Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/A,I&C/DP/POLCY/2022/298 **May 31, 2022**

SUBMISSION OF ANNUAL SYSTEM AUDIT REPORT

Depository Participants (DPs) are advised to refer to Communique no. CDSL/AUDIT/DP/POLCY/2021/302 dated July 9, 2021, on submission of annual system audit report.

In terms of SEBI Circular nos. SEBI/HO/MIRSD/CIR/PB/2018/147 and SEBI/HO/MIRSD/DOP/CIR/P/2019/109 dated December 03, 2018 and October 15, 2019 respectively, the DPs are required to submit the system audit report to Depositories annually within three months of the end of the financial year. The Manual for submission of the report is enclosed for ready reference.

DPs are required to ensure compliance by submitting the system audit report to CDSL on or before 30th June 2022.

Queries, if any, regarding this communiqué may be addressed to CDSL-Audit on (022) 2305 8515 / 2305 8679 or 2305 8678.

sd/-

Ajit Prabhu
Sr. Manager – Audit, Inspection & Compliance

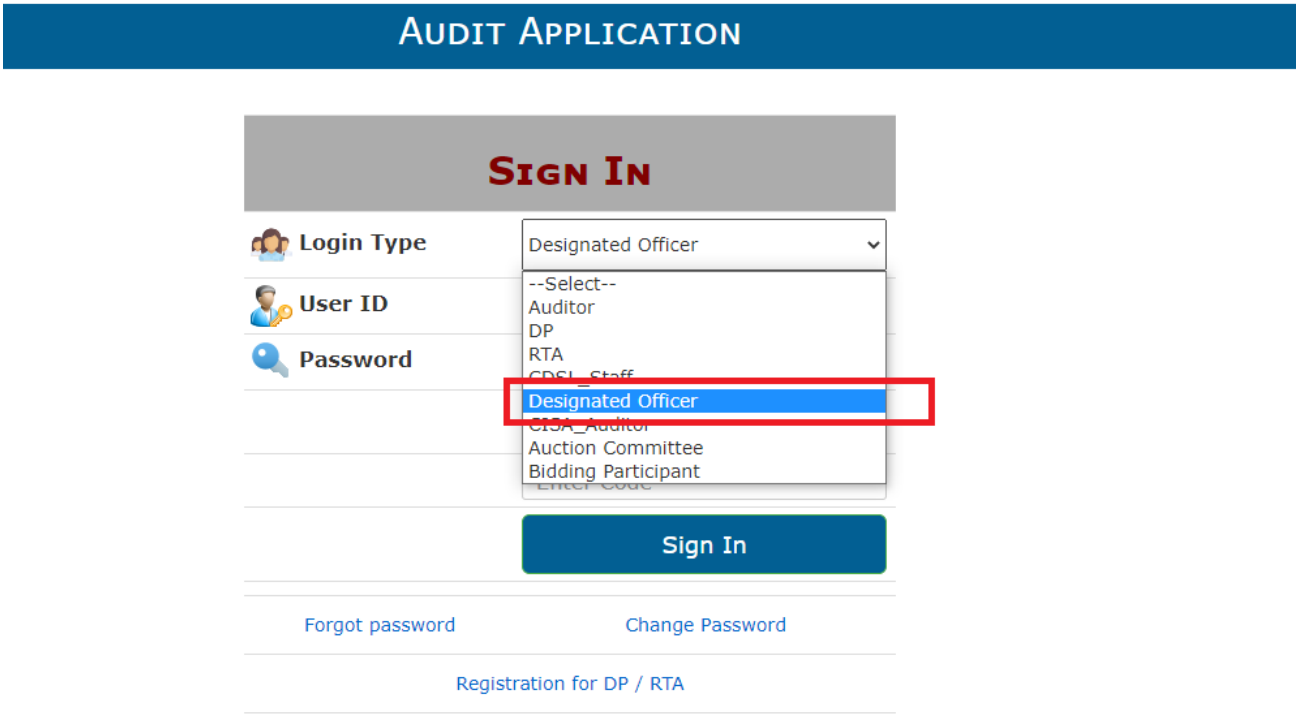
KEYWORD : Audit

Manual for Submission of Annual System Audit Report, Incident/ Quarterly reporting of Cyber-attacks, threats and Reporting of Artificial Intelligence (AI) and Machine Learning (ML) application and systems used by DPs

DPs are required to access the CDSL AuditWeb https://auditweb.cdslindia.com/Login.aspx

