

ANNEXURE V

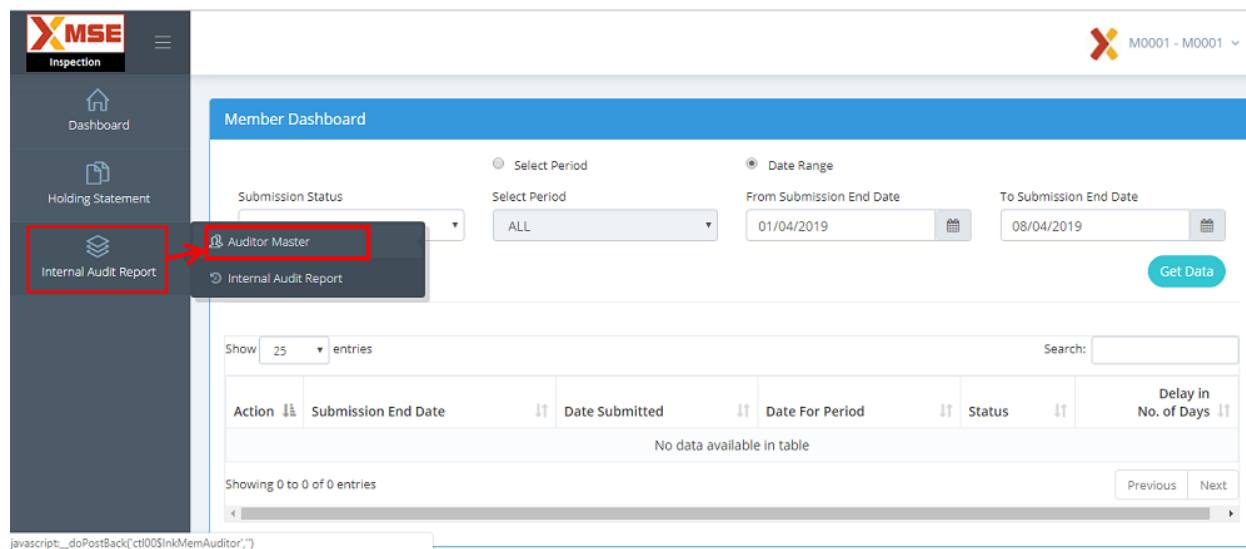
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER.

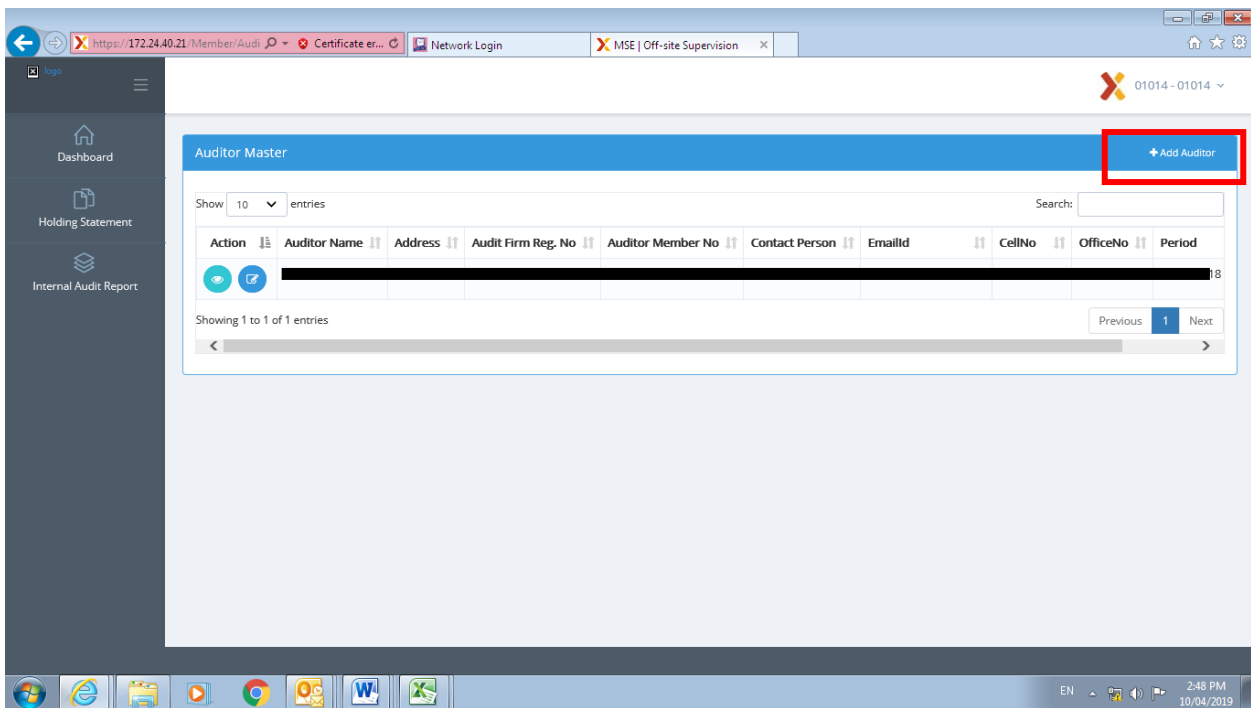
Step 1:- Member to Login using URL <https://inspection-os.msei.in/MemberLogin.aspx> with member's existing user id and password.



