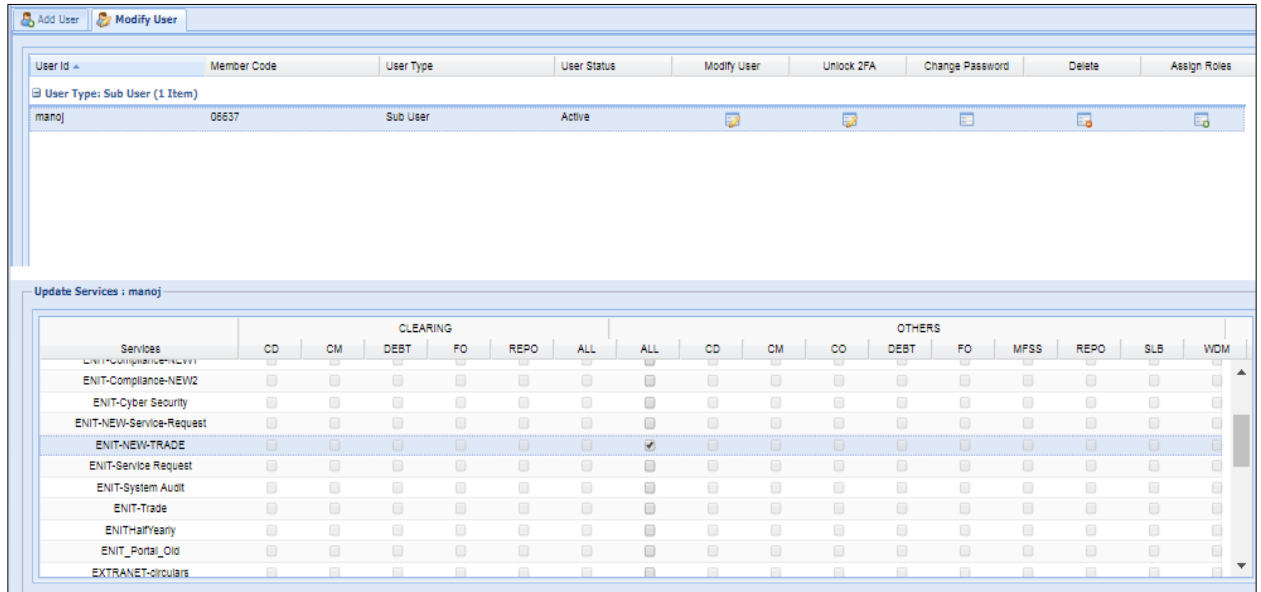


Annexure-1

User guide to submit Quarterly Incident Report

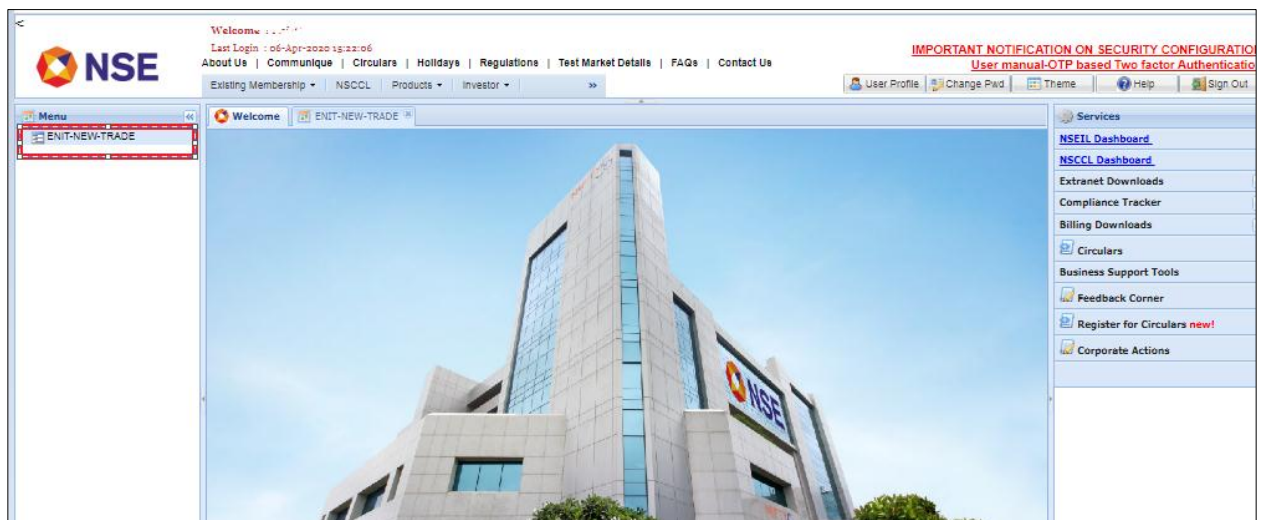
- 1) Admin User need to assign 'ENIT-NEW-TRADE' role to Designated Officer in Member Portal.



