Corporate Professionals

INSILYSIS

SYSTEMIZING INSIDERS

A Web based Solution to monitor Insider Trading

3.75

3.64

ABOUT THE SOFTWARE

❖ **Insilysis is a comprehensive IT Solution especially designed for catering all the requirements of Corporates arising under SEBI (Prohibition of Insider Trading) Regulations, 2015 developed by Corporate Professionals Secretarial Services, the IT arm of Corporate Professionals, a fast mounting corporate laws consultancy group in India.**

❖ **The Application is a result of the continuous deliberate efforts and commitment of experienced professionals delivering wide array of services from over 12 years, who have to their credits development and implementation of the *'ESOP Guardian' - our ESOP management software,* operating successfully across 35 companies over the last 5 years.**

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ABOUT THE SOFTWARE

- ❖ **The Application is duly updated to meet the need of -**

  - ✓ **"Structured Digital Database"**

  - ✓ **Internal & External Insider Management**

  and all other requirements arising pursuant to 'SEBI (PIT) (Amendment) Regulations, 2015'.

- ❖ **It aims to seamlessly enable Companies to ensure that all the Statutory compliances and disclosures as per the SEBI in the most efficient and holistic manner.**

Welcome to INSILYSIS

Introduction

Login

› Insilysis is a web-based comprehensive solution especially designed for catering all the requirements of corporates arising under SEBI (Prohibition of Insider Trading) Regulations, 2015. The Application is developed through continuous and deliberate efforts and commitment of experienced team of Corporate Professionals .

› This application enables companies / any of the users to ensure that all the statutory requirements and disclosures as per the SEBI (Prohibition of Insider Trading) Regulations, 2015, are made by them in the best & most effective manner.

Admin

Login   Forget Password ?

Powered by - Corporate Professionals Secretarial Services Pvt Ltd. 2017-2018

ISSUES INVOLVED IN INSIDER MANAGEMENT

Data Processing

- **Dealing & Processing huge databank of insiders both inside and outside the organization**

Document Capture

- **Documents originating from insiders like incoming mails, disclosures, documents, records etc need to be preserved**

Receipt & Distribution

- **Distribution of correspondence to the insiders with regard to permissions sought and receipt of disclosure**

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ISSUES INVOLVED IN INSIDER MANAGEMENT

Filing, Search, Retrieval

- **Filing, Indexing, Searching documents of various persons over different reporting period takes significant time**

Knowledge Management

- **Capturing, developing and sharing organization knowledge and external information**

Integration of Information

- **Integration of technical & functional information for preparation of management reports**

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ISSUES INVOLVED IN INSIDER MANAGEMENT

High Responsibility of Compliance Officer

- Compliance of policies, procedures
- Maintenance of records
- Monitoring of trades implementation of the codes
- Monitoring adherence to rules for preservation of UPSI

Security of Database

- Mandatory requirement of law to create structured digital database with adequate internal controls and checks

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SOLUTIONS OFFERED

FUNCTIONALITIES

FUNCTIONALITIES

TRADING WINDOW MANAGEMENT

- ✓ Management of **Trading Window Period**
- ✓ **Alerts and Notifications** of Trading Window closure
- ✓ Management of **Approvals and Restrictions**

STOCK EXCHANGE REPORTING

- ✓ **Report on Trading Window**
- ✓ **Report on Disclosures**

FUNCTIONALITIES

DECLARATIONS AND DISCLOSURE MANAGEMENT

- ✓ **Initial Disclosures**
- ✓ **Periodic Disclosures**
- ✓ **Event Based Disclosures**

PRE – DEALING APPROVALS AND UPDATES

- ✓ **Managing request for purchase and sale**
- ✓ **Automated procedure for Request Approvals and Rejections**

Allow Initial Disclosure

| Initial Disclosure | Periodic Disclosure |

Group   Insider Trading

Company   CP Holding ▼

Search

Insider ID	Insider Name	Insider Designation	Date Of Joining	
CP0013	Mohini	VP	05 Feb 2019	Allow

