

National Stock Exchange of India Limited

Circular

| DEPARTMENT: INSPECTION | |
|---------------------------------|----------------------|
| Download Ref No: NSE/INSP/61453 | Date: April 03, 2024 |
| Circular Ref. No: 21/2024 | |

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 March 31, 2024, through member portal on or before April 15, 2024. 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.

In case of any query or support for cyber incident reporting, please reach us on email ID- **DL-SYSCYB@nse.co.in**

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

**Ajinkya Nikam
Senior Manager – Inspection**

National Stock Exchange of India Limited

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

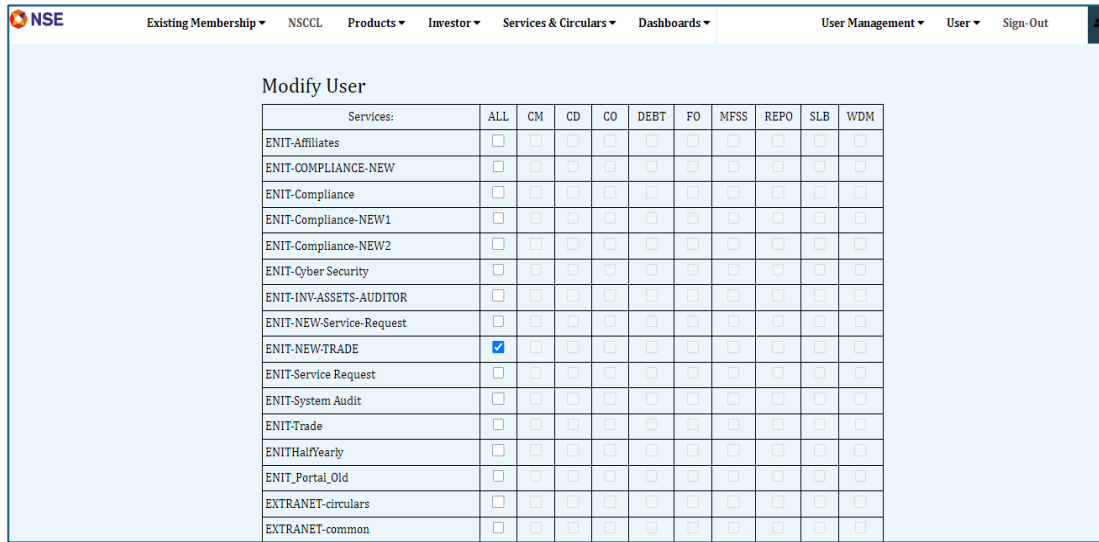
| Regional Office | E MAIL ID | CONTACT NO. |
|------------------------|---------------------------------|-----------------------------|
| Ahmedabad (ARO) | inspectionahm@nse.co.in | 079- 49008632 |
| Chennai (CRO) | inspection_cro@nse.co.in | 044- 66309915 / 17 |
| Delhi (DRO) | delhi_inspection@nse.co.in | 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

