

2023



BSE Limited

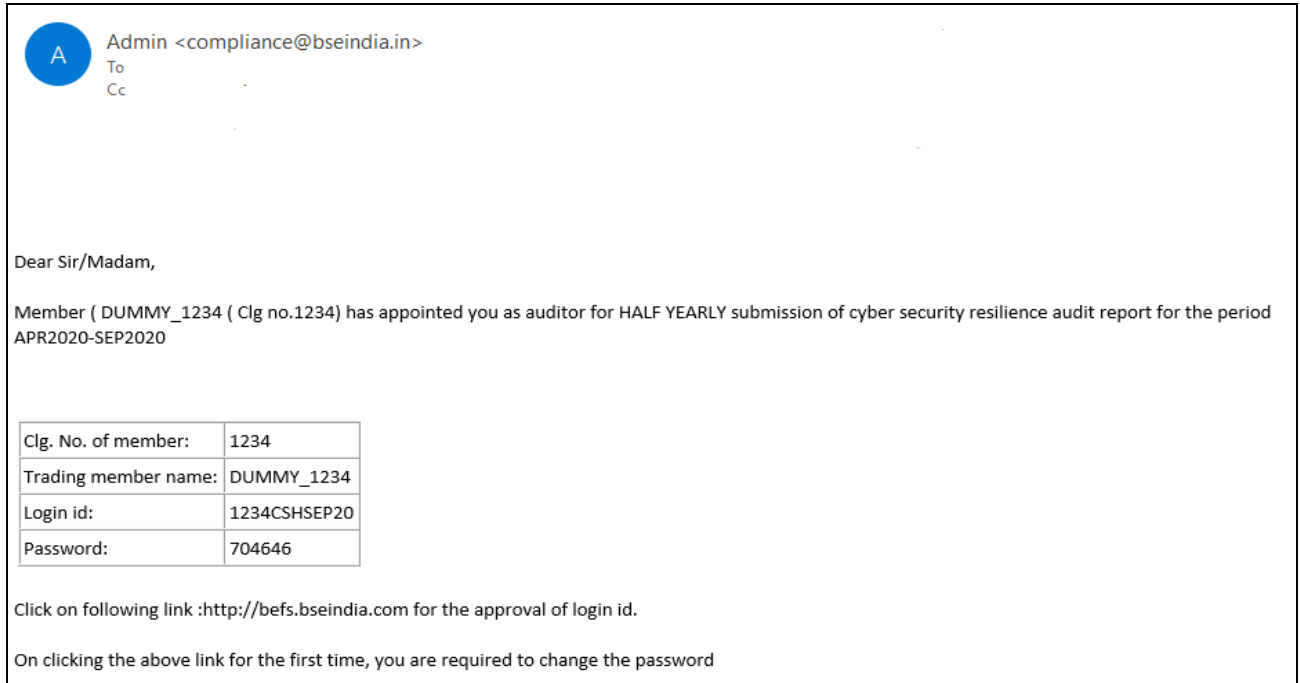
Auditor User Manual for Cyber Security & Cyber Resilience
Audit Report

