

2023



# BSE Limited

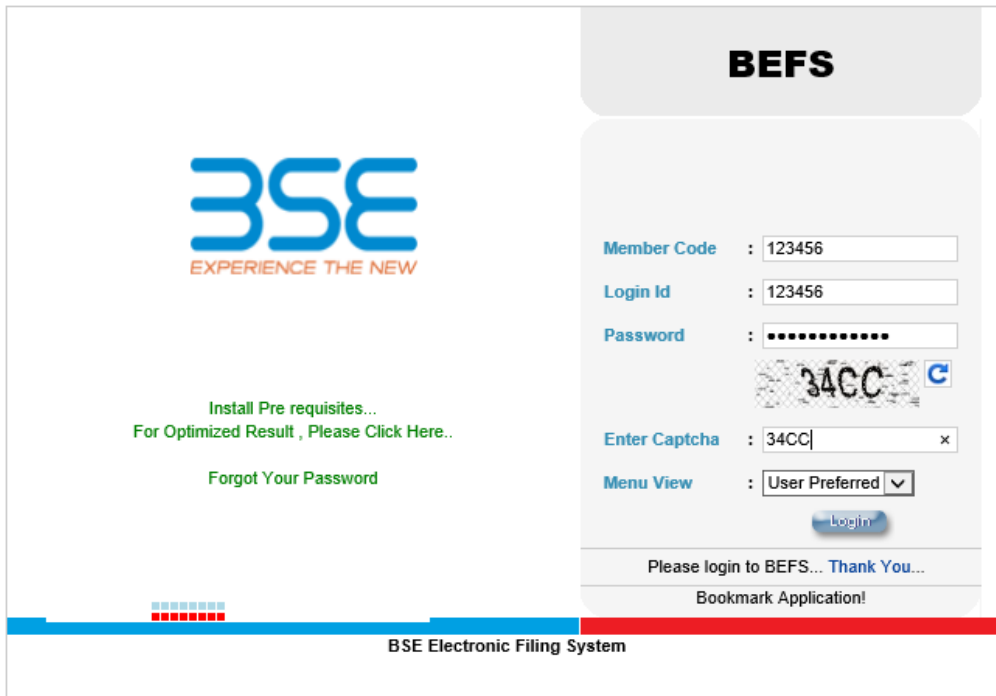
Member User Manual for System Audit Report (SAR)

**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.

**Procedure for submitting the System Audit Report on BEFS by Member:**

1. Member logs into BEFS on Internet Explorer



2. Select System Audit Report > Auditor selection



- Fill 'SAR Auditor Details' screen for selection of auditor and tick on the undertaking for appointing the Audit firm/Auditor. Then click on 'Save' button to submit auditor details.

SAR AUDITOR DETAILS	
Member Code	1231
Member Name	DUMMY_1231
<input type="checkbox"/> *- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:	
Audit Period *:-	SELECT
TOR Type :-	
<i>NOTE : "Exchange Has Categorized You As Per TOR Type And Audit Period Mentioned Above. In Case Of Any Discrepancy, Please Contact Us At Msc@Bseindia.com Or Call On 22728317 / 22728694.</i>	
Audit Firm Name *:-	
Audit Firm Registration No *:-	
Auditor Name *:-	
Qualification *:-	CISA
Auditor Registration No (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: *:-	
Contact Person No *:-	
Contact Person Email *:-	

- The Audit details cannot be saved till the check box for undertaking is ticked. A prompt will be displayed as illustrated below to tick the undertaking.

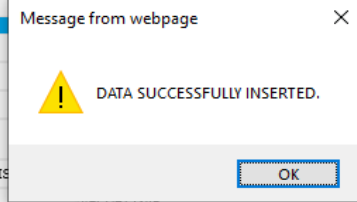
SAR AUDITOR DETAILS	
Member Code	1231
Member Name	DUMMY_1231
<input type="checkbox"/> *- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:	
Audit Period *:-	OCT21 - MAR22
TOR Type :-	TOR III
<i>NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.</i>	
Audit Firm Name *:-	
Audit Firm Registration No *:-	
Auditor Name *:-	
Qualification *:-	
Auditor Registration No(DISA/CISA/CISSP)	
PAN No. Of The Auditor *:-	ABCDE1234
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *:-	9876543210
Address Of Auditor: *:-	ABC,PQR
<b>Member Contact Person's Details</b>	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *:-	9876543210
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
<input type="button" value="SAVE"/>	

Message from webpage

CheckBox selection is Mandatory....!