User Id	Member Code	User Type	User Status	Modify User	Unlock 2FA	Change Password	Delete	Assign Roles
User Type: Sub User (1 Item)								
manoj	06637	Sub User	Active					

Services	CD	CM	CLEARING				ALL	CD	CM	CO	OTHERS				SLB	WDM	
			DEBT	FO	REPO							DEBT	FO	MFSS	REPO		
ENIT-Compliance-NEW1	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-Compliance-NEW2	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-Cyber Security	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-NEW-Service-Request	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-NEW-TRADE	☐	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-Service Request	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-System Audit	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-Trade	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT-HalfYearly	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
ENIT_Portal_Old	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
EXTRANET-circulars	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

- 2) User having above mentioned 'ENIT NEW TRADE' role can see below screen after login.
Click on 'ENIT-NEW-TRADE'



Welcome to NSE

Last Login : 06-Apr-2020 12:22:06

About Us | Communique | Circulars | Holidays | Regulations | Test Market Details | FAQs | Contact Us

Existing Membership | NSCCL | Products | Investor

IMPORTANT NOTIFICATION ON SECURITY CONFIGURATION
User manual-OTP based Two factor Authentication

User Profile | Change Pwd | Theme | Help | Sign Out

Menu

- ENIT-NEW-TRADE

Welcome ENIT-NEW-TRADE

Services

- NSEIL Dashboard
- NSCCL Dashboard
- Extranet Downloads
- Compliance Tracker
- Billing Downloads
- Circulars
- Business Support Tools
- Feedback Corner
- Register for Circulars new!
- Corporate Actions

3) Click on Trade > Incident Report > Quarterly Report Submission

The screenshot shows the NSE ENIT-NEW-TRADE portal. The user is logged in as 'IIFL WEALTH MANAGEMENT LTD' with Member Code 90070. The 'Trade' menu is expanded, showing options like 'Bulk/Block Reporting', 'Market Maker', 'Password Reset/Unlock NEAT User Id', 'Member Reporting Pre Trade', 'User Id Request', 'System Audit', 'Trade Compliance(Post Trade)', 'Pro Trading', 'NNF', 'NNF Surrender', 'Cyber Security', and 'Incident Report'. The 'Incident Report' option is further expanded, showing 'Quarterly Report Submission', 'Immediate Report Submission', 'Quarterly View Report', and 'Immediate View Report'. The 'Quarterly Report Submission' option is highlighted.

4) Click on 'Submit Details' button

The screenshot shows the 'Quarterly Report Submission' page. It displays a table with the following data:

S.No	Year	Quarter	Submission Start Date	Due Date	Submission
1	2020-21	Q1	01-Jul-2020	15-Jul-2020	Submit Details

The 'Submit Details' button is highlighted with a red dashed border.

- 5) Details for first 2 point will auto-populate in system. Enter Designated Officer details in 3rd point. Confirm in point no. 4 whether any breach observed by selecting 'Yes' or 'No'.

