

User guide to submit System Audit for Member

A) Registration of Auditor

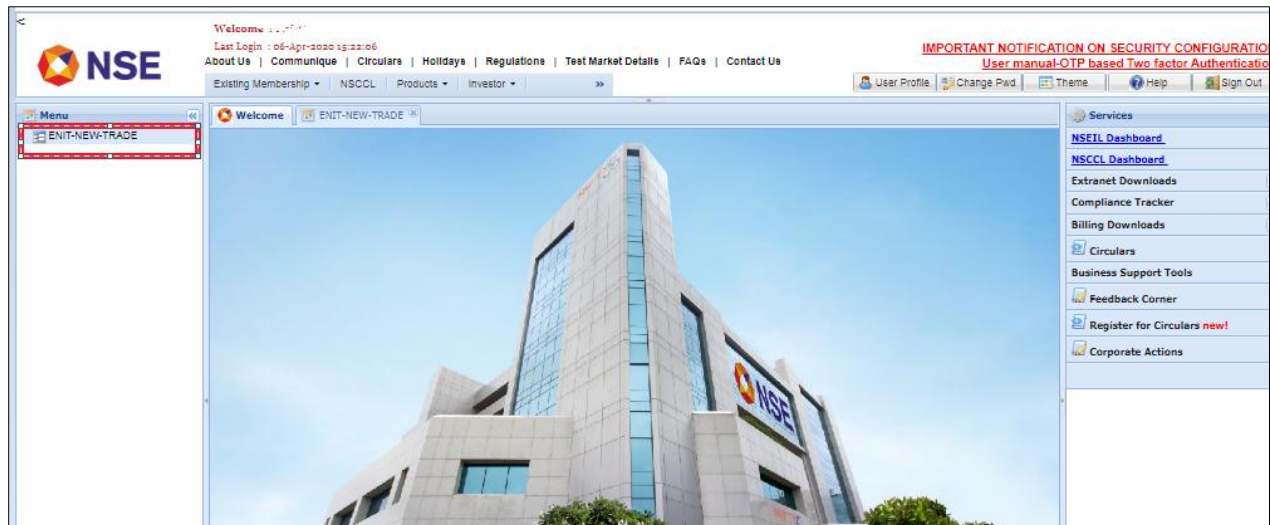
- 1) Admin User need to create 2 user ids in Member Portal.
 - a) One user id for the user at member's end who will register Auditor and submit the final Audit Report from member's end. Here Admin will assign '**ENIT- NEW-TRADE**' role to user.

[illegible]

- b) Then second user id is to be created for Auditor. Here Admin will assign '**ENIT-Cyber Security**' role to Auditor

[illegible]


- 2) Member User having ENIT-NEW TRADE, will now have to register Auditor in ENIT. User will get below screen after login. User need to click on ENIT-NEW-TRADE.




- 3) After clicking on ENIT-NEW-TRADE, user will get below screen. Click on **Trade > Cyber Security > Display Cyber Security Auditor Registration**

ENTITY	Provisional GST Id	ARN Number	PAN
National Stock Exchange of India Limited	27AAACN1797L1Z0	AA271216007256G	AAACN1797L
National Securities Depository Limited	27AAACN2642L1ZE	AA271216007418C	AAACN2642L

4) Click on New Auditor for registering Auditor for the current period.



Member Code :
Member Name :
Digital Signature Test PDF Signing
Test



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Cyber Security Auditor Registration

New Auditor

S.No	Audit Period	Auditor Login Id	Auditor Membership No	Firm Name	Auditor Name	Audit Firm Registration No	Qualification	Email Id	Created Date	Update Auditor Entry	Delete Auditor Entry
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5) Fill the details for Auditor Registration.