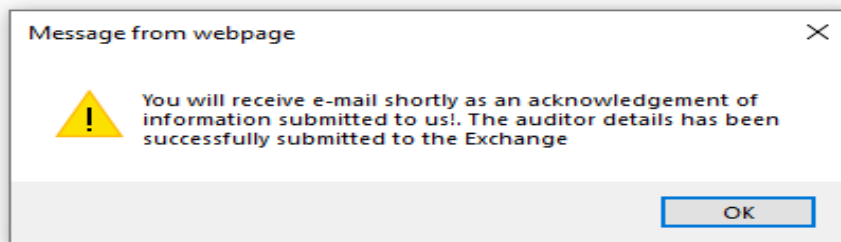
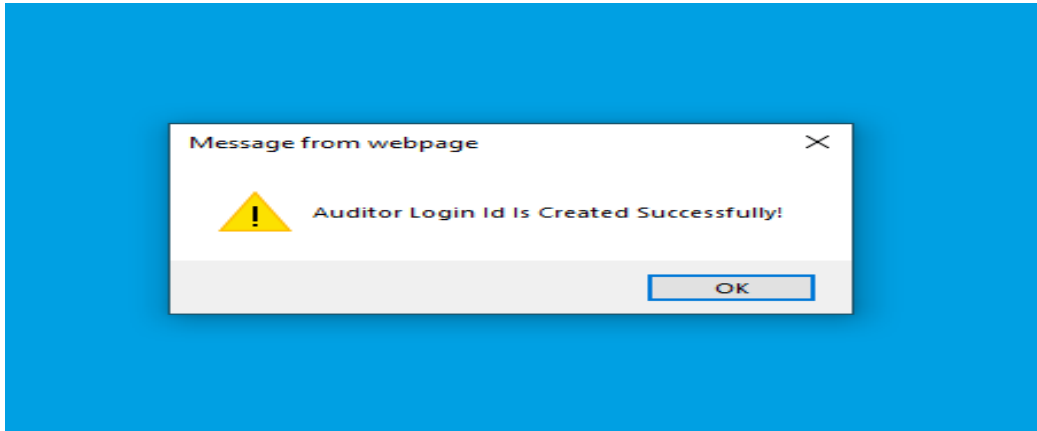
- Once the auditor details are entered and the undertaking check box is ticked, click on 'Save' button after which a text message will be displayed "Data Successfully Saved". Then click on 'Generate Login ID' after which the auditor will receive a mail consisting of Auditor's Login Credentials.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231
<input checked="" type="checkbox"/> *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:			
Audit Period *:-	OCT21 - MAR22		
TOR Type :-	TOR III		
<i>NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.</i>			
Audit Firm Name *:-			
Audit Firm Registration No *:-			
Auditor Name *:-			
Qualification *:-			
Auditor Registration No(DISA/CISA/CISSP/CIS			
PAN No. Of The Auditor *:-	ABCDE1234		
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
Contact No. Of Auditor *:-	9876543210		
Address Of Auditor: *:-	ABC,PQR		
<b>Member Contact Person's Details</b>			
Contact Person Name: *:-	JOSEPHINE BARETTO		
Contact Person No *:-	9876543210		
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
<b>UPDATE</b>		<b>GENERATE LOGIN ID</b>	



- Then click on 'Generate Login ID' then your auditor will receive a mail consisting Auditor's Login Credentials.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231
<input checked="" type="checkbox"/> *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:			
Audit Period *:-	OCT21 - MAR22		
TOR Type :-	TOR III		
<i>NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.</i>			
Audit Firm Name *:-	ABC ASSOCIATES		
Audit Firm Registration No *:-	ABC1234		
Auditor Name *:-	JOSEPHINE BARETTO		
Qualification *:-	DISA		
Auditor Registration No(DISA/CISA/CISSP/CISM) *:-	PQR1234		
PAN No. Of The Auditor *:-	ABCDE1234F		
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
Contact No. Of Auditor *:-	9876543210		
Address Of Auditor: *:-	ABC,PQR		
<b>Member Contact Person's Details</b>			
Contact Person Name: *:-	JOSEPHINE BARETTO		
Contact Person No *:-	9876543210		
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM		
<b>UPDATE</b>		<b>GENERATE LOGIN ID</b>	



- After generating the email ID for auditor 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

