

2023



# BSE Limited

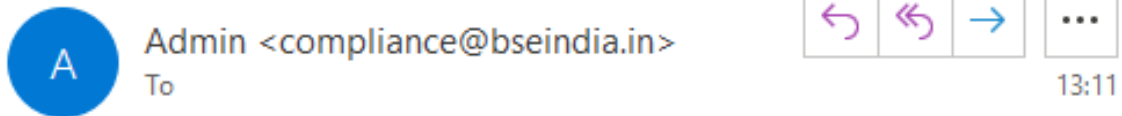
Auditor User Manual for System Audit Report (SAR)

**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.

TEST2

**BEFS**

**BSE**  
The Power of Vibrance

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

Forgot Your Password

Member Code : 1234

Login Id : 1234SARSEP23

Password : .....

Enter Captcha : C8237E

Menu View : User Preferred

login

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'.

Hide Menu

Auditor Details (ADMIN) ▶

Auditor Confirmation (SAR)

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

SAR AUDITOR DETAILS	
Audit Period *:-	APR19 - MAR20 ▼
TOR Type :-	<b>TOR II</b>
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

SAR AUDITOR DETAILS	
Audit Period *:-	APR19 - MAR20 ▼
TOR Type :-	<b>TOR II</b>
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

PRINT

- 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 :-	<b>TOR II</b>
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..."/> <span style="color: red;">File Nomenclature :: 123456_TORII_UND_MAR20.PDF</span> <span style="color: red;">123456_TORII_UND_MAR20.PDF</span>

**AUDITOR REQUEST IS SUBMITTED**

Message from webpage

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

**BSE**  
The Power of Vibrance

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

Forgot Your Password

Member Code :

Login Id :

Password :

Enter Captcha :

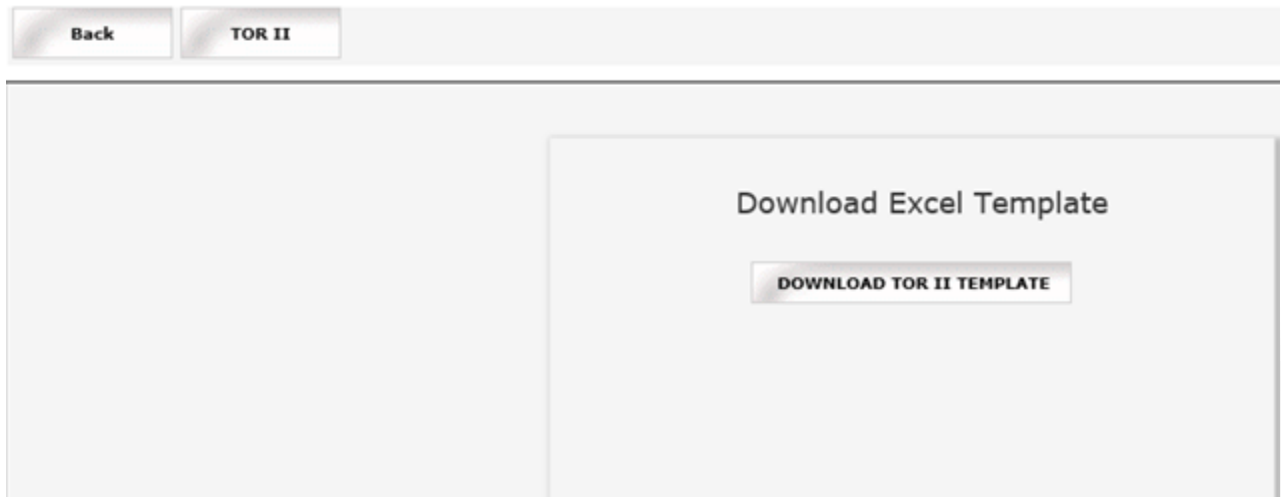
Menu View : User Preferred ▼

you...

