2023

**BSE**
The Power of Vibrance

# 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)
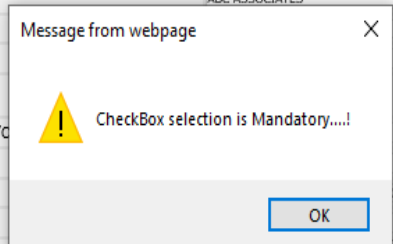


3. Fill **'Cyber Security & Resilience - Auditor Details'** screen for selection of auditor and tick on the undertaking for appointing the Audit firm/Auditor. Then click on 'Save' button to submit auditor details.

| 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 on 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.
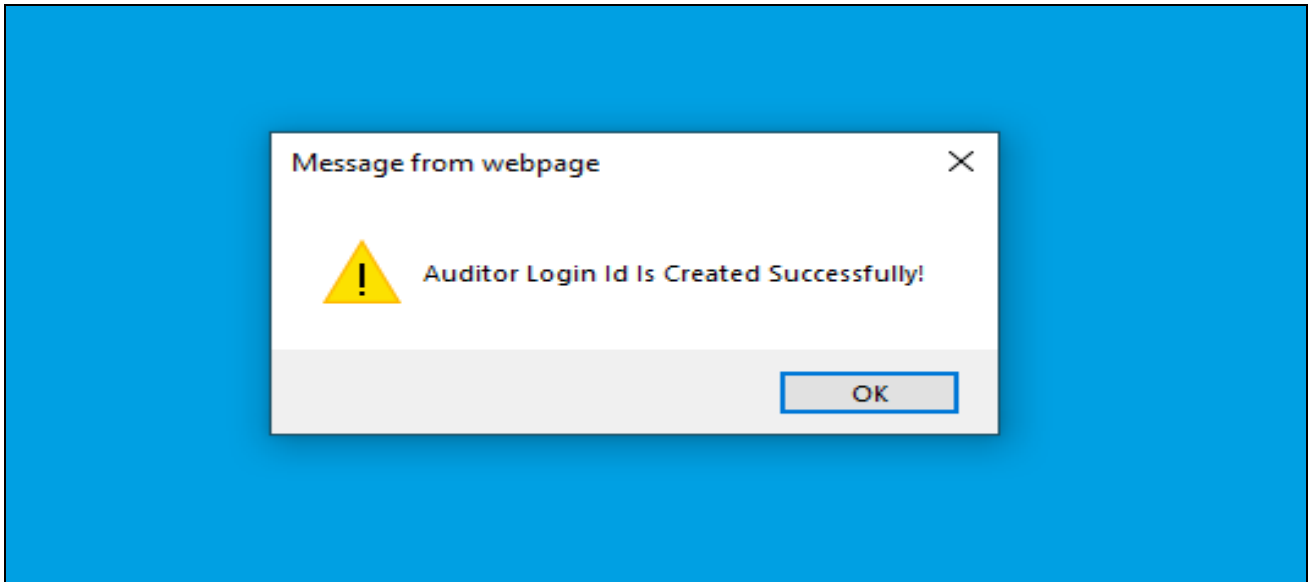


5. Once the auditor details are entered and the undertaking check box is ticked, click on 'Save' button after which a text message will be displayed "Data Successfully Saved". Then click on 'Generate Login ID' after which the auditor will receive a mail consisting of Auditor's Login Credentials.