Add Cyber Security Auditor

Audit Period*
Select

Member Category*

Auditor Login Id*

Auditor Password*

Auditor Membership No*

Auditor Firm Name*

Auditor Name*

Audit Firm Registration No*

Auditor Qualification*
☐ DISA ☐ CISA ☐ CISM ☐ CISSP ☐ CERT-IN Empanelled Auditor

Auditor Email Id*

We undertake that we have verified the following points:
☐ The Auditor has minimum 3 years of experience in IT audit of securities market participants e.g. stock exchanges, clearing corporations, depositories, stock brokers, depository participants etc. The audit experience covers all the

- 6) On selecting Audit Period User will get below screen. Ensure that you are registering Auditor for the oldest period and Click on 'OK' button.

The screenshot shows the 'Add Cyber Security Auditor' form. A warning pop-up is displayed in the center, stating: 'Note: Make sure your chosen audit Period is from oldest to latest. for example assume we have the following audit period (OCTOBER 01, 2013 TO MARCH 31, 2014) and (APRIL 01, 2014 TO SEPTEMBER 30, 2014). Here you have to choose (OCTOBER 01, 2013 TO MARCH 31, 2014) audit period.' The pop-up has an 'Ok' button. The form fields visible include 'Audit Period' (set to APRIL 01, 2014), 'Auditor Login Id', 'Auditor Membership No', 'Auditor Name', and 'Audit Firm Registration No'.

- 7) While Entering Login details, it is to be noted that the Auditor Login details should be same as that in Member Portal.

The screenshot shows the 'Add Cyber Security Auditor' form. A confirmation pop-up is displayed in the center, stating: 'Kindly confirm that login id created in member portal for auditor matches with the login id provided here'. The pop-up has 'Yes' and 'No' buttons. The form fields visible include 'Audit Period' (set to APRIL 01, 2018 TO MARCH 31, 2019), 'Auditor Login Id' (set to EnitUr290030), 'Auditor Membership No', 'Auditor Name', 'Auditor Qualification' (with radio buttons for DISA, CISA, CISM, CISP, and CERT-IN Empanelled Auditor), 'Auditor Password', 'Auditor Firm Name', 'Audit Firm Registration No', and 'Auditor Email Id'. A note at the bottom states: 'We undertake that we have verified the following points:'.

- 8) After entering all details click on Submit. On submitting you will get below pop-up, click on 'Ok'


The screenshot shows the 'Add Cyber Security Auditor' form. A confirmation pop-up is displayed in the center, stating: 'Kindly note only one auditor can be registered for one period.' The pop-up has an 'Ok' button. The form fields visible include 'Auditor Login Id' (set to EnitUser190030), 'Auditor Password' (set to Nse@12345), 'Auditor Membership No' (set to 123456), 'Auditor Name' (set to ABC), 'Auditor Qualification' (with radio buttons for DISA, CISA, CISM, CISP, and CERT-IN Empanelled Auditor), 'Auditor Firm Name' (set to ABC Ltd), 'Audit Firm Registration No' (set to 12345678), and 'Auditor Email Id' (set to hrawat@nse.co.in). A note at the bottom states: 'We undertake that we have verified the following points:'.

9) On clicking 'Ok' user will get below message of successful Auditor registration.

Cyber Security Auditor Registration

S.No	Audit Period	Auditor Login Id	Auditor Membership No	Firm Name	Audit Firm	ification	Email Id	Created Date	Update Auditor Entry
1	APRIL 01, 2018 TO MARCH 31, 2019	EnitUr390030	123456	ABCLtd			hrawat@nse.co.in	08-Apr-2020 12:49:48 AM	<div>Update</div>

Warning

 Auditor Registration Done Successfully.

