

ANNEXURE V

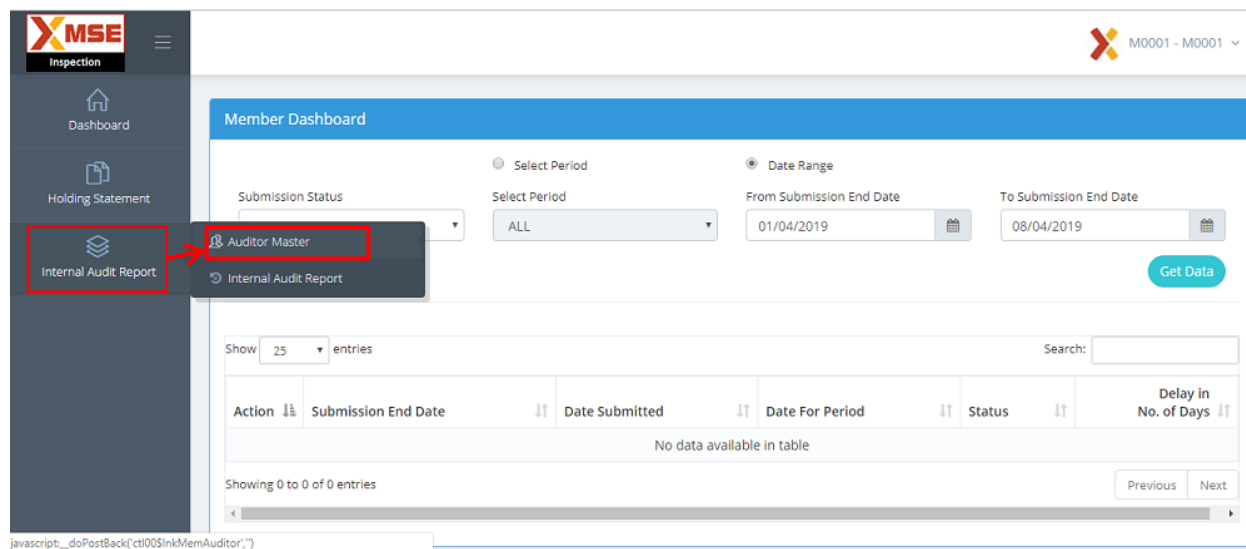
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER.

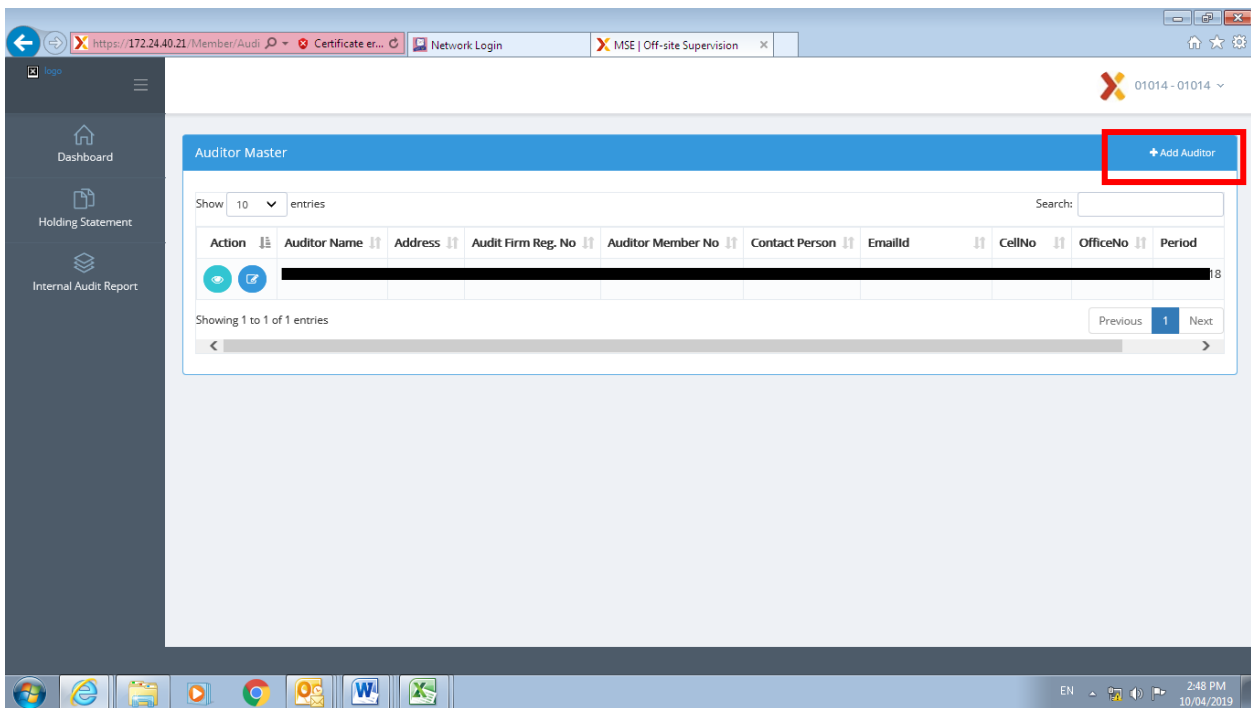
Step 1:- Member to Login using URL <https://inspection-os.msei.in/MemberLogin.aspx> with member's existing user id and password.



