USER MANUAL FOR AUDITORS FOR SUBMISSION OF INTERNAL AUDIT REPORT

System Requirements:

1. Microsoft Excel (version 2007 and above)
2. File compression software (WinZip or WinRAR) to unzip excel utility file.
3. Only Internet Explorer (version 11 and above) to be used to submit Internal Audit Report.

Procedure for updating the IAR module on BEFS by Auditor:

1. Member creates Auditor login ID for the particular submission. The Auditor will receive login credentials for BEFS for the latest submission period on the email ID filled by the Member as illustrated below.

2. For approval of login ID, the auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and will enter his login credentials to login.

3. Auditor will have to change their default password and can keep their own password as mentioned below.

4. After logging to BEFS with the login credentials provided by the Member, Auditor will have to click on **'Auditor confirmation'**.

5. After clicking on **'Auditor confirmation'**, select **'Audit Period'** from the drop-down list in IAR '**Auditor Details**' screen. In the auto-populated fields:
   a. If the auditor wants to make any changes, they can make changes, click on **'Save'** and then click on **'Submit'**.
   b. If details are correct, then directly click on **'Submit'**.

IAR AUDITOR DETAILS	
Audit Period *: -	Oct 2018 - Mar 2019
Member Code *: -	123453
Name Of The Member *: -	DUMMY_123453
Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC123456789
Auditor Name *:	MR ABC
Qualification (CA/CS/ICWA) *: -	CA
Auditor Registration No *: -	ABC987654321
PAN No. Of The Auditor *: -	AAAAA2222A
	SAVE SUBMIT

6. Click on **'Print'** button which will generate a pdf containing the details filled by you in IAR '**Auditor Details**' Screen.
   a. Take the printout on your letter head (Auditor's Letter Head) and upload the scanned copy of the undertaking duly signed and stamped by the auditor.
   b. Adhere to the file nomenclature '**Und_Clg.NoIARSEP20.pdf**'

7. Browse the undertaking pdf file with proper nomenclature and click on **'Final Submit'** button. You'll get a pop up to kindly re-login to start the submission.

8. For submission of Internal Audit Report, the Auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and will enter his credentials to re-login.

9. Click on '**Auditor Details'** > **Internal Audit Reporting**. Download the Excel Template and fill in the required details.

10. Once the Excel Template is downloaded and opened, click on 'Enable Content' to enable to macros first.

11. In the 'General Information' sheet, first select 'Auditor' from dropdown list for "Are You Member / Auditor" option. After filling all the details then validate the sheet, on clicking 'Validate' button. After successfully validating the 'General Information' sheet then fill next sheet "Audit Details".

12. In the **"Audit Details"** sheet, fill all the required details then validate the sheet, on clicking **'Validate'** button. After successfull validation, then fill the next sheet **"Annexure II"**.

Home	Validate

| Audit Details	
Clearing No	
Member name	
Segments audited	
SEBI Registration no. for Cash	
SEBI Registration no. for Derivatives	
SEBI Registration no. for CDX	
SEBI Registration no. for Debt	
Audited by	
Audit Firm name	
Audit Firm registration no.	
Address of the Audit Firm	
Auditor name	
Auditor Registration no.	
Address of the Auditor	
PAN no. of auditor	
Designation of Auditor	
Whether any regulatory action taken against Internal Auditor/partner/director, if any	
Facilities provided	

No. of active Institutional clients during audit period	
No. of active Retail clients during audit period	
No. of active Corporate clients during audit period	
No. of active Partnership clients during audit period	
No. of active Individual clients during audit period	
No of active clients who are Trust during audit period	
No. of active Other clients during audit period	
Total no of active clients during audit period	
No. of Institutional clients registered during audit period	
No. of Retail clients registered during audit period	
No. of Corporate clients registered during audit period	
No. of Partnership clients registered during audit period	
No. of Individual clients registered during audit period	
No of clients who are Trust registered during audit period	
No. of Other clients registered during audit period	
No. of clients registered during the audit period	
No. of branches at the beginning of the audit period	
No. of branches opened during the audit period	
No. of branches closed during the audit period	
No. of branches inspected during the audit period	
No. of sub brokers inspected during the audit period	
No. of APs inspected during the audit period	
No. of DP accounts operated during the audit period	
No. of bank accounts operated during the audit period	
Type of trading	
Whether any adverse observation pointed in IAR	No
Whether any high risk issue observed	
No. of sub points where the auditor has filled "NC"	0

13. In the **"Annexure II"** sheet, fill all the required details then click on **'Validate'** on the top left-hand side of the sheet. Auditors <u>can fill only</u> column **H to L (Observation of Internal**

Auditor). After successful validation, fill the next sheet **"Sample_Criteria_1 To 16f"** and click on **'Validate'** on every sheet.