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,

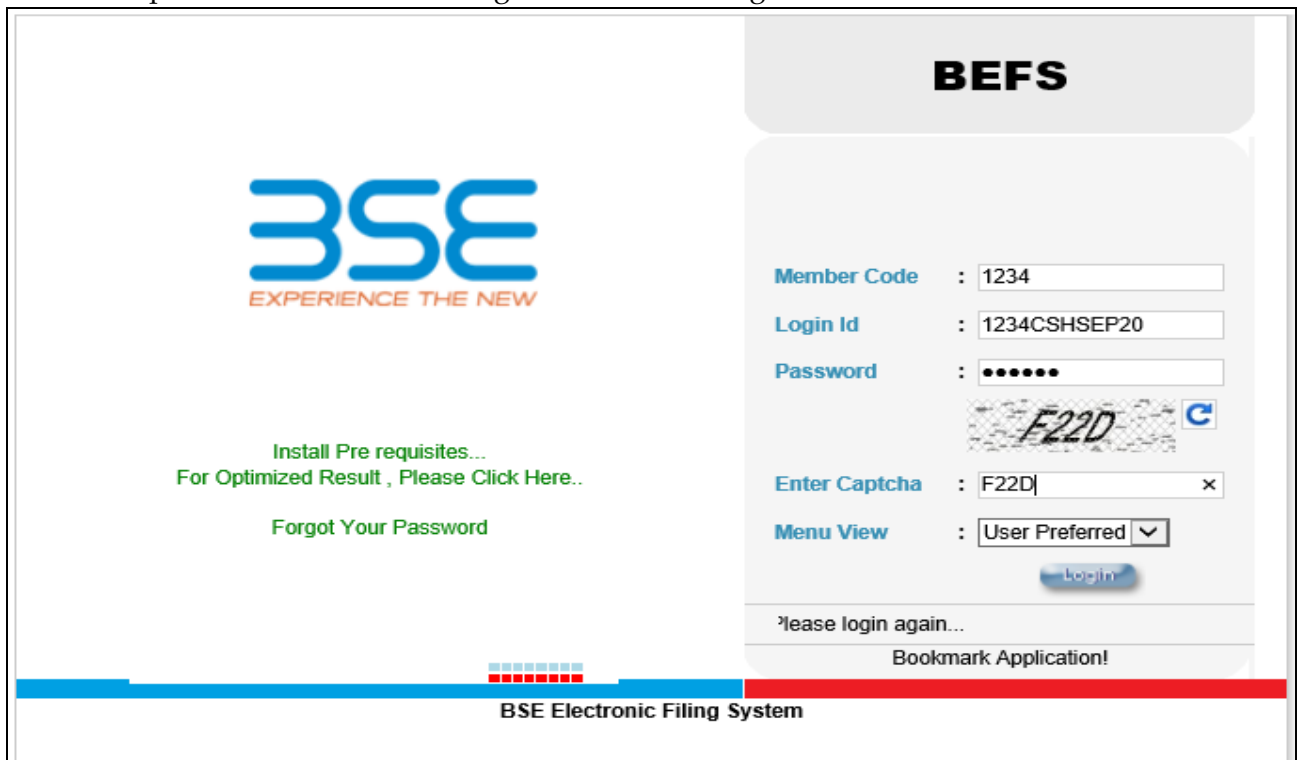
Member (DUMMY_1234 (Clg no.1234) has appointed you as auditor for HALF YEARLY submission of cyber security resilience audit report for the period APR2020-SEP2020

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 login.



BEFS

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

Forgot Your Password

Member Code : 1234

Login Id : 1234CSHSEP20

Password : ●●●●●●

Enter Captcha : F22D

Menu View : User Preferred

Login

Please login again...

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

User Name

Old Password

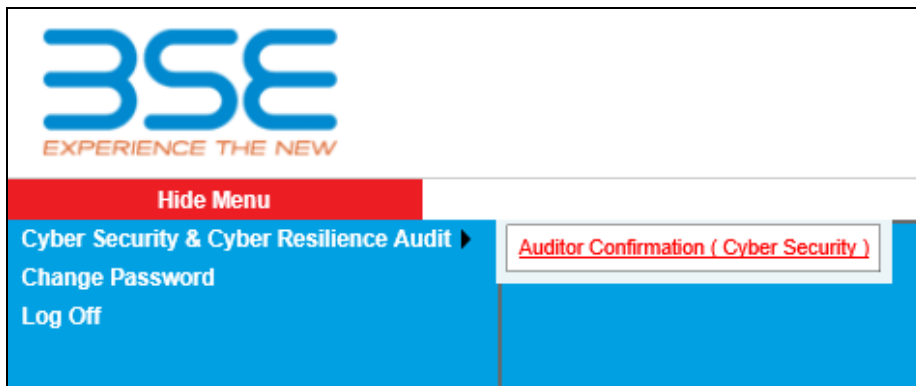
New Password

Confirm Password



Enter Captcha

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 Cyber Security & Resilience Auditor Details' screen. In the auto-populated fields:

- If the auditor wants to make any changes, they can make changes, click on 'Save' and then click on 'Submit'.
- If details are correct, then directly click on 'Submit'.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS	
Audit Period *:-	APR2020-SEP2020
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 (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
<input type="button" value="SAVE"/>	

6. 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 :-	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 (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
<input type="button" value="PRINT"/>	
<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 *:-	<input type="button" value="Browse..."/> <i>File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF</i>
<input type="button" value="FINAL SUBMIT"/>	
YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED TO PRINT	

- 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.

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	

Message from webpage

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

Upload File *:- *File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF*
1234_HALFYEARLY_UND_SEP2020.PDF

AUDITOR REQUEST IS SUBMITTED

- 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.

