2024

BSE

The Power of Vibrance

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.

Admin <compliance@bseindia.in>
To
13:11
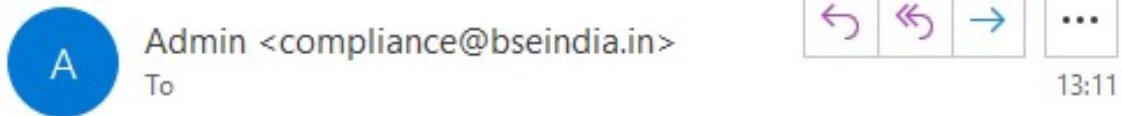
Dear Sir/Madam,

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://befs.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.

3. Auditor will be prompted to change the default password as illustrated below.

4. After changing the password, Auditor has to re-login with new password. Auditor will have to click on 'Auditor confirmation'.

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 : -	**TOR II**
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 *: -	CVOKS9834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM

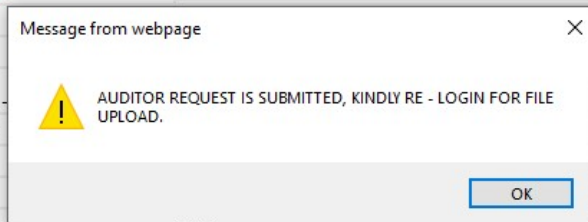| SAR AUDITOR DETAILS	
Audit Period *: -	APR19 - MAR20 ☑
TOR Type : -	**TOR II**
Name Of The Member *: -	DUMMY
Clg No *: -	123456
Audit Firm Name *: -	ABCD LTD
Audit Firm Registration No *: -	ABCD1234567
Auditor Name *: -	ABCD
Qualification *: -	DISA ☑
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	QWERTY12345678
PAN No. Of The Auditor *: -	CVOKS9834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *: -	1111111111
Address Of Auditor: *:-	ABCD

PRINT

7. 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.
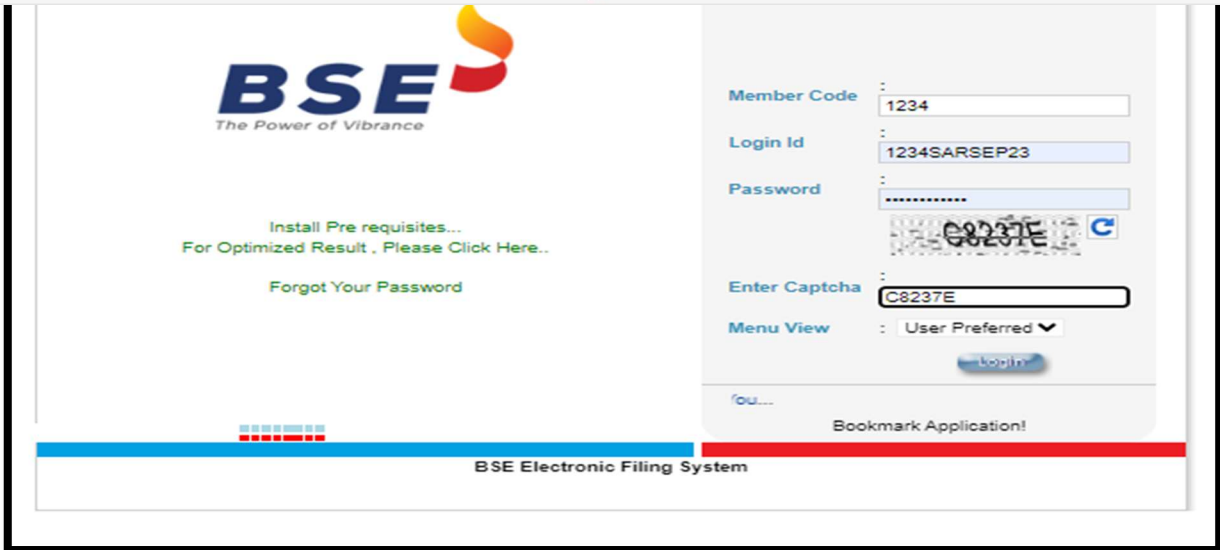

