

## National Stock Exchange of India Limited Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/56097	Date: March 22, 2023
Circular Ref. No: 25/2023	

To All Members,

### Sub: Submission of VAPT Compliance Report

Attention of Members is drawn to Exchange circular NSE/INSP/54708 dated December 02, 2022, regarding Submission of VAPT report. The detailed guidelines for submission of VAPT report along with summary of report through member portal was provided in the said circular.

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.

In order to facilitate online submission of VAPT compliance report (Digitally signed by the CERT-In empanelled auditor and authorized official of the Member) in the format attached as **Annexure – 1**, Exchange has made requisite enhancements and the guidelines for submitting the VAPT Compliance Report on Member portal is attached at **Annexure – 2**.

All Members are advised to take note of the contents of this Circular and comply.

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

**Ajinkya Nikam  
Senior Manager - Inspection**

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

<b>Regional Office</b>	<b>CONTACT NO.</b>	<b>E MAIL ID</b>
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)	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai (WRO)	022-25045264/259/224	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in	

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

<b>Particulars</b>	<b>Critical</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
No. of Open Vulnerabilities as reported in VAPT report submitted to the Exchange				
No. of Open vulnerabilities Current Status				

**Explanation / Reason for non-closure**

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

<b>Details of such open Non-Conformities / Vulnerabilities*</b>	<b>Explanation / Reason for Non-Closure</b>

**\* 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 empanelled entity:	
Sign:	

**(To be digitally signed by CERT-In empanelled entity as appointed by the Member and authorized official of the Member)**

**Guidelines for submission of VAPT compliance report on Inspection system****Step – 1**

Login to member portal using existing login credentials and navigate to VAPT module using below path

**Inspection service->VAPT**

Welcome 90079 dummy

My Inspection

Sr. No. ↕	Year	Quarter	Inspection Type	Segment	
<a href="#">1</a>	2017-18	Q3	REG	CM	NA
<a href="#">2</a>	2022-23	Q3	LPI	CMCDS	NA

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## Step – 2

Once you select VAPT, kindly click on “Submit Compliance report”. On clicking “Submit Compliance report”, the screen as displayed below would get opened.

- a. “Financial year of audit” would be by default the current Financial Year.
- b. “Compliance Report Submission”

Compliance report (as attached in Annexure – 1) should be prepared and should be duly signed by the CERT- In empaneled entity who conducted the VAPT. The report format should be PDF and file should not be more than 10 MB in size. On clicking “Sign PDF” icon, Member shall be required to select this Compliance report (pdf format digitally signed by CERT-In empaneled entity) and shall be digitally signed by authorized official of the Member at the time of submission.

Compliance Submission				
Financial Year of Audit*	2022-23			
Compliance Report Submission*	<div style="text-align: center;"><a href="#">Sign PDF</a></div> <p>Kindly upload ATR / Compliance report in the prescribed format duly signed by CERT-In empanelled auditor and Member.</p>			
<b>Compliance Report Summary</b>				
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*	DD-MM-YYYY			
Particular	Critical	High	Medium	Low
No. of Open Vulnerabilities as reported in VAPT report submitted to				

### Step – 3

After digitally signing and uploading the Compliance report, details given below will be auto populated as reported in the VAPT submission. In case VAPT compliance report is signed by another auditor then Member shall be required to enter the details displayed below: -

Compliance Report Summary				
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*	DD-MM-YYYY			
Particular	Critical	High	Medium	Low
No. of Open Vulnerabilities as reported in VAPT report submitted to the Exchange*				
No. of Open vulnerabilities Current status*				
<input type="checkbox"/> /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.*				

## Step – 4

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

Vulnerabilities planned to be closed by*	DD-MM-YYYY 	DD-MM-YYYY 	DD-MM-YYYY 	DD-MM-YYYY 
Remarks*	Enter the Remarks			
<input type="checkbox"/> 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 Proprietorship firm) of the Member. Further, we wish to state the attached VAPT report has been digitally signed by both authorised official of the Member and the CERT-In empanelled entity.*				
 				
<b>&gt;Note:</b>				
<ol style="list-style-type: none"><li>1. Kindly upload PDF format documents only.</li><li>2. File size should be less than 20 MB.</li><li>3. VAPT Report file format should be "Membercode_YYYY-YY_VAPT_Report" Ex: "12345_2022-23_VAPT_Report".</li><li>4. Kindly save the file in Local Drive and upload.</li><li>5. As per SEBI Circular dated June 07, 2022, any gaps/vulnerabilities detected shall be remedied on immediate basis. Further, compliance of closure of findings identified during VAPT shall be submitted within 3 months post submission of VAPT report. The planned target date should be mentioned accordingly.</li></ol>				
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## Notes

1. Submitted reports would be available under “View Compliance Report” sub-tab.
2. In case if you are unable to submit the Compliance report due to any technical issue, kindly try submitting the Compliance report in Incognito mode. In case if you are still unable to submit the Compliance report, kindly send an email to [dl-syscyb@nse.co.in](mailto:dl-syscyb@nse.co.in).