

2020



## BSE Limited

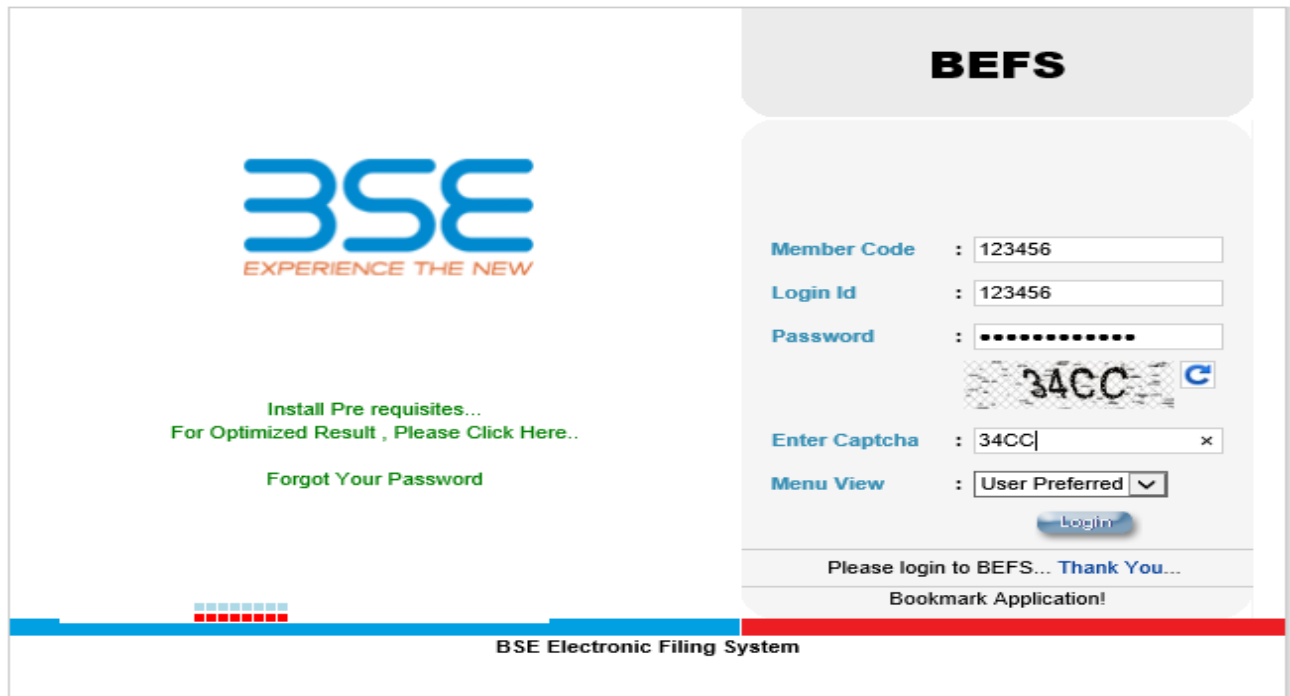
Member User Manual for Cyber Security & Cyber Resilience  
Audit Report (CSAR)

**System Requirements:**

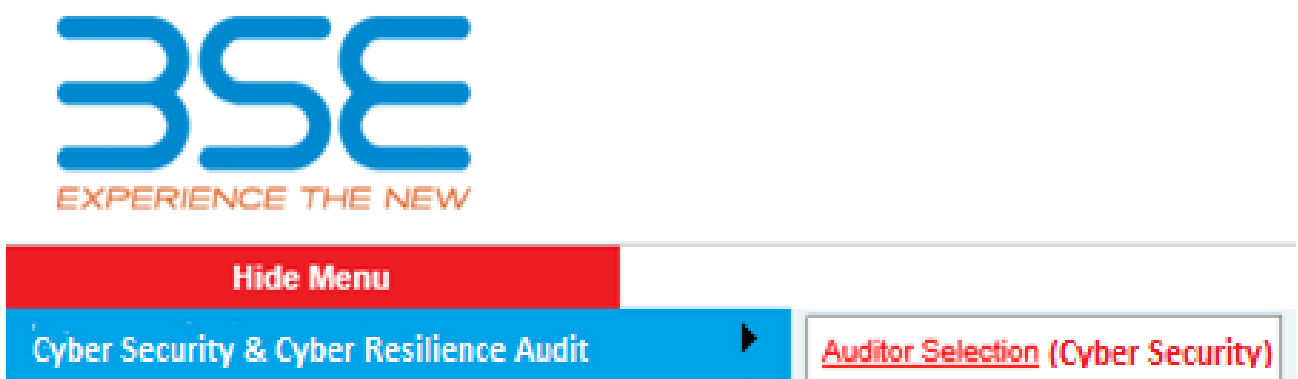
1. Microsoft Excel (version 2007 and above)
2. Only Internet Explorer (version 11 and above) to be used to submit Cyber Security & Cyber Resilience Audit Report.