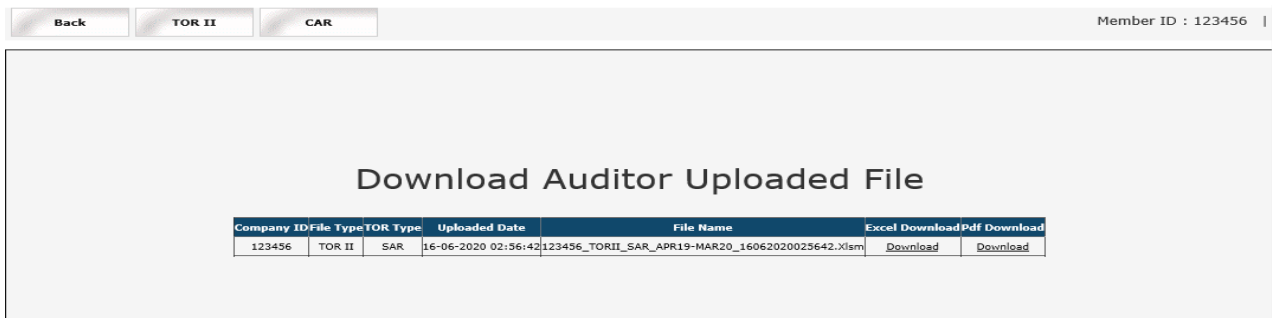
SAR AUDITOR DETAILS	
Member Code	1231
Member Name	DUMMY_1231
<input checked="" type="checkbox"/> *- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:	
Audit period *- :	OCT21 - MAR22
TOR Type :-	TOR III
<i>NOTE : *Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.</i>	
Audit Firm Name *- :	ABC ASSOCIATES
Audit Firm Registration No *- :	ABC1234
Auditor Name *- :	JOSEPHINE BARETTO
Qualification *- :	DISA
Auditor Registration no(DISA/CISA/CISSP/CISM) *- :	PQR1234
PAN no. of the auditor *- :	ABCDE1234F
Email id of auditor *- :	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact no. of auditor *- :	9876543210
Address of auditor: *-:	ABC,PQR
<b>Member Contact Person's Details</b>	
Contact person Name: *-:	JOSEPHINE BARETTO
Contact person No *- :	9876543210
Contact Person Email *-:	JOSEPHINE.BARETTO@BSEINDIA.COM
<input type="button" value="DEACTIVATE"/>	

Here, once the Auditor submits the report following the steps mentioned (Steps 1 to 17) in the Auditor User Manual for System Audit Report (SAR), Member receives an email requesting to review and to enter the management comments to submit the same to the Exchange on their letter head.

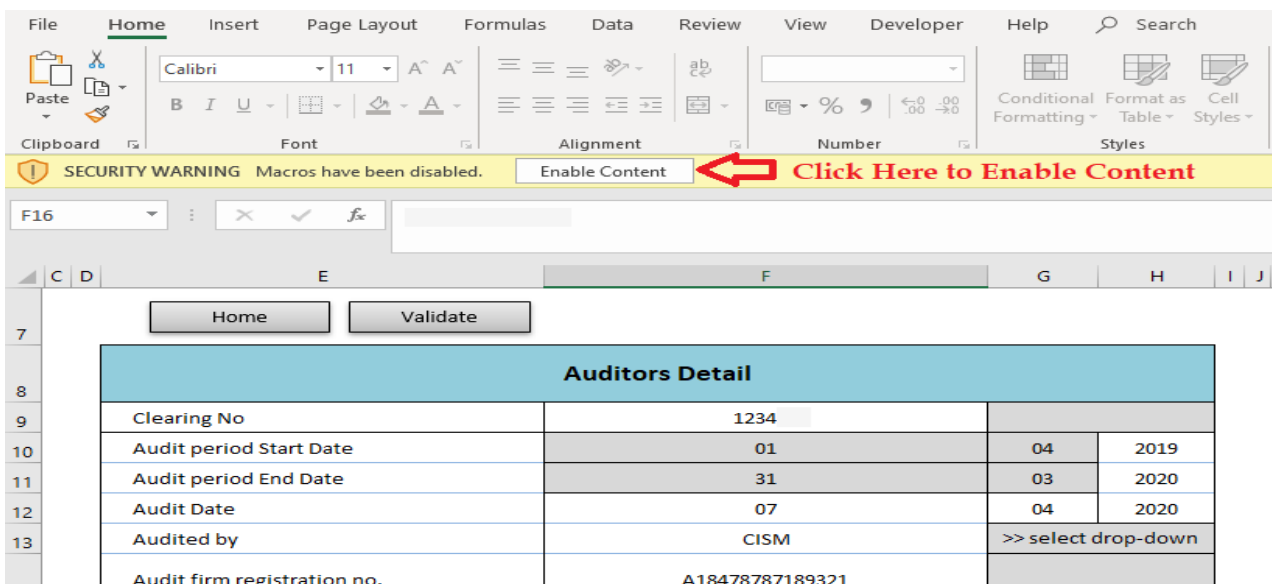
8. Member logs in to BEFS from Internet Explorer
9. Select System Audit Report > System Audit Reporting (Xbrl)