14. After successfully filling all the sheets, click on **"Home"** button to validate all sheets as illustrated below.
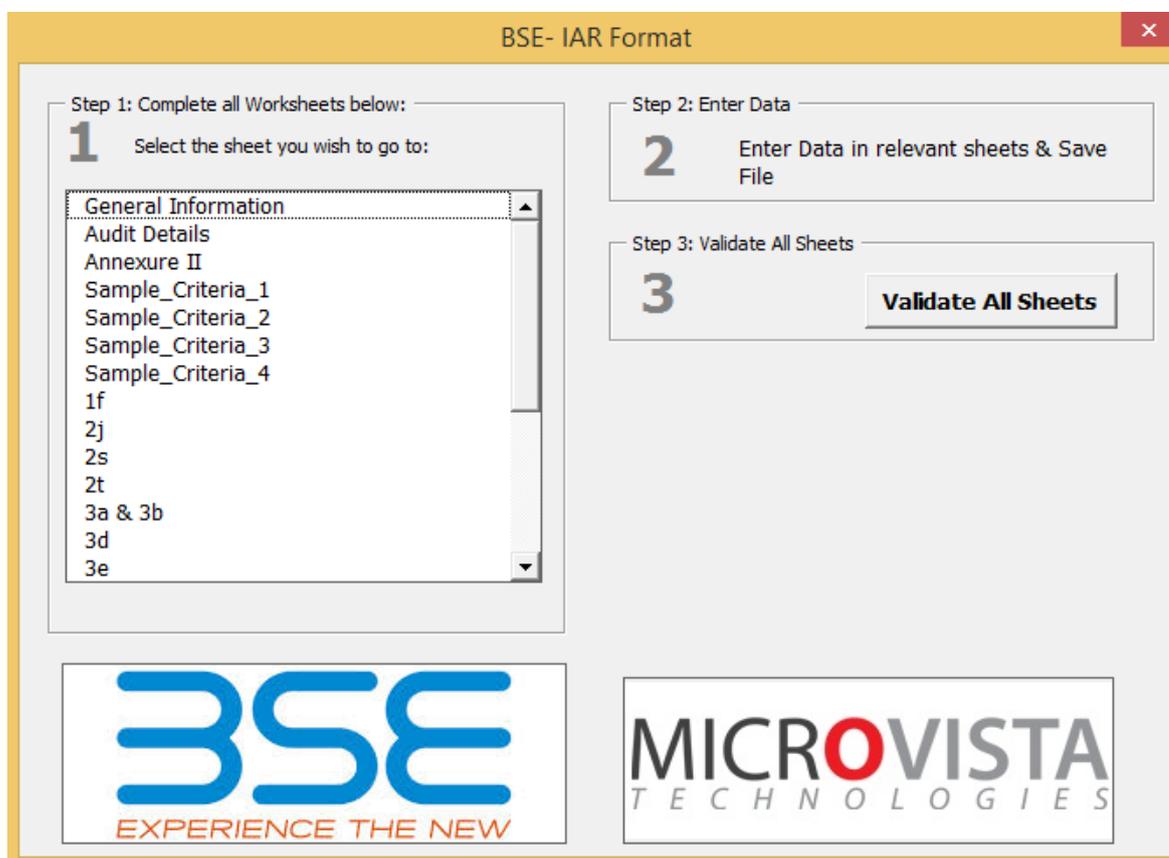
15. Click IAR button and Browse and attach **'IAR XBRL Sheet'** & **'Annexure I'** (Auditor Certificate Signed & Stamped on the Letter head of Auditor) and click on **'Upload Data'**. The Auditor can upload a digitally signed **'Annexure I'** also.
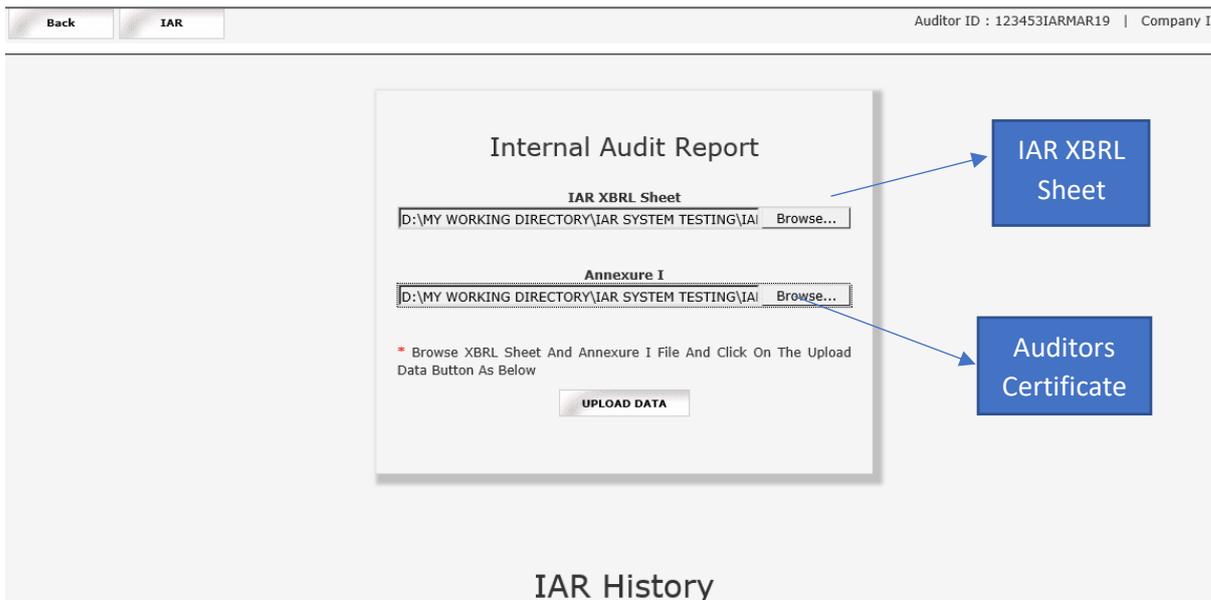
16. Once XBRL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.
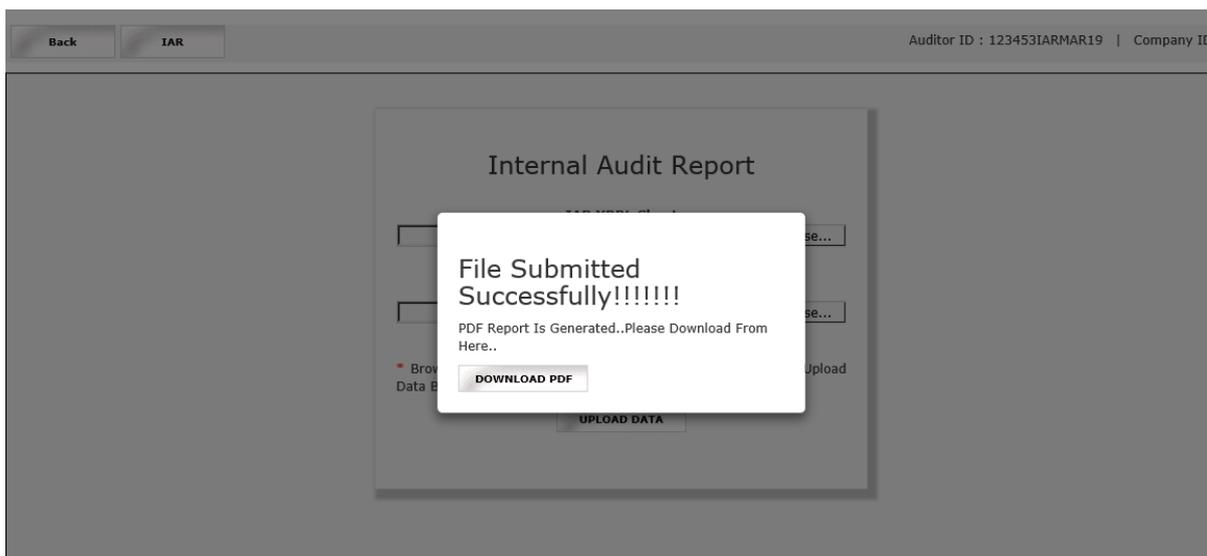