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

1. Member logs into BEFS on Internet Explorer



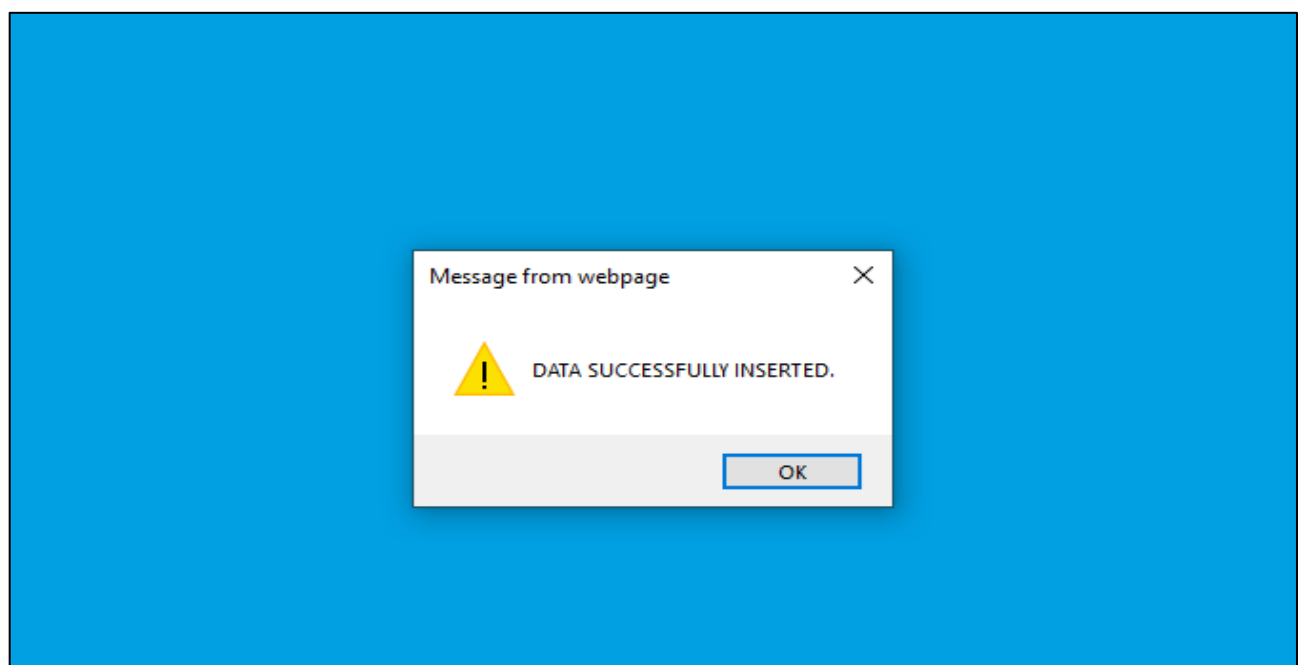
2. Select Cyber Security & Cyber Resilience Audit > Auditor selection (Cyber Security)



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
<b>Member Contact Person's Details</b>	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *: -	1234567890
Contact Person Email *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
<b>Save</b>	