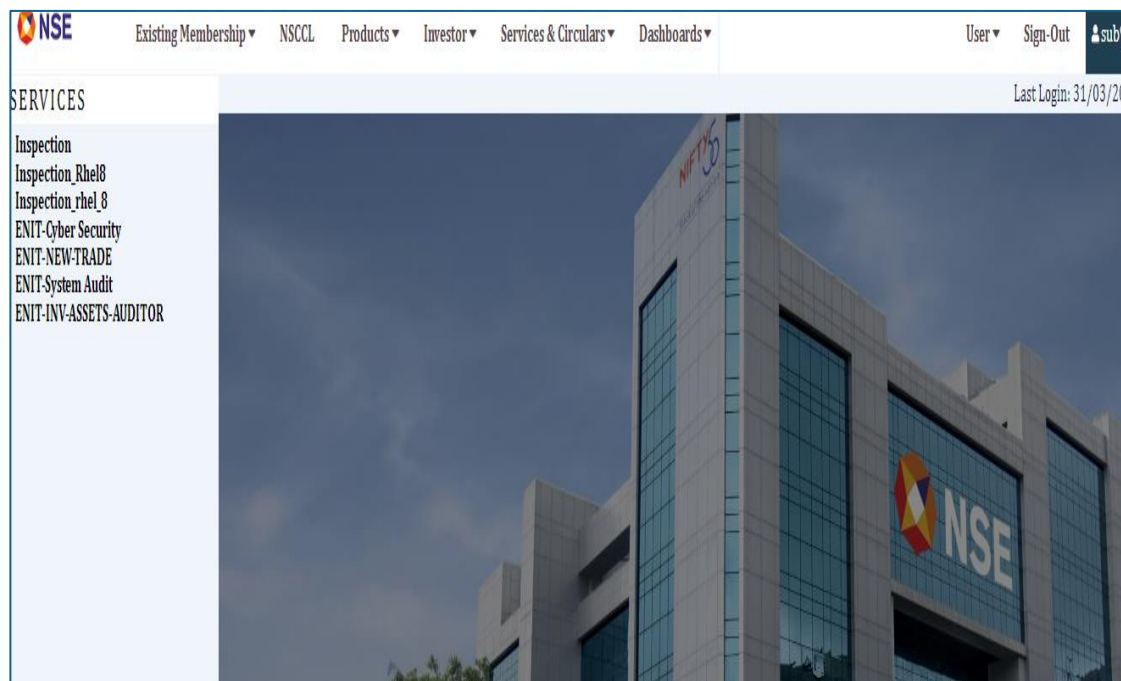
The guideline for submitting the Quarterly Cyber Incident Report

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



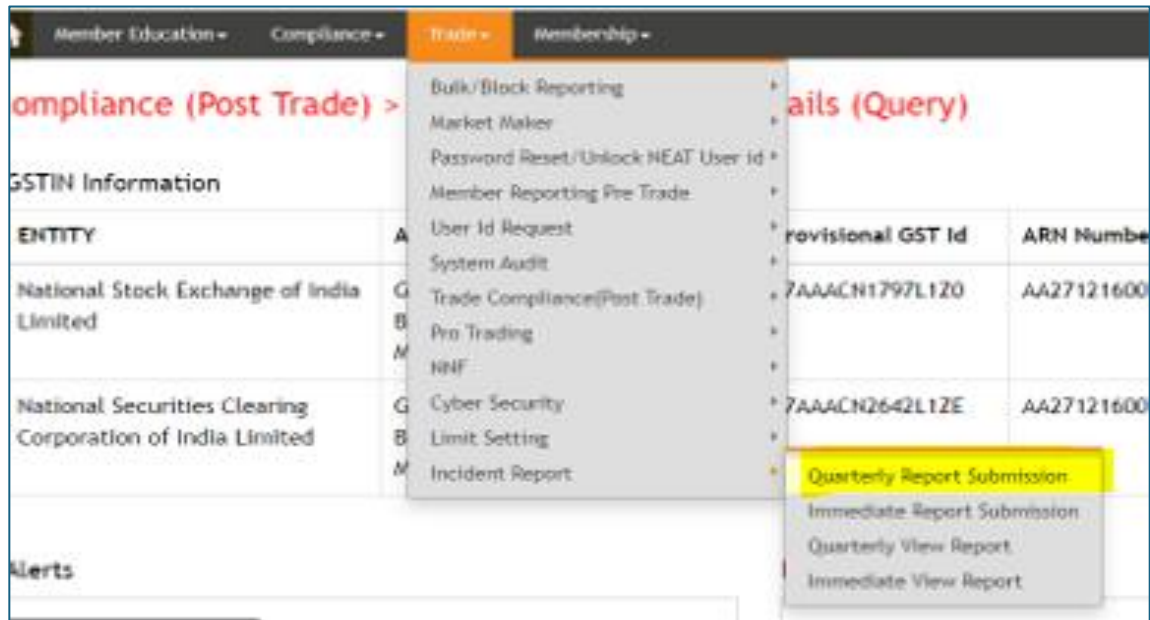
| Services: | ALL | CM | CD | CO | DEBT | FO | MFSS | REPO | SLB | WDM |
|--------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 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"/> |
| ENIT-HalfYearly | <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.



