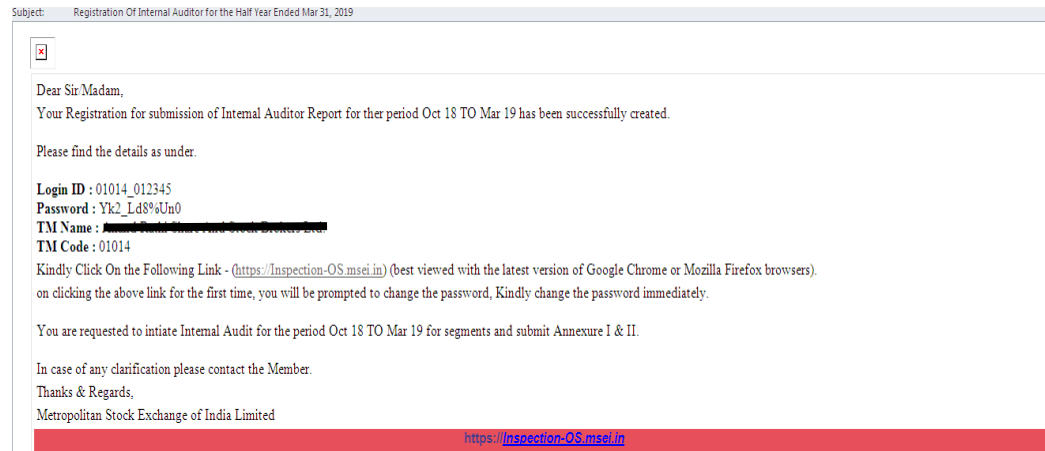


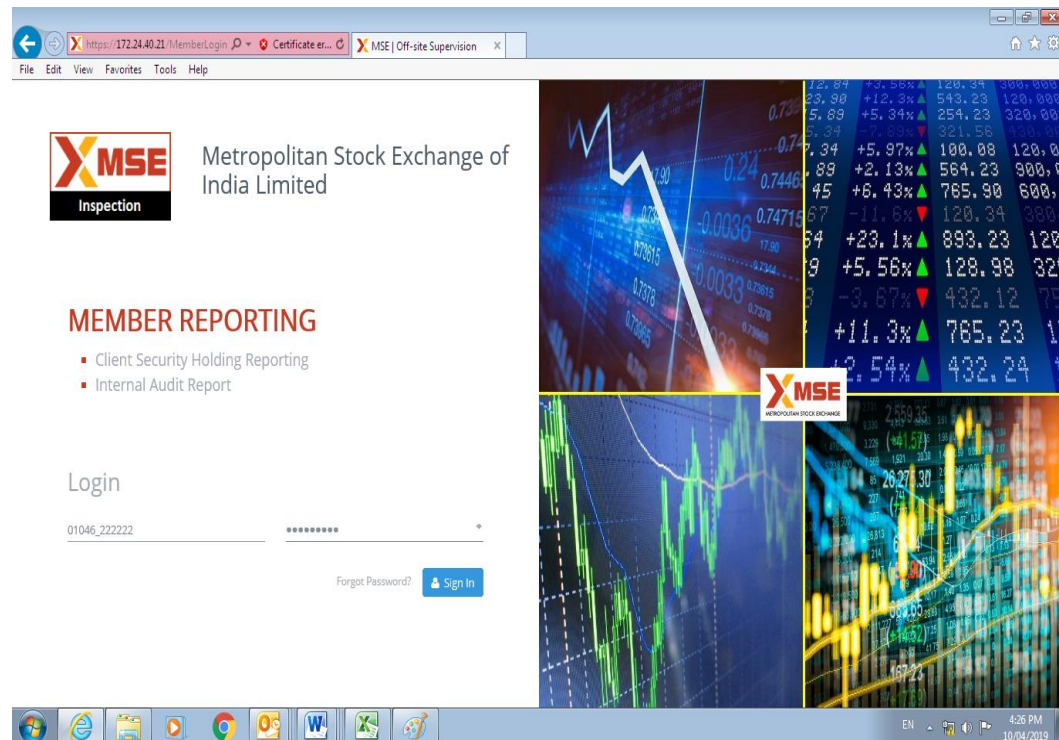
ANNEXURE V


MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY AUDITOR:

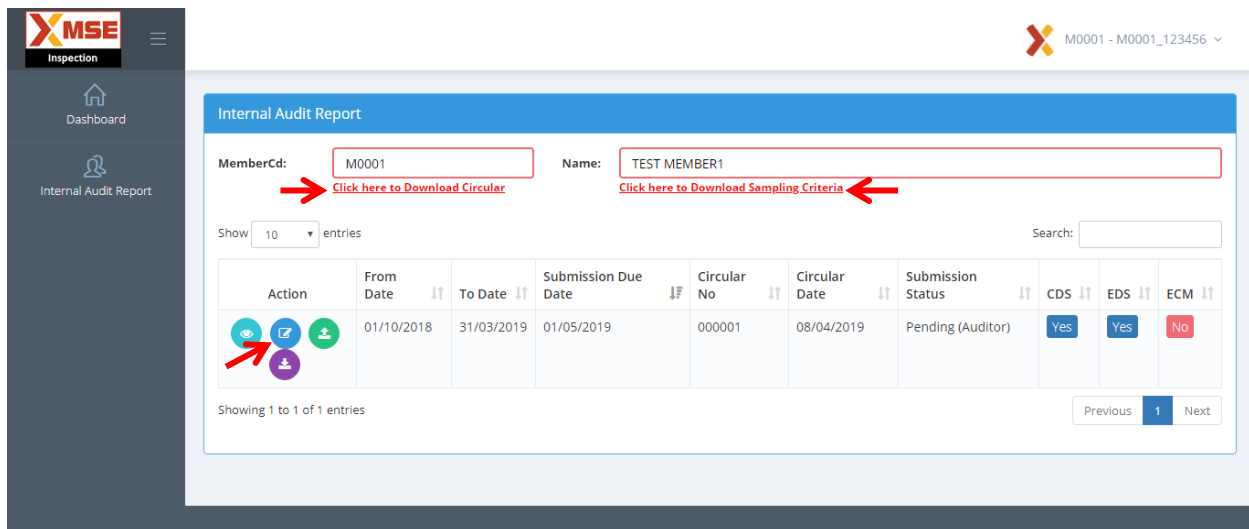
Upon registration of Internal Auditor by the Member, the Internal Auditor shall receive indicative e-mail on his registered E mail ID alongwith Login Credentials. (Sample mail attached below)



Step 1: Auditor is required to Click on the URL provided in the email with login credential provided on email, once Auditor log's in with given user id and password, auditor is required to change the default password.




Step 2: After auditor login below screen shall appear, Auditor to click on  edit icon, to fill up the details of Internal audit report. Auditor can refer the circular and sampling criteria by clicking on below indicated links




MemberCd: M0001 Name: TEST MEMBER1


[Click here to Download Circular](#) [Click here to Download Sampling Criteria](#)

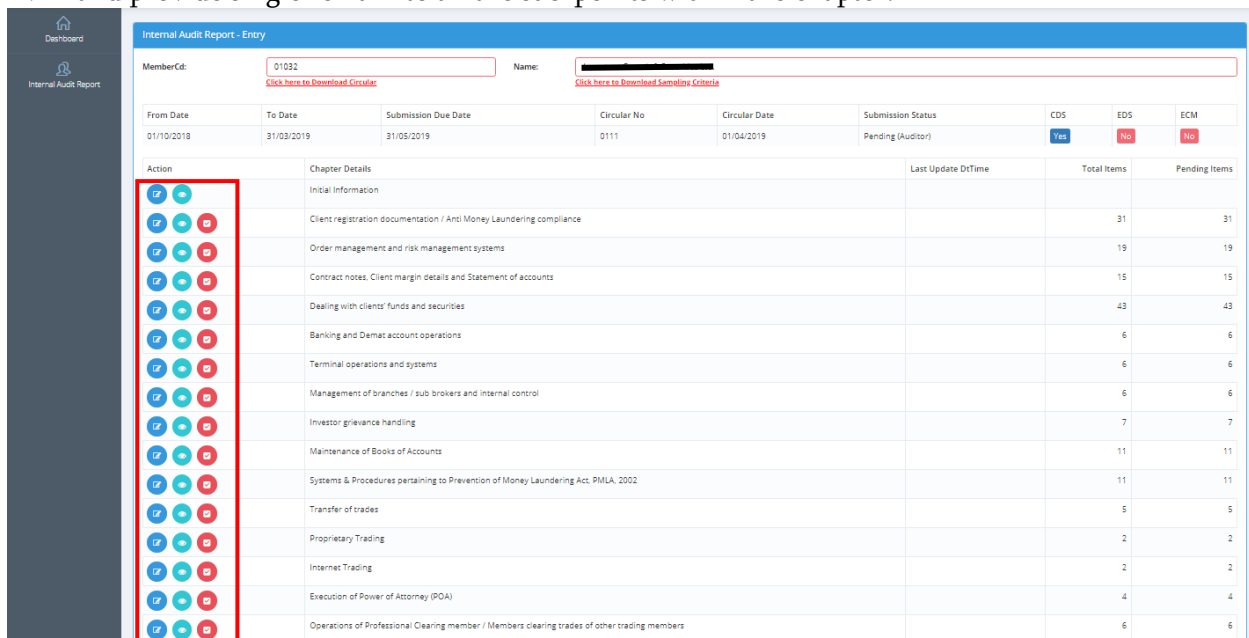
Show 10 entries Search:

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Auditor)	Yes	Yes	No

Showing 1 to 1 of 1 entries Previous 1 Next

Step 3: Below Screen shall appear for Internal Audit Report Entry, Auditor to fill up and/or edit the details by clicking on  icon for every chapter.
















By clicking on  icon, auditor has the option to mark entire chapter with compliance status as 'NA' and provide single remark to all the sub-points within the chapter.




MemberCd: 01032 Name: [REDACTED]

[Click here to Download Circular](#) [Click here to Download Sampling Criteria](#)

From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Auditor)	Yes	No	No


Action	Chapter Details	Last Update DateTime	Total Items	Pending Items
	Initial Information			
	Client registration documentation / Anti Money Laundering compliance		31	31
	Order management and risk management systems		19	19
	Contract notes, Client margin details and Statement of accounts		15	15
	Dealing with clients' funds and securities		43	43
	Banking and Demat account operations		6	6
	Terminal operations and systems		6	6
	Management of branches / sub brokers and internal control		6	6
	Investor grievance handling		7	7
	Maintenance of Books of Accounts		11	11
	Systems & Procedures pertaining to Prevention of Money Laundering Act, PMLA, 2002		11	11
	Transfer of trades		5	5
	Proprietary Trading		2	2
	Internet Trading		2	2
	Execution of Power of Attorney (POA)		4	4
	Operations of Professional Clearing member / Members clearing trades of other trading members		6	6

Step 4: Auditor to complete Initial Information details and save initial information to proceed with next chapter in the report.



Dashboard

Internal Audit Report


M0001 - M0001_123456

IAR initial Information
Save Initial Information

MemberCd: M0001
[Click here to Download Circular](#)

Name: TEST MEMBER1
[Click here to Download Sampling Criteria](#)

From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Auditor)	Yes	Yes	No

Auditor Details

Name of the Internal Auditor *
Designation of the Auditor *
PAN of the Internal Auditor *
Auditor Member No. *
Name of the Audit Firm *
Address of the Audit Firm *
Registration Number of the Audit Firm *

Member & Inspection Details

Internal Audit report For Segment *
SEBI Registration No *
Activity Type *

☐ ECM
☐ EDS
☐ CDS

☐ TM
☐ TCM
☐ SCM

☐ TM
☐ TCM
☐ SCM

☐ TM
☐ TCM
☐ SCM

Audit Period From Date * Audit Period From Audit Period From Date cannot be blank
Audit Period To Date * Audit Period To Audit Period To Date cannot be blank
Number of Active Non Institutional clients * No. of Active Non Institutional Clie
Number of Active Institutional clients * No. of Active Institutional Clients
No. of clients have been registered by the member during the Audit period. * No. of Clients Period


☐ Member also doing Proprietary trading
☐ Member only doing Proprietary Trading
☐ Internet Trading Facility
☐ DMA Facility
☐ Algo Trading Facility
☐ CTCL Facility
☐ Using Co-Location Facility