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

Forgot Your Password

BEFS

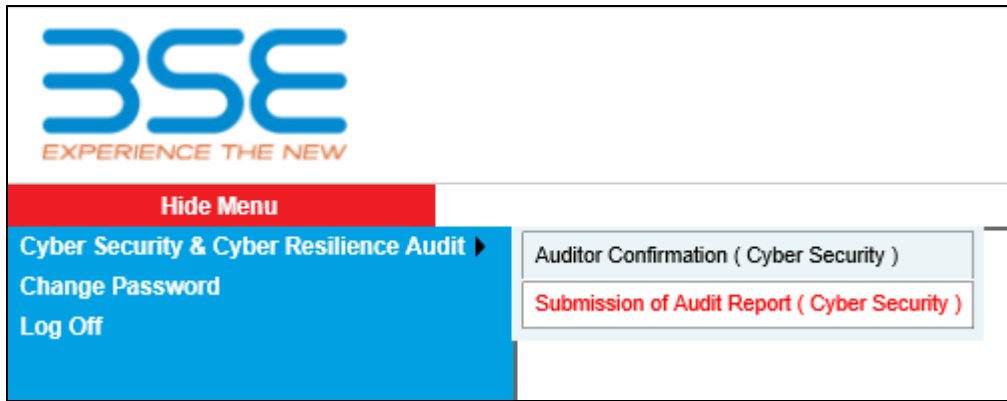
Member Code	:	<input type="text" value="1234"/>
Login Id	:	<input type="text" value="1234CSHSEP20"/>
Password	:	<input type="password" value="....."/>
<input type="button" value="Refresh"/>		
Enter Captcha	:	<input type="text" value="F22D"/> <input type="button" value="x"/>
Menu View	:	<input type="text" value="User Preferred"/> <input type="button" value="v"/>

Please login again...

Bookmark Application!

BSE Electronic Filing System

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

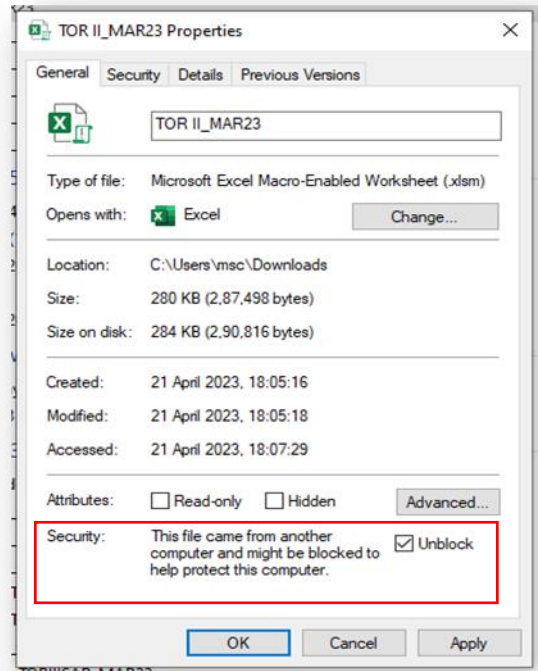
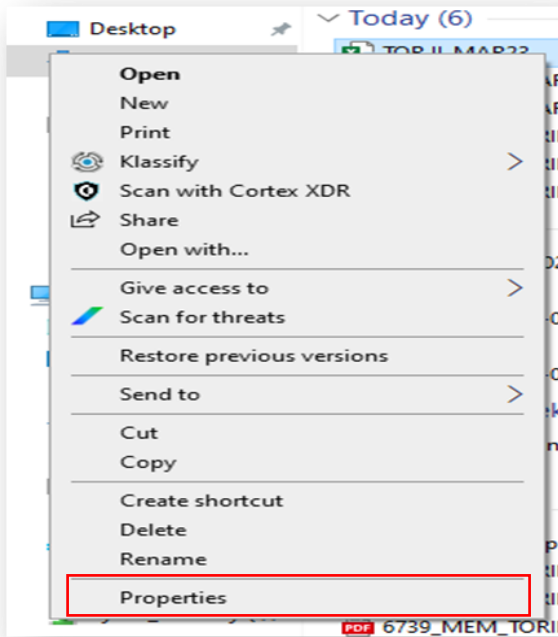


