

Administrator Manual

Insider Trading Compliance Solution

For

MAHANAGAR GAS LIMITED



Submitted By:

proCS

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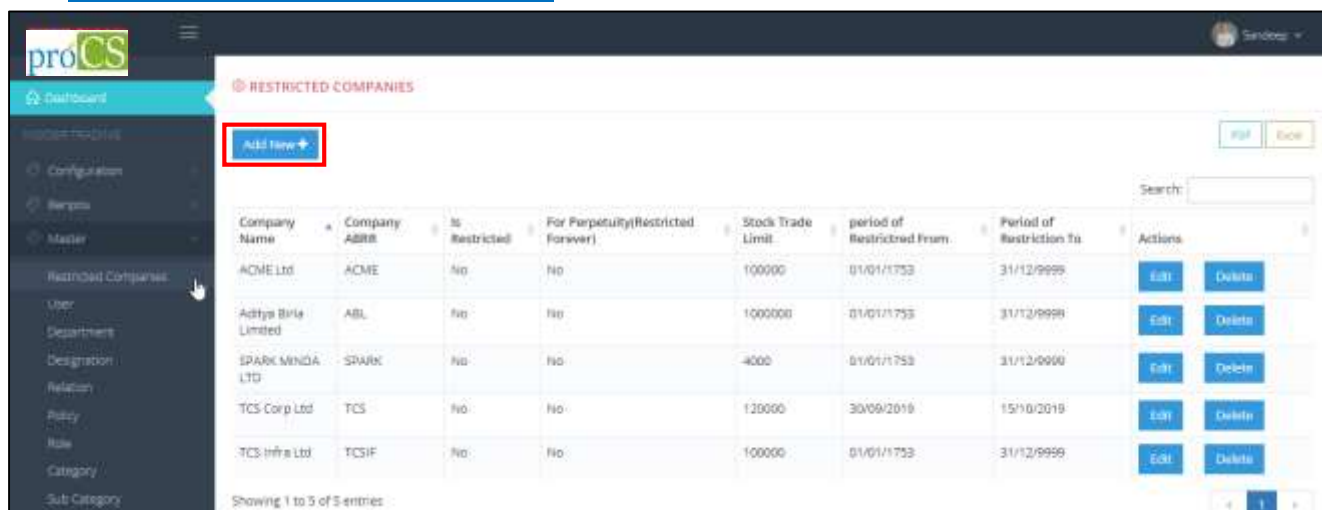
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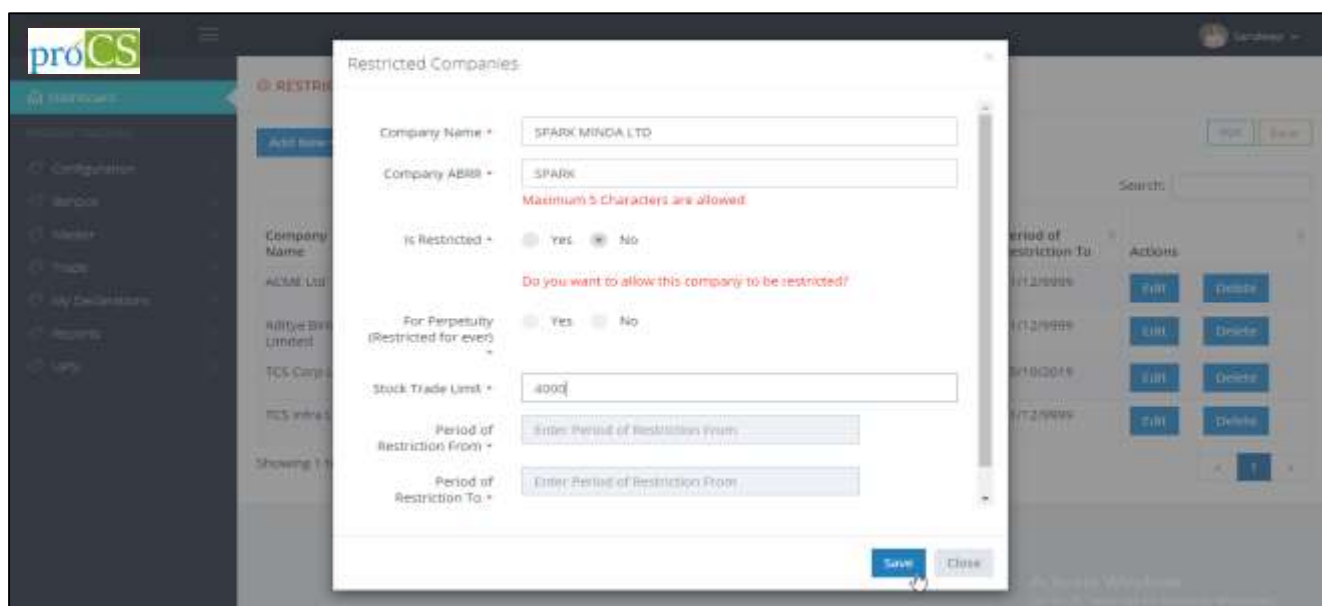
1. Company Setup

