

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/58266	Date: September 06, 2023
Circular Ref. No: 76/2023	

To All Members,

Sub: Submission of Compliance on Advisory for SEBI Regulated Entities (REs) regarding Cyber Security best practices

This is with reference to SEBI circular No.: SEBI/HO/ITD/ITD_VAPT/P/CIR/2023/032 dated February 22, 2023, related to “Advisory for SEBI Regulated Entities (REs) regarding Cyber Security best practices”, and Exchange circular NSE/INSP/55747 dated February 23, 2023.

Further, NSE vide Cir No- NSE/INSP/57042 dated June 09, 2023, in consultation with other Exchanges had prescribed format for providing a compliance status of cyber security best practices advisory issued through above mentioned circular.

In view of the above, members are requested to note that the link for online submission of declaration of compliance is made available. Trading Members are advised to submit compliance status through member portal to the Exchange latest by September 30, 2023.

The detailed guidelines for online submission through member portal are enclosed in **Annexure – 1**.

All Members are advised to take note of the above and comply.

**For and on behalf of
National Stock Exchange of India Limited**

**Ashwini Kadam
Senior Manager**

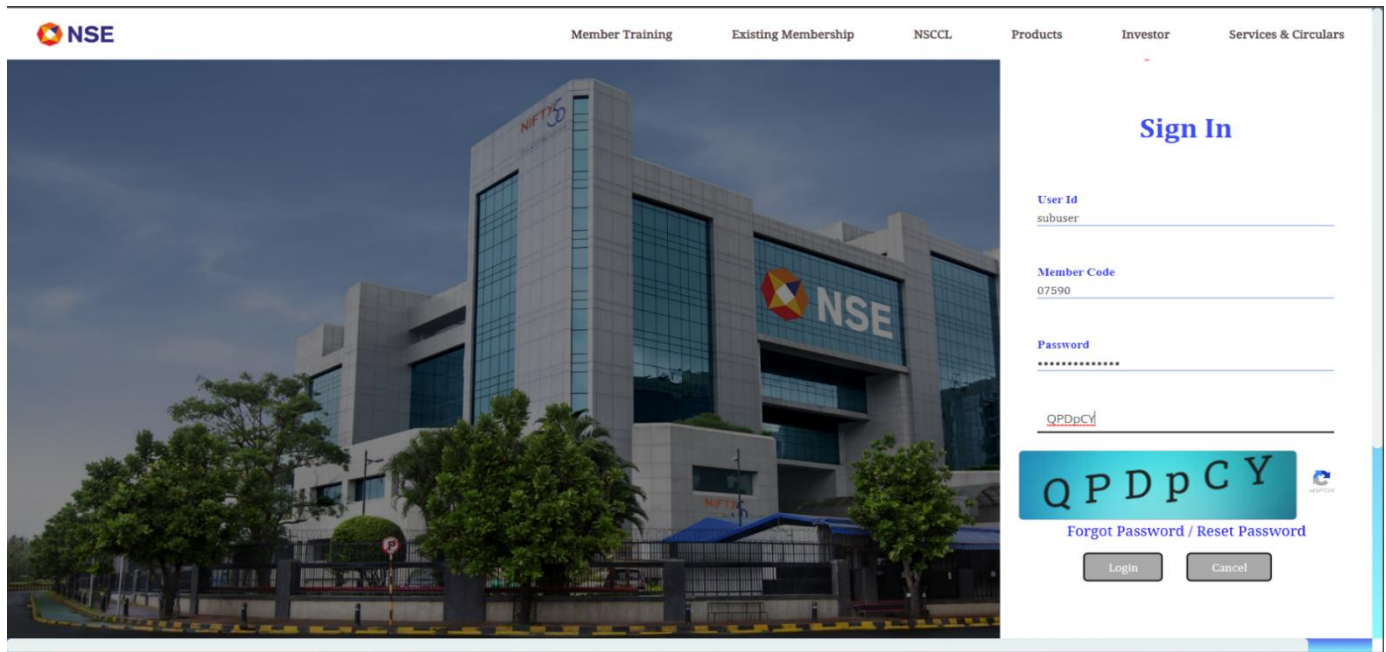
In case of any clarifications, Members may contact our below offices:

Regional Office	E MAIL ID	CONTACT NO.
Ahmedabad (ARO)	inspectionahm@nse.co.in	079- 49008632
Chennai (CRO)	inspection_cro@nse.co.in	044- 66309915 / 17
Delhi (DRO)	delhi_inspection@nse.co.in	011- 23459127 / 38 / 46
Kolkata (KRO)	inspection_kolkata@nse.co.in	033-4040 0412/59
Mumbai (WRO)	compliance_wro@nse.co.in	Board Line: 022-25045000 / 022-61928200 Direct Line: 022-25045138 / 022-25045144 Extn: 28144/28138
Central Help Desk	compliance_assistance@nse.co.in	

Annexure - 1

User guide to submit Cyber Security Best Practices Advisory compliance status by member

1. Login to Member Portal with proper credentials of user.



NSE Member Training Existing Membership NSCCL Products Investor Services & Circulars

