

2020



BSE Limited

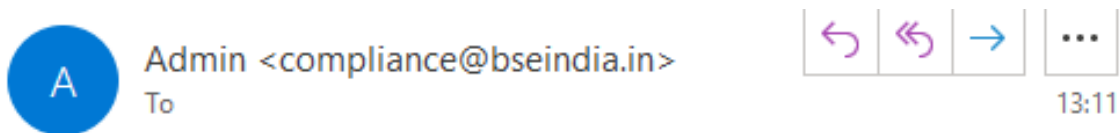
Auditor User Manual for System Audit Report (SAR)

System Requirements:

1. Microsoft Excel (version 2007 and above)
2. Only Internet Explorer (version 11 and above) to be used to submit System Audit Report (SAR).

Procedure for submitting the System Audit Report on BEFS by Auditor:

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



Dear Sir/Madam,

Member (DUMMY (Clg no.123456) has appointed you as system auditor for the submission of system audit report for the period APR19 - MAR20 and TOR type TOR II

Clg. No. of member:	123456
Trading member name:	DUMMY
Login id:	123456SARMAR20
Password:	89440

Click on following link :<http://bef.s.bseindia.com> for the approval of login id.

On clicking the above link for the first time, you are required to change the password

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.

BSE
EXPERIENCE THE NEW

Install Pre requisites...
For Optimized Result , Please Click Here..

Forgot Your Password

BEFS

Member Code : 123456

Login Id : 123456SARMAR20

Password :

Enter Captcha : 4E93

Menu View : User Preferred

Login

Please login to BEFS... Thank You...

Bookmark Application!

BSE Electronic Filing System

3. Auditor will be prompted to change the default password as illustrated below.

CHANGE YOUR PASSWORD HERE

Member Code 123456

User Name 123456SARMAR20

Old Password

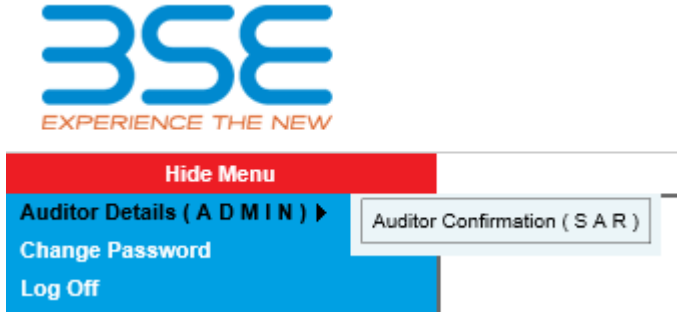
New Password

Confirm Password

Enter Captcha 35CF

CHANGE CANCEL EXIT

4. After changing the password, Auditor has to re-login with new password. Auditor will have to click on 'Auditor confirmation'.



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

SAR AUDITOR DETAILS	
Audit Period *:-	APR19 - MAR20 ▾
TOR Type :-	
TOR II	
Name Of The Member *:-	DUMMY
Clg No *:-	123456
Audit Firm Name *:-	ABCD LTD
Audit Firm Registration No *:-	ABCD1234567
Auditor Name *:-	ABCD
Qualification *:-	DISA ▾
Auditor Registration No (DISA/CISA/CISSP/CISM) *:-	QWERTY12345678
PAN No. Of The Auditor *:-	CVOK59834P
Email Id Of Auditor *:-	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *:-	1111111111
Address Of Auditor: *:-	ABCD
<div>UPDATE</div> <div>SUBMIT</div>	

6. Click on 'Print' button which will generate a pdf containing the details filled by you in SAR 'Auditor Details' Screen.
 - a) Take the printout on the letter head (Auditor's Letter Head) and upload the scanned copy of the undertaking duly signed and stamped by the auditor **Or digitally signed by the Auditor.**
 - b) Adhere to the file nomenclature '**CLG.NO._TORII_UND_MAR20.pdf**'

