



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2019/375

July 26, 2019

REPORTING FOR CYBER SECURITY & CYBER RESILIENCE FRAMEWORK AND ARTIFICIAL INTELLIGENCE (AI) AND MACHINE LEARNING (ML) APPLICATIONS AND SYSTEMS OFFERED AND USED BY DEPOSITORY PARTICIPANTS

DPs are advised to refer to SEBI Circular no. SEBI/HO/MIRSD/CIR/PB/2018/147 dated December 03, 2018 regarding Cyber Security & Cyber Resilience Framework for Stock Brokers / Depository Participants.

Also DPs are advised to refer to SEBI Circular no. SEBI/HO/MIRSD/DOS2/CIR/P/2019/10 dated January 04, 2019 regarding Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries.

Regarding the reporting of compliance status against both the above-mentioned circulars to the Depository, CDSL plans to publish pages under the existing CDSL portal <https://auditweb.cdslindia.com> as mentioned in the annexure. The pages will be available with effect from July 29, 2019 to report necessary compliance. DPs are informed to submit the information under Quarterly basis as mentioned in the portal for the quarter ended on June 30, 2019 **on or before August 10, 2019.**

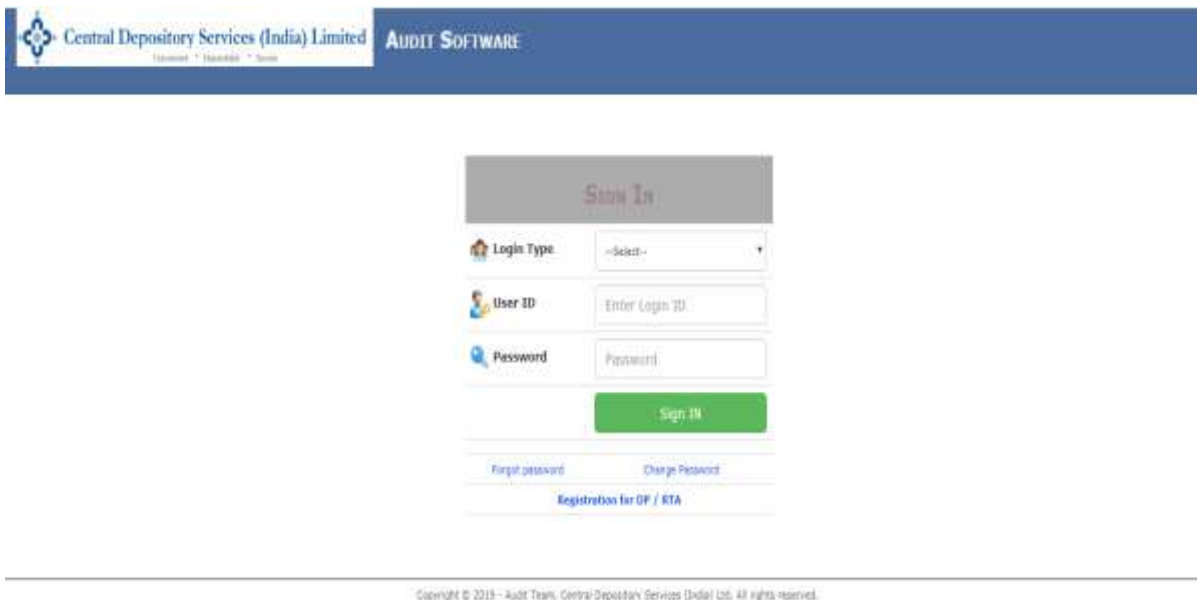
DPs are requested to discontinue to send quarterly reporting of Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by depository participants through email to ai_dep@cdslinda.com as informed earlier.

Queries regarding this communiqué may be addressed to email dpinfosec@cdslindia.com