Sign In

User Id
subuser

Member Code
07590

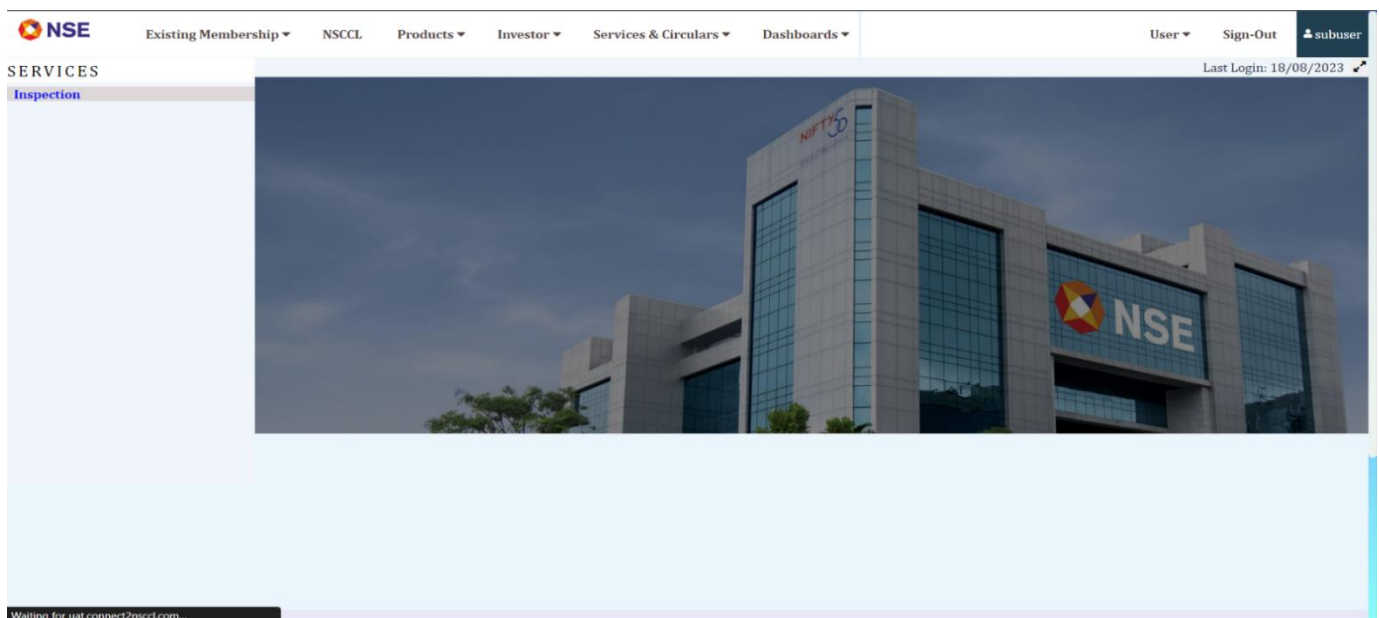
Password

QPDpCY

[Forgot Password / Reset Password](#)

Login Cancel

2. User will get below screen after successful login. Then, click on **Inspection** TAB.



NSE Existing Membership NSCCL Products Investor Services & Circulars Dashboards

User Sign-Out subuser

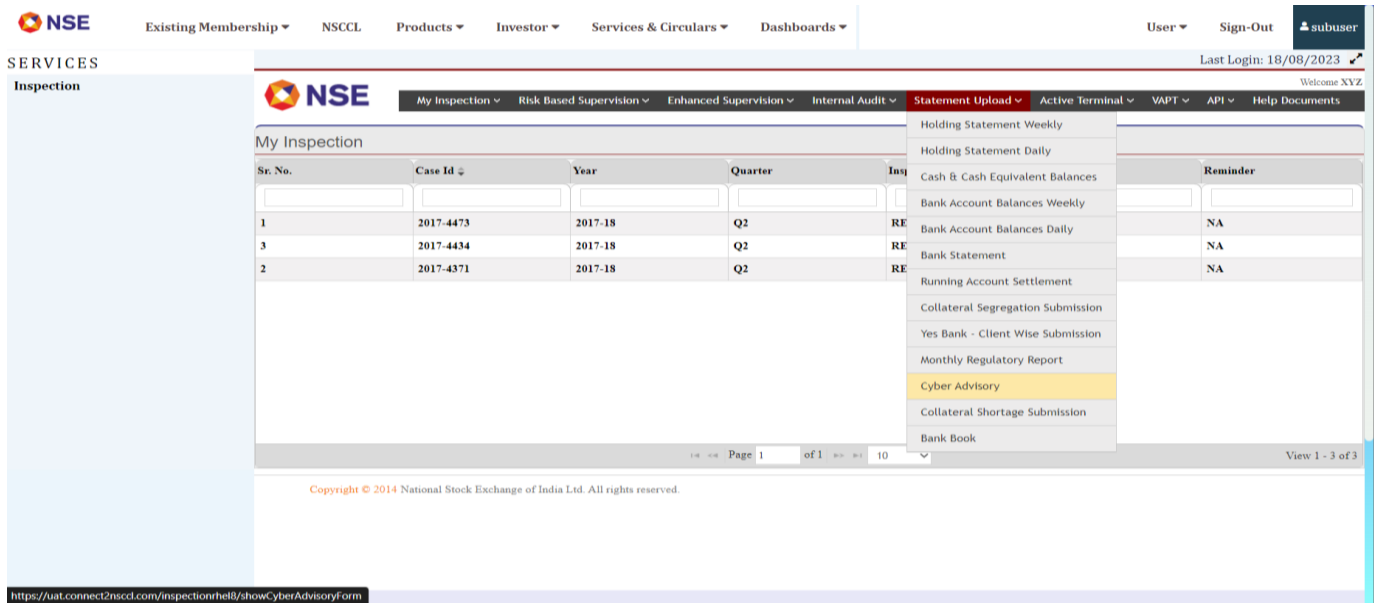
Last Login: 18/08/2023

SERVICES

Inspection

Waiting for uaf.connect2nsccl.com...