To register Auditor:-

Step 2:- Click on "Internal Audit Report" > "Auditor Master" > "Add Auditor".





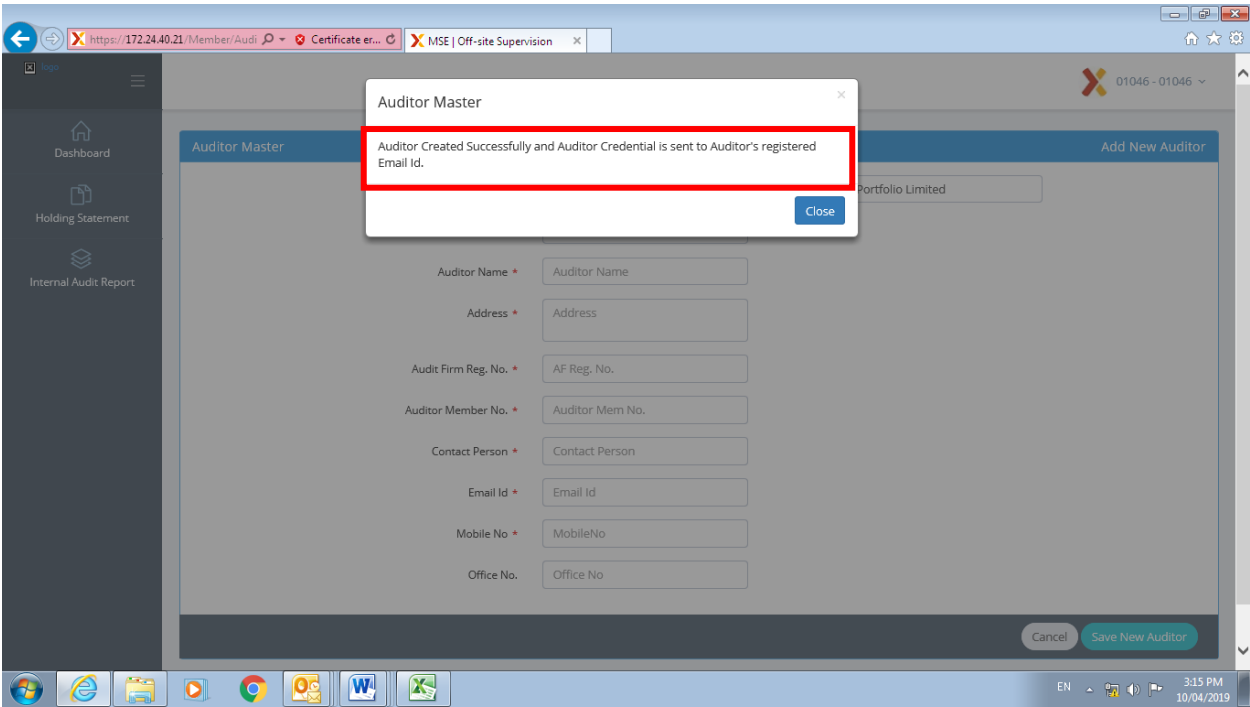
Step 3: Member to Fill Auditor's details in Auditor Master to register new Auditor for selected period and click on
> "Save New Auditor"



The screenshot shows the 'Add New Auditor' form. The form contains the following fields and values:

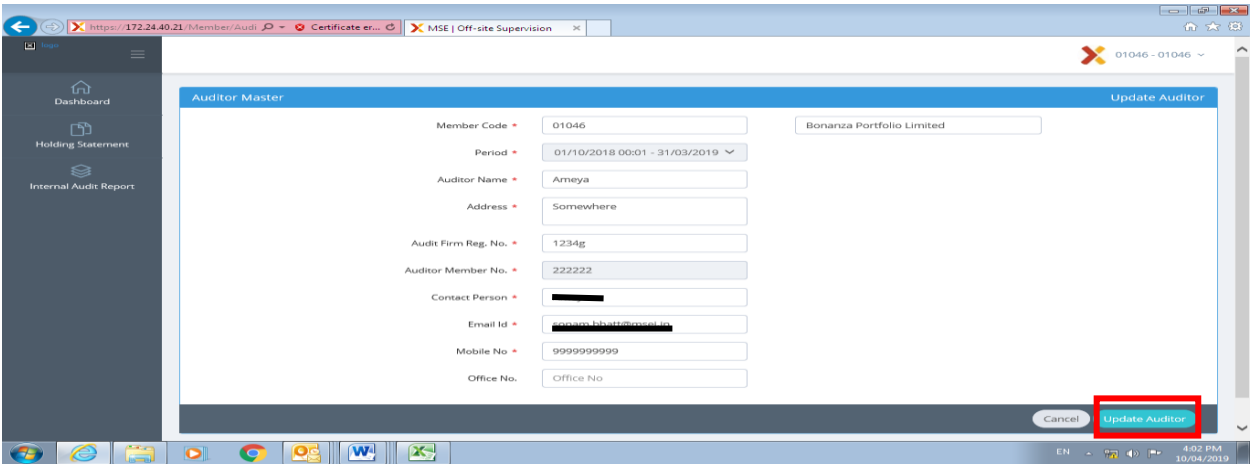
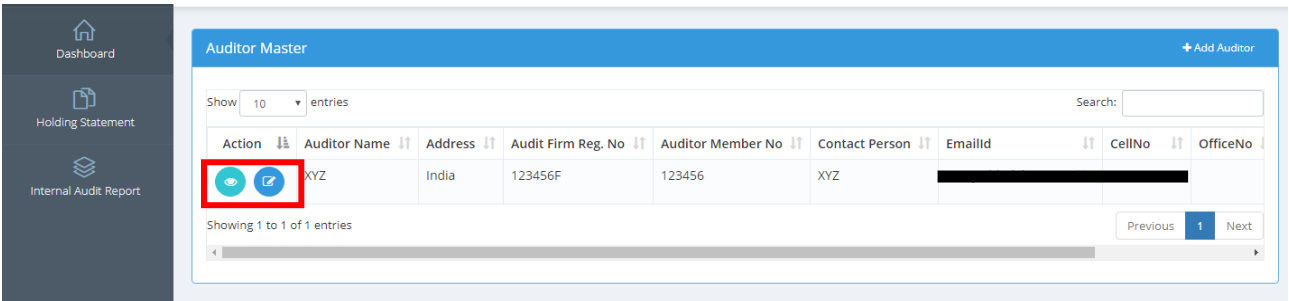
- Member Code: M0001
- Period: 01/10/2018 00:00 - 31/03/2019
- Auditor Name: Test Auditor
- Address: Test Address
- Audit Firm Reg. No.: AFTST01
- Auditor Member No.: 123456
- Contact Person: AUDITOR TEST
- Email Id: test@gmail.com
- Mobile No.: 9999999999
- Office No.: 9999999999

At the bottom right, there are two buttons: 'Cancel' and 'Save New Auditor'. The 'Save New Auditor' button is highlighted with a red box.



Step 4:- Member will receive dialog screen Confirming Auditor created successfully and Auditor login credential shall be sent to Auditor's registered Email id.

