



## NOTICES

Notice No.	20221116-19	Notice Date	16 Nov 2022
Category	Compliance	Segment	General
Subject	Submission of System Audit of Stockbrokers / Trading members for the period ended September 30, 2022, through BEFS (BSE Electronic Filing System)		

## Content

This is with reference to the Exchange Notice no. 20220930-19 dated September 30, 2022, wherein Stockbrokers / Trading members who have used Algorithmic Trading facility (Type III brokers); were directed to submit System Audit Report for the period ended September 30, 2022, in electronic form through BEFS (BSE Electronic Filing System).

Members may note that the System Audit Report for the period ended September 30, 2022, is to be submitted in electronic form only through BEFS (BSE Electronic Filing System) and the module for submission is now enabled at following link:

<http://bef.s.bseindia.com> -> System Audit Report

Members are requested to refer to the **User Manual** available in Exchange Notice no. 20220930-19 dated September 30, 2022, while submitting the report.

The following penalty/disciplinary actions would be initiated against the Member for late/non- submission of System Audit Report as mentioned in Table 1

Table 1: Late-Submission and Related Actions	
Particulars	Action
Submission within 1 month from the end of due date of submission.	Penalty of Rs. 200/- per day
Submission after 1 month but within 3 months from the end of the due date for submission.	Penalty of Rs. 500/- per day
Non-Submission within 3 months from the end of due date for submission.	Disablement of trading facility across segments after giving 2 weeks' notice.  Disablement notice issued to the member shall be shared with all the Exchanges for information.  Member will be enabled only after submission of system audit report.

**It may be noted that submission of System Audit Report shall be considered complete only after Member submits the report to the Exchange and receives an acknowledgment email. Saved reports/reports submitted by auditor will not be considered as final submission to Exchange.**

In case of any queries/clarifications, you may contact at the following numbers as mentioned in the table 2 below.

Table 2: Submission Related Contacts	

Purpose	Contact Nos.	Email ID
SAR XBRL related issues	1800 233 0445	bse.auditreport@bseindia.com
Technical queries	30594000	bsehelp@bseindia.com
SAR Process Helpline	+91 022 22728888	msc@bseindia.com

**For and on behalf of BSE Ltd.**

**Devendra Kulkarni**

**Additional General Manager**

**(ISMS)**

**Shivkumar Pandey**

**Chief Information Security Officer**

**(CISO)**