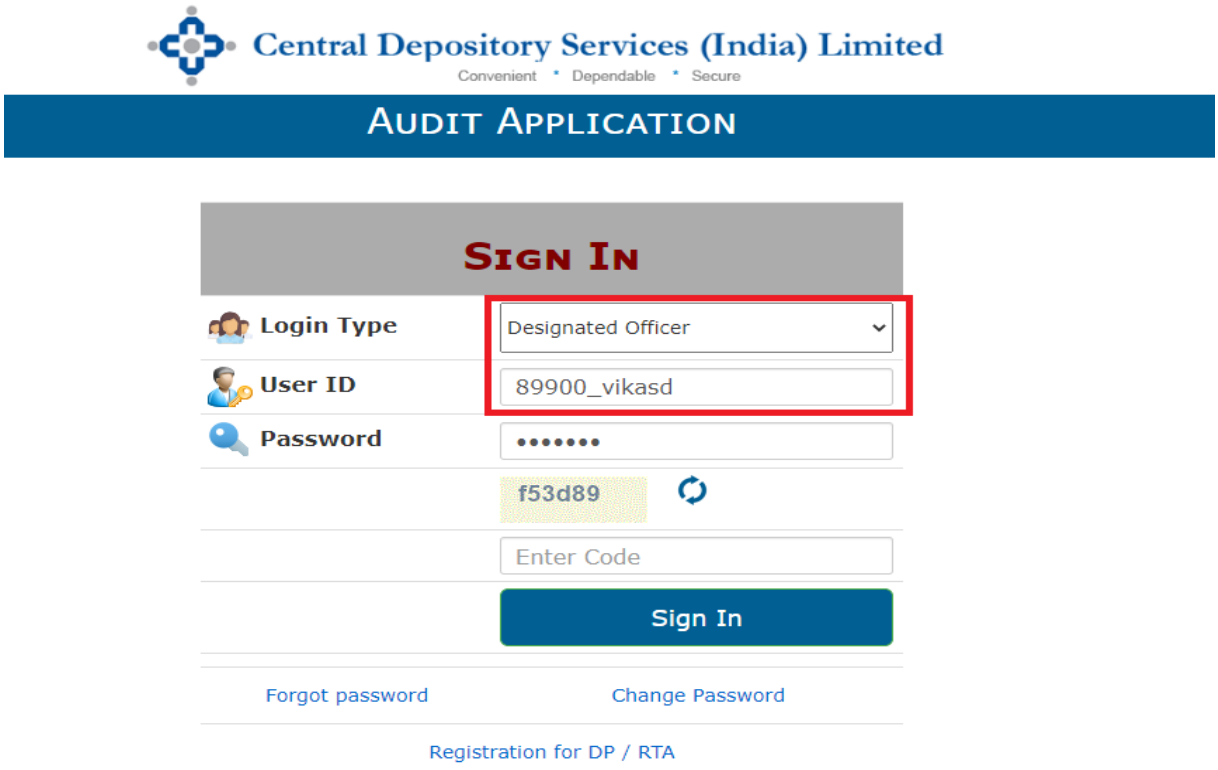
The DP can login into the same by using their Login credentials.

After logging in, the DP is required to create 2 user login i.e. **Designated Officer** and **CISA_Auditor.** (Ref Fig. 1.1)



For Designated Officer – The User ID will be

DPID + "_" + All characters before "@" of email ID of the user. Eg: **89900_vikasd** (vikasd@cdslindia.com) (Ref Fig. 1.2)



For CISA Auditor – The User ID will be

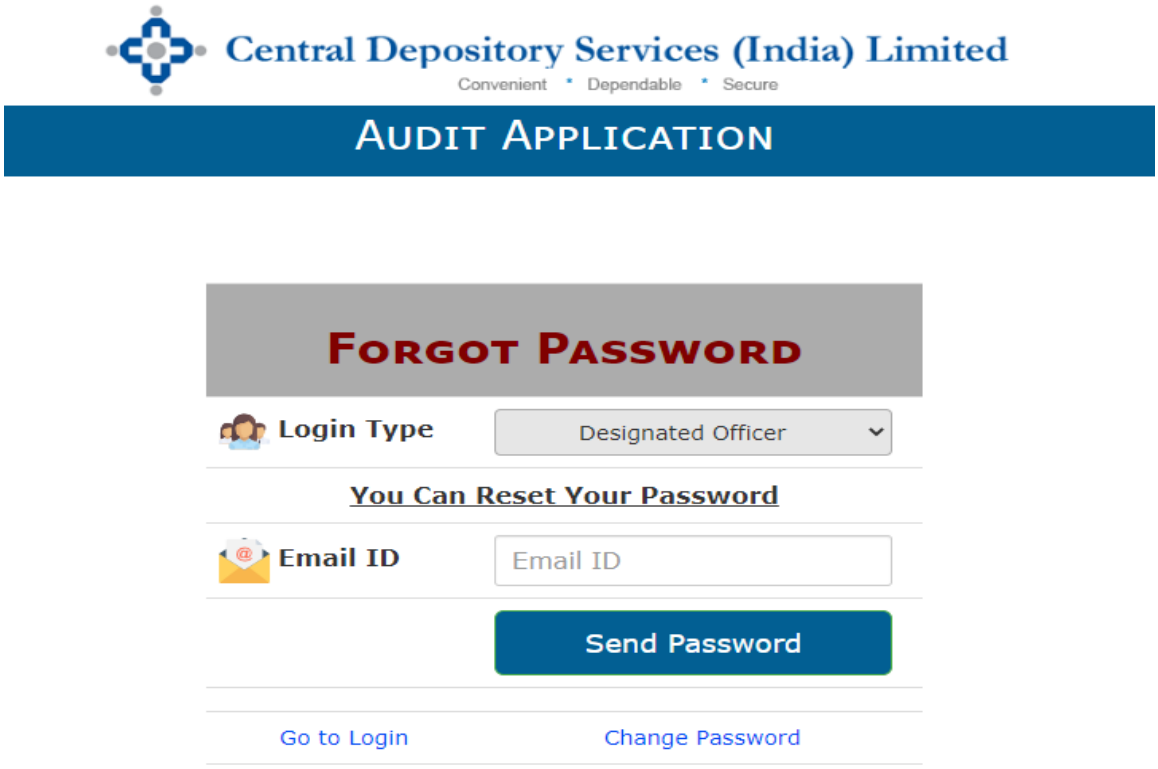
"CISA_" + All characters before "@" of email ID of the user. Eg: **CISA_vikasd** (vikasd@cdslindia.com). (Ref Fig. 1.3)