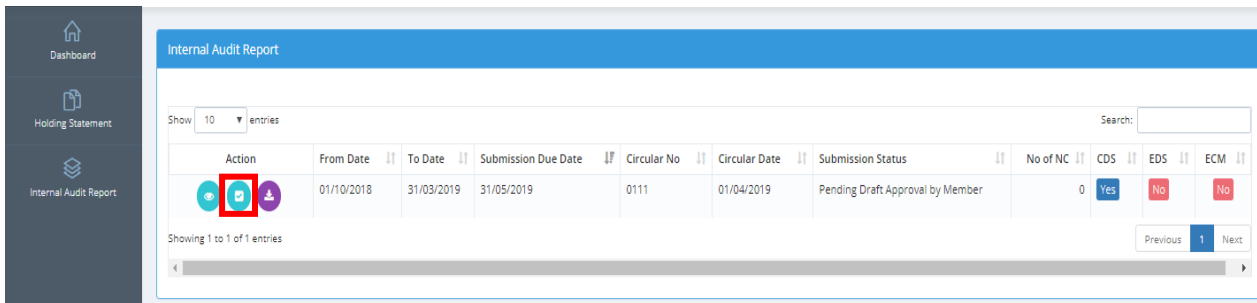


Step 5: Member can View  icon and Edit  icon Auditor's details in Auditor Master. On editing the Auditor's details, member to click on 'Update Auditor' to save the changes.






To Approve Draft Report:-

Step 1: As auditor issues the draft report, member can view the details entered by auditor by clicking on  icon. Member is required to click on  icon to approve or reject the draft report and mention reason for rejection as below. **(Note internal audit report shall be allowed for submission only after member approves the draft report issued by the auditor.)**



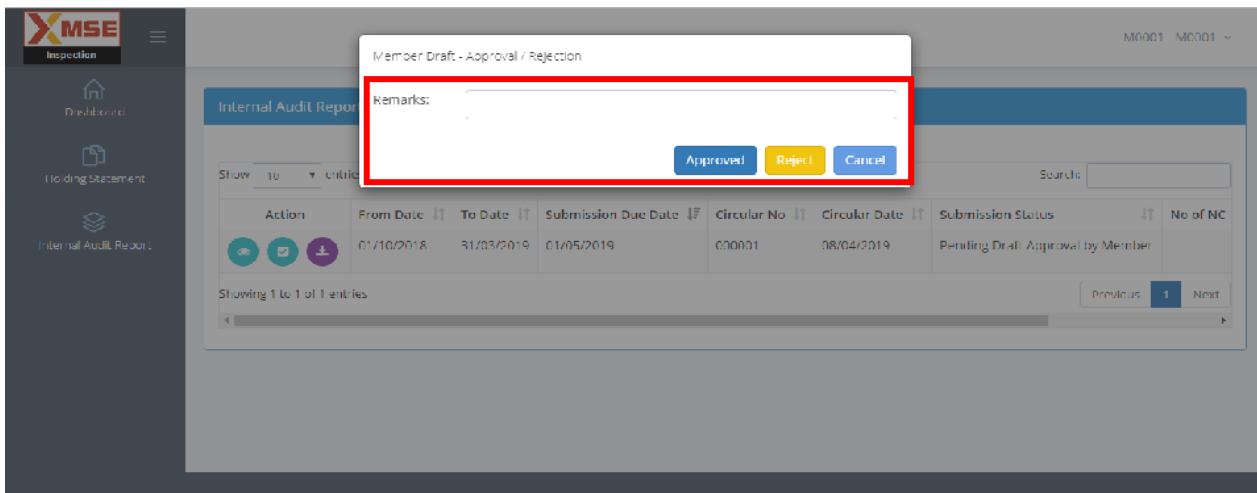
Internal Audit Report

Show 10 entries

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC	CDS	EDS	ECM
  	01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending Draft Approval by Member	0	Yes	No	No

Showing 1 to 1 of 1 entries

Previous 1 Next






Member Draft - Approval / Rejection

Remarks:

Approved Reject Cancel


Internal Audit Report

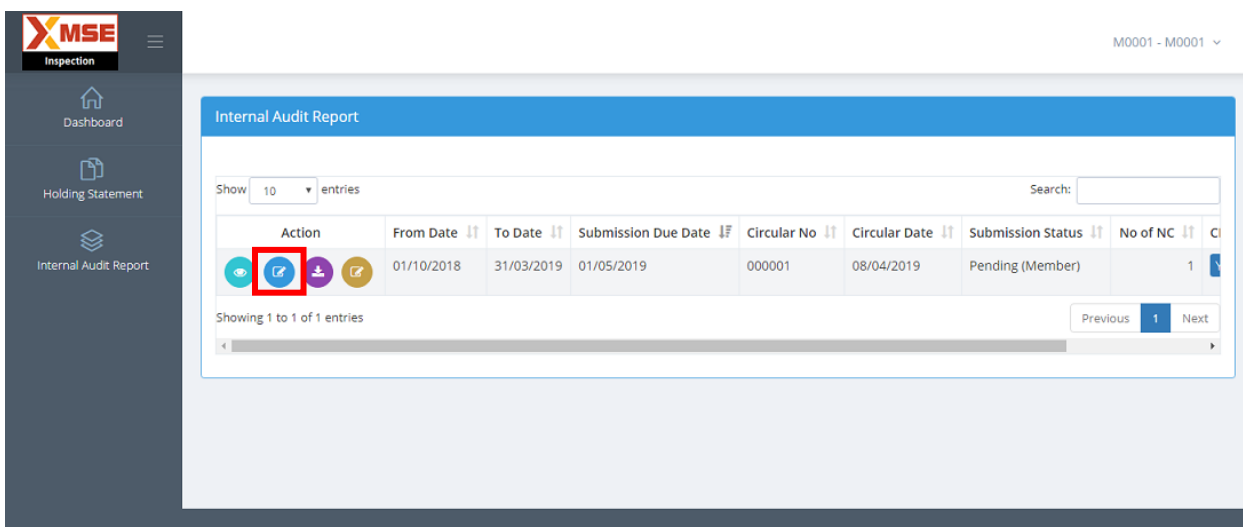
Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC
  	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending Draft Approval by Member	

Showing 1 to 1 of 1 entries

Previous 1 Next





To Submit Report to Exchange:-

Step 1: After IAR submitted by the auditor, member to fill up data by clicking on  edit icon.





Internal Audit Report

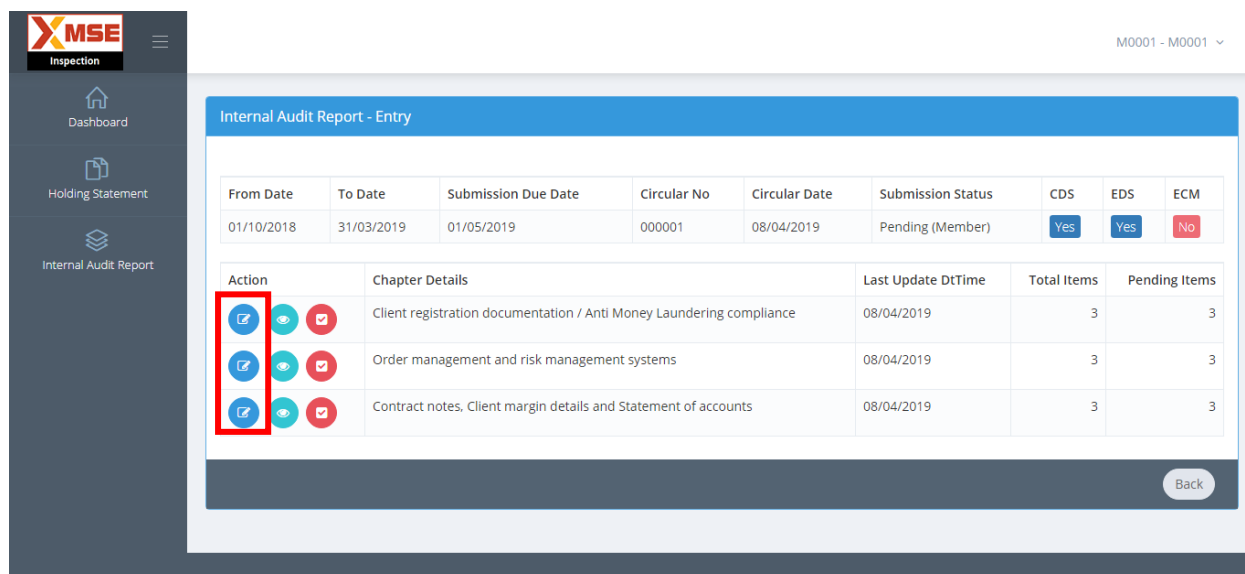
Show 10 entries

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC
   	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Member)	1