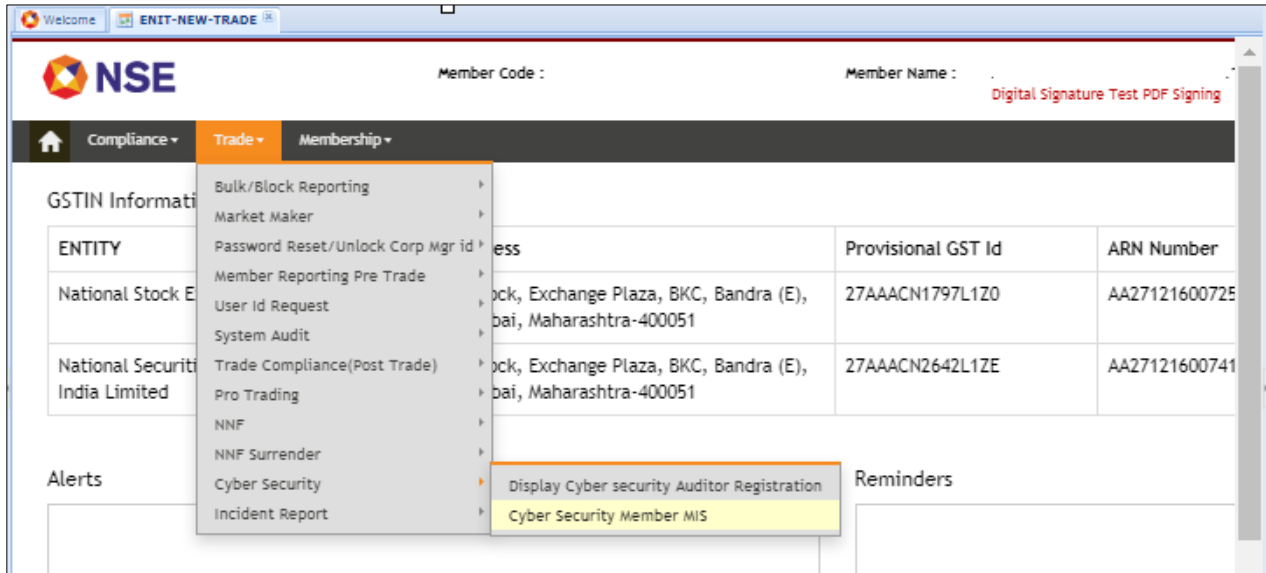
Ok

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Auditor Registration completed here. Auditor will submit the report. Once Auditor submits the report below procedure to be followed.

B) Submission of Audit Report by Member

- 1) Once Auditor submits the report in system, Member have to login in system. Click on Enit –NEW-TRADE > Trade > Cyber Security >Cyber Security Member MIS.



- 2) Select period and click on Search button

The screenshot shows the 'Cyber Security Member MIS Report' form. It includes fields for 'Member Name' (XYZ), 'Member Code' (90030), 'Req Ref No', 'Status of Preliminary Audit Report' (Select), and 'Audit Period' (APRIL 01, 2019 TO MARCH 31, 2020). There are 'Search' and 'Reset' buttons at the bottom.

- 3) Click on Reference No. link

The screenshot shows the 'Cyber Security Member MIS Report' table. The table has columns: Sr. No., Reference No., ATR Pending, Member Code, Member Name, Member Category, Audit Report Period, Auditor Firm Name, Auditor Qualification, Status of Preliminary Audit Report, and Audit Compli Status. The first row is highlighted, showing details for member 90030, ARHAM WEALTH MANAGEMENT PVT LTD, with a reference number link '90030/CsAudRpt/29'.

Sr. No.	Reference No.	ATR Pending	Member Code	Member Name	Member Category	Audit Report Period	Auditor Firm Name	Auditor Qualification	Status of Preliminary Audit Report	Audit Compli Status
1	90030/CsAudRpt/29		90030	ARHAM WEALTH MANAGEMENT PVT LTD	TYPE3	APRIL 01, 2019 TO MARCH 31, 2020	ABC Ltd	CERT- IN Empanelled Auditor	SUBMITTED TO MEMBER	

- 4) Fill require Contact Person Details, download Audit report from the link given in red font. Update Trading Member Management Comments in the excel report.

