

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION

Download Ref No: NSE/INSP/58704	Date: September 29, 2023
Circular Ref. No: 82/2023	

To All Trading Members,

Sub: Quarterly Cyber Incident reporting of Cyber Security & Cyber Resilience framework for Stockbrokers

This has reference to the SEBI circulars SEBI/HO/MIRSD/CIR/PB/2018/147 dated December 03, 2018, SEBI/HO/MIRSD/TPD/P/CIR/2022/93 dated June 30, 2022, and Exchange Circulars no. NSE/ITRC/40081 dated January 30, 2019 and NSE/INSP/53387 dated August 23, 2022 on Cyber Security & Cyber Resilience framework for Stock Brokers/Depository Participants.

In view of the above, members are required to report Cyber Incident(s) for the quarter ending September 30, 2023, through member portal on or before October 15, 2023. The path for online submission of the Quarterly Cyber Incident Report is given below.

ENIT > ENIT-NEW-TRADE > Trade > Incident Report > Quarterly Report Submission.

The guideline for submitting the Quarterly Cyber Incident Report is given in **Annexure 1**. Further, in case of any non-submission/delayed submission, disciplinary action as prescribed in **Annexure 2** will be initiated.

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

**Ashwini Kadam
Senior Manager – Inspection**

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

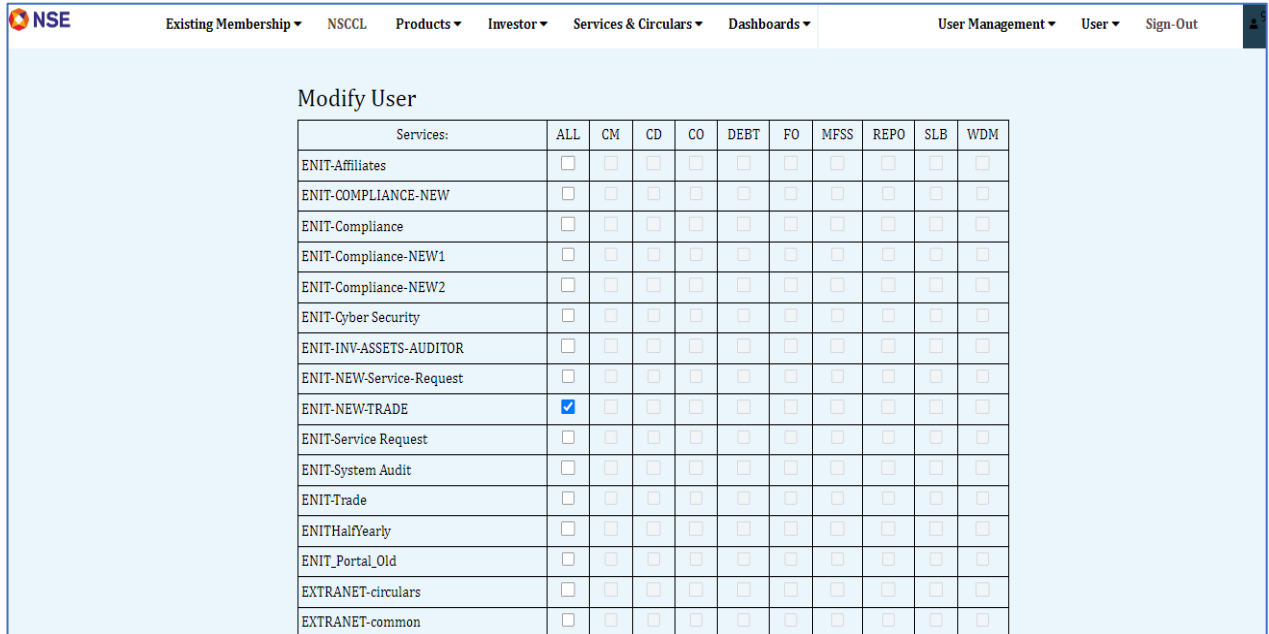
Regional Office	E MAIL ID	CONTACT NO.
Ahmedabad (ARO)	inspectionahm@nse.co.in	079- 49008632
Chennai (CRO)	inspection_cro@nse.co.in	044- 66309915 / 17
Delhi (DRO)	delhi_inspection@nse.co.in	011- 23459127 / 38 / 46
Kolkata (KRO)	inspection_kolkata@nse.co.in	033- 40400411 / 405
Mumbai (WRO)	compliance_wro@nse.co.in	022-26598200 / 022-61928200
Central Help Desk	compliance_assistance@nse.co.in	

