

2024



# BSE Limited

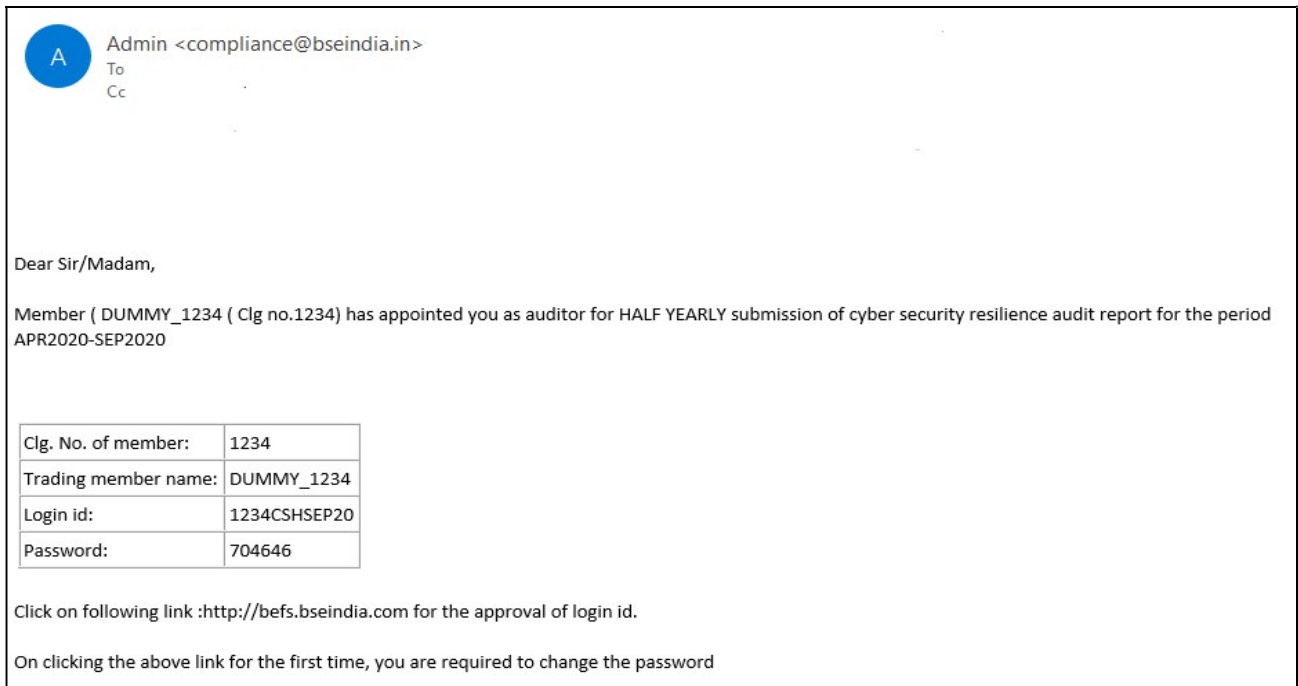
Auditor User Manual for Cyber Security & Cyber Resilience  
Audit Report

### 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 Auditor:

1. Member creates Auditor login ID for the applicable 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  
Cc

Dear Sir/Madam,

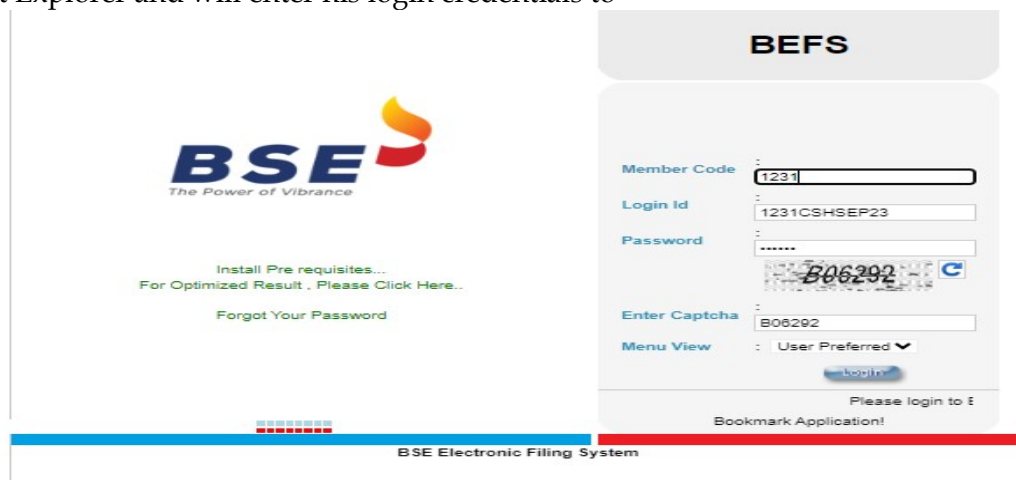
Member ( DUMMY\_1234 ( Clg no.1234) has appointed you as auditor for HALF YEARLY submission of cyber security resilience audit report for the period APR2020-SEP2020

Clg. No. of member:	1234
Trading member name:	DUMMY_1234
Login id:	1234CSHSEP20
Password:	704646

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



**BSE**  
The Power of Vibrance

Install Pre requisites...  
For Optimized Result . Please Click Here...  
Forgot Your Password

**BEFS**

Member Code : 1234  
Login Id : 1231CSHSEP23  
Password : .....  
Enter Captcha : B06292  
Menu View : User Preferred

Please login to E  
Bookmark Application!