(* Indicates Mandatory)

Add Cyber Security Audit Report

TM Code:	12345
TM Name:	XYZ
Category of Trading Member:	TYPE3
Period of Audit:	APRIL 01, 2019 TO MARCH 31, 2020
Audit Firm Name	ABC Ltd
Certifications	CERT- IN Empanelled Auditor
Contact Person Details*	<div>Contact Person Name Manoj</div> <div>Contact Person Mobile No 4563453546</div> <div>Contact Person Email manoj@member.com</div>
Status of Report Submitted	SUBMITTED TO MEMBER
Cyber Security Audit Report Submitted By Auditor	Click here to download Cyber Security Audit Report Submitted By Auditor
Auditor Report Upload*	<div>Choose File No file chosen</div>

Submit

- 5) Browse and upload the report having management comments and then click on submit.

Certifications	CERT- IN Empanelled Auditor
Contact Person Details*	<div>Contact Person Name Manoj</div> <div>Contact Person Mobile No 4563453546</div> <div>Contact Person Email manoj@member.com</div>
Status of Report Submitted	SUBMITTED TO MEMBER
Cyber Security Audit Report Submitted By Auditor	Click here to download Cyber Security Audit Report Submitted By Auditor
Auditor Report Upload*	<div>Choose File Auditor_Rep...29digi.xlsx</div>

Submit

- 6) User will see the preview of report on screen. User can check error if any in Error Description column which is the last column in this preview screen. If there is any error given, click on 'Back' button in the middle bottom of the screen and upload the report again after doing necessary changes.

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(* Indicates Mandatory)

Add Cyber Security Audit Member Report

☐

TOR Clauses

Audit TOR Clause	Details	Audited Date	Audited By	Observation No	Description of finding /observation	Department	Status/Nature of Finding	Risk Rating of Findings	Root Cause Analysis
1	Governance								
1(a)	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?	19-Apr-2020	ABC	1		IT	Compliant	High Risk	
1(b)	The Cyber Security Policy should include the following process to identify, assess, and manage	19-Apr-2020	ABC	1		IT	Non Compliant	Medium Risk	

7) If there is no error, user will get 'Next' button at the bottom of the screen. Click on the 'Next' button.

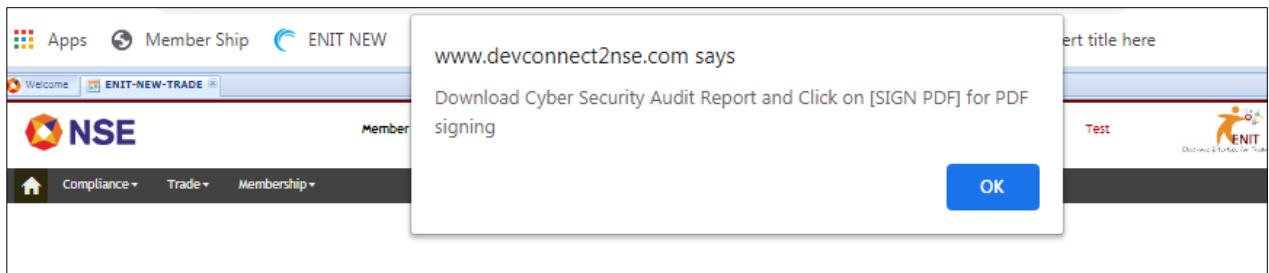
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	to outsourced staff, vendors etc.								
7(c)	The training programs should be reviewed and updated to ensure that the contents of the program remain current and relevant.	19-Apr-2020	ABC	1	FDWEFWE154685	IT	Not Applicable	Not Applicable	DFGGRGRTGRTGRTTGRTHRHRHHRHHRH
8	Systems managed by vendors								
8(a)	Where the systems (IBT, Back office and other Customer facing applications, IT infrastructure, etc.) of a Stock Brokers / Depository Participants are managed by vendors and the Stock Brokers / Depository Participants may not be able to implement some of the aforementioned guidelines directly, the Stock Brokers / Depository Participants should instruct the vendors to adhere to the applicable guidelines in the Cyber Security and Cyber Resilience policy and obtain the necessary self-certifications from them to ensure compliance with the policy guidelines.	19-Apr-2020	ABC	1	FDWEFWE154685	IT	Not Applicable	Not Applicable	DFGGRGRTGRTGRTTGRTHRHRHHRHHRH

