

2020



BSE Limited

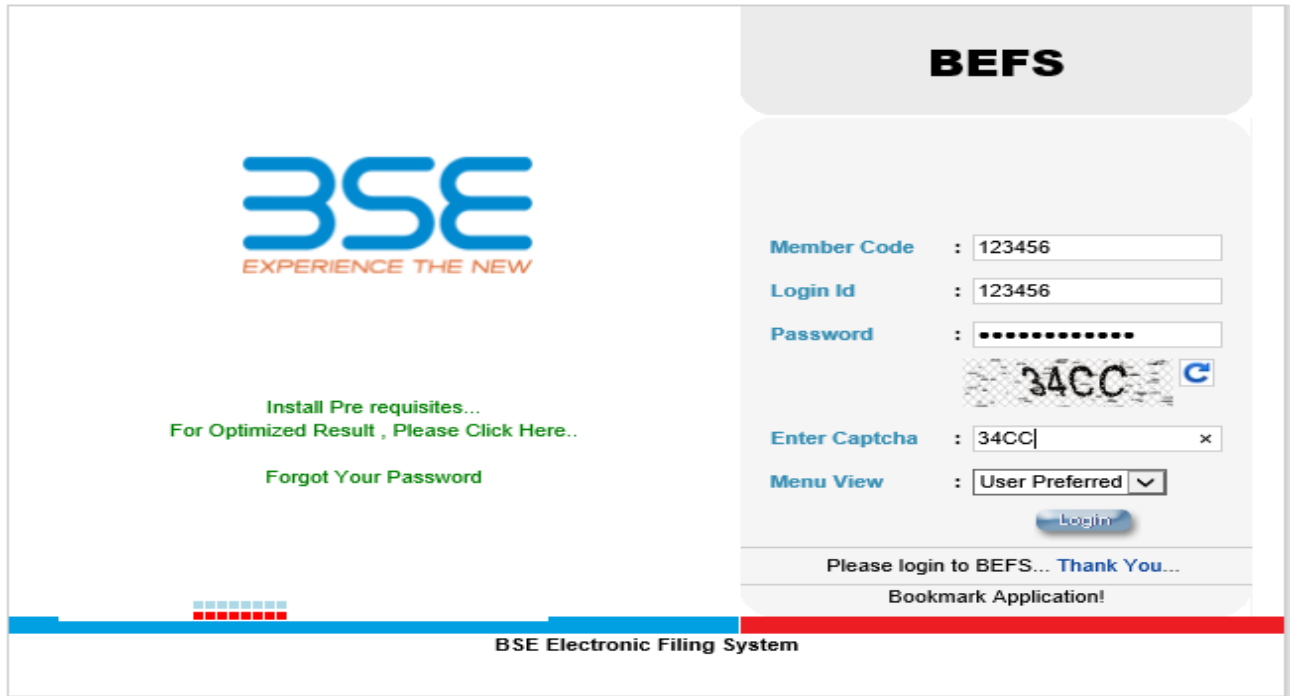
Member User Manual for Cyber Security & Cyber Resilience
Audit Report (CSAR)

System Requirements:

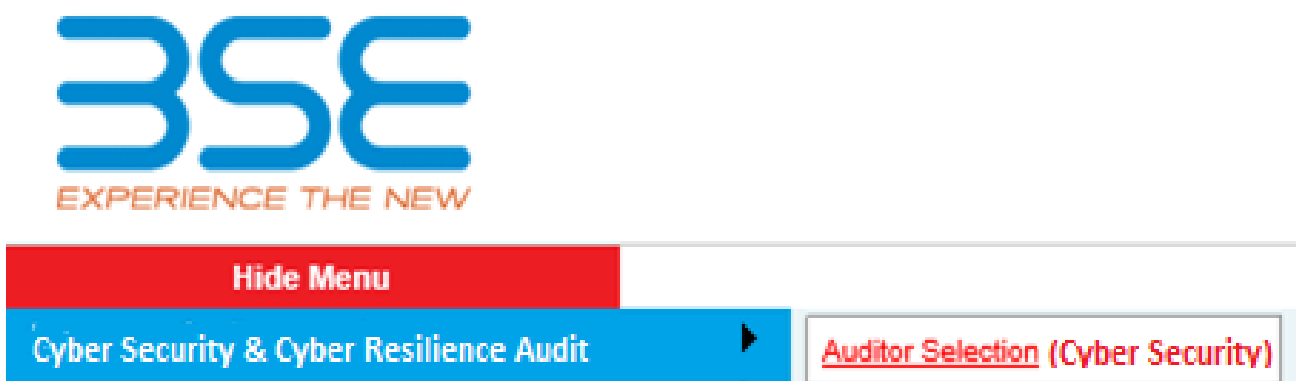
1. Microsoft Excel (version 2007 and above)
2. Only Internet Explorer (version 11 and above) to be used to submit Cyber Security & Cyber Resilience Audit Report.

Procedure for submitting the Cyber Security & Cyber Resilience Audit Report on BEFS by Member:

1. Member logs into BEFS on Internet Explorer



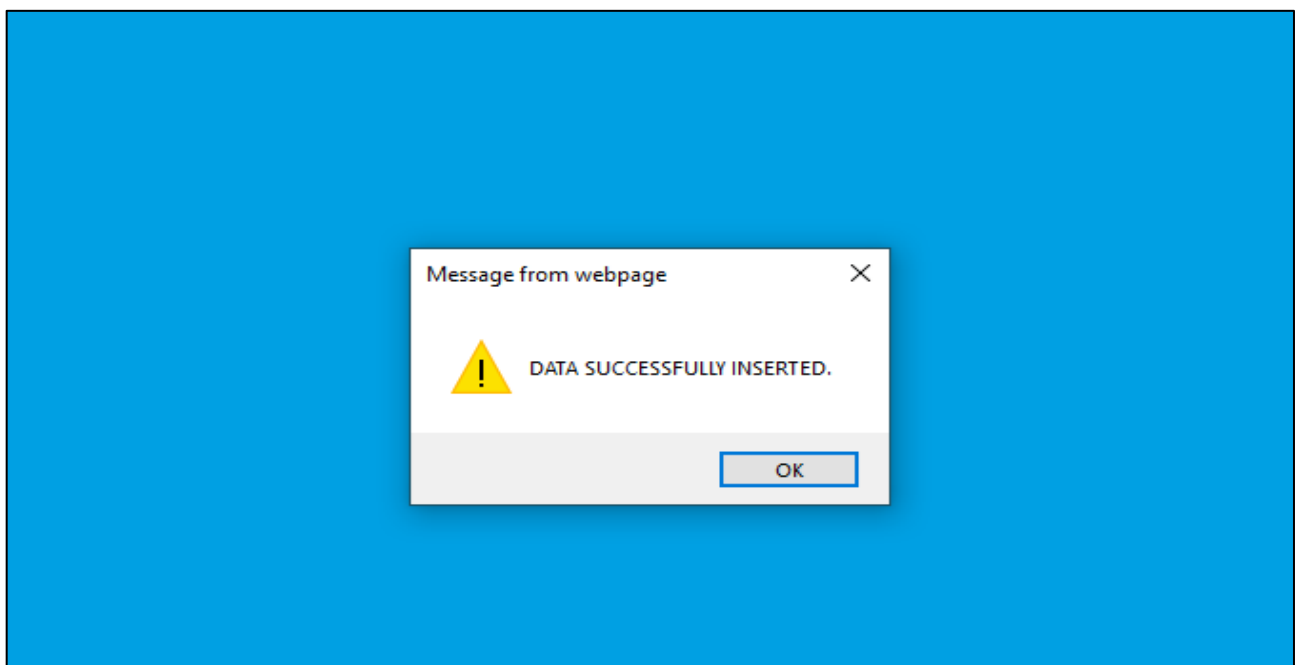
2. Select Cyber Security & Cyber Resilience Audit > Auditor selection (Cyber Security)