proCS Insider Trading Solution allows organizations to create multiple Company Listings – in addition to their own company, while ensuring the insiders to allow or restrict trade in these companies.

Path: [Main Menu > Master > Restricted Companies](#)



- In order to setup a new company, select “Add New+” button, highlighted above.



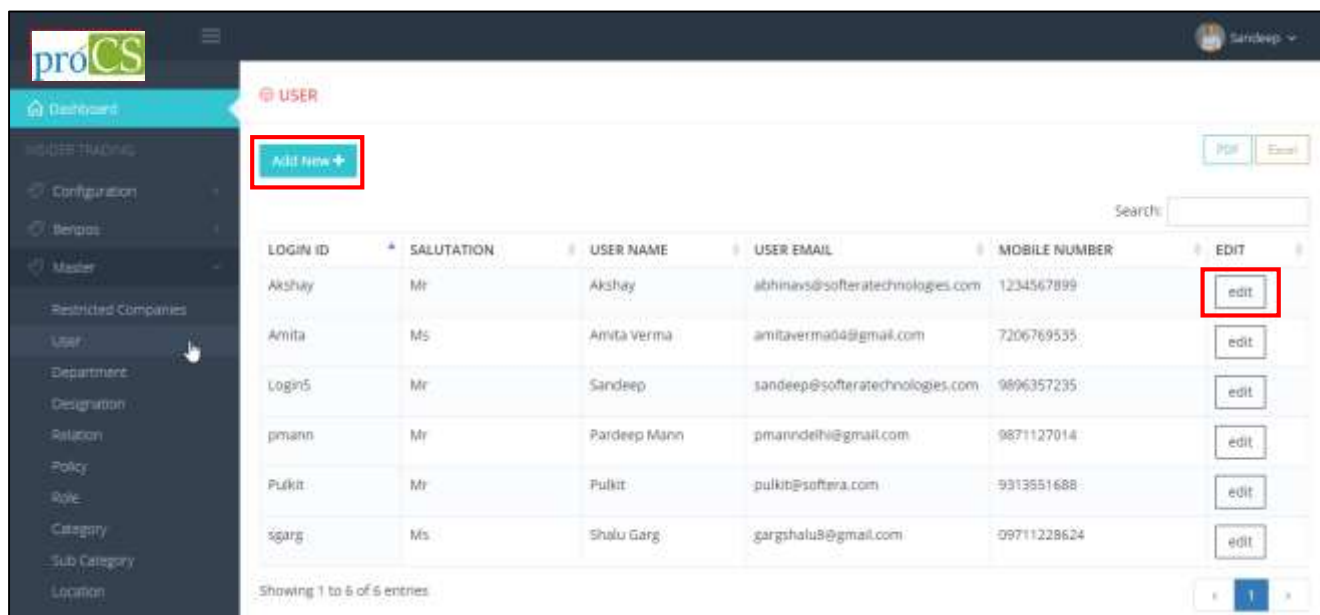
Key Fields

1. **Company Name** – Name of the Company to be added
2. **Company ABBR** – Company Name Abbreviation (Max 5 Characters)
3. **Is Restricted** – Select Yes if trade is restricted on this company, else No.
4. **For Perpetuity** - Enabled If Point 3 is Yes, select if The Restriction is forever (YES) or for a specific period (NO)
5. **Stock Trade Limit** - Enabled If Point 3 is No, Provide the Stock Trade Limit of Company per Quarter
6. **Period of Restriction** – Enabled if point 4 is No, Provide **From** and **To** dates till which the trade is restricted.
7. **Save** – Saves the Company Detail