Next

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- 8) Click 'Ok' on pop-up message



- 9) Download the PDF report by clicking on 'Cyber Sec Audit Report' link. Click on 'Sign PDF'

The screenshot shows the "Cyber Security Audit Report Final Submission" form. The form contains the following fields:

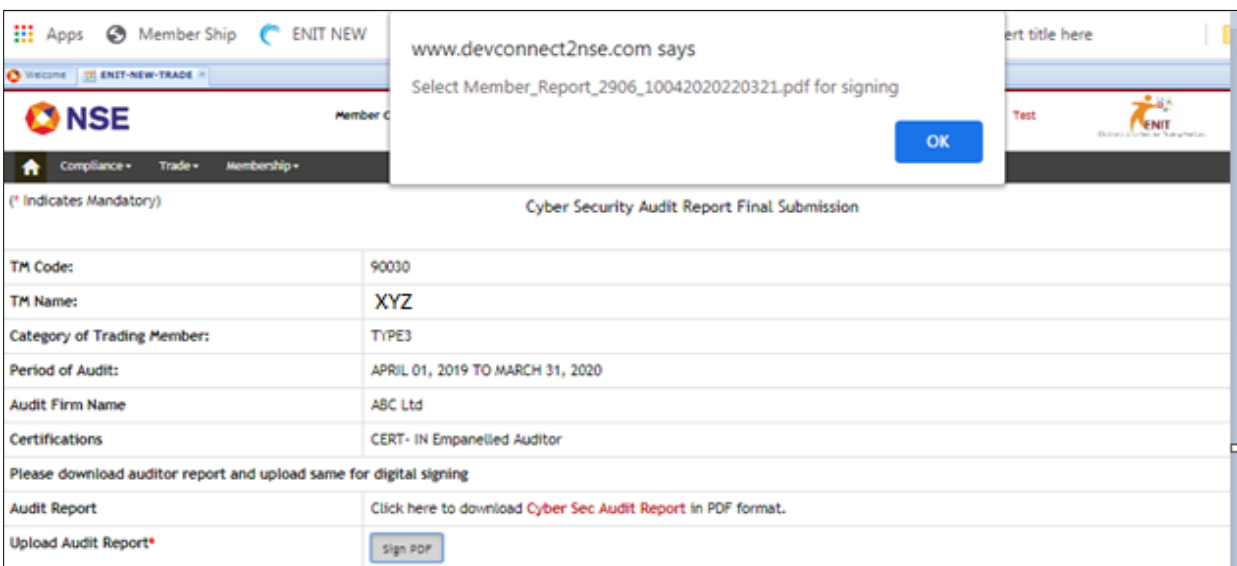
TM Code:	90030
TM Name:	XYZ
Category of Trading Member:	TYPE3
Period of Audit:	APRIL 01, 2019 TO MARCH 31, 2020
Audit Firm Name	ABC Ltd
Certifications	CERT- IN Empanelled Auditor