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Annexure 1

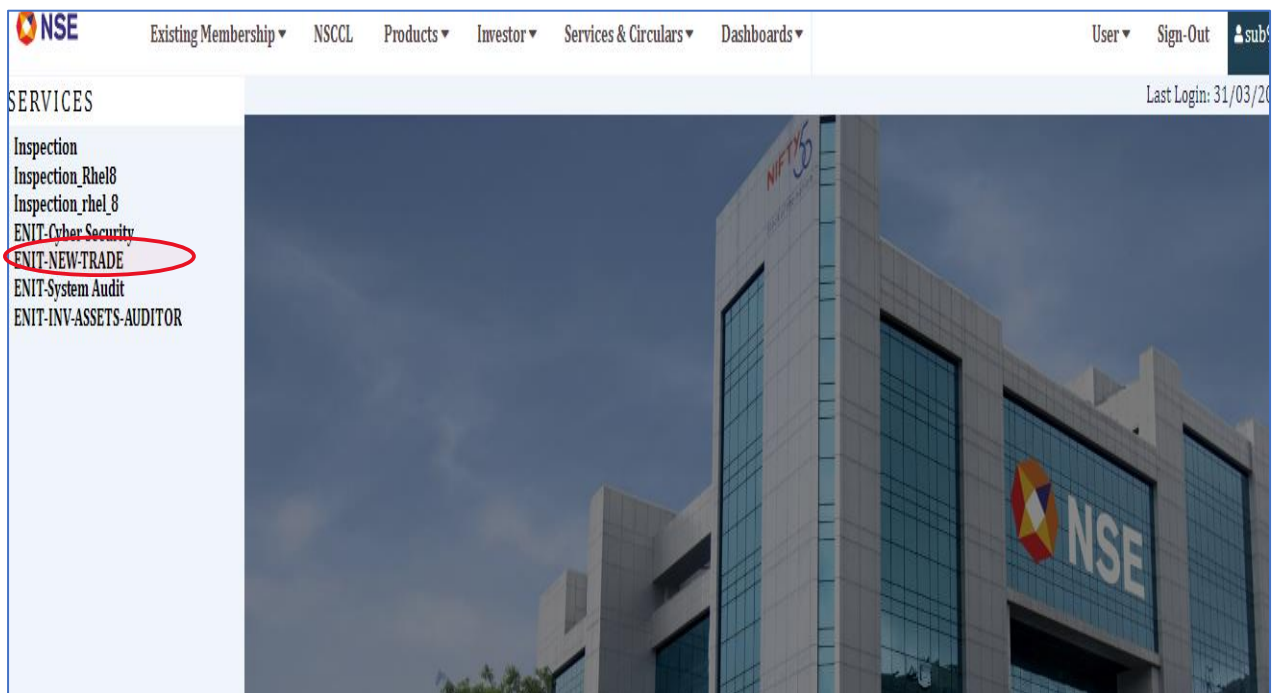
The guideline for submitting the Quarterly Cyber Incident Report

- Admin needs to assign “Enit New trade” role to designated officer in the Member Portal.