2. User Addition & Update

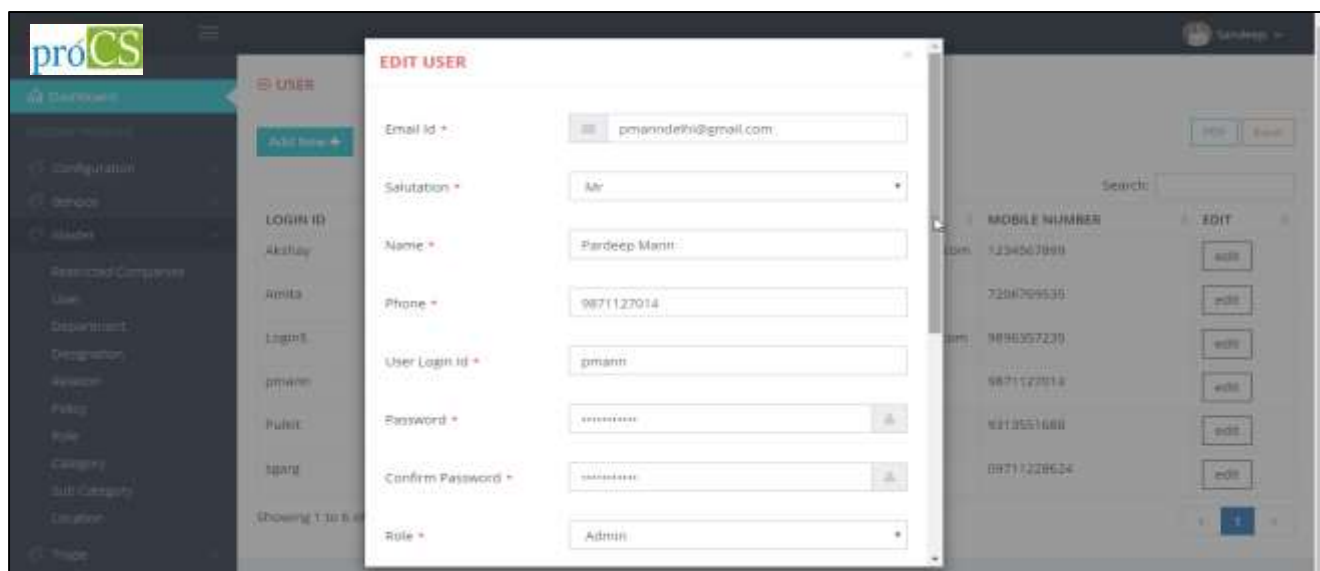
Users can be added to the system to provide access through User Masters. The same listing can be used to change the password, email or role of user in the system

Path: [Main Menu > Master > User](#)



LOGIN ID	SALUTATION	USER NAME	USER EMAIL	MOBILE NUMBER	EDIT
Akshay	Mr	Akshay	akshay@softeratechnologies.com	1234567899	edit
Amita	Ms	Amita Verma	amitaverma04@gmail.com	7206769535	edit
Login5	Mr	Sandeep	sandeep@softeratechnologies.com	9896357235	edit
pmann	Mr	Pardeep Mann	pmann@delhi@gmail.com	9871127014	edit
Pulkit	Mr	Pulkit	pulkit@softera.com	9313551688	edit
sgarg	Ms	Shalu Garg	gargshalu8@gmail.com	09711228624	edit

- In order to add a new User, select “Add New+” button, highlighted above.
- To edit an existing user details, click on Edit button highlighted on right.