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



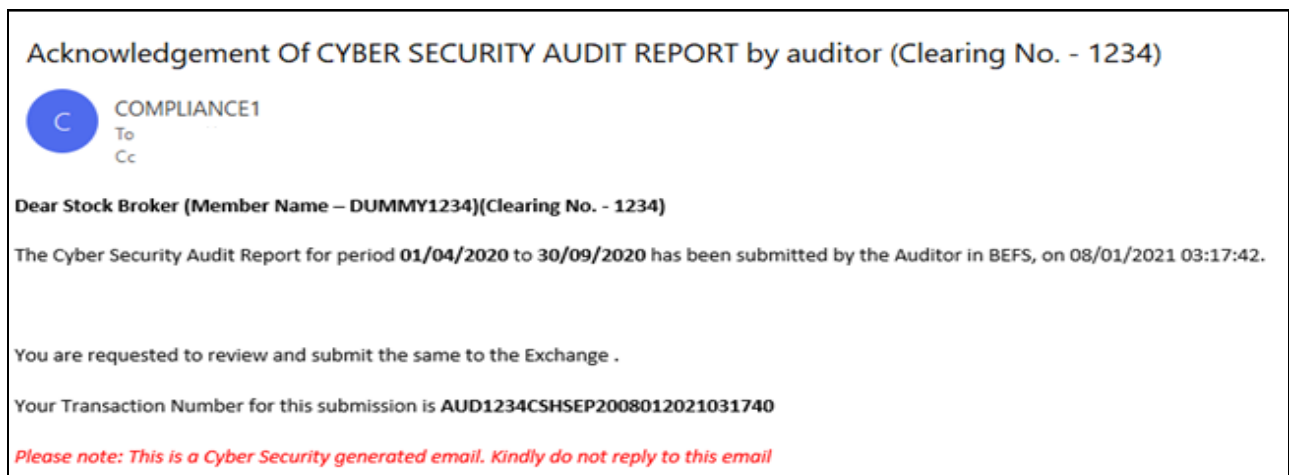7. The Auditor will receive an email with Auditor's login credentials.



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 **AUD1234CSHSEP20080120210 31740**

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)



**Hide Menu**

Cyber Security & Cyber Resilience Audit ▶
▶ Auditor Selection (Cyber Security)
▶ 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.**

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



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 | ☑ |
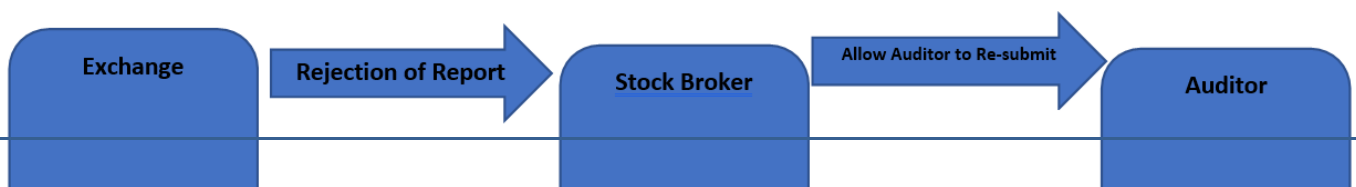
## Follow - On Report Submission from Member's Login

1. Member logins 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.



| 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 |
| 1234 | FOR | 08-01-2021 04:57:20 | 1234_FOR_APR2020-SEP2020_08012021045720.Xlsm | Download | Download |