8. ....nk

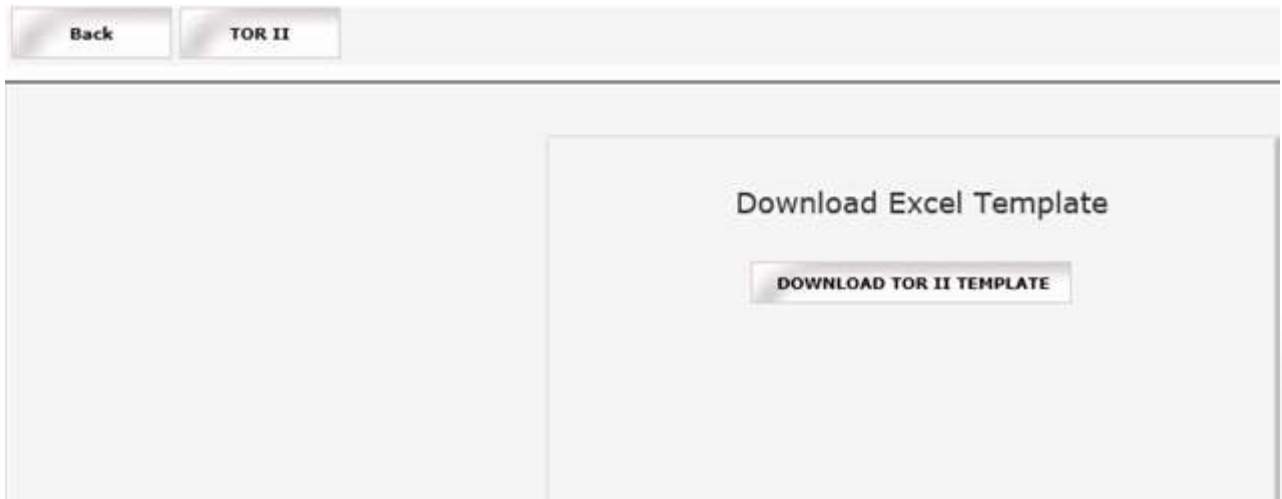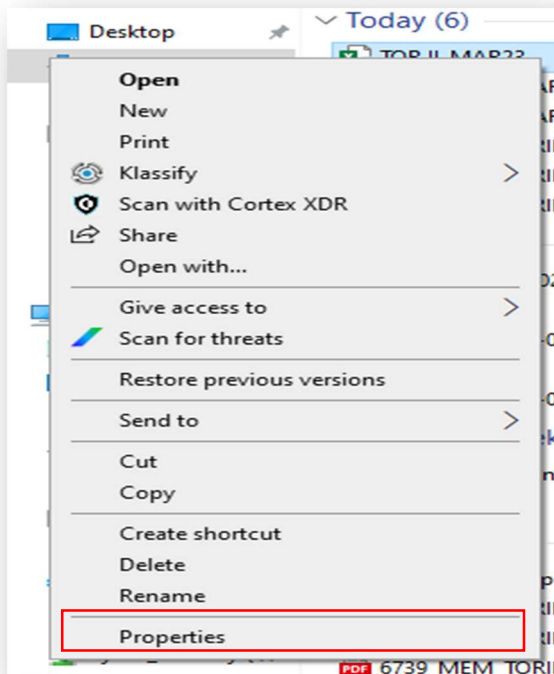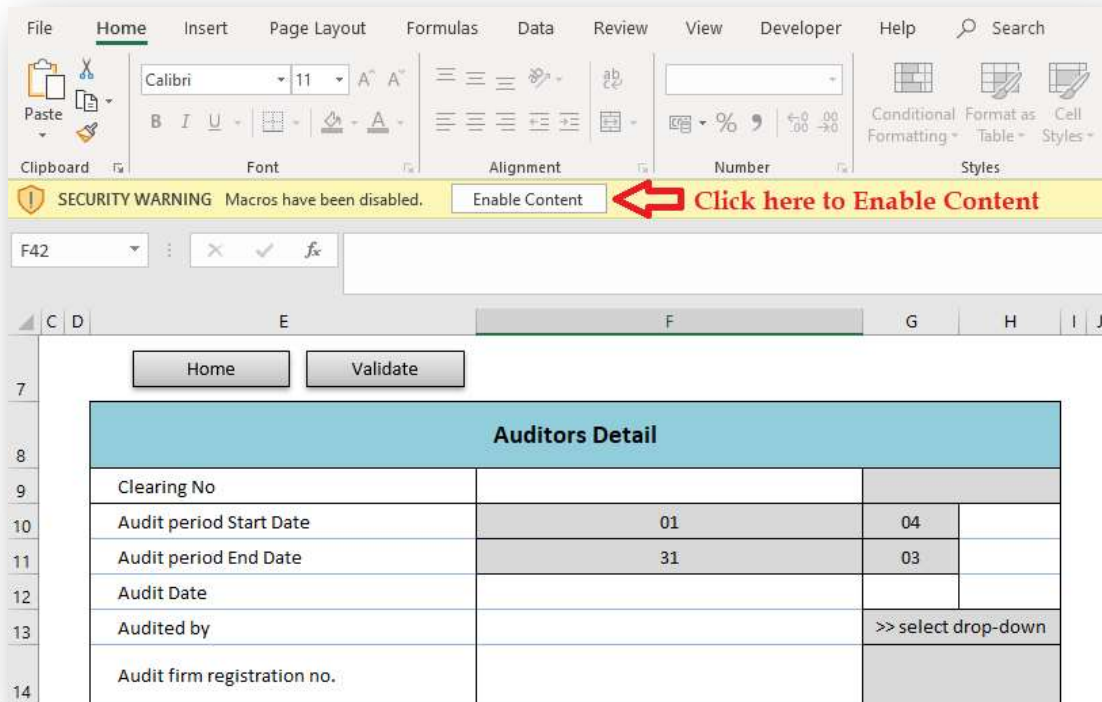9. Click on 'Auditor Details' > System Audit Reporting. Download the Excel Template and fill in the required details.

