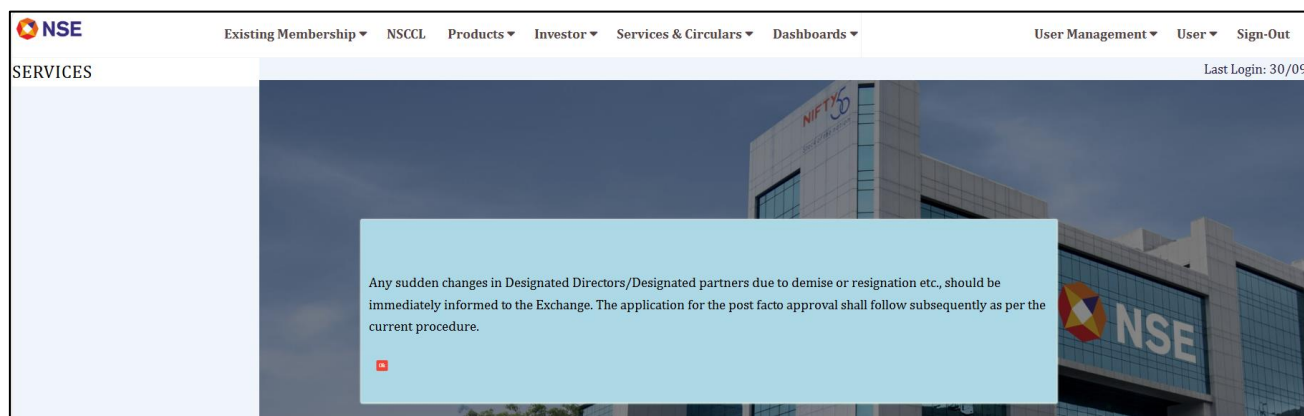


ANNEXURE I

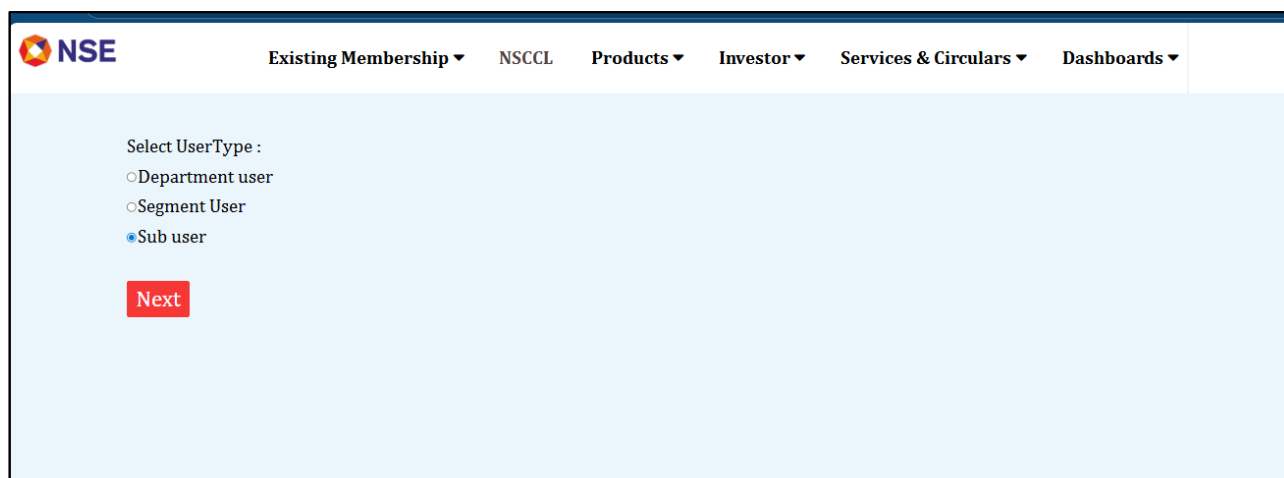
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER

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.

