2024

BSE
The Power of Vibrance

BSE Limited

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

<u>**System Requirements:**</u>
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
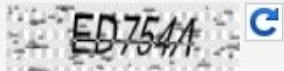
2. Select Cyber Security & Cyber Resilience Audit > Auditor selection (Cyber Security)
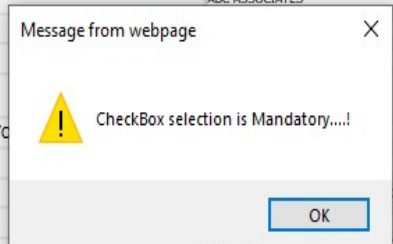

3. Fill **'Cyber Security & Resilience - Auditor Details'** screen for selection of auditor and tick on the undertaking for appointing the Audit firm/Auditor. Then click on 'Save' button to submit auditor details.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_123:

☐   *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the Cyber Security & Cyber Resilience Audit as per details provided below:

Audit Period *: -	SELECT ▼
Audit Mode : -	

NOTE : "Exchange has categorized you as per Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call or 22728317 / 22728694.

Audit Firm Name *: -	
Audit Firm Registration No *: -	
Auditor Name *: -	
Qualification *: -	Select ▼
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: *:-	
Member Contact Person's Details	
Contact Person Name: *:-	
Contact Person No *: -	
Contact Person Email *:-	

4. 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.
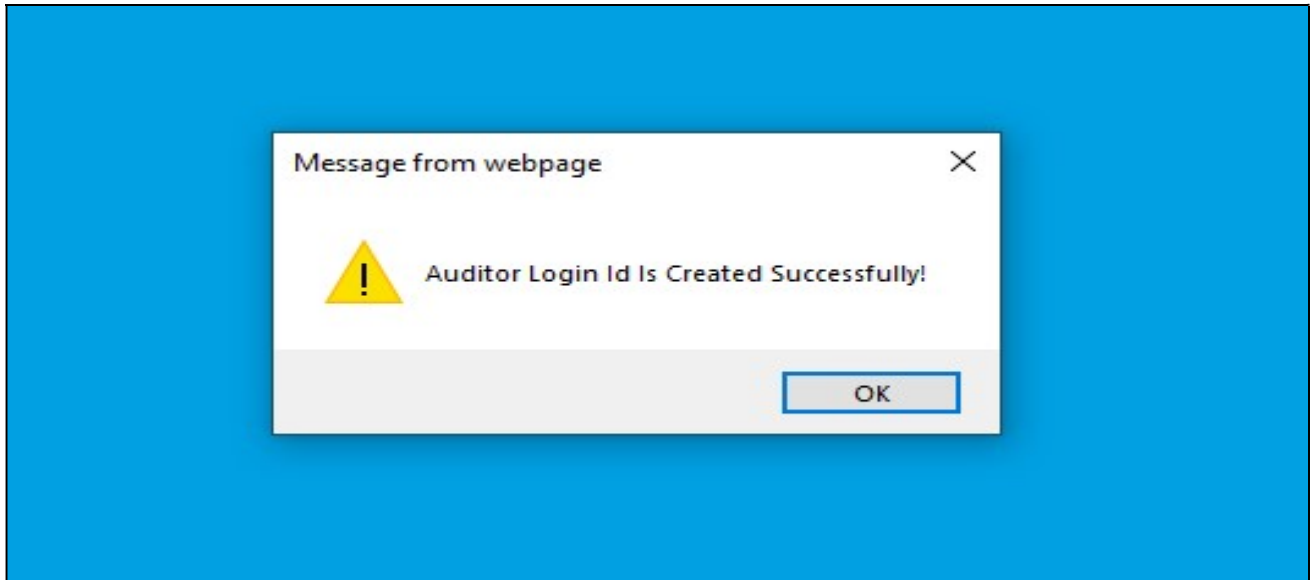

5. Once the auditor details are entered and the undertaking check box is ticked, click on 'Save' button after which a text message will be displayed "Data Successfully Saved". Then click on 'Generate Login ID' after which the auditor will receive a mail consisting of Auditor's Login Credentials.