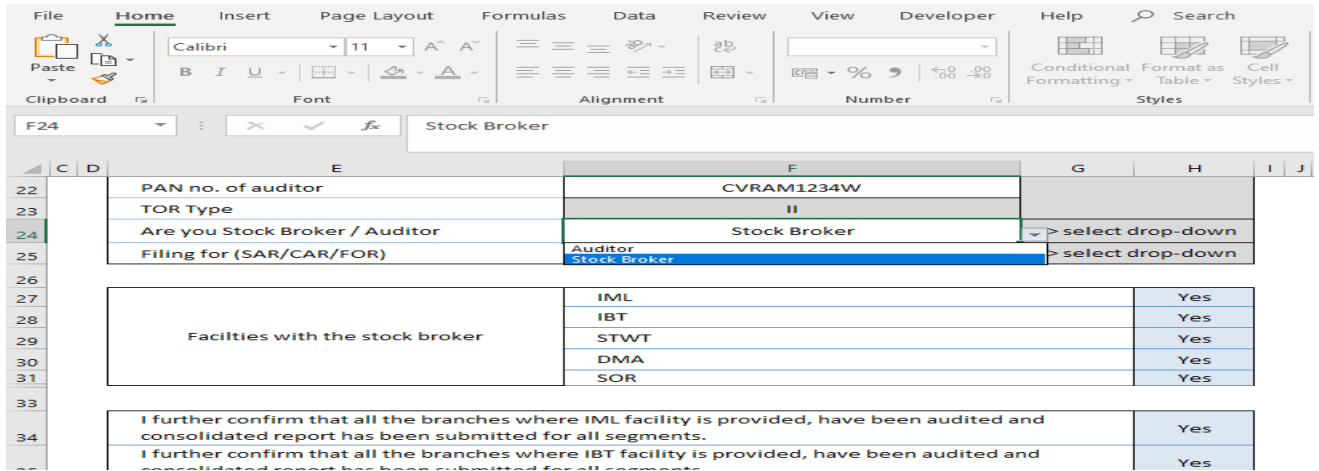
10. Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'TOR EXCEL Sheet' uploaded by the Auditor.



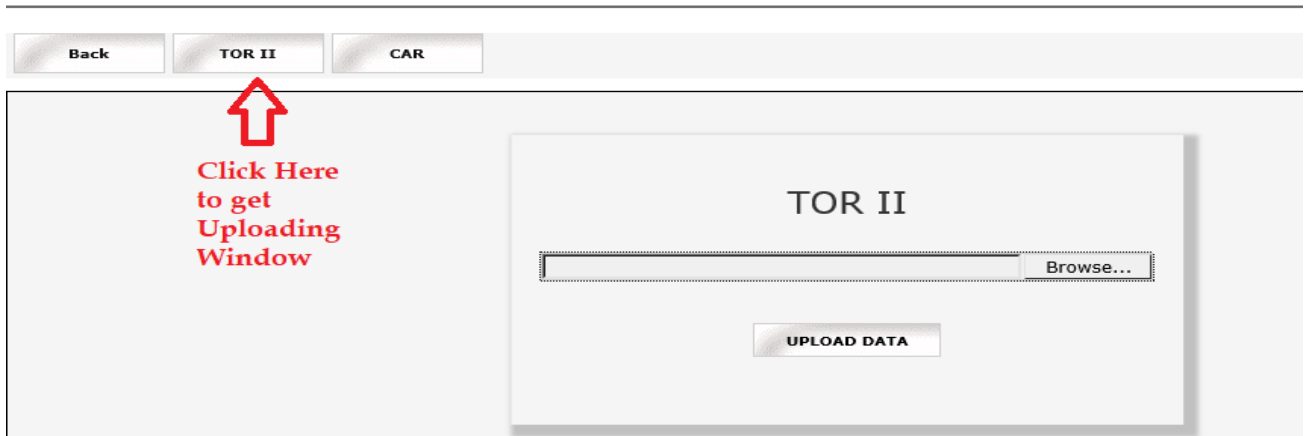
11. Once the auditor uploaded EXCEL file is downloaded and opened, click on 'Enable Content' to enable to macros first.



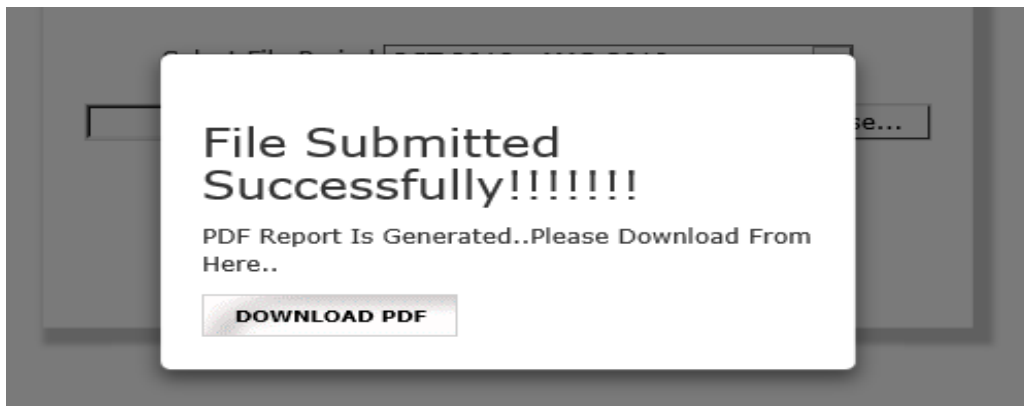
- In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker/ Auditor" option. Then click on 'Validate' to fill management comment. In case of Compliant areas there is no need of Management Comment.



