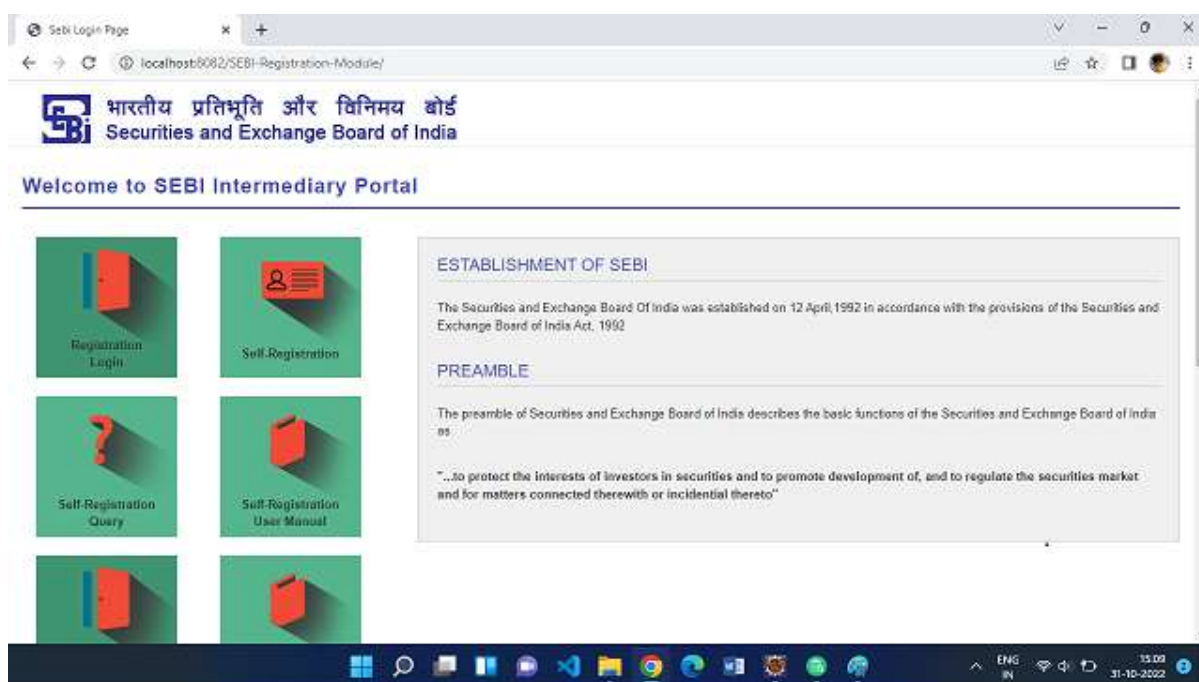


Incident Reporting Portal- User Manual

1. Steps for Self-Registration

Step 1.1. Go to SEBI Intermediary Portal by visiting the URL:
<https://siportal.sebi.gov.in/intermediary/index.html>