10. Download the CSAR Excel Template and fill in the required details.

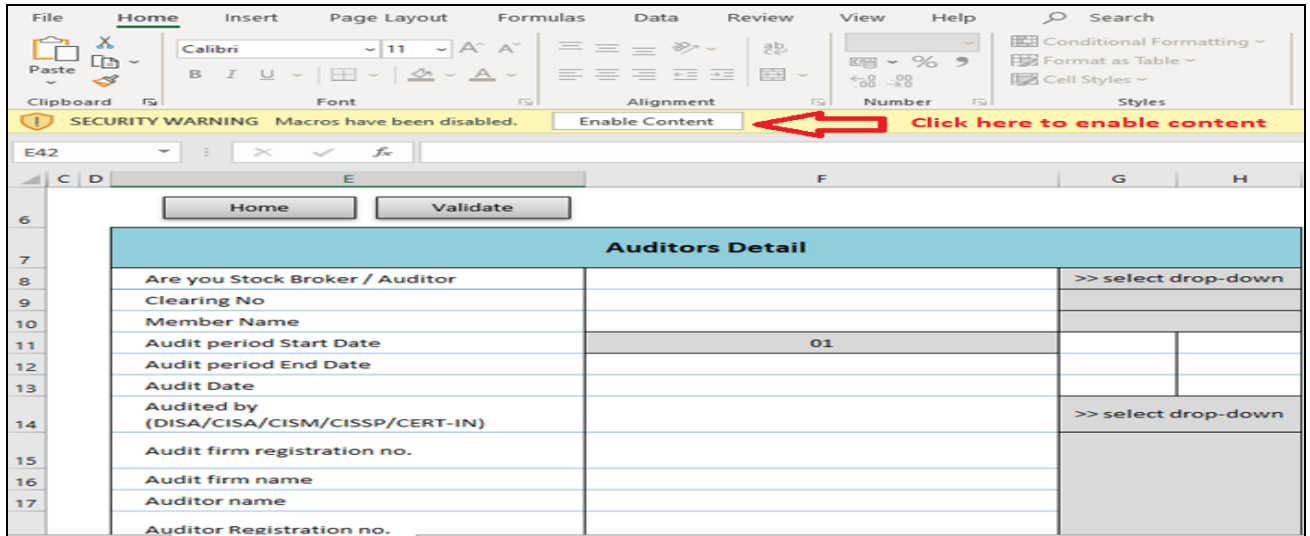
The screenshot shows a web page with a "Back" button and a "CSAR" button at the top. The main content area features a "Download Excel Template" section with a "DOWNLOAD CSAR TEMPLATE" button. Below this is a "Download Member Uploaded Files" section containing a table of uploaded files.

Company ID	File Type	Uploaded Date	File Name	Excel Download	Pdf Download
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_Apr2020-Sep2020_08012021041344.Xlsm	Download	Download

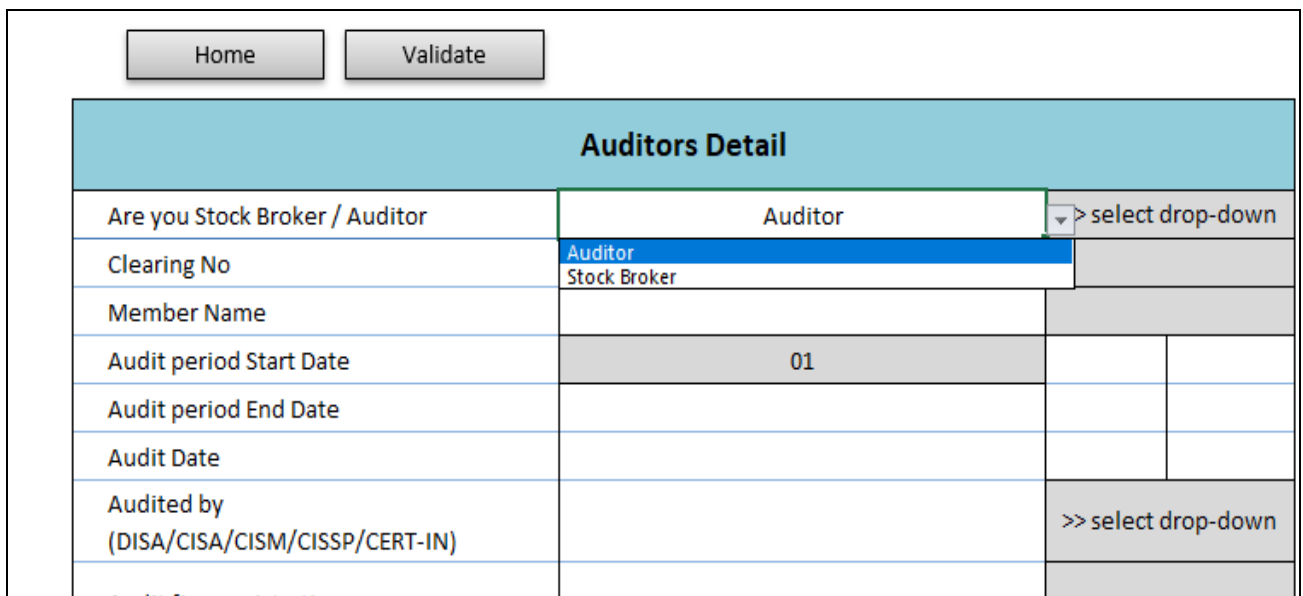
11. After downloading the CSAR Excel Template go to download and right click on the CSAR Excel Template then go into properties, there you will see “unlock” option in the General section below attributes, click on the unblock box → Apply close the dialogue box and open the CSAR Excel Template (These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



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



- 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.