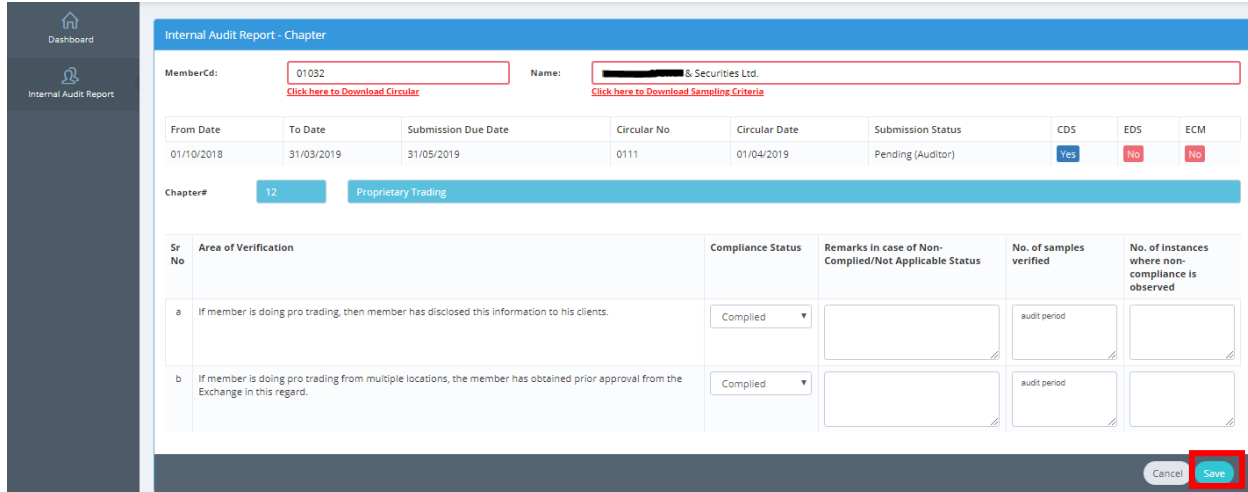
Any regulatory action taken against Internal Auditor/ Partner/ Director
Details of any regulatory action taken against Internal Auditor/ Partner/ Director

YES

Place * Place

Cancel
Save Initial Information

Step 5: Once the Initial Information details are completed, Auditor is required to input details for all the subpoints within chapter and click on  icon to save the chapter details and accordingly complete all the chapters.



Internal Audit Report - Chapter

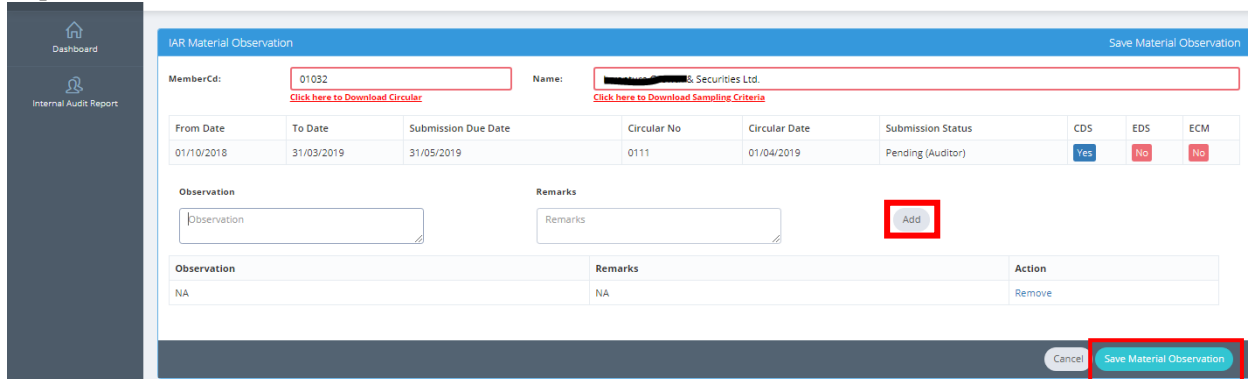
MemberCd: Name:
[Click here to Download Circular](#) [Click here to Download Sameline Criteria](#)

From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Auditor)	Yes	No	No

Chapter# **Proprietary Trading**

Sr No	Area of Verification	Compliance Status	Remarks in case of Non-Complied/Not Applicable Status	No. of samples verified	No. of instances where non-compliance is observed
a	If member is doing pro trading, then member has disclosed this information to his clients.	Complied		audit period	
b	If member is doing pro trading from multiple locations, the member has obtained prior approval from the Exchange in this regard.	Complied		audit period	

Step 6: Auditor to report instance of material observation and provide remarks, then auditor is required to Click on “ADD” and then Click on “Save Material Observation”.



