

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/67083	Date: March 13, 2025
Circular Ref. No: 14/2025	

To All Members,

Subject: Reminder for submission of VAPT Compliance Report for the FY 2024-25

Attention of Members is drawn to Exchange circular NSE/INSP/63908 dated September 12, 2024, regarding Submission of VAPT report and/or Action Taken Report (ATR)/Compliance Report. Para 44 of SEBI Circular No. SEBI/HO/MIRSD/-CIR/PB/2018/147 dated December 03, 2018 as amended vide SEBI Circular No. SEBI/HO/MIRSD/TPD/P/CIR/2022/80 dated June 07, 2022, requires that any gaps / vulnerabilities detected shall be remedied on immediate basis and compliance of closure of findings identified during VAPT shall be submitted to the Stock Exchanges within 3 months post the submission of final VAPT report.

Accordingly, members are required to submit VAPT Action Taken Report (ATR)/Compliance Report (Digitally signed by the CERT-In empaneled auditor and authorized official of the Member) in the prescribed format provided earlier vide above mentioned circular & also attached as **Annexure – A**. The guidelines for submitting the VAPT Action Taken Report (ATR)/ Compliance Report on Member portal is enclosed as **Annexure – B**. The due date of submission of Action Taken report (ATR)/Compliance Report is **March 31, 2025**.

Trading members are requested to take note of Exchange circular NSE/INSP/57935 dated August 11, 2023, regarding “Penalties/Disciplinary action(s)/charges for Non-submission of VAPT Report and/or Compliance Report and/or non-closure of open vulnerabilities.”

All Members are requested to take note of the above and ensure timely submission of VAPT Action Taken Report (ATR)/ Compliance Report.

For and on behalf of
National Stock Exchange of India Limited

Abhijeet Sontakke
Associate Vice President – Inspection

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

Regional Office	CONTACT NO.	EMAIL ID
Ahmedabad (ARO)	079- 49008632	inspectionahm@nse.co.in
Chennai (CRO)	044- 66309915 /17	inspection_cro@nse.co.in
Delhi (DRO)	011- 23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata (KRO)	033- 40400412 / 59	inspection_kolkata@nse.co.in
Mumbai (WRO)	022- 26598200/61928200	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	

Annexure-A

Format for VAPT Compliance/ATR

(On the letter head of the CERT-In empaneled entity)

Action Taken Report / Compliance Report on the non-conformities / vulnerabilities identified during the VAPT conducted during the FY. _____

Particulars	High	Critical	Medium	Low
No. of Open Vulnerabilities as reported in VAPTreport submitted to the Exchange				
Current Status				

Explanation / Reason for non-closure

(To be filled in case of open vulnerabilities mentioned in current status)

Details of such open non- Conformities /Vulnerabilities*	Explanation / Reason for Non-Closure

* Open vulnerabilities shall attract appropriate disciplinary action by the exchange depending on the criticality / such other factors

Trading Member (TM) Name & TM Code:	
Auditor Name:	
Name of CERT-In empaneled entity:	
Sign:	

(To be digitally signed by CERT-In empaneled entity as appointed by the Member)