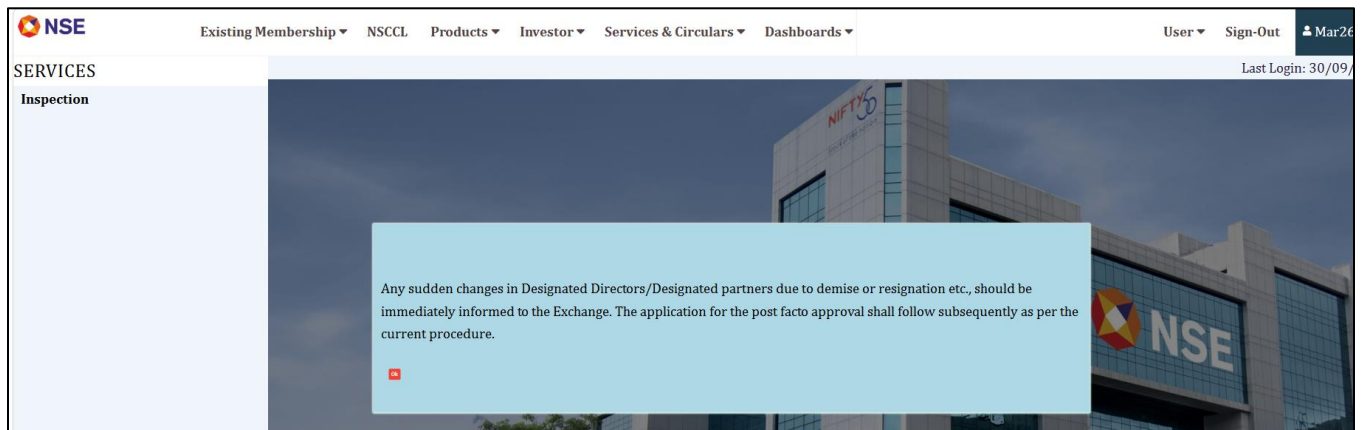


- Note: User ID and Password should be same as entered in Auditor's Registration*

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

[illegible]

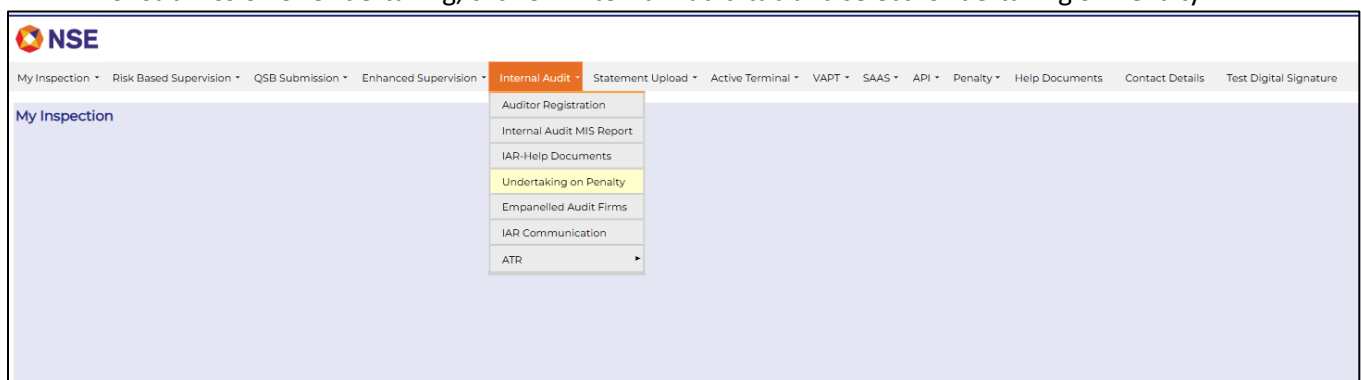
- For Auditor Registration, members shall login into Member portal using (<https://inspection.nseindia.com/MemberPortal/>) and below screen will be displayed. and Select 'Inspection' tab.



- In case where member has appointed same auditor as the previous half year (i.e. March 2026), existing login credentials created for the auditor can be used to submit the Internal Audit Report for the current period. This will be subject to compliance of submission of conflict of interest and compliance of rotation norms.

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.

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(* Indicates Mandatory)

Declaration of Penalty

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

TM Code: TM Name: Name of Designated Director:

Date: Place:

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. Validity: 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 members have selected the Trading Type as 'Proprietary', the requirement of submitting the undertaking is not applicable. Member shall click on Submit to proceed further.

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(* 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.

- Going forward, facility to delete 'Declaration of Penalty' is also provided to member.

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(* Indicates Mandatory)

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

[Delete Declaration](#)

- 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.