Different 2 logins are introduced in system

Fig 1.3

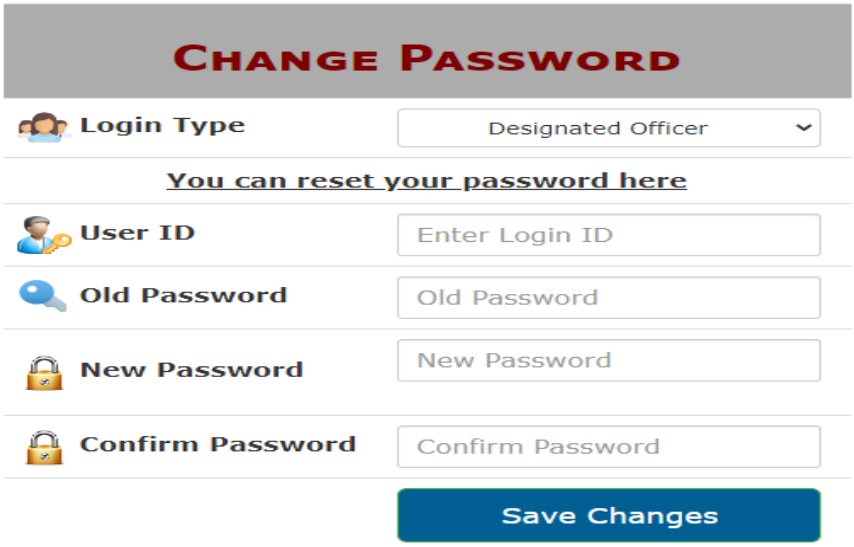
DP IT Official / CISA Auditor registration form

Forgot Password – To get password, click on Forgot password.



The Password will be emailed to the registered email ID of the User.