To register Auditor:-

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

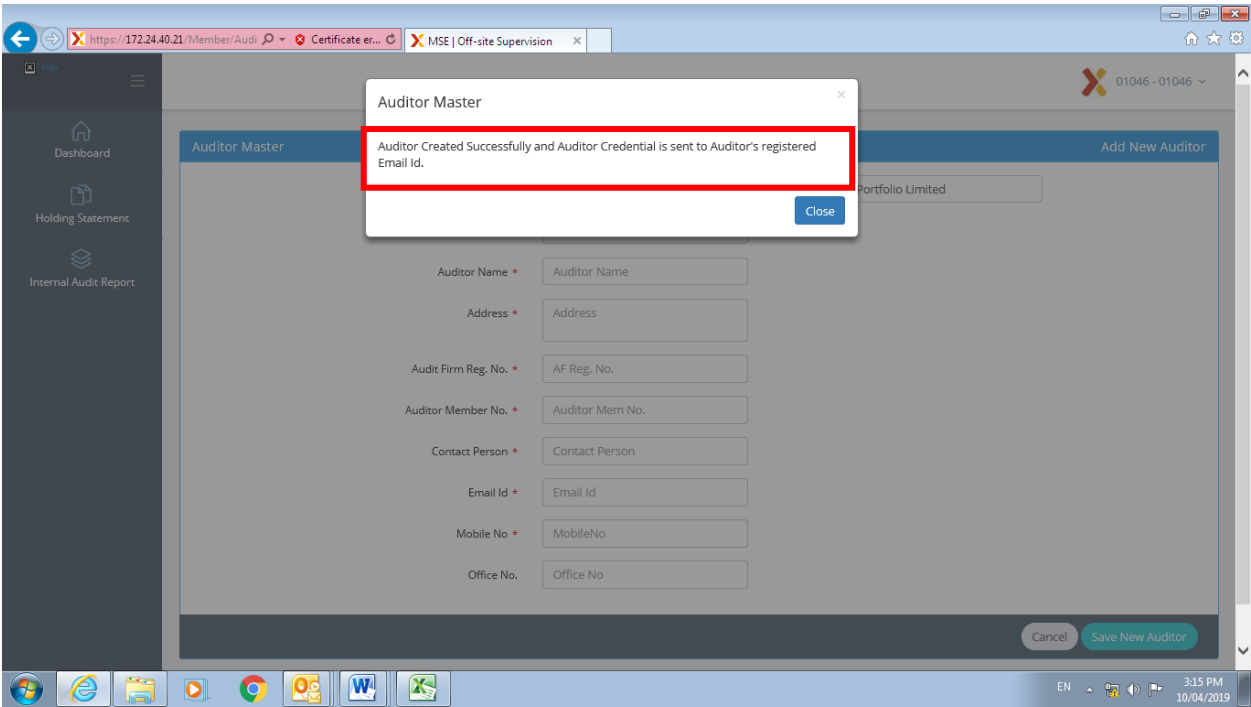






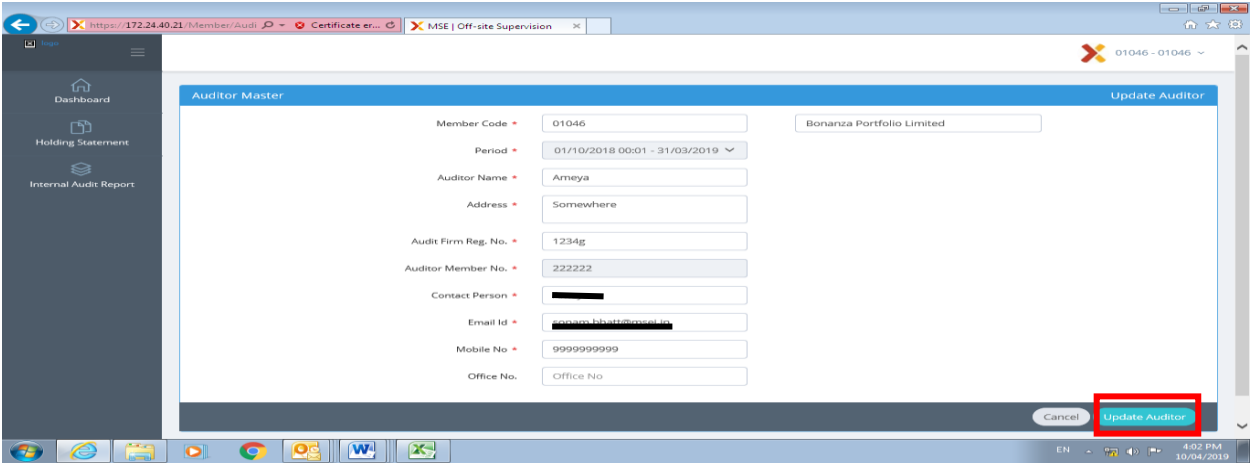
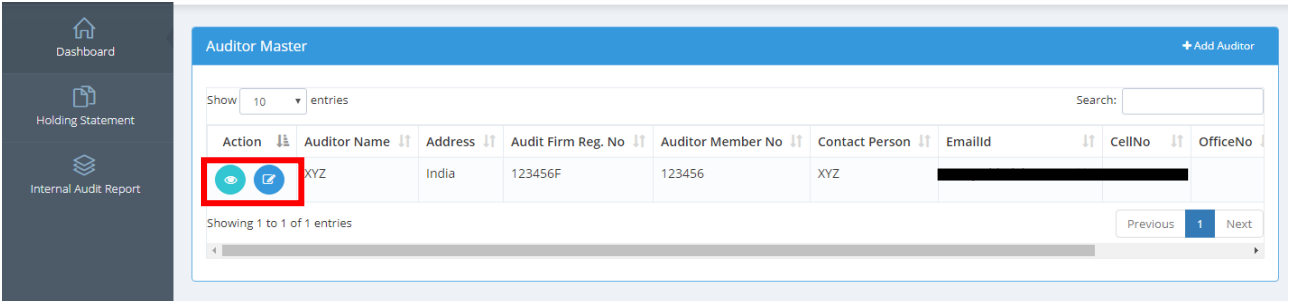
Step 3: Member to Fill Auditor's details in Auditor Master to register new Auditor for selected period and click on
> "Save New Auditor"

The screenshot shows the 'Add New Auditor' form in the Auditor Master interface. The form is titled 'Auditor Master' and 'Add New Auditor'. It contains the following fields: Member Code (M0001), Period (01/10/2018 00:00 - 31/03/2019), Auditor Name (Test Auditor), Address (Test Address), Audit Firm Reg. No. (AFTEST01), Auditor Member No. (123456), Contact Person (AUDITOR TEST), Email Id (test@gmail.com), Mobile No. (9999999999), and Office No. (9999999999). A red box highlights the 'Save New Auditor' button at the bottom right of the form. The top navigation bar includes a home icon, a menu icon, and a dropdown menu showing 'M0001 - M0001'. The left sidebar contains links for 'Dashboard', 'Holding Statement', and 'Internal Audit Report'. The browser's address bar shows 'https://172.24.40.21/Member/Audi...' and the taskbar at the bottom shows various application icons and the system clock indicating 2:48 PM on 10/04/2019.