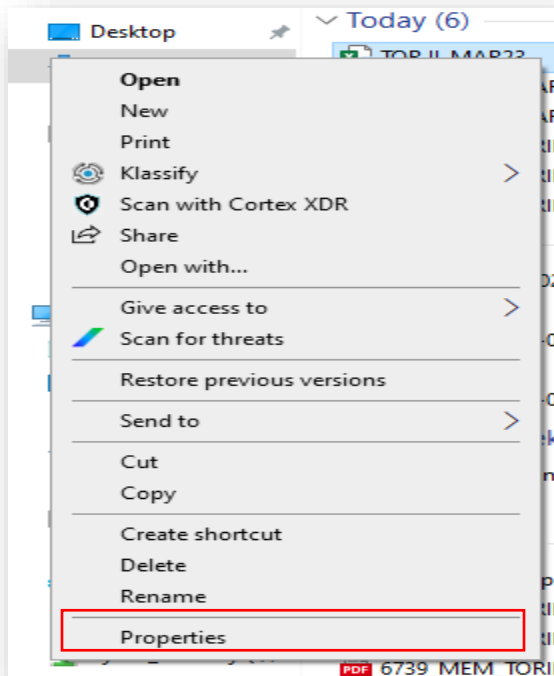
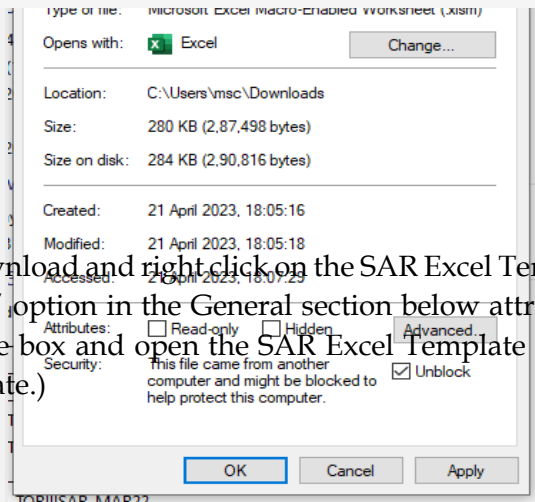
Bookmark Application!

BSE Electronic Filing System

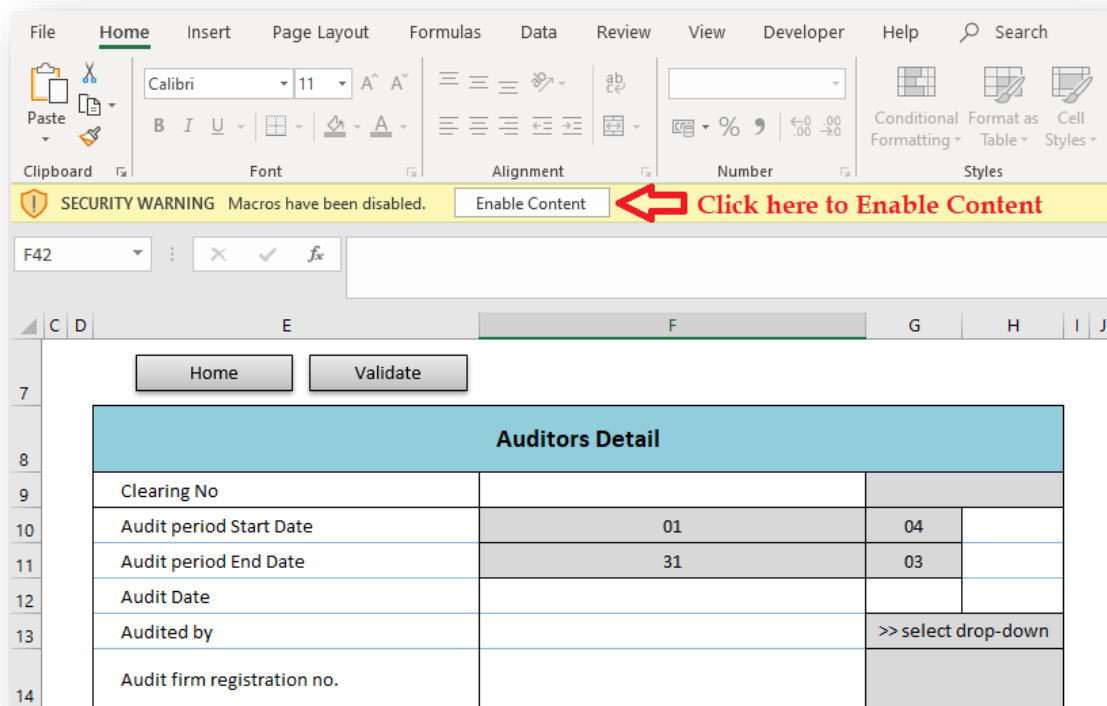
- Click on 'Auditor Details' > System Audit Reporting. Download the Excel Template and fill in the required details.



