



***Securities and Exchange Board of India vide circular dated January 31, 2025, has issued framework for monitoring and supervision of System Audit of Stock Brokers (SBs) through Technology based Measures***

- Securities and Exchange Board of India vide circular dated January 31, 2025, has issued framework for monitoring and supervision of System Audit of Stock Brokers (SBs) through Technology based Measures.
- Stock Exchanges shall develop web portal/ web based platform and create technology based mechanisms to monitor and supervise the entire system audit lifecycle of a stock broker.
- The web based monitoring & supervision framework shall be accessed by the auditor during the audit. Exchanges shall ensure that only the authorized auditor or person of the audit firm shall have access to the web portal while conducting audit through secure OTP mechanism.
- The web portal shall be developed by stock exchanges within six months from the issuance of this circular. Exchanges to ensure availability of adequate resources in terms of technology and manpower for implementation, adherence and support of requirements.
- The circular is attached herein.

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