BSE Electronic Filing System

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

**CHANGE YOUR PASSWORD HERE**

Member Code

User Name

Old Password

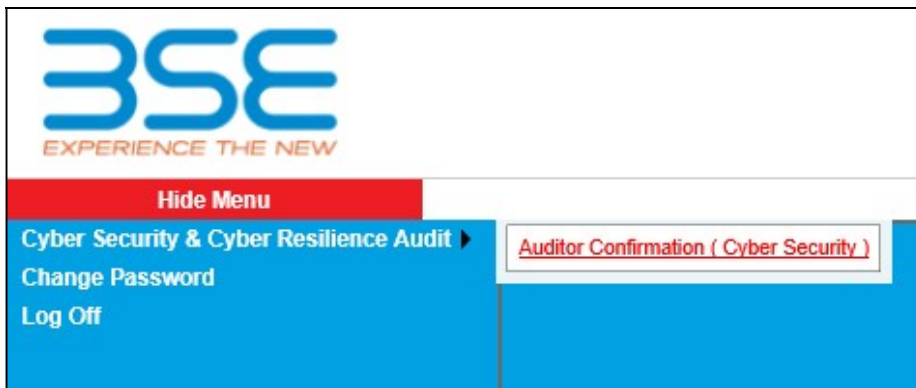
New Password

Confirm Password



Enter Captcha

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



6. After clicking on 'Auditor confirmation', select 'Audit Period' from the drop-down list in Cyber Security & Resilience 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'.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS	
Audit Period *:-	APR2020-SEP2020
Audit Mode :-	<b>HALF YEARLY</b>
Name Of The Member *:-	DUMMY_1234
Clg No *:-	1234
Audit Firm Name *:-	ABC ASSOCIATES
Audit Firm Registration No *:-	ABC123
Auditor Name *:-	JOSEPHINE BARETTO
Qualification *:-	CERT-IN
Auditor Registration No (DISA/CISA/CISSP/CISM) *:-	PQR123
PAN No. Of The Auditor *:-	ABCDE1234F
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *:-	9876543210
Address Of Auditor *:-	ABC, XYZ
<b>SAVE</b>	

7. Click on 'Print' button which will generate a pdf containing the details filled by you in 'Cyber Security & Cyber Resilience Auditor Details' Screen.
  - a) Take the printout on the letter head (Auditor's Letter Head) and upload the scanned copy of the undertaking duly signed and stamped by the auditor **or digitally signed by the Auditor.**
  - b) Adhere to the file nomenclature 'CLG.No\_HALFYEARLY\_UND\_SEP2020.PDF'

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS	
Audit Period *:-	APR2020-SEP2020
Audit Mode :-	<b>HALF YEARLY</b>
Name Of The Member *:-	DUMMY_1234
Clg No *:-	1234
Audit Firm Name *:-	ABC ASSOCIATES
Audit Firm Registration No *:-	ABC123
Auditor Name *:-	JOSEPHINE BARETTO
Qualification *:-	CERT-IN
Auditor Registration No (DISA/CISA/CISSP/CISM) *:-	PQR123
PAN No. Of The Auditor *:-	ABCDE1234F
Email Id Of Auditor *:-	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *:-	9876543210
Address Of Auditor *:-	ABC, XYZ
<b>PRINT</b>	
<i>Note : "Auditor Has To Take The Print On The Letterhead Of Audit Firm And Upload The Scanned Copy Of The Same (As Required Below) Duly Stamped And Signed By The Auditor."</i>	
Upload File *:-	Browse... <i>File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF</i>
<b>FINAL SUBMIT</b>	
<b>YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED TO PRINT</b>	

8. Browse the undertaking in pdf format with proper nomenclature and click on 'Final Submit' button. A text box message will be displayed to re-login to start the submission.

The screenshot shows a web form for submitting an audit report. The form fields are as follows:

Audit Mode :-	HALF YEARLY
Name Of The Member *:-	DUMMY_1234
Clg No *:-	1234
Audit Firm Name *:-	ABC ASSOCIATES
Audit Firm Registration No *:-	ABC123
Auditor Name *:-	JOSEPHINE BARETTO
Qualification *:-	CERT-IN
Auditor Registration No	POR123
(DI	
PA	
Em	.COM
Co	
Ad	
Upload File *:-	<input type="text"/> Browse... <i>File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF</i> <i>1234_HALFYEARLY_UND_SEP2020.PDF</i>

A message dialog box is overlaid on the form with the following text:

Message from webpage

**!** AUDITOR REQUEST IS SUBMITTED, KINDLY RE - LOGIN FOR SUBMISSION OF CYBER SECURITY & CYBER RESILIENCE AUDIT REPORT.

OK

**AUDITOR REQUEST IS SUBMITTED**

9. For submission of Cyber Security & Cyber Resilience Audit Report, the Auditor will open the following link <http://bef.s.bseindia.com/> on Internet Explorer and will enter his credentials to re-login.

The screenshot shows the BEFS login page. On the left is the BSE logo with the tagline "The Power of Vibrance". Below the logo are links for "Install Pre requisites...", "For Optimized Result . Please Click Here..", and "Forgot Your Password". On the right is the login form:

**BEFS**

Member Code : 1231

Login Id : 1231CSHSEP23

Password : .....