- After successfully filling & validating all the sheets in the TOR EXCEL Sheet, then login to BEFS with Member's login credentials and click on 'TOR' to upload the TOR EXCEL Sheet. After that, select respective submission period. After that click on 'Browse' button and select the filled TOR EXCEL Sheet to upload. Then click on 'Upload Data' to upload file to the Exchange.



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



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

Upload Status: File Is Uploaded Successfully!

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	Submit

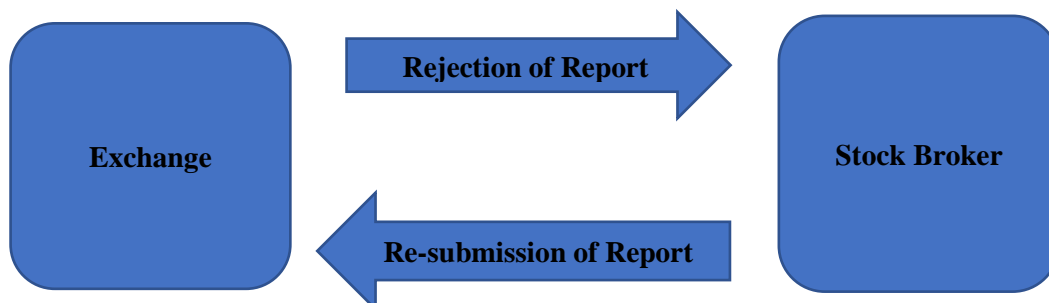
13. After clicking on the "UPLOAD DATA" button, the following text box will be displayed. Member can see a transaction number for this submission. Also, Member will get an email confirmation for this submission.

Upload Status: File Is Uploaded Successfully!

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				Download	Download	View	Submitted	<input type="checkbox"/>

14. **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.

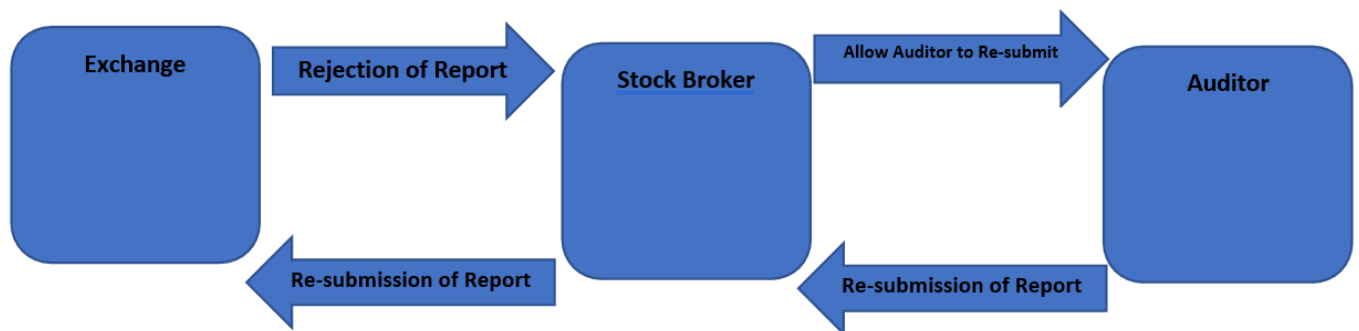
- a. In case where the member has to do changes in the report then it would be mentioned in the rejection email the reason of rejection and the member has to re-submit.





- b. In case where the auditor has to make changes in the report then it would be mentioned in the rejection email the reason of rejection and the Member has to click on the allow auditor to re-submit tick that the auditor can re-submit and the Member can re-submit it to exchange.

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

Here, once the Auditor submits the report following the steps mentioned (Steps 1 to 9) in the Auditor User Manual for System Audit Report (SAR), Member receives an email requesting to review and to enter the management comments to submit the same to the Exchange on their letter head.