SAR AUDITOR DETAILS	
Audit Period *:-	APR19 - MAR20
TOR Type :-	TOR II
Name Of The Member *:-	DUMMY
Clg No *:-	123456
Audit Firm Name *:-	ABCD LTD
Audit Firm Registration No *:-	ABCD1234567
Auditor Name *:-	ABCD
Qualification *:-	DISA
Auditor Registration No (DISA/CISA/CISSP/CISM) *:-	QWERTY12345678
PAN No. Of The Auditor *:-	CVOK59834P
Email Id Of Auditor *:-	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *:-	1111111111
Address Of Auditor: *:-	ABCD
<input type="button" value="PRINT"/>	
<i>Note : "Auditor Has To Take The Print On The Letterhead Of Audit Firm And Upload The Scanned Copy Of The Same (As Required Below) Duly Stamped And Signed By The Auditor."</i>	
Upload File *:-	<input type="button" value="Browse..."/> File Nomenclature :: 123456_TORII_UND_MAR20.PDF
<input type="button" value="FINAL SUBMIT"/>	
YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED TO PRINT	

7. Browse the undertaking in pdf format with proper nomenclature and click on 'Final Submit' button. A text box message will pop up to re-login to start the submission.

SAR AUDITOR DETAILS	
Audit Period *:-	APR19 - MAR20
TOR Type :-	TOR II
Name Of The Member *:-	DUMMY
Clg No *:-	123456
Audit Firm Name *:-	ABCD LTD
Audit Firm Registration No *:-	ABCD1234567
Auditor Name *:-	
Qualification *:-	
Auditor Registration No (DISA/CISA/CISSP/CISM) *:-	
PAN No. Of The Auditor *:-	
Email Id Of Auditor *:-	
Contact No. Of Auditor *:-	
Address Of Auditor: *:-	
Upload File *:-	<input type="button" value="Browse..."/> File Nomenclature :: 123456_TORII_UND_MAR20.PDF
AUDITOR REQUEST IS SUBMITTED	

Message from webpage

AUDITOR REQUEST IS SUBMITTED, KINDLY RE - LOGIN FOR FILE UPLOAD.

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

BEFS

BSE
EXPERIENCE THE NEW

Install Pre requisites...
For Optimized Result , Please Click Here..
Forgot Your Password

Member Code : 123456
Login Id : 123456SARMAR20
Password :
Enter Captcha : 4E93
Menu View : User Preferred
Login

Please login to BEFS... Thank You...
Bookmark Application!

BSE Electronic Filing System

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

Back TOR II

Download Excel Template

DOWNLOAD TOR II TEMPLATE

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

The screenshot shows the Microsoft Excel interface. The 'Home' tab is selected. A yellow security warning banner at the top states 'SECURITY WARNING: Macros have been disabled.' and includes an 'Enable Content' button. A red arrow points to this button with the text 'Click here to Enable Content'. Below the banner, the formula bar shows 'F42'. The worksheet grid shows columns C through J and rows 7 through 14. In row 7, there are 'Home' and 'Validate' buttons. In row 8, there is a header for 'Auditors Detail'. Rows 9 through 14 contain a form with the following fields: 'Clearing No', 'Audit period Start Date' (01), 'Audit period End Date' (31), 'Audit Date', 'Audited by', and 'Audit firm registration no.'. The 'Audited by' field has a dropdown menu with the text '>> select drop-down'.

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

The screenshot shows the 'General Information' sheet in Excel. The worksheet grid shows columns C through J and rows 18 through 31. In row 18, there is a header for 'General Information'. Rows 19 through 26 contain a form with the following fields: 'Email id of auditor', 'Contact no. of auditor', 'Address of audit firm', 'Designation of auditor', 'PAN no. of auditor', 'TOR Type' (II), 'Are you Stock Broker / Auditor' (Auditor), and 'Filing for (SAR/CAR/FOR)' (Auditor). The 'Are you Stock Broker / Auditor' field has a dropdown menu with the text '> select drop-down'. The 'Filing for (SAR/CAR/FOR)' field has a dropdown menu with the text '> select drop-down'. In row 27, there is a table with the following data:

Facilities with the stock broker		
IML		
IBT		
STWT		
DMA		
SOR		

12. In the “SAR” sheet, fill all the required details then click on ‘Validate’ on the top left-hand side of the sheet.

	F	G	H	I	J
10	<div>Home</div> <div>Validate</div>				
11	Audit TOR Clause	Details	Audit Date	Audited by	Observation no
12	1	System controls and capabilities(IML terminals and servers)			
13	1a	Order Tracking - The system auditor should verify system process and controls at IML terminals and IML servers covering order entry, capturing of IP address of order entry terminals, modification / deletion of orders, status of current order/outstanding orders and trade confirmation	07-04-2020	CISM	1

13. After successfully filling of “SAR” Excel Sheet, click on “Home” button to validate all sheets as illustrated below.

BSE- Financial Results - XBRL Filings

Step 1: Complete all Worksheets below:

1

Select the sheet you wish to go to:

General Information

SAR

Step 2: Enter Data

2

Enter Data in relevant sheets & Save File

Step 3: Validate All Sheets

3

Validate All Sheet

Step 4: Generate XML/XBRL

4

Generate XML

Step 5: Generate Report

5

Generate Report

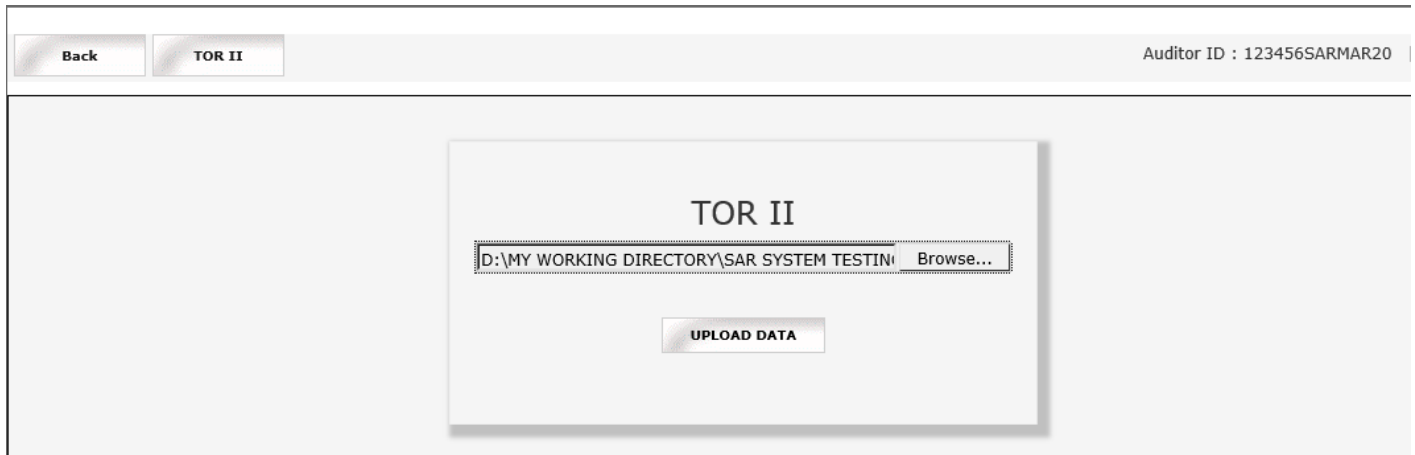
BSE

EXPERIENCE THE NEW

MICROVISTA

TECHNOLOGIES

14. In BEFS, login> System Audit Reporting > Click on **TOR** button and Browse and attach 'SAR EXCEL Sheet' and click on 'Upload Data'.