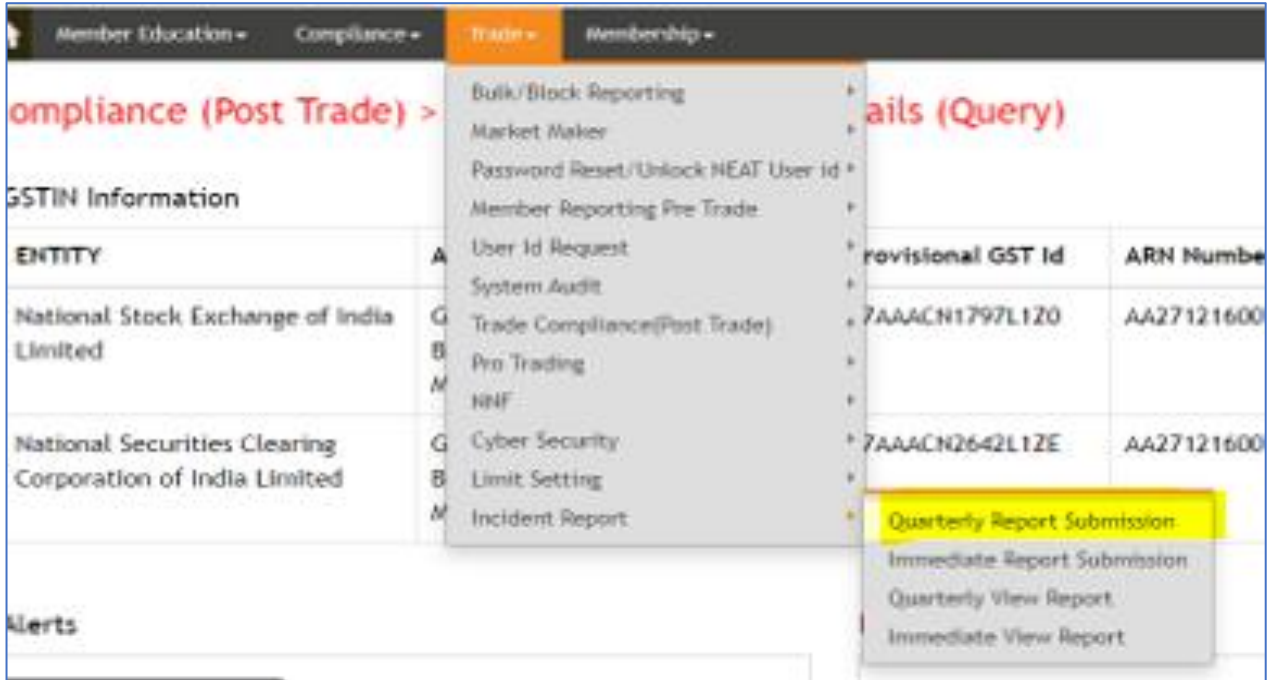
Services:	ALL	CM	CD	CO	DEBT	FO	MFSS	REPO	SLB	WDM
ENIT-Affiliates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-COMPLIANCE-NEW	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Compliance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Compliance-NEW1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Compliance-NEW2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Cyber Security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-INV-ASSETS-AUDITOR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-NEW-Service-Request	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-NEW-TRADE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Service Request	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-System Audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT-Trade	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENITHalfYearly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ENIT_Portal_Old	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-circulars	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXTRANET-common	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Sub User id having above mentioned ‘ENIT NEW TRADE’ role can see below screen after login. Click on ‘ENIT-NEW-TRADE’



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- Click on Trade > Incident Report > Quarterly Report Submission.



The screenshot shows the NSE portal navigation menu. 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, Cyber Security, Limit Setting, and Incident Report. The 'Quarterly Report Submission' option is highlighted in yellow.

- Click on 'Submit Details' button.

2023-24	Q2	01-Oct-2023	15-Oct-2023	Submit Details
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- 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: Quarter:						
3	Designated Officer (Reporting Officer details)						
	Name	Organization	Title	Phone/Fax No	Mobile	Email	Address
	Manoj Kumar Jha	Instititute institututeinstituti	Exe	26598100	1234567891	hrawat@xyz.	Abcdefghijklmnopqrstuvwxyz Abc
4	Cyber-attack / breach observed in Quarter						
	<input type="radio"/> Yes <input type="radio"/> No						

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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

