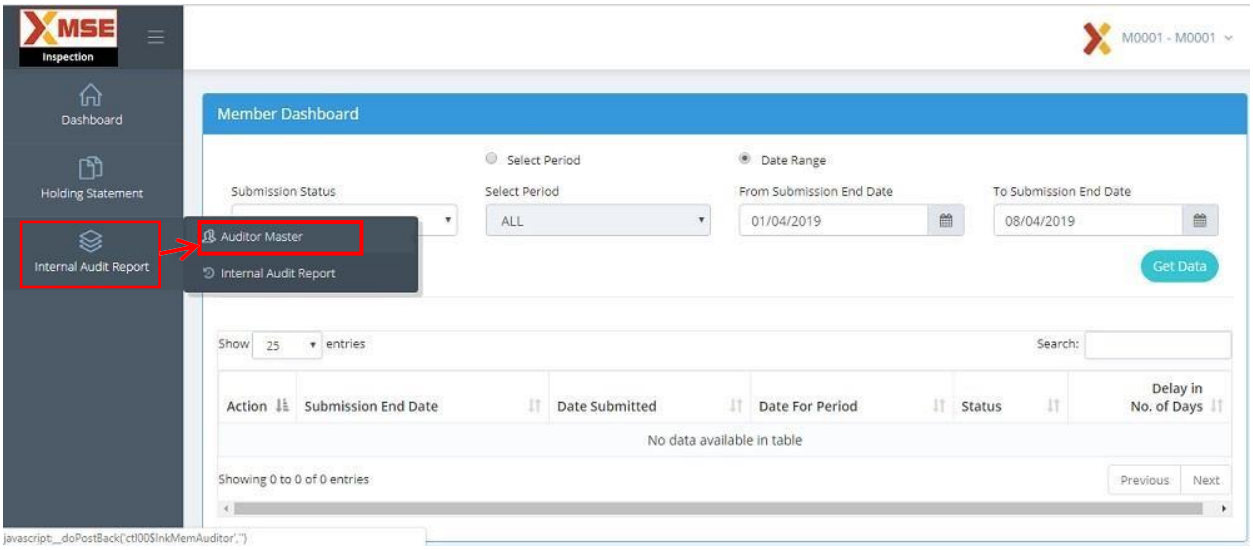
ANNEXURE V

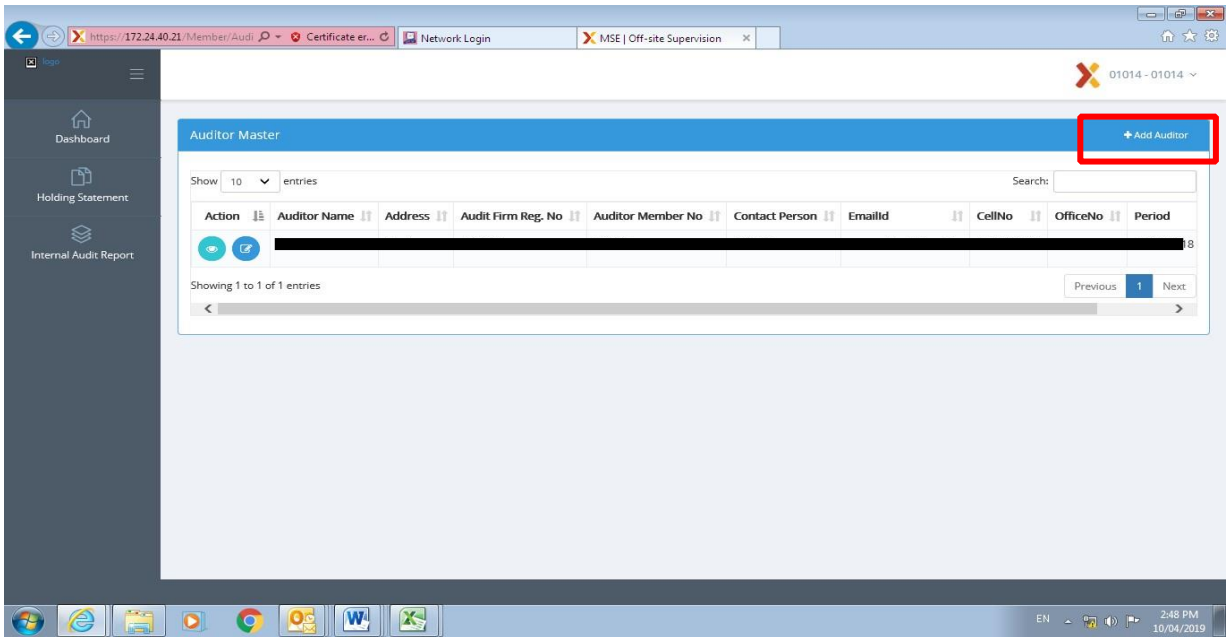
MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY MEMBER.