1. Member logs in to BEFS on Internet Explorer
2. Select System Audit Report > System Audit Reporting (Xbrl)

**BSE**  
EXPERIENCE THE NEW

Hide Menu

A System Audit Report

System Audit Reporting ( X B R L )

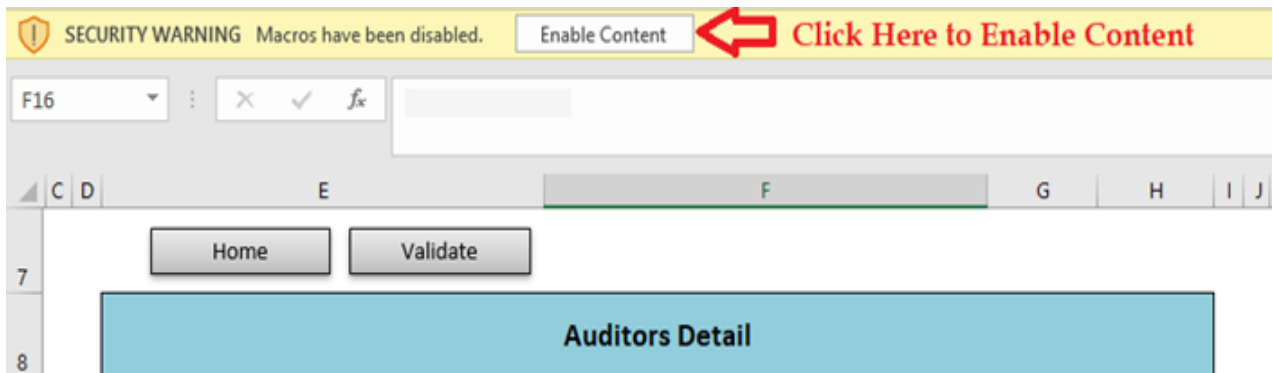
BSE - PUBLIC

- Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'FOR Excel Sheet' uploaded by the Auditor.

### Download Auditor Uploaded File

Company ID	File Type	TOR Type	Uploaded Date	File Name	Excel Download	Pdf Download
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020023211.Xlsm	<a href="#">Download</a>	<a href="#">Download</a>
123456	TOR II	FOR	17-06-2020 06:27:52	123456_TORII_FOR_APR19-MAR20_17062020062752.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.



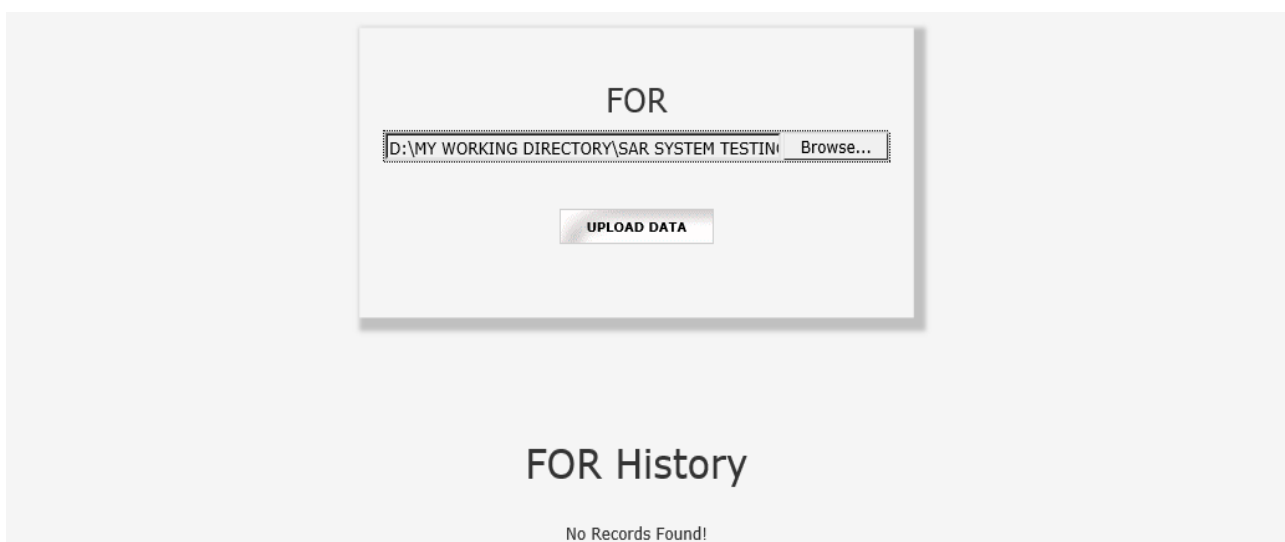
- In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker / Auditor" option. Then click on 'Validate' to fill management comment in case of 'Non-Compliant'.