- 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
1	Governance					
1a	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					

15. 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

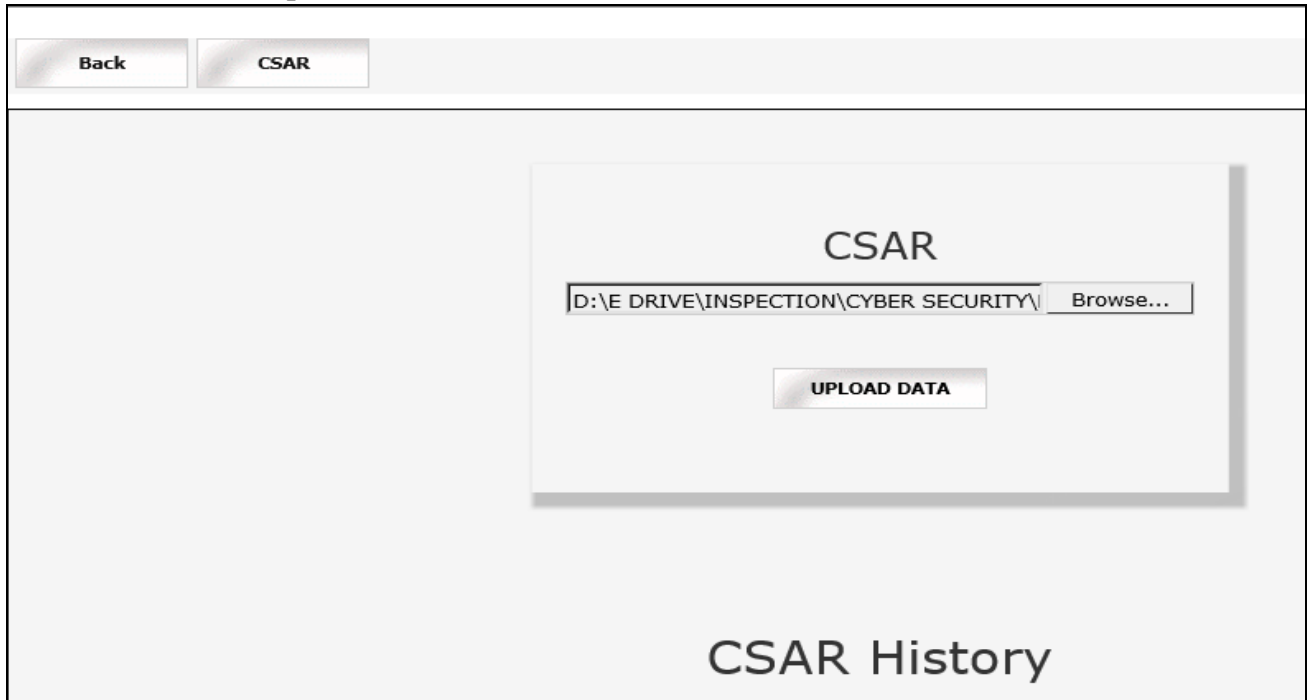


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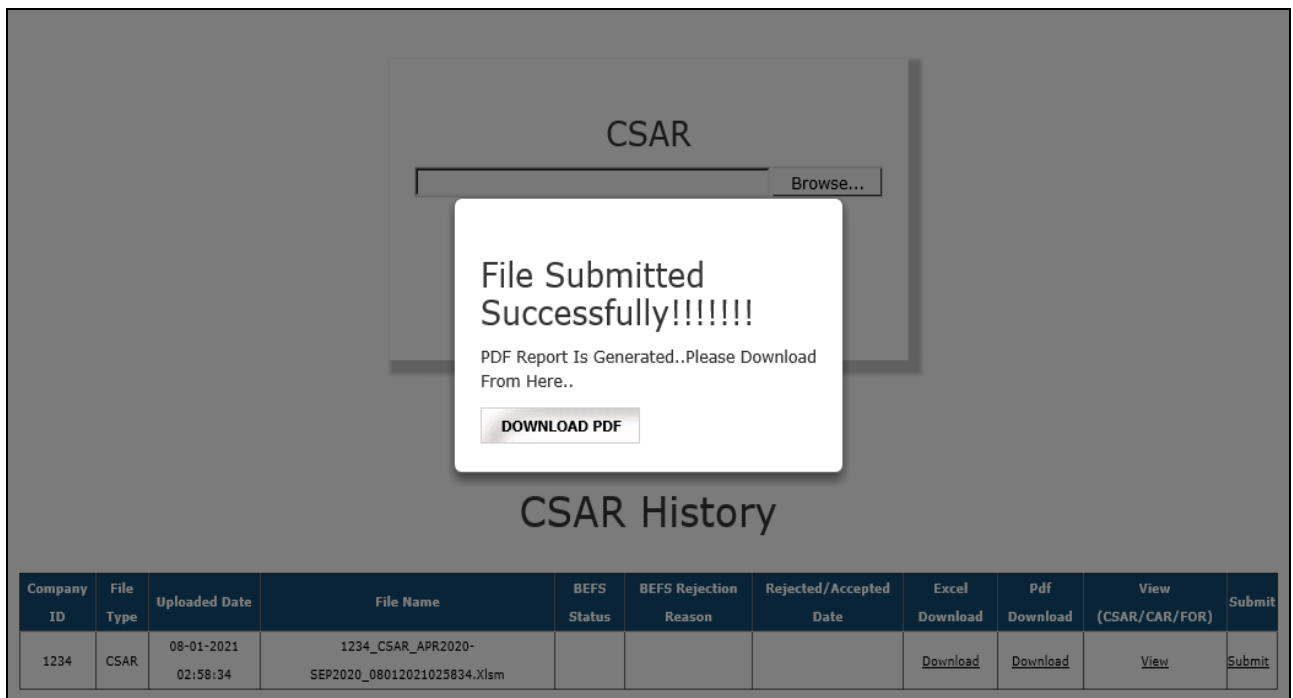