Showing 1 to 1 of 1 entries

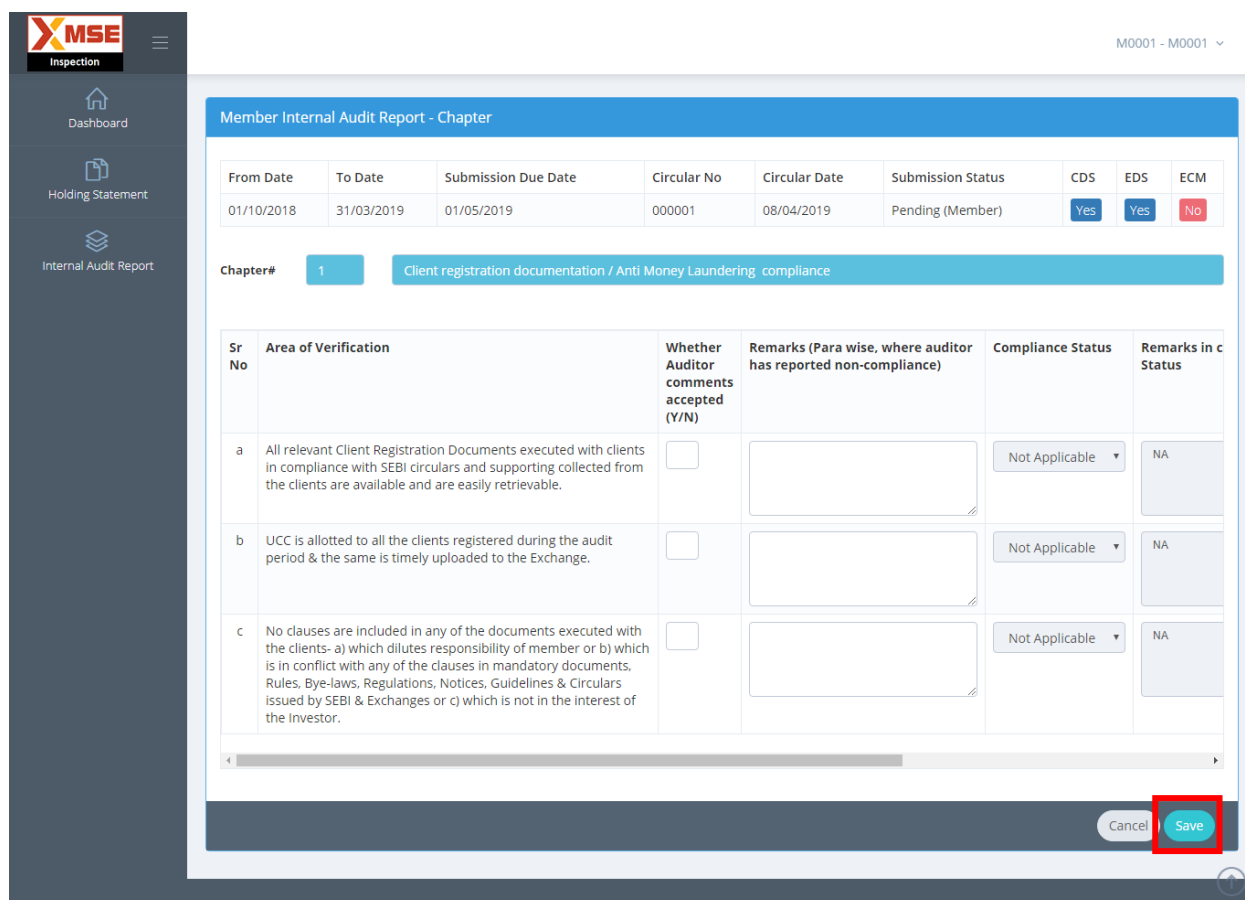
Previous 1 Next

Step 2: Below Screen shall appear for 'Internal Audit Report – Entry', Member to fill up and/or edit the details by clicking on  icon for every chapter. Member is required to input details for all the sub-points within chapter and click on  icon to save the chapter details and accordingly complete all the chapters.



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


Action	Chapter Details	Last Update DateTime	Total Items	Pending Items
	Client registration documentation / Anti Money Laundering compliance	08/04/2019	3	3
	Order management and risk management systems	08/04/2019	3	3
	Contract notes, Client margin details and Statement of accounts	08/04/2019	3	3