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

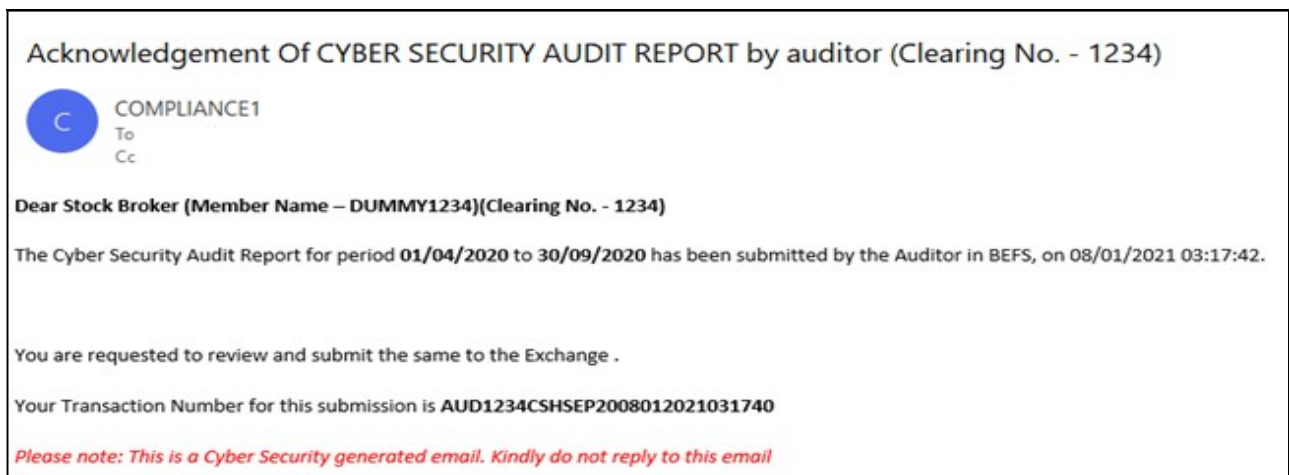7. The Auditor will receive an email with Auditor's login credentials.

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.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☑ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the Cyber Security & Cyber Resilience Audit as per details provided below:

Audit period *: -	OCT2021-MAR2022 ∨
Audit Mode : -	**HALF YEARLY**

NOTE : "Exchange has categorized you as per Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.

Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC1234
Auditor Name *: -	JOSEPHINE BARETTO
Qualification *: -	CISA ∨
Auditor Registration no(CERT-IN/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

Member Contact Person's Details

Contact person Name: *:-	JOSEPHINE BARETTO
Contact person No *: -	9876543210
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.

Acknowledgement Of CYBER SECURITY AUDIT REPORT by auditor (Clearing No. - 1234)

C   COMPLIANCE1
To
Cc

Dear Stock Broker (Member Name – DUMMY1234)(Clearing No. - 1234)

The Cyber Security Audit Report for period **01/04/2020** to **30/09/2020** has been submitted by the Auditor in BEFS, on 08/01/2021 03:17:42.

You are requested to review and submit the same to the Exchange .

Your Transaction Number for this submission is **AUD1234CSHSEP20080120210317:40**

Please note: This is a Cyber Security generated email. Kindly do not reply to this email

10. Member logs into BEFS from Internet Explorer and selects Cyber Security & Cyber Resilience Audit > Cyber Resilience Audit Report (Member)
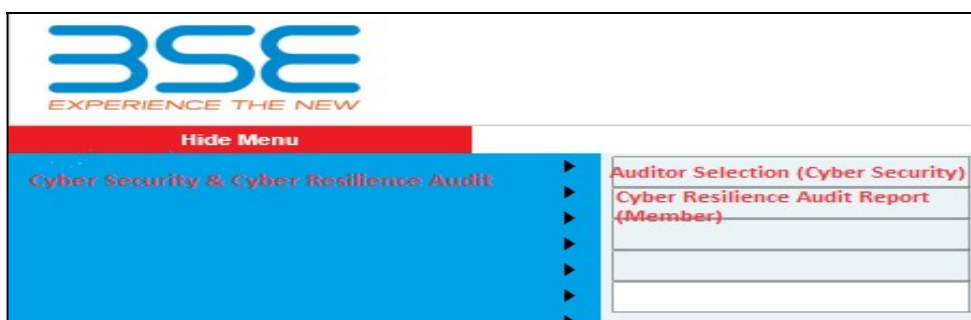
11. Upon selecting Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'CSAR Excel Sheet' uploaded by the Auditor.

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

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.**

Auditors Detail			
Home	Validate		
Are you Stock Broker / Auditor	Auditor	> select drop-down	
	Auditor		
	Stock Broker		
Clearing No			
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**.

Back   CSAR   CAR

Click here to display the upload window for CSAR
Excel Sheet updated with management comments

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

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.

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.