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 Submit Report to Exchange:-

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



Inspection

Dashboard


Holding Statement



Internal Audit Report


M0001 - M0001

Internal Audit Report

Showing 1 to 1 of 1 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

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.



Inspection

Dashboard

Holding Statement




Internal Audit Report

M0001 - M0001

Internal Audit Report - Entry

Showing 1 to 1 of 1 entries

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)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Back

Inspection

Dashboard

Holding Statement

Internal Audit Report

M0001 - M0001

Member Internal Audit Report - Chapter

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

Cancel
Save

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.

Inspection

Dashboard

Holding Statement

Internal Audit Report


M0001 - M0001

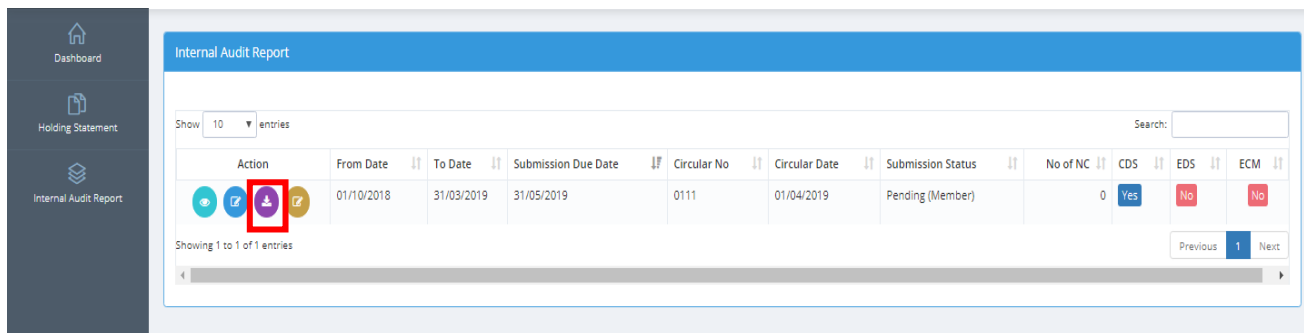
Internal Audit Report - Entry

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

Back

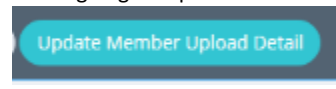
Step 4: Once all the chapters are completely filled, member to click on  icon to download Report in PDF format.