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:-

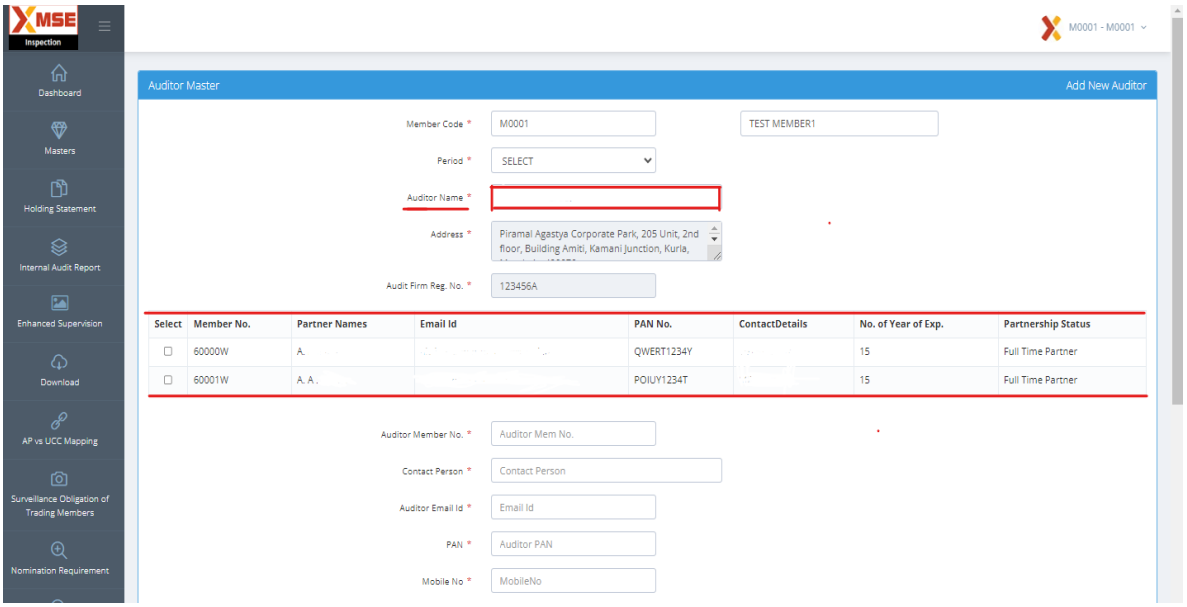
Step 2:- Click on "Internal Audit Report" **> "**Auditor Master" > "Add Auditor".

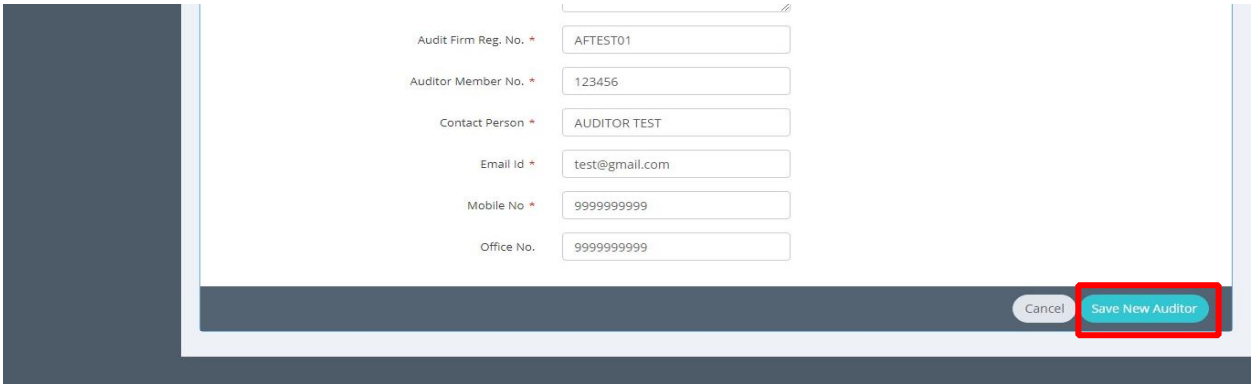




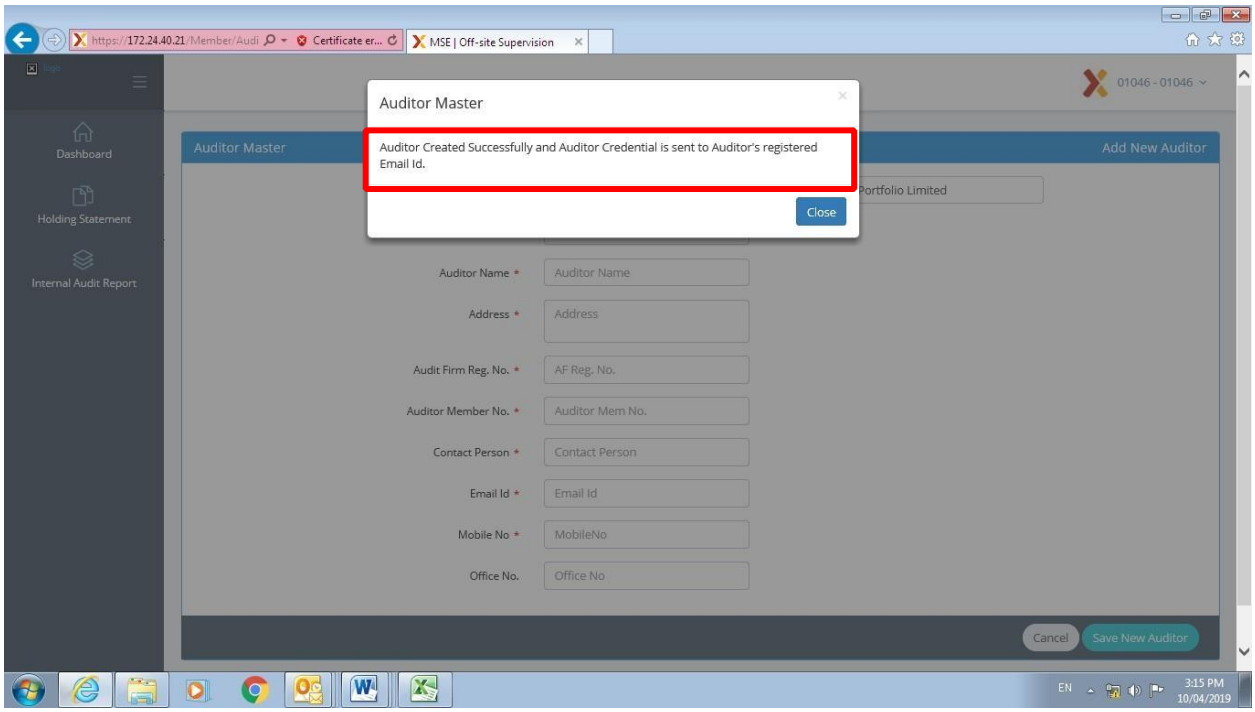
Step 3: Member to Fill Auditor's details and click to select the Partner details as highlighted in the below figure, in Auditor Master to register new Auditor for selected period and click on