3. After clicking on Inspection, below screen is displayed. Then, Click on **Statement Upload > Cyber Advisory**.



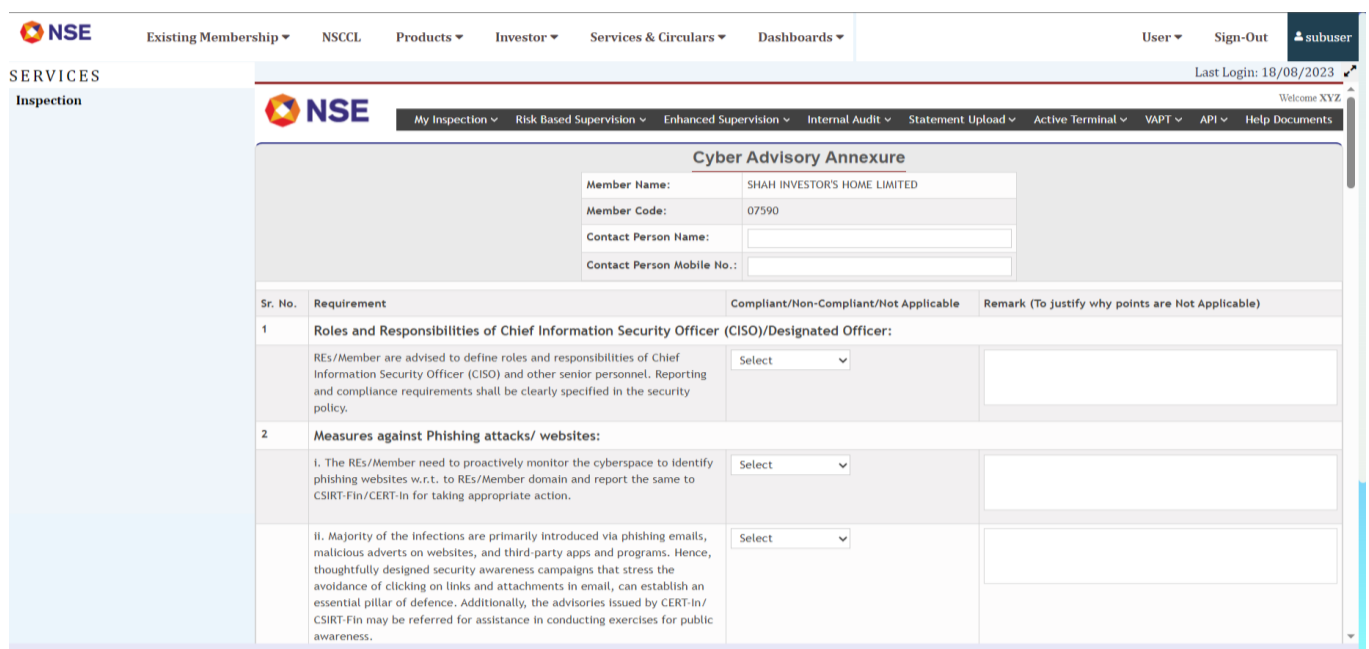
The screenshot shows the NSE Inspection page. The 'Statement Upload' dropdown menu is open, and 'Cyber Advisory' is highlighted. The 'My Inspection' table is visible below the menu.

Sr. No.	Case Id	Year	Quarter	Inspection Status	Reminder
1	2017-4473	2017-18	Q2	RE	NA
3	2017-4434	2017-18	Q2	RE	NA
2	2017-4371	2017-18	Q2	RE	NA

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https://uat.connect2nscd.com/inspectionhel8/showCyberAdvisoryForm

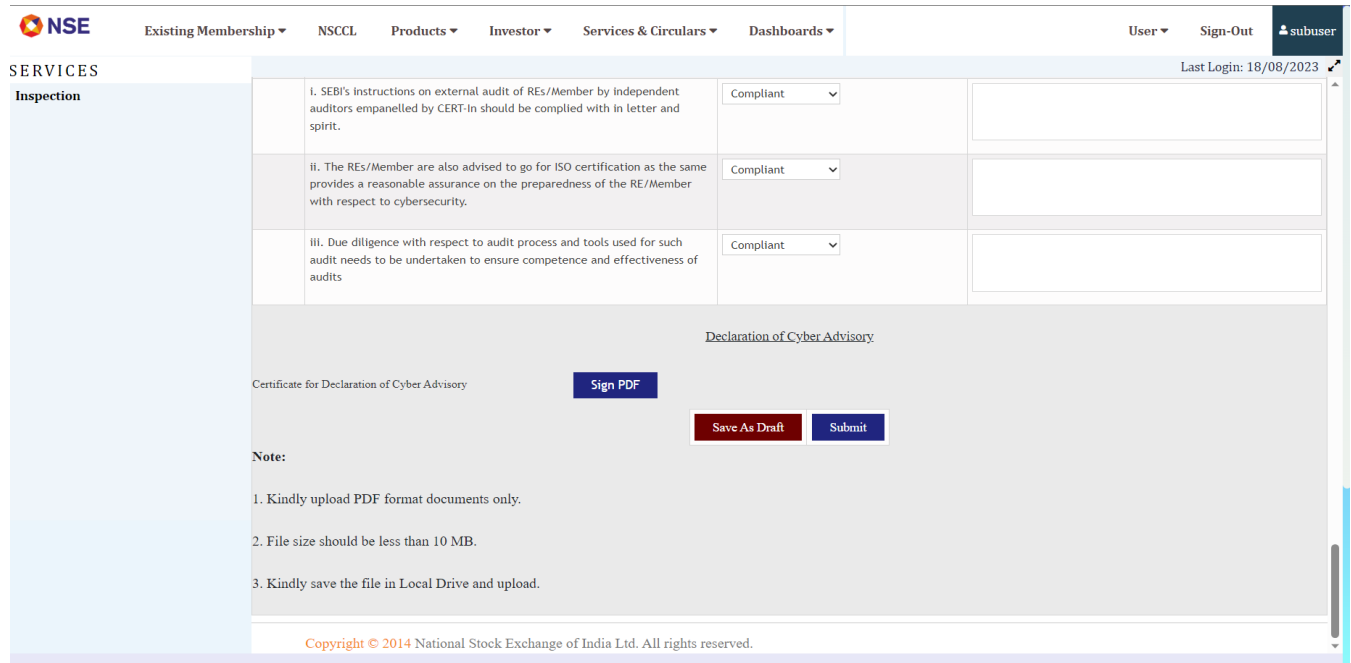
4. After clicking on **Statement Upload > Cyber Advisory**, below screen is Displayed. Give **contact person name** and **contact mobile no.** and select appropriate **compliance status** from dropdown provided for each clause and if the selected status is **Not Applicable**, member remark is mandatory.