10. After downloading the SAR Excel Template go to download and right click on the SAR Excel Template then go into properties, there you will see “unblock” option in the General section below attributes, click on the unblock box → Apply close the dialogue box and open the SAR Excel Template (These steps will enable the Editing in the SAR Excel Template.)



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



12. 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.

C	D	E	F	G	H	I	J
18		Email id of auditor					
19		Contact no. of auditor					
20		Address of audit firm					
21		Designation of auditor					
22		PAN no. of auditor					
23		TOR Type	II				
24		Are you Stock Broker / Auditor	Auditor				> select drop-down
25		Filing for (SAR/CAR/FOR)	Auditor Stock Broker				> select drop-down
26							
27		Facilities with the stock broker	IML				
28			IBT				
29			STWT				
30			DMA				
31			SOR				

13. 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	<input type="button" value="Home"/> <input type="button" value="Validate"/>				
11	<b>Audit TOR Clause</b>	<b>Details</b>	<b>Audit Date</b>	<b>Audited by</b>	<b>Observation no</b>
12	<b>1</b>	<b>System controls and capabilities(IML terminals and servers)</b>			
13	<b>1a</b>	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

14. 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

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**Step 3: Validate All Sheets**

**3**

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**Step 4: Generate XML/XBRL**

**4**


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**Step 5: Generate Report**

**5**



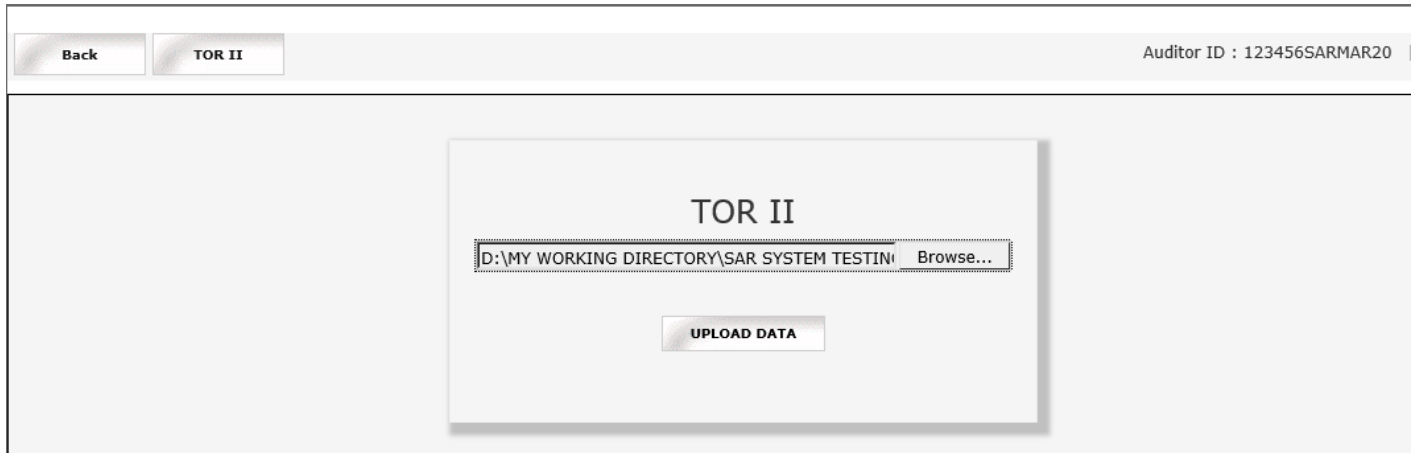
**BSE**  
EXPERIENCE THE NEW



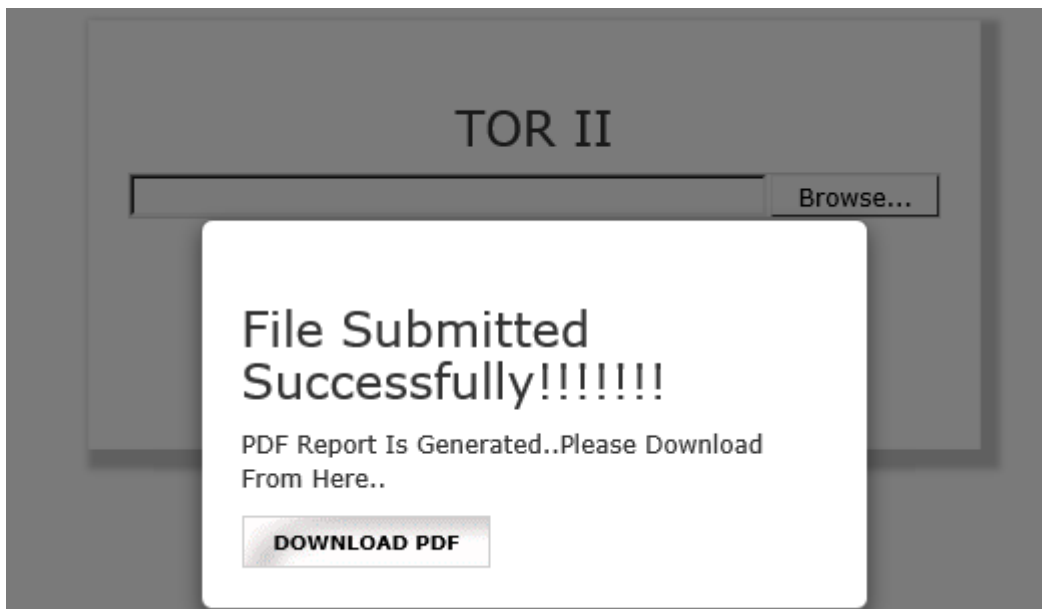
**MICROVISTA**  
TECHNOLOGIES



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



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



17. 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.

