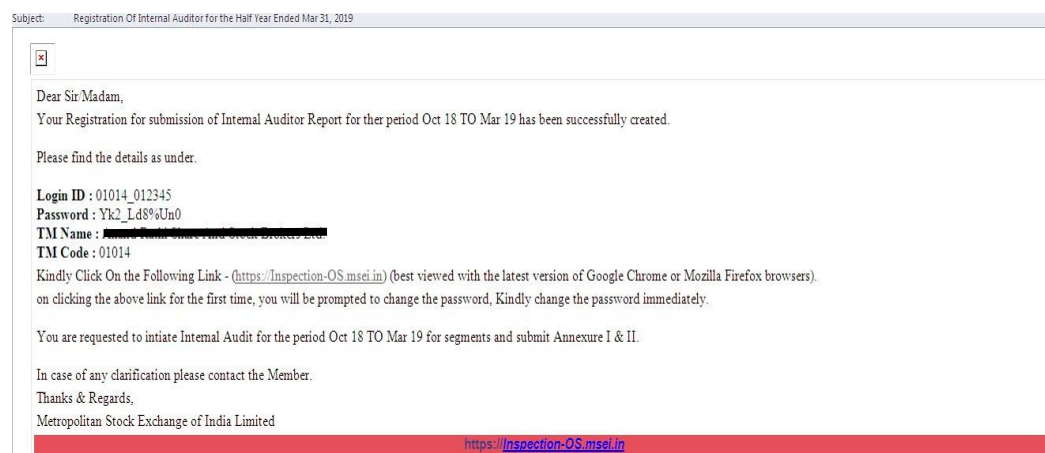


ANNEXURE B**MANUAL FOR SUBMISSION OF INTERNAL AUDIT REPORT BY AUDITOR.**

Upon registration of Internal Auditor by the Member, the Internal Auditor shall receive indicative e-mail on his registered E mail ID along with 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.



Metropolitan Stock Exchange of
India Limited

MEMBER REPORTING

- Client Security Holding Reporting
- Internal Audit Report

Login

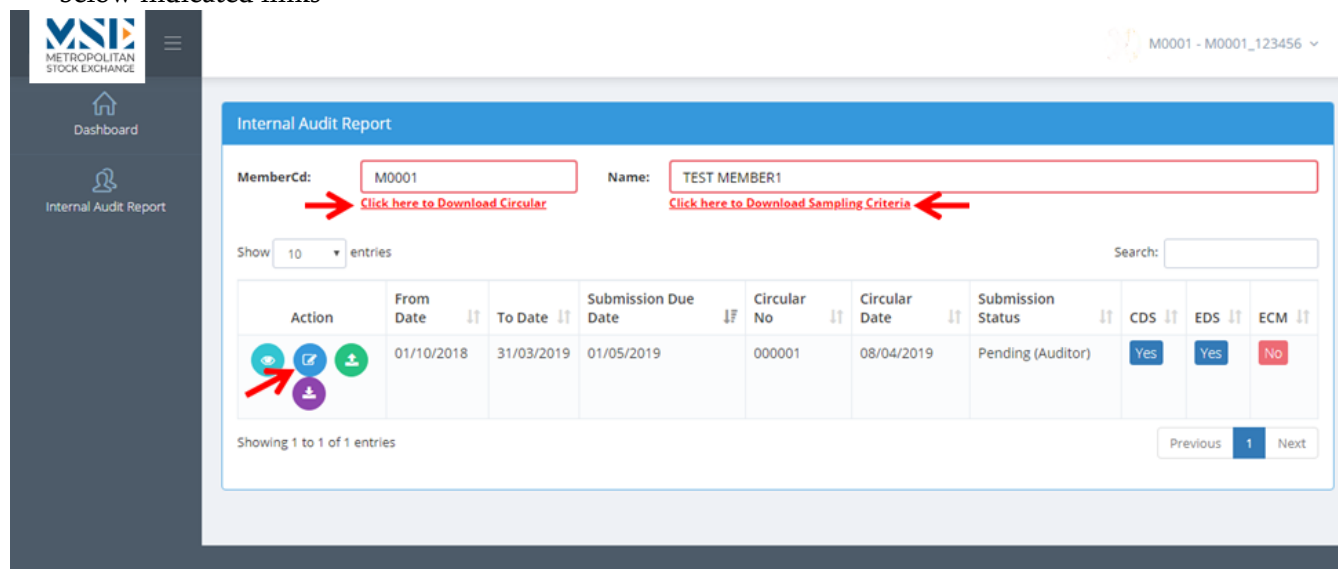
01046_222222

Forgot Password?