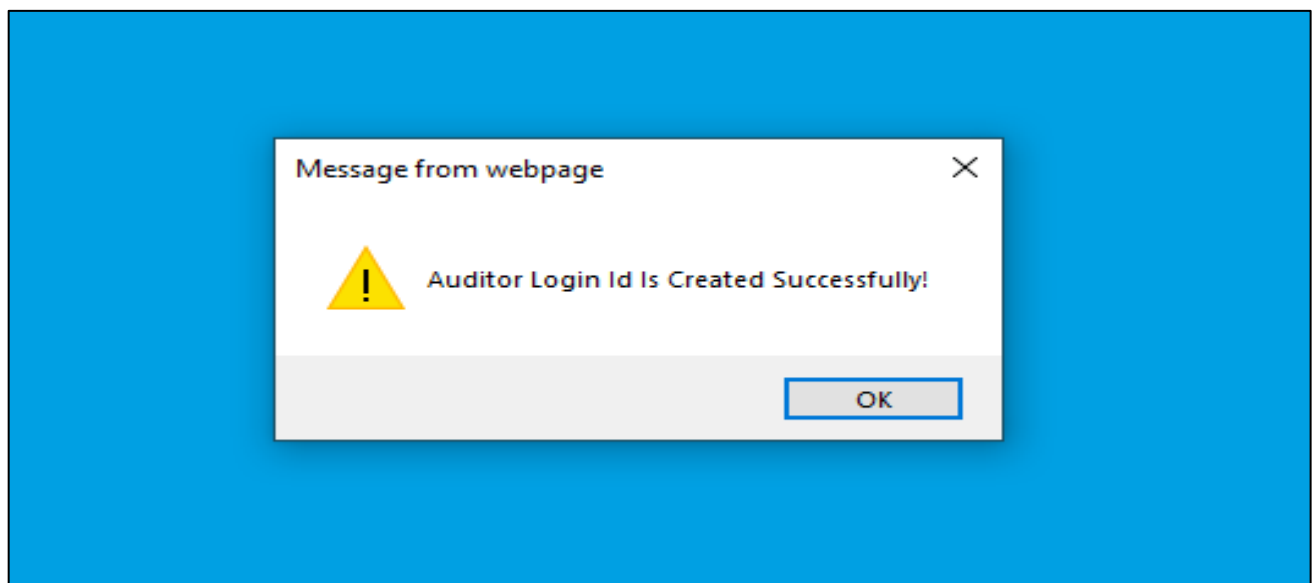
4. Click on 'Save' button and a text box with the message "Data Successfully Inserted" will be displayed.



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
<b>Member Contact Person's Details</b>	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *:-	1234567890
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
<div>UPDATE GENERATE LOGIN ID</div>	


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



7. 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 Registration no(CERT-IN/DISA/CISA/CISSP/CISM) *:-	
PAN no. of the auditor *:-	
Email id of auditor *:-	
Contact no. of auditor *:-	
Address of auditor: *:-	
<b>Member Contact Person's Details</b>	
Contact person Name: *:-	JOSEPHINE BARETTO
Contact person No *:-	1234567890
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
<b>DEACTIVE</b>	

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

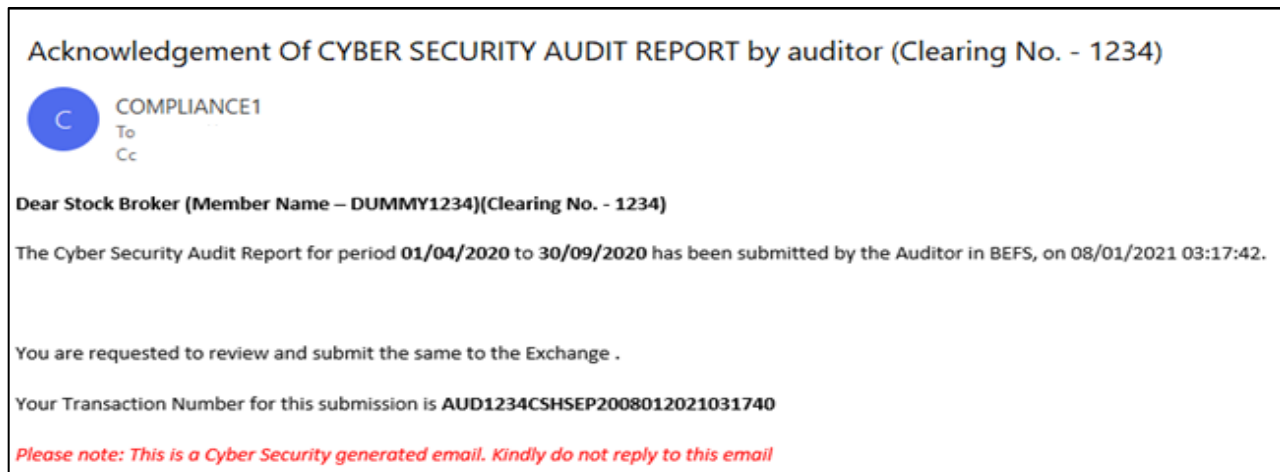
OK

8. 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.