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

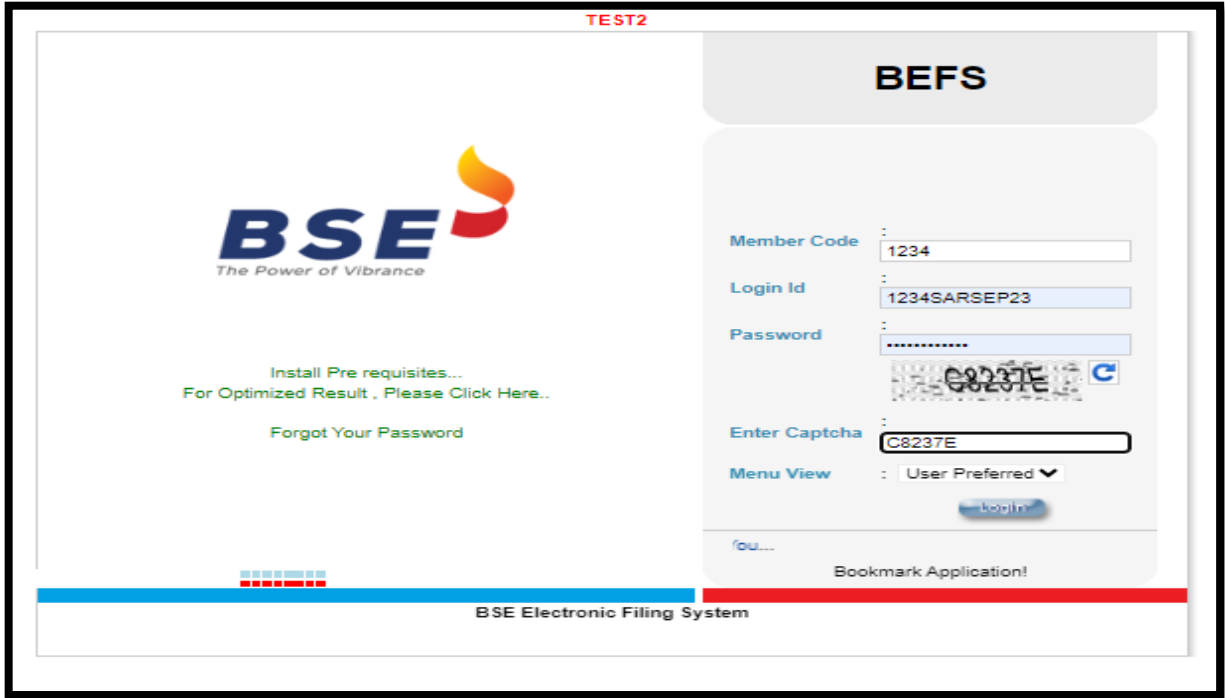
18. After uploading TOR PDF with sign & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive acknowledgement mail to process further.

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

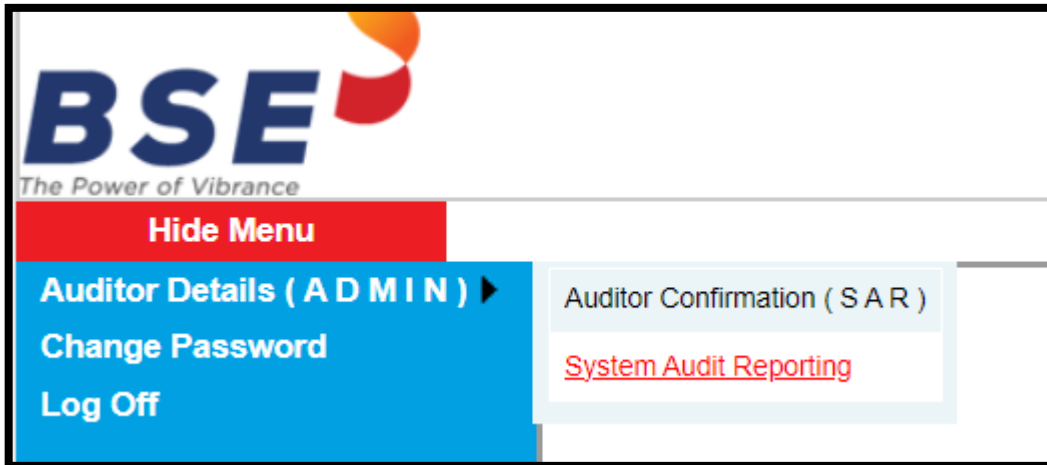
### Follow On Report (FOR) Submission from Auditor Login