Quarterly Incident Report							
Sr No	Particulars			Details			
1	Letter / Report Subject-Quarterly Incident Reporting						
	Name of the Member			XYZ			
	Name of the Stock Exchange			National Stock Exchange India Limited			
	Member ID			2940			
2	Reporting Periodicity						
	Year: 2020-21 Quarter: Q1						
3	Designated Officer (Reporting Officer details)						
	Name	Organization	Title	Phone/Fax No	Mobile	Email	Address
	Manoj Kumar Jha	Institutute InstitututeInstitutiti	Exe	26598100	1234567891	hrawat@xyz.	Abcdefghijklmnopqrstuvwxyz Abc
4	Cyber-attack / breach observed in Quarter						
	☐ Yes ☐ No						

- 6) If 'No' is selected in Point no. 4, a new field of 'Nil Submission' will auto-populate. Click the 'Nil Submission' check Box.

Quarterly Incident Report							
Sr No	Particulars			Details			
1	Letter / Report Subject-Quarterly Incident Reporting						
	Name of the Member			XYZ			
	Name of the Stock Exchange			National Stock Exchange India Limited			
	Member ID			2940			
2	Reporting Periodicity						
	Year: 2020-21 Quarter: Q1						
3	Designated Officer (Reporting Officer details)						
	Name	Organization	Title	Phone/Fax No	Mobile	Email	Address
	Manoj Kumar Jha	Institutute InstitututeInstitutiti	Exe	26598100	1234567891	hrawat@xyz.	Abcdefghijklmnopqrstuvwxyz Abc
4	Cyber-attack / breach observed in Quarter						
	☐ Yes ☒ No						
5	Brief Information						
	☒ Nil Submission						

If 'Yes' is selected in point no. 4, other questions as per SEBI Circular SEBI/HO/MIRSD/DOP/CIR/P/2019/109 dated October 15, 2019 will appear in screen. Fill all the details.

- 7) User can save data on clicking 'Save as Draft' and can submit data later.

After filling all required details, click on 'Generate PDF' button for submitting the report.

10	IP Address of apparent or suspected source			
	Select	S.No.	Source IP address	Other information available
	☐	1.		
	Add Row Delete Row			
11	How many host(s) are affected			
	☐ 0 ☐ 1 to 10 ☐ 10 to 100 ☐ More than 100			
12	Whether any action has been taken for mitigation and any preventive measures applied ?			
	☐ Yes ☐ No			
Save As Draft Generate PDF				

8) Click on 'OK' for the pop-up and then click on 'Incident Report' Link.

Apps Member Ship ENIT NEW

Welcome ENIT-NEW-TRADE

NSE Member C

Compliance Trade Membership

(* Indicates Mandatory)

Member Id: 2940

Period of Audit: 2019-20-Q4

Please download Incident report and upload same for digital signing

Incident Report Click here to download **Incident Report** in PDF format.

Upload Incident Report* No file chosen

www.devconnect2nse.com says

Download Incident Report and Click on [SIGN PDF] for PDF signing

Insert title here >> Other bo

igital Signing

ENIT

Electronic & Digital for Trading Member

9) On clicking 'Incident Report' Link, a PDF report will get download. Check the PDF report and click on 'Sign PDF' button. On clicking 'Sign PDF' button, a pop-up will display, click on 'OK' and browse the file.

Apps Member Ship ENIT NEW

Welcome ENIT-NEW-TRADE

NSE Member C

Compliance Trade Membership

(* Indicates Mandatory)

Member Id: 2940

Period of Audit: 2019-20-Q4

Please download Incident report and upload same for digital signing

Incident Report Click here to download **Incident Report** in PDF format.