Enter Captcha : B06292

Menu View : User Preferred

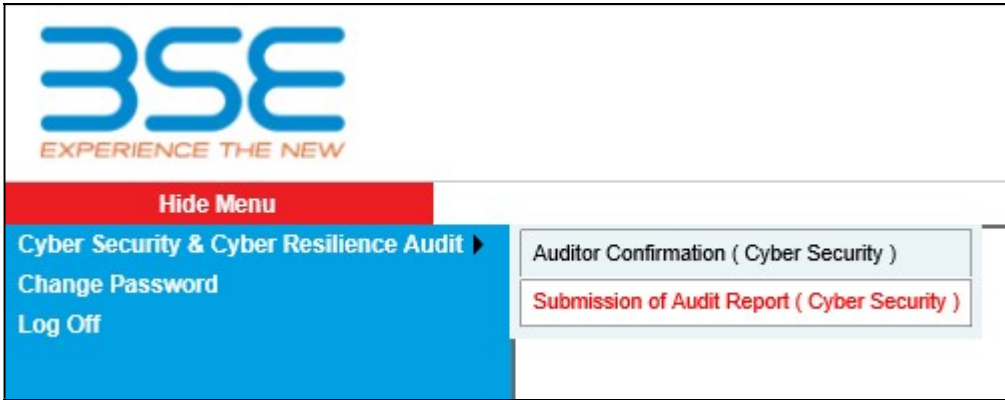
login

Please login to E

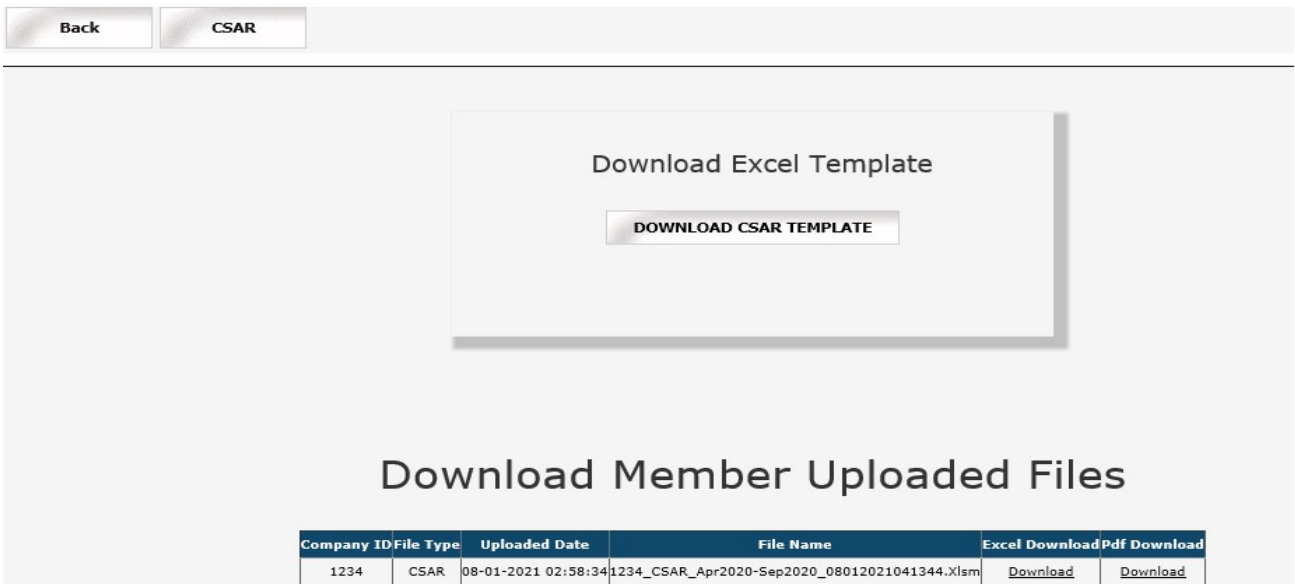
Bookmark Application!

BSE Electronic Filing System

10. Click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security)

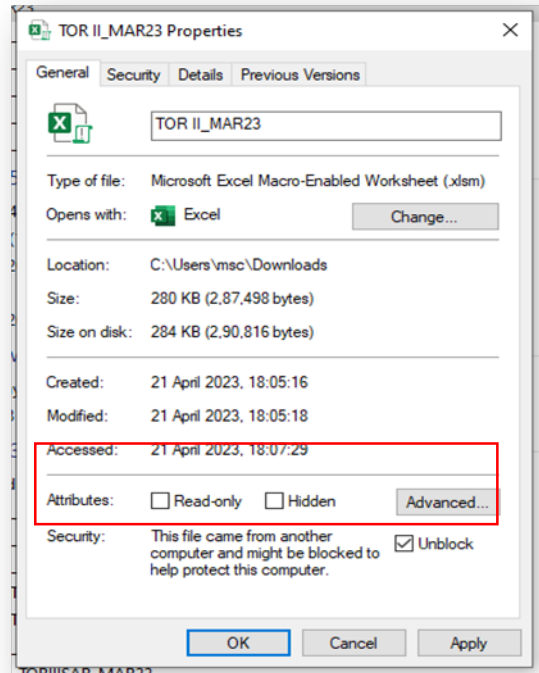
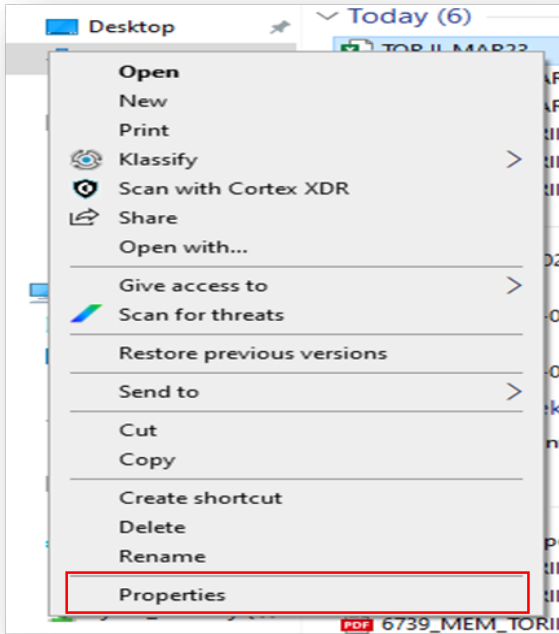