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

My Inspection

Auditor Registration

Internal Audit MIS Report

IAR-Help Documents

Undertaking on Penalty

Sr. No.	Case Id ▾	Year	Quarter	Inspection Type

My Inspection Risk Based Assessment QIR Submission Enhanced Assessment Internal Audit Statement Uploader Active Timeline VIRT SARS JDR Diversity Panel Documents Contact Details Send Digital Signature												
Add Auditor												
	Audit Detail	Monitoring No	Firm Name	Firm Registration No	Signature	Qualification	Email ID	Created Date	Conflict Of Interest	DOB	Index	
1	APR-17 to SEP-17	045/166	HARDIK KARAN AND ASSOCIATES	16/160	CD	CS	neet_pgho@gvondor.nse.co.in	Nov 21, 2017 12:22:10 PM				
2	OCT-17 to MAR-18	045/166	HARDIK KARAN AND ASSOCIATES	16/160	CD	CS	neet_pgho@gvondor.nse.co.in	May 11, 2018 6:57:28 PM				
3	APR-18 to SEP-18	045/166	HARDIK KARAN AND ASSOCIATES	16/160	CD	CS	neet_pgho@gvondor.nse.co.in	Dec 13, 2018 12:06:17 PM				
4	OCT-18 to MAR-19	045/166	HARDIK KARAN AND ASSOCIATES	16/160	CD	CS	neet_pgho@gvondor.nse.co.in	Apr 11, 2019 12:22:42 PM				
5	APR-19 to SEP-19	045/166	HARDIK KARAN AND ASSOCIATES	16/160	CD	CS	neet_pgho@gvondor.nse.co.in	Oct 19, 2019 12:16:49 PM				
6	APR-20 to SEP-24	111111	Vineyag. &W	999999W	CMJ-O CD	CA	pijaw@gnee.co.in	Sep 20, 2024 5:02:13 PM				
7	APR-20 to SEP-24	8450/NA	Display Vinayak	123456W	WDM/DP/SP/SLIM	CA	pijaw@gnee.co.in	Sep 20, 2024 6:10:02 PM				
8	OCT-24 to MAR-25	123456	ABSC & Co.	78901232	CMJ-O	CA	pijaw@gnee.co.in	Mar 25, 2025 12:02:36 PM				
9	APR-25 to SEP-25	022222	PS & Co.	456789P	CMJ-O	CA	pijaw@gnee.co.in	Sep 25, 2025 12:23:10 PM				
10	OCT-25 to MAR-26	456787	Arshat PVT	123456AB	CM	CA	pijaw@gnee.co.in	Mar 18, 2026 4:23:19 PM				
11	APR-26 to SEP-26	12345678	SLC & Co PVT	10012345	PVT	CA	pijaw@gnee.co.in	Apr 18, 2026 12:02:10 PM				

Member Name	
Member Code	
Pin of the Member*	
Auditor Period	Apr-20 To Sep-20
Auditor Firm Registration No*	
Auditor Firm Name*	
Auditor Membership No*	
Auditor Email ID*	
Pin of the Auditor*	
Pin of the Audit Firm*	
Auditor name (Signing partner)*	
Issuance date of certificate of practice*	
Expiry date of certificate of practice	(Indy provide details only if applicable)
Certificate of Practice number*	
Date of term end*	
Date of appointment of an Auditor*	
Auditor ID*	
Auditor Password*	
Auditor Qualification*	☐ CA ☐ CS ☐ CMA ☐ CM ☐ FD ☐ SLBA ☐ CD ☐ WDM ☐ OESP ☐ BF ☐ HFIS ☐ DEBT ☐ GO ☐ EGR
Internal Audit Report for Segment (CA/CP/SLBA/CD/WDM/OESP/CS)*	

☐ I undertake to appoint the said auditor to conduct Internal Audit for the half year ended March, 2026 as per the requirement of SLBI and Exchange

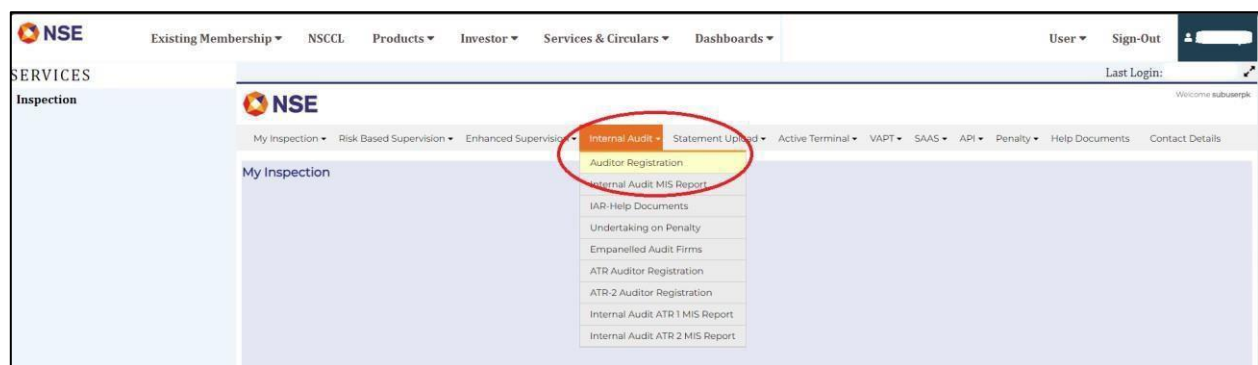
- An 'Edit' facility is given to the member to edit the segment in which the auditor is registered earlier. In case the report is submitted, member will not be able to edit the details of the auditor.

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.

Further, if the membership no. is same as last half year's auditor membership no. then login ID will get auto populated.

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.