3. Fill 'Cyber Security & Resilience - Auditor Details' screen for selection of auditor and click on 'Save' button to submit auditor details.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS			
Member Code	1234	Member Name	DUMMY_1234
Audit Period *:-	APR2020-SEP2020		
Audit Mode :-	HALF YEARLY		
<i>NOTE : * Exchange Has Categorized You As Per Audit Mode And Audit Period As Mentioned Above. In Case Of Any Discrepancy, Please Contact Us At Bse.reports@Bseindia.com Or Call Deepa/Prakash/Josephine On 022-22728217 /8895/8598</i>			
Audit Firm Name *:-	ABC ASSOCIATES		
Audit Firm Registration No *:-	ABC123		
Auditor Name *:-	JOSEPHINE BARETTO		
Qualification *:-	CERT-IN		
Auditor Registration No(CERT-IN/DISA/CISA/CISSP/CISM) *:-	PQR123		
PAN No. Of The Auditor *:-	ABCDE1234F		
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
Contact No. Of Auditor *:-	9876543210		
Address Of Auditor: *:-	ABC, XYZ		
Member Contact Person's Details			
Contact Person Name: *:-	JOSEPHINE BARETTO		
Contact Person No *:-	1234567890		
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
Save			

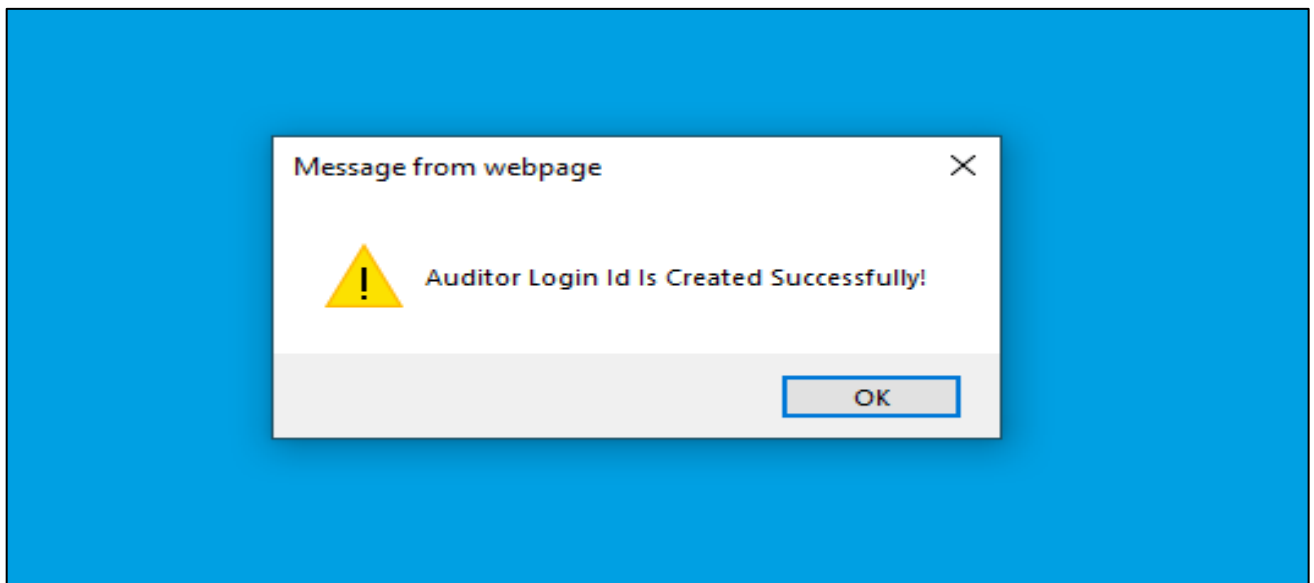
4. Click on 'Save' button and a text box with the message "Data Successfully Inserted" will be displayed.



5. Then click on 'Update & Generate Login ID'.

Audit Period *:-	APR2020-SEP2020
Audit Mode :-	HALF YEARLY
<i>NOTE : * Exchange Has Categorized You As Per Audit Mode And Audit Period As Mentioned Above. In Case Of Any Discrepancy, Please Contact Us At Bse.reports@Bseindia.com Or Call Deepa/Prakash/Josephine On 022-22728217 /8895/8598</i>	
Audit Firm Name *:-	ABC ASSOCIATES
Audit Firm Registration No *:-	ABC123
Auditor Name *:-	JOSEPHINE BARETTO
Qualification *:-	CERT-IN
Auditor Registration No(CERT-IN/DISA/CISA/CISSP/CISM) *:-	PQR123
PAN No. Of The Auditor *:-	ABCDE1234F
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *:-	9876543210
Address Of Auditor: *:-	ABC,XYZ,PQR,MNO
Member Contact Person's Details	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *:-	1234567890
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
<input type="button" value="UPDATE"/> <input type="button" value="GENERATE LOGIN ID"/>	


6. A text box with the message "Auditor Login ID is created successfully" will be displayed. Click on "OK" to proceed.



- The Auditor will receive an email with Auditor's login credentials.