Key Fields (* are Mandatory)

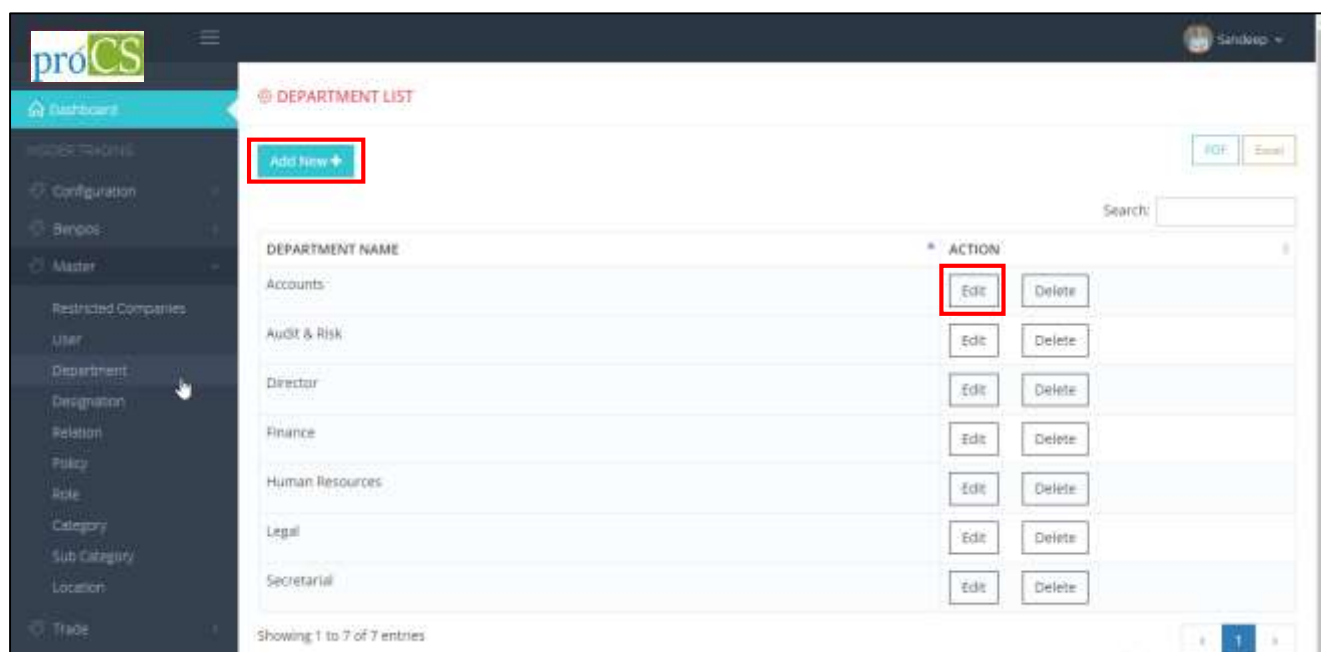
1. **Email Id *** – Email id of the Insider/User
2. **Salutation *** - Mr. / Mrs. / Dr.
3. **Name *** – Full User Name
4. **Phone** – 10 Digit Numeric Phone Number without Country code (+91 India by Default)
5. **User Login Id *** - User Login credentials (Can be email as well). Note – Cannot be changed later by Admin
6. **Password & Confirm Password** – Can also be used to reset password of User

7. **Role ***
 - Select Admin for granting Admin Rights
 - Select Other Roles (Secretary/CTO/MD/CFO) for Insiders (Can be changed from Role Master)
8. **Designation** – User Designation Selection. Can be changed from Designation Masters
9. **Department** – User Department Selection. Can be changed from Department Masters
10. **Nationality**
 - Indian
 - Foreign National
11. **Status**
 - Active – By Default
 - In-Active – To Restrict User access
12. **Upload Avatar** – Upload User Image – jpeg, jpg or PNG files
13. **Save** – Saves the User Details

3. Department - Add & Update

Admins can create multiple Departments from Department Masters to assign to users. The same listing can be used to De-Activate or Edit any Department Details.

