

User Manual for Auditor Report Submission

- 1) Auditor will receive a system generated email once the Auditor Registration is done at Member End. Below is the Email Format. In email, Login id details will be provided Such as Membership No and Identifier No

Dear Sir/Madam,

< Member Name > has registered your firm as Cyber Security Auditor for submission of Cyber security audit report for the period APRIL 01, 2018 TO MARCH 31, 2019

Auditor firm Name: ABC Ltd

Auditor Membership no: 123456

Auditor name: ABC

Audit Firm registration no: 12345678

Kindly click on the following link <https://enit.nseindia.com/MemberPortal/home.jsp>

Please find the login details as under;

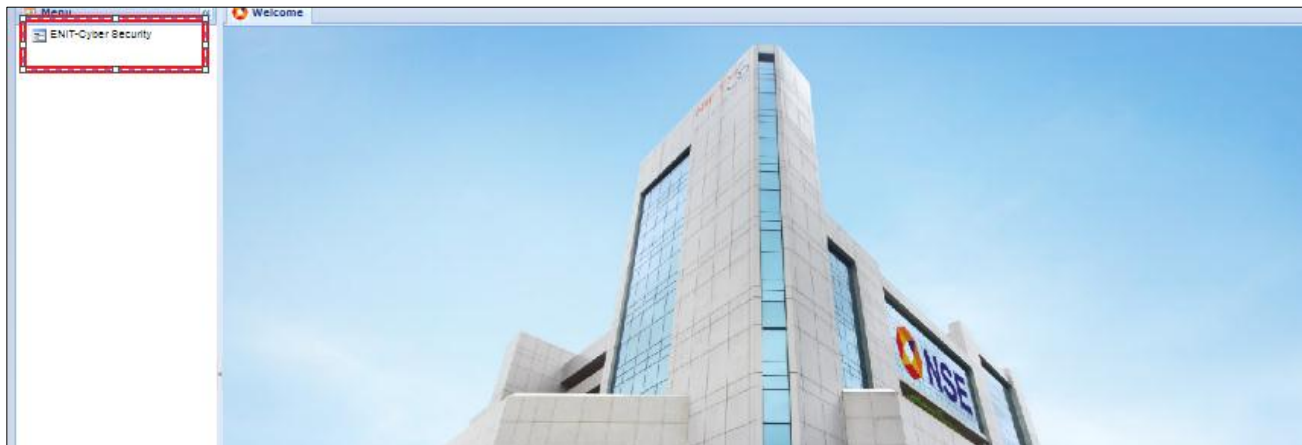
User name: EnitUr290030

Password: Nse@123456

Identifier: 45869

On clicking the above link for the first time, you will be prompted to change the password, Kindly change the password immediately.

- 2) For Auditor Submission > Login with Auditor login details. Click on ENIT-Cyber Security.



3) Click on Trade > Cyber Security > Cyber Security Auditor MIS.

The screenshot shows the NSE ENIT-Cyber Security Auditor MIS interface. The top navigation bar includes 'Menu', 'Welcome', and 'ENIT'. The main header displays the NSE logo, 'Member Code', and 'Member Name'. Below this, a sidebar on the left contains 'Trade' and 'Cyber Security' tabs, with 'Cyber Security Auditor MIS' selected. The main content area features a table with the following data:

ENTITY	Address	Provisional GST Id	ARN Number
National Stock Exchange of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN1797L1Z0	AA27121600725
National Securities Clearing Corporation of India Limited	G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051	27AAACN2642L1ZE	AA27121600741

Below the table, there are sections for 'Alerts' and 'Reminders'.

4) Fill the details and click on Search button. Then click on 'New Report' button.

The screenshot shows the 'Cyber Security Auditor MIS' search and report generation interface. It includes the following fields and buttons:

- Auditor Membership No.:** Input field with value '123456'.
- Auditor Identifier:** Input field with value '34013'.
- Audit Period:** Dropdown menu with value 'APRIL 01, 2019 TO MARCH 31, 2020'.
- Search:** Button to execute the search.
- Reset:** Button to clear the search criteria.
- New Report:** Button to generate a new report, highlighted with a red box.

5) On clicking New Report button, below screen will display. Enter the details -> Enter Contact person Name, Contact person No and Contact Person Email. Now click on 'Auditor Report Template' link to download the template.