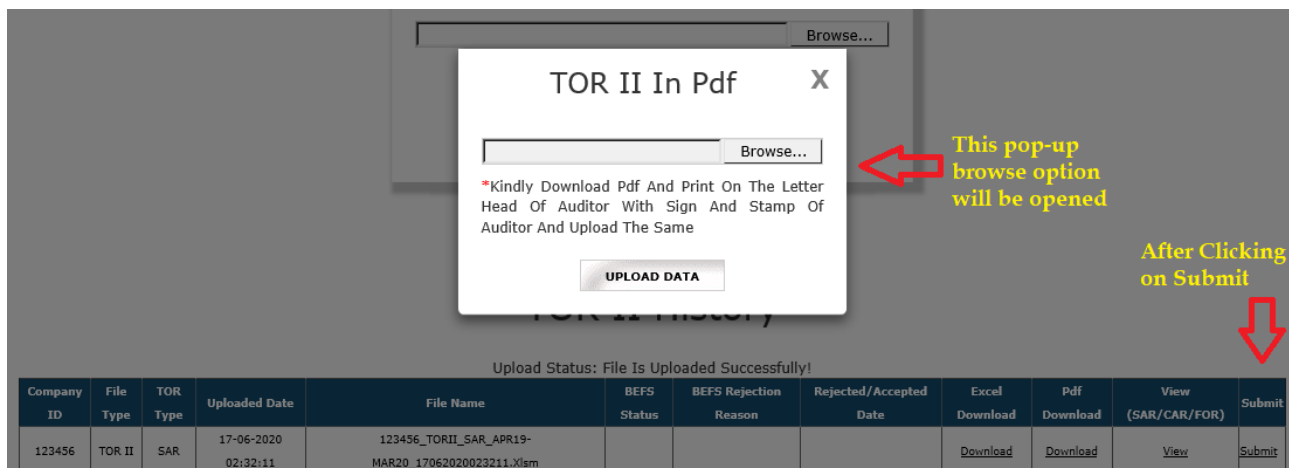
The screenshot shows a web interface for 'TOR II'. At the top, there are two buttons: 'Back' and 'TOR II'. On the right, it says 'Auditor ID : 123456SARMAR20'. The main content area has a title 'TOR II' and a file input field containing the path 'D:\MY WORKING DIRECTORY\SAR SYSTEM TESTIN\'. To the right of the input field is a 'Browse...' button. Below the input field is an 'UPLOAD DATA' button.

15. Once EXCEL Sheet gets uploaded it gets converted into a PDF file. Download the PDF and print on the letter head of Auditor.