Path: [Main Menu > Master > Department](#)

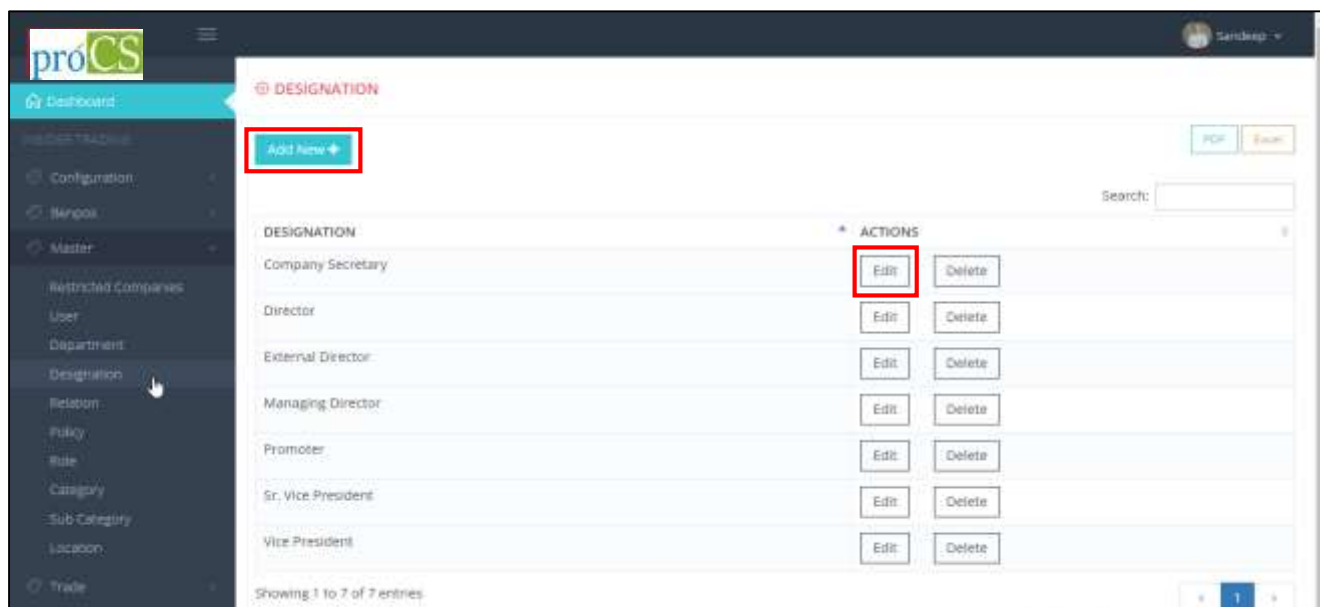


- In order to add a new Department, select “**Add New+**” button, highlighted above.
- To edit an existing department details, click on Edit button highlighted on right.

4. Designation - Add & Update

Admins can create multiple Designations from Designation Masters to assign to users. The same listing can be used to De-Activate or Edit any Designation.

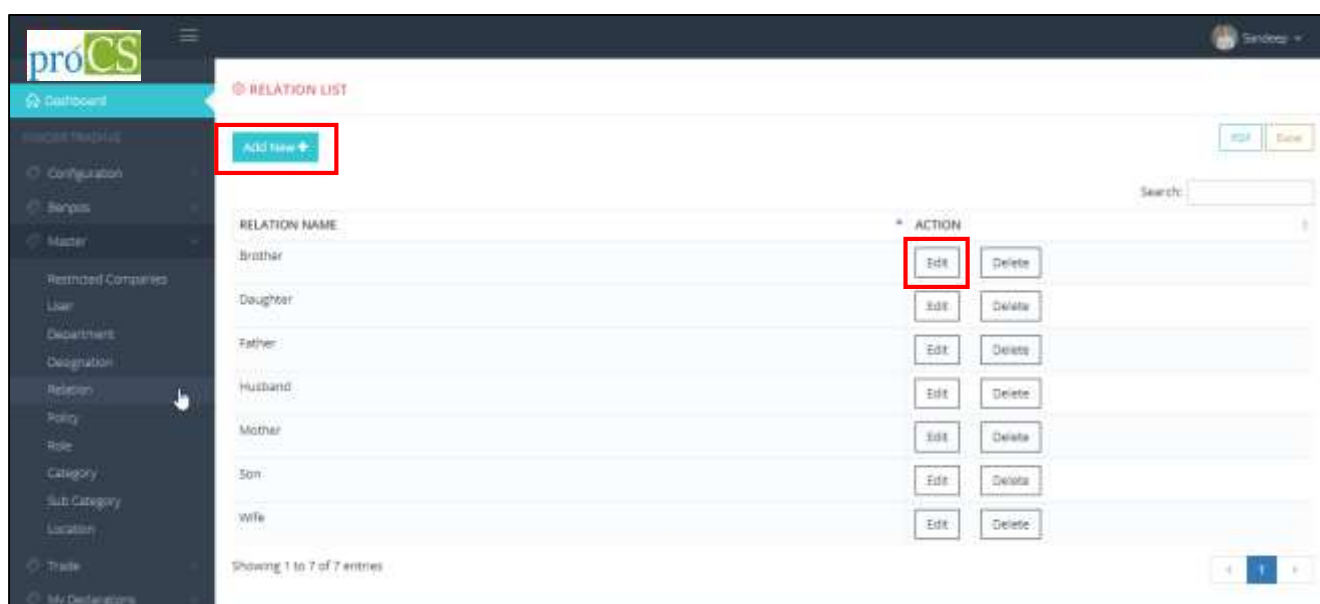
Path: [Main Menu > Master > Designation](#)