11. Download the CSAR Excel Template and fill in the required details.

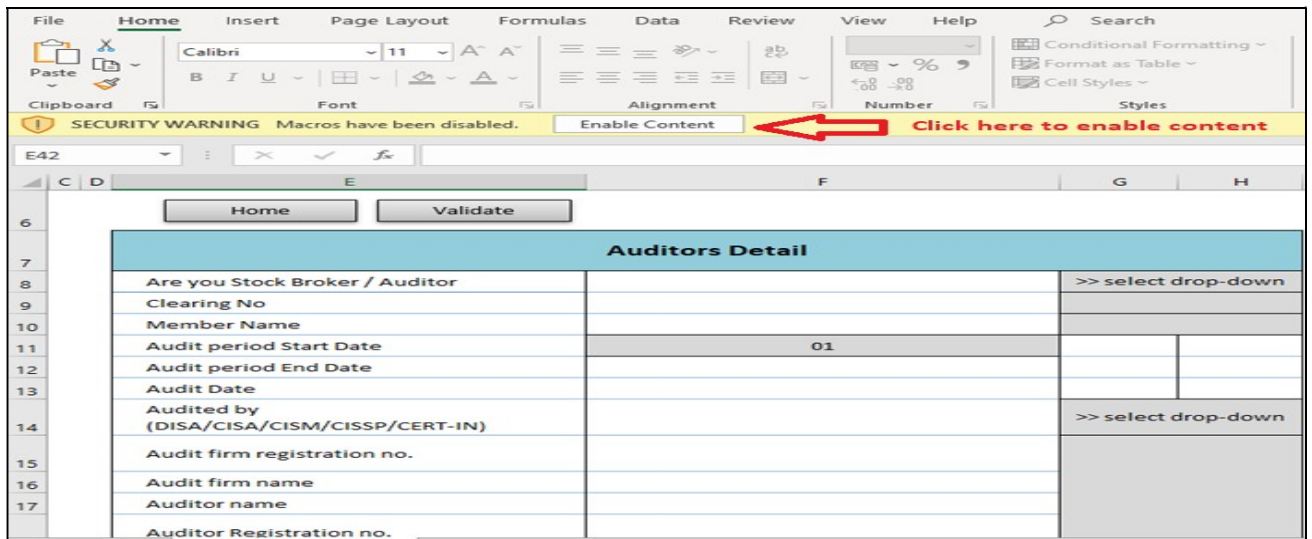


12. After downloading the CSAR Excel Template go to download and right click on the CSAR Excel Template then go into properties, there you will see “unlock” option in the General section below

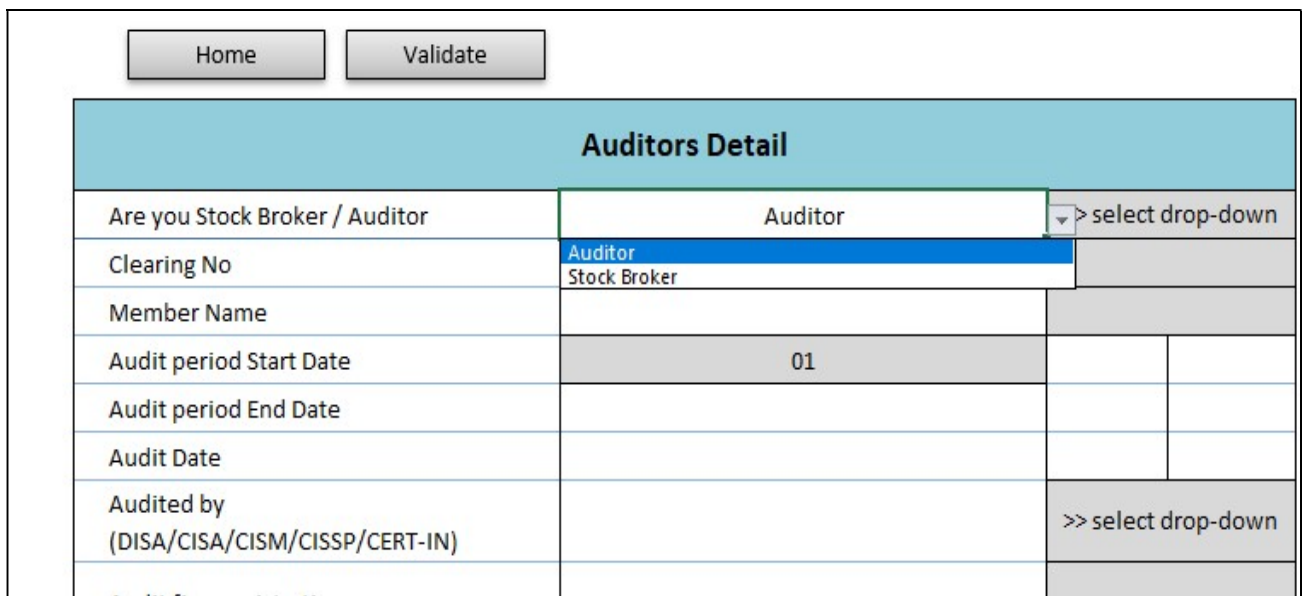
attributes, click on the unblock box → Apply close the dialogue box and open the CSAR Excel Template (These steps will enable the Editing in the CSAR Excel Template.)