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Add Auditor											
	Audit Period	Membership No	Firm Name	Firm Registration No	Segments	Qualification	Email ID	Created Date	Conflict Of Interest	Edit	Delete
2	OCT-25 To MAR-26	456787	Aniket PVT	12345AB	CM	CA	ppaiswal@nse.co.in	Mar 18, 2026 4:23:49 PM			
3	OCT-25 To MAR-26	456787	Aniket PVT	12345AB	FO	CA	ppaiswal@nse.co.in	Sep 30, 2026 3:50:59 PM			
4	Apr-26 To Sep-26	456787	Aniket PVT	12345AB	CM,EGR	CA	ppaiswal@nse.co.in	Oct 1, 2026 11:32:52 AM			
5	APR-24 To SEP-24	84574A	Display Vinayak	12345W	WDM,OBRP,SLBM	CA	ppaiswal@nse.co.in	Sep 20, 2024 6:41:02 PM			
6	APR-17 To SEP-17	045766	HARDIK RATANI AND ASSOCIATES	16760	CD	CS	rseit_pbhoi@vendor.nse.co.in	Nov 23, 2017 12:12:30 PM			
7	OCT-17 To MAR-18	045766	HARDIK RATANI AND ASSOCIATES	16760	CD	CS	rseit_pbhoi@vendor.nse.co.in	May 17, 2018 6:57:28 PM			
8	APR-18 To SEP-18	045766	HARDIK RATANI AND ASSOCIATES	16760	CD	CS	rseit_pbhoi@vendor.nse.co.in	Dec 3, 2018 5:25:47 PM			
9	OCT-18 To MAR-19	045766	HARDIK RATANI AND ASSOCIATES	16760	CD	CS	rseit_pbhoi@vendor.nse.co.in	Apr 11, 2019 12:22:42 PM			
10	APR-19 To SEP-19	045766	HARDIK RATANI AND ASSOCIATES	16760	CD	CS	rseit_pbhoi@vendor.nse.co.in	Oct 19, 2019 12:18:49 PM			
11	APR-25 To SEP-25	022222	PS & Co.	456789P	CM,FQ	CA	pikunte@nse.co.in	Sep 25, 2025 12:23:10 PM			
12	APR-24 To SEP-24	111111	Vinayak_ATR	99999W	CM,FQ,CD	CA	ppaiswal@nse.co.in	Sep 20, 2024 5:41:13 PM			

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

(* Indicates Mandatory)

Conflict Of Interest

Member Name	
Member Code	
Auditor Period	Apr-26 To Sep-26
Auditor Firm Name	
Auditor Firm Registration No	
Auditor Email ID	
Auditor name	
Auditor Membership No	
Conflict Of Interest*	☐ Yes ☒ No

Conflict Of Interest is already submitted by Member!

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.

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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 audit period and click 'Search' button to view the Audit report 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.

No. of active non institutional clients:	1
No. of active institutional clients:	1
Trading Activity:	Only Proprietary
Facility Providing:	N/A
No. of Branches in the beginning of the Audit Period:	1
No. of Branches opened during the Audit Period:	1
No. of Branches closed during the Audit Period:	1
No. of Branches inspected by the member:	N/A
No. of APs inspected by the member:	N/A
No. of Bank Accounts operated by the member:	1
No. of DP Accounts operated by the member:	1
Observation Sheet submitted by Auditor:	IAPHSSEP26.xlsx
QSB Observation Sheet submitted by Auditor:	IAPQBHSSEP26.xlsx
Annexure 1:	02980_IarSep_26_A1_58832.pdf
Annexure 2:	02980_IarSep_26_A2_58832.pdf
Annexure 3:	02980_IarSep_26_A3_58832.pdf
Sample Details File:	IAPHSSEP26_SAMPLE_DETAILS.zip
Report Submitted By Member:	
Annexure 2(Member End):	
QSB Report Submitted By Member:	
Annexure 3(Member End):	

- On the same screen below, the Member shall be able to see the details of RBS submitted by the auditor.

Risk Based Supervision			
Sr No.	Particular	Details	Description
A	Other Details		
	Whether there are any subsidiaries / branches / representative offices in other countries and whether regulatory approval taken for the same?	Yes - Regulatory approval taken	*Yes - Regulatory approval taken/ Yes Regulatory approval not taken/No* to be mentioned for any subsidiaries / branches / representative offices in other countries and whether regulatory approval taken.
B	Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member		
	Number of instances of non-compliances and amount of penalties levied by SEBI on the Member during assessment period with regard to fraud instances by the Member – Nature of the frauds, amount involved, whether involving client assets or Member's own assets, whether actions taken against employees, APs etc. w.r.t. Broking Operations	1	Number of times SEBI has observed such issues
	Penalty levied (In Rs.)	0.00	Total Penalty levied by SEBI due to such issues during the assessment period
	Action taken against employees/AP	NA	Suspension/Debarring/ Adjudication/Monetary Penalty/Warning/Advice/Termination/ Other etc.
	Details of inspection undertaken by SEBI during assessment period, details of adverse observations and penalties/regulatory action, if any w.r.t. Broking Operations.		
	Number of SEBI inspections	1	Count of total SEBI inspections during assessment period, including those of your APs
	Number of adverse observations in SEBI inspections	1	No. of total adverse observations reported in SEBI inspections, including those of your APs 1. Action letters issued during assessment period. 2. Action letters of previous SEBI inspections, which are issued during assessment period. Please refer Manual for Auditor attached in the Circular for clarification
	Nature of disciplinary action by SEBI for inspections	NA	Nature of disciplinary action (Suspension / Adjudication / Monetary Penalty / Warning / Advice / Other etc. - If more than one inspection of SEBI, all details of action to be provided) reported in SEBI inspections, including those of your APs 1. Action letters issued during assessment period. 2. Action letters of previous SEBI inspections, which are issued during assessment period.
	Monetary penalty levied by SEBI (If any) (In Rs.)	0.00	Total Amount of monetary penalty levied by SEBI, including those of your APs 1. Action letters issued during assessment period. 2. Action letters of previous SEBI inspections, which are issued during assessment period.