Audit period *:-	APR2020-SEP2020
Audit Mode :-	HALF YEARLY
<i>NOTE : " Exchange has categorized you as per Audit Mode and Audit Period as mentioned above. In case of any discrepancy, please contact us at bse.reports@bseindia.com or call Deepa/Prakash/Josephine on 022-22728217 /8895/8598</i>	
Audit Firm Name *:-	ABC ASSOCIATES
Audit Firm Registration No *:-	ABC123
Auditor Name *:-	JOSEPHINE BARETTO
Qualification *:-	
Auditor Registrati IN/DISA/CISA/CIS	
PAN no. of the au	
Email id of audito	OM
Contact no. of au	
Address of auditor: *:-	
Member Contact Person's Details	
Contact person Name: *:-	JOSEPHINE BARETTO
Contact person No *:-	1234567890
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
DEACTIVE	

Message from webpage



You will receive e-mail shortly as an acknowledgement of information submitted to us!. The auditor details has been successfully submitted to the Exchange

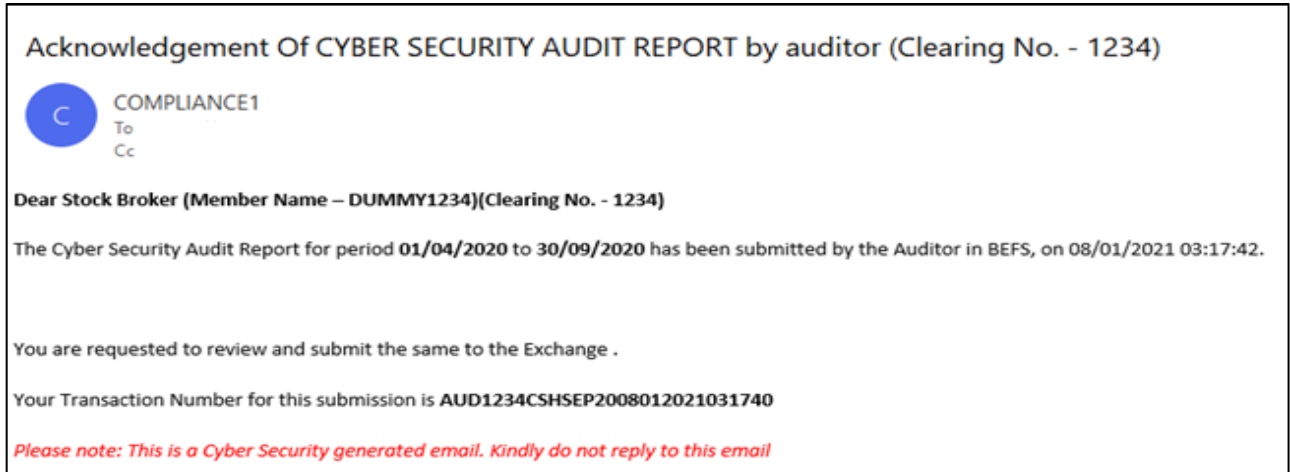
OK

- After generating the Auditor login credentials, if the Member wants to deactivate the login and re-assign the audit assignment to a new auditor, click on 'Deactivate' and fill in the details again.

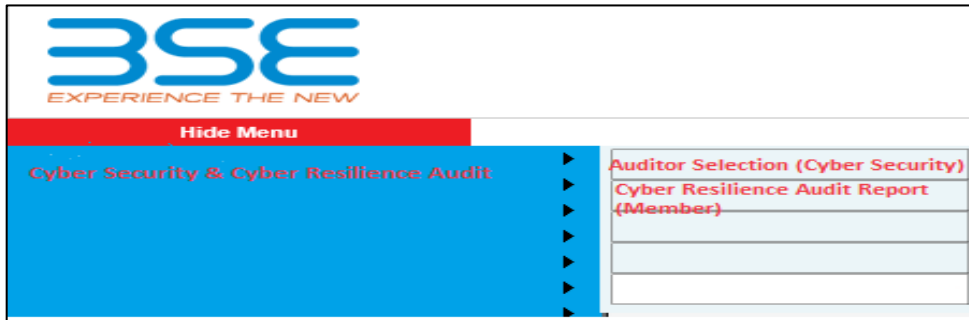
CYBER SECURITY & RESILIENCE - AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231
Audit period *:-	APR2020-SEP2020		
Audit Mode :-	HALF YEARLY		
<i>NOTE : " Exchange has categorized you as per Audit Mode and Audit Period as mentioned above. In case of any discrepancy, please contact us at bse.reports@bseindia.com or call Deepa/Prakash/Josephine on 022-22728217 /8895/8598</i>			
Audit Firm Name *:-	ABC ASSOCIATES		
Audit Firm Registration No *:-	ABC123		
Auditor Name *:-	JOSEPHINE BARETTO		
Qualification *:-	CERT-IN		
Auditor Registration no(CERT- IN/DISA/CISA/CISSP/CISM) *:-	PQR123		
PAN no. of the auditor *:-	ABCDE1234F		
Email id of auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
Contact no. of auditor *:-	9876543210		
Address of auditor: *:-	ABC,XYZ,PQR,MNO		
Member Contact Person's Details			
Contact person Name: *:-	JOSEPHINE BARETTO		
Contact person No *:-	1234567890		
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
DEACTIVE			

Here, once the Auditor submits the report following the steps mentioned (Steps 1 to 19) in the Auditor User Manual for Cyber Security and Cyber Resilience Audit Report (CSAR), Member receives an email requesting to review and to enter the management comments to submit the same to the Exchange on their letter head.

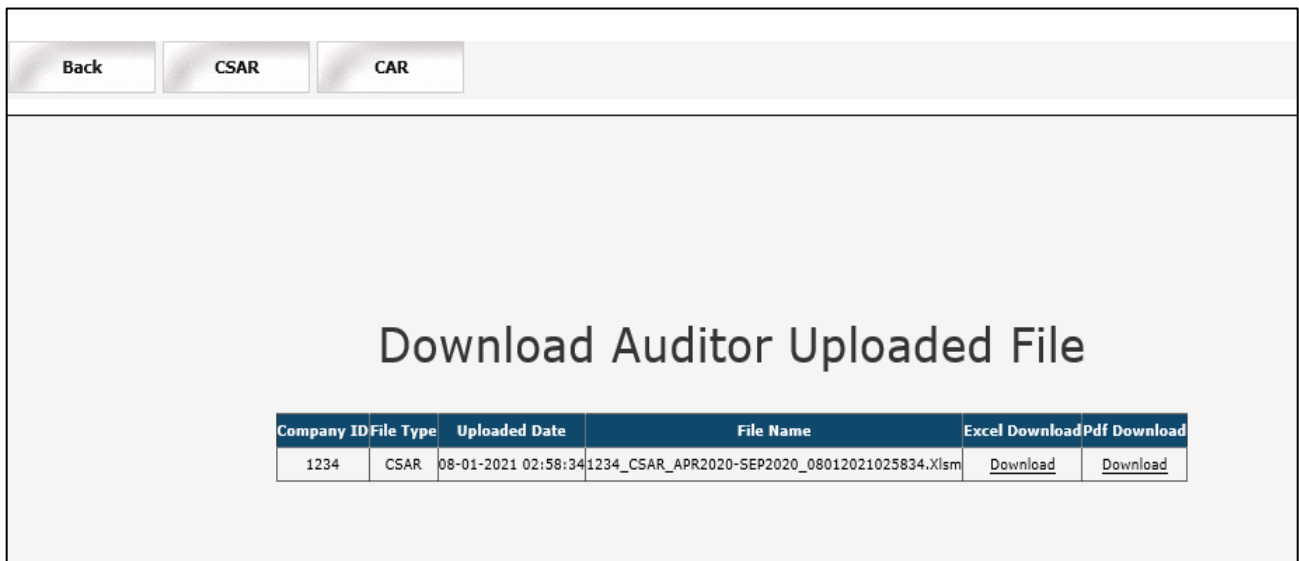
9. The below email is received by the member once the Auditor submits the “CSAR” on BEFS.