The screenshot shows the NSE Cyber Advisory Annexure form. The form includes fields for Member Name, Member Code, Contact Person Name, and Contact Person Mobile No. Below these fields is a table with requirements and compliance status dropdowns.

Sr. No.	Requirement	Compliant/Non-Compliant/Not Applicable	Remark (To justify why points are Not Applicable)
1	Roles and Responsibilities of Chief Information Security Officer (CISO)/Designated Officer: RES/Member are advised to define roles and responsibilities of Chief Information Security Officer (CISO) and other senior personnel. Reporting and compliance requirements shall be clearly specified in the security policy.	Select	
2	Measures against Phishing attacks/ websites: i. The RES/Member need to proactively monitor the cyberspace to identify phishing websites w.r.t. to RES/Member domain and report the same to CSIRT-Fin/CERT-In for taking appropriate action.	Select	
	ii. Majority of the infections are primarily introduced via phishing emails, malicious adverts on websites, and third-party apps and programs. Hence, thoughtfully designed security awareness campaigns that stress the avoidance of clicking on links and attachments in email, can establish an essential pillar of defence. Additionally, the advisories issued by CERT-In/ CSIRT-Fin may be referred for assistance in conducting exercises for public awareness.	Select	

5. User can also save the submission as a **DRAFT**, if required.



NSE Existing Membership ▾ NSCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User ▾ Sign-Out subuser Last Login: 18/08/2023

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Inspection

i. SEBI's instructions on external audit of REs/Member by independent auditors empanelled by CERT-In should be complied with in letter and spirit.	Compliant ▾	
ii. The REs/Member are also advised to go for ISO certification as the same provides a reasonable assurance on the preparedness of the RE/Member with respect to cybersecurity.	Compliant ▾	
iii. Due diligence with respect to audit process and tools used for such audit needs to be undertaken to ensure competence and effectiveness of audits	Compliant ▾	

Declaration of Cyber Advisory

Certificate for Declaration of Cyber Advisory [Sign PDF](#)

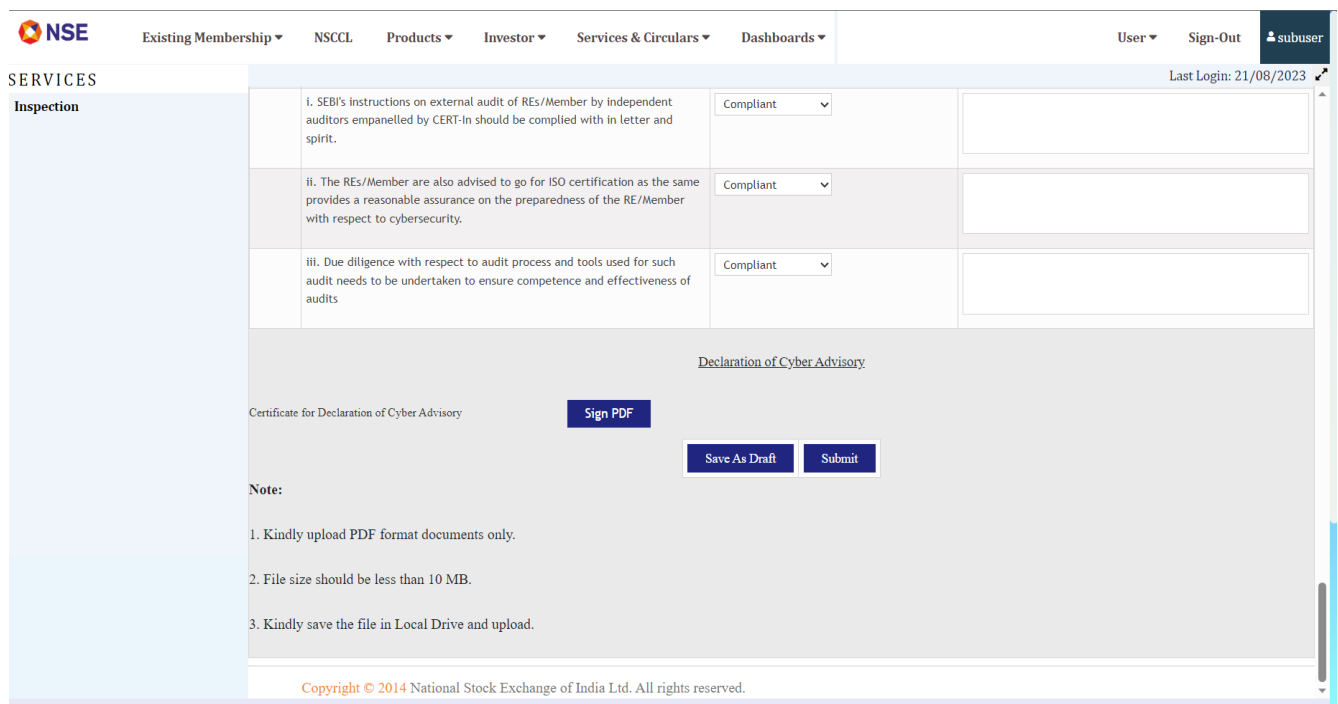
[Save As Draft](#) [Submit](#)

Note:

1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.