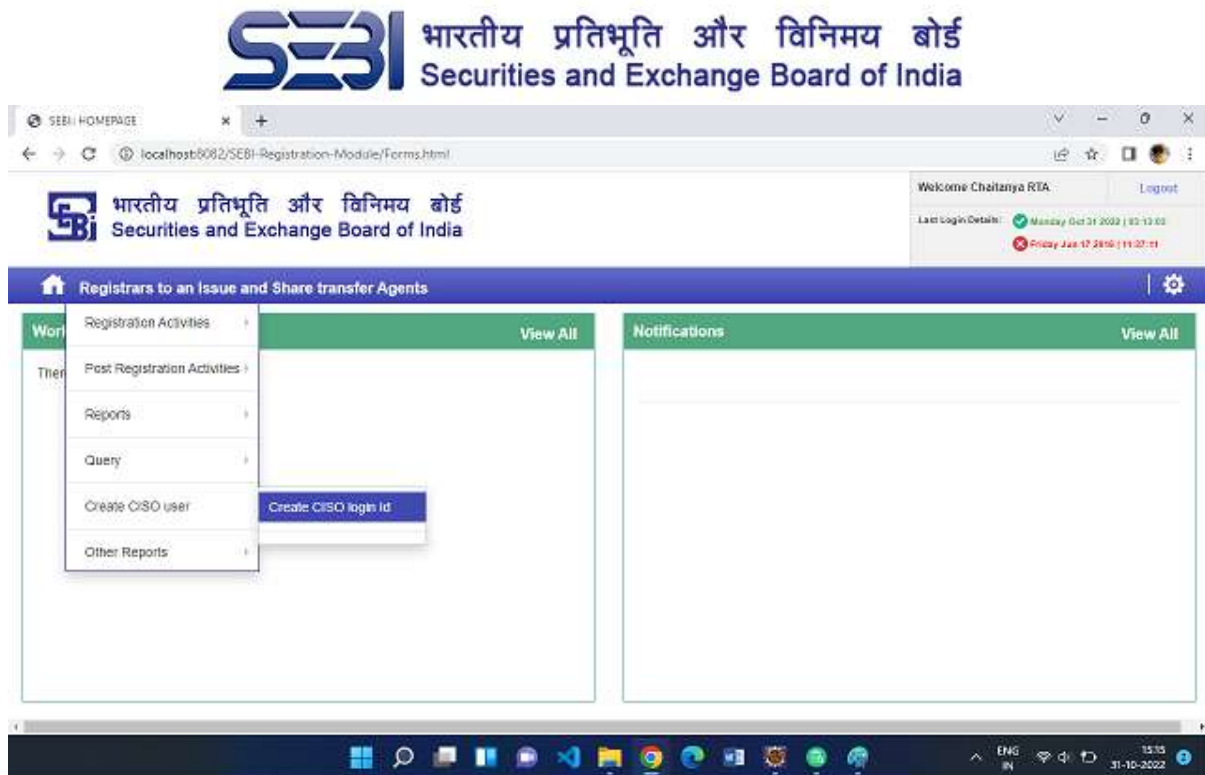
Step 1.2. Click on Registration Login and Enter your credentials to login to the SI Portal.



