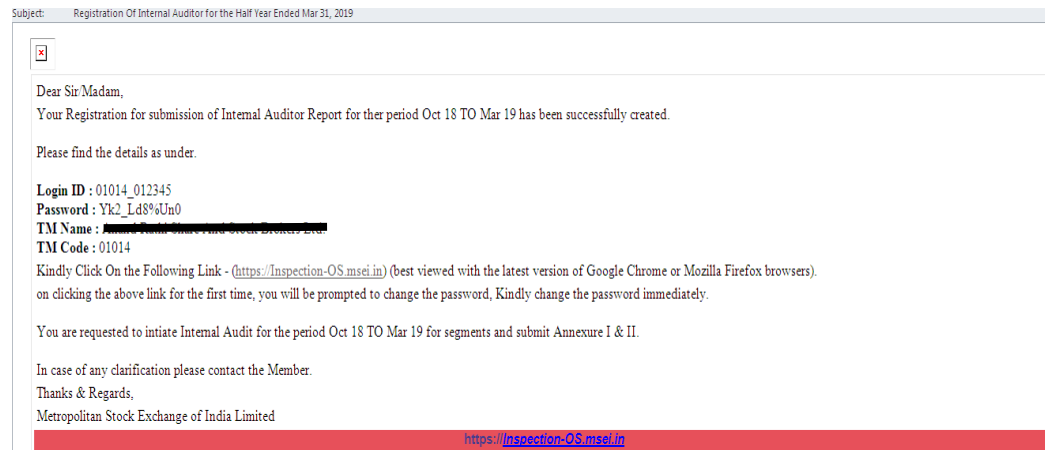


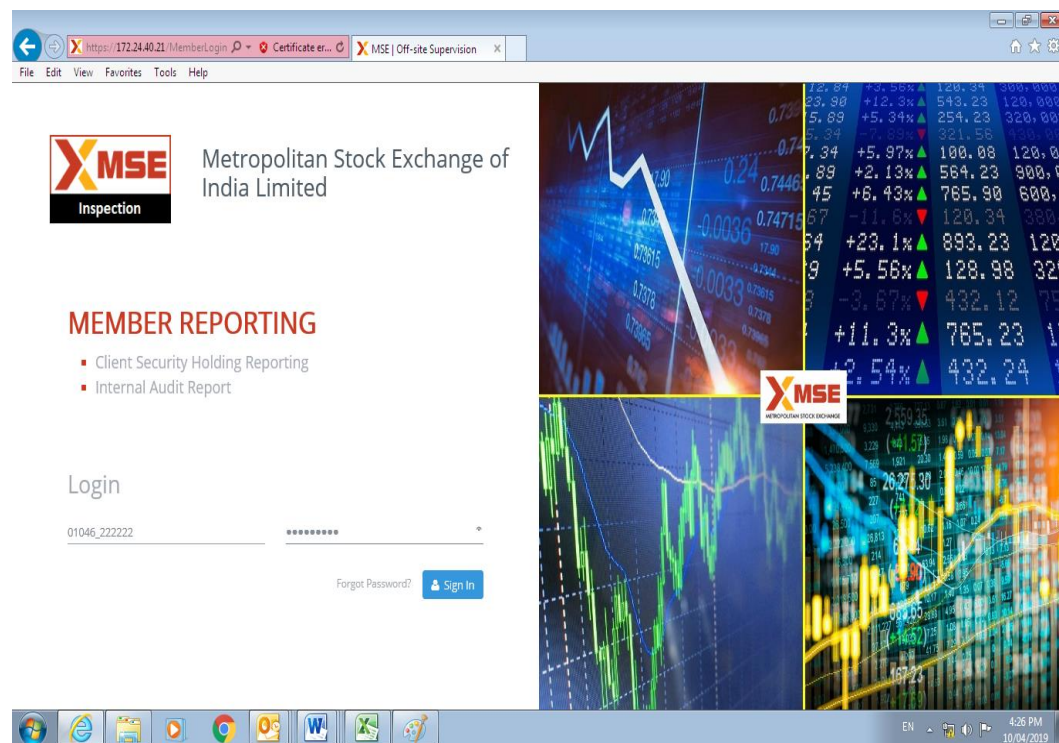
## ANNEXURE V


### 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

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 (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.