5. Relation - Add & Update

Using this Master, Admins can create and alter multiple Insider Relatives - for Insiders to Add while submitting their periodic Declaration.

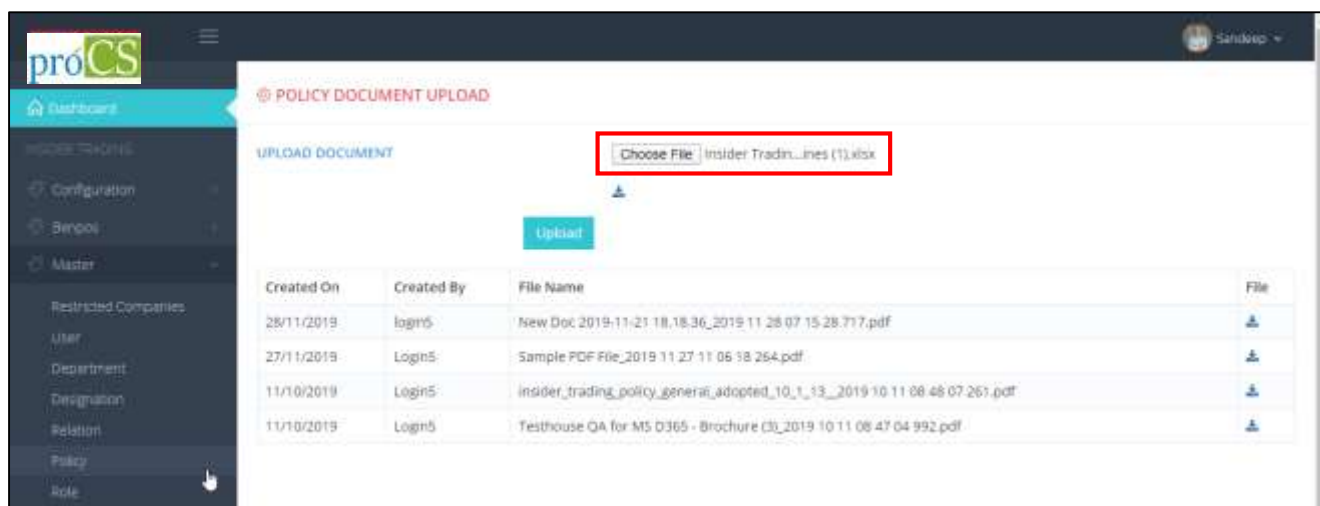
Path: [Main Menu > Master > Designation](#)



6. Insider Trading Policy Upload

proCS Insider Trading allows complete version management and control of all Insider Trading policies uploaded by the admin and thereafter declared upon by the Insiders

Path: [Main Menu > Master > Policy](#)