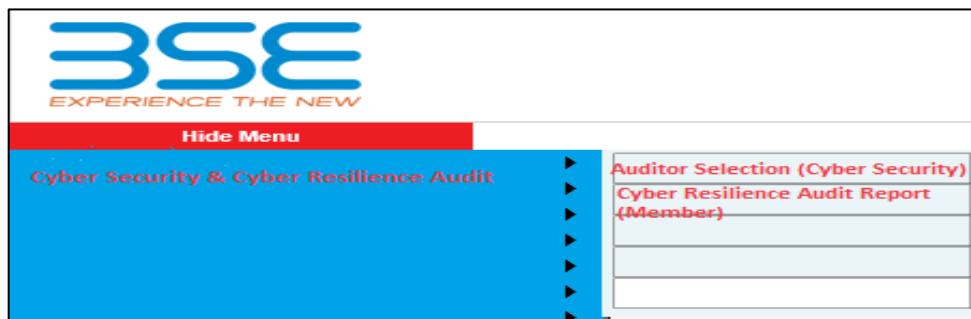
<b>CYBER SECURITY &amp; RESILIENCE - AUDITOR DETAILS</b>			
Member Code	1231	Member Name	DUMMY_1231
Audit period *:-	APR2020-SEP2020		
Audit Mode :-	HALF YEARLY		
<i>NOTE : " Exchange has categorized you as per Audit Mode and Audit Period as mentioned above. In case of any discrepancy, please contact 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		
<b>Member Contact Person's Details</b>			
Contact person Name: *:-	JOSEPHINE BARETTO		
Contact person No *:-	1234567890		
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
<b>DEACTIVE</b>			

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.

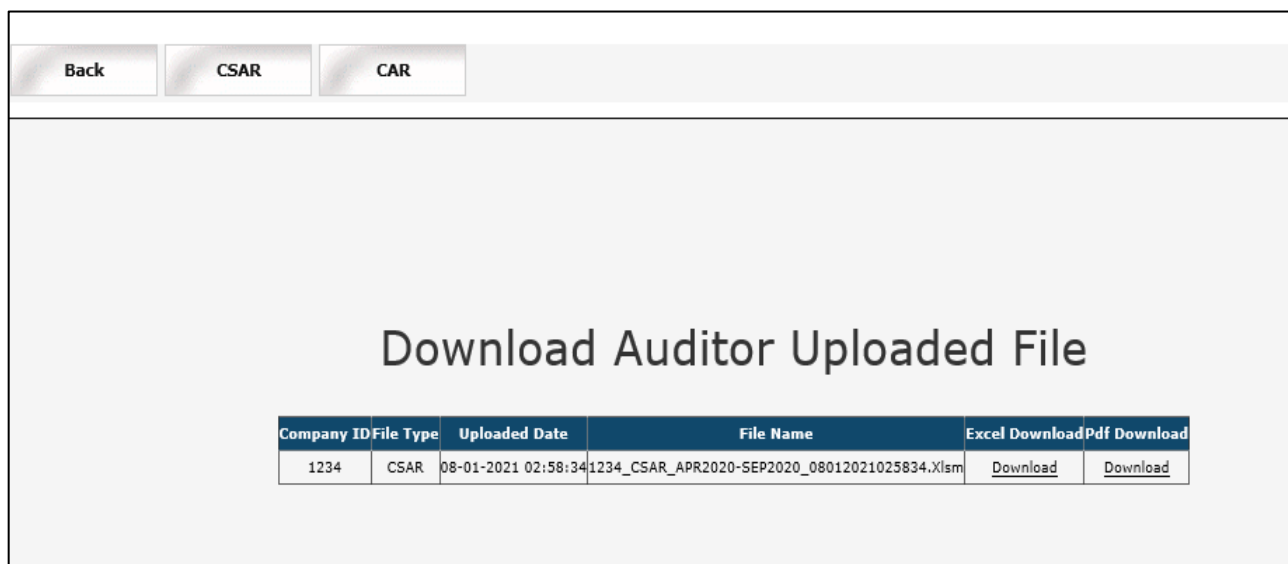
9. The below email is received by the member once the Auditor submits the “CSAR” on BEFS.