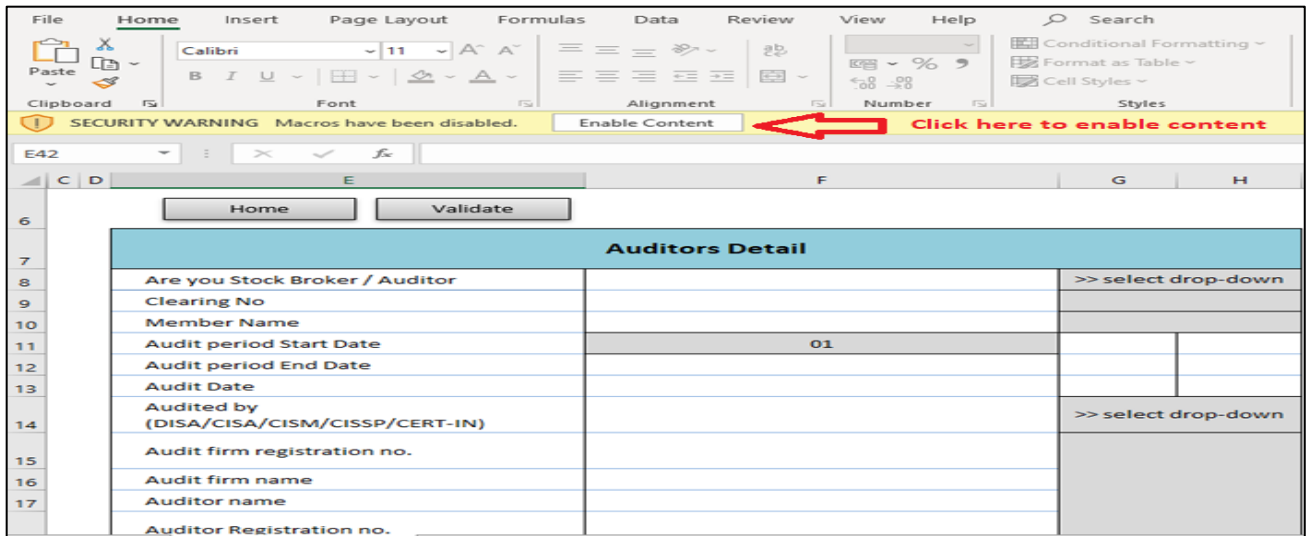
10. Member logs into BEFS from Internet Explorer and selects Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member)



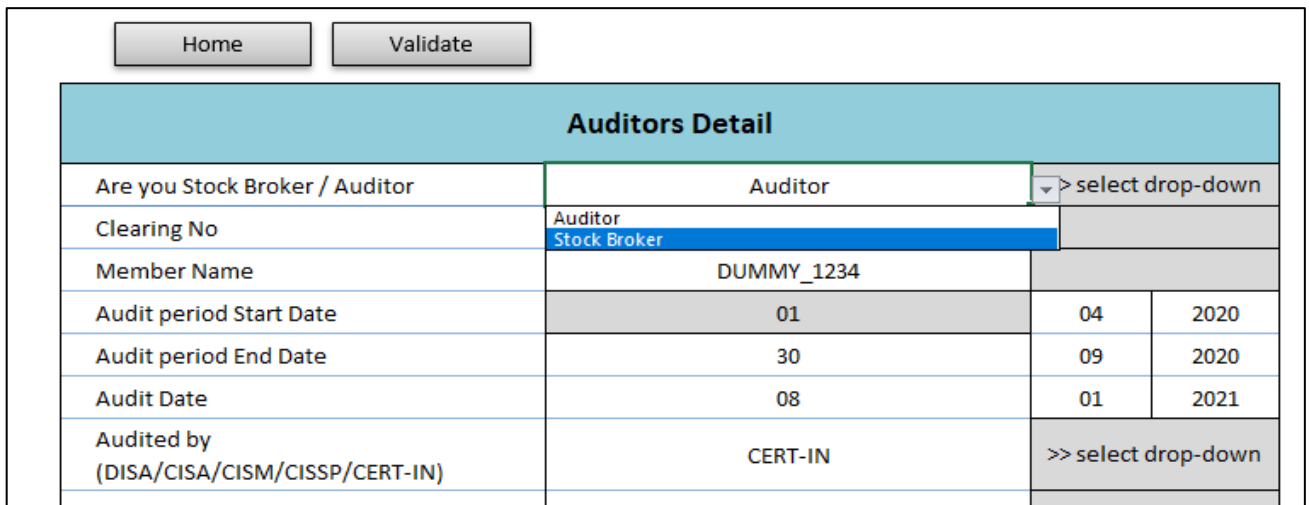
11. Upon selecting Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'CSAR Excel Sheet' uploaded by the Auditor.



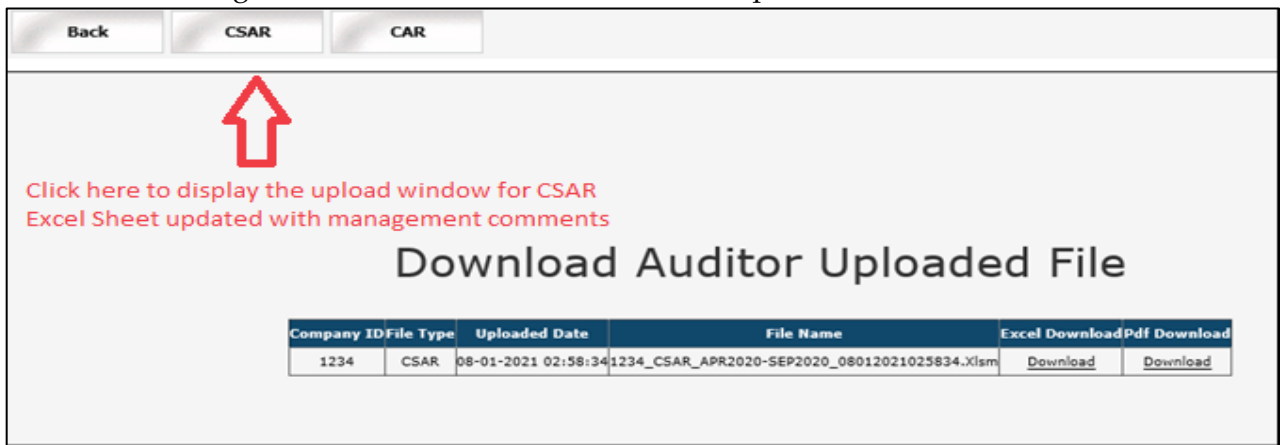
12. Once the Auditor uploaded CSAR Excel file is downloaded and opened, click on 'Enable Content' to enable to macros first.