Back   TOR II

Download Excel Template

DOWNLOAD TOR II TEMPLATE

Type of file: Microsoft Excel Macro-Enabled Worksheet (.xlsm)

Opens with: Excel   Change...

Location: C:\Users\msc\Downloads

Size: 280 KB (2,87,498 bytes)

Size on disk: 284 KB (2,90,816 bytes)

Created: 21 April 2023, 18:05:16

Modified: 21 April 2023, 18:05:18
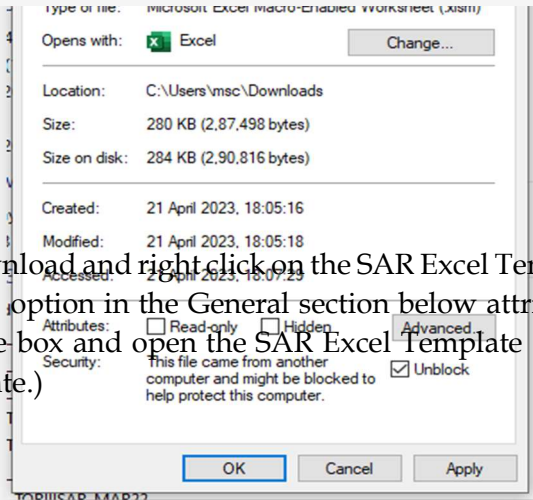
10. After downloading the SAR Excel Template go to download and right click on the SAR Excel Template then go into properties, there you will see "unblock" option in the General section below attributes, click on the unblock box → Apply close the dialogue box and open the SAR Excel Template (These steps will enable the Editing in the SAR Excel Template.)

Accessed: 26 April 2023, 18:07:29

Attributes: ☐ Read-only   ☐ Hidden   Advanced

Security: This file came from another   ☑ Unblock
computer and might be blocked to
help protect this computer.

OK   Cancel   Apply

TORIIISAR-MAR22

Desktop   ∨ Today (6)

TOR II MAR22

Open

New

Print

Klassify   >

Scan with Cortex XDR

Share

Open with...

Give access to   >

Scan for threats

Restore previous versions

Send to   >

Cut

Copy

Create shortcut

Delete

Rename

Properties

6739_MEM_TORII

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.