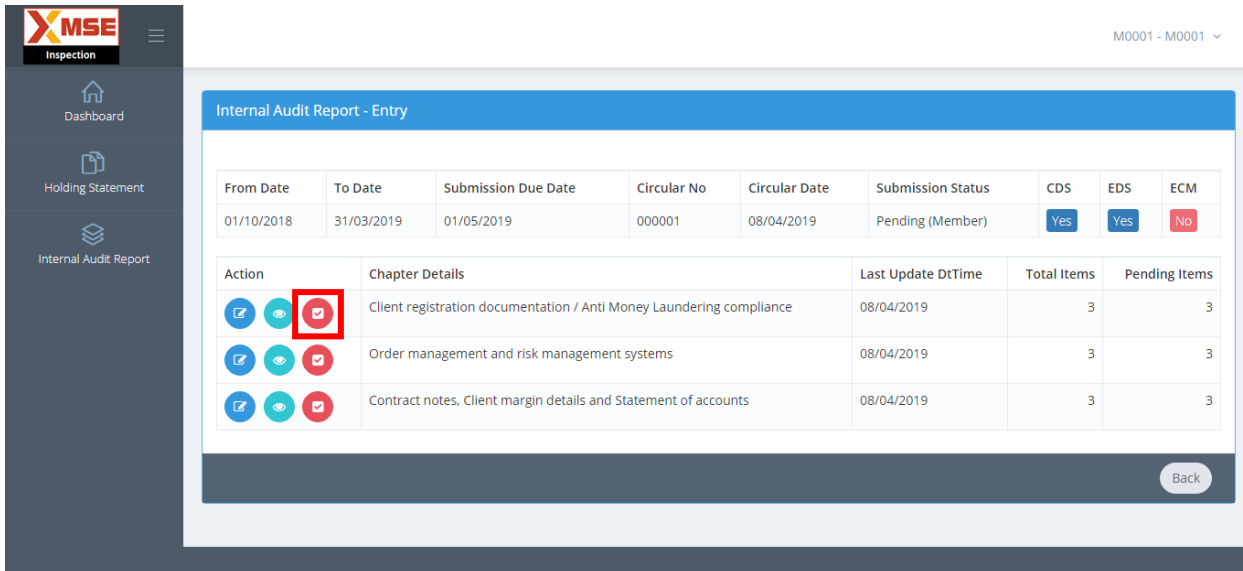


From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Member)	Yes	Yes	No




Chapter# 1 Client registration documentation / Anti Money Laundering compliance


Sr No	Area of Verification	Whether Auditor comments accepted (Y/N)	Remarks (Para wise, where auditor has reported non-compliance)	Compliance Status	Remarks in c Status
a	All relevant Client Registration Documents executed with clients in compliance with SEBI circulars and supporting collected from the clients are available and are easily retrievable.	<input type="checkbox"/>		Not Applicable	NA
b	UCC is allotted to all the clients registered during the audit period & the same is timely uploaded to the Exchange.	<input type="checkbox"/>		Not Applicable	NA
c	No clauses are included in any of the documents executed with the clients- a) which dilutes responsibility of member or b) which is in conflict with any of the clauses in mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines & Circulars issued by SEBI & Exchanges or c) which is not in the interest of the Investor.	<input type="checkbox"/>		Not Applicable	NA

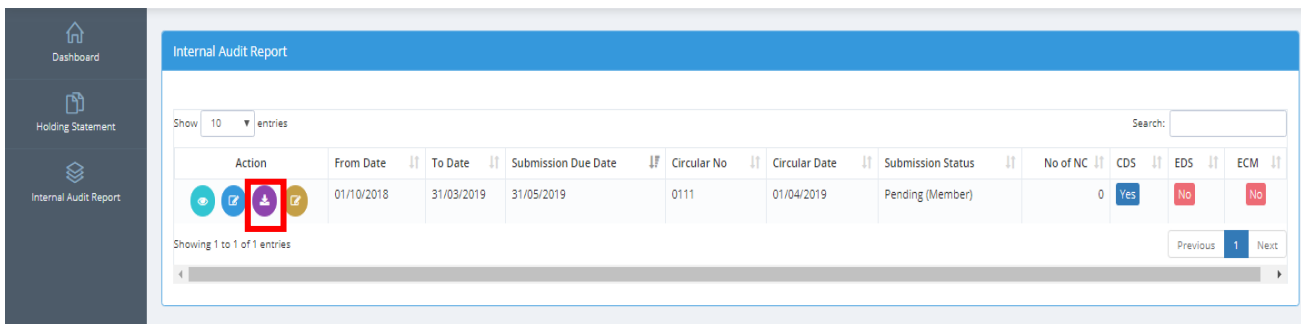
Step 3: By clicking on  icon, member has the option to mark all the items in the selected chapter as "Yes" for the field - "Whether Auditor comments accepted" and provide single remark.