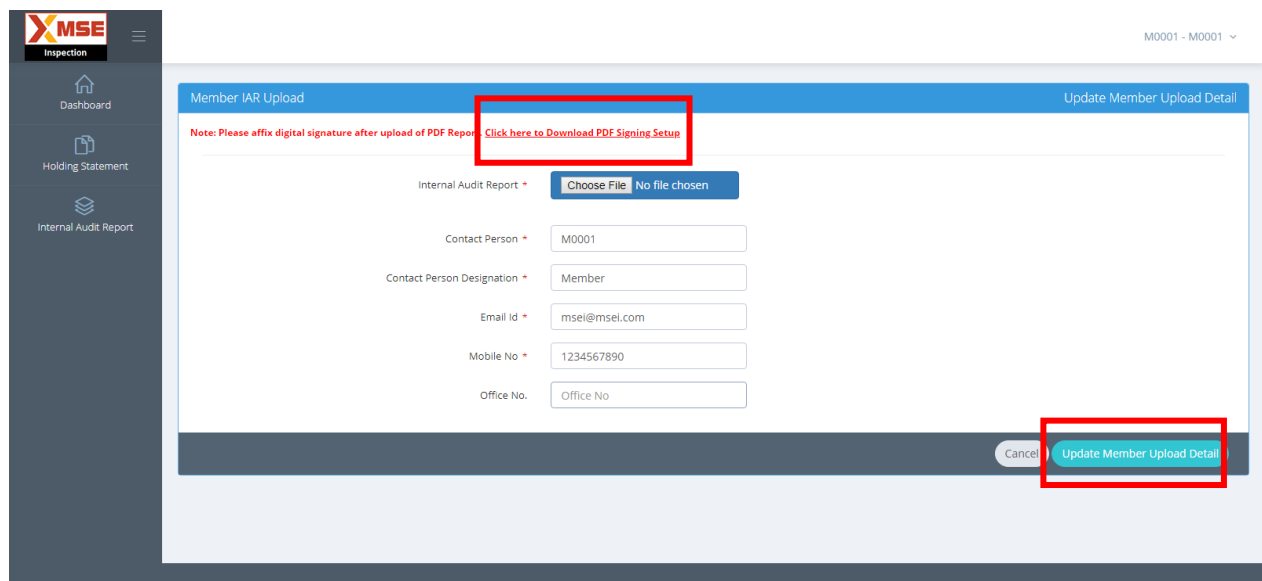


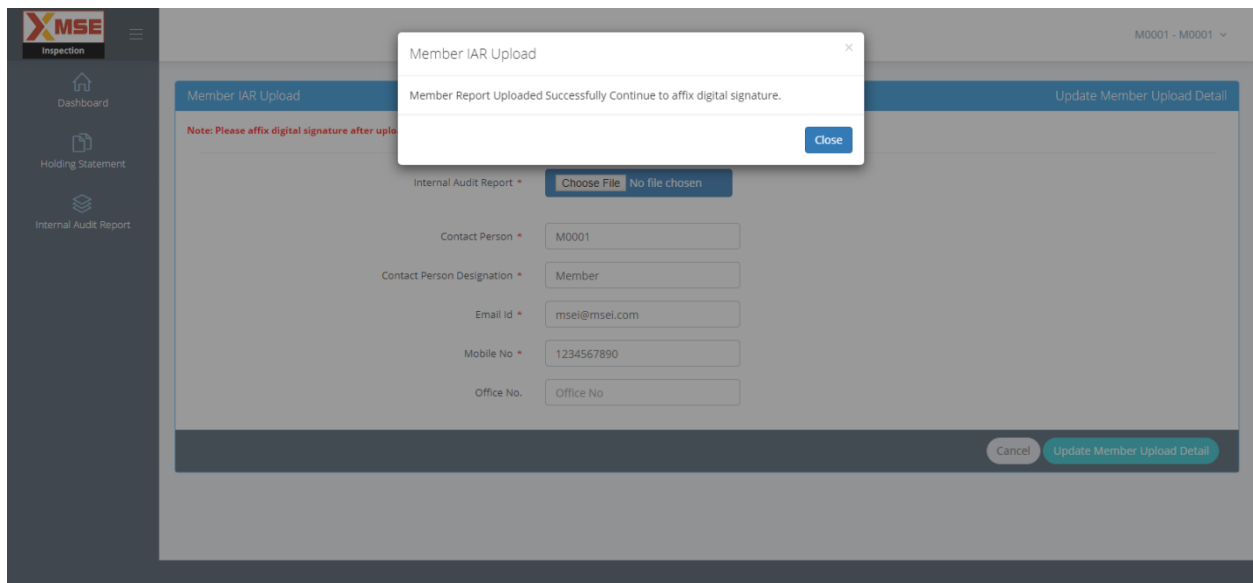
Step 5: After download, Member is required to click on  icon and the system will further direct member to the following detail.

Member is then required to click on “Click here to Download PDF Signing Setup” link.

Post Signing Setup the member is directed to fill up the following details, upload the report and click on

 icon.