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FUNCTIONALITIES

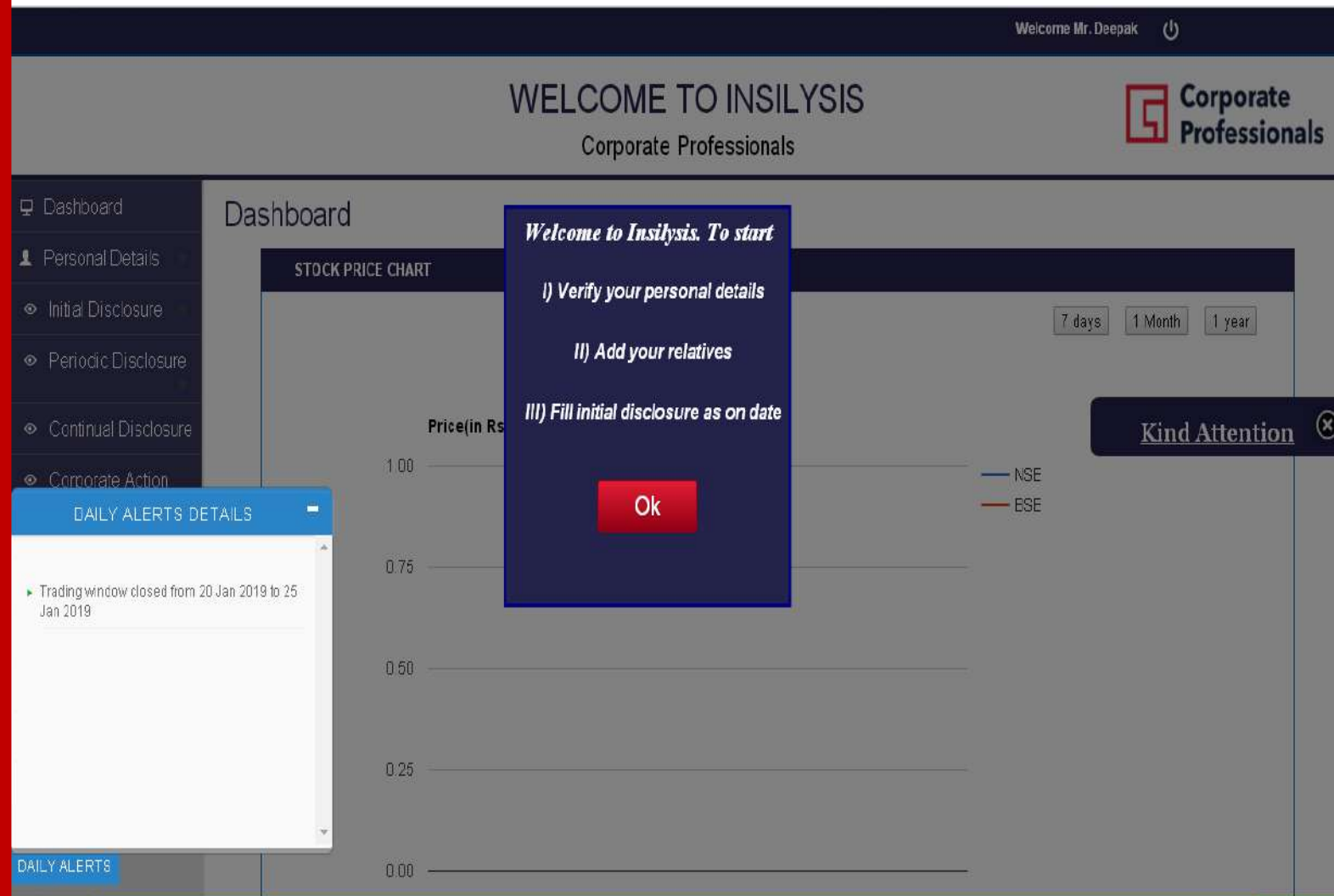## ANALYTICS AND REPORTS

- ✓ **Periodic Disclosures made**
- ✓ **List of Designated Persons**
- ✓ **List of Pending Transactions**
- ✓ **List of Reported Transactions**
- ✓ **Trading Window History**
- ✓ **Top 10 Trades**

Analysis of Securities Traded

⦿ Monthly ◯ Quarterly

Month / Quarter	Type of Securities	No. of Securities Traded (No.)	Total Value of Securities Traded (Rs.)	% of Total Paid-Up Capital
January, 2019	Equity	100	14101100.00	5.00

Top 10 Trades

⦿ Current Month ◯ Current Year

February, 2019

No Related Data Found

Total Disclosure Filled

⦿ Initial ◯ Periodic ◯ Continual

Duration	Period	No. of Disclosure Filled (No.)
During Month	February, 2019	0
During Year	2018 - 19	

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FUNCTIONALITIES

ALERTS AND NOTIFICATIONS

✓ **Trading Window alert**
✓ **Approvals and Rejections and their Intimations**
✓ **Automated Notifications for Trigger of Disclosure**

FUNCTIONALITIES

STORAGE BANK

- ✓ **Stock Exchange documents**
- ✓ **Disclosures made**
- ✓ **Approvals given**
- ✓ **Clearances made**
- ✓ **Transaction records**

INDEPENDENT ACCESS TO CONNECTED PERSONS

- ✓ **Receipt of information & communications**
- ✓ **Availability of Code of Conduct & timely alerts**
- ✓ **Intimation of arise of disclosure requirements**

Capital Details

Authorized Capital Details :