	C	D	E	F	G	H	I	J
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	Stock Broker		>	select drop-down	
25			Filing for (SAR/CAR/FOR)	Auditor Stock Broker		>	select drop-down	
26								
27			Facilities with the stock broker	IML		Yes		
28		IBT		Yes				
29		STWT		Yes				
30		DMA		Yes				
31		SOR		Yes				

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

	E	F	G	I	J	K	L	M	N	O	P	Q
10		Home	Validate	To be filled by auditor								Member
11	TOR Typ	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
12		1	System controls and capabilities(IML terminals and servers)									
13	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	sacosasoca	Non Compliant	sacosacos	22-04-2020	Auditor	22-04-2020	ABCD

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



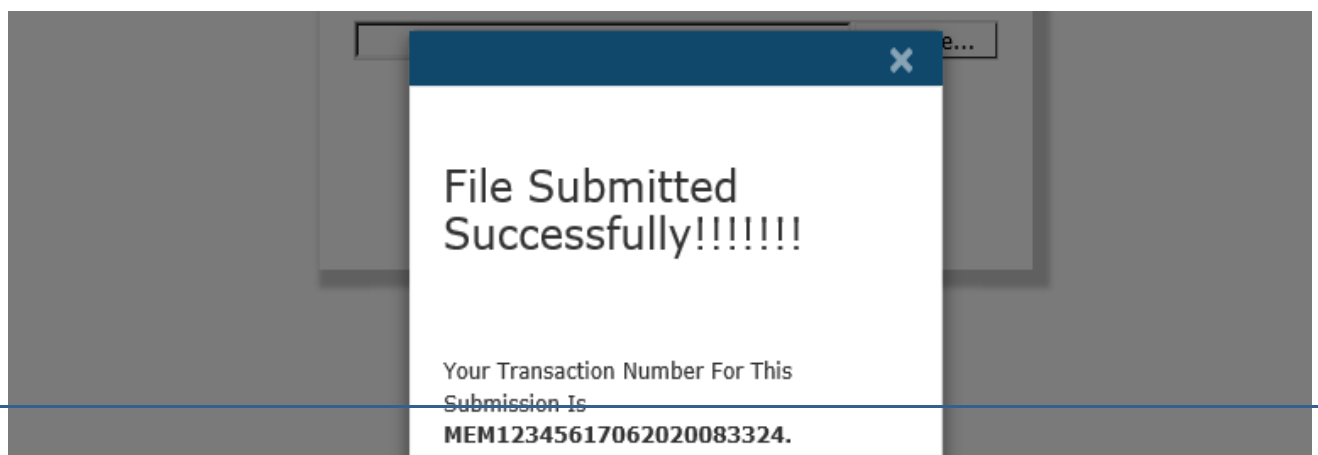
8. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.



9. After printing 'FOR' PDF on the letter head of Member, 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.



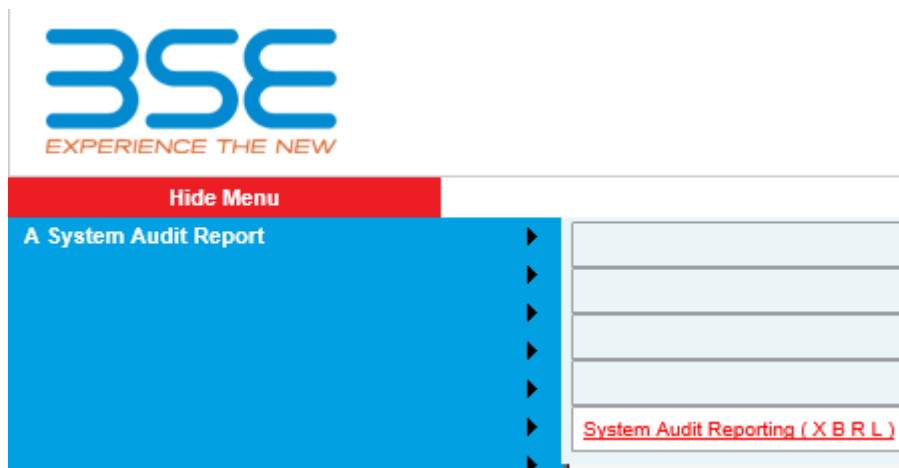
10. After uploading TOR PDF with sign & stamp of the Member, the following text box will be displayed. Member can see a transaction number for this submission and member will receive an acknowledgement mail.



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

Once the Member submits the System Audit Report (TOR) and if the member needs to submit the corrective action report, he would have to refer the steps mentioned below:

1. Member logs in to BEFS on Internet Explorer
2. Select System Audit Report > System Audit Reporting (Xbrl)



3. Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'TOR EXCEL Sheet' uploaded by the Auditor.