- 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.

Sr. No	Ref. No. NSE Circular dated June 01, 2023	Section Ref. SEBI Circular dated Feb 06, 2023	Particulars	Frequency of Verification	Compliance Status (C - Complied NC - Non Complied NA - Not Applicable)	Observations of Internal Auditor (Kindly provide comments where the Compliance Status is 'NC')	Management Comments (Kindly provide comments where the Compliance Status is 'NC')
--------	---	---	-------------	---------------------------	---	---	--

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

[Joining Membership](#)
[Products](#)
[Investor](#)
[Services & Circulars](#)
[Dashboards](#)

[User](#)
[Sign-Out](#)

1

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

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

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.

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):
(Kindly add Management Comments in excel file)

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.

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[Risk Based Supervision](#)
[Enhanced Supervision](#)
[Internal Audit](#)
[Statement Upload](#)
[Active Terminal](#)
[VAPT](#)
[SAAS](#)
[API](#)
[Penalty](#)
[Help Documents](#)
[Contact Details](#)
[Test Digital Signature](#)

Internal Audit Report

S.No	Area Of Verification	Compliance Status	Remarks in case of observation	Sample size verified	Details of sample where non compliance observed	Percentage of instance	Amount of instance	Whether Auditor comments accepted	Management Comments
4.5	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 Intern	2	2	100	10000	Y	
4.ai	Member has correctly reported to the Exchange the Securities holding balances for each of the DP account maintained by it. (Details of the difference between the actual data and the reported data should clearly be brought out)	NC	Observation Of Intern	2	1	50	10000	Y	
4.aj	Member has not funded its clients in contravention to the Exchange / SEBI requirements i.e. member has not granted further exposures to the clients when debit balance arise out of clients failure to pay the required amount and such debit balance has not continued beyond the fifth trading day, as reckoned from date of pay-in (Except in accordance with Margin Trading Guidelines)	NC	Observation Of Intern	2	1		10000	Y	
4.ah	Funds of clients having credit balance has used for margin obligation of respective client only and not for obligation of any other clients / Proprietary trading	NC	Observation Of Intern	2	1	50	10000	Y	

Hide/Show

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

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)
	OFFSITE	OFFSITE	AL Approved & Dispatched		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	is client. Senta
	OFFSITE	OFFSITE	AL Approved & Dispatched		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	is client. Senta

NON-COMPLIANCES REPORTED IN THE INTERNAL AUDIT REPORTS FOR PREVIOUS TWO HALF YEARS									
T-1 Report Details			T-1 Violation Details				Observation Of Internal Auditor		Management Comments
Request Reference No.	Audit Period	Segment	S.No	Area Of Verification		Compliance Status	Remarks in case of observation	Whether Auditor Comments Accepted	Remarks (Para wise, where auditor has reported non-compliance)
/AUDIT_REPORT/58466		CD FO CA	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	Member has correctly reported to the Exchange the Securities holding balance	Yes	is client
/AUDIT_REPORT/58466		CD FO CA	3.3	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	Yes	is client

- 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) and QSB Audit Report (Annexure 3 – if applicable) available in PDF format.
- 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 ▾ SAAG ▾ API ▾ Penalty ▾ Help Documents Contact Details Test Digital Signature

*(* Indicates Mandatory)*

Internal Audit Report

Download Internal Audit Report

Download

Audit Report (Annexure 2)
QSB Audit Report (Annexure 3)

Upload Internal Audit Report

Internal Audit Report

Sign PDF

QSB Audit Report (Annexure 3 in PDF)

Sign PDF

☐ We have reviewed the Internal Audit submitted by our Internal Auditor for the half year ended on: and noted the observations made. Please find enclosed Audit Report along 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.

NSE

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

(* Indicates Mandatory)

Internal Audit Report

Download Internal Audit Report

Download

- ▶ Audit Report (Annexure 2)
- ▶ QSB Audit Report (Annexure 3)

Upload Internal Audit Report

Internal Audit Report No file chosen

QSB Audit Report (Annexure 3 in PDF) No file chosen

☐ "We have reviewed the Internal Audit submitted by our Internal Auditor for the half year ended on [] and noted the observations made. Please find enclosed Audit Report along 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.

➤ While uploading the Audit Report (Annexure 2) & QSB Audit Report (Annexure 3- if applicable) 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_IarSEP26_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.

Internal Audit Report successfully submitted to the Exchange.
 Note: Submission of ATR is applicable for the given half-year

Note: In cases where auditor has reported non-compliance in the Internal Audit Report, member shall be notified about the submission of Action Taken Report (ATR).

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.