As on Date   13/02/2019

Type of Securities	Number of Securities (No.)	Face Value (Rs.)	Total Value (Rs.)		
Equity	100000	121.00	12100000.00	Edit	Delete
Preference share	100000	100.00	10000000.00	Edit	Delete
			Total: 22100000.00		

Add Authorized Capital

Paid-Up Capital Details:

As on Date   13/02/2019

Type of Securities	Number of Securities (No.)	Face Value (Rs.)	Total Value (Rs.)	
Equity	100000	121.00	12100000.00	Edit
Preference share	100000	150.00	15000000.00	Edit
			T	

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Welcome to INSILYSIS
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Welcome Admin

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Dashboard

- Dashboard
- Corporate Information
- Company Master
- Capital Details
- Subadmin Permission
- Insider Details
- Disclosures
- Approvals
- Beneficiary Details
- Record Trade
- Trading Window Closure
- Corporate Action
- Report
- Upload Excel
- System Settings
- Master Settings
- Logout

BSE Stock Price as on 14 Dec 2018 :- Rs. 199.10
NSE Stock Price as on 14 Dec 2018 :- Rs. 199.25

Insider Details

Company Name	Status	Total Designated Insiders (No.)	Type of Securities	No. of Securities Held by them along with Relative (No.)	% of Securities on Total Paid-Up Capital
Corporate Professionals	Main Company	1	▼ Preference share	5398	5.40
			▶ Equity	1827	91.35
			▶ 10% debentures	1320	

Detail For	No of security Held	percentage
Insider	5398	5.40
Relative	0	0.00

HIGHLIGHTS

- ❖ Trade Window Management with Auto mails
- ❖ Structured Database Management
- ❖ In-built Mailbox
- ❖ Auto Mailing Facility
- ❖ Integration with Holding Company & Subsidiary Company
- ❖ Separate Admin, Sub-Admin & User Interface
- ❖ Sub- Admin facility for delegation by Compliance Officer and Internal checks
- ❖ Bulk Uploading of Data
- ❖ Import/ Export of data facility

- ❖ Weekly cross-tally with BEN-POS
- ❖ Live Share Price Window
- ❖ Top Trades details
- ❖ Periodic Trade Disclosure Summary
- ❖ Auto Mail Trigger on Rs 10 lakh
- ❖ Trade details of both Designated Person and his Immediate Relative
- ❖ Reminder Messages to insider for pending action
- ❖ Daily Alerts
- ❖ MIS Report
- ❖ Encryption of Critical Data
- ❖ Strong System Controls

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REPORTS

REPORTS

- **Insilysis facilitates generation of several reports for various management and employee needs**
- **The reports are developed keeping in view statutory compliance and user information needs**

REPORTS

1. **Insider Report-** It provides consolidated database of insider details
2. **Insider Demat Report-** It provides the Demat details of the insider
3. **Capital details-** it provides a comprehensive report related to capital structure of the company
4. **Insider Transaction details-** It provides comprehensive details of transactions undertaken by an insider
5. **Trading Window Report-** It provides the details of trading window of the company on yearly basis