Sign In



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



Internal Audit Report

MemberCd: M0001 Name: TEST MEMBER1

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

Show 10 entries Search:

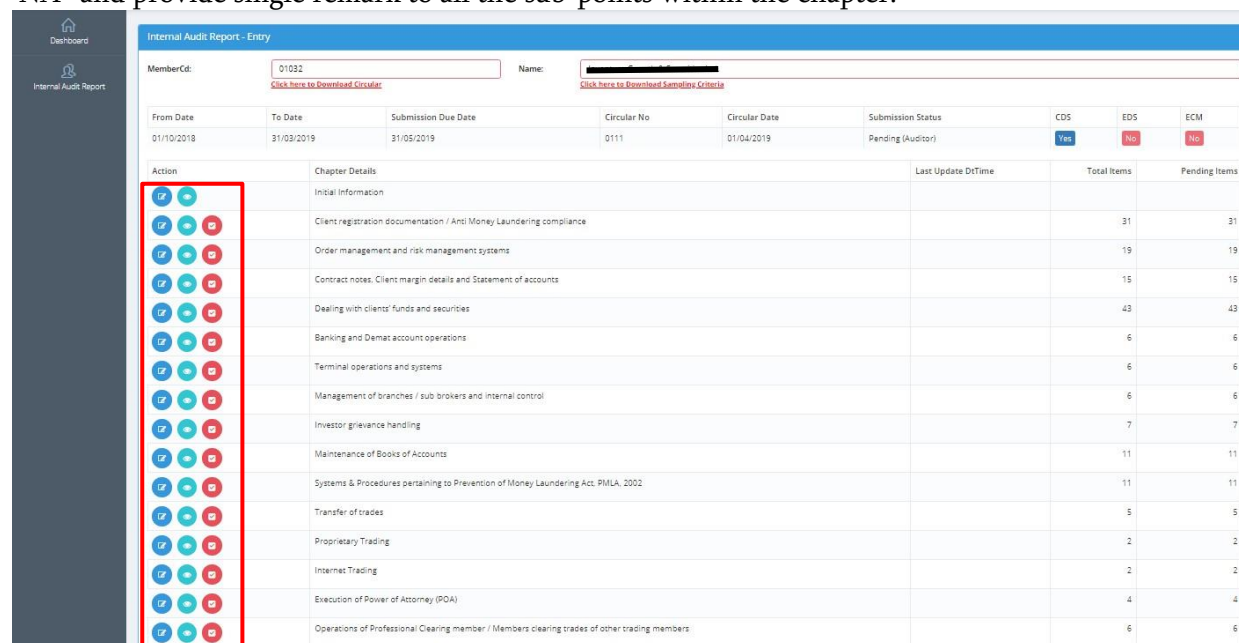
Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Pending (Auditor)	Yes	Yes	No

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.



Internal Audit Report - Entry

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 * Auditor Name

Designation of the Auditor * Auditor Designation

PAN of the Internal Auditor * PAN

Auditor Member No. * Auditor Mem No.

Name of the Audit Firm * Auditor Firm Name

Address of the Audit Firm * Audit Firm Address

Registration Number of the Audit Firm * Audit Firm Reg. No.

Member & Inspection Details

Internal Audit report For Segment *

SEBI Registration No *

Activity Type *

☐ ECM

SEBI REG. NO

☐ TM
☐ TCM
☐ SCM

☐ EDS

SEBI REG. NO

☐ TM
☐ TCM
☐ SCM

☐ CDS

SEBI REG. NO

☐ 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 Clients

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 ☐

No. of branches in the beginning of the audit period * No. of Branches Beginning

No. of branches were opened during the period * No. of Branches Open

No. of branches were closed during the period * No. of Branches Close

No. of branches inspected by the Member during the period * No. of Branches Inspected