- Submission of Internal Audit Report by Internal Auditor (H.Y ended September 2026)-

donotreply@nse.co.in

To Sharad Bais; nseit_mghanekar@nse.co.in

Cc DL-INTERNALAUDITOR

Non-Confidential

Rep

Dear Sir/Madam,

This is to inform that the Internal Audit Report for the half year ended September 2026 has been successfully submitted by the Auditor to the Exchange.

Member Details:

TM_NAME	
TM_CODE	
DATE_TIME	

Please note that the submission shall be considered complete once the internal audit report is submitted from the member's end.

Thanks and Regards,
NSE Inspection Team

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

- Submission of Internal Audit Report by Trading Member (H.Y ended AUDIT_PERIOD- September 2026) TM_CODE-

donotreply@nse.co.in

To nseit_mghanekar@nse.co.in; Sneha Chaubey (INSP_POL_IA); Priya Jaiswal (INSP_POL_IA); tkarbhari@nse.co.in

Cc DL-INTERNALAUDITOR

Non-Confidential

Reply
 Reply All

Dear Sir/Madam,

This is to inform you that the Internal Audit Report for the half year ended September 2026 has been successfully submitted by the Member to the Exchange.

Member Details:

TM_NAME	
TM_CODE	
DATE_TIME	

Thanks and Regards,
NSE Inspection Team

Step 7 : Internal Audit Report Deletion Functionality

- If required, 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-
 - 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.

Page 1 of 1

Request Ref No.	Internal Auditor Firm Name	Segment	Audit Report Period	Status	Uploaded report	Uploaded QSB report	Annexure1 (Auditor Certificate)	Annexure2 (Internal Audit Report)	Annexure3 (QSB Audit Report)	Sample Details File	Delete
05980/AUDIT_REPORT/7875	Arisee PVT	CHL		Submit To Member	05980/AUDIT_REPORT/7875.pdf		05980/AUDIT_REPORT/7875.pdf	05980/AUDIT_REPORT/7875.pdf	05980/AUDIT_REPORT/7875.pdf	05980/AUDIT_REPORT/7875.pdf	

View 1 of 1

☒ I hereby declare that I/we are not debarred or restrained from issuing any certificate by ICAI, ICS, ICMA, IBS, SBI or by other regulatory/enforcement agency. Further no regulatory action has been taken against internal auditor(s)/firm/individual.

Conflict Of Interest: Yes No

Trading Type Selected By Member: Proprietary and Client

☒ 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.

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

18	05980/AUDIT_REPORT/14382	CM,FQ,CD,WDM,IRF	OCT-16 To MAR-17	APPROVED	Jun 30, 2017 12:59:04 PM	Jun 30, 2017 6:32:33 PM	05980_IrMAR_1_7_A1_5357.pdf	05980_IrMAR_1_7_A2_5357.pdf	05980_IrMAR_1_7_A3_5357.pdf		No	
19	05980/AUDIT_REPORT/14722	CM,FQ,CD,WDM,IRF	APR-17 To SEP-17	CONFIRMED	Nov 30, 2017 8:40:09 PM	Nov 30, 2017 9:06:44 PM	05980_IrSEP_17_A1_67779.pdf	05980_IrSEP_17_A2_67779.pdf	05980_IrSEP_17_A3_67779.pdf		No	
20	05980/AUDIT_REPORT/14788	CM,FQ,CD,DEBT	OCT-18 To MAR-19	CONFIRMED	May 31, 2019 10:37:10 PM	May 31, 2019 10:51:42 PM	05980_IrMAR_19_A1_54788.pdf	05980_IrMAR_19_A2_54788.pdf	05980_IrMAR_19_A3_54788.pdf		No	
21	05980/AUDIT_REPORT/15452	CM,FQ,CD,DEBT	APR-18 To SEP-18	CONFIRMED	Nov 30, 2018 3:56:01 PM	Dec 1, 2018 12:34:34 PM	05980_IrSEP_18_A1_82457.pdf	05980_IrSEP_18_A2_82457.pdf	05980_IrSEP_18_A3_82457.pdf		No	
22	05980/AUDIT_REPORT/16628	CM,FQ,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_IrSEP_19_A1_56628.pdf	05980_IrSEP_19_A2_56628.pdf	05980_IrSEP_19_A3_56628.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 Certificate)	Annexure 2 (Internal Audit Report)	Annexure 3 (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_IrMAR_19_A1_56628.pdf	05980_IrMAR_19_A2_56628.pdf	05980_IrMAR_19_A3_56628.pdf			05980_IrSEP_19_A1_56628.pdf	No	05980_IrSEP_19_A2_56628.pdf	Remarks	