Annexure-B

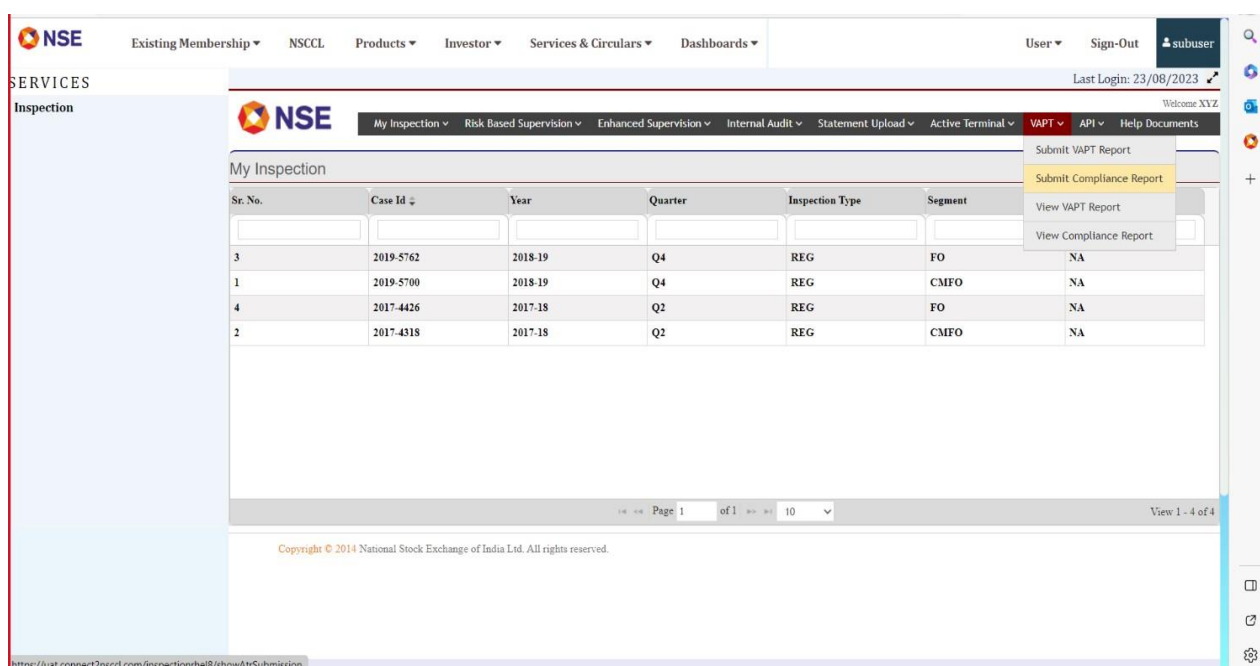
Guidelines for submitting the VAPT Compliance Report/Action Taken Report on Portal.

Step – 1

Log in to Members portal from your existing credentials. Then click on **Inspection Tab**

Step – 2

A separate VAPT module has been made available for members to submit the VAPT report. Click on **Submit Compliance report**.



The screenshot displays the NSE portal interface. The top navigation bar includes 'Existing Membership', 'NSCCL', 'Products', 'Investor', 'Services & Circulars', and 'Dashboards'. The user is logged in as 'subuser' with a last login of '23/08/2023'. The main menu includes 'My Inspection', 'Risk Based Supervision', 'Enhanced Supervision', 'Internal Audit', 'Statement Upload', 'Active Terminal', 'VAPT', 'API', and 'Help Documents'. The 'VAPT' menu is expanded, showing options: 'Submit VAPT Report', 'Submit Compliance Report', 'View VAPT Report', and 'View Compliance Report'. The 'Submit Compliance Report' option is highlighted in yellow.

Sr. No.	Case Id	Year	Quarter	Inspection Type	Segment	
3	2019-5762	2018-19	Q4	REG	FO	NA
1	2019-5700	2018-19	Q4	REG	CMFO	NA
4	2017-4426	2017-18	Q2	REG	FO	NA
2	2017-4318	2017-18	Q2	REG	CMFO	NA