Change Password



Submission of Annual System Audit Report

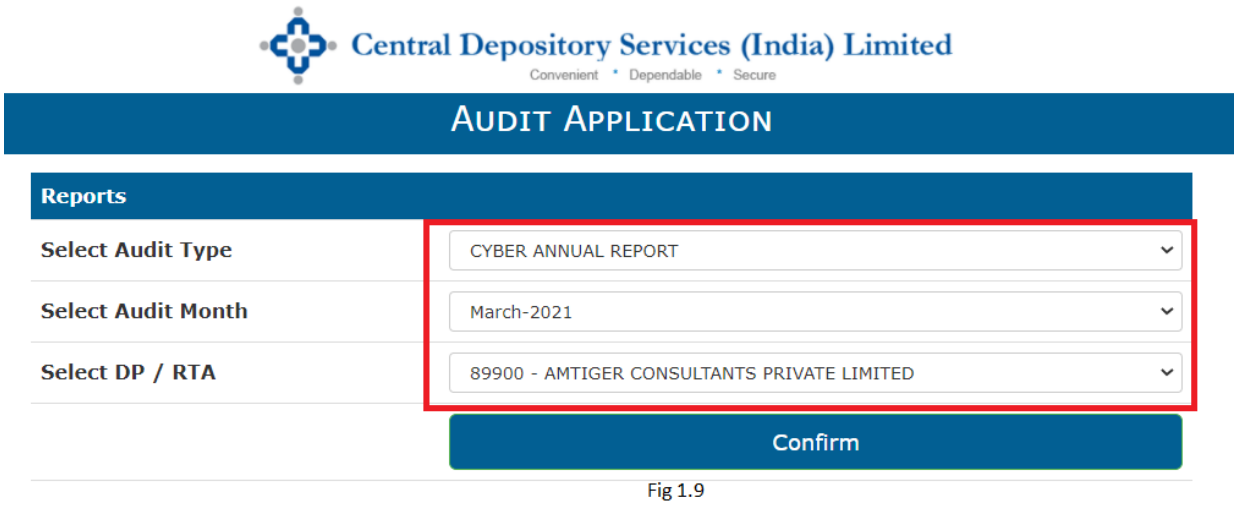
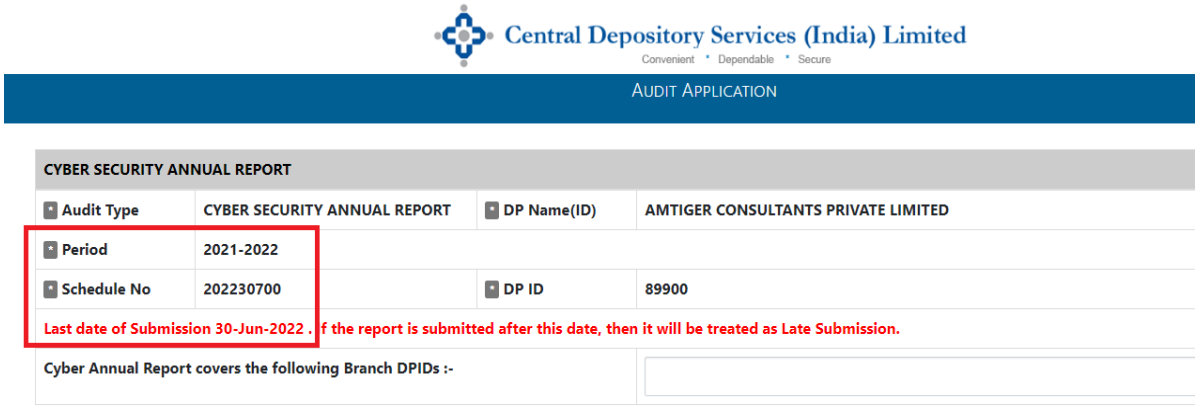
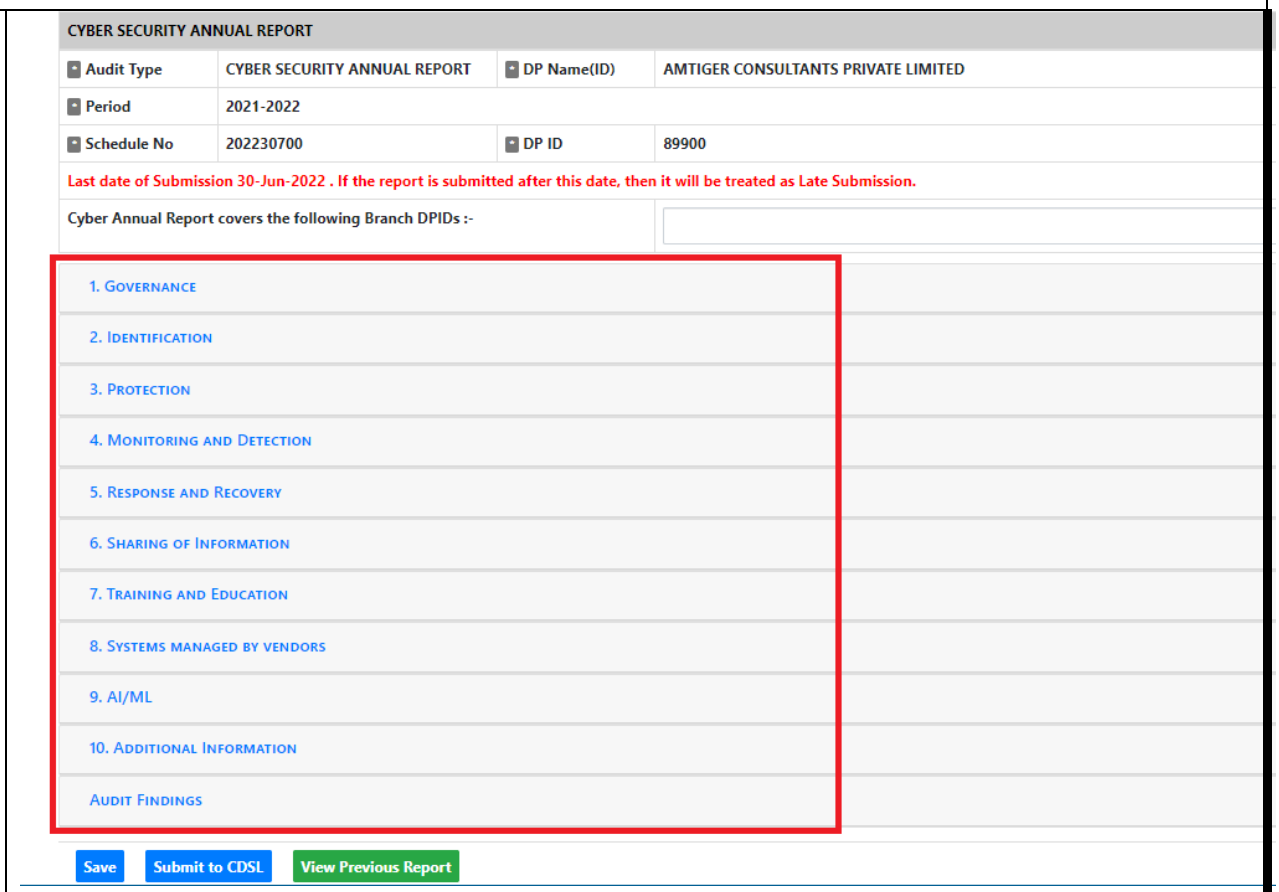