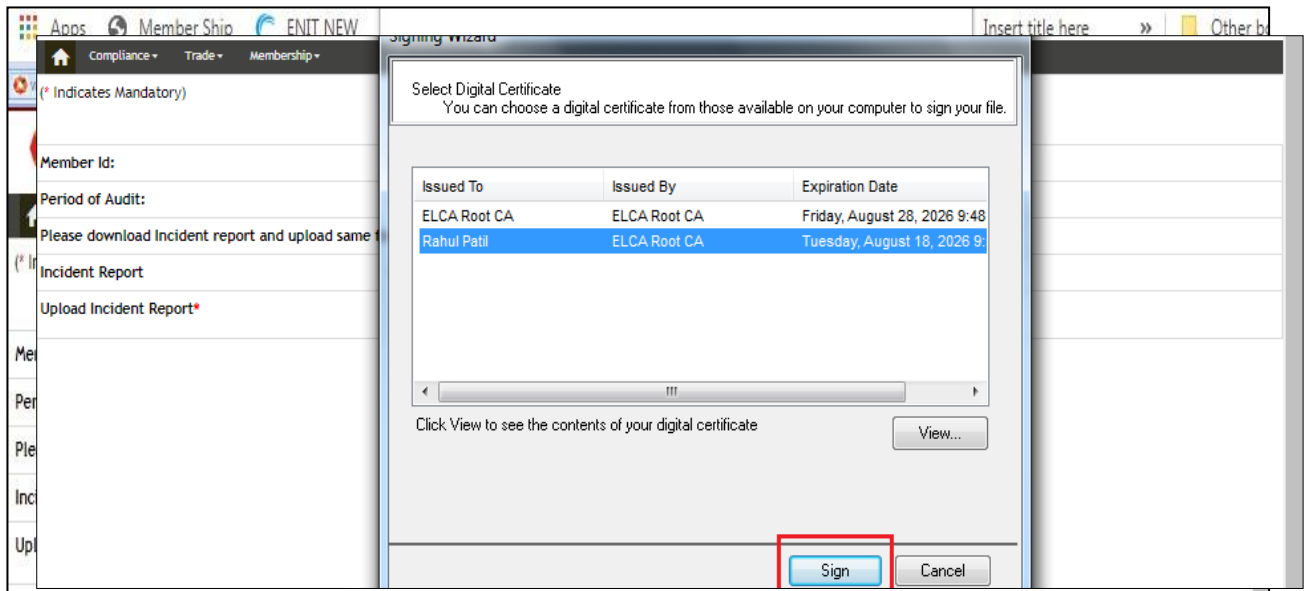
Sr No	Particulars	Details														
1	Letter / Report Subject-Quarterly Incident Reporting															
	Name of the Member	XYZ														
	Name of the Stock Exchange	National Stock Exchange India Limited														
	Member ID	2940														
2	Reporting Periodicity															
	Year: 2023-24 Quarter: Q2															
3	Designated Officer (Reporting Officer details)															
	<table border="1"> <thead> <tr> <th>Name</th> <th>Organization</th> <th>Title</th> <th>Phone/Fax No</th> <th>Mobile</th> <th>Email</th> <th>Address</th> </tr> </thead> <tbody> <tr> <td>Manoj Kumar Jha</td> <td>institute instituteinstitute</td> <td>Exe</td> <td>26998100</td> <td>1234567891</td> <td>hrawat@xyz.</td> <td>Abcdefghijklmnopqrstuvwxyz Abc</td> </tr> </tbody> </table>	Name	Organization	Title	Phone/Fax No	Mobile	Email	Address	Manoj Kumar Jha	institute instituteinstitute	Exe	26998100	1234567891	hrawat@xyz.	Abcdefghijklmnopqrstuvwxyz Abc	
Name	Organization	Title	Phone/Fax No	Mobile	Email	Address										
Manoj Kumar Jha	institute instituteinstitute	Exe	26998100	1234567891	hrawat@xyz.	Abcdefghijklmnopqrstuvwxyz Abc										
4	Cyber-attack / breach observed in Quarter															
	<input type="radio"/> Yes <input checked="" type="radio"/> No															
5	Brief Information															
	<input checked="" type="checkbox"/> Nil Submission															

7. In case "No" is selected user will be directed to save the draft and sign and upload the report. In case "Yes" is selected, user can save the details of incident as per below print screen. User can save data on clicking 'Save as Draft' and can submit data later. After filling in all required details, click on 'Generate PDF' button for submitting the report.