MICROVISTA
TECHNOLOGIES

16. 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’.



17. 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.



18. 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				Download	Download	View	Submit

19. 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				Download	Download	View	Submit

20. 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.

CSAR

[Browse...]

UPLOAD DATA

File Submitted Successfully!!!!!!

Your Transaction Number For This Submission Is
AUD1234CSHSEP2008012021031740.

Company ID	File Type	Uploaded Date	File Name	Accepted	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2021_SEP2020_08012021025834		Download	Download	View	Submitted

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. Auditor will open the following link <http://bef.s.bseindia.com/> on Internet Explorer and login with login credentials.



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[Install Pre requisites...
For Optimized Result , Please Click Here..](#)

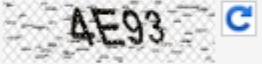
[Forgot Your Password](#)

BEFS

Member Code :

Login Id :

Password :

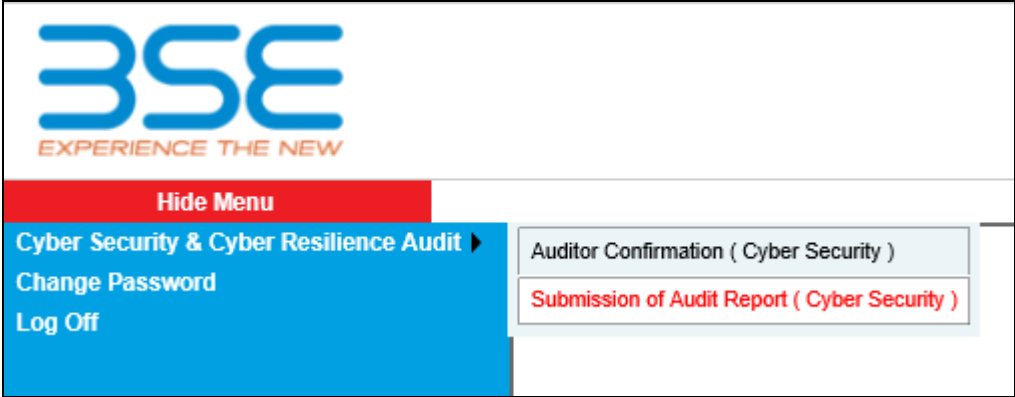


Enter Captcha :

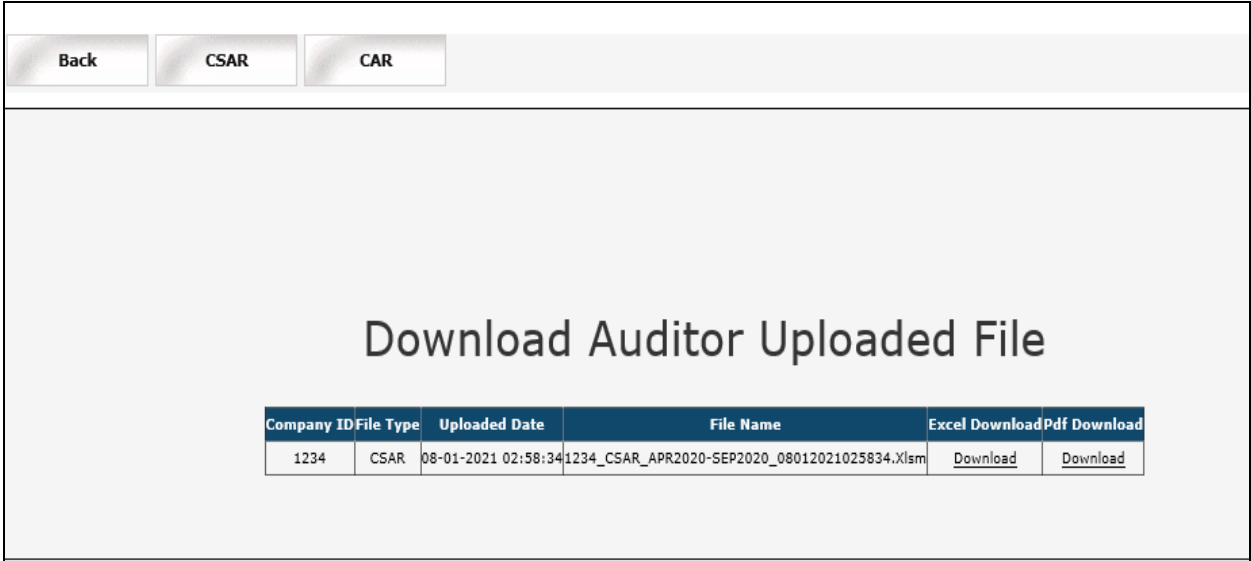
Menu View :