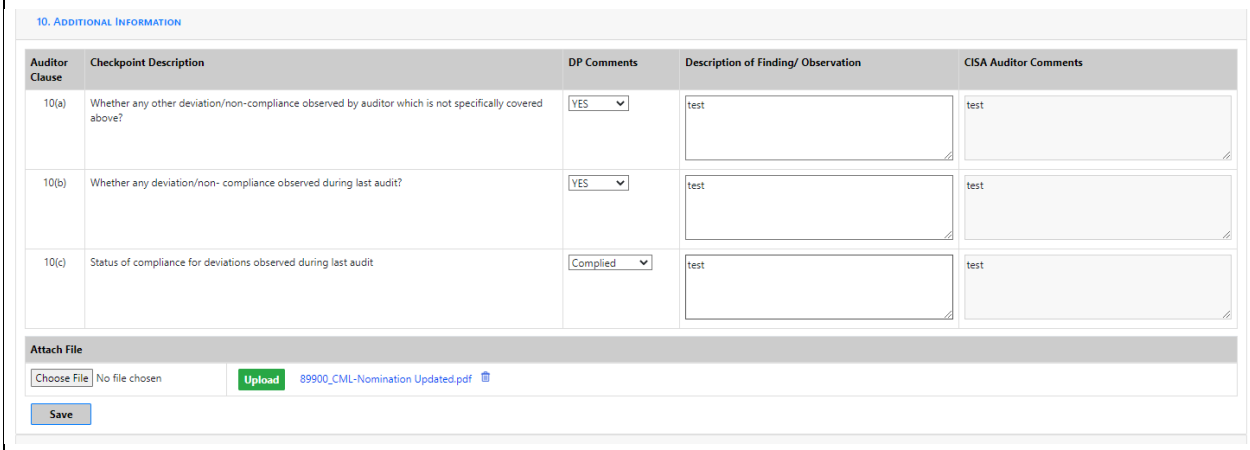
Fig 1.9



Note:

- All sections are divided into separate section as per the framework laid down by SEBI.
- System has provision to save the Cyber annual report section wise either Designated Officer save the details section wise or to save entire details on one click.
- If Auditor Comments are selected as "NO" then the Description of Finding/ Observation is mandatory. System allows 750 characters.
- Management comments are mandatory if Auditor Comments selected as "NO".





Note:

- Designated Officer needs to upload Annual report. If Designated Officer tries to submit the report to CDSL without attaching annual report then system will not allow to submit the report.

Cyber Annual report status

REPORT STATUS

Status	View Report / View File
Audit Type	CYBER AUUNAL REPORT

Fetch Details

Sr_no	Audit_Type	DP_ID	Schedule_Month	Report_Received_Date	Report_Status
1	CYBER ANNUAL REPORT	89900	March-2021		Report not submitted by DP