Page 1 of 10 | View 1 - 4 of 4

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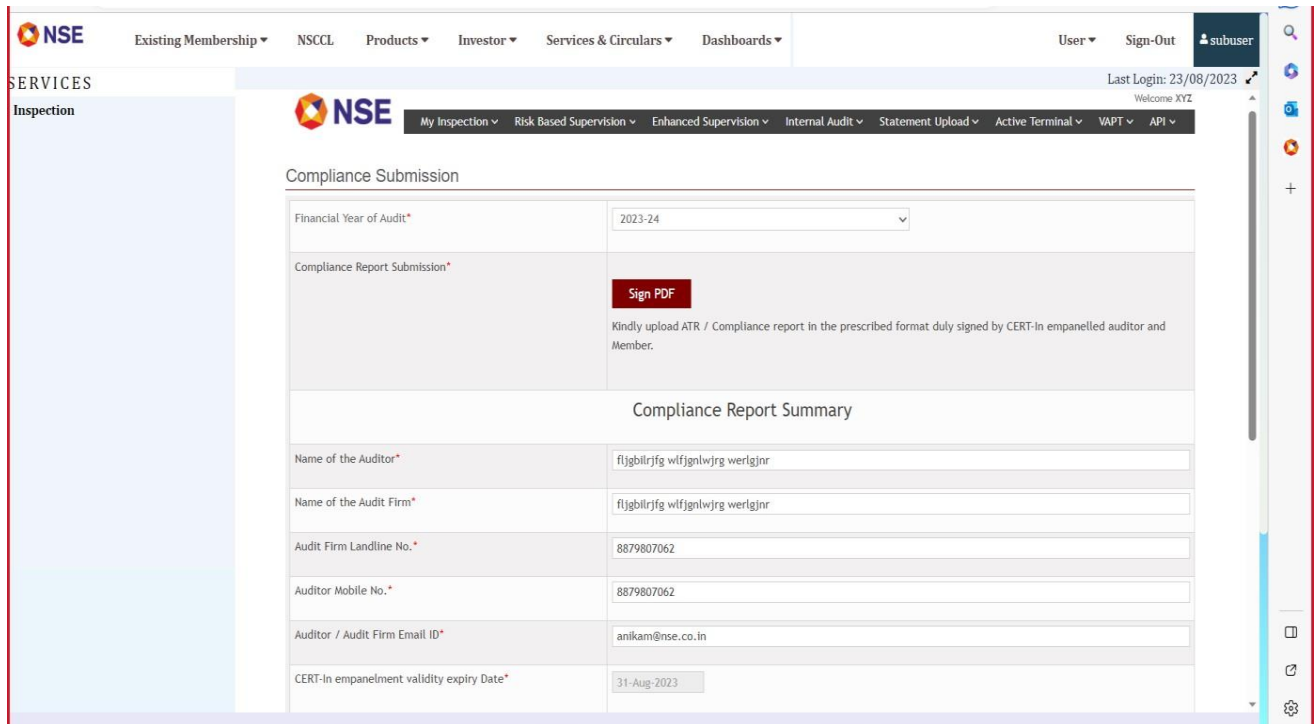
Step-3

By clicking “Submit Compliance report”, the screen displayed below would open.

Compliance report (as attached in **Annexure – A**) should be prepared and duly signed by the CERT-In empaneled entity who conducted the VAPT.

The report format should be PDF, and the file should not be more than 50 MB in size.

By clicking “**Sign PDF**” icon, Member shall be required to select this Compliance report. (PDF format digitally signed by CERT-In empaneled entity)



NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out subuser

SERVICES Inspection

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

Last Login: 23/08/2023 Welcome XYZ

Compliance Submission

Financial Year of Audit* 2023-24

Compliance Report Submission*

Sign PDF

Kindly upload ATR / Compliance report in the prescribed format duly signed by CERT-In empanelled auditor and Member.