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

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

No. of Bank Accounts * No. of Bank Accounts

No. of Demat Accounts * No. of Demat Accounts

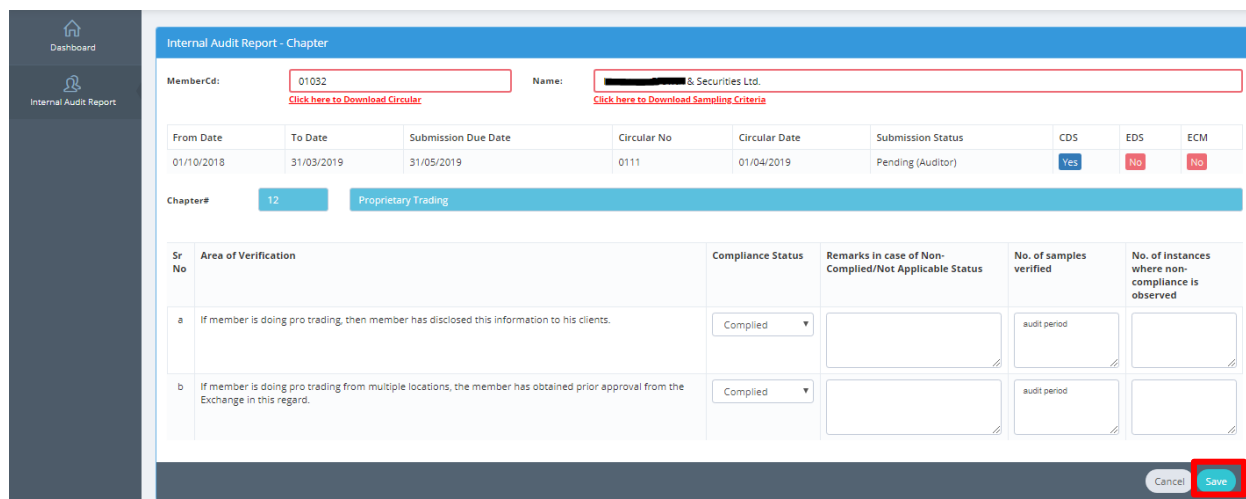
Any regulatory action taken against Internal Auditor/ Partner/ Director YES

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

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: 01032 [Click here to Download Circular](#) Name: [REDACTED] & Securities Ltd. [Click here to Download Sameline Criteria](#)

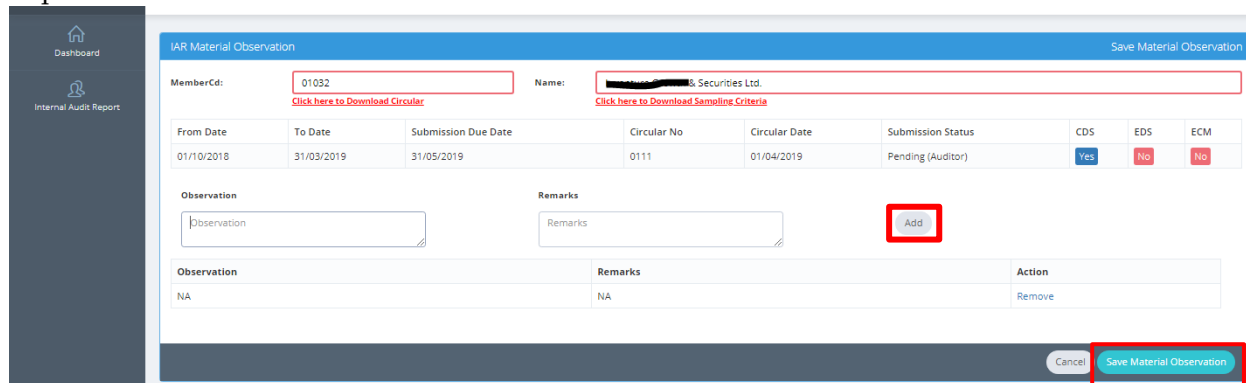
From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
01/10/2018	31/03/2019	31/05/2019	0111	01/04/2019	Pending (Auditor)	Yes	No	No

Chapter# 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”.



IAR Material Observation Save Material Observation

MemberCd: 01032 [Click here to Download Circular](#) Name: [REDACTED] & Securities Ltd. [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 [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.

Dashboard

Internal Audit Report

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

MSE
METROPOLITAN
STOCK EXCHANGE

Dashboard

Internal Audit Report

Internal Audit Report

MemberCd: M0001

Name: TEST MEMBER1

Click here to Download Circular

Click here to Download Sampling Criteria

Show 10 entries

Search:

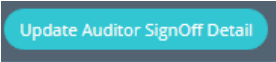
Action	From Date	To Date	Submission Due Date	Circular No	Circular Date	Submission Status	CDS	EDS	ECM
  	01/10/2018	31/03/2019	01/05/2019	000001	08/04/2019	Draft Approved by Member	Yes	Yes	No

Showing

 Certificate for Internal Audit

 Internal Audit Report

Previous 1 Next

Step 9: After download, auditor is required to affix digital signature and click on  to upload the Internal Audit Certificate & Report and click on  icon.



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](#)

Showing 10 entries

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

Previous 1 Next

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

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

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 download the pdf report
	To upload the digitally signed pdf report