Dashboard

Internal Audit Report

MemberCd: 01032

Name:


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)	<span style="background-color: #007bff; color: white; padding: 2px;">Yes</span>	<span style="background-color: #007bff; color: white; padding: 2px;">Yes</span>	<span style="background-color: #dc3545; color: white; padding: 2px;">No</span>

**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 \*

Auditor Name

Auditor Designation

PAN

Auditor Mem No.

Auditor Firm Name

Audit Firm Address

Audit Firm Reg. No.

**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 To Date \*

Number of Active Non Institutional clients \*

Number of Active Institutional clients \*

No. of clients have been registered by the member during the Audit 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 ☐

No. of branches in the beginning of the audit period \*

No. of branches were opened during the period \*

No. of branches were closed during the period \*

No. of branches Inspected by the Member during the period \*

No. of Sub-Brokers Inspected by the Member during the period \*

No. of APs Inspected by the Member during the period \*

No. of Bank Accounts \*


No. of Demat Accounts \*

Any regulatory action taken against Internal Auditor/ Partner/ Director YES

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

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.

Dashboard

Internal Audit Report

Internal Audit Report - Chapter

MemberCd: 01032

Name: ██████████ & 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

Chapter# 12

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	

Cancel

Save

**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”.

Dashboard

Internal Audit Report

IAR Material Observation

Save Material Observation

MemberCd: 01032

Name: ██████████ & 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

Observation

Remarks

Add

Observation	Remarks	Action
NA	NA	Remove

Cancel

Save Material Observation

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

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 DtTime	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:** Click on to download Certificate & Report in pdf format.

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	Draft Approved by Member	Yes	Yes	No

Showing	Certificate for Internal Audit	Internal Audit Report

**Step 9:** The Auditor is required to click on icon and the system will further direct the auditor to the following screen. The auditor is required to upload the files and fill-in the details and then click on "Update Auditor SignOff Details".

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 for Internal Audit \*

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

**Step 10:** The Auditor is required to affix digital signature for certificate by clicking on  icon.

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
	01/07/2019	30/09/2019	30/11/2019	123456	25/09/2019	Pending Auditor Certificate Sign	Yes	Yes	Yes

Showing 1 to 1 of 1 entries

Previous

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Next

**Step 11:** Upon clicking on  icon, Auditor will directed to the following screen. Auditor further needs to click on "Sign PDF Using Token" and follow the instructions.

## Online PDF Signing

(using your Digital Signature from your Token)

- Requires Browser Extension to be installed which is compatible to Google Chrome only
- For Google Chrome
  - Download Chrome Extension Host. Do not forget to close Chrome before installing Extension Host.
  - Installing above Signer.Digital HOST, and restarting Chrome would ask and try to install Sigher.Digital Chrome Extension automatically. If this does not happen Automatically, click here [Signer.Digital Chrome Extension](#) to Enable the Sigher.Digital Chrome Extension.

PDF File detail: IARSEP19\_M0001\_987654\_A1.pdf

Sign PDF Using Token

Cancel


Message

## Online PDF Signing

Windows Security

Select Signature

Select Sign Message



**Authority Name**  
Issuer: Capnicorn CA 2014  
Valid From: **Date to Expiry**  
[Click here to view certificate properties](#)

OK


Cancel

## Online PDF Signing

Windows Security

Smart Card

Please enter your authentication PIN.



**PIN**  
  
[Click here for more information](#)

OK

Cancel

**Step 12:** Upon signing the certificate, the auditor will get a confirmation message “Auditor Certificate signed successfully” will appear.

Online PDF Signing

(using your Digital Signature from your Token)

Requires Browser Extension to be installed which is compatible to Google Chrome only

For Google Chrome

- Download Chrome Extension Host . Do not forget to close Chrome before installing Extension Host.
- Installing above Signer.Digital HOST, and restarting Chrome would ask and try to install Sigher.Digital Chrome Extension automatically. If this does not happen Automatically, click here Signer.Digital Chrome Extension to Enable the Sigher.Digital Chrome Extension.