> **"Save New Auditor"**

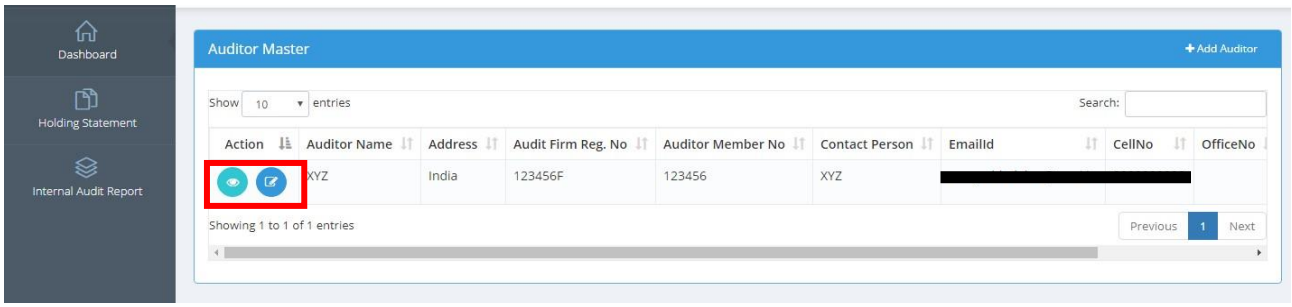


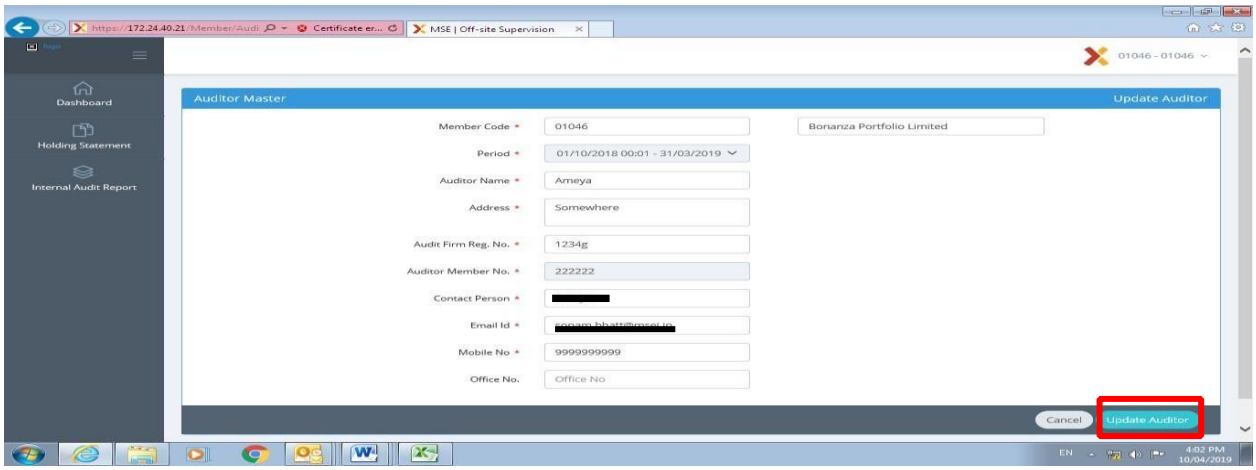


Step 4:- Member will receive dialog screen Confirming Auditor created successfully and Auditor login credential shall be sent to Auditor's registered Email id.



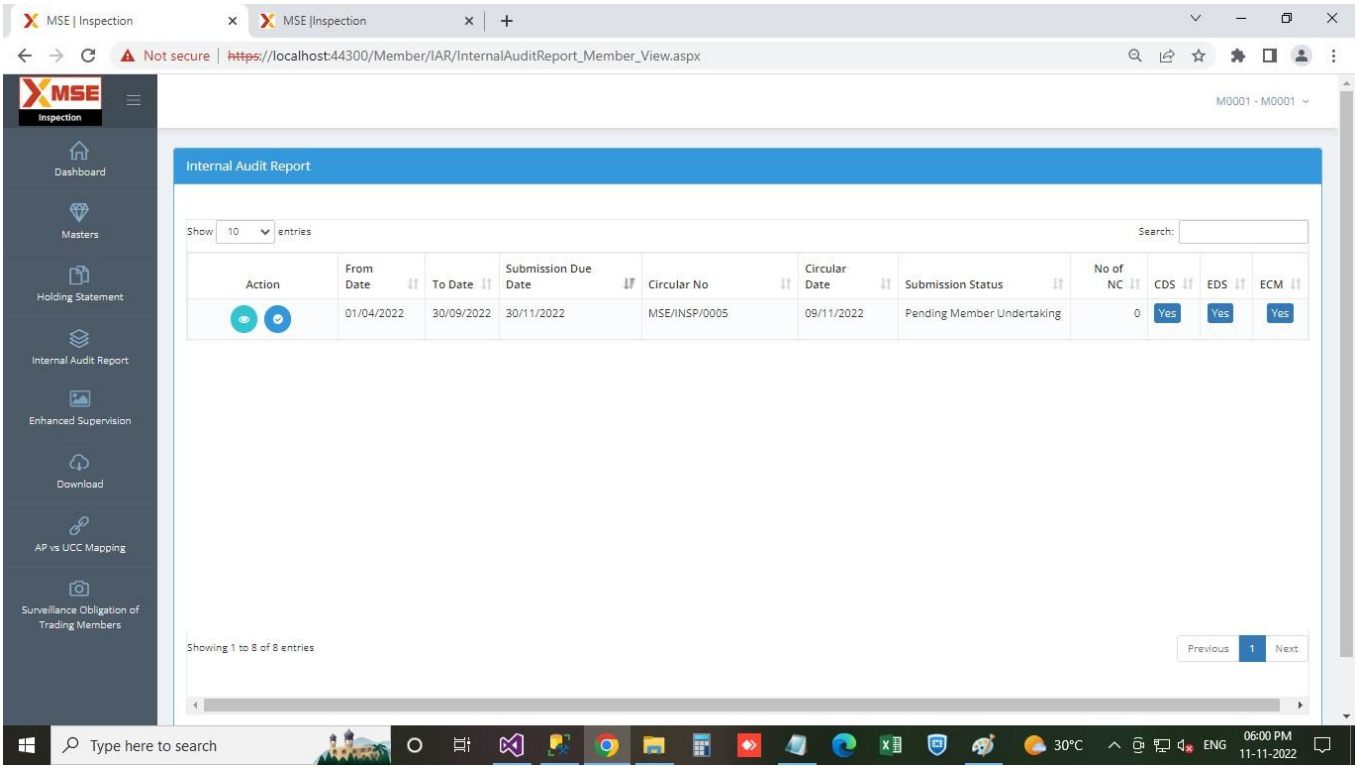
Step 5: Member can View icon and Edit icon Auditor's details in Auditor Master. On editing the Auditor's details,member to click on 'Update Auditor' to save the changes.