Please download auditor report and upload same for digital signing

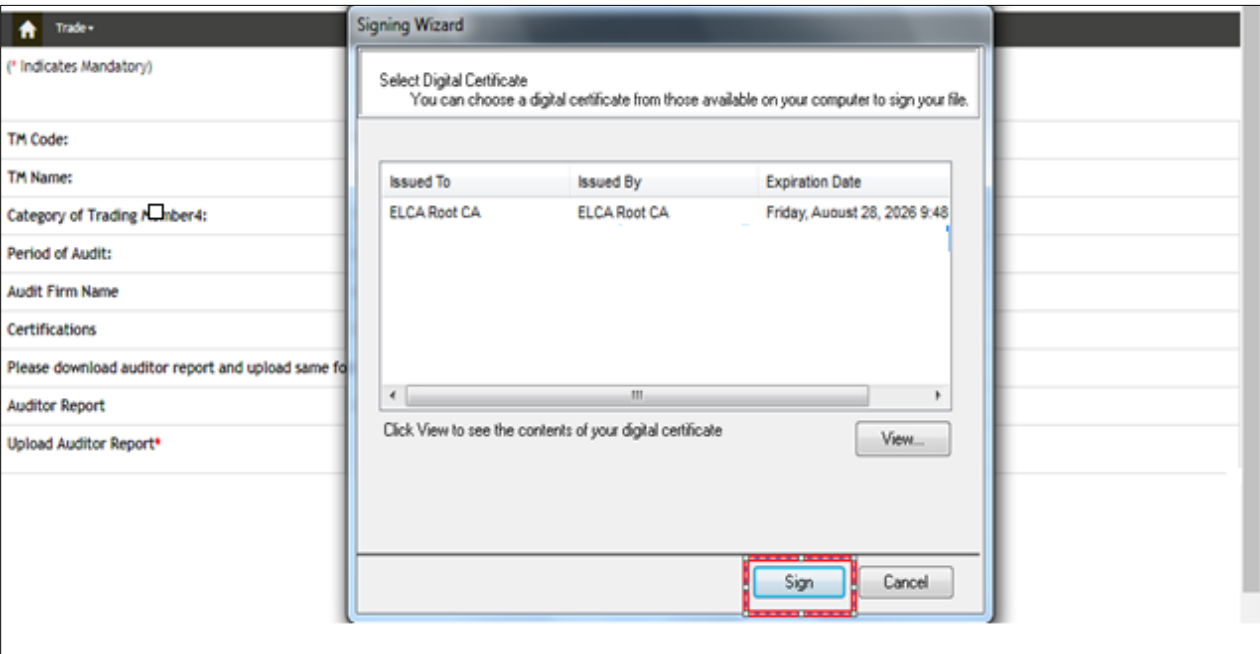
Audit Report [Click here to download Cyber Sec Audit Report in PDF format.](#)

Upload Audit Report* [Sign PDF](#)

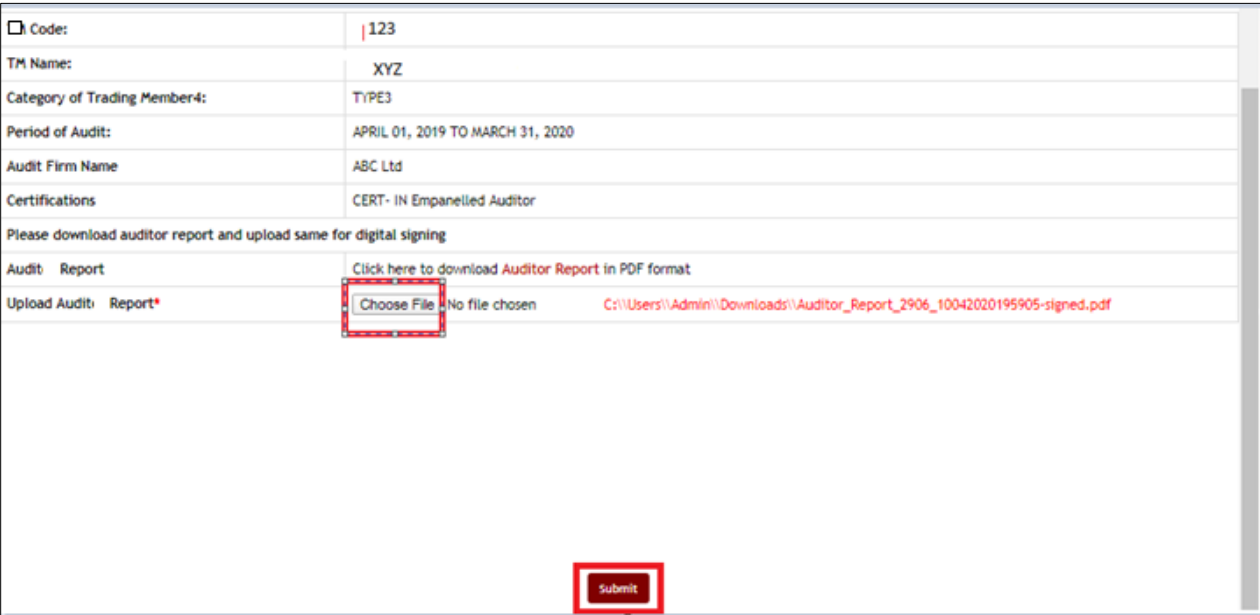
- 10) On clicking Sign PDF, user will get pop-up as shown in below screen, click on 'Ok'. Then user will be able to browse the report. Select the same PDF report which is downloaded without renaming.