9. In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker/ Auditor" option. Then click on 'Validate' to fill management comment. In case of Compliant areas there is no need of Management Comment.



10. After successfully filling & validating all the sheets in the CSAR EXCEL Sheet, then login to BEFS with Member's login credentials and click on 'CSAR' to upload the CSAR EXCEL Sheet.



- After that, select respective submission period. After that click on **'Browse'** button and select the filled **CSAR EXCEL Sheet** to upload. Then click on **'Upload Data'** to upload file to the Exchange.

- Once **CSAR Excel Sheet** gets uploaded, a text box with a message “File submitted Successfully Download PDF is displayed”. Download the **CSAR PDF** and print on the letter head of Member.

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/ Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit	Allow Auditor To Resubmit
1234	CSAR	08-01-2021 04:13:44	1234_CSAR_Apr2020- Sep2020_08012021041344.Xlsm				Download	Download	View	Submit	<input type="checkbox"/>

13. After printing 'CSAR' PDF on the letter head of Member, get it signed and stamped and scan the 'CSAR PDF' to submit it on BEFS. Kindly browse, select and upload the scanned 'CSAR PDF'. Member can upload digitally signed CSAR file in PDF format.

The screenshot shows the 'CSAR' upload interface. At the top, there is a 'Select File Period' dropdown menu set to 'Apr2020-Sep2020' and a 'Browse...' button. Below this is an 'UPLOAD DATA' button. A modal dialog box titled 'Message from webpage' is open, asking 'Are you sure you want to submit this file.' with 'OK' and 'Cancel' buttons. A red arrow points from the 'Submit' button in the table below to the 'OK' button in the dialog. Another red arrow points from the 'Submit' button in the table to the right. Below the dialog is the 'CSAR History' table.

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit	Allow Auditor To Resubmit
1234	CSAR	08-01-2021 04:13:44	1234_CSAR_Apr2020-Sep2020_08012021041344.Xlsm				Download	Download	View	Submit	<input type="checkbox"/>

14. Kindly browse, select and upload the scanned 'CSAR PDF'. Member can upload digitally signed CSAR file in PDF format.

The screenshot shows the 'CSAR' upload interface. At the top, there is a 'Select File Period' dropdown menu set to 'Apr2020-Sep2020' and a 'Browse...' button. Below this is an 'UPLOAD DATA' button. A modal dialog box titled 'CSAR In Pdf' is open, containing a 'Browse...' button and the text: '*Kindly Download Pdf And Print On The Letter Head Of Stock Broker With Sign And Stamp Of Stock Broker And Upload The Same'. Below the dialog is the 'CSAR History' table.

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit	Allow Auditor To Resubmit
1234	CSAR	08-01-2021 04:13:44	1234_CSAR_Apr2020-Sep2020_08012021041344.Xlsm				Download	Download	View	Submit	<input type="checkbox"/>

15. After clicking on the “**UPLOAD DATA**” button, the following text box will be displayed. Member can see a transaction number for this submission. Also, Member will get an email confirmation for this submission.

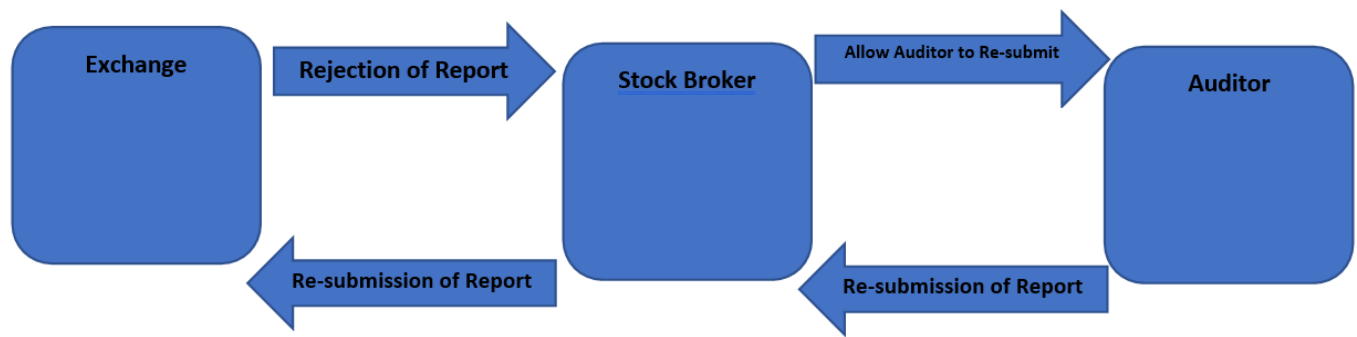
The screenshot shows a web interface for uploading CSAR files. At the top, there's a 'Select File Period' dropdown set to 'Apr2020-Sep2020' and a 'Browse...' button. A white modal box is centered on the screen with the text: 'File Submitted Successfully!!!!!!' and 'Your Transaction Number For This Submission Is MEM123408012021043305.' Below the modal is a table with columns: Company ID, File Type, Uploaded Date, File Name, BEFS Status, Rejection Reason, Rejected/Accepted Date, Excel Download, Pdf Download, View (CSAR/CAR/FOR), Submit, and Allow Auditor To Resubmit. The table contains one row for Company ID 1234, File Type CSAR, Uploaded Date 08-01-2021 04:13:44, File Name 1234_CSAR_Apr2020-Sep2020_08012021041344.Xlsm, BEFS Status, Rejection Reason, Rejected/Accepted Date, Excel Download, Pdf Download, View, Submitted, and Allow Auditor To Resubmit checkbox.

16. **Re-Submission of System Audit Report:** In case the Exchange rejects the report, there is a provision available to the Member to re-submit the report.
- If the member desires to resubmit the audit report due to any reason, then the member is required to email the Exchange requesting to reject the audit report specifying the reason for rejection.