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



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

## TOR II

Download the Excel Template

### TOR II History

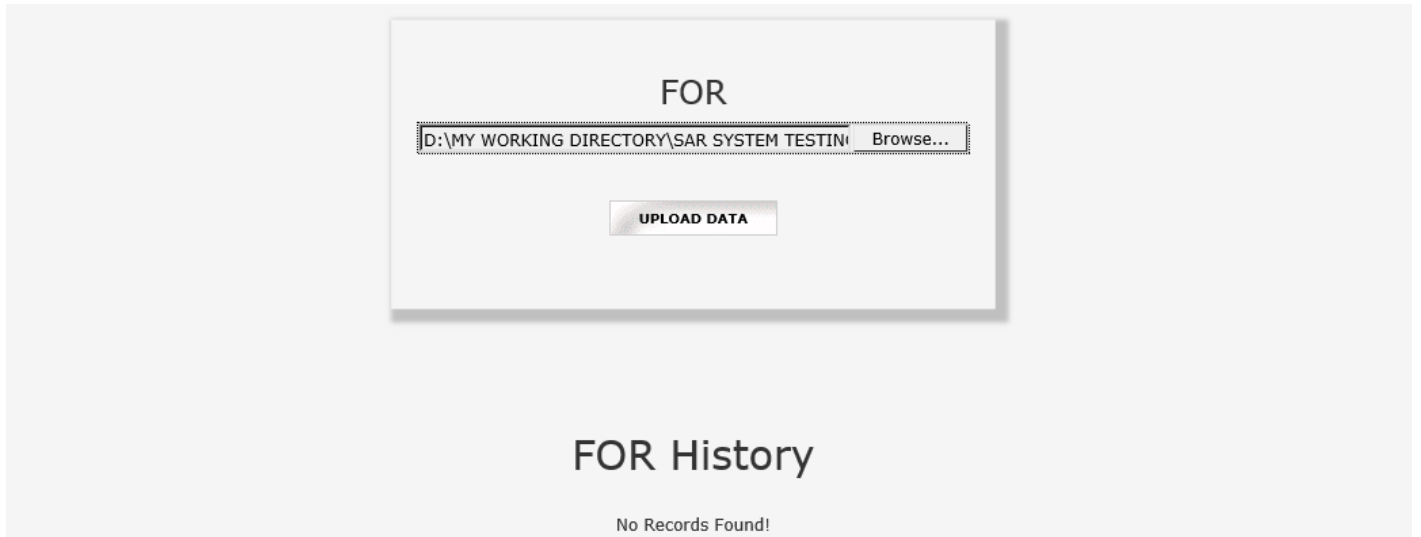


Company ID	File Type	TOR Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (SAR/CAR/FOR)	Submit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020023211.Xlsm				Download	Download	View	Submitted

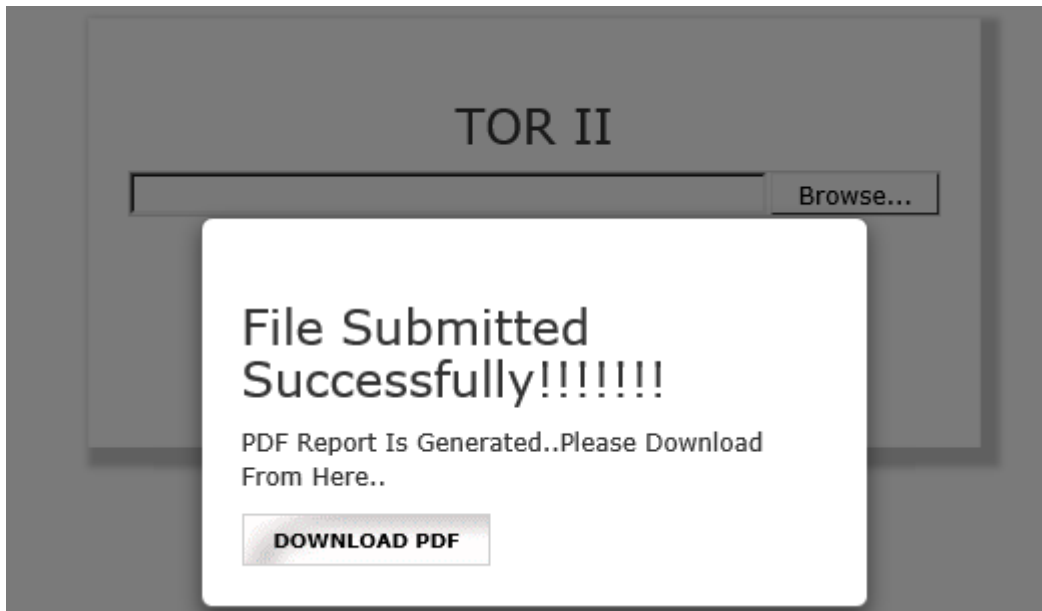
4. After downloading the template > **Open the template and enable the macros and change Filing for (SAR/CAR/FOR) to FOR (Follow on Audit Report) then Validate the sheet.**