11) After browsing, user will get a window for selecting Signature. Select the signature and click on ‘Sign’



12) Save the signed file in your system and browse the same after clicking on ‘Choose File’ button. Now click on Submit button.



13) Member can check the status in Cyber Security Member MIS Report

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Cyber Security Member MIS Report

Member Name: Member Code: Req Ref No:

Status of Preliminary Audit Report: Audit Period:

Export:

Sr. No.	Reference No.	ATR Pending	Member Code	Member Name	Member Category	Audit Report Period	Auditor Firm Name	Auditor Qualification	Status of Preliminary Audit Report	Audit Compl Status
	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>
1	90030/CsAudRpt/29	click Here to submit ATR	90030	ARHAM WEALTH MANAGEMENT PVT LTD	TYPE3	APRIL 01, 2019 TO MARCH 31, 2020	ABC Ltd	CERT- IN Empanelled Auditor	SUBMITTED TO EXCHANGE	

14) Further, if Auditor has given ATR requirement, member need to submit the ATR in system by clicking on the link given in Cyber Security Member MIS Report.

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Cyber Security Member MIS Report

Member Name: Member Code: Req Ref No:

Status of Preliminary Audit Report: Audit Period:

Export:

Sr. No.	Reference No.	ATR Pending	Member Code	Member Name	Member Category	Audit Report Period	Auditor Firm Name	Auditor Qualification	Status of Preliminary Audit Report	Audit Compl Status
	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>	<input type="text" value="X"/>
1	90030/CsAudRpt/30	click Here to submit ATR	90030	ARHAM WEALTH MANAGEMENT PVT LTD	TYPE3	APRIL 01, 2020 TO SEPTEMBER 30, 2020	WXYZ	CERT- IN Empanelled Auditor	SUBMITTED TO EXCHANGE	

15) Fill the require details > Click on Declaration Checkbox > Submit

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Cyber Security Audit ATR Submission

TOR Clause No	TOR Description	Description Of Finding	Status Of Finding Reported By Auditor	Risk rating Reported By Auditor	Suggestive Corrective Action	Trading Member Management Comment	Revised Status of Finding	Revised Risk Rating	Exceptions To Be Notified If Any
1(b)	The Cyber Security Policy should includes the following process to identify, assess, and manage Cyber Security risk associated with processes, information, networks and systems: a. {Identify}- critical IT assets and risks associated with such assets. b. {Protect}- assets by deploying suitable controls, tools and measures. c. {Detect}- incidents, anomalies and attacks through appropriate monitoring tools/processes. d. {Respond}- by taking immediate steps after identification of the incident, anomaly or attack. e. {Recover}- from incident through incident management and other appropriate recovery mechanisms.	FDWEFWE154685	Non Compliant	Medium Risk	EGHREHRRHRTGHRVNGFHGGERERRFGERTGERTG	Noted	Compliant ▼	Low ▼	*NEAT NOW FOW

☒ This is to confirm that we have taken satisfactory corrective action to rectify all the areas which has been rated as medium/weak by the Cyber Security auditor. Also, the Action Taken Report (ATR) for the same has been duly certified by the Cyber Security auditor.

[SubmitATRDetails](#)

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Below message after successful submission.

