

Department: Inspection	Segment: All
Circular No: MSE/INSP/14477/2023	Date : November 21, 2023

Subject: Reminder for Submission of Internal Audit Report, Risk Based Supervision, System Audit Report and Cyber Security & Cyber Resilience Audit Report for the Half year ended September 30, 2023

To All Members,

This has reference to Exchange circular Ref. No. MSE/INSP/14318/2023 dated October 17, 2023 subjecting on “Internal Audit of Trading Members”, circular ref. No MSE/INSP/14269/2023 dated October 07, 2023 on “Risk Based Supervision (RBS) – Submission of information for the period April 01, 2023 – September 30, 2023 (Half-year ended September-23)”, circular ref. No MSE/NSP/14355/2023 dated October 26, 2023 on “System Audit of Stock Brokers/Trading Members (Type-III)” and circular Ref. No MSE/INSP/14356/2023 dated October 26, 2023 “Cyber Security and Cyber Resilience Audit of Trading Members (Type-III)”

Members are reminded to submit all the aforesaid submissions to the Exchange through web based application and/or via email on or before **November 30, 2023** to avoid any penal charges/disciplinary action for the non/late submission of the said reports as specified in their respective circulars

In the view of the above, members are advised to take note of the above and comply.

For and on behalf of
Metropolitan Stock Exchange of India Limited

Mahendra Choudhari
AVP – Inspection and Membership Department

In case of any query kindly contact Inspection Department on (022) 6112 9000 or mail on compliancemsx@msei.in.

Metropolitan Stock Exchange of India Limited