Upload Incident Report*

www.devconnect2nse.com says

Select Quarterly_Incident_Report_2940_2019-20-Q4_29062020002743.pdf for signing

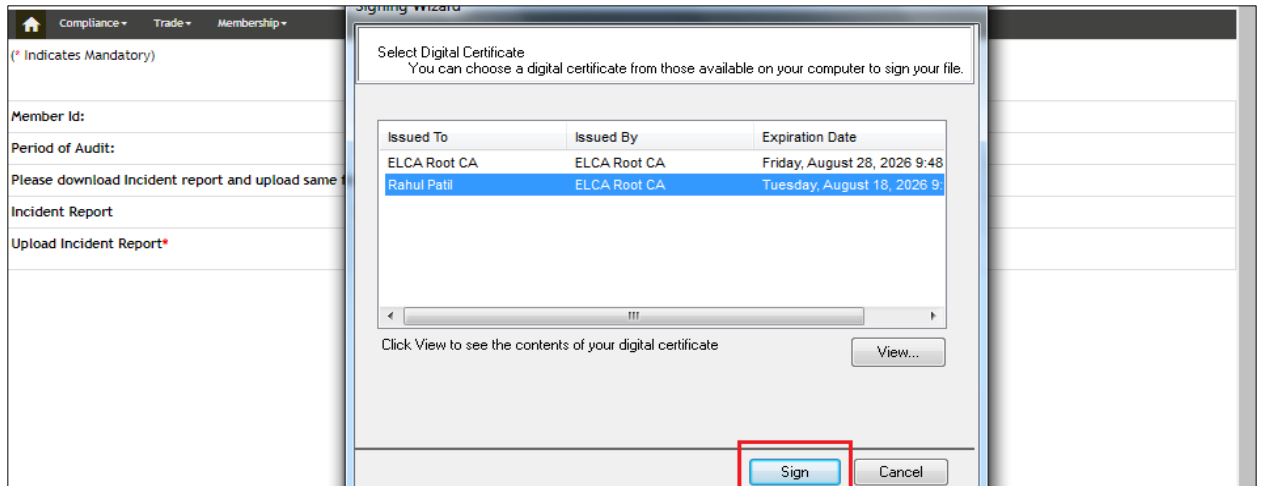
Insert title here >> Other bo

igital Signing

ENIT

Electronic & Digital for Trading Member

10) Select the digital Signature and click on 'Sign' button. Please note, digital sign should be of Designated Officer, whose details are submitted in point no. 3 of the report.



11) Upload the Signed Incident Report on clicking 'Choose File' button.

Incident Report Final Submission

(* Indicates Mandatory)

Member Id: 2940

Period of Audit: 2019-20-Q4

Please download Incident report and upload same for digital signing

Incident Report Click here to download Incident Report in PDF format.

Upload Incident Report* Choose File No file chosen C:\Users\Admin\Downloads\Quarterly_Incident_Report_2940_2019-20-Q4_29062020005750-signed.pdf

12) After uploading Signed PDF file, click on 'Submit' button

Member Id: 2940

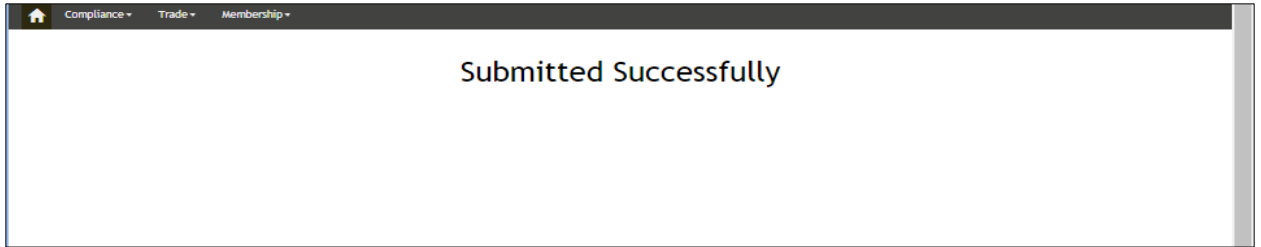
Period of Audit: 2019-20-Q4

Please download Incident report and upload same for digital signing

Incident Report Click here to download Incident Report in PDF format.

Upload Incident Report* Choose File Quarterly_I...-signed.pdf C:\Users\Admin\Downloads\Quarterly_Incident_Report_2940_2019-20-Q4_29062020005750-signed.pdf

Submit



User can see the status of the report at below path:

ENIT-NEW-TRADE >Trade > Incident Report > Quarterly View Report