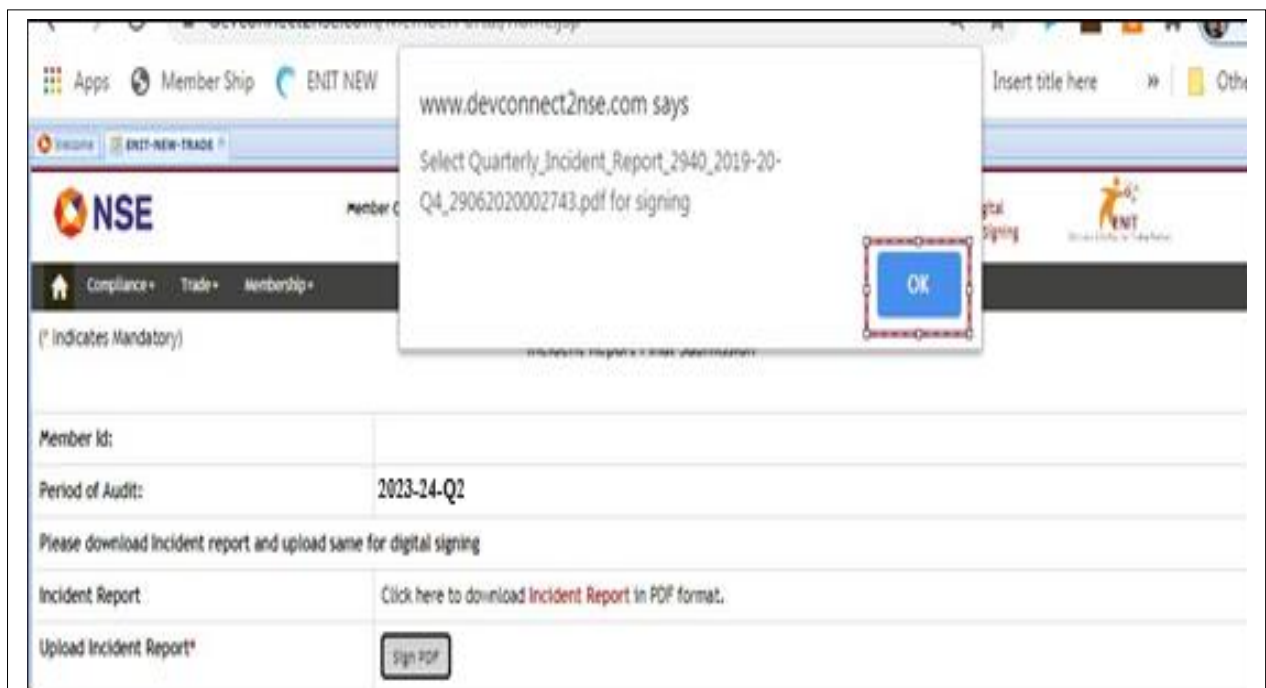
10	IP Address of apparent or suspected source									
	<table border="1"> <thead> <tr> <th>Select</th> <th>S.No.</th> <th>Source IP address</th> <th>Other information available</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>1.</td> <td></td> <td></td> </tr> </tbody> </table>	Select	S.No.	Source IP address	Other information available	<input type="checkbox"/>	1.			
Select	S.No.	Source IP address	Other information available							
<input type="checkbox"/>	1.									
	<input type="button" value="Add Row"/> <input type="button" value="Delete Row"/>									
11	How many host(s) are affected									
	<input type="radio"/> 0 <input type="radio"/> 1 to 10 <input type="radio"/> 10 to 100 <input type="radio"/> More than 100									
12	Whether any action has been taken for mitigation and any preventive measures applied ?									
	<input type="radio"/> Yes <input type="radio"/> No									
<input type="button" value="Save As Draft"/> <input type="button" value="Generate PDF"/>										