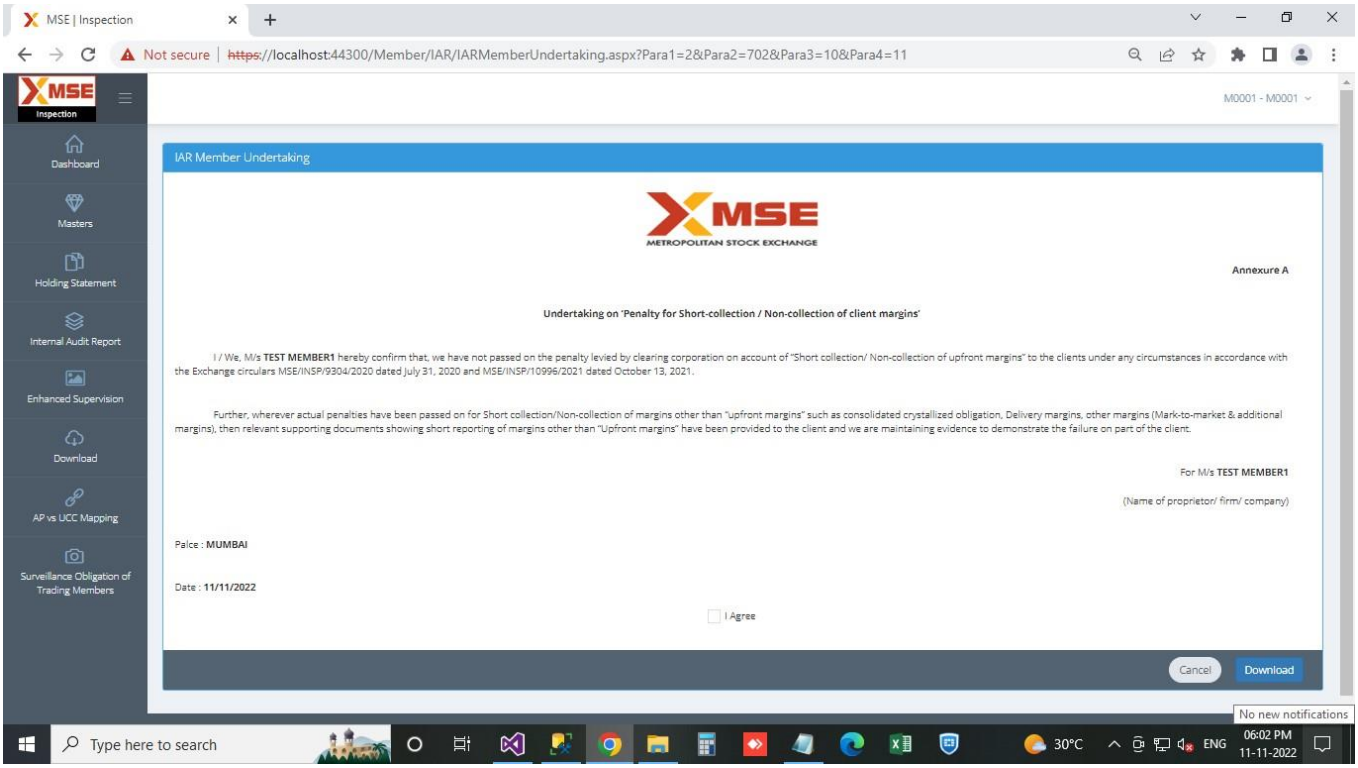




To Submit Report to Exchange:-

Step 1. In accordance with the Exchange Circular No: MSE/INSP/11982/2022 dated June 23, 2022, member shall submit an undertaking on 'Penalty for Short collection / non-collection of client margins'.





MSE | Inspection

Not secure | https://localhost:44300/Member/IAR/IARMemberUndertaking.aspx?Para1=2&Para2=702&Para3=10&Para4=11

MSE Inspection

M0001 - M0001

- Dashboard
- Masters
- Holding Statement
- Internal Audit Report
- Enhanced Supervision
- Download
- AP vs UCC Mapping
- Surveillance Obligation of Trading Members

IAR Member Undertaking

MSE METROPOLITAN STOCK EXCHANGE

Annexure A

Undertaking on 'Penalty for Short-collection / Non-collection of client margins'

I / We, M/s **TEST MEMBER1** hereby confirm that, we have not passed on the penalty levied by clearing corporation on account of "Short collection/ Non-collection of upfront margins" to the clients under any circumstances in accordance with the Exchange circulars MSE/INSP/9304/2020 dated July 31, 2020 and MSE/INSP/10996/2021 dated October 13, 2021.

Further, wherever actual penalties have been passed on for Short collection/Non-collection of margins other than "upfront margins" such as consolidated crystallized obligation, Delivery margins, other margins (Mark-to-market & additional margins), then relevant supporting documents showing short reporting of margins other than "Upfront margins" have been provided to the client and we are maintaining evidence to demonstrate the failure on part of the client.