IAR Material Observation Save Material Observation
























MemberCd: Name:
[Click here to Download Circular](#) [Click here to Download Sameline Criteria](#)


From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Auditor)	Yes	No	No

Observation Remarks


Observation	Remarks	Action
NA	NA	Remove

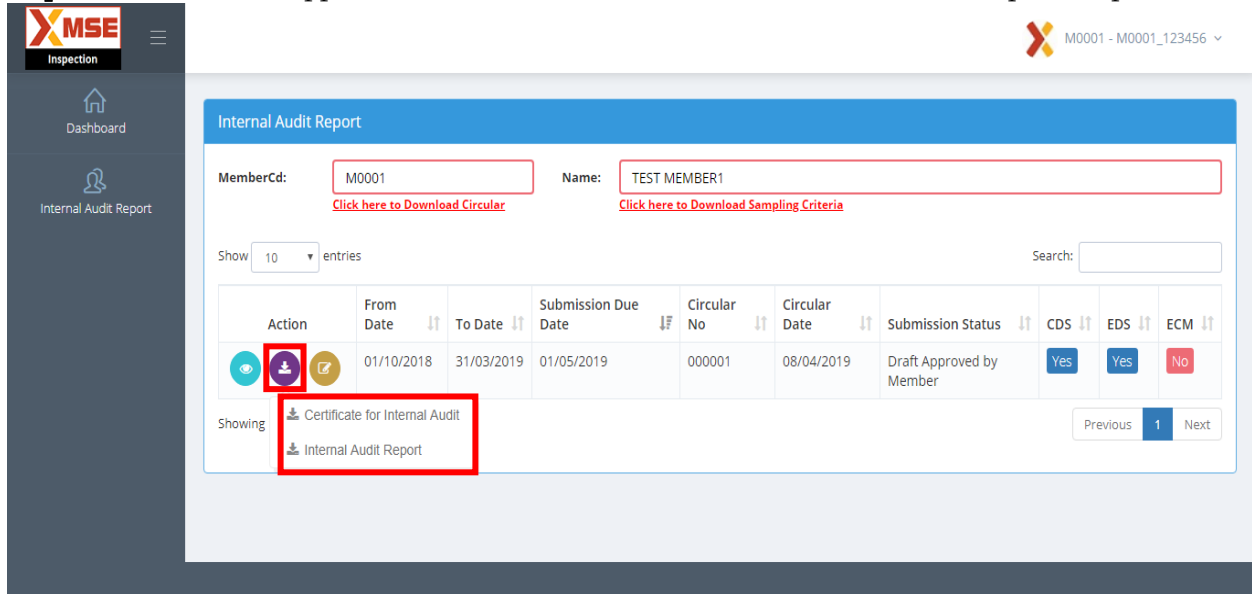
Step 7: Once all the chapter details are completed and saved the pending items column will appear as blank.

Internal Audit Report - Entry									
MemberCd:	01032			Name:	Inventure Growth & Securities Ltd.				
	Click here to Download Circular				Click here to Download Sampling Criteria				
From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM	
01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Auditor)	Yes	No	No	
Action	Chapter Details				Last Update DateTime	Total Items	Pending Items		
 	Initial Information				12/04/2019				
  	Client registration documentation / Anti Money Laundering compliance				12/04/2019	31			
  	Order management and risk management systems				12/04/2019	19			
  	Contract notes, Client margin details and Statement of accounts				12/04/2019	15			
  	Dealing with clients' funds and securities				12/04/2019	43			
  	Banking and Demat account operations				12/04/2019	6			
  	Terminal operations and systems				12/04/2019	6			
  	Management of branches / sub brokers and internal control				12/04/2019	6			

Step 8: Once all the chapters are completely filled, auditor is required to submit draft report to Member for approval, to Submit the Draft Auditor is required to click on . (Note: internal audit report shall be allowed for submission only after member approves the draft report issued by the auditor.)