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

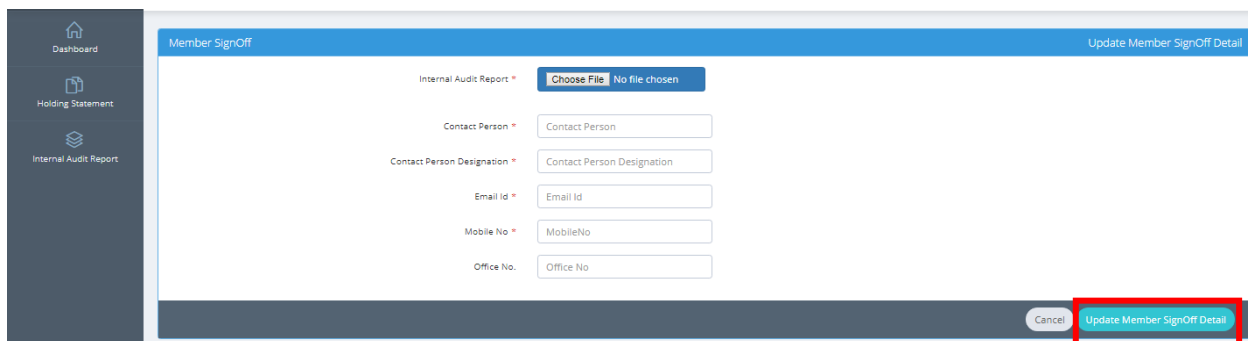
Action	Chapter Details	Last Update DtTime	Total Items	Pending Items
	Client registration documentation / Anti Money Laundering compliance	08/04/2019	3	3
	Order management and risk management systems	08/04/2019	3	3
	Contract notes, Client margin details and Statement of accounts	08/04/2019	3	3

Step 4: Once all the chapters are completely filled, member to click on  icon to download Report in pdf format.



Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC	CDS	EDS	ECM
	01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Member)	0	Yes	No	No

Step 5: After download, Member is required to affix digital signature and click on  icon to upload the Internal Audit Report and click on "Update Member signoff detail" icon.



Member SignOff

Internal Audit Report: No file chosen

Contact Person:

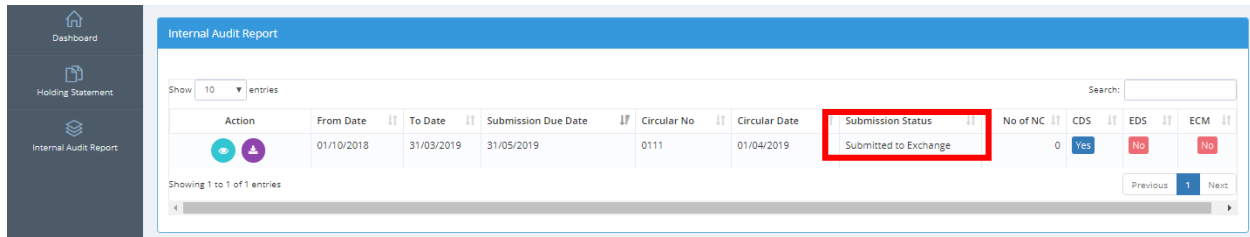
Contact Person Designation:

Email Id:



Mobile No:

Office No:







After completing the member submission, the field 'Submission status' will update to "Submitted to Exchange".



The screenshot displays the 'Internal Audit Report' interface. On the left is a dark sidebar with navigation links: 'Dashboard', 'Holding Statement', and 'Internal Audit Report'. The main content area has a blue header 'Internal Audit Report'. Below the header, there's a search bar and a 'Show 10 entries' dropdown. A table lists audit entries with columns: Action, From Date, To Date, Submission Due Date, Circular No, Circular Date, Submission Status, No of NC, CDS, EDS, and ECM. The 'Submission Status' column for the first entry is highlighted with a red box and shows 'Submitted to Exchange'. Below the table, it says 'Showing 1 to 1 of 1 entries' and includes 'Previous' and 'Next' pagination buttons.

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC	CDS	EDS	ECM
 	01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Submitted to Exchange	0	Yes	No	No

Glossary

Symbol	Description
	To View the details
	To fill and edit the details
	To approve or reject the draft report issued by the auditor and mention reason for rejection
	To mark all the items in the selected chapter as “Yes” for the field - "Whether Auditor comments accepted" and provide single remark.
	To download the pdf report
	To upload the digitally signed pdf report