17. Click on Submit and the XBRL document, XBRL Converted into PDF and Annexure I can be viewed in the IAR History.
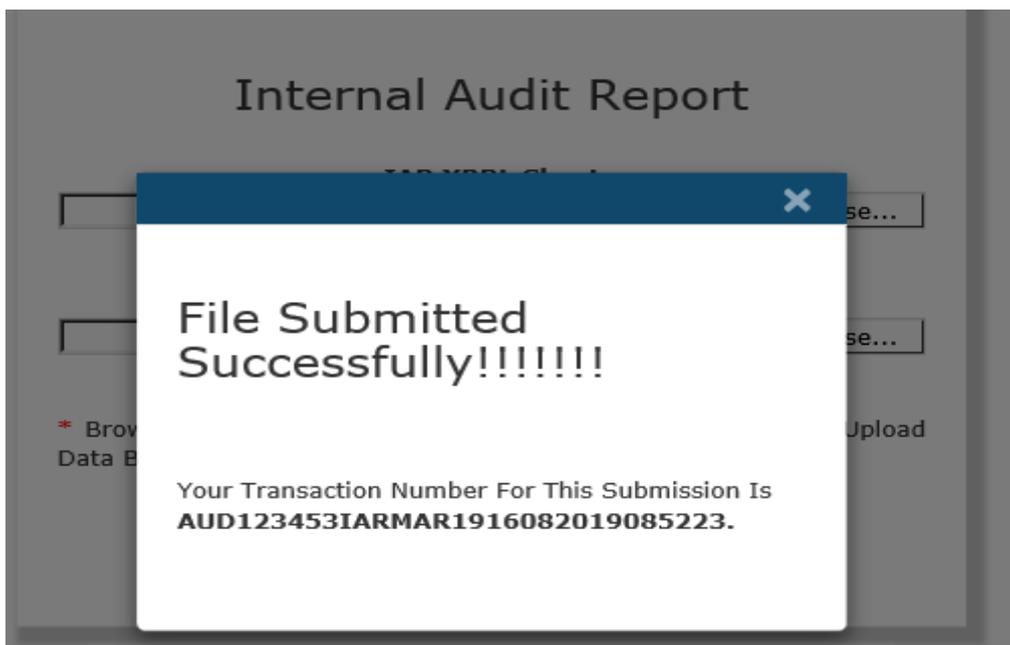