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

11	05980/AUDIT_REPORT/10814	CM,FQ,CD,WDM	APR-14 To SEP-14	CONFIRMED	Nov 30, 2016	Nov 30, 2016	05980_IrSEP_16_A1_30888.pdf	05980_IrSEP_16_A2_30888.pdf	05980_IrSEP_16_A3_30888.pdf		No
14	05980/AUDIT_REPORT/10809	CM,FQ,CD,WDM,IRF	OCT-15 To MAR-16	CONFIRMED			05980_IrMAR_16_A1_30888.pdf	05980_IrMAR_16_A2_30888.pdf	05980_IrMAR_16_A3_30888.pdf		No
15	05980/AUDIT_REPORT/10188	CM,FQ,CD,WDM,IRF	APR-16 To SEP-16	CONFIRMED			05980_IrSEP_16_A1_30888.pdf	05980_IrSEP_16_A2_30888.pdf	05980_IrSEP_16_A3_30888.pdf		No
16	05980/AUDIT_REPORT/10864	CM,FQ,CD,WDM	OCT-17 To MAR-18	CONFIRMED			05980_IrMAR_18_A1_30888.pdf	05980_IrMAR_18_A2_30888.pdf	05980_IrMAR_18_A3_30888.pdf		No
17	05980/AUDIT_REPORT/14744	CM,FQ,CD,WDM	OCT-18 To MAR-19	SUBMIT			05980_IrMAR_19_A1_30888.pdf	05980_IrMAR_19_A2_30888.pdf	05980_IrMAR_19_A3_30888.pdf		No
18	05980/AUDIT_REPORT/14382	CM,FQ,CD,WDM,IRF	OCT-16 To MAR-17	APPROVED			05980_IrMAR_17_A1_30888.pdf	05980_IrMAR_17_A2_30888.pdf	05980_IrMAR_17_A3_30888.pdf		No
19	05980/AUDIT_REPORT/14722	CM,FQ,CD,WDM,IRF	APR-17 To SEP-17	CONFIRMED			05980_IrSEP_17_A1_30888.pdf	05980_IrSEP_17_A2_30888.pdf	05980_IrSEP_17_A3_30888.pdf		No
20	05980/AUDIT_REPORT/14788	CM,FQ,CD,DEBT	OCT-18 To MAR-19	CONFIRMED			05980_IrMAR_19_A1_30888.pdf	05980_IrMAR_19_A2_30888.pdf	05980_IrMAR_19_A3_30888.pdf		No
21	05980/AUDIT_REPORT/15452	CM,FQ,CD,DEBT	APR-18 To SEP-18	CONFIRMED			05980_IrSEP_18_A1_30888.pdf	05980_IrSEP_18_A2_30888.pdf	05980_IrSEP_18_A3_30888.pdf		No
22	05980/AUDIT_REPORT/16628	CM,FQ,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_IrSEP_19_A1_30888.pdf	05980_IrSEP_19_A2_30888.pdf	05980_IrSEP_19_A3_30888.pdf		No

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Delete Audit Report

Confirm

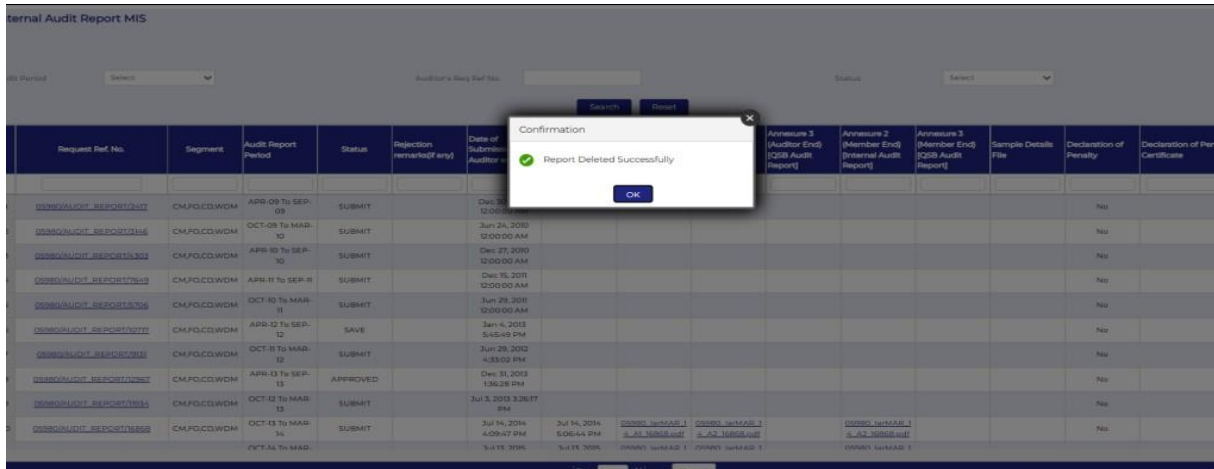
Are you sure you want to delete the Audit Report??