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



14. 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, proceed further to fill the "CSAR" sheet.



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



<input type="button" value="Home"/> <input type="button" value="Validate"/>						
Audit Mode Clause	Details	Audit Date	Audited by	Observation no	Description of finding / observation	Department
<b>1</b>	<b>Governance</b>					
<b>1a</b>	Whether the Stock Broker has formulated a comprehensive Cyber Security and Cyber Resilience policy document encompassing the framework mentioned in the circular? In case of deviations from the suggested framework, whether reasons for such deviations, technical or otherwise, are provided in the policy document? Is the policy document approved by the Board / Partners / Proprietor of the organization? Whether the policy document is reviewed by the aforementioned group at least annually with the view to strengthen and improve its Cyber Security and Cyber Resilience	08-01-2021	CERT-IN	1		
	The Cyber Security Policy should includes the following process to identify, assess, and					

16. After successfully filling of “CSAR” 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


CSAR

Step 2: Enter Data


**2** Enter Data in relevant sheets & Save File

Step 3: Validate All Sheets

**3**

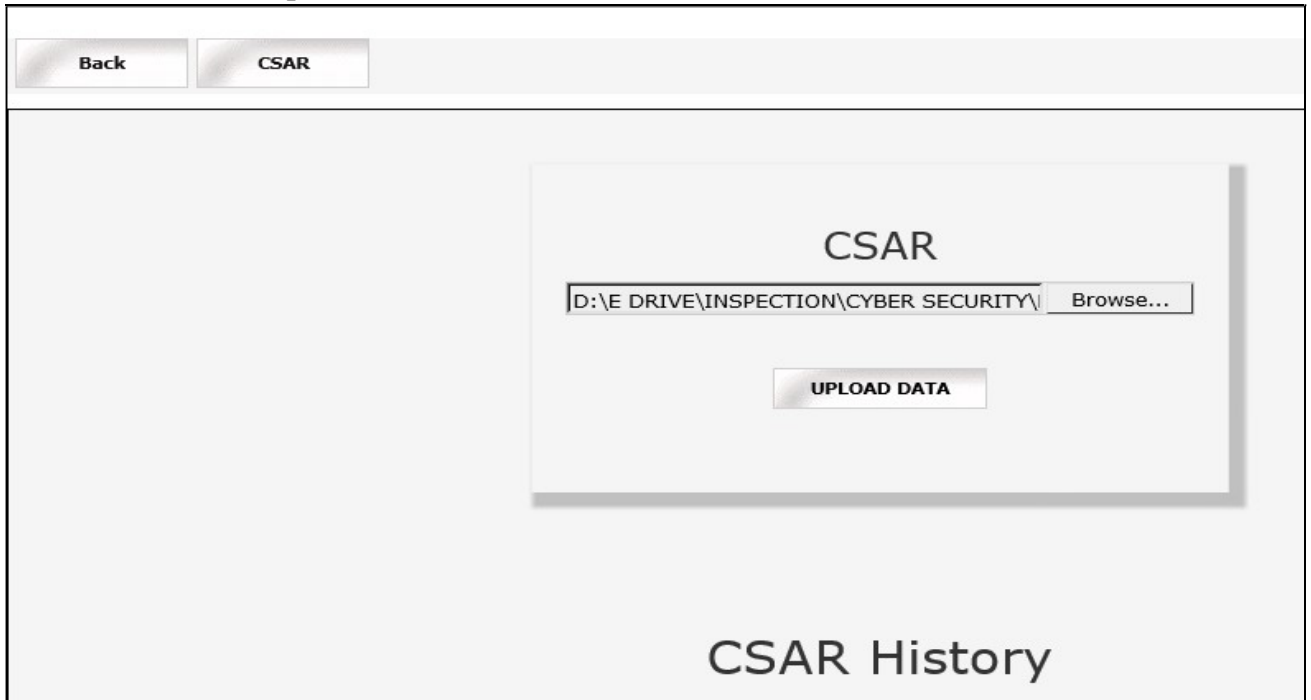


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EXPERIENCE THE NEW