- Click on 'Submit Details' button.

| S.No | Year | Quarter | Submission Start Date | Due Date | Submission |
|------|---------|---------|-----------------------|-------------|--------------------------------|
| 1 | 2023-24 | Q3 | 01-Jan-2024 | 15-Jan-2024 | Submit Details |

- 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 | | [] | | | |
| 2 | Reporting Periodicity | | | | | |
| | Year: | | Quarter: | | | |
| 3 | Designated Officer (Reporting Officer details) | | | | | |
| | Name | Organization | Title | Phone/Fax No | Mobile | Email |
| | Manoj Kumar Jha | Instititute Institituteinstituti | Ext | 26598100 | 1234567891 | hrawat@xyz. |
| | Address 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.

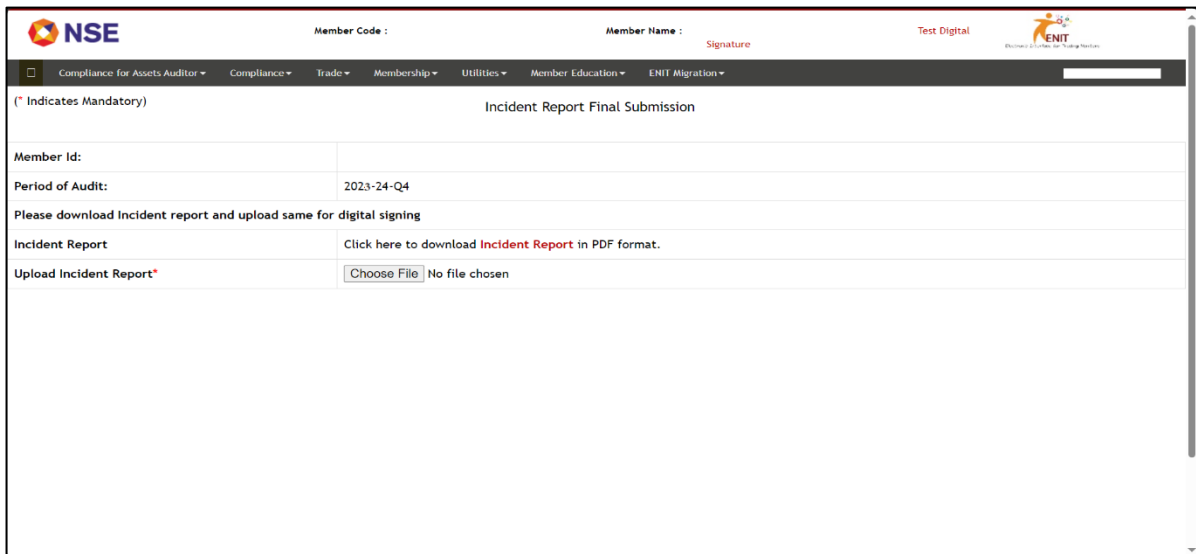
| Name of the member | | | | | | | | | | | | | | | | | | | | | |
|----------------------------|--|--|--------------|--------------|-------|---------|--|------|--------------|-------|--------------|--------|-------|---------|--|--|----|--|--|--|--|
| Name of the Stock Exchange | | National Stock Exchange India Limited | | | | | | | | | | | | | | | | | | | |
| Member ID | | | | | | | | | | | | | | | | | | | | | |
| 2 | Reporting Periodicity | Year: 2023-24 Quarter: Q4 | | | | | | | | | | | | | | | | | | | |
| 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></td> <td></td> <td>Mr</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> | | | | | | Name | Organization | Title | Phone/Fax No | Mobile | Email | Address | | | Mr | | | | |
| Name | Organization | Title | Phone/Fax No | Mobile | Email | Address | | | | | | | | | | | | | | | |
| | | Mr | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | |
| | | Save As Draft | | Generate PDF | | | | | | | | | | | | | | | | | |

7. In case "No" is selected user will be directed to save the draft 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. | | | | | | | | | | | | | | |
| | | Add Row | | 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 | | | | | | | | | | | | | |
| | | Save As Draft | | Generate PDF | | | | | | | | | | | |