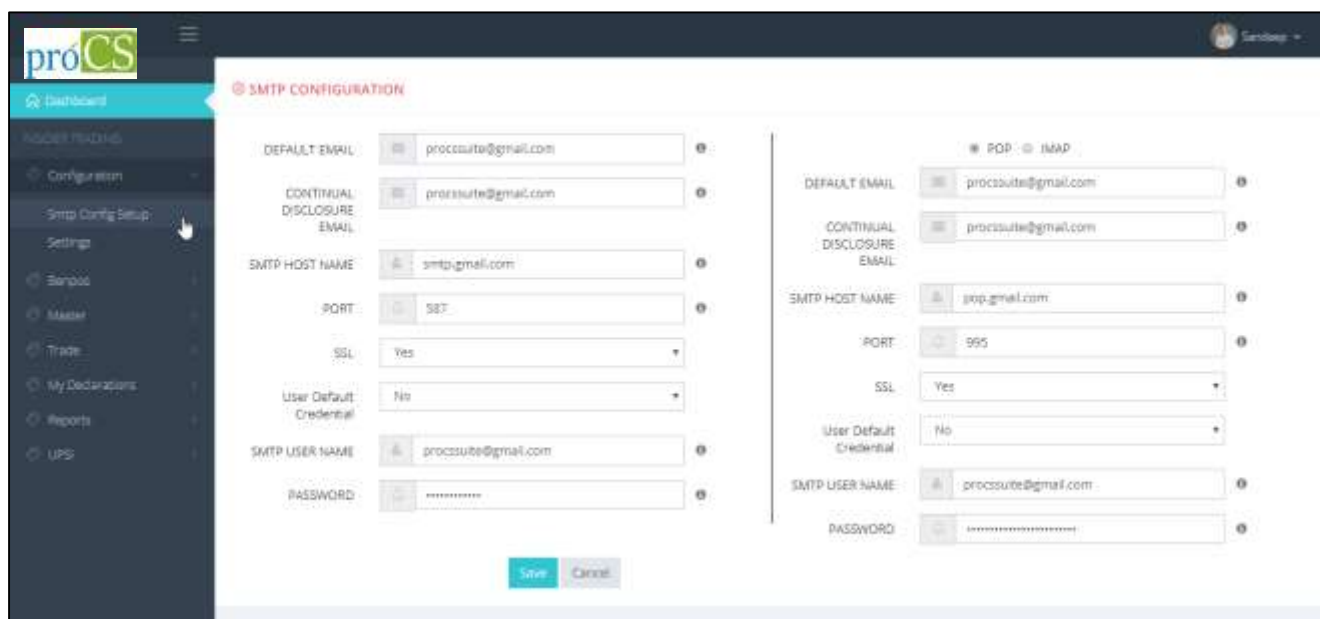


- In order to upload a new Insider Trading Policy, select “**Choose File**” button, highlighted above and click on Upload.
- Please note to upload only a PDF file document
- The previous Insider Trading Policy Documents are mentioned in the listings as shown in the snapshot above.

7. SMTP Configuration (Email Settings)

The Email authority and SMTP settings can be controlled directly by Admin or Client IT. This is used to provide a dedicated email id for proCS Insider Trading software to send email alerts and notifications to Insiders & Admins