Back TOR II CAR Member ID : 123456 |

### Download Auditor Uploaded File

Company ID	File Type	TOR Type	Uploaded Date	File Name	Excel Download	Pdf Download
123456	TOR II	SAR	16-06-2020 02:56:42	123456_TORII_SAR_APR19-MAR20_16062020025642.Xlsm	<a href="#">Download</a>	<a href="#">Download</a>

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

	C	D	E	F	G	H	I	J
18			Email id of auditor	manish@mnmassociate.com				
19			Contact no. of auditor	1234567890				
20			Address of audit firm	VIVEK-2,GROUND FLOOR				

5. In CAR sheet, kindly fill in the below mentioned details and click on **‘Validate’** and then save the file.

TOR Type		TOR Clause	Observation raised(TOR 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
		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.	April 2019 to March 2020	07-04-2020	Compliant	22-05-2020	ABCD	

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

Back
TOR II
CAR

**Click on CAR Tab**

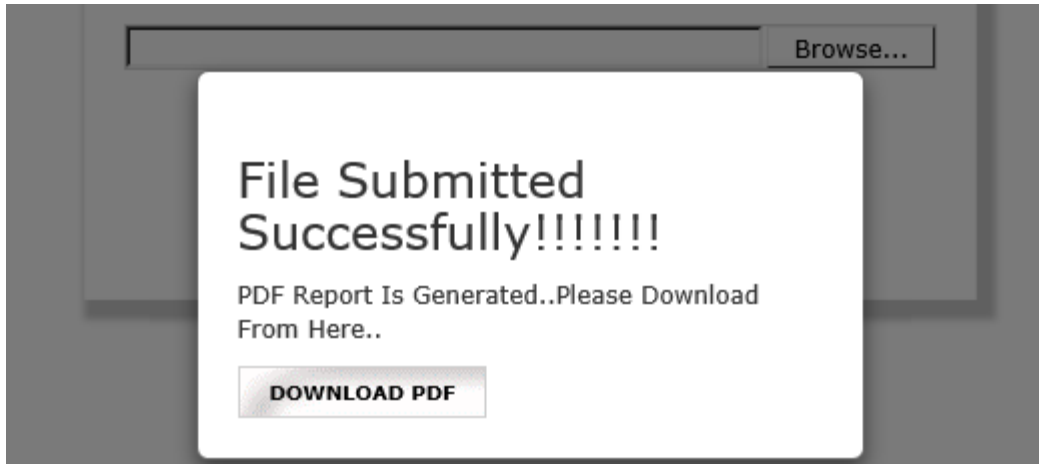
Member ID : 123456

## CAR

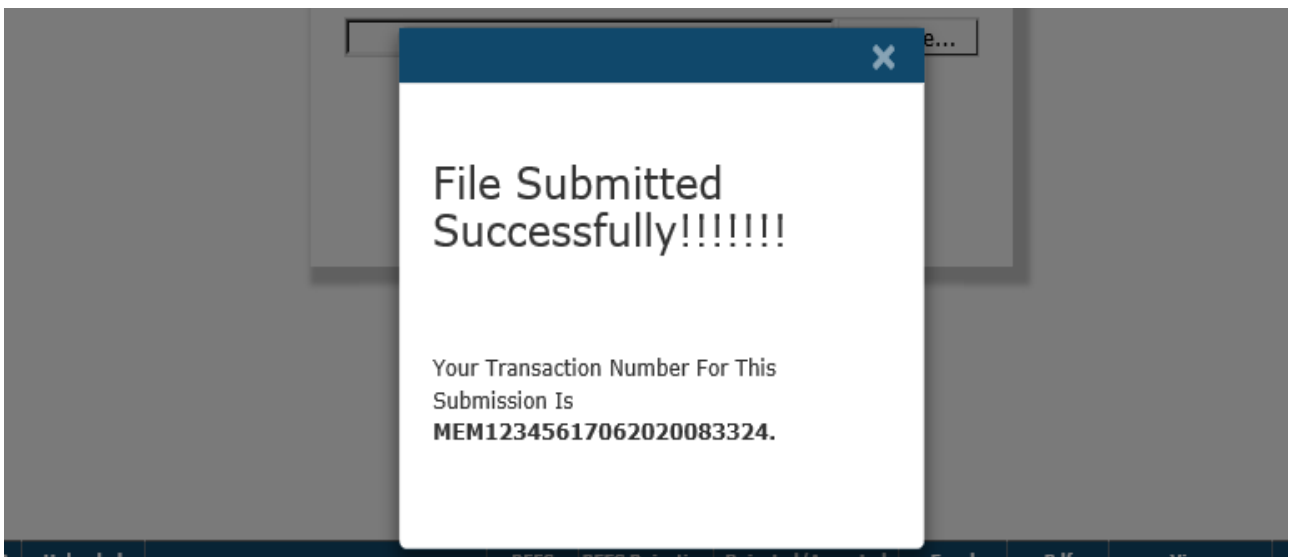
D:\MY WORKING DIRECTORY\SAR SYSTEM TES Browse...

UPLOAD DATA

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



11. 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.



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