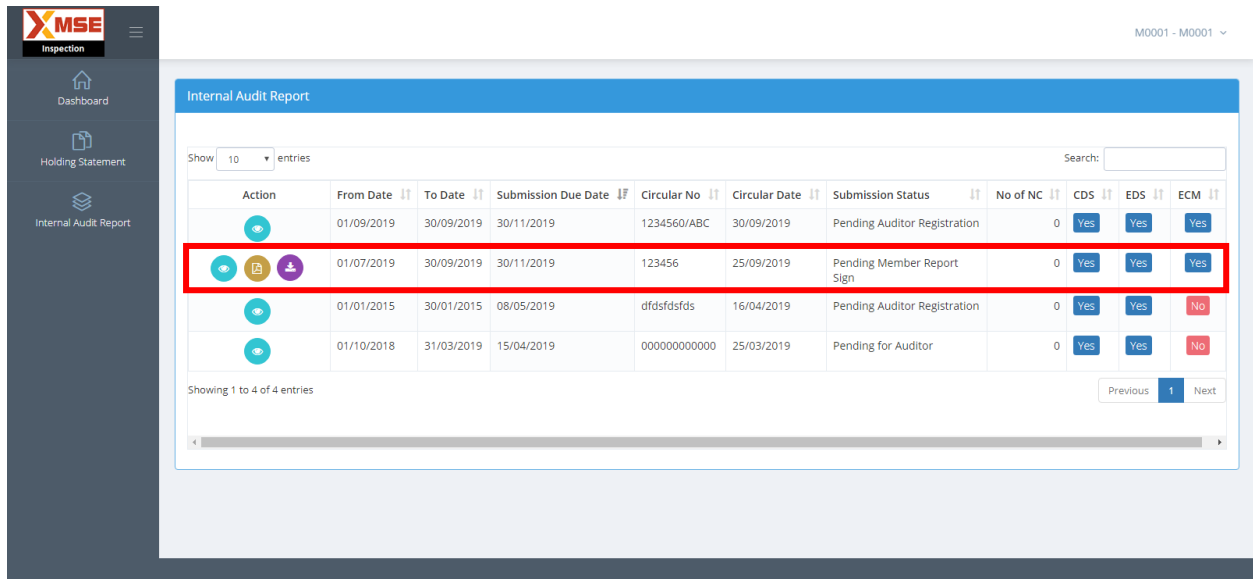





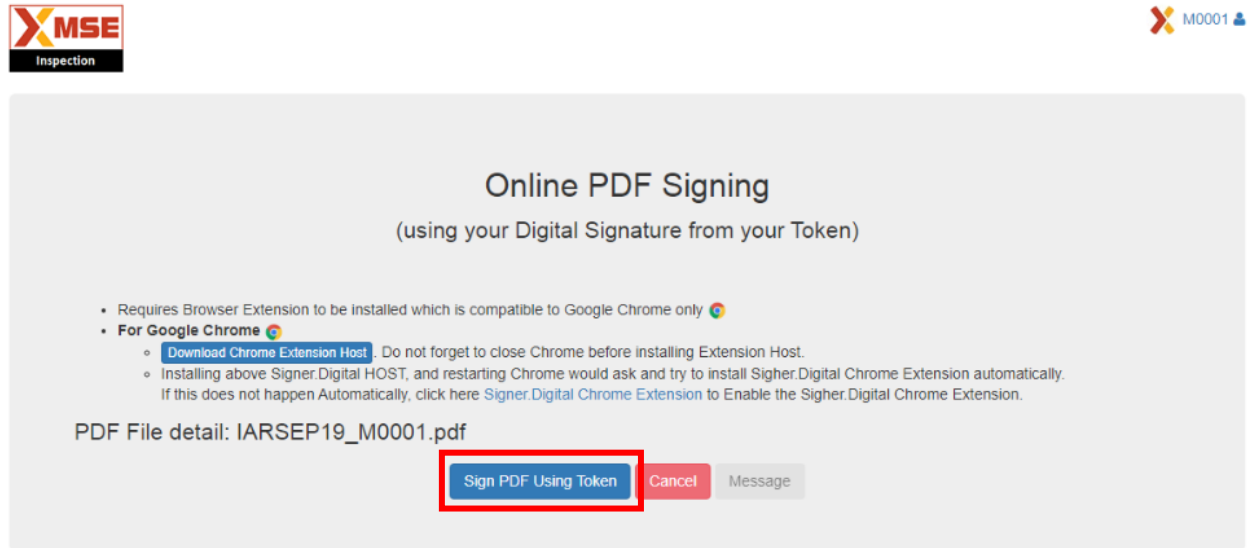
Step 6: To continue affixing digital signature, Member is required to click on



icon to sign the member report.