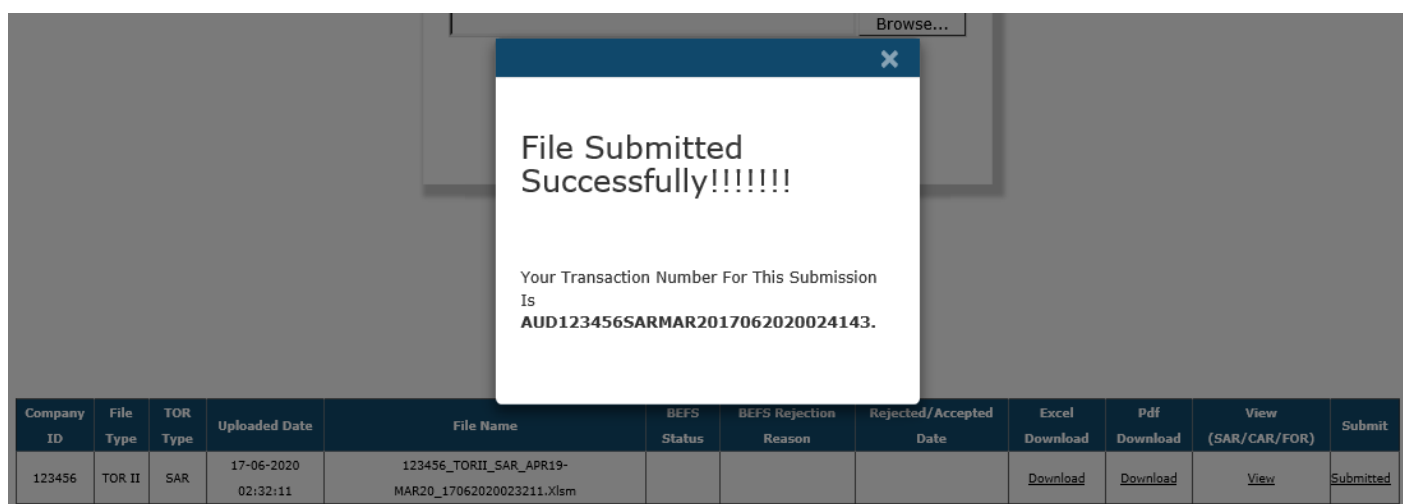


The screenshot shows a 'File Submitted Successfully!!!!!!' message box. The text inside the box says 'PDF Report Is Generated..Please Download From Here..'. Below the text is a 'DOWNLOAD PDF' button. The background shows the 'TOR II' interface with the 'Browse...' button visible.

16. After printing 'TOR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'TOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'TOR pdf'. Auditor can upload digitally signed TOR scanned file in pdf format.



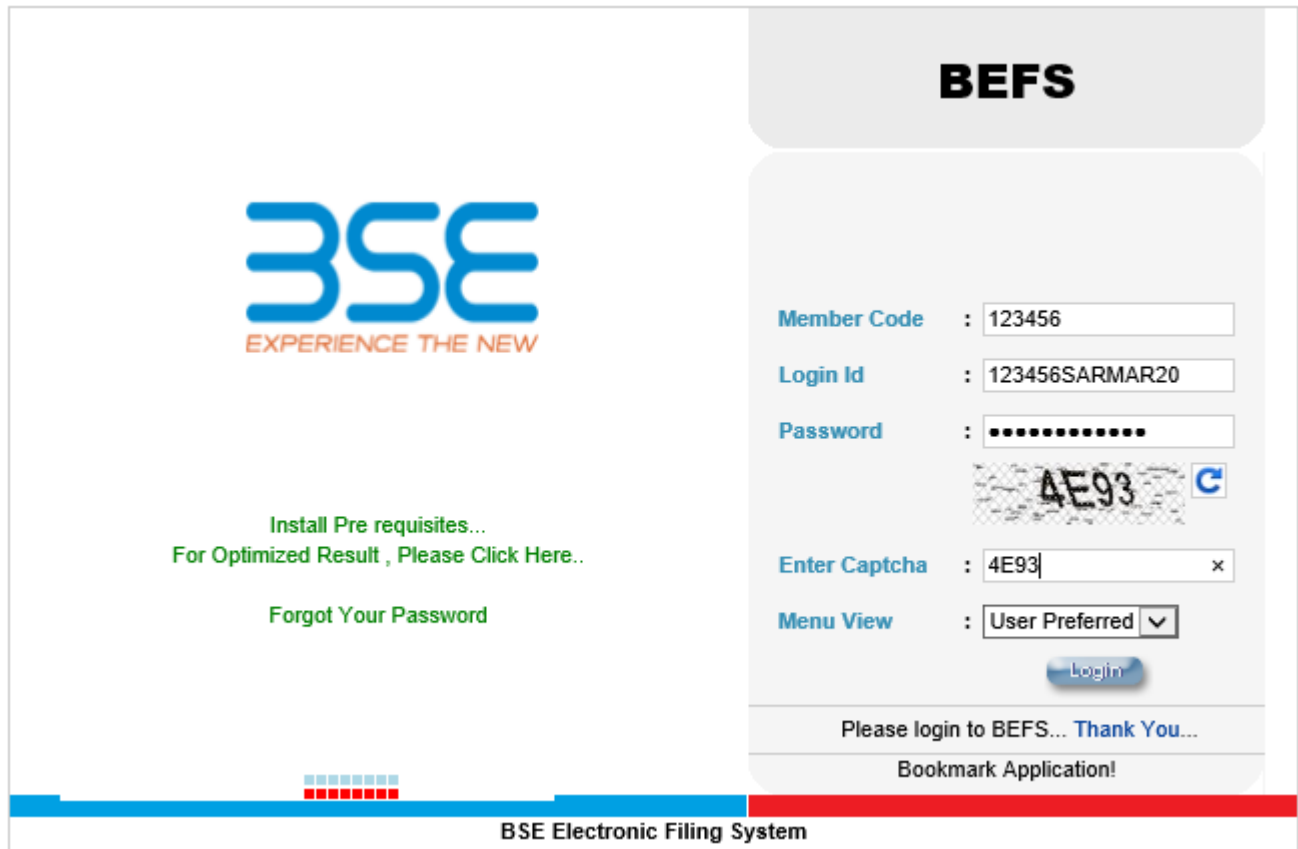
17. After uploading TOR PDF with sign & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive acknowledgement mail to process further.