Reporting for Artificial Intelligence and Machine Learning

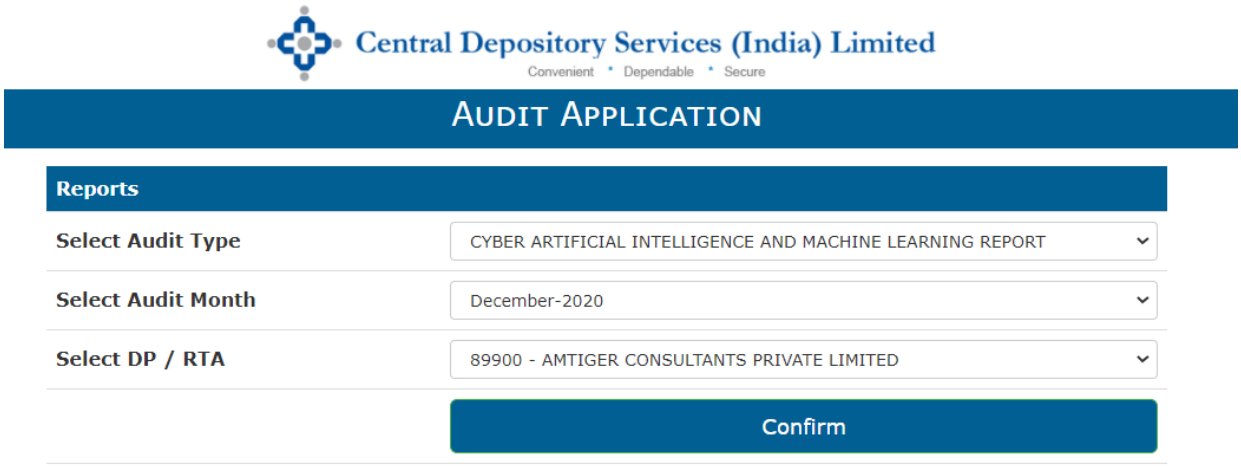


Fig 1.9

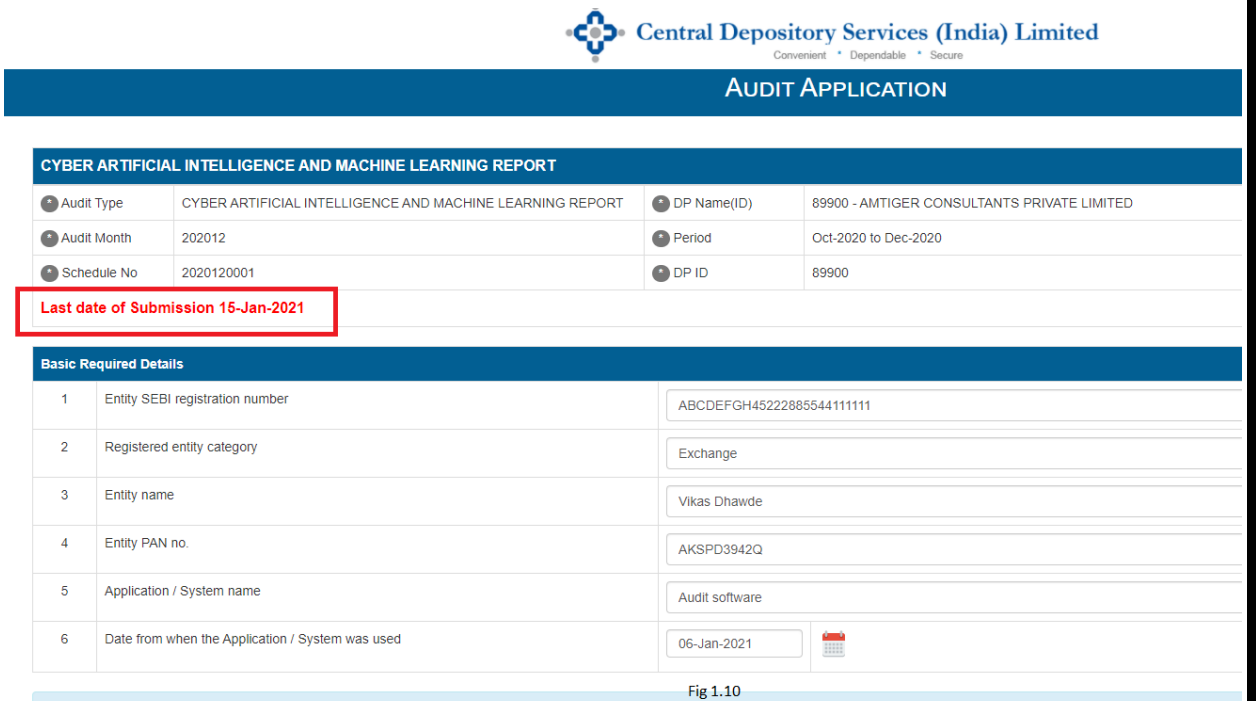
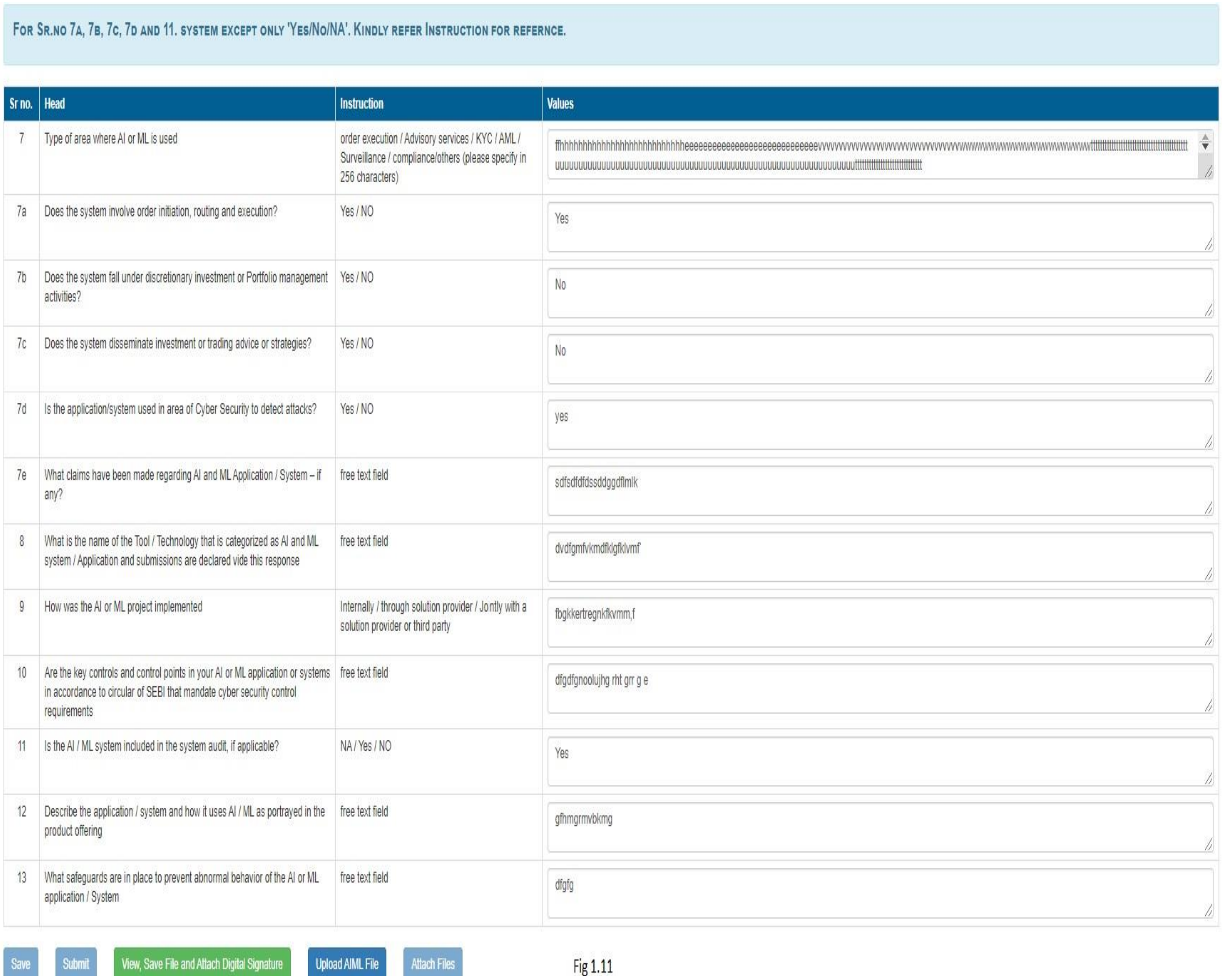