For M/s **TEST MEMBER1**

(Name of proprietor/ firm/ company)

Palce : **MUMBAI**

Date : **11/11/2022**

☐ I Agree

Cancel | Submit

Type here to search | 30°C | ENG | 06:04 PM 11-11-2022

MSE | Inspection

Not secure | https://localhost:44300/Member/IAR/InternalAuditReport_Member_View.aspx

MSE Inspection

M0001 - M0001

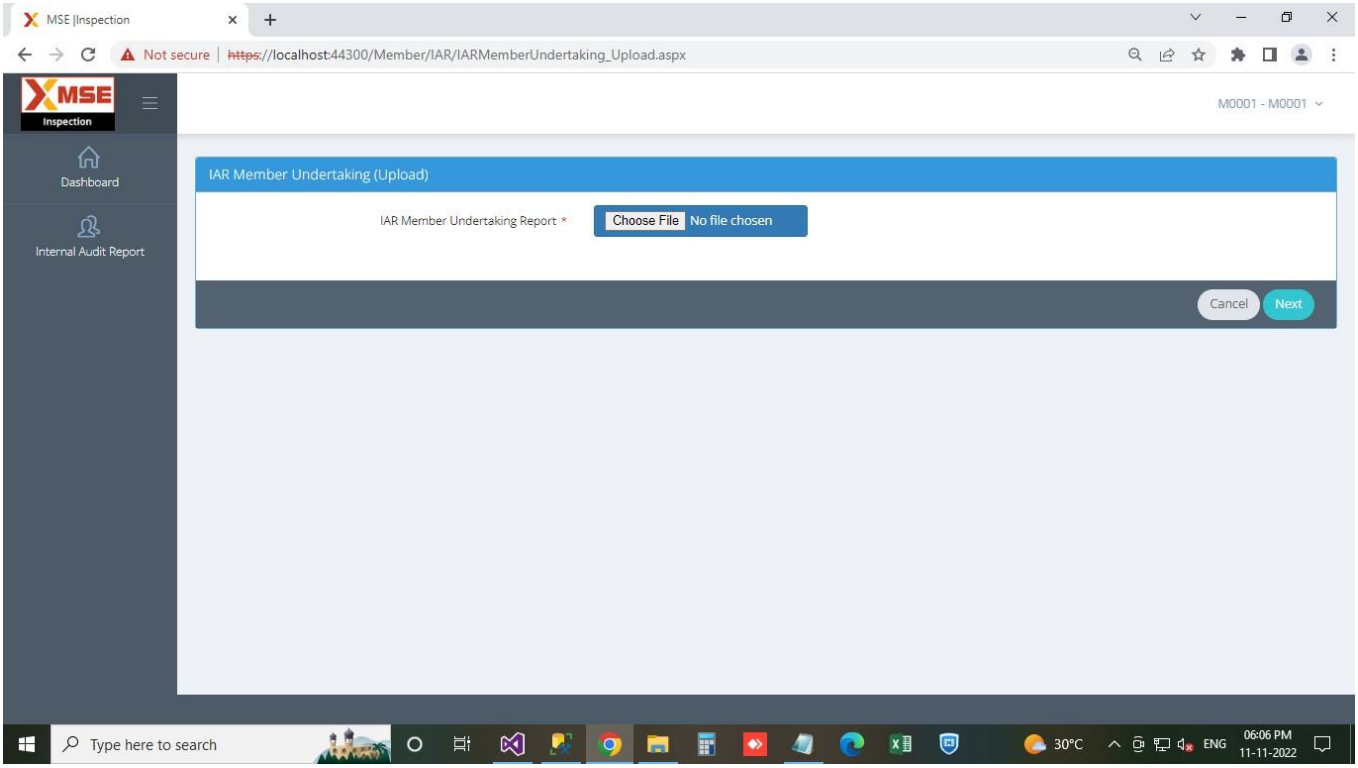
- Dashboard
- Masters
- Holding Statement
- Internal Audit Report
- Enhanced Supervision
- Download
- AP vs UCC Mapping
- Surveillance Obligation of Trading Members