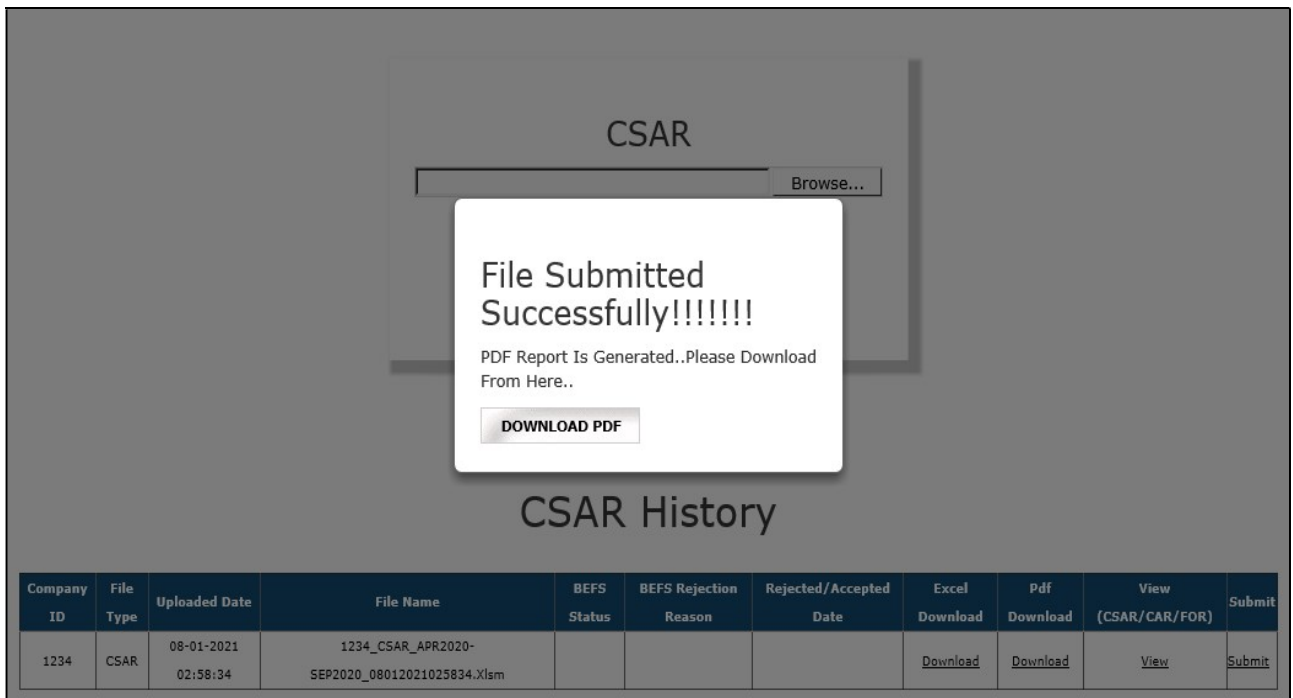


**MICROVISTA**  
TECHNOLOGIES

17. In BEFS, login and click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security) > Click on “CSAR” button and then click on “Browse” and attach ‘CSAR EXCEL Sheet’ and click on ‘Upload Data’.



18. Once CSAR Excel Sheet gets uploaded, a text box with the message “File submitted successfully Download PDF” will be displayed. Download the PDF and print on the letter head of Auditor.



19. After printing ‘CSAR’ PDF on the letter head of Auditor, get it signed and stamped and scan the ‘CSAR Pdf’ to submit it on BEFS. Kindly browse, select and upload the scanned ‘CSAR pdf’. Auditor can upload digitally signed CSAR PDF file also.

**CSAR**

[Browse...](#)

**UPLOAD DATA**

Message from webpage

Are you sure you want to submit this file.

[OK](#) [Cancel](#)

After clicking on 'Submit' this text box is displayed. Click on "Ok" to upload the CSAR PDF

Click on "Submit" below and a text box will be displayed

↓

## CSAR 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	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020- SEP2020_08012021025834.Xlsm				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>

20. The below screen is displayed to browse and upload the signed CSAR PDF. Click on "Upload Data".

**CSAR**

[Browse...](#)

**UPLOAD DATA**

**CSAR In Pdf** X

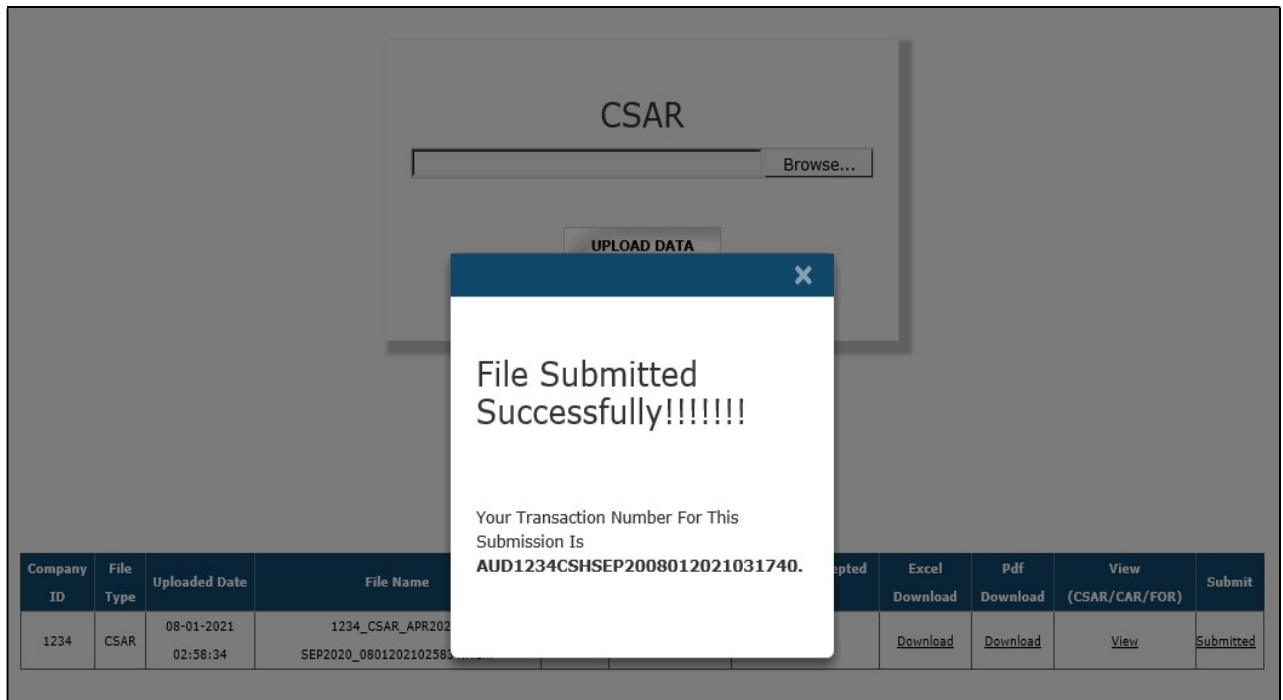
[Browse...](#)