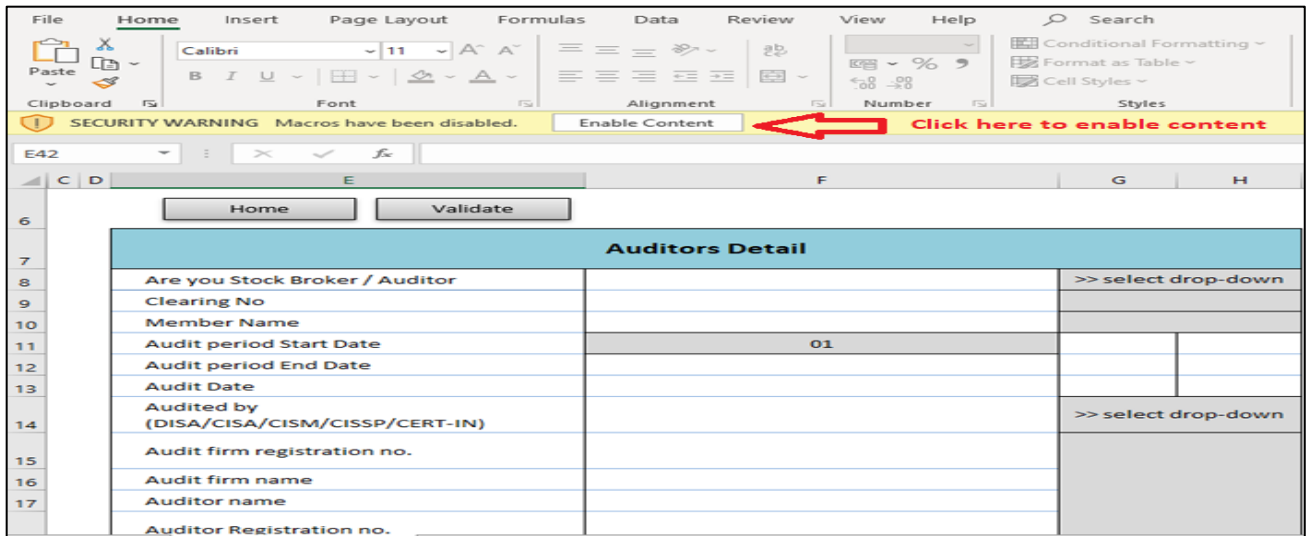
10. Member logs into BEFS from Internet Explorer and selects Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member)



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.

The screenshot shows the 'Auditors Detail' form. At the top, there are 'Home' and 'Validate' buttons. The form contains the following fields and values:

Auditors Detail			
Are you Stock Broker / Auditor	Auditor	>> select drop-down	
Clearing No	Auditor		
Member Name	DUMMY_1234		
Audit period Start Date	01	04	2020
Audit period End Date	30	09	2020
Audit Date	08	01	2021
Audited by (DISA/CISA/CISM/CISSP/CERT-IN)	CERT-IN	>> select drop-down	

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**.

The screenshot shows the BEFS interface. At the top, there are 'Back', 'CSAR', and 'CAR' tabs. A red arrow points to the 'CSAR' tab with the text 'Click here to display the upload window for CSAR Excel Sheet updated with management comments'. Below the tabs, there is a section titled 'Download Auditor Uploaded File' with a table of uploaded files.

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	<a href="#">Download</a>	<a href="#">Download</a>

11. 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.

12. 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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>	<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.

## CSAR

Select File Period Apr2020-Sep2020

Browse...

UPLOAD DATA

Message from webpage

?

Are you sure you want to submit this file.

OK
Cancel

←

After clicking on "Submit" this text box is displayed. Click on "OK" to submit the CSAR PDF file

↓

Click on "Submit" below and a text box to submit will be displayed

## CSAR History

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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>	<input type="checkbox"/>

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

## CSAR

Select File Period Apr2020-Sep2020

Browse...

CSAR In Pdf

X

Browse...

\*Kindly Download Pdf And Print On The Letter Head Of Stock Broker With Sign And Stamp Of Stock Broker And Upload The Same

UPLOAD DATA

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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>	<input type="checkbox"/>

BSE - PUBLIC

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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 the CSAR (Company Share Audit Report) upload interface. At the top, there's a 'Select File Period' dropdown set to 'Apr2020-Sep2020' and a 'Browse...' button. A modal window titled 'File Submitted Successfully!!!!!!' displays the transaction number: 'MEM123408012021043305'. Below the modal is a table with the following data:

Company ID	File Type	Uploaded Date	File Name	BEFS Status	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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	Submitted	<input type="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.

