit. In our opinion proper books of accounts, records, and documents, as per the regulatory requirement have been maintained by the Member, so far as it appears from examination of the books.

Based on the scrutiny of relevant books of accounts, records and documents, and to the best of our knowledge and explanations given to us, we certify that the Member has complied with the relevant provisions of SEBI Act, 1992, Securities Contracts (Regulation) Act 1956, Securities Contracts (Regulation) Rules 1957, SEBI (Stock Brokers) Regulations, 1992 and various circulars of SEBI and with the Rules, Bye laws, Regulations of NSEIL and various circulars issued by the Stock Exchange except otherwise mentioned in the Annexure to this report.

We declare that the audit firm meets the eligibility criteria as prescribed vide Annexure A of Exchange Circular no. NSE/INSP/58709 dated September 29, 2023.

Further, we declare that we do not have any direct / indirect interest in or relationship with the member or its shareholders / directors / partners / proprietors / management, other than the proposed audit assignment and also confirm that we do not perceive any conflict of interest in such relationship / interest while verifying non-compliances reported in internal audit of the said member.

In our opinion and to the best of our information and according to the explanations given to us by the proprietor/partners/directors/compliance officer, the Action Taken Report provided by us as per the Annexure and subject to our observations, which covers the entire scope of the audit, is true and correct.

Company Secretary / Cost and Management Accountant / Chartered Accountant (Seal & Signature)

(Name of the Partner) Membership no. / CP. No. UDIN No.

Place: -

Date: -