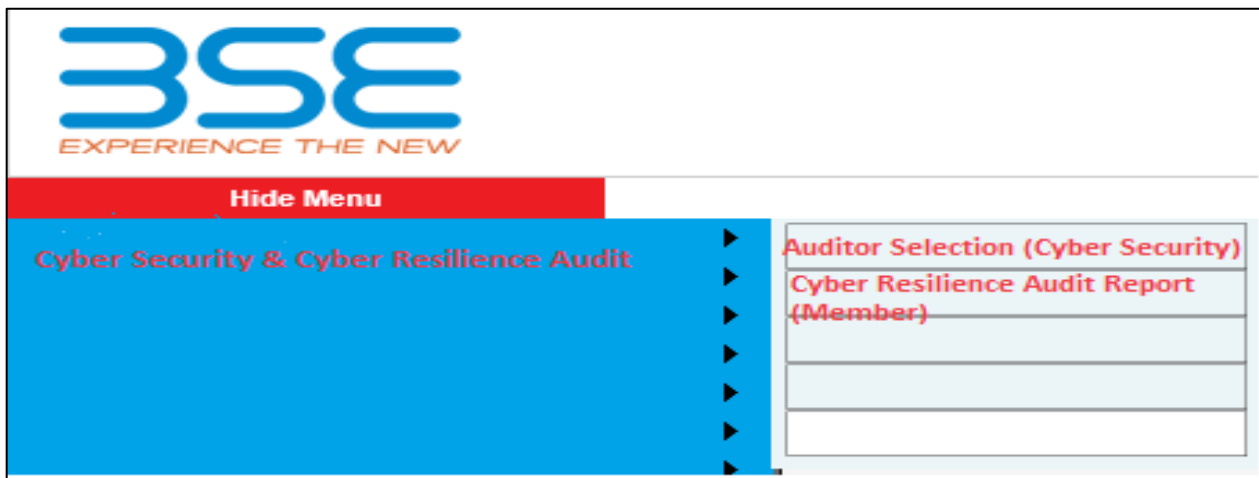
- If the Auditor desires to make changes in the audit report, then the members may email the Exchange requesting to reject the audit report specifying the reason for rejection.
- Once the audit report is rejected by the Exchange, member has to click on the “Allow auditor to Re-submit” tab after which the auditor can re-submit and the Member can re-submit it to Exchange.

The screenshot shows a 'TOR II History' table with columns: 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, and Allow Auditor To Resubmit. The table contains one row for Company ID 123456, File Type TOR II, TOR Type SAR, Uploaded Date 17-06-2020 02:32:11, File Name 123456_TORII_SAR_APR19-MAR20_17062020030314.Xlsm, BEFS Status REJECTED, BEFS Rejection Reason Annexure II Not Signed, Rejected/Accepted Date 17-06-2020 03:13:24, Excel Download, Pdf Download, View, Submitted, and Allow Auditor To Resubmit checkbox checked. A dialog box titled 'Message from webpage' is overlaid on the table, containing a question mark icon and the text 'Are you sure you want to allow resubmission to auditor?' with 'OK' and 'Cancel' buttons.



Follow - On Report Submission from Member's Login

1. Member logs in to BEFS on Internet Explorer and selects Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member).



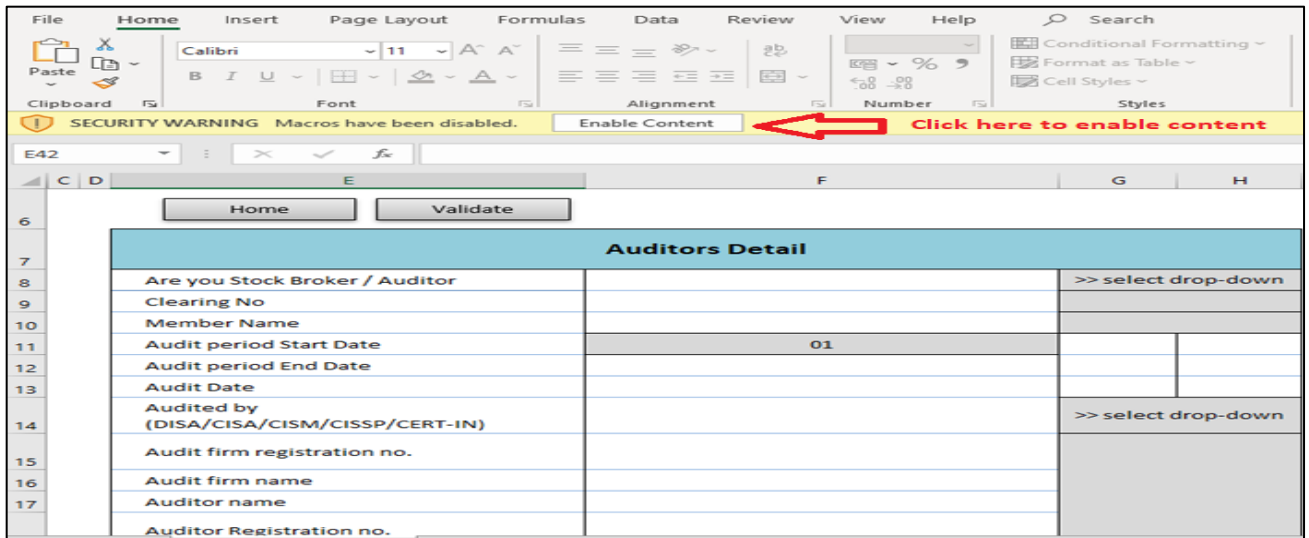
2. Upon selecting Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'FOR Excel Sheet' uploaded by the Auditor.

Back
CSAR
CAR

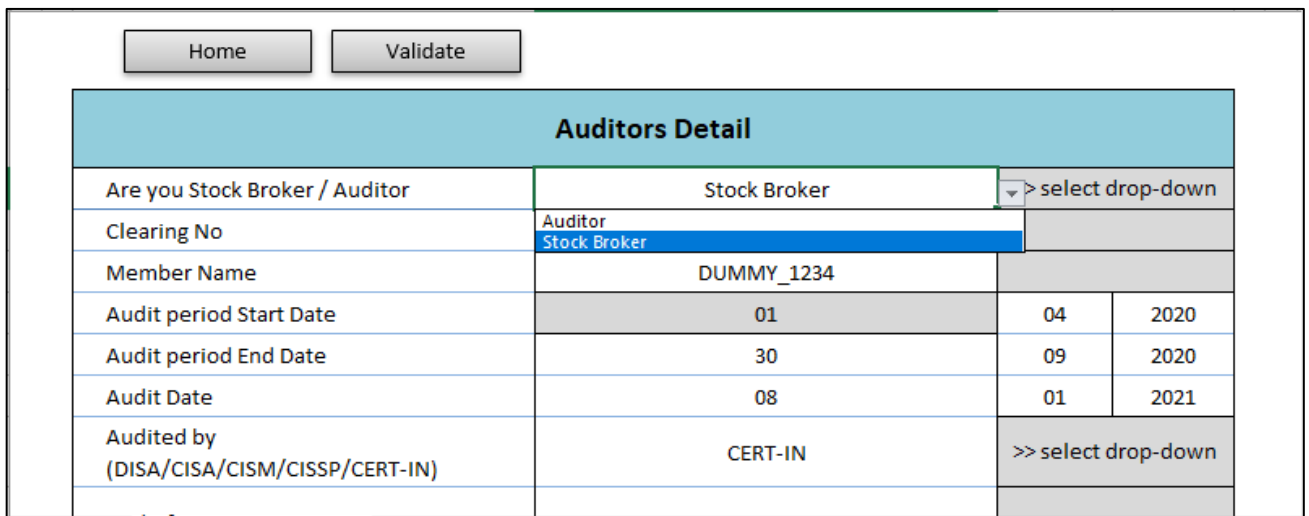
Download Auditor Uploaded File

Company ID	File Type	Uploaded Date	File Name	Excel Download	Pdf Download
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020-SEP2020_08012021025834.Xlsm	Download	Download
1234	FOR	08-01-2021 04:57:20	1234_FOR_APR2020-SEP2020_08012021045720.Xlsm	Download	Download

- Once the auditor uploaded EXCEL file is downloaded and opened, click on 'Enable Content' to enable to macros first.