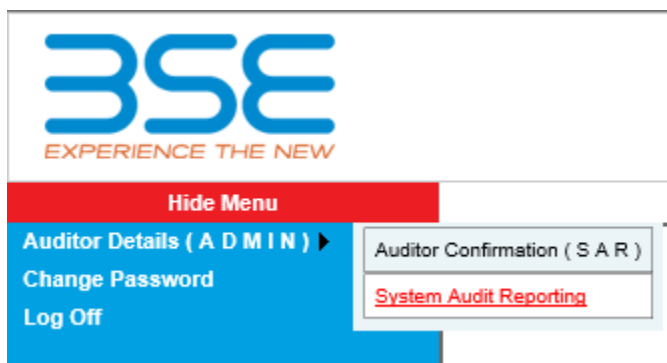
Follow On Report (FOR) Submission from Auditor Login

If the Auditor wants to submit Follow on Audit Report. Kindly follow the steps mentioned below:

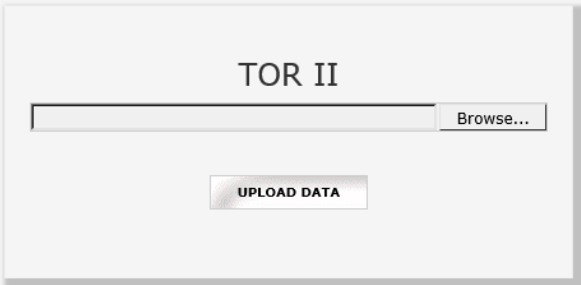
1. The auditor will open the following link <http://befs.bseindia.com/> on Internet Explorer and will enter his login credentials to login.



2. In Auditor Details > System Audit Reporting



- Click on TOR Button in TOR History kindly download the excel template.



TOR II

Browse...

UPLOAD DATA

Download the Excel Template

↓

TOR II History

Company ID	File Type	TOR Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (SAR/CAR/FOR)	Submit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020023211.Xlsm				Download	Download	View	Submitted

- After downloading the template > **Open the template** and **enable the macros** and change **Filing for (SAR/CAR/FOR)** to **FOR (Follow on Audit Report)** then **Validate the sheet**.

	C	D	E	F	G	H	I	J
15			Audit firm name	MNM Associate				
16			Auditor name	Manish Mehta				
17			Auditor Registration no. (DISA/CISA/CISM/CISSP)	msdnasd3328483294				
18			Email id of auditor	manish@mnmassociate.com				
19			Contact no. of auditor	1234567890				
20			Address of audit firm	VIVEK-2,GROUND FLOOR TILAK ROAD				
21			Designation of auditor	Partner				
22			PAN no. of auditor	CVRAM1234W				
23			TOR Type	II				
24			Are you Stock Broker / Auditor	Auditor				>> select drop-down
25			Filing for (SAR/CAR/FOR)	FOR				> select drop-down
26				SAR				
27				CAR				
28				FOR				
				IBT				Yes
								Yes

5. In FOR sheet, kindly fill in the below mentioned details and validate it and save the file. You would have to only enter details in columns which are to be filled by Auditor.