Step 1.3. Enter OTP and click on Validate OTP



Step 1.4. Go to Create CISO User -> Create CISO Login Id

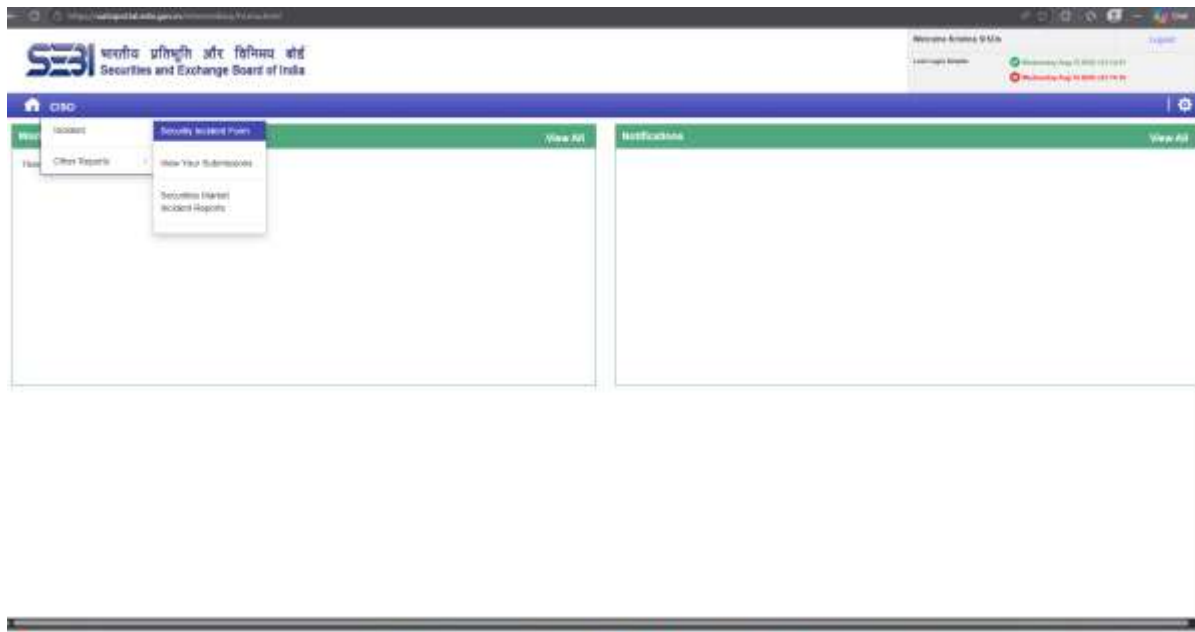


Step 1.5. Fill the form and click on submit button.

Your request to create CISO Role would be successfully submitted to SEBI. Once approved by SEBI, you will receive activation email on the email id mentioned above to activate the email.

2. Steps to Report Security Incident: -

Step 2.1. Go to CISO-> Incident -> Security Incident Form



Step 2.2. Fill all the details of Phase 1 (Initial Reporting) and submit:

The screenshot shows the 'Incident Reporting Portal' for the SBI. The user is logged in as 'Welcome Arunima G.M.' with a 'Logout' button. The 'CISO' menu is expanded, showing options like 'Incident', 'Security Incident Form', 'View All', and 'Notifications'. The 'Security Incident Form' option is highlighted, and a dropdown menu is visible with options: 'New Your Submissions', 'Security Incident', and 'Incident Reports'.

The 'Phase 1: Initial Reporting' form is displayed. It includes a progress bar with four steps: 1. Initial Reporting (active), 2. Review, 3. Approval, and 4. Submission. The form is divided into two main sections: 'Basic Details' and 'Additional Details'.

Basic Details:

- Applicant Name:** [Text Field]
- Registered Entity Type:** [Dropdown Menu]
- CISO First Name:** [Text Field]
- CISO Last Name:** [Text Field]
- CISO Mobile:** [Text Field]
- Recipient Identifier:** [Text Field]
- Sender Identifier:** [Text Field]
- CISO Mobile:** [Text Field]
- CISO Email:** [Text Field]
- CISO Landline:** [Text Field]

Additional Details:

- Additional capacity / role registered with SEBI:** [Text Field]
- SEBI registration no. for that role:** [Text Field]

Note: - Stock Exchanges and Depositories are required to report incident on behalf of Stock Brokers and Depository Participants respectively. Please see the following screenshot. (“Are you an MII Reporting on Behalf of DP/ Broker?”)

SEBI भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India

Welcome to the SEBI Incident Reporting Portal. Please log in using your credentials.

Incident Reporting Portal
Report (currently, incidents in a structured and phased manner to SEBI)

Phase 1 of 4 - Initial Reporting

Incident ID: 123456789

Phase 1: Initial Reporting

2. Main Details

Applicant Name: [Redacted]
Requester Name: [Redacted]
Registered Entity Type: [Redacted]
Are you an MII Reporting on Behalf of (Broker)? [Yes]
Please (Only to be filled by Depository and Stock Exchange)
Incident Category (SEBI Registration Number): [Redacted]
CSD First Name: [Redacted]
CSD Last Name: [Redacted]
CSD Mobile Number: [Redacted]
CSD Email: [Redacted]

Step 2.3. Fill all the details of Phase 2 (Within 3 days of the Reporting of incident) and submit:

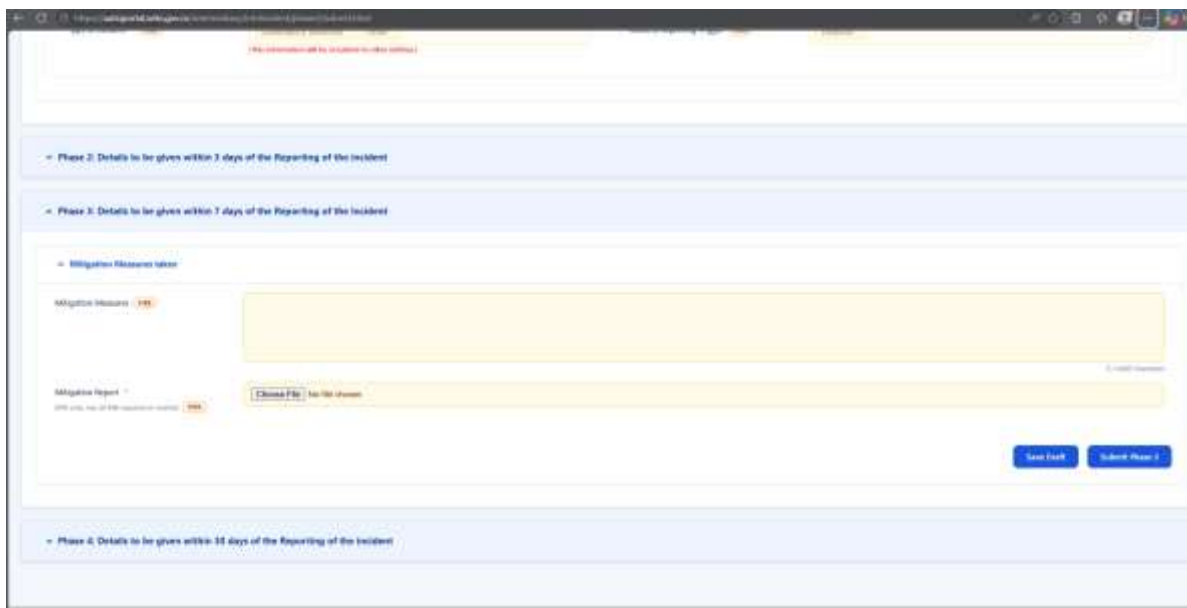
Technical Details

Information of affected system

Incident Type: [Redacted]
OS/Platform: [Redacted]
Last Patched/Security Change made: [Redacted]
Affected Version: [Redacted]
Other Details: [Redacted]
Incident Report: [Redacted]
Choose File: [Redacted]

Save (Skip) Submit Phase 2

Step 2.4. Fill all the details of Phase 3 (Within 7 days of the reporting of the incident) and submit:



The screenshot displays the SEBI incident reporting interface. At the top, a message states: "(The information will be available to all stakeholders)". Below this, a progress bar indicates the current stage: "Phase 3: Details to be given within 7 days of the Reporting of the incident". The main form area is titled "Mitigation Measures taken" and contains two sections: "Mitigation Measures" with a large text input field, and "Mitigation Report" with a "Choose File" button and a note "(200 words, max. of 1000 characters allowed)". At the bottom right of the form are "Save Draft" and "Submit Phase 3" buttons. Below the form, another progress bar shows "Phase 4: Details to be given within 30 days of the Reporting of the incident".

Step 2.5. Fill all the details of Phase 3 (Within 30 days of the reporting of the incident) and submit:

Phase 4: Details to be given within 15 days of the Reporting of the Incident

Root Cause Analysis

Number of systems affected: 1

How was the incident detected? :

Chronology of the event in brief :

Root Cause Analysis :

Action Details :

DR/COWA if already assigned :

Actual Date and Time of Resolution :

3. Steps to View Incident Details which you have submitted

Step 3.1. Go to CISO -> Incident -> View Your Submission

SEBI भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India

CISO

Incident

Security Incident Name

Other Reports

View Your Submissions

Security Incident

Incident ID: 18M00116

18/01/2024

All phases completed

Phase 1: Initial Reporting

Basic Details

Applicant Name: KISBIA SECIS

Regulated Entity Type: Qualified FIEs

CISO First Name: Piyush

CISO Last Name: Kumbh

CISO Mobile: 9997436319

Registered Address: 100

CISO Email: piyush@kumbh.com

CISO Landline: 100

Additional capacity / role registered with SEBI:

4. Steps to View Incident Details from common pool

पृष्ठ सं. 8 (कुल पृष्ठ 8)