PDF File detail: IARSEP19\_M0001\_987654\_A1.pdf

Sign PDF Using Token

Cancel

File Signing Successful. Redirect to View.

Auditor Certificate signed successfully continue to affix digital signature to Auditor Report.

**Step 13:** The Auditor is required to affix digital signature for report by clicking on  icon.

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
  	01/07/2019	30/09/2019	30/11/2019	123456	25/09/2019	Pending Auditor Report Sign	Yes	Yes	Yes

Showing 1 to 1 of 1 entries

Previous

1

Next

**Step 14:** Upon clicking on  icon, Auditor will directed to the following screen.

Auditor further needs to click on “Sign PDF Using Token” and follow the instructions.

Online PDF Signing

(using your Digital Signature from your Token)

Requires Browser Extension to be installed which is compatible to Google Chrome only

For Google Chrome

- Download Chrome Extension Host . Do not forget to close Chrome before installing Extension Host.
- Installing above Signer.Digital HOST, and restarting Chrome would ask and try to install Sigher.Digital Chrome Extension automatically. If this does not happen Automatically, click here Signer.Digital Chrome Extension to Enable the Sigher.Digital Chrome Extension.

PDF File detail: IARSEP19\_M0001\_987654\_A2.pdf

Sign PDF Using Token

Cancel

Message

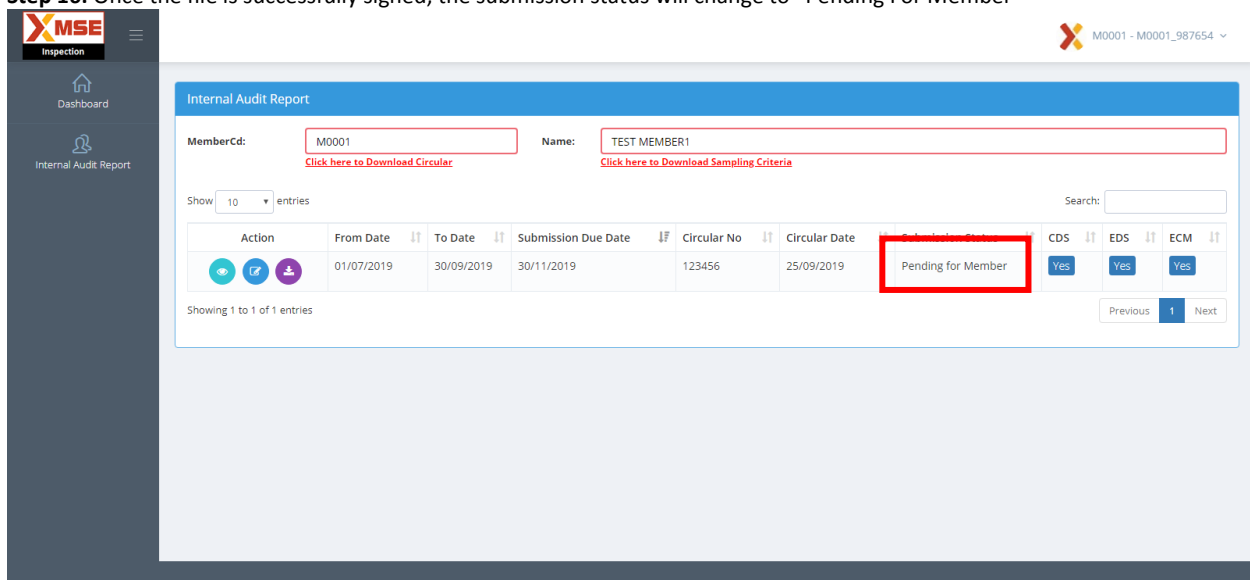










**Step 15:** Upon signing the certificate, the auditor will get a confirmation message “Files Signed Successfully” will appear.



**Step 16:** Once the file is successfully signed, the submission status will change to “Pending For Member”



## 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 download the pdf report
	To upload the digitally signed pdf report
	To Sign Report