13. In the "SAR" sheet, fill all the required details then click on 'Validate' on the top left-hand side of the sheet.

14. After successfully filling of "SAR" Excel Sheet, click on "Home" button to validate all sheets as illustrated below.

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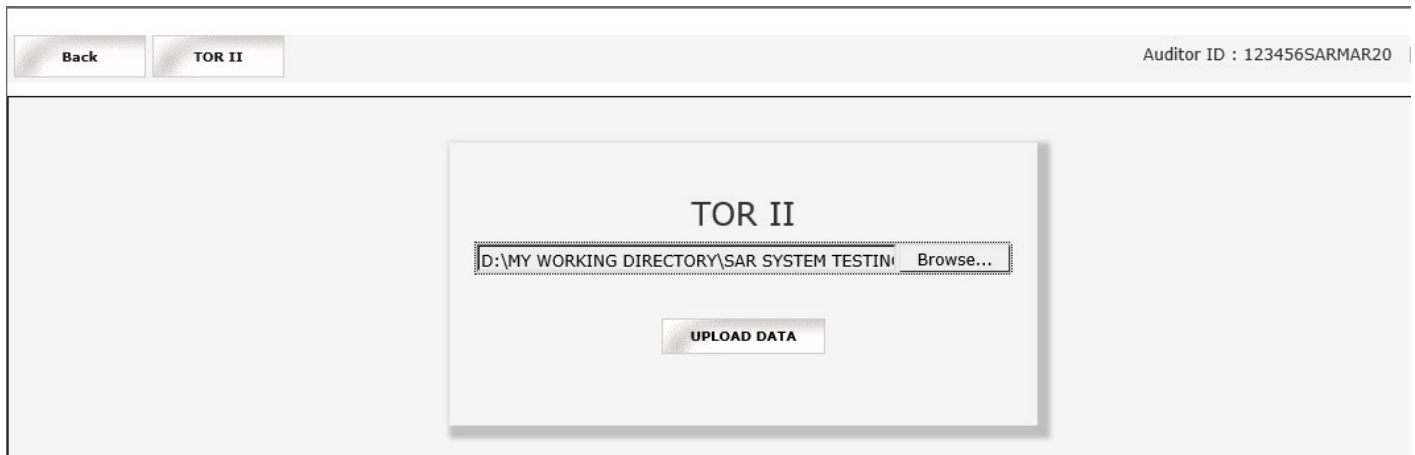

16. Once EXCEL Sheet gets uploaded it gets converted into a PDF file. Download the PDF and print on the letter head of Auditor.

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.


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.
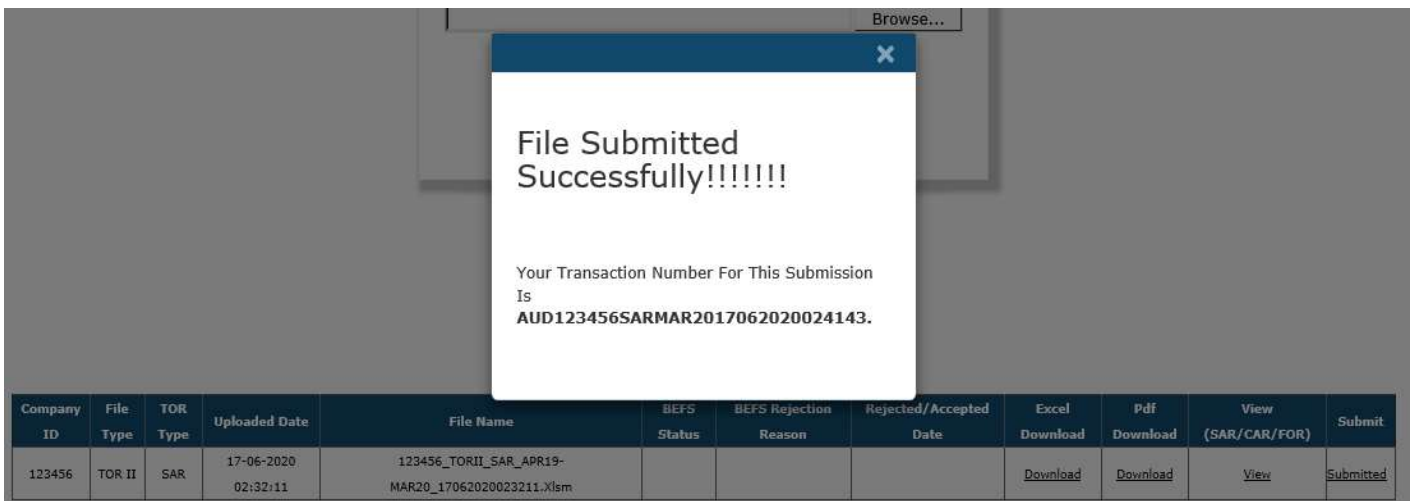
Corrective Action Report (CAR) Submission from Auditor Login