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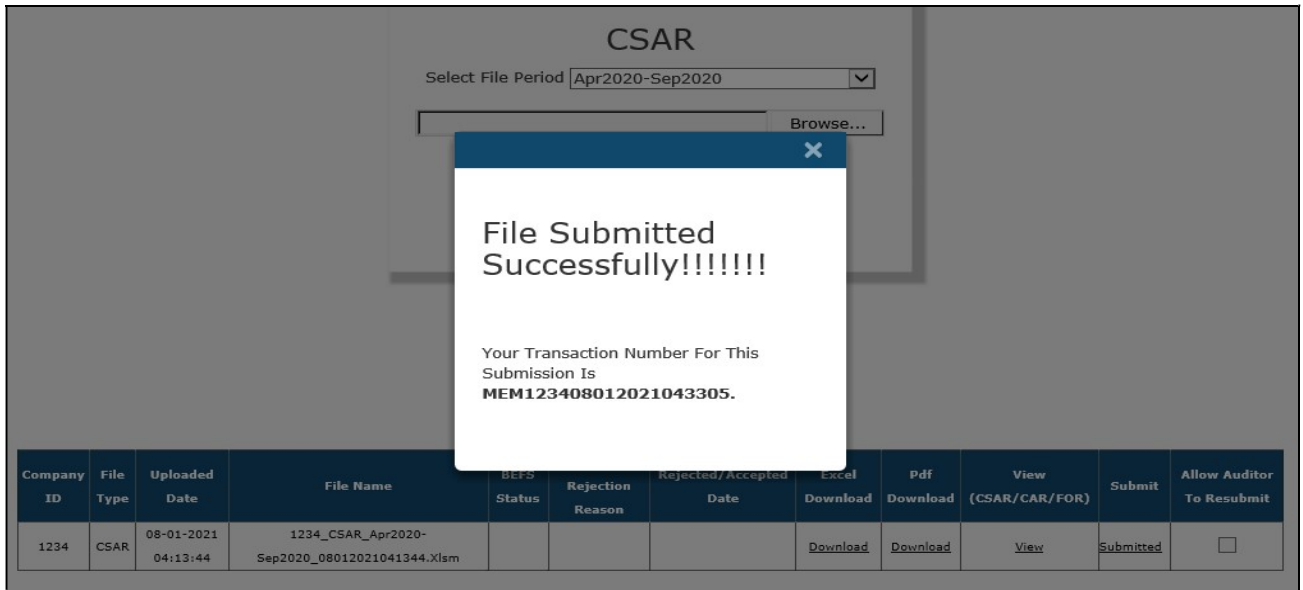

15. After clicking on the **"UPLOAD DATA"** button, the following text box will be displayed. Member can see a transaction number for this submission. Also, Member will get an email confirmation for this submission.

CSAR

Select File Period [Apr2020-Sep2020 ▼]

[_____] [Browse...]

File Submitted Successfully!!!!!!!

Your Transaction Number For This Submission Is
MEM123408012021043305.

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				Download	Download	View	Submitted	☐

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.

Message from webpage ✕

? Are you sure you want to allow resubmission to auditor?

[OK] [Cancel]

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	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	Download	Download	View	Submitted	☑

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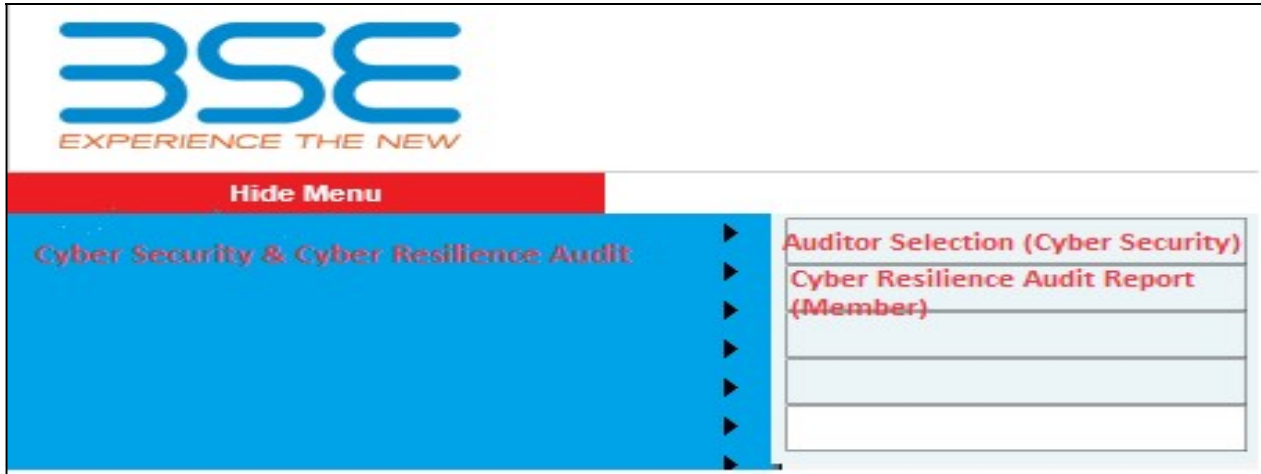
2. Upon selecting Cyber Resilience Audit Report (Member), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'EXCEL Sheet'.

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

CSAR	
CAR	
FOR	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 Brocker					
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...

13

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				Download	Download	View	Submit

1. 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

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