3. Once the auditor uploaded EXCEL file is downloaded and opened, click on **'Enable Content'** to enable to macros first.
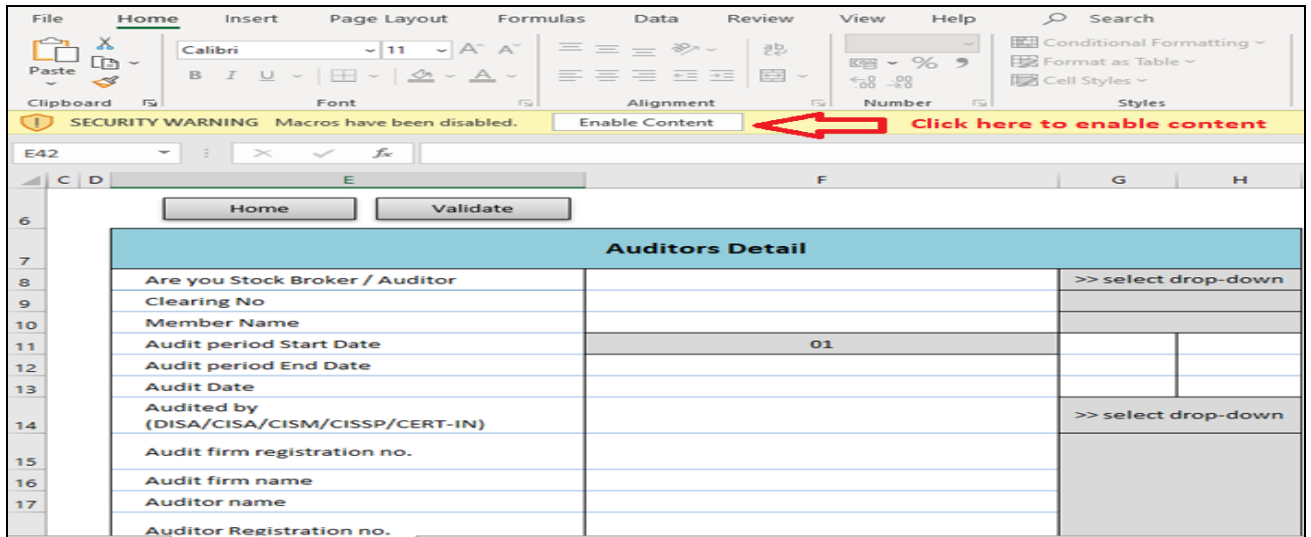
4. In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker / Auditor" option. Then click on 'Validate' to fill management comment in case of 'Non-Compliant'.
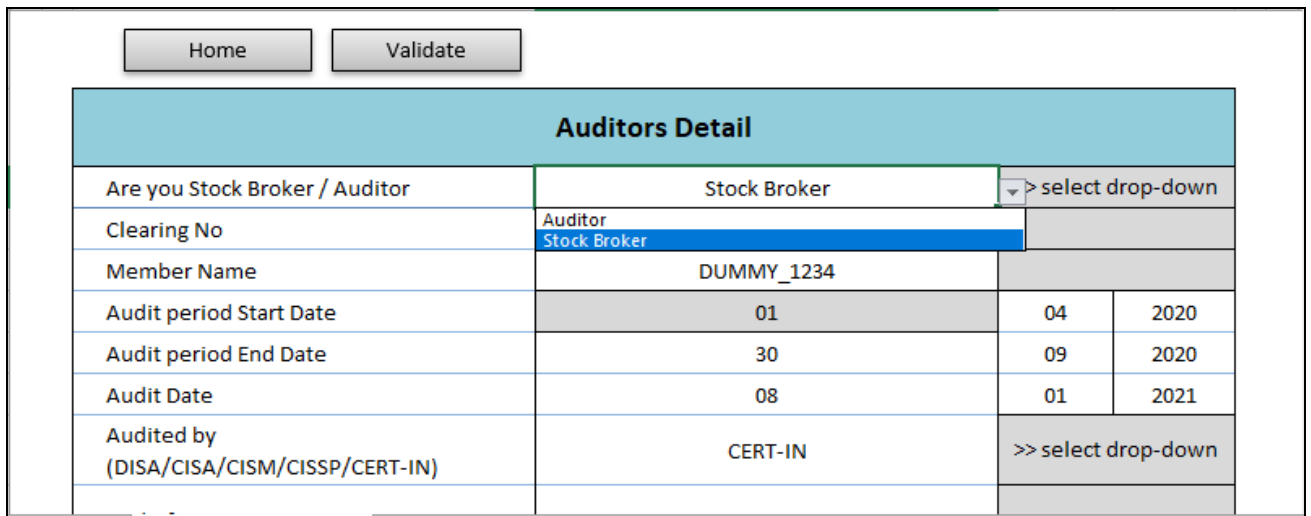


5. Wherever the Auditor has marked the 'Preliminary Status' column as 'Non-Compliant', fill in the management comments then click on 'Validate'.

| 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 |
|---|---|---|---|---|---|---|---|---|---|
| | III | Network Security Management | | | | | | | |
| Half year | 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. | jhfjdhjas | Compliant | jfdhdjfhdsj | 02-02-2021 | Auditor | 02-02-2021 | |
| Half 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. | adfjdhj | Compliant | dsfdsf | 02-02-2021 | Auditor | 02-02-2021 | |
| Half 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, | adfjdhj | Compliant | sdfdfd | 02-02-2021 | Auditor | 02-02-2021 | |

6. 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)