APPLICATION SYSTEM CONTROLS

ACCESS CONTROLS

1. **User Access Management**

Access to Registered Users only

Documentation of User info

Pre-registered Admin

Sub - Admin users and the insider users set by Admin

Sub -Admin access linked with role privilege

De-registration/ de-activation of Unauthorized Users

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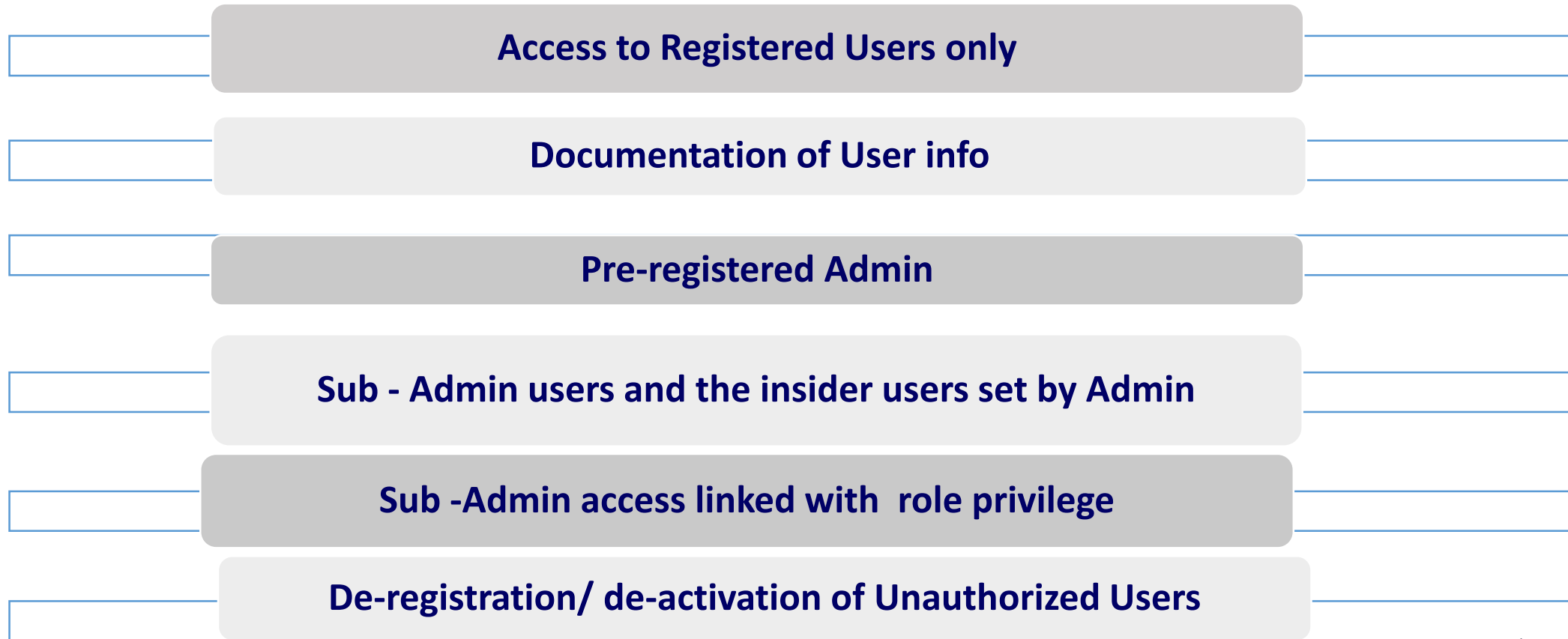
ACCESS CONTROLS

2. User Password Management

Mandatory usage of strong passwords to maintain confidentiality

The passwords to be set has to meet certain specifications like strength, length, non repetition etc. auto-generated

Allocations, storage, revocation, and reissue of password are automated and involves no manual processing

Internal Storage of password uses one way hashing algorithms and the password file is non accessible to users

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INPUT CONTROLS

Limit Check against predefined limits to avoid input error

Valid Code Check against predetermined transaction codes to provide valid input

Arithmetic Checks to validate the result of computations

Cross Checks with Input made in different filed to see that the result tally

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DATA & DATABASE SECURITY CONTROL

Data Encryptions of Crucial data i.e. PAN , Demat account number, account details, email id and more

Using of stored procedure to avoid the SQL - Injection to prevent the data loss or data hacking

Using of n-tier architecture to prevent SQL-injection

Nonuse of URL string to prevent hacking attempt

User log details with IP and dates along with the page navigations

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DATA & DATABASE SECURITY CONTROL

Strong Password for users based on 8 digit mix of alpha, numeric, special, mixed case on random generations

Active Directory Login to manage the user details

Nonuse of cookies

Code/SQL injection with use of compile code and stored procedure we try to avoid the injections.

Broken authentication and session management concept followed on each page whenever the session is been lost

Cross-site scripting- usage of any JavaScript file is avoided from the CDN server or any other third party website

PRE-REQUISITES TO APPLICATION

System Software Requirements

Frame Work	**.Net 4.0 or latest vesrion**
Database	**MS Sql Server 2012 or any upward version**
IIS	**IIS 7.0 or above with SMTP**
Rights	**Server should have administrative rights to install & updates.**
Operating Systems	**Window server 2012 or upward (64 bit or 32 bit/ 64 bit recommended)**
Other Application	**Install an AccessDatabaseEngine.exe file from the link** https://www.microsoft.com/en-us/download/details.aspx?id=13255

PRE-REQUISITES TO APPLICATION

System Hardware Requirements

Processor **Minimum** **Recommended**	i3 dual core, 5th Gen. Processor 2.9 GHz or faster i5quad Core ,5th Gen. Processor 2.9GHz or faster
RAM **Minimum** **Recommended**	**4 GB (32 Bit) or 8 GB (64 Bit) RAM** **8 GB (32 Bit) or 16 GB (64 Bit) RAM**
Disk Space **Minimum** **Recommended**	**100 GB** **200 GB**

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SERVICES OFFERED BY US

OTHER VALUE PRODUCTS

A Web based comprehensive solution for ESOP management

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Corporate Professionals is a group of highly skilled, research oriented and dedicated professionals with unique consulting background that offers world class multi-disciplinary legal, financial and business advisory services. Over the period, the Group has emerged as an innovative leader in delivering corporate advisories and solutions in a simplified, cost effective and efficient manner. We have successfully engaged in and executed over 3500 assignments of more than 1000 corporate houses, domestic as well as international, across several Industries, to the best of satisfaction of clients.

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Thank you

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