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6. Later, click on '**Declaration of Cyber Advisory**' that will download your submission in PDF format.



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SERVICES

Inspection

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Declaration of Cyber Advisory

Certificate for Declaration of Cyber Advisory [Sign PDF](#)

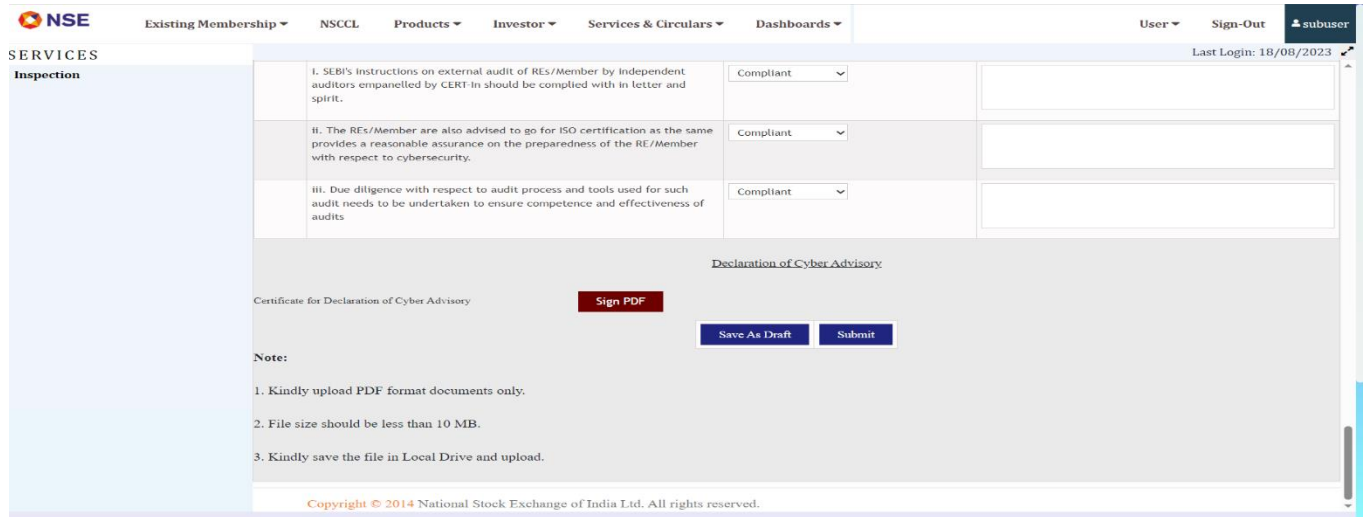
[Save As Draft](#) [Submit](#)

Note:

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7. Click on the ‘Sign PDF’ button.



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I. SEBI's instructions on external audit of REs/Member by independent auditors empanelled by CERT-In should be complied with in letter and spirit.	Compliant
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III. Due diligence with respect to audit process and tools used for such audit needs to be undertaken to ensure competence and effectiveness of audits	Compliant