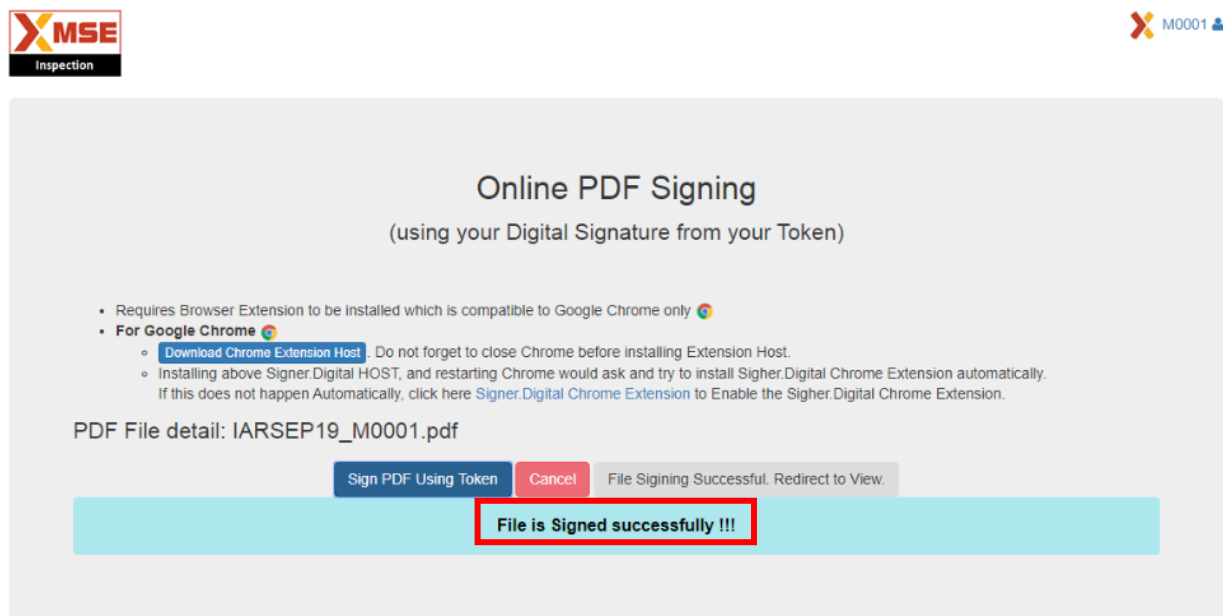
Step 7: Upon clicking on  icon, Member will be directed to the following screen. Member further needs to click on “Sign PDF Using Token”



Step 8: Upon clicking on “Sign PDF Using Token”, a pop-up message will appear to select signature.



Step 9: Upon selecting the signature and signing the report, the member will get a confirmation message “File is Signed successfully” will appear.



Step 10: Once the file is successfully signed, the submission status will change to “Submitted to Exchange”.

Dashboard

Holding Statement

Internal Audit Report

M0001 - M0001

Internal Audit Report

Show 10 entries







Search:

Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC	CDS	EDS	ECM
	01/09/2019	30/09/2019	30/11/2019	1234560/ABC	30/09/2019	Pending Auditor Registration	0	Yes	Yes	Yes
	01/07/2019	30/09/2019	30/11/2019	123456	25/09/2019	Submitted to Exchange	0	Yes	Yes	Yes
	01/01/2015	30/01/2015	08/05/2019	dfdsfdfs	16/04/2019	Pending Auditor Registration	0	Yes	Yes	No
	01/10/2018	31/03/2019	15/04/2019	000000000000	25/03/2019	Pending for Auditor	0	Yes	Yes	No

Showing 1 to 4 of 4 entries

Previous 1 Next

Glossary

Symbol	Description
	To View the details
	To fill and edit the details
	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
	To Sign Report