	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			Yes	
28				FOR			Yes	

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



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



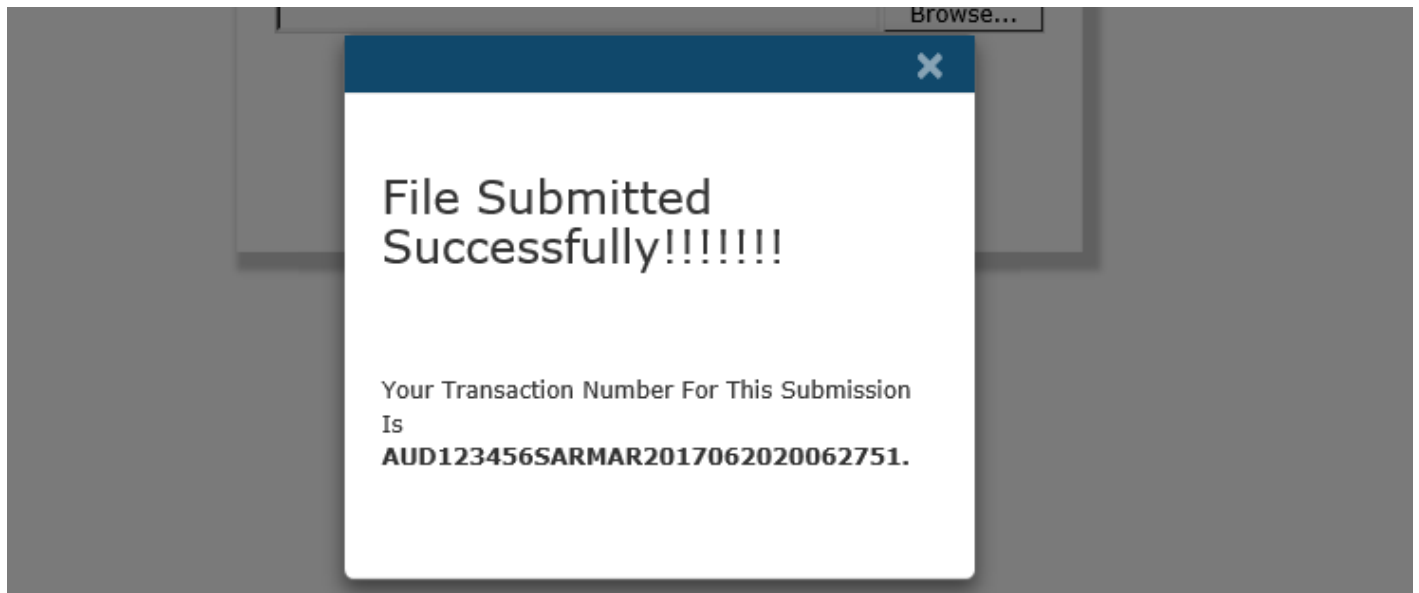
- After printing 'FOR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'FOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'FOR pdf'. Auditor can upload digitally signed FOR scanned file in pdf format.



Company	File	TOR	Uploaded Date	File Name	BEFS	BEFS Rejection	Rejected/Accepted	Excel	PDF	View	Submit
ID	Type	Type			Status	Reason	Date	Download	Download	(SAR/CAR/FOR)	
			17-06-2020	123456_TORII_SAR_APR19-							

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

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\*\*\***