Declaration of Cyber Advisory

Certificate for Declaration of Cyber Advisory

Sign PDF

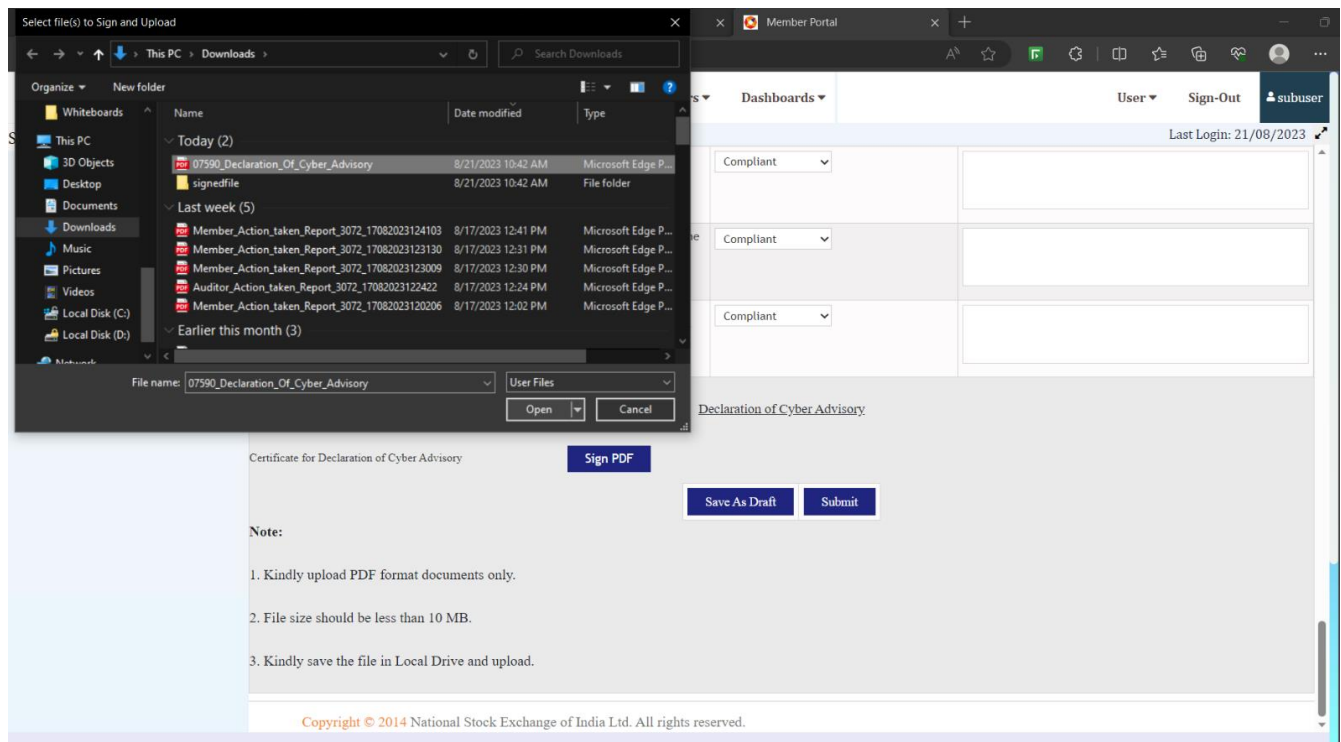
Save As Draft **Submit**

Note:

1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.

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8. Upload the downloaded PDF submission for digital signature. Do not rename the file.



Select file(s) to Sign and Upload

File name: 07590_Declaration_Of_Cyber_Advisory

Sign PDF

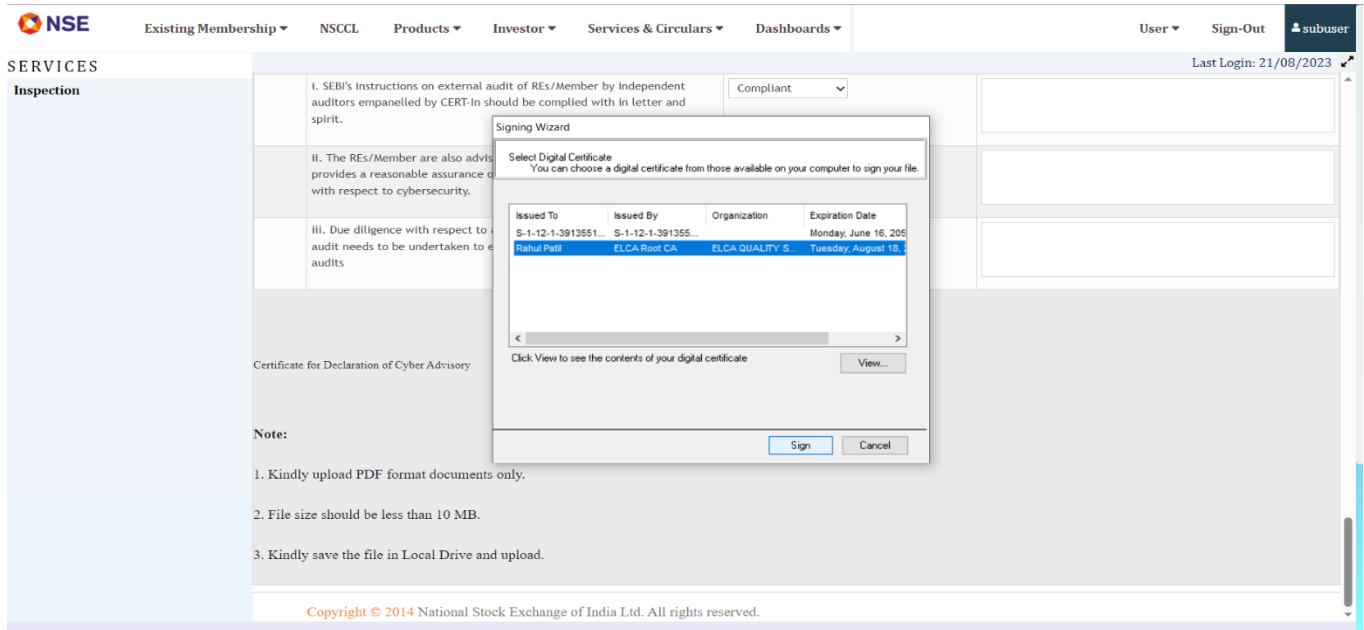
Save As Draft **Submit**

Note:

1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.

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9. Select the digital signature from the window as displayed below and click on ‘Sign’.