- In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker / Auditor" option. Then click on 'Validate' to fill management comment in case of 'Non-Compliant'.



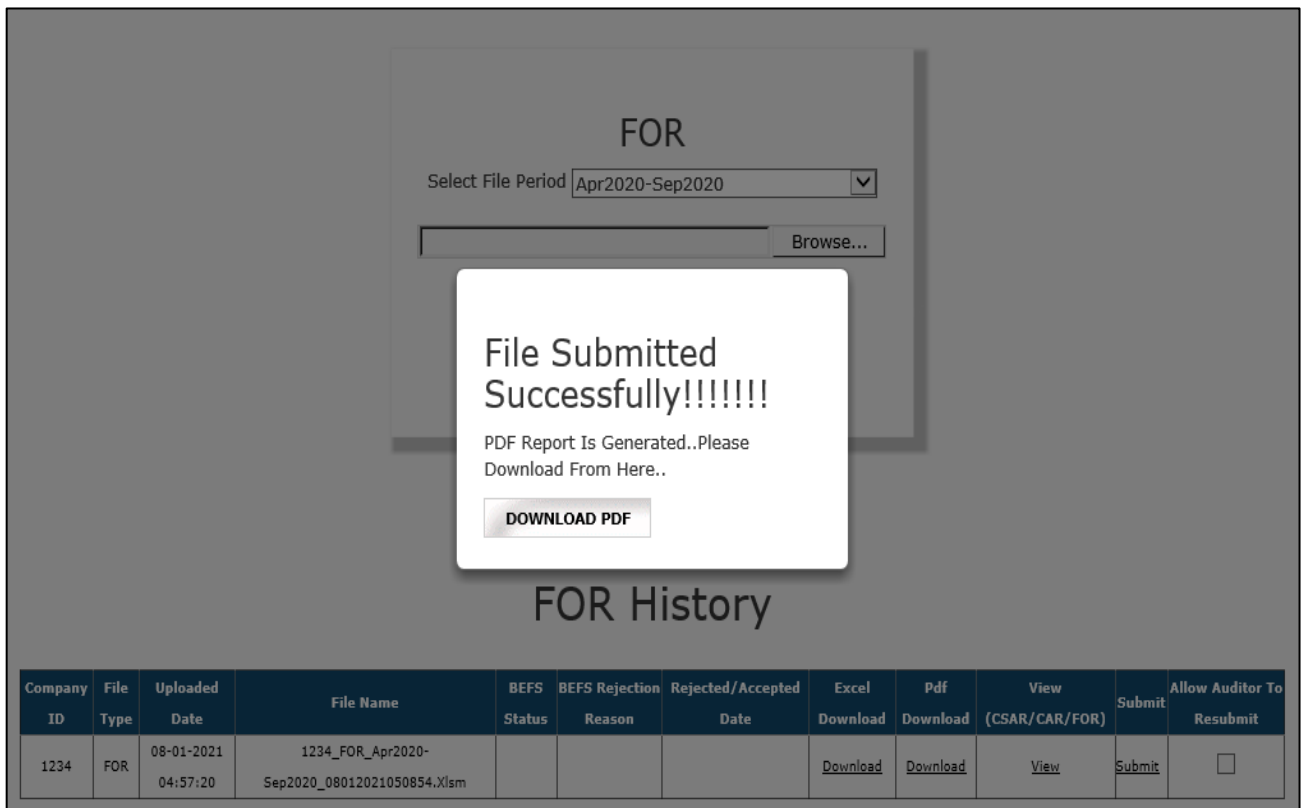
- Wherever the Auditor has marked the 'Preliminary Status' column as 'Non-Compliant', fill in the management comments then click on 'Validate'.

Home		Validate		/ auditor					Member
Audit Mode	Audit Mode Clause	Observation raised(Audit Mode clause)	Current Finding	Current Status	Revised Corrective Action	Deadline for the revised corrective action	Verified by	Closing date	Trading member Management comments
	III	Network Security Management							
1st year	3I	Stock Brokers / Depository Participants has established baseline standards to facilitate consistent application of security configurations to operating systems, databases, network devices and enterprise mobile devices within their IT environment. The LAN and wireless networks should be secured within the Stock Brokers / Depository Participants' premises with proper access controls.	jhfjdhas	Compliant	jfdhdfhdsj	02-02-2021	Auditor	02-02-2021	
1st year	3m	For algorithmic trading facilities, adequate measures should be taken to isolate and secure the perimeter and connectivity to the servers running algorithmic trading applications.	adfjdjh	Compliant	dsfsdf	02-02-2021	Auditor	02-02-2021	
1st year	3n	Stock Brokers / Depository Participants should install network security devices, such as firewalls, proxy servers, intrusion detection and prevention systems (IDS) to protect their IT infrastructure which is exposed to the internet,	adfjdjh	Compliant	sdfdfd	02-02-2021	Auditor	02-02-2021	

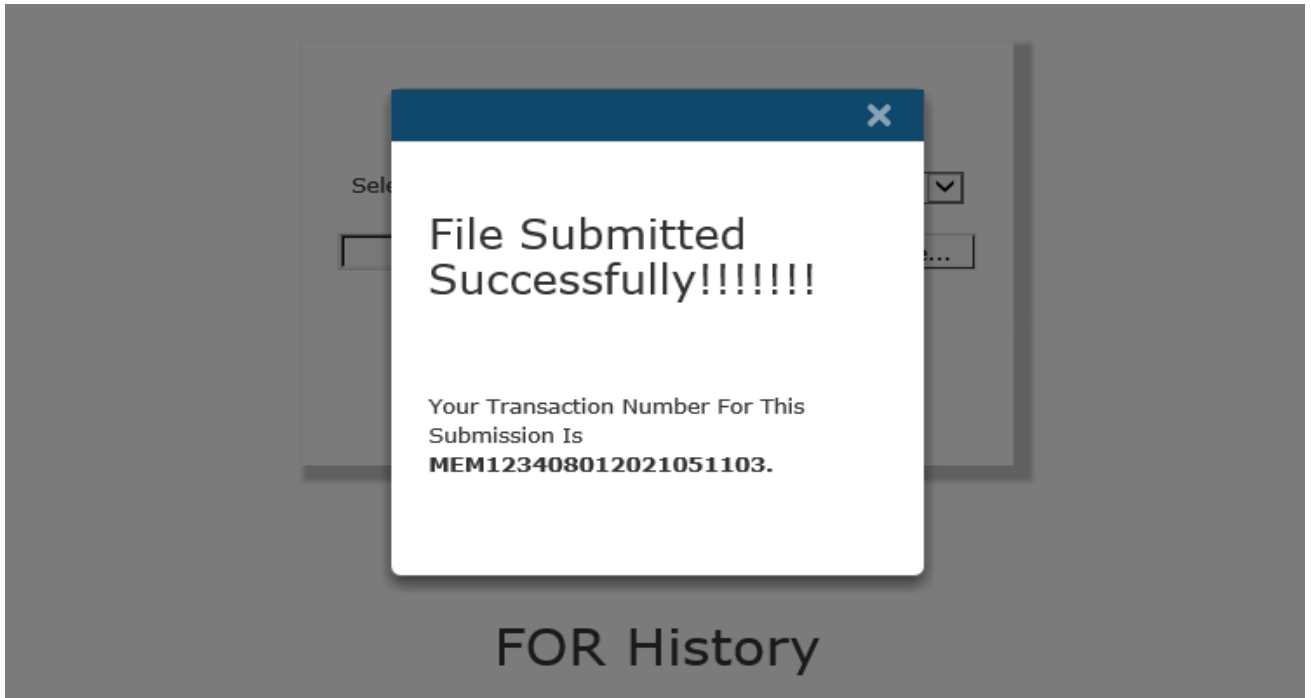
- Log into BEFS, Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member), click on "CSAR" tab and scroll down to FOR Browse Button there is browse button to upload FOR (Follow on Audit Report)