[Login](#)

2. Select Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security)



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



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

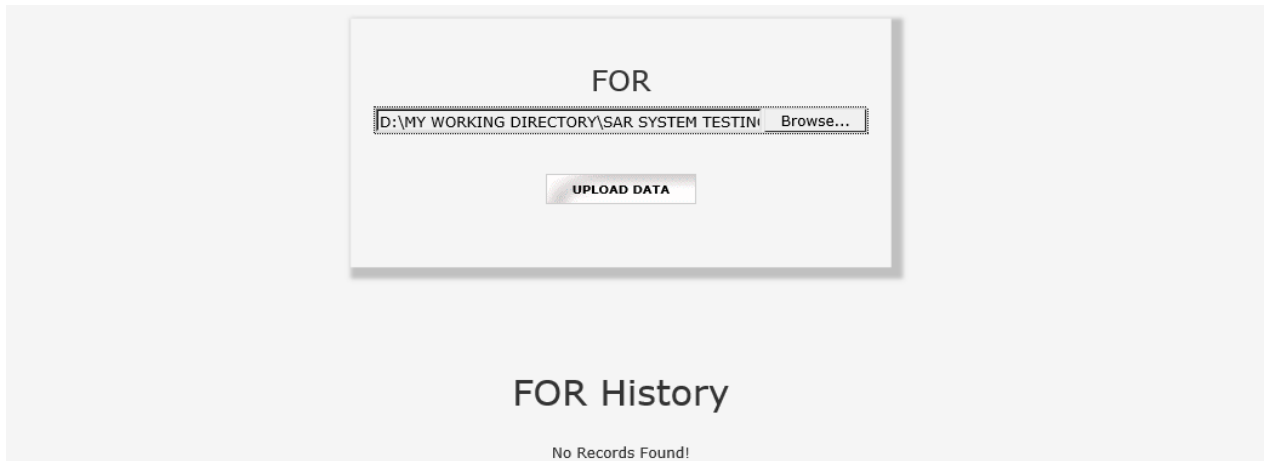
Auditor Registration no.	PQR123	
Email id of auditor	Josephine.baretto@bseindia.com	
Contact no. of auditor	9876543210	
Address of audit firm	ABC, XYZ	
Designation of auditor	Partner	
PAN no. of auditor	ABCDE1234F	
Audit Mode	Half yearly	>> select drop-down
Filing for (CSAR/CAR/FOR)	FOR	>> select drop-down
Facilities with the stock broker	CSAR	
	CAR	
	FOR	Yes
	IBT	No
	STWT	No
	DMA	No
	SOR	No
	ALGO	No