Fig 1.10



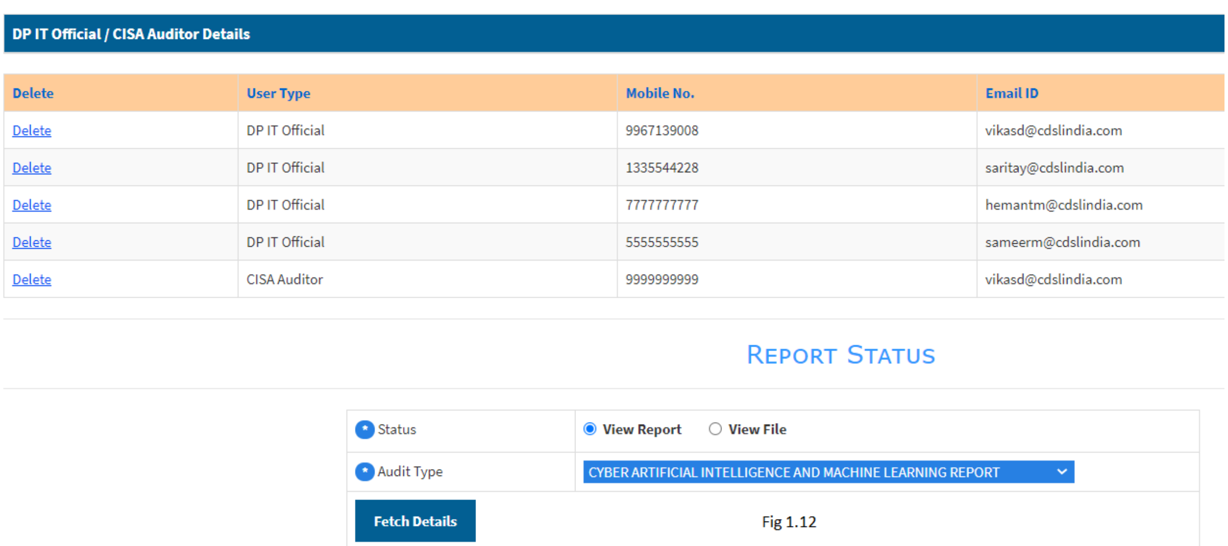
For Sr.no 7a, 7b, 7c, 7d and 11. system except only 'Yes/No/NA'. Kindly refer Instruction for refernce.

Sr no.	Head	Instruction	Values
7	Type of area where AI or ML is used	order execution / Advisory services / KYC / AML / Surveillance / compliance/others (please specify in 256 characters)	ffhhhhhhhhhhhhhhhhhhhhhhhhhhhhheeeeeeeeeeeeeeeeeeeeeeeeeeeeeeeeevvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvvtttttttttttttttttttttttuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuuttttttttttttttttttt
7a	Does the system involve order initiation, routing and execution?	Yes / NO	Yes
7b	Does the system fall under discretionary investment or Portfolio management activities?	Yes / NO	No
7c	Does the system disseminate investment or trading advice or strategies?	Yes / NO	No
7d	Is the application/system used in area of Cyber Security to detect attacks?	Yes / NO	yes
7e	What claims have been made regarding AI and ML Application / System – if any?	free text field	sdfsdfdfdssddggdflmlk
8	What is the name of the Tool / Technology that is categorized as AI and ML system / Application and submissions are declared vide this response	free text field	dvdfgmfvkmdfklgfklvmf
9	How was the AI or ML project implemented	Internally / through solution provider / Jointly with a solution provider or third party	fbgkkertregnkfkvmm,f
10	Are the key controls and control points in your AI or ML application or systems in accordance to circular of SEBI that mandate cyber security control requirements	free text field	dfgdfgnoolujhg rht grr g e
11	Is the AI / ML system included in the system audit, if applicable?	NA / Yes / NO	Yes
12	Describe the application / system and how it uses AI / ML as portrayed in the product offering	free text field	gfhmgrmvbkmg
13	What safeguards are in place to prevent abnormal behavior of the AI or ML application / System	free text field	dfgfg

Save | Submit | View, Save File and Attach Digital Signature | Upload AIML File | Attach Files

Fig 1.11

AI & ML report status



DP IT Official / CISA Auditor Details

Delete	User Type	Mobile No.	Email ID
Delete	DP IT Official	9967139008	vikasd@cdslindia.com
Delete	DP IT Official	1335544228	saritay@cdslindia.com
Delete	DP IT Official	7777777777	hemantm@cdslindia.com
Delete	DP IT Official	5555555555	sameerm@cdslindia.com
Delete	CISA Auditor	9999999999	vikasd@cdslindia.com

Report Status

Status	View Report / View File
Audit Type	CYBER ARTIFICIAL INTELLIGENCE AND MACHINE LEARNING REPORT