- Once FOR Excel Sheet gets uploaded, a text box with the message "File Submitted Successfully download PDF" is displayed. Download the PDF and print on the letter head of Member.



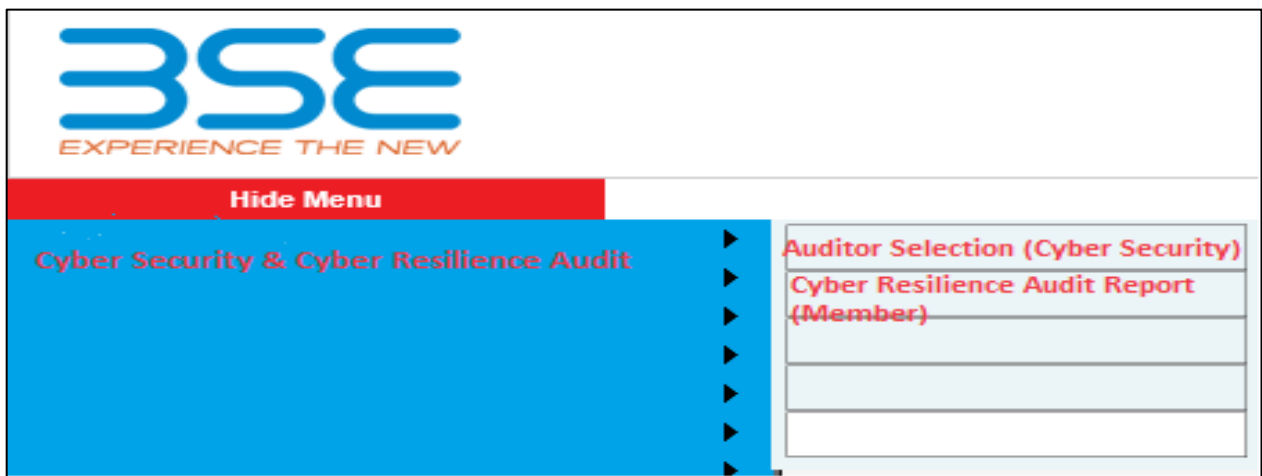
8. After uploading FOR PDF with sign & stamp of the Member or digitally signed by the member, a text box shown below will be displayed. A transaction number is generated for this submission and member will receive an acknowledgement email.



Corrective Action Report (CAR) Submission from Member's Login

Once the Member submits the Cyber Security & Cyber Resilience Audit Report (CSAR) and if the member needs to submit the Corrective Action Report (CAR), he would have to refer the steps mentioned below:

1. Member log into BEFS on Internet Explorer and selects Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member).



2. Upon selecting Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'EXCEL Sheet'.

Back
CSAR
CAR

Download Auditor Uploaded File

Company ID	File Type	Uploaded Date	File Name	Excel Download	Pdf Download
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020-SEP2020_08012021025834.Xlsm	Download	Download

3. After downloading the template > Open the template and enable the macros and change **Filing for (CSAR/CAR/FOR)** to **CAR (Corrective Action Report)** then click on '**Validate**' to proceed further.

Audit firm name	ABC ASSOCIATES			
Auditor name	Josephine Baretto			
Auditor Registration no.	PQR123			
Email id of auditor	Josephine.baretto@bseindia.com			
Contact no. of auditor	9876543210			
Address of audit firm	ABC, XYZ			
Designation of auditor	Partner			
PAN no. of auditor	ABCDE1234F			
Audit Mode	Half yearly			>> select drop-down
Filing for (CSAR/CAR/FOR)	CSAR			> select drop-down
	<div style="border: 1px solid black; padding: 2px;"> CSAR CAR FOR </div>	Yes		
	IBT	No		

4. In CAR sheet, kindly fill in the below mentioned details and click on 'Validate' and then save the file.

Home		Validate		To be submitted by Stock Broker			
Audit Mode	Audit Mode Clause	Observation raised(Audit Mode clause)	Preliminary Audit period	Preliminary audit date	Current status(Complied/Non compliant/ work in progress)	Date by which Non compliant/WIP issue will be complied	Trading member Management comments
III Network Security Management							
Half yearly	3l	Stock Brokers / Depository Participants has established baseline standards to facilitate consistent application of security configurations to operating systems, databases, network devices and enterprise mobile devices within their IT environment. The LAN and wireless networks should be secured within the Stock Brokers /Depository Participants' premises with proper access controls.	April 2020 to September 2020	08-01-2021	Compliant		
Half yearly	3m	For algorithmic trading facilities, adequate measures should be taken to isolate and secure the perimeter and connectivity to the servers running algorithmic trading applications.	April 2020 to September 2020	08-01-2021	Work in Progress	02-02-2021	Will do

5. Click on CAR Tab, there is browse button to upload CAR Excel Sheet (Corrective Action Report).

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

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CAR	08-01-2021 04:46:00	1234_CAR_Apr2020-Sep2020_08012021044600.Xlsm				Download	Download	View	Submit

- After uploading CAR PDF with sign & stamp of the Member, the following text box will be displayed. Member can see a transaction number for this submission and member will receive an acknowledgement mail.

CAR

Select File Period Apr2020-Sep2020

File Submitted
Successfully!!!!!!!

Your Transaction Number For This
Submission Is
MEM123408012021045019.

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CAR	08-01-2021 04:46:00	1234_CAR_Apr2020- Sep2020_08012021044600.Xlsm				Download	Download	View	Submitted

END OF DOCUMENT