Also provide remarks for the same

Remarks*

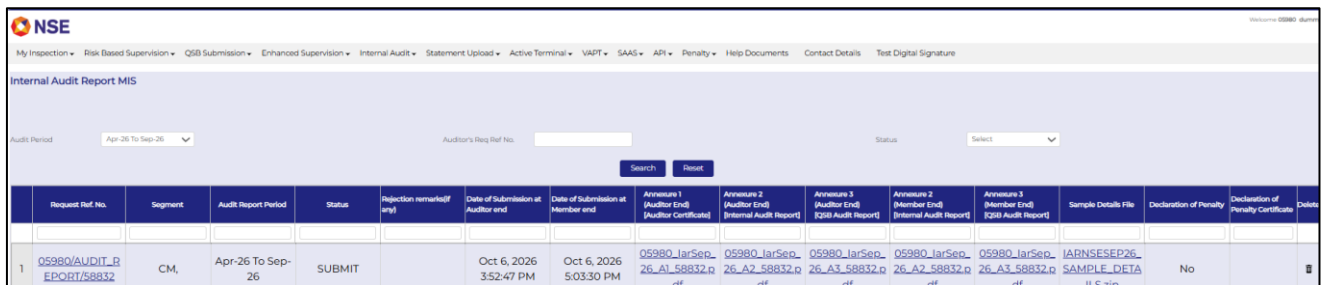
Submit

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

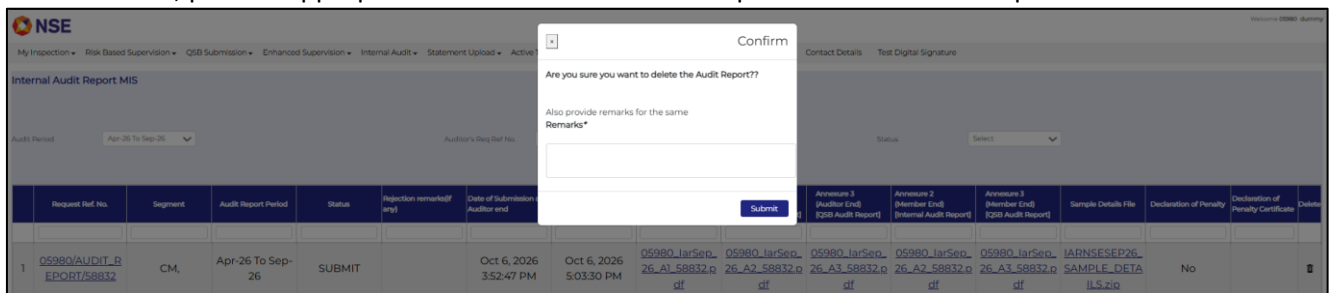


- Deletion of Audit Report submitted by Member-

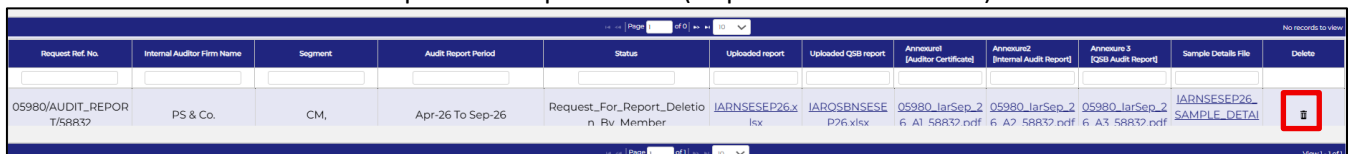
- The deletion request shall be sent from the Member login.
- In Internal Audit tab, click on Internal Audit Report MIS then the following screen will be displayed.



- 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)



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

The screenshot shows the 'Internal Audit Report MIS' interface. A confirmation dialog box is displayed in the center, asking 'Are you sure you want to delete the Audit Report 05980/AUDIT_REPORT/58832?'. Below the question is a text area for 'Remarks' and a 'Submit' button. The background shows a table with columns: Member Name, Member Code, Segment, Audit Report Period, Status, and a 'Delete' icon. The table contains one record with the status 'Request_For_Report_Deletion By Member'.

Member Name	Member Code	Segment	Audit Report Period	Status	Delete
				Request_For_Report_Deletion By Member	

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

The screenshot shows the 'Internal Audit Report MIS' interface. A confirmation dialog box is displayed in the center, asking 'Are you sure you want to delete the Audit Report 05980/AUDIT_REPORT/58832?'. Below the question is a text area for 'Remarks' and a 'Submit' button. The background shows a table with columns: Request Ref No., Internal Auditor Firm Name, Segment, Audit Report Period, Status, Uploaded report, Uploaded Q3 report, Annexure1 (Auditor Certificate), Annexure2 (Internal Audit Report), Annexure3 (Q3 Audit Report), Sample Details File, and a 'Delete' icon. The table contains one record with the status 'Request_For_Report_Deletion By Member'.

Request Ref No.	Internal Auditor Firm Name	Segment	Audit Report Period	Status	Uploaded report	Uploaded Q3 report	Annexure1 (Auditor Certificate)	Annexure2 (Internal Audit Report)	Annexure3 (Q3 Audit Report)	Sample Details File	Delete
05980/AUDIT_REPORT/58832	PS & Co.	CM	Apr-26 To Sep-26	Request_For_Report_Deletion By Member	IARNSESEP26.xlsx	IAROSBNSESEP26.xlsx	05980_IarSep_26 A1 58832.pdf	05980_IarSep_26 A2 58832.pdf	05980_IarSep_26 A3 58832.pdf	IARNSESEP26_SAMPLE_DETAILS	

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-