If the Auditor wants to submit corrective action 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.
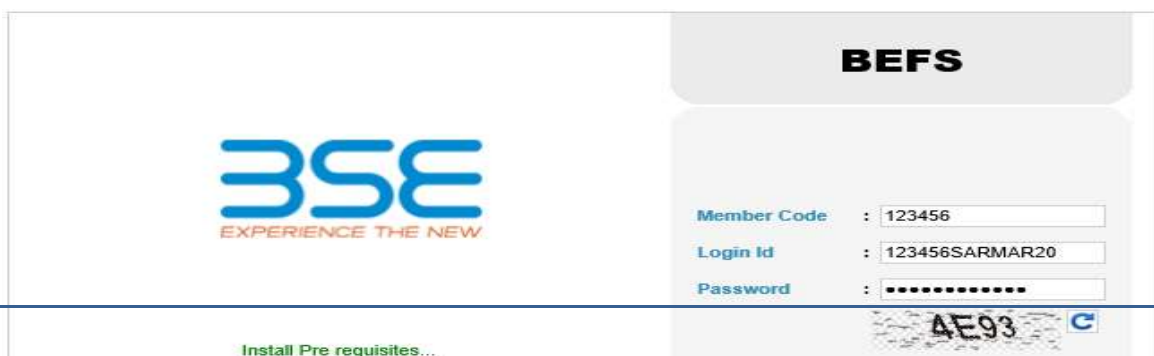
2. In Auditor Details > System Audit Reporting

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

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. 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.

5. In the "SAR" sheet, fill all the required details then click on 'Validate' on the top left-hand side of the sheet.

Home	Validate	To be submitted by Stock Broker						Auditor
TOR Type	TOR Clause	Observation raised(TOR clause)	Preliminary Audit period	Preliminary audit date	Current status (Complied/Non-Complied)	Date by which Non-Complied issue will be complied	Trading Member Management Comments towards Non-Compliance	Auditor Comments towards Compliance and Non-Compliance
II	1	System Control and Capabilities						
II	1(e)	Client ID Verification – Whether the system has capability to recognize only authorized Client Orders and mapping of Specific user Ids to specific predefined location for proprietary orders. – Whether System has settings to restrict / allow the facility to place orders in pro account from a CTCL Terminal. – Whether there is a proper process for enabling the facility of placing orders in pro account from the Exchange approved location through a CTCL terminal. Execution of Orders	Order Logic Execution of Orders	Order Logic	April 2023 to March 2024	26-04-2024	Compliant		Complied	Complied

6. After successfully filling of "CAR" Excel Sheet, click on "Home" button to validate all sheets as illustrated below.

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

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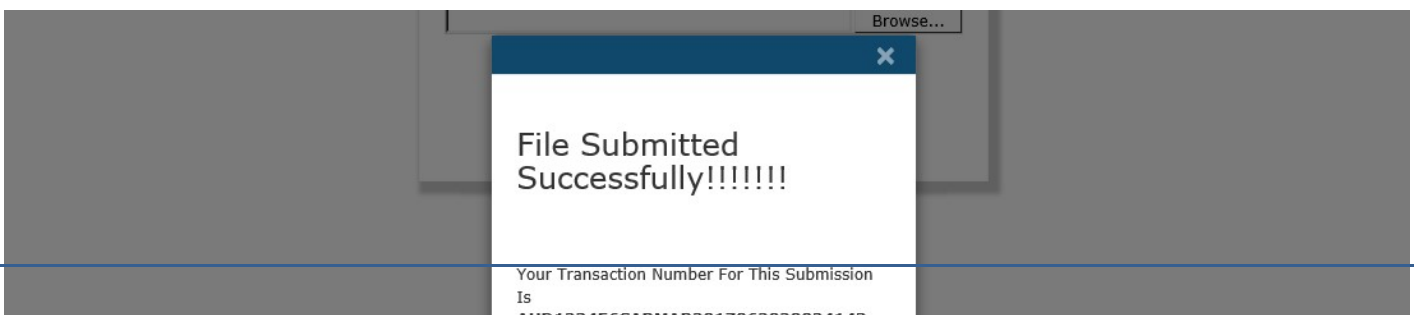

9. After printing 'TOR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'TOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'TOR pdf'. Auditor can upload digitally signed TOR scanned file in pdf format.

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				Download	Download	View	Submit

10. 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.

END OF DOCUMENT**