

**Format of auditor's certificate for certifying compliance status on corrective actions
taken by the Trading Members**

Certificate to be issued on the letter head of empaneled auditor with the Exchange

**CERTIFICATE OF COMPLIANCE ON THE CORRECTIVE ACTIONS TAKEN BY TRADING MEMBER BASED
ON THE FINDINGS OF SEBI INSPECTION**

We have examined the relevant books of accounts, records and documents maintained by M/s.

_____, a member of the National Stock Exchange of India Limited for the following segments to verify and certify on compliances of corrective action taken by the trading member on findings of SEBI inspection.

Segment	SEBI registration number
CM	
FO	
CD	
Commodity	

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 Exchanges.

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 A** to this report.

We declare that the audit firm meets the eligibility criteria as prescribed by the Exchange circular in force.

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 conducting 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 Report and Compliance Certificate provided by us as per the Annexure and subject to our observations, which covers the entire scope of the audit, is true and correct.

Audit Firm Name:

Firm Registration Number:

Signature of the Auditor:

Name of the Auditor:

Designation: Membership
Number:

UDIN Number:

Date:

Place:

Annexure A

**STATUS OF COMPLIANCE ON THE CORRECTIVE ACTIONS TAKEN BY TRADING MEMBER
BASED ON THE FINDINGS OF SEBI INSPECTION**

Name of the Trading Member (TM)	
TM Code	
Name of the Auditor	
Auditor Designation (Proprietor / Partner)	
Type of Entity (Proprietor / Partnership)	
Auditor Address	
Auditor Firm Name	
Auditor Firm Registration No	
Auditor's Membership No	
SEBI Letter / Email Date prescribing corrective actions	DD-MMM-YY
Audit period under review	From: DD-MMM-YY To: DD-MMM-YY
Period of conducting audit	From: DD-MMM-YY To: DD-MMM-YY

All observations requiring corrective actions as prescribed by SEBI	Compliance status after considering Management comments (Complied / Not complied)
Observation 1	
Observation 2	