7. 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.
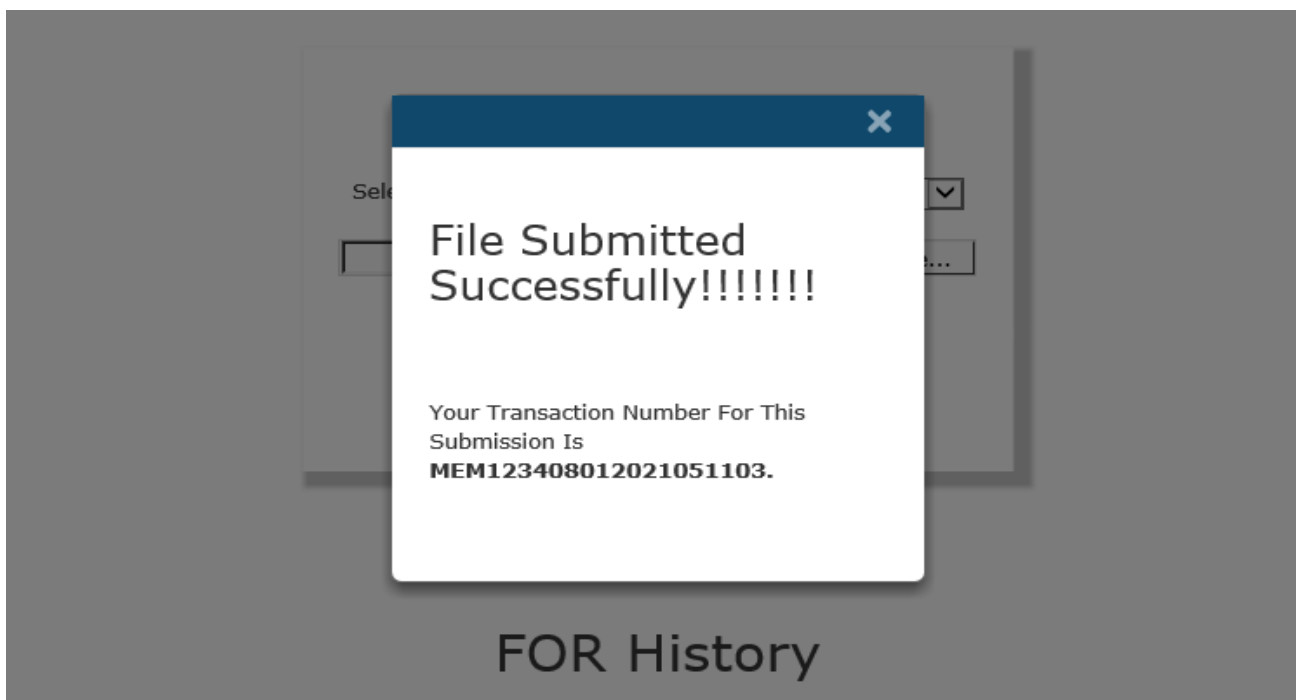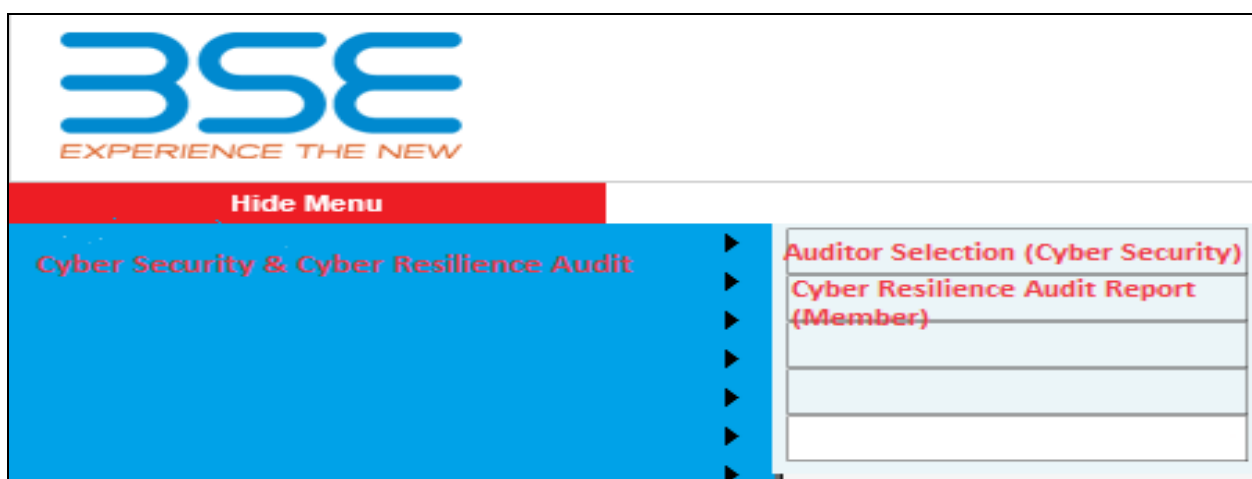


8. After uploading FOR PDF with sign & stamp of the Member or digitally signed by the member, a text box shown below will be displayed. A transaction number is generated for this submission and member will receive an acknowledgement email.

## 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).



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'.

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 | |
| | 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 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).**



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

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.



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