sd/-

Prithwjit Dinda
Vice President - Information Technology

1) Login Form



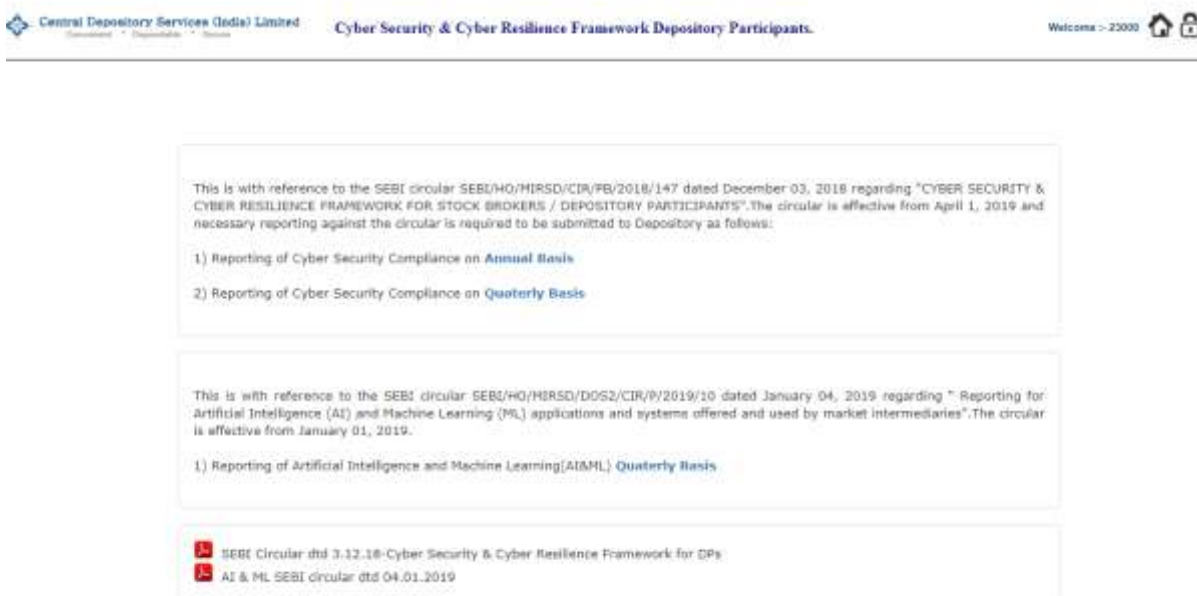
2) DP has to select Login type as DP



3) Respective DP is entered in system, to submit cyber security details. DP needs to click on below highlighted link to submit cyber details.



4) This is Landing Page where DP will select on basis of **Annual** or **Quarterly** reporting requirement.



Above there are two SEBI Circulars which can be downloaded for reference.

5) When DP clicks on Annual Basis the following screen will be open. There are total 64 questions in this section.

If user clicks on "N" Remarks is mandatory to be fill by DP. Click on Next and so on.....

Section - Governance

Srno	Description	Flag	Remarks
1	Do you have Cyber Security & Cyber Resilience policy approved by the Board / Partners / Proprietor?	<input type="radio"/> Y <input type="radio"/> N	
2	Is the policy document read, understood and signed by every employees?	<input type="radio"/> Y <input type="radio"/> N	
3	Is the policy reviewed periodically or at least on annual basis?	<input type="radio"/> Y <input type="radio"/> N	
4	Have you designated a senior official or management personnel (i.e. Designated Officer) to assess, identify and reduce cyber security risks, respond to incidents, establish appropriate standards and controls, direct the establishment and implementation of processes and procedures as per the Cyber Security Policy?	<input type="radio"/> Y <input type="radio"/> N	
5	Have you constituted "Technology Committee" comprising experts?	<input type="radio"/> Y <input type="radio"/> N	
6	Do you have a reporting procedure to facilitate communication of unusual activities and events to the Designated Officer in a timely manner?	<input type="radio"/> Y <input type="radio"/> N	
7	Do the "Technology Committee" along with designated officer review the status of Cyber Security & Cyber Resilience Policy on half yearly basis?	<input type="radio"/> Y <input type="radio"/> N	
8	Do Cyber Security awareness program covers outsourced staff, employee of vendor and third party staff who have privileged access to the systems / assets?	<input type="radio"/> Y <input type="radio"/> N	

6) Below Screen is for Sharing Information Section which needs to be updated on Quarterly basis by DP. When DP clicks on "N" Remarks field is mandatory.

If DP clicks on "Y" following details should be fill and details will be shown below as shown on screen.

Section - Sharing Information

Srno	Description	Flag	Remarks
1	Have you experienced any Cyber Security attack and breach happened at your end for depository operation, if yes you need to submit the details of the same to the Depository under the following format within a week from the incident:	<input type="radio"/> Y <input type="radio"/> N	

Date	Details of system attacked/breached	Information on cyber attacks/threats	Steps taken to mitigate vulnerabilities/threat/attack
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Date	Details of system attacked/breached	Information on cyber attacks/threats	Steps taken to mitigate vulnerabilities/threat/attack
25-07-2019	ddd	dd	ddd
11-07-2019	ddf	ffdf	ffdf
23-07-2019	dfdf	fdfdfdf	fdfdf
24-07-2019	dfdfg	dfdfg	dfdf
18-07-2019	gfg	ff	ffg
25-07-2019	gff	fff	fff

- 7) Below Screen is for Artificial Intelligence and Machine Learning (AI & ML).
In this when DP clicks on “Y” Remarks textbox is enabled and DP should enter the remarks.

Section - Artificial Intelligence and Machine Learning

Area	Description	Flag	Remarks
1	Have you implemented Any set of application/software/programs/instruments/systems/computer systems/- cumulatively called application and systems using AI/ML? that are offered to investors (individuals and institutions) by market intermediaries to facilitate investing and trading, Or to disseminate investment strategies and advice, or to carry out compliance operations / activities	Y N	Myypal

DPId	Remarks	Date
23000	Myypal	24-07-2019
23000	Mye	24-07-2019
23000	Mykts	24-07-2019
23000	Myg	24-07-2019
23000	Myt	24-07-2019
23000	Myeyr	24-07-2019
23000	Myodf	24-07-2019
23000	Mygthf	24-07-2019
23000	Mygwh	24-07-2019
23000	Mykthf	24-07-2019
23000	Mygny	24-07-2019

Only if there is any change in the last reported status of AI/ML based application or system implementation at depository participant end as mentioned in the circular, DP needs to update the information on quarterly basis.