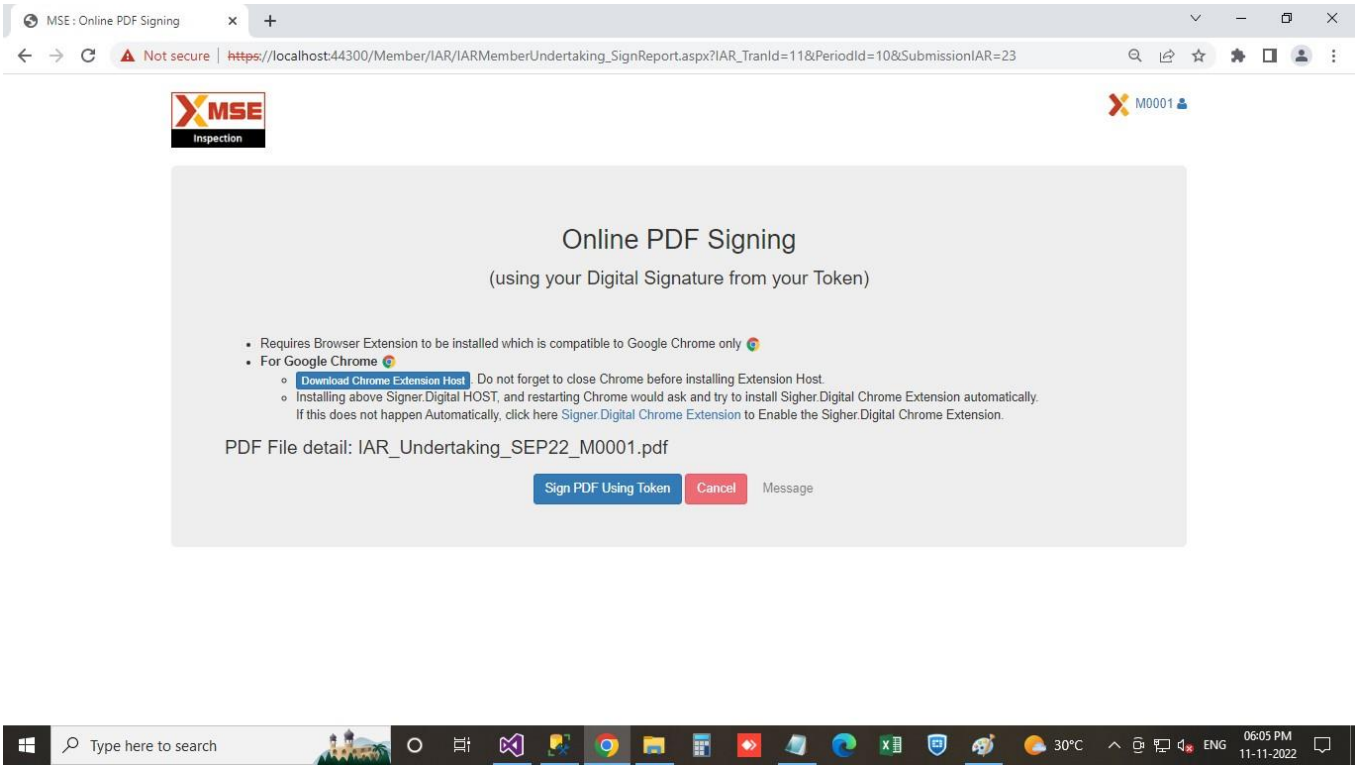
Internal Audit Report

Show 10 entries | Search:

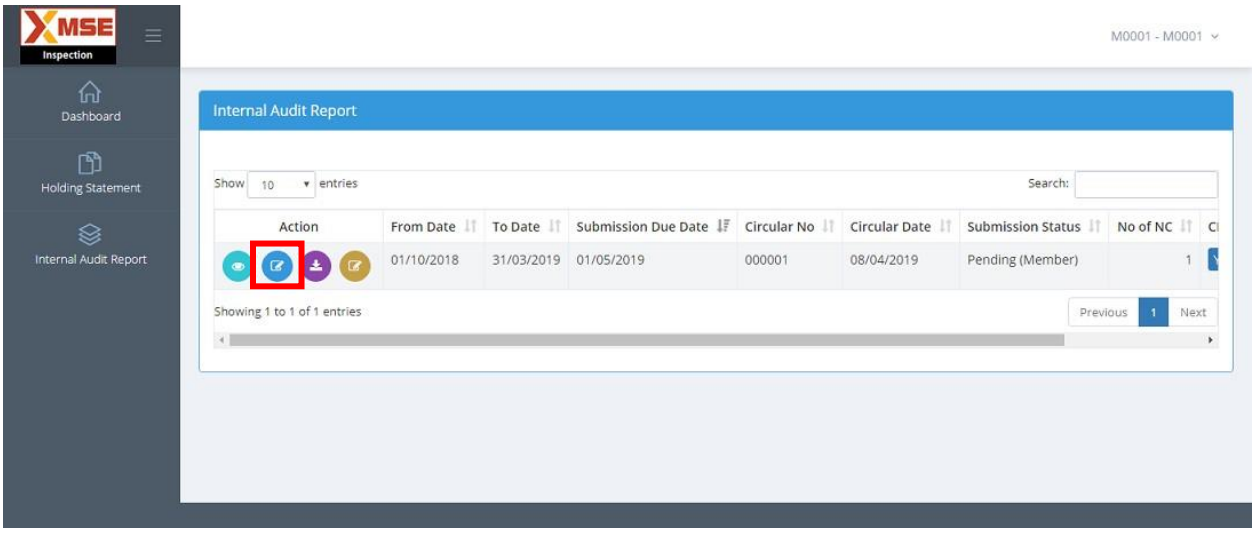
Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	No of NC	CDS	EDS	ECM
	01/04/2022	30/09/2022	30/11/2022	MSE/INSP/0005	09/11/2022	Pending Member Undertaking Sign	0	Yes	Yes	Yes