TM Code:	90030
TM Name:	ARHAM WEALTH MANAGEMENT PVT LTD
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*	Contact Person Name <input type="text" value="ABC"/>
	Contact Person Mobile No <input type="text" value="7123858454"/>
	Contact Person Email <input type="text" value="hrawat@nse.co.in"/>
Auditor Report Template	<div style="border: 1px solid red; padding: 5px;"> Auditor Report Template 1) Kindly download latest template. 2) Avoid copy paste of values from one template to another template. 3) Avoid copy paste in fields containing dropdown values. 4) Date format should be dd-Mon-yyyy (example: 02-May-2014). 5) Kindly provide value as NA for Fields which are not applicable. </div>
Auditor Report Upload*	<input type="button" value="Choose File"/> No f...sen

- 6) After entering required details in template, save the template and upload the file by clicking on 'Choose File' button and then click on 'Submit'.

TM Code:	90030
TM Name:	ARHAM WEALTH MANAGEMENT PVT LTD
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*	Contact Person Name <input type="text" value="ABC"/>
	Contact Person Mobile No <input type="text" value="7123858454"/>
	Contact Person Email <input type="text" value="hrawat@nse.co.in"/>
Auditor Report Template	<div style="text-align: right;"><input type="button" value="Email"/></div> <div style="border: 1px solid red; padding: 5px;"> Auditor Report Template 1) Kindly download latest template. 2) Avoid copy paste of values from one template to another template. 3) Avoid copy paste in fields containing dropdown values. 4) Date format should be dd-Mon-yyyy (example: 02-May-2014). 5) Kindly provide value as NA for Fields which are not applicable. </div>
Auditor Report Upload*	<div style="border: 1px solid red; padding: 5px;"> <input type="button" value="Choose File"/> No f...sen </div> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <input type="button" value="Submit"/> </div>

- 7) After clicking on submit, preview of the report will be shown in the preview screen. Auditor need to verify the same. Error if any found in format will be updated in the 'Error Description' column in preview screen. Auditor need to click 'Back' button at the middle bottom of the screen and upload the report again after doing needful correction.

If there is no error in the format, Auditor will get 'Next' button at the bottom end of the screen.

	Suggested Corrective Action	Deadline for corrective Action	Follow up Audit required	Verified by	Closing date	ATR to be Submitted	Error Description
RTGH4EGYT4T43TE3GTERGERTGE45GTETG4ETG4E5TG54TG45TGETG	EGHREHRRHRTGHRVNGFHGGERERRFGERTGERTG	12-Nov-2020	Yes	abc	13-Nov-2020	No	
RTGH4EGYT4T43TE3GTERGERTGE45GTETG4ETG4E5TG54TG45TGETG	EGHREHRRHRTGHRVNGFHGGERERRFGERTGERTG	12-Nov-2020	No	abc	13-Nov-2020	Yes	

8) Click on Next Button

	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	DFGGRGRTGRTGRTTGRTHRHHRTHRHHRH
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	DFGGRGRTGRTGRTTGRTHRHHRTHRHHRH
<div>Next</div>									

9) Click on 'Ok' for below pop-up and then click on 'Auditor Report' link to download the report in PDF format.

Apps Member Ship ENIT NEW

Welcome ENIT

NSE Member C

Trade +

(* Indicates Mandatory)

Download Cyber Security Audit Report and Click on [SIGN PDF] for PDF signing

OK

TM Code:	90030
TM Name:	ARHAM WEALTH MANAGEMENT PVT LTD
Category of Trading Member4:	TYPE3
Period of Audit:	APRIL 01, 2019 TO MARCH 31, 2020
Actual Audit Period*	
Audit Firm Name	ABC Ltd
Certifications	CERT- IN Empanelled Auditor

Please download auditor report and upload same for digital signing

Auditor Report [Click here to download Auditor Report in PDF format](#)

Upload Auditor Report* No file chosen

10) Click on Sign PDF button. Auditor will get below pop-up, click on Ok

Welcome ENIT

Select Auditor_Report_2906_10042020192315.pdf for signing

OK

Test

NSE Member C

Trade +

(* Indicates Mandatory)

Cyber security Audit Report Final Submission

TM Code:	90030
TM Name:	ARHAM WEALTH MANAGEMENT PVT LTD
Category of Trading Member4:	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

Auditor Report [Click here to download Auditor Report in PDF format](#)

Upload Auditor Report*

11) Click on 'Ok' for the below pop-up message. Then Auditor will be able to browse the report. Select the same PDF report which is downloaded without renaming.

per Ship ENIT NEW

Last Login : 10-Apr-2020 18:59:55

About Us | Communique | Circulars

Existing Membership | NBCC | Product

Welcome ENIT

NSE

Trade

(* Indicates Mandatory)

Cyber security Audit Report Final Submission

TM Code:	90030
TM Name:	ARHAM WEALTH MANAGEMENT PVT LTD
Category of Trading Member4:	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

Auditor Report	Click here to download Auditor Report in PDF format
Upload Auditor Report*	Sign PDF

OK

IMPORTANT NOTIFICATION
new! User manual-Q

Profile Change Paid

HEALTH MANAGEMENT PV
Digital Signature Test PDF Signing

12) After browsing, Auditor will get a window for selecting Signature. Select the signature and click on 'Sign'.