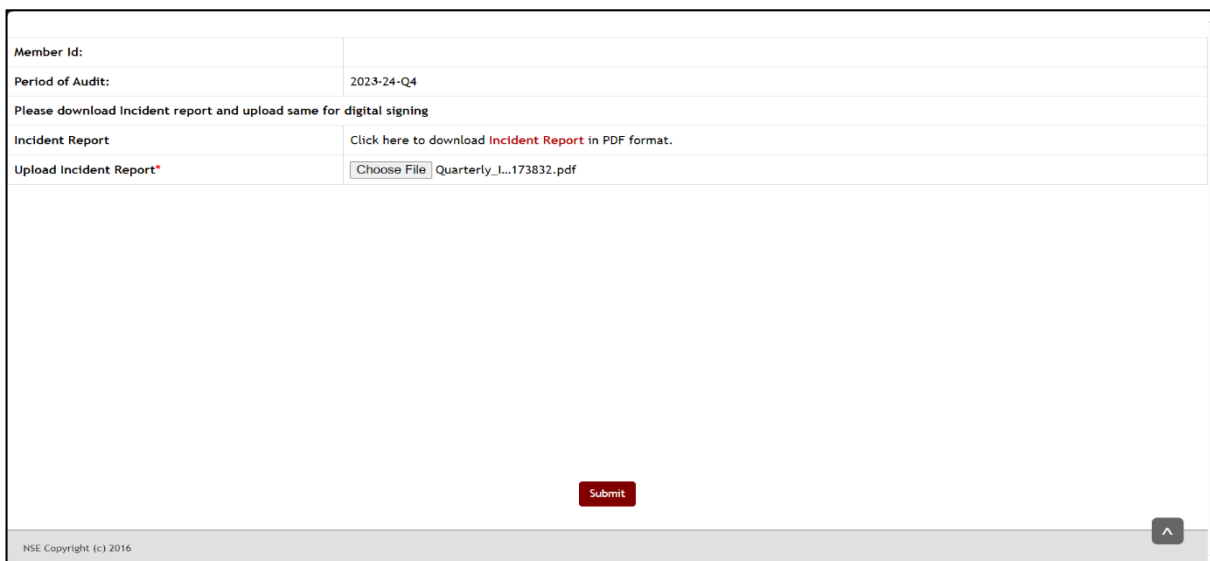
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8. On clicking 'Incident Report' a PDF report will get download. Check the PDF report and upload the Incident Report on clicking 'Choose File' button.
 Please Note: To facilitate ease of submission for Quarterly/Immediate Incident Report the requirement of digital signature shall not be applicable.



| Incident Report Final Submission | |
|---|--|
| Member Id: | |
| Period of Audit: | 2023-24-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* | <input type="button" value="Choose File"/> No file chosen |

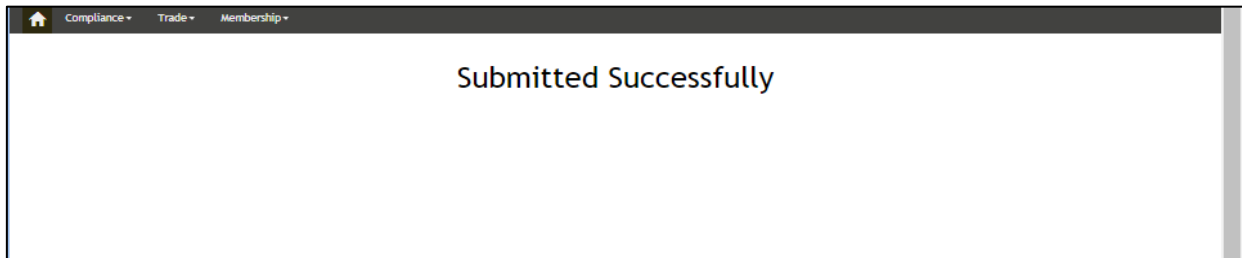
9. After uploading PDF file, click on 'Submit' button.



| | |
|---|---|
| Member Id: | |
| Period of Audit: | 2023-24-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* | <input type="button" value="Choose File"/> quarterly_1...173832.pdf |

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

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

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Annexure – 2

Indicative 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> |