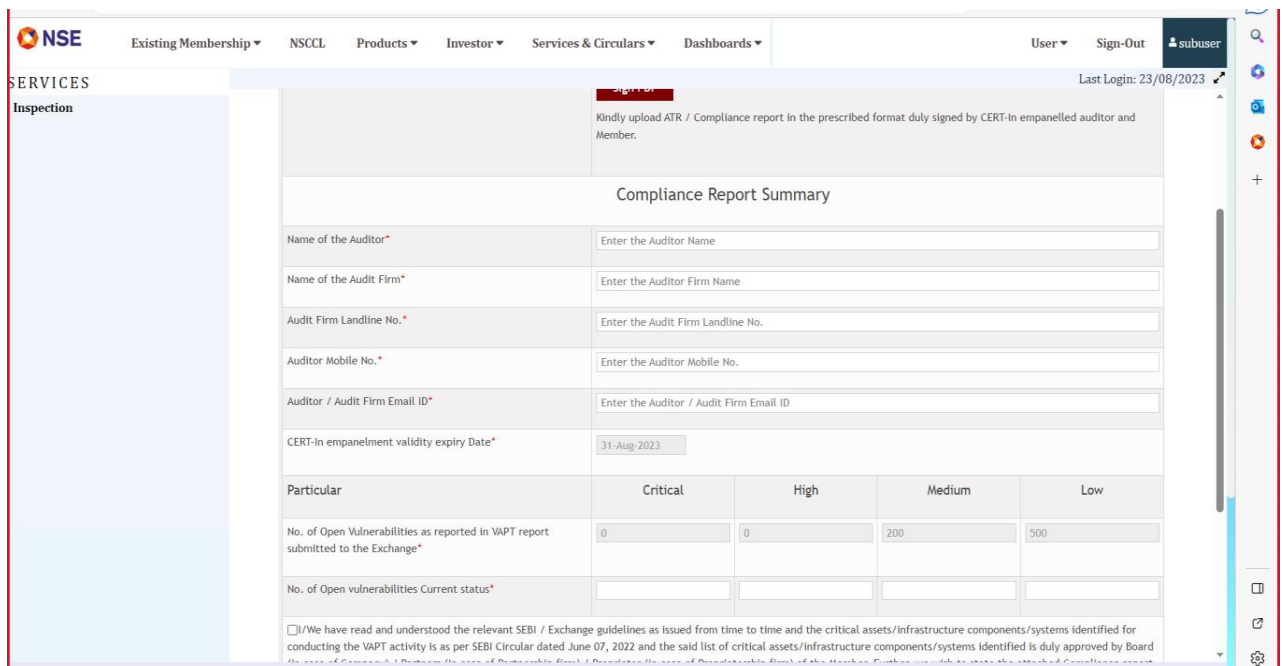
Compliance Report Summary

Name of the Auditor*	fljgbljrfg wlfjgnlwjrg werlgjnr
Name of the Audit Firm*	fljgbljrfg wlfjgnlwjrg werlgjnr
Audit Firm Landline No.*	8879807062
Auditor Mobile No.*	8879807062
Auditor / Audit Firm Email ID*	anikam@nse.co.in
CERT-In empanelment validity expiry Date*	31-Aug-2023

Step-4

After uploading the VAPT Compliance report, the screen below will be displayed with details auto populated as reported in the VAPT submission.

If VAPT compliance report is signed by another auditor, Member shall be required to enter the details as displayed below: -



NSE Existing Membership NSCL Products Investor Services & Circulars Dashboards User Sign-Out subuser

SERVICES Inspection

Last Login: 23/08/2023

Compliance Report Summary

Kindly upload ATR / Compliance report in the prescribed format duly signed by CERT-In empanelled auditor and Member.