\*Kindly Download Pdf And Print On The Letter Head Of Auditor With Sign And Stamp Of Auditor And Upload The Same

**UPLOAD DATA**

Company ID	File Type	Uploaded Date	File Name	Status	Reason	Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020- SEP2020_08012021025834.Xlsm				<a href="#">Download</a>	<a href="#">Download</a>	<a href="#">View</a>	<a href="#">Submit</a>

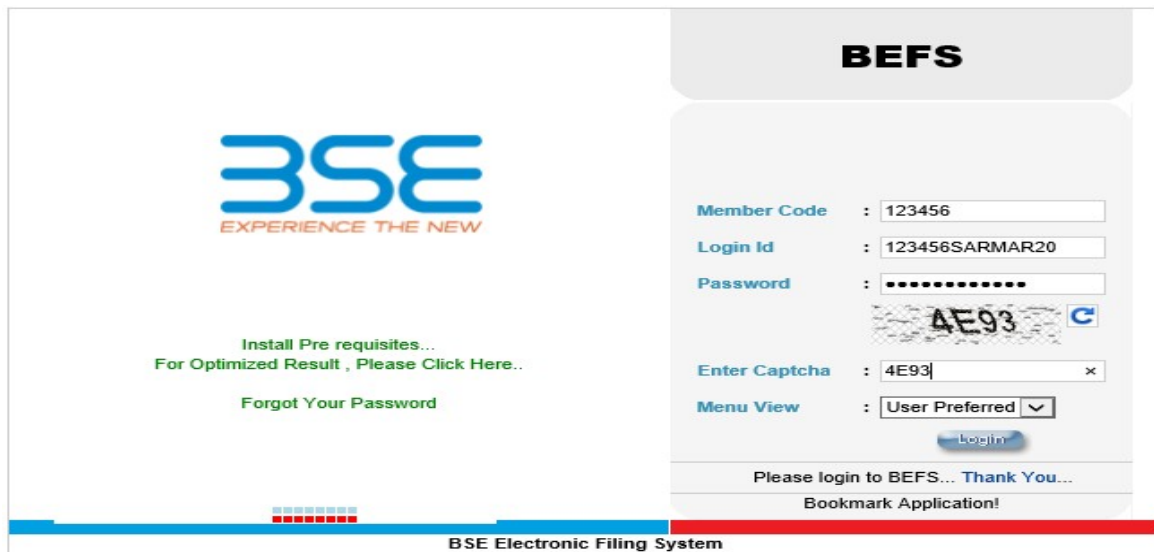
21. After uploading CSAR PDF with sign & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive acknowledgement mail to process further.



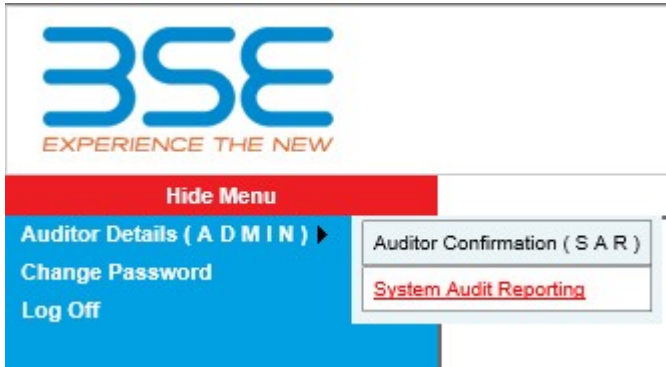
### Corrective Action Report (CAR) Submission from Auditor Login

If the Auditor wants to submit corrective action report. Kindly follow the steps mentioned below:

1. The auditor will open the following link <http://bef.s.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

↓

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.

	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

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	<b>System Control and Capabilities</b>							
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) and Execution of Orders (Order)	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.