Type here to search | 30°C | ENG | 06:05 PM 11-11-2022

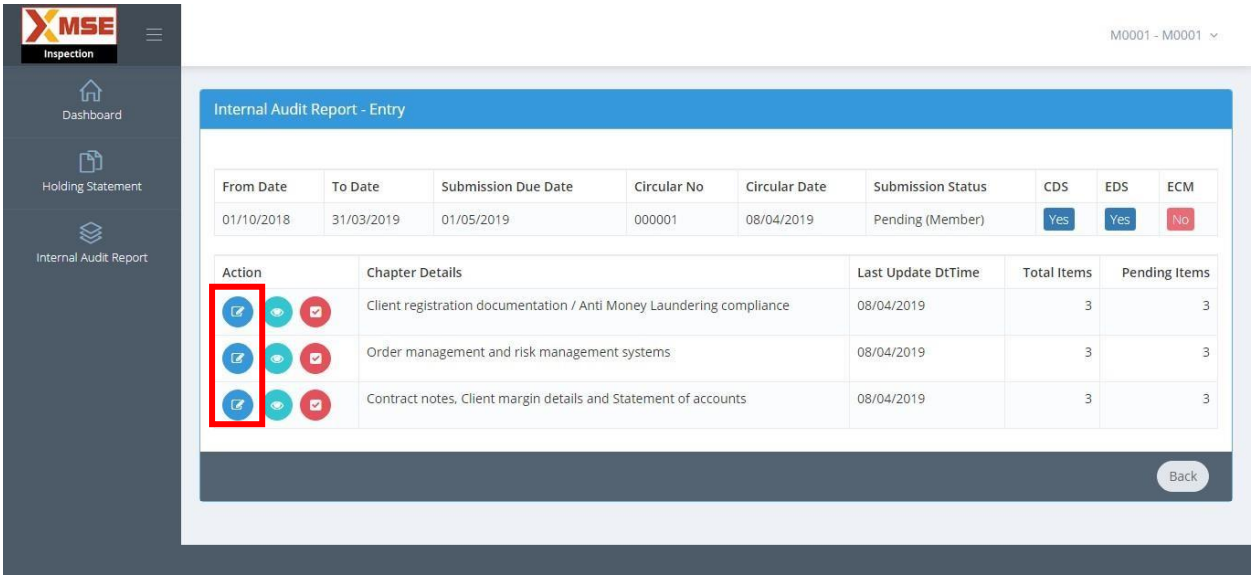


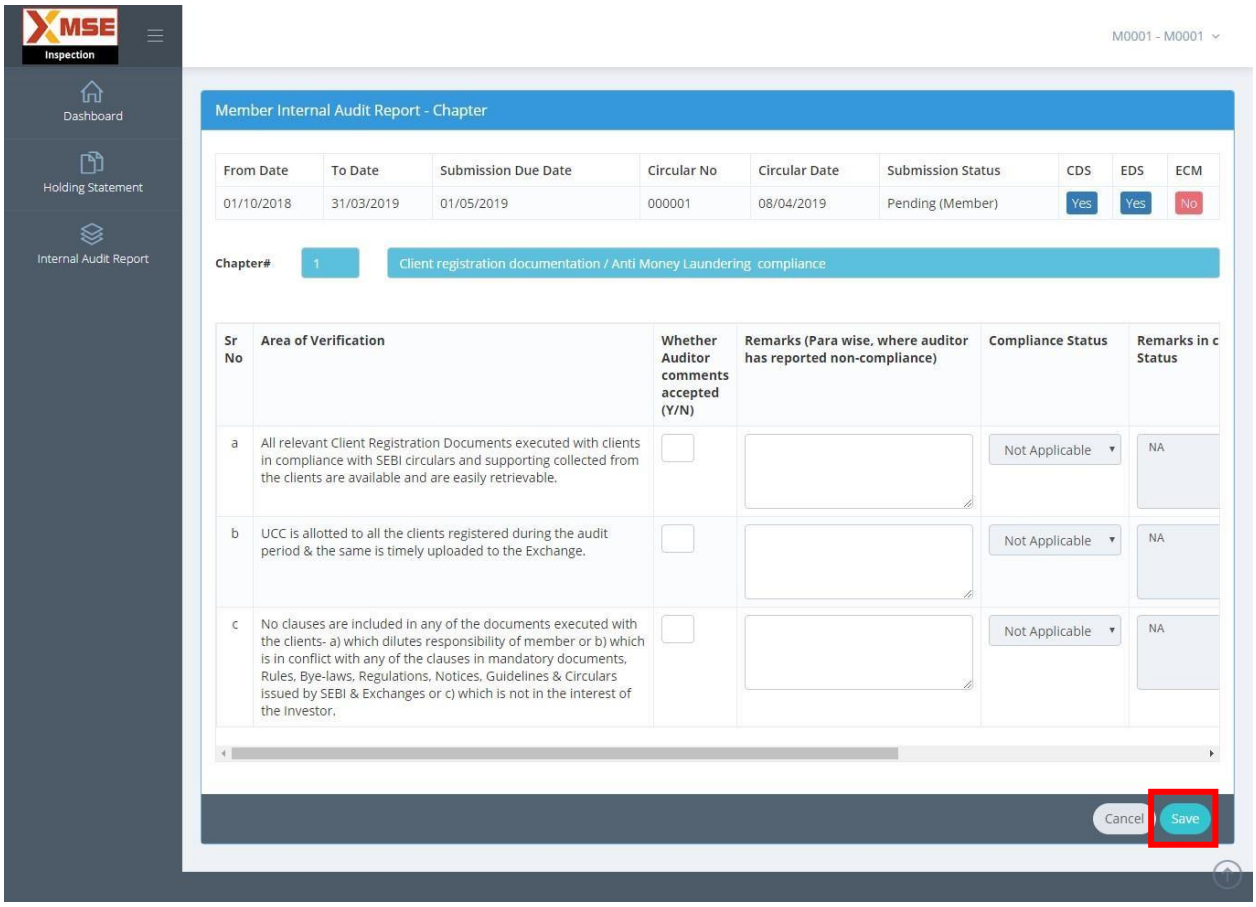


Step 2: After IAR submitted by the auditor, member to fill up data by clicking on edit icon.