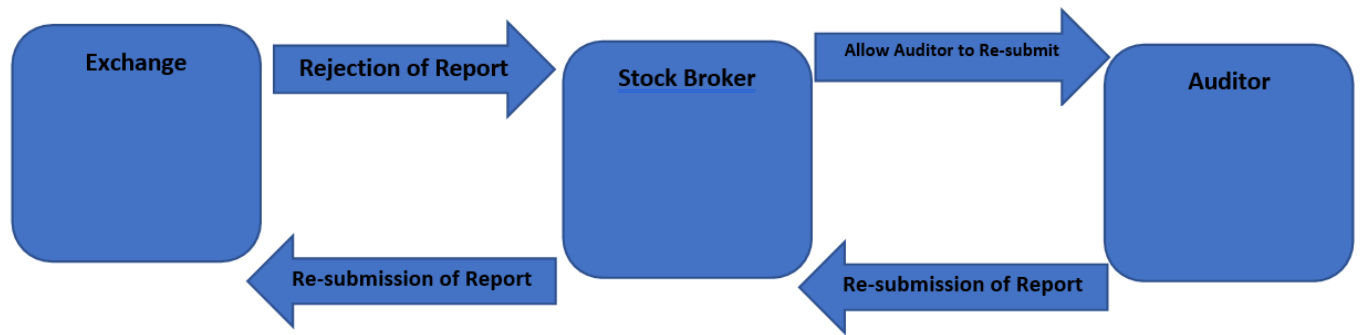
- a. If the member desires to resubmit the audit report due to any reason, then the member is required to email the Exchange requesting to reject the audit report specifying the reason for rejection.



- b. 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.
- c. 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.

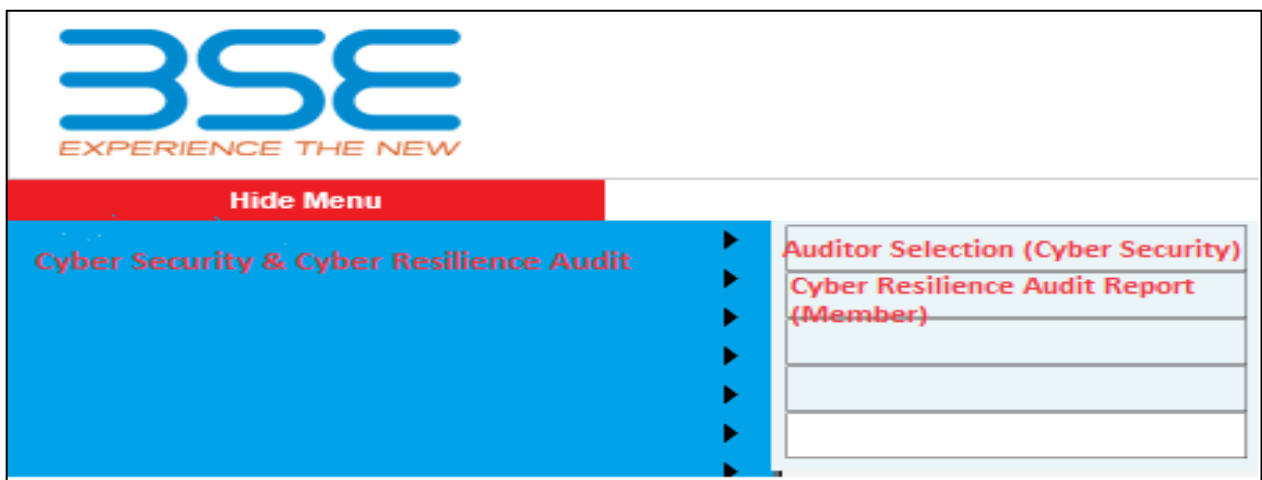
The screenshot shows a 'Message from webpage' dialog box asking: 'Are you sure you want to allow resubmission to auditor?'. Below the dialog is the 'TOR II History' table with the following data:

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	Allow Auditor To Resubmit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020030314.Xlsm	REJECTED	Annexure II Not Signed	17-06-2020 03:13:24	<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	Submitted	<input checked="" type="checkbox"/>