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Inspection

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Compliant

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Compliant

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Compliant

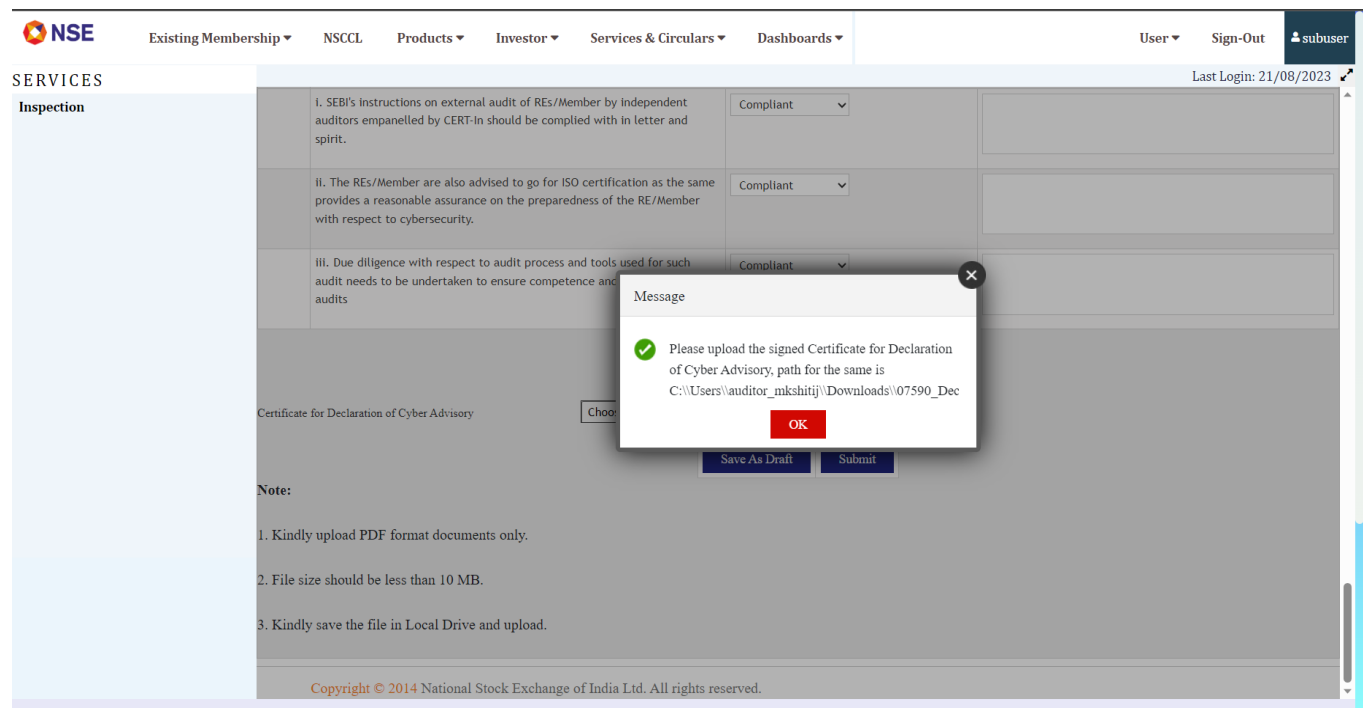
Certificate for Declaration of Cyber Advisory

Note:

1. Kindly upload PDF format documents only.
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3. Kindly save the file in Local Drive and upload.

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10. Then click on **OK**.



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Compliant

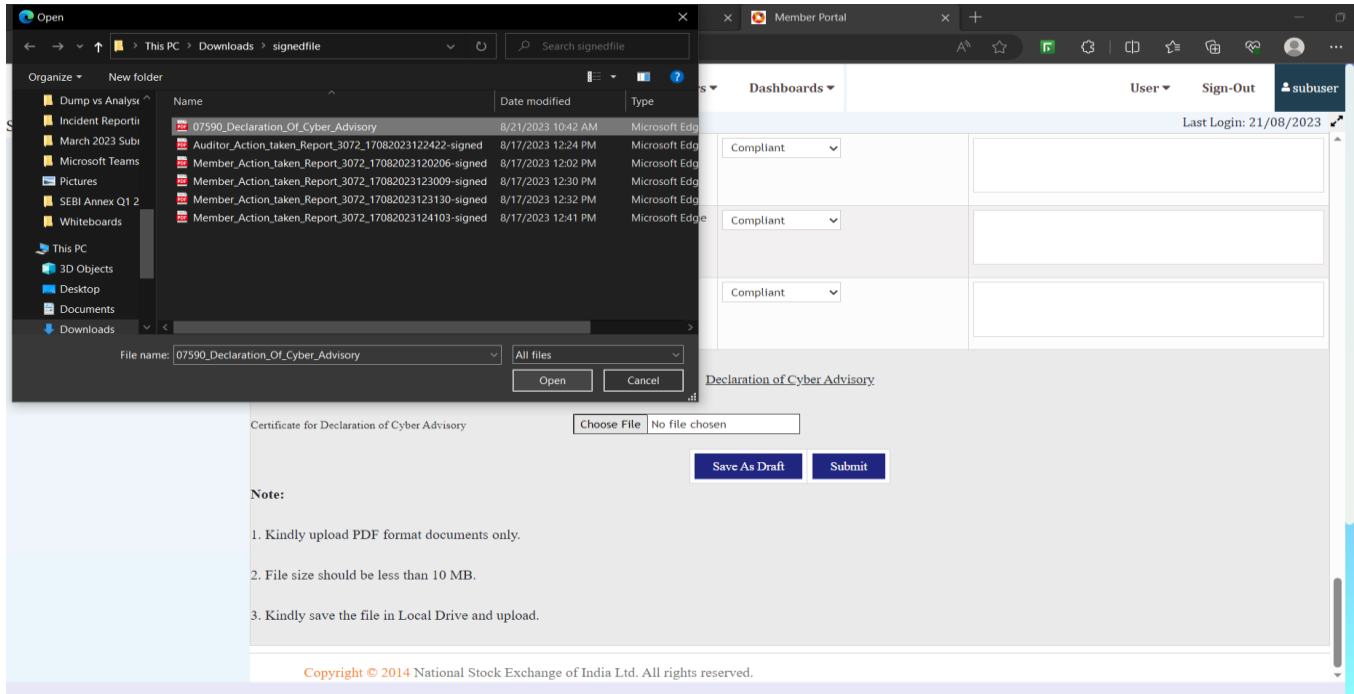
Certificate for Declaration of Cyber Advisory

Note:

1. Kindly upload PDF format documents only.
2. File size should be less than 10 MB.
3. Kindly save the file in Local Drive and upload.

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11. Click on '**Choose File**' and browse the digitally signed declaration of cyber advisory. Upload the file and click on the **Submit** button.