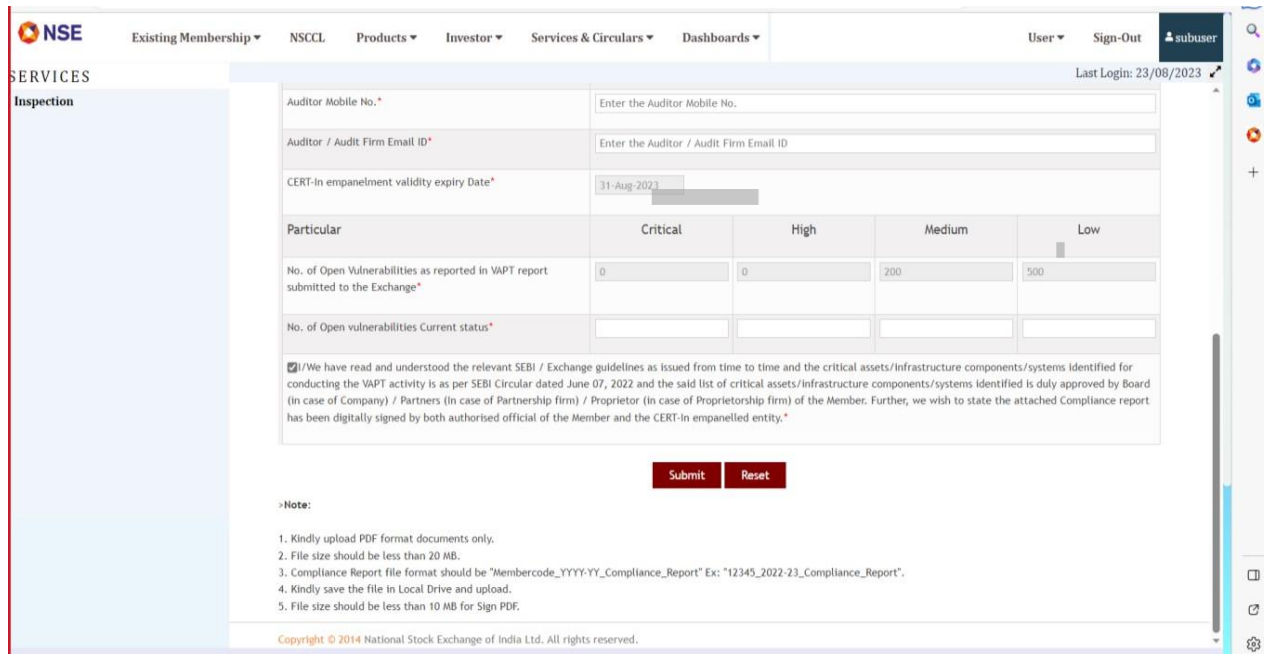
Name of the Auditor*	Enter the Auditor Name			
Name of the Audit Firm*	Enter the Auditor Firm Name			
Audit Firm Landline No.*	Enter the Audit Firm Landline No.			
Auditor Mobile No.*	Enter the Auditor Mobile No.			
Auditor / Audit Firm Email ID*	Enter the Auditor / Audit Firm Email ID			
CERT-In empanelment validity expiry Date*	31-Aug-2023			

Particular	Critical	High	Medium	Low
No. of Open Vulnerabilities as reported in VAPT report submitted to the Exchange*	0	0	200	500
No. of Open vulnerabilities Current status*				

We have read and understood the relevant SEBI / Exchange guidelines as issued from time to time and the critical assets/infrastructure components/systems identified for conducting the VAPT activity is as per SEBI Circular dated June 07, 2022 and the said list of critical assets/infrastructure components/systems identified is duly approved by Board (in case of Company) / Board (in case of Depository firm) / Board (in case of Depository firm) of the Member. Further, with respect to the attached Compliance Report

Step-5

Click on the checkbox for below highlighted undertaking and then click on “Submit” to complete the submission.



I/We have read and understood the relevant SEBI / Exchange guidelines as issued from time to time and the critical assets/infrastructure components/systems identified for conducting the VAPT activity is as per SEBI Circular dated June 07, 2022 and the said list of critical assets/infrastructure components/systems identified is duly approved by Board (in case of Company) / Partners (in case of Partnership firm) / Proprietor (in case of Proprietorship firm) of the Member. Further, we wish to state the attached Compliance report has been digitally signed by both authorised official of the Member and the CERT-In empanelled entity.*

>Note:
 1. Kindly upload PDF format documents only.
 2. File size should be less than 20 MB.
 3. Compliance Report file format should be "Membercode_YYYY-YY_Compliance_Report" Ex: "12345_2022-23_Compliance_Report".
 4. Kindly save the file in Local Drive and upload.
 5. File size should be less than 10 MB for Sign PDF.

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Notes

1. Submitted reports would be available under “View Compliance Report” sub-tab.
2. In case a user is unable to submit the Compliance report due to any technical issue, kindly try submitting the Compliance report in Incognito mode. In case of any issue in uploading the report kindly send an email to DL-SYSCYB@nse.co.in