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

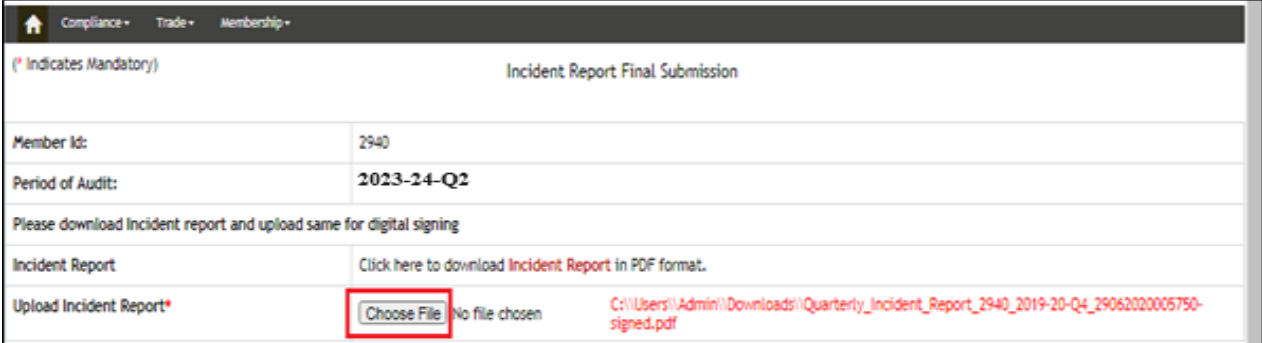


9. On clicking 'Incident Report' Link, a PDF report will get download. Check the PDF report and click on 'Sign PDF' button. On clicking 'Sign PDF' button, a pop-up will display, click on 'OK' and browse the file.



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



Incident Report Final Submission	
Member Id:	2940
Period of Audit:	2023-24-Q2
Please download Incident report and upload same for digital signing	
Incident Report	Click here to download Incident Report in PDF format.
Upload Incident Report*	<input type="button" value="Choose File"/> No file chosen C:\\Users\\Admin\\Downloads\\Quarterly_Incident_Report_2940_2019-20-Q4_29062020005750-signed.pdf

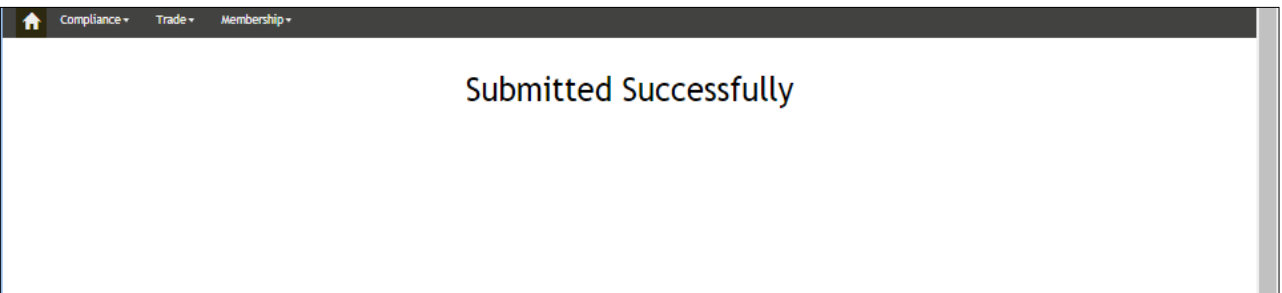
11. After uploading Signed PDF file, click on 'Submit' button.



Member Id:	
Period of Audit:	2023-24-Q2
Please download Incident report and upload same for digital signing	
Incident Report	Click here to download Incident Report in PDF format.
Upload Incident Report*	<input type="button" value="Choose File"/> Quarterly_I...-signed.pdf C:\\Users\\Admin\\Downloads\\Quarterly_Incident_Report_2940_2019-20-Q4_29062020005750-signed.pdf

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

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



Submitted Successfully

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Annexure – 2

Penalty for non-submission / late submission of cyber incident reporting (quarterly submission) within the time specified by the exchange.

The following late/non-submission penalty/ disciplinary actions would be initiated against the Member in this regard:

Details of Violation/contravention	Penalty/disciplinary actions	Penalty/disciplinary action in case of Repeat violation/contravention
Non-submission of Cyber Incident reporting (Quarterly Submission) within the time specified by the Exchange.	<p>1. For 1st week after due date, Charges of Rs. 2,500/- per day</p> <p>2. Charges of Rs. 5000/- per day from second week after due date</p> <p>3. In case of non-submission within three weeks from the due date of submission, new client registration to be prohibited and notice of 7 days for disablement of trading facility till submission of data/report.</p> <p>The disablement notice issued to the member shall be shared with all the Exchanges for information.</p> <p>4. In case of non-submission within four weeks from the due date of submission, Member shall be disabled in all segments</p>	<p>In case of a repeat instance by the Member, levy of applicable monetary penalty along with an escalation of 50%.</p> <p>In case of non-submission within three weeks from the due date of submission, new client registration to be prohibited and notice of 7 days for disablement of trading facility till submission of data/report.</p> <p>The disablement notice issued to the member shall be shared with all the Exchanges for information.</p> <p>In case of non-submission within three weeks from the due date of submission, Member shall be disabled in all segments till submission of data/report.</p>