Home Validate		To be filled by auditor									Member
TOR Type	TOR Clause	Observation raised(TOR clause)	Preliminary status	Preliminary Corrective action	Current Finding	Current Status	Revised Corrective Action	Deadline for the revised corrective action	Verified by	Closing date	Trading member Management
	1	System controls and capabilities(IML terminals and servers)									
II	1b	Order Status/ Capture - Whether the system has capability to generate / capture order id, time stamping, order type, scrip details, action, quantity, price and validity, etc.	Non Compliant	Suggested Corrective Action							

6. In TOR Tab, scroll down below to **TOR Browse Button** there is browse button to upload **FOR Excel Sheet (Follow on Audit Report)**

FOR

D:\MY WORKING DIRECTORY\SAR SYSTEM TESTIN
Browse...

UPLOAD DATA

FOR History

No Records Found!

7. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.

TOR II

Browse...

File Submitted Successfully!!!!!!

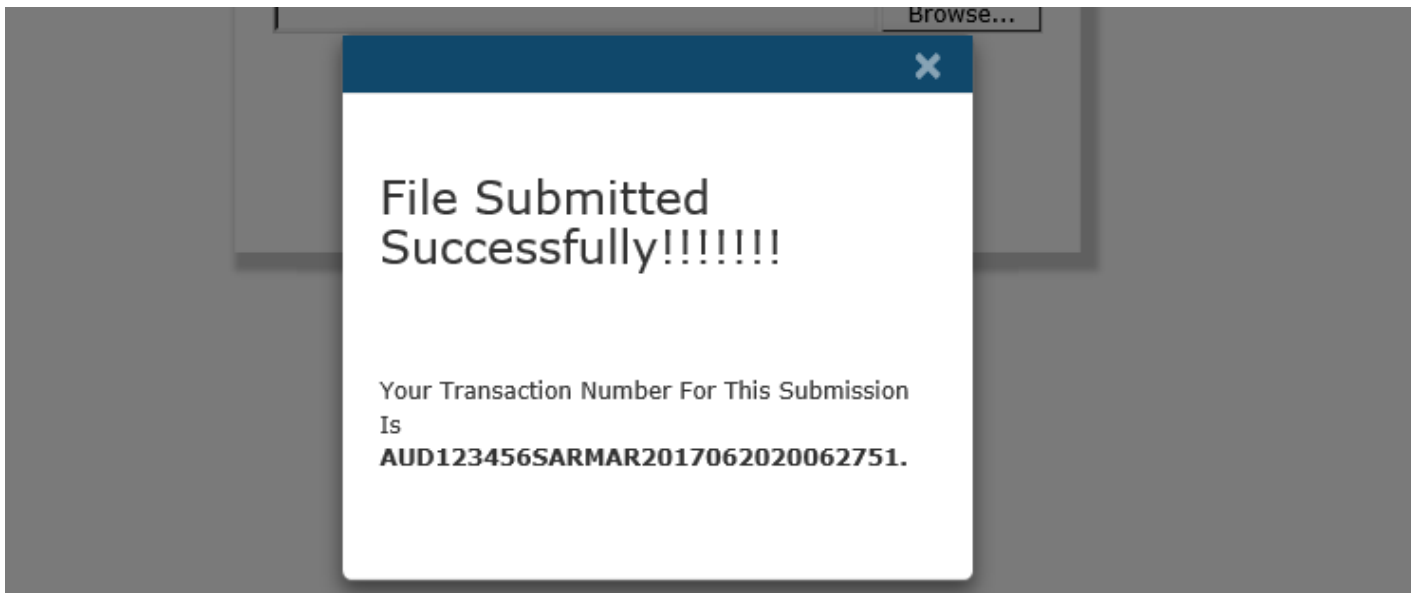
PDF Report Is Generated..Please Download From Here..

DOWNLOAD PDF

8. After printing 'FOR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'FOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'FOR pdf'. Auditor can upload digitally signed FOR scanned file in pdf format.



9. After uploading TOR PDF signed & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive an acknowledgement mail to process further.



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