Fetch Details

Fig 1.12

Quarterly Cyber Incident report

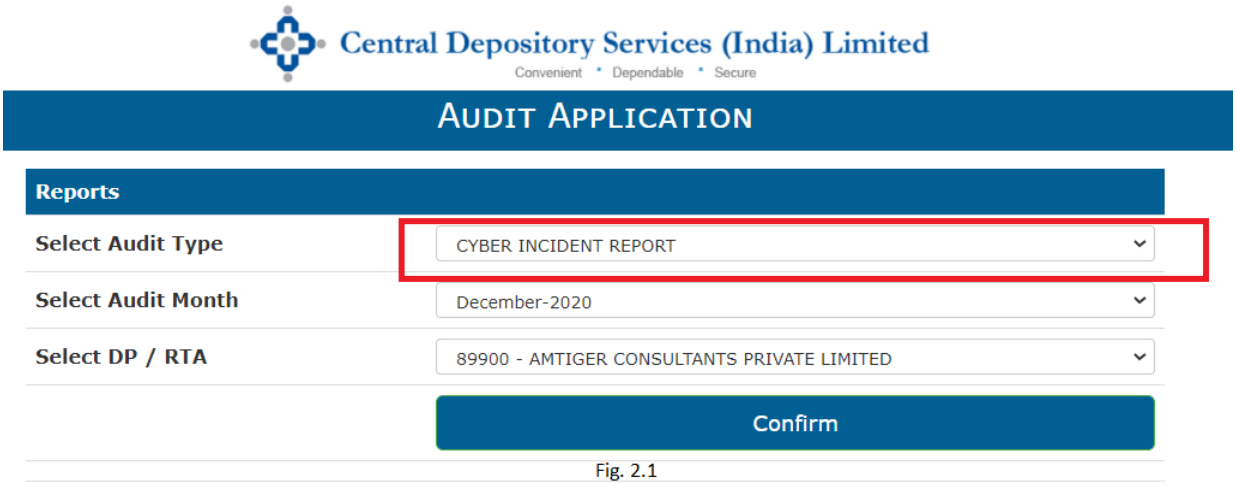


Fig. 2.1

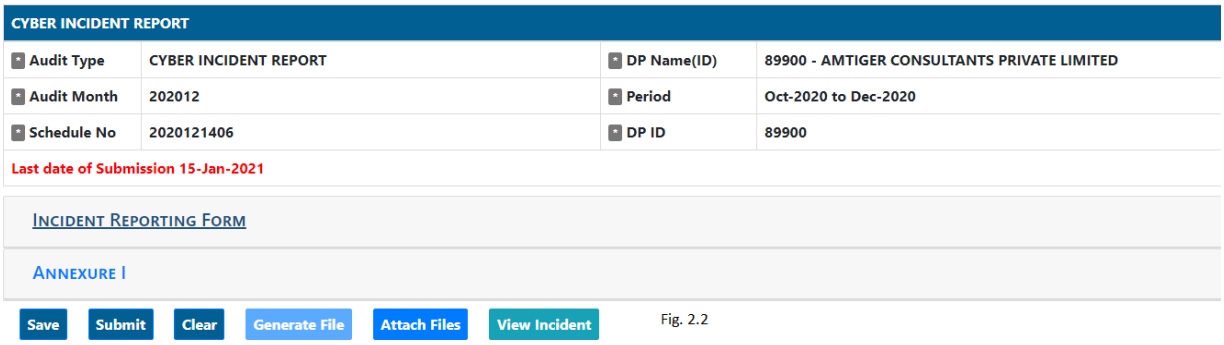


Fig. 2.2

Designated Officer can save multiple incident report which occurred during the respective quarter.

- Whenever DP saves the record new incident ID will populate in system.
- Once Designated Officer click on "Submit" button then DP will not able to save / modify the record.
- DP can upload supporting documents into the system.
- After generating Incident report, DP needs to attach digital signature in the report and upload in system. Once digitally signed report uploaded in system, system will automatically close the report.

Last date of Submission 15-Jan-2021

INCIDENT REPORTING FORM

Incident Reporting Form

1. Letter/Report Subject

NAME OF THE DEPOSITORY PARTICIPANT	89900 - AMTIGER CONSULTANTS PRIVATE LIMITED	UNIQUE INCIDENT NO. :- 2	
NAME OF DEPOSITORY	CDSL	Financial Year = 2020-2021	
MEMBER ID / DP ID	89900		

2. Reporting Periodicity Year

QUARTER 3 [OCT-2020 TO DEC-2020]

3. Designated Officer (Reporting Officer details)

* NAME	Name	* ORGANIZATION	Organization name
TITLE	Title	* EMAIL ID	Email ID
PHONE / FAX NO.	Phone / Fax No	* MOBILE	Mobile
ADDRESS	Address		

Fig. 2.3

ANNEXURE I

Annexure I

1. Physical location of affected computer / Network and name of ISP

Physical location of affected computer / Network and name of ISP

2. Date and time incident occured

dd-MMM-yyyy *

3. Information of affected system

IP ADDRESS	IP Address	COMPUTER / HOST NAME	
LAST PATCHED / UPDATED	dd-MMM-yyyy	OPERATING SYSTEM (INCL. VER / RELEASE NO.)	
HARDWARE VENDOR / MODEL	Hardware model		

4. Type of incident

☐ PHISHING	☐ WEBSITE DEFACEMENT	☐ BOT/BOTNET	☐ DISTRIBUTED DENIAL OF SERVICE(DDOS)	☐ SOCIAL ENGINEERIN
☐ NETWORK SCANNING / PROBING BREAK-IN/ROOT	☐ SYSTEM MISUSE	☐ EMAIL SPOOFING	☐ USER ACCOUNT COMPROMISE	☐ TECHNICAL VULNERA
☐ VIRUS/MALICIOUS CODE	☐ SPAM	☐ DENIAL OF SERVICE(DOS)	☐ WEBSITE INTRUSION	☐ IP SPOOFING

5. Description of Incident

Fig. 2.4