**BSE- Financial Results - XBRL Filings** ✕

**Step 1: Complete all Worksheets below:**

**1** Select the sheet you wish to go to:

General Information

CAR

**Step 2: Enter Data**

**2** Enter Data in relevant sheets & Save File

---

**Step 3: Validate All Sheets**

**3** Validate All Sheet

---


**Step 4: Generate XML/XBRL**

**4** Generate XML


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**Step 5: Generate Report**

**5** Generate Report

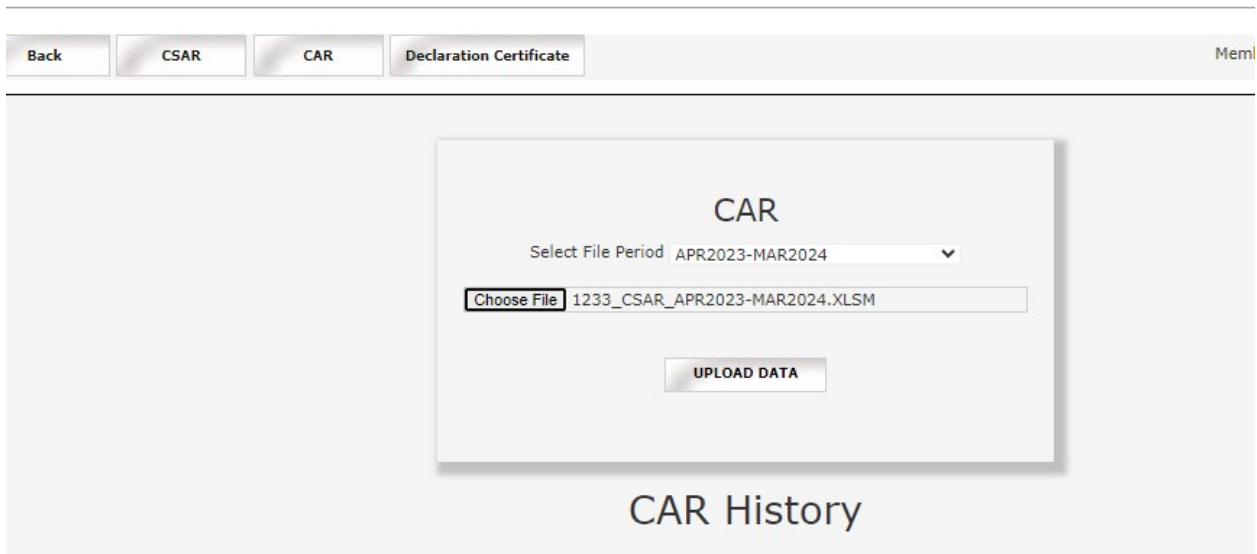


**BSE**  
EXPERIENCE THE NEW

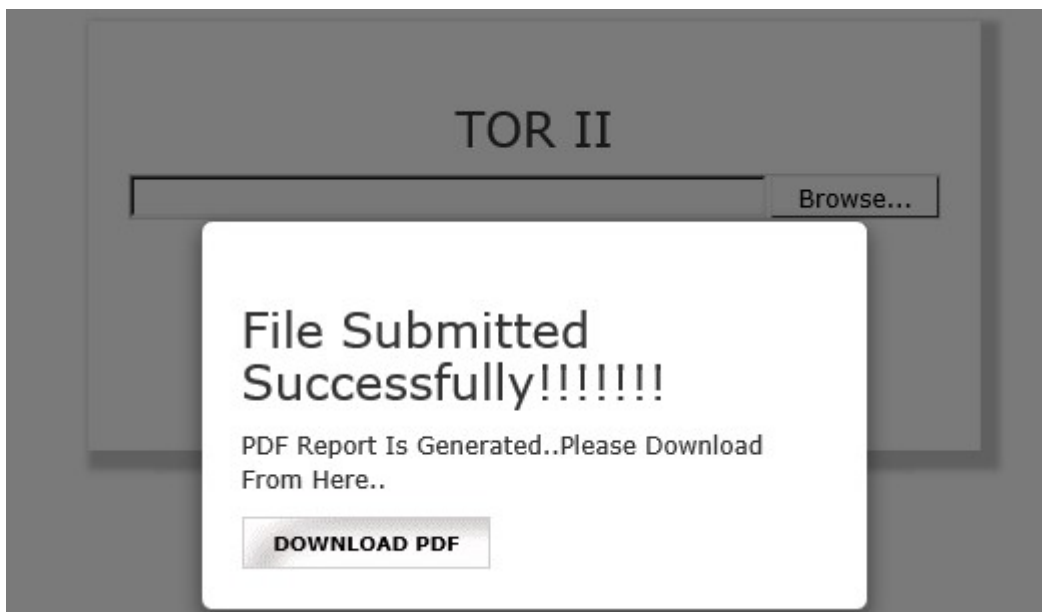


**MICROVISTA**  
TECHNOLOGIES

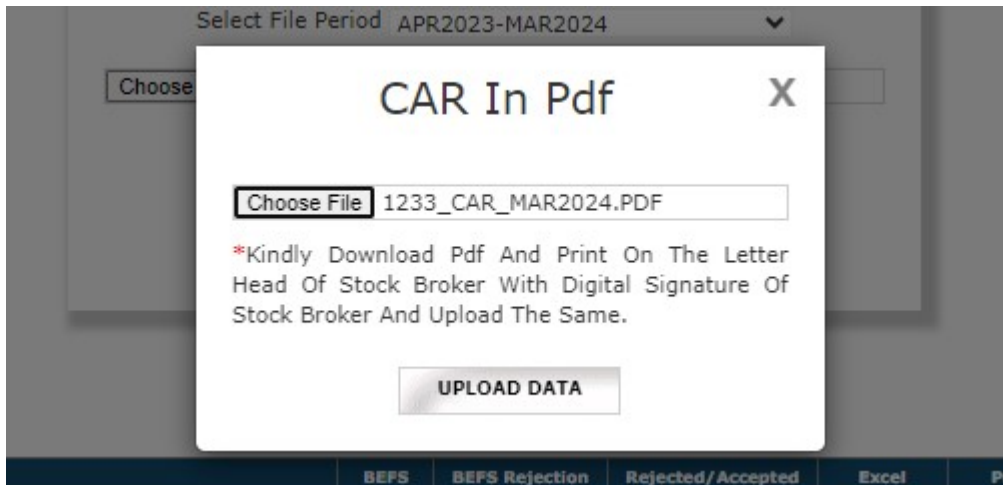
7. In BEFS, login> System Audit Reporting > Click on TOR button and Browse and attach ‘CAR EXCEL Sheet’ and click on ‘Upload Data’.



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.



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.

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>

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