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	XBRL Utility With Auditor's Remarks	XBRL Utility Converted Into Pdf File	Annexure I Scanned, Signed & Stamped	Annexure II Scanned, Signed & Stamped	Submit Annexure II Scanned, Signed & Stamped
123453	IAR	16-08-2019 08:38:14	784_IAR_OCT18-MAR19_16082019083814.Xlsm				Download	Download	View	View	Submit

18. After clicking on **'Submit'**, kindly browse and upload **'Annexure II'** on letter head of auditor with sign and stamp in pdf and upload the same. The Auditor can upload a digitally signed **'Annexure I'** also.
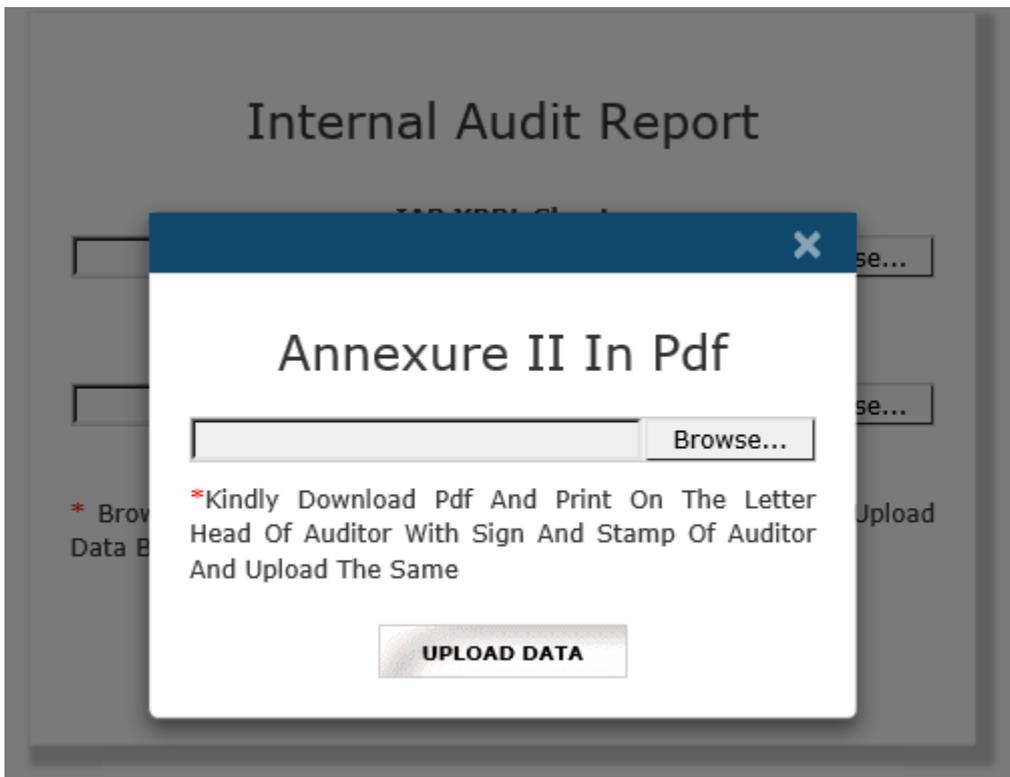
19. After clicking on the **'UPLOAD DATA'** button, the following text box will be displayed. Auditor can see his transaction number for this particular submission. Also, Auditor will get an email confirmation for this submission.

*****END OF DOCUMENT*****