5. In FOR sheet, fill in the details and validate the FOR Excel sheet and save the file.

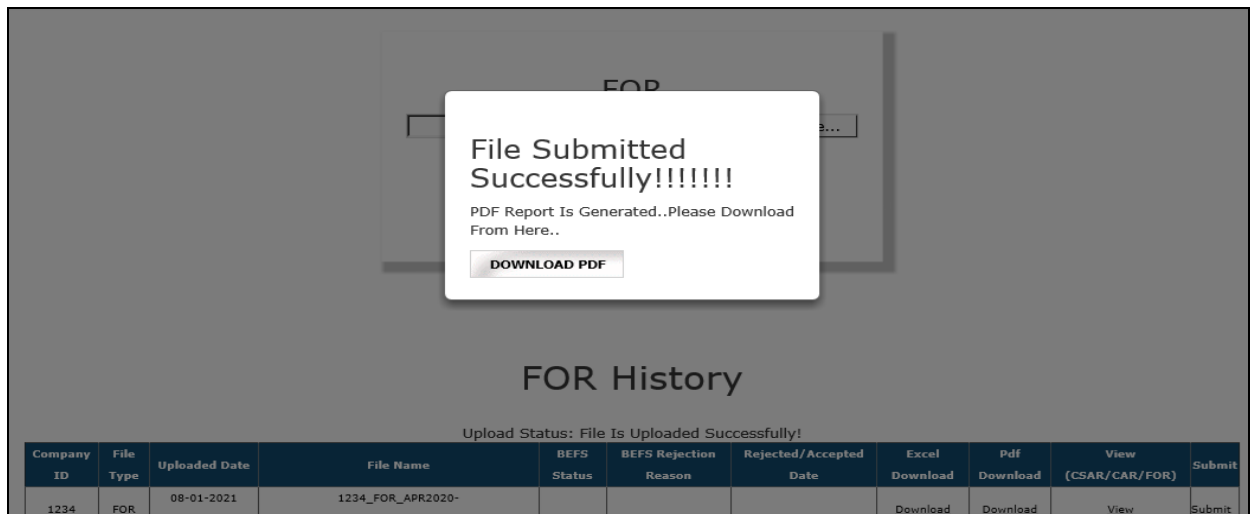
Home		Validate					
Audit Mode	Audit Mode Clause	Observation raised(Audit Mode clause)	Current Status	Revised Corrective Action	Deadline for the revised corrective action	Verified by	Closing date
III Network Security Management							
Half year	3l	Stock Brokers / Depository Participants has established 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.	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	Compliant	dsfdsf	02-02-2021	Auditor	02-02-2021

General Information FOR

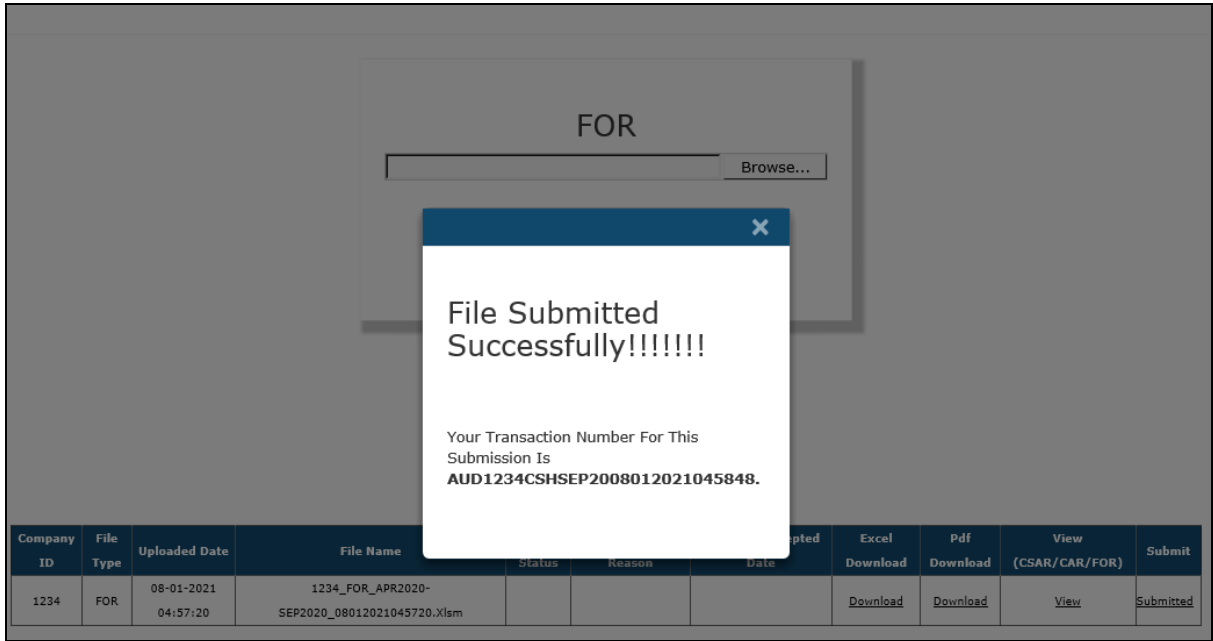
- Log into BEFS, select > Submission of Audit report (Cyber Security), then click on "CSAR" tab, scroll down to **FOR Browse Button**, click on browse button to upload **FOR Excel Sheet (Follow on Audit Report)**



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



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



The screenshot displays a web interface for uploading files. At the top, there is a section labeled 'FOR' with a text input field and a 'Browse...' button. A modal dialog box is open in the center, displaying the following text:

File Submitted Successfully!!!!!!

Your Transaction Number For This Submission Is
AUD1234CSHSEP2008012021045848.

Below the modal, a table lists the uploaded files:

Company ID	File Type	Uploaded Date	File Name	Status	Reason	Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	FOR	08-01-2021 04:57:20	1234_FOR_APR2020- SEP2020_08012021045720.Xlsm				Download	Download	View	Submitted

END OF DOCUMENT