## 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).



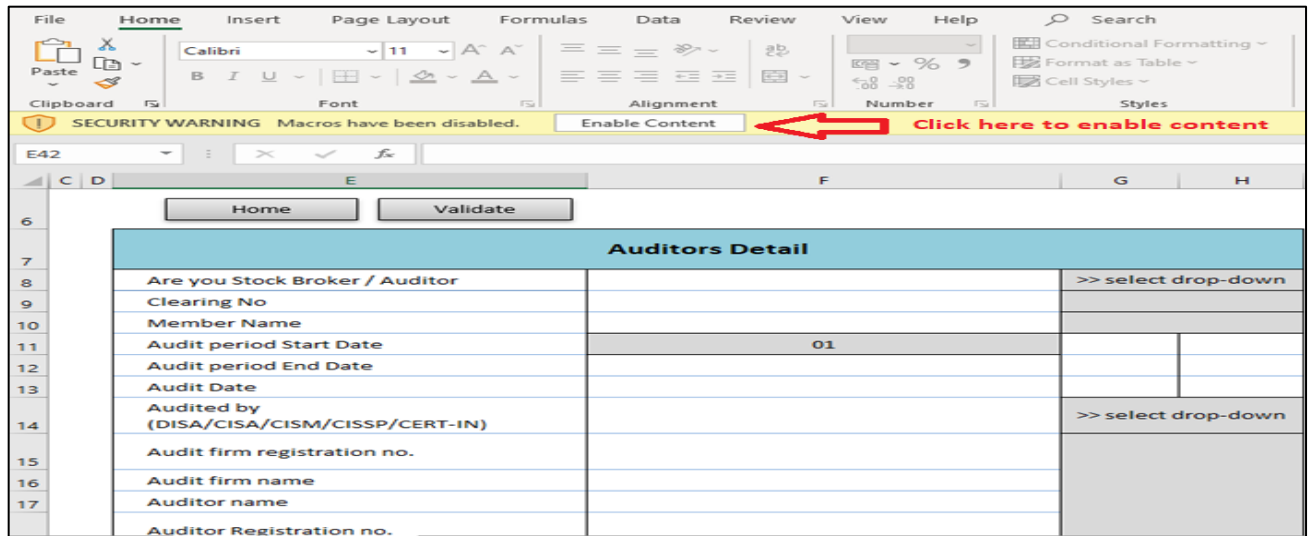
2. Upon selecting Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'FOR Excel Sheet' uploaded by the Auditor.

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	<a href="#">Download</a>	<a href="#">Download</a>
1234	FOR	08-01-2021 04:57:20	1234_FOR_APR2020-SEP2020_08012021045720.Xlsm	<a href="#">Download</a>	<a href="#">Download</a>

- 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'.

Home		Validate	
<b>Auditors Detail</b>			
Are you Stock Broker / Auditor	Stock Broker	> select drop-down	
Clearing No	Auditor		
Member Name	DUMMY_1234		
Audit period Start Date	01	04	2020
Audit period End Date	30	09	2020
Audit Date	08	01	2021
Audited by (DISA/CISA/CISM/CISSP/CERT-IN)	CERT-IN	>> select drop-down	

- 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
<b>III Network Security Management</b>									
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	jfdhdjfhdsj	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	dsfdsf	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)

**FOR**

Select File Period Apr2020-Sep2020 ▼

Browse...

UPLOAD DATA

**FOR History**

No Records Found!

- 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.

**FOR**

Select File Period Apr2020-Sep2020 ▼

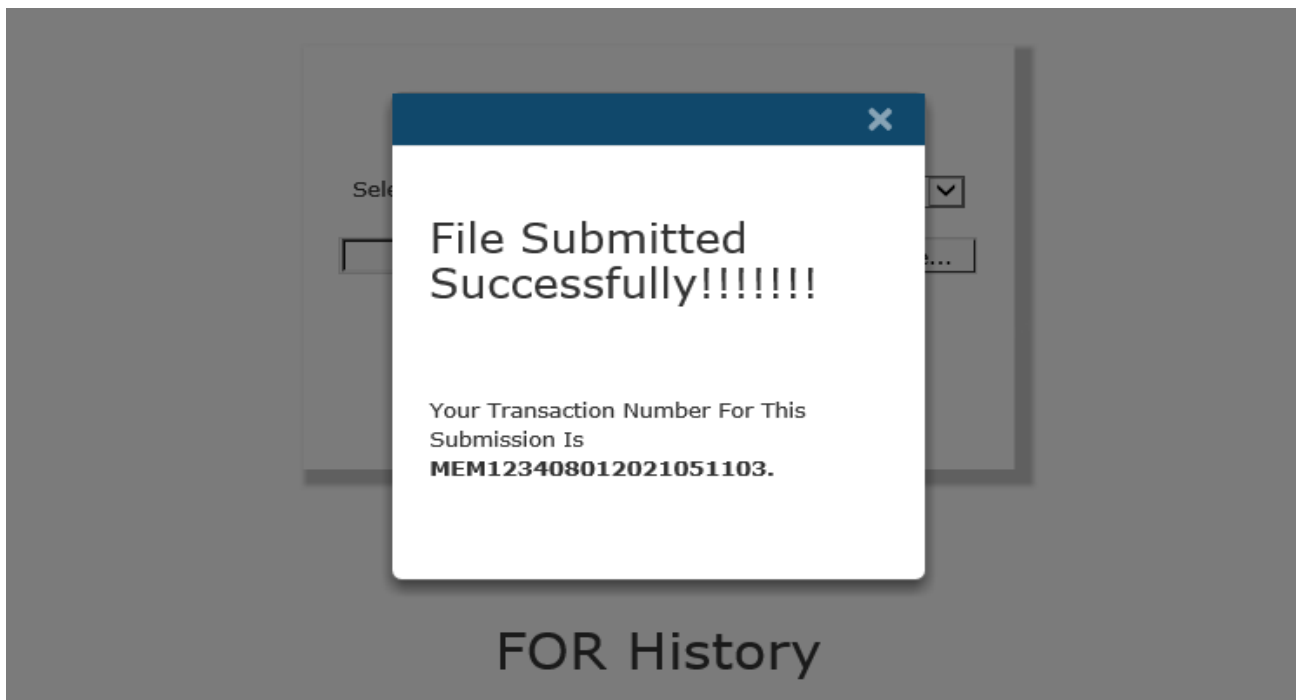
Browse...