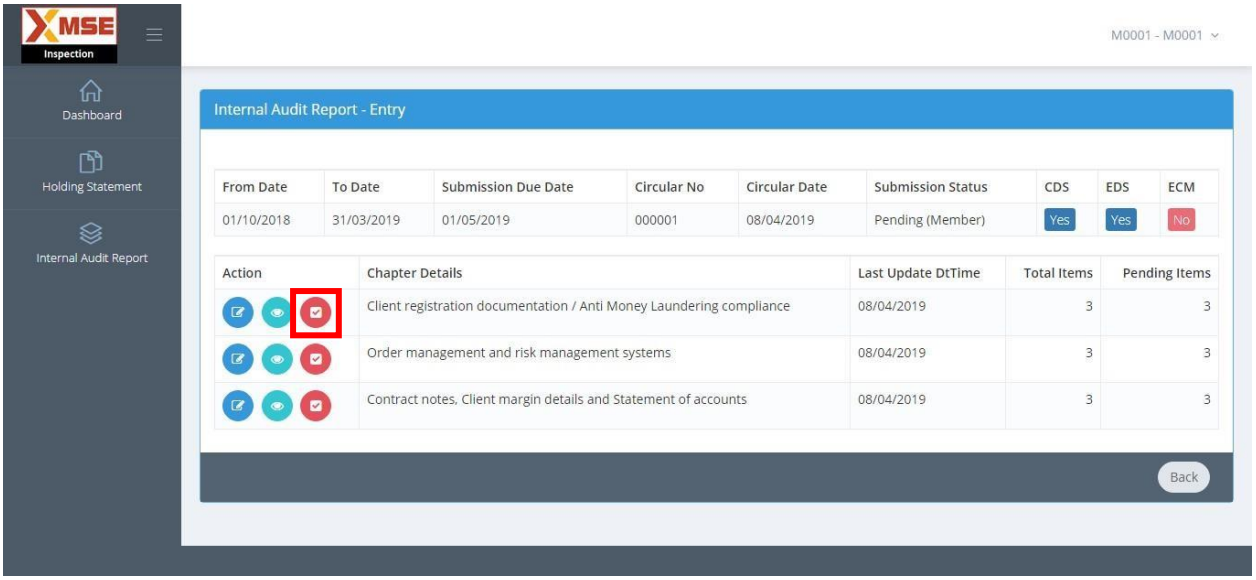


Step 3: Below Screen shall appear for 'Internal Audit Report – Entry', Member to fill up and/or edit the details by clicking on icon for every chapter. Member is required to input details for all the sub-points within chapter and click on Save icon to save the chapter details and accordingly complete all the chapters.

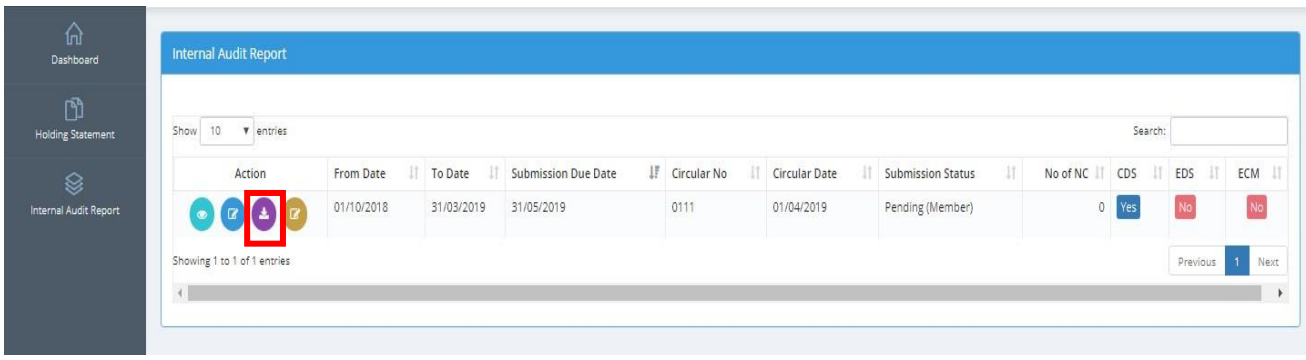




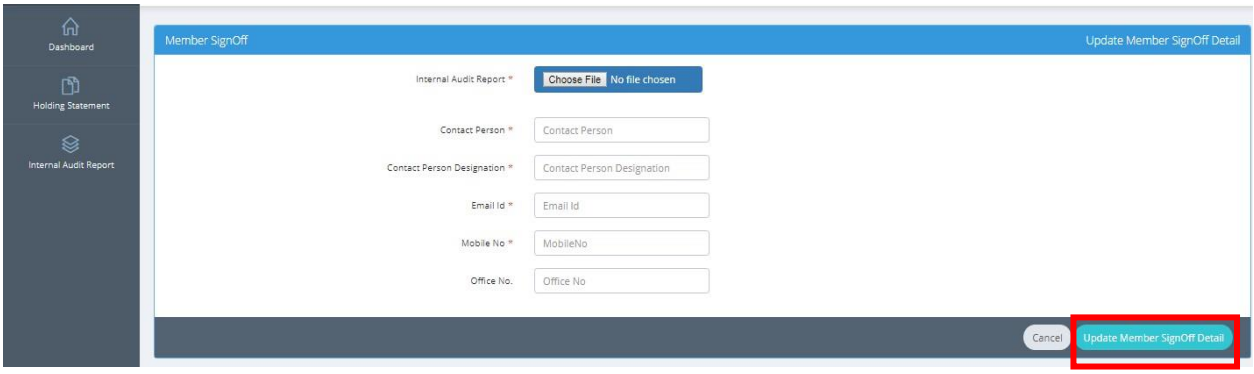
Step 4: By clicking on icon, member has the option to mark all the items in the selected chapter as "Yes" for the field - "Whether Auditor comments accepted" and provide single remark.



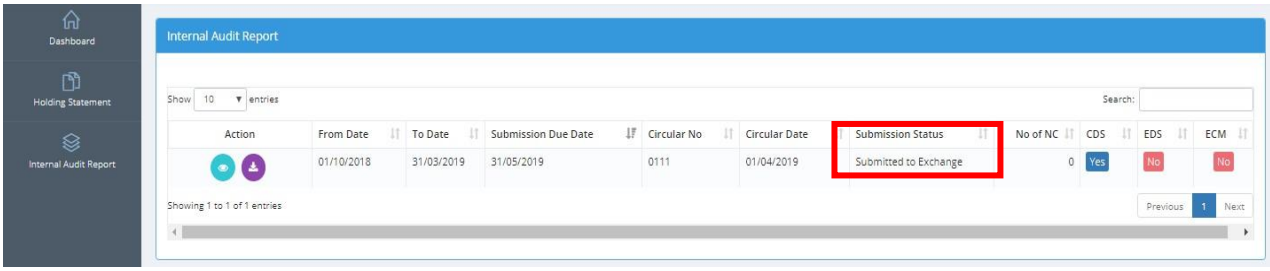
Step 5: Once all the chapters are completely filled, member to click on icon to download Report in pdf format.



Step 6 : After download, Member is required to affix digital signature and click on icon to uploadthe Internal Audit Report and click on ”Update Member signoff detail” icon.



After completing the member submission, the field ‘Submission status’ will update to “Submitted to Exchange”.



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