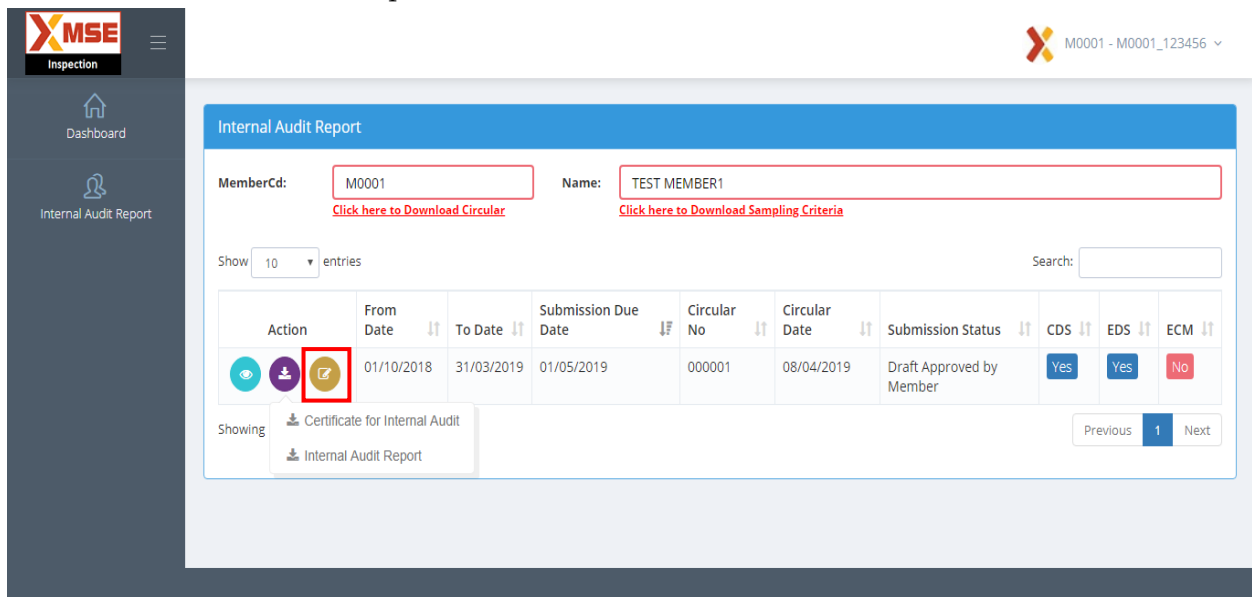
</

Step 9: After draft is approved, click on  to download Certificate & Report in pdf format.



The screenshot shows the 'Internal Audit Report' interface. The left sidebar contains the 'MSE Inspection' logo and navigation links for 'Dashboard' and 'Internal Audit Report'. The main content area has a header with 'MemberCd: M0001' and 'Name: TEST MEMBER1'. Below this is a table with columns: Action, From Date, To Date, Submission Due Date, Circular No, Circular Date, Submission Status, CDS, EDS, and ECM. The first row of data shows 'Draft Approved by Member' with 'CDS' and 'EDS' set to 'Yes' and 'ECM' set to 'No'. The 'Action' column for this row contains three icons: a document, a download icon (highlighted with a red box), and a signature icon. Below the table, there is a 'Showing' section with a dropdown menu set to '10 entries' and a search bar. The dropdown menu is open, showing 'Certificate for Internal Audit' and 'Internal Audit Report' options, both of which are highlighted with a red box.

Step 10: After download, auditor is required to affix digital signature and click on  to upload the Internal Audit Certificate & Report and click on  icon.



The screenshot shows the 'Internal Audit Report' interface, similar to the previous one. The 'Action' column for the first row now shows three icons: a document, a download icon, and a signature icon (highlighted with a red box). The 'Showing' dropdown menu is still open, showing 'Certificate for Internal Audit' and 'Internal Audit Report' options. The 'Update Auditor SignOff Detail' button is visible in the top right corner of the main content area.

Dashboard

Internal Audit Report

Auditor SignOff

Update Auditor SignOff Detail

Certificate for Internal Audit *

Choose File IARMAR1...A1.pdf

Internal Audit Report *

Choose File IARMAR1...A2.pdf

Contact Person *

XYZ

Contact Person Designation *

PARTNER

Email Id *

ameya.bhelekar@msel.in

Mobile No *

9999999999

Office No.

Office No

Cancel

Update Auditor SignOff Detail

Dashboard

Internal Audit Report

Auditor SignOff

Update Auditor SignOff Detail

Certificate

Internal Audit Report *

Choose File No file chosen

Contact Person *

XYZ

Contact Person Designation *

PARTNER

Email Id *

ameya.bhelekar@msel.in

Mobile No *

9999999999

Office No.

Office No

Cancel

Update Auditor SignOff Detail

Auditor SignOff

Auditor SignOff Process Completed Successfully.

Close

After completing the auditor submission the column 'Submission status' will change to Pending (Member).

MSE Inspection

Dashboard

Internal Audit Report

M0001 - M0001_123456

Internal Audit Report

MemberCd: M0001

Name: TEST MEMBER1

[Click here to Download Circular](#)
[Click here to Download Sampling Criteria](#)

Show 10 entries

Search:

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Member)	Yes	Yes	No







Showing 1 to 1 of 1 entries

Previous

1

Next

Glossary

Symbol	Description
	To View the details
	To fill and edit the details
	To mark entire Chapter as 'NA' for status and provide single remark to all the sub-points within the chapter
	To submit Draft to the member for member approval before submitting the final audit report by the internal auditor
	To download the pdf report
	To upload the digitally signed pdf report