DOWNLOAD PDF

**FOR History**

Company	File	Uploaded	File Name	BEFS	BEFS Rejection	Rejected/Accepted	Excel	Pdf	View	Submit	Allow Auditor To
ID	Type	Date		Status	Reason	Date	Download	Download	(CSAR/CAR/FOR)	Submit	Resubmit
1234	FOR	08-01-2021 04:57:20	1234_FOR_Apr2020- Sep2020_08012021050854.Xlsm				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>	<input type="checkbox"/>

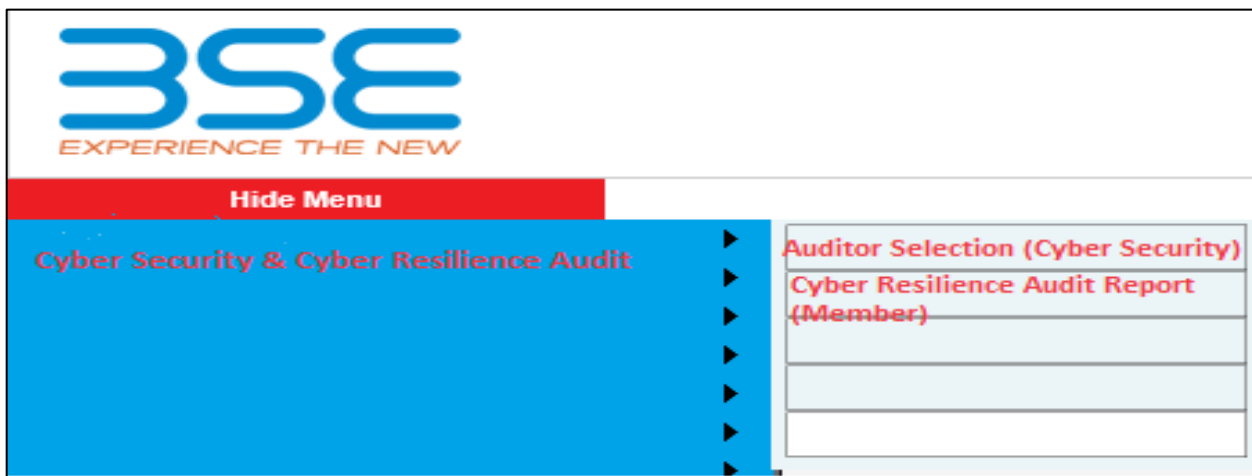
8. After uploading FOR PDF with sign & stamp of the Member or digitally signed by the member, a text box shown below will be displayed. A transaction number is generated for this submission and member will receive an acknowledgement email.



### 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).



- 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	<a href="#">Download</a>	<a href="#">Download</a>

- 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
	CSAR	
	CAR	
	FOR	
	IBT	
		Yes
		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).

Back

TOR II

CAR

Click on CAR Tab

Member ID : 123456

CAR

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

UPLOAD DATA

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

CAR

Select File Period Apr2020-Sep2020

File Submitted Successfully!!!!!!

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

DOWNLOAD PDF

CAR History

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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>



9. 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

**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				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submitted</a>

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