Open

File name: 07590_Declaration_Of_Cyber_Advisory

Organize New folder

Name Date modified Type

07590_Declaration_Of_Cyber_Advisory 8/21/2023 10:42 AM Microsoft Edge

Auditor_Action_taken_Report_3072_17082023122422-signed 8/17/2023 12:24 PM Microsoft Edge

Member_Action_taken_Report_3072_17082023120206-signed 8/17/2023 12:02 PM Microsoft Edge

Member_Action_taken_Report_3072_17082023123009-signed 8/17/2023 12:30 PM Microsoft Edge

Member_Action_taken_Report_3072_17082023123130-signed 8/17/2023 12:32 PM Microsoft Edge

Member_Action_taken_Report_3072_17082023124103-signed 8/17/2023 12:41 PM Microsoft Edge

Open Cancel

Member Portal

Dashboards

User Sign-Out subuser

Last Login: 21/08/2023

Compliant

Compliant

Compliant

Declaration of Cyber Advisory

Certificate for Declaration of Cyber Advisory

Choose File No file chosen

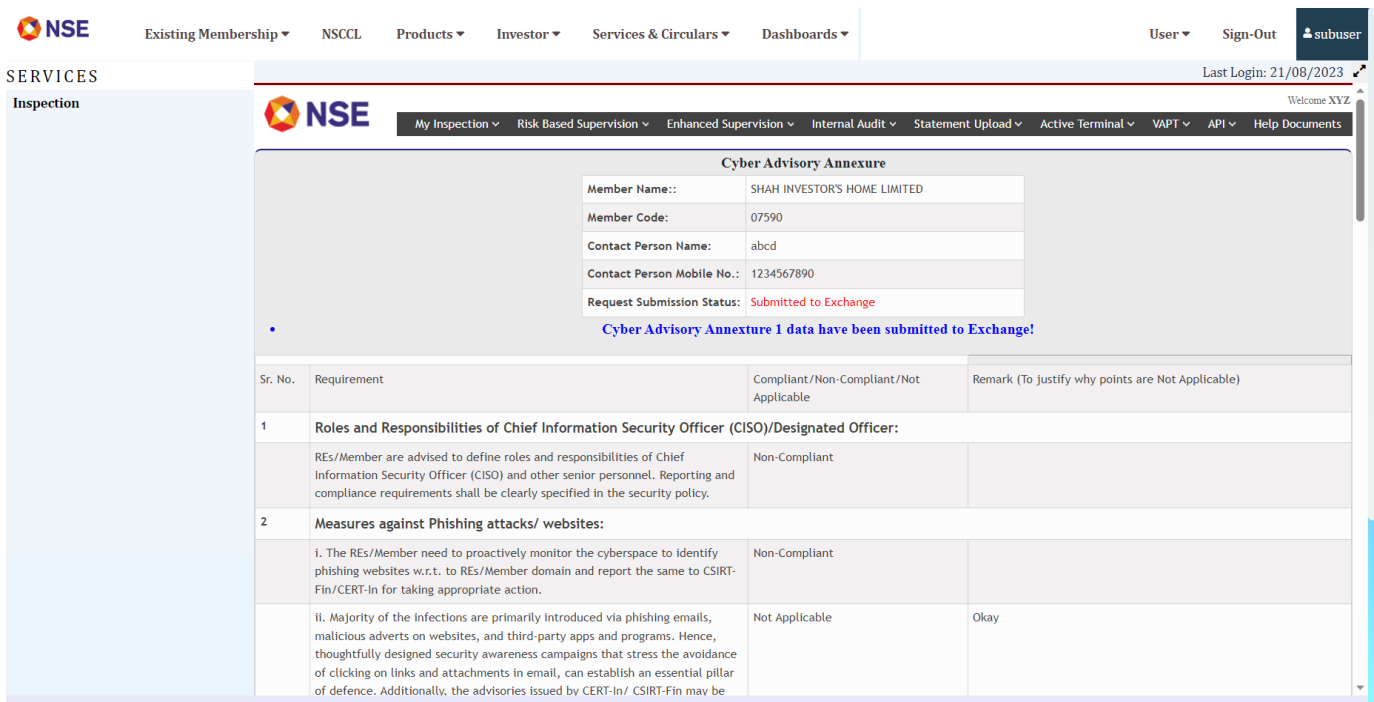
Save As Draft Submit

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12. Below screen will be displayed after successful submission.



NSE

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WELCOME XYZ

My Inspection Risk Based Supervision Enhanced Supervision Internal Audit Statement Upload Active Terminal VAPT API Help Documents

SERVICES

Inspection

Cyber Advisory Annexure

Member Name:: SHAH INVESTOR'S HOME LIMITED

Member Code: 07590

Contact Person Name: abcd

Contact Person Mobile No.: 1234567890

Request Submission Status: Submitted to Exchange

Cyber Advisory Annexure 1 data have been submitted to Exchange!

Sr. No.	Requirement	Compliant/Non-Compliant/Not Applicable	Remark (To justify why points are Not Applicable)
1	Roles and Responsibilities of Chief Information Security Officer (CISO)/Designated Officer:		
	REs/Member are advised to define roles and responsibilities of Chief Information Security Officer (CISO) and other senior personnel. Reporting and compliance requirements shall be clearly specified in the security policy.	Non-Compliant	
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	i. The REs/Member need to proactively monitor the cyberspace to identify phishing websites w.r.t. to REs/Member domain and report the same to CSIRT-Fin/CERT-In for taking appropriate action.	Non-Compliant	
	ii. Majority of the infections are primarily introduced via phishing emails, malicious adverts on websites, and third-party apps and programs. Hence, thoughtfully designed security awareness campaigns that stress the avoidance of clicking on links and attachments in email, can establish an essential pillar of defence. Additionally, the advisories issued by CERT-In/ CSIRT-Fin may be	Not Applicable	Okay