Trade

(* Indicates Mandatory)

TM Code:

TM Name:

Category of Trading Member4:

Period of Audit:

Audit Firm Name

Certifications

Please download auditor report and upload same for

Auditor Report

Upload Auditor Report*

Signing Wizard

Select Digital Certificate
You can choose a digital certificate from those available on your computer to sign your file.

Issued To	Issued By	Expiration Date
ELCA Root CA	ELCA Root CA	Friday, August 28, 2026 9:48
Rahul Patil	ELCA Root CA	Tuesday, August 18, 2026 9:

Click View to see the contents of your digital certificate

View...

Sign Cancel

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

TM Code:	123
TM Name:	XYZ
Category of Trading Member4:	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	
Auditor Report	Click here to download Auditor Report in PDF format
Upload Auditor Report*	<div><div>Choose File</div><div>No file chosen</div><div>C:\\Users\\Admin\\Downloads\\Auditor_Report_2906_10042020195905-signed.pdf</div></div>
<div>Submit</div>	

After submitting, Auditor will get below message.

Trade

Audit Report has been submitted successfully for Trading Member XYZ. Reference No: 12345/CsAudRpt/29

Close

If Follow-On Audit is require, procedure given in next page is to be followed for submitting the Follow-on Audit Report.

Guidelines for submitting Follow- Up Audit Report

- 1) For submitting Follow-Up Audit, Auditor will get a link in Cyber Security Auditor MIS(Login > Enit Cyber Security > Trade > Cyber Security > Cyber Security Auditor MIS) once the Preliminary report has been submitted by Member to the Exchange.

Cyber Security Auditor MIS

Auditor Membership No.*

Auditor Identifier*

Audit Period*

Follow Up report Submission pending for period APRIL 01, 2019 TO MARCH 31, 2020

- 2) Fill the require details as require(Current finding, Current Status, Risk Rating, Verifying Auditor, Closing Date) > Tick on declaration checkbox > Submit.

Trade

Cyber Security Audit FollowUp Submission

Serial No	TOR Clause No	Preliminary Audit date	TOR Clause details	Preliminary Status	Suggestive Corrective Action	Trading Member Management Comment	Current Finding	Current Status	Risk Rating	Verified By (Name of Auditor)	Closing Date
1	1(a)	25-MAY-2020	Whether the Stock Brker 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?	SUBMITTED	NA	Done		--Select--	--Select--	Abc	

☐ This is to confirm that trading member has taken all necessary corrective action to rectify the points specified in preliminary audit and we have audited for the areas eligible for follow up audit.

3) Click on Next button

Trade

Add Cyber Security Audit Follow Up Report

(* Indicates Mandatory)

Serial No	TOR Clause No	Preliminary Audit date	TOR Clause details	Preliminary Status	Suggestive Corrective Action	Trading Member Management Comment	Current Finding	Risk rating	Verified By	Closing Date
1	1(a)	19-APR-2020	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?	SUBMITTED	EGHREHRRHRTGHRVNGFHGGERERRFGERTGERTG	Noted	Complied	Low	XYZ	11-Apr-2020

[Next](#)

4) Click on 'Auditor Report' link to download the PDF report.

Trade

Cyber Security Audit FollowUp Report Final Submission

(* Indicates Mandatory)

TM Code:	
TM Name:	
Category of Trading Member:	
Follow up Period of Audit:	APRIL 01, 2019 TO MARCH 31, 2020
Audit Firm Name	
Certifications	
Final Auditor Report	
Please download auditor report and upload same for digital signing	
Auditor Report	Click here to download Auditor Report in PDF format
Upload Auditor Report*	Sign PDF

[SUBMIT](#)

5) Sign and upload the Follow Up Audit Report. Auditor will get below message on successfully upload of report.

Success

✓ followUp Report has been submitted successfully for Trading Member XYZ.
Reference no: 2345/CsAudRpt/30

[OK](#)