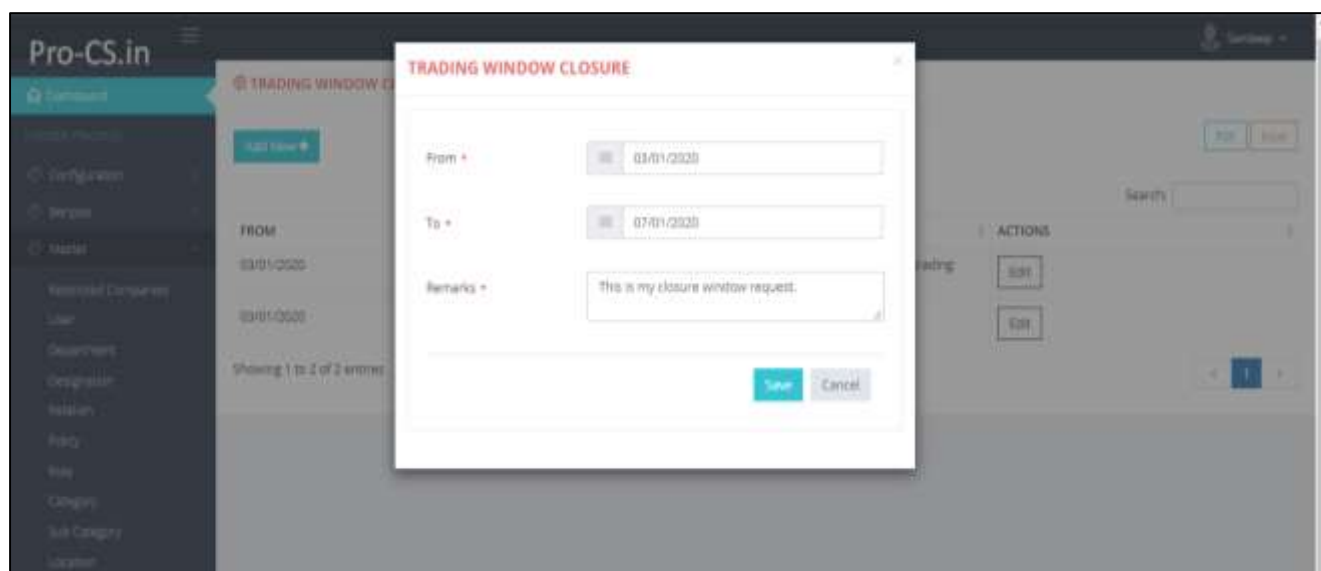
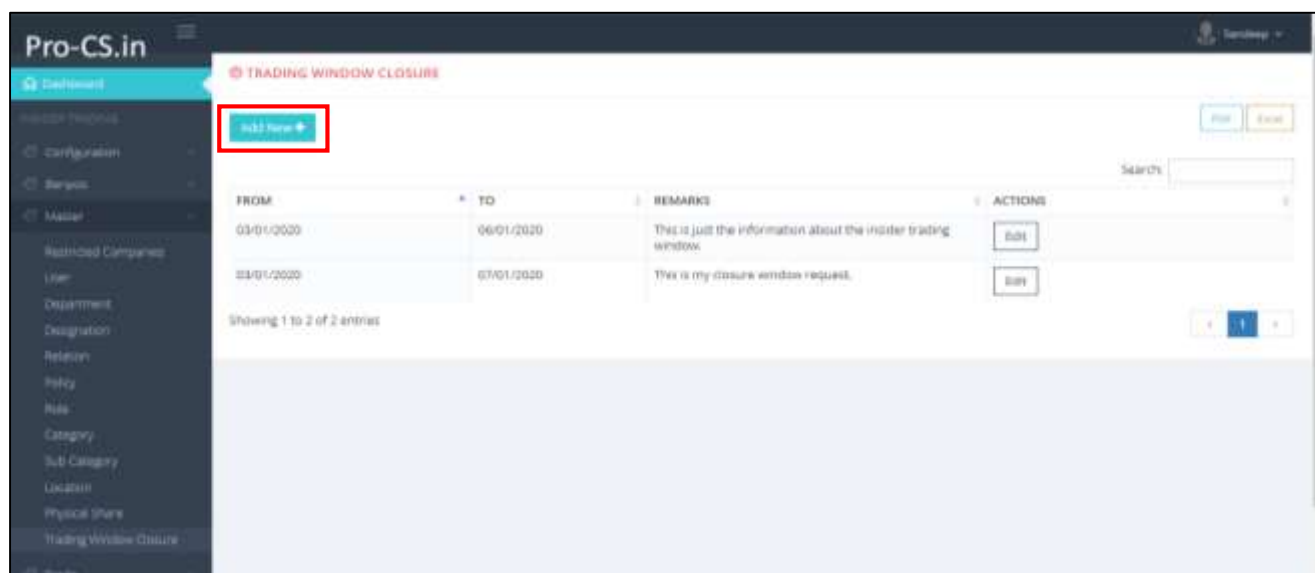
Path: [Main Menu > Configuration > SMTP Config Setup](#)



8. Trading Window Closure

The Admins can create & declare the Tentative or confirmed Trading Window Closure Schedule for a Financial year in advance, using the Trading Window Masters. As soon as the Trading window is created or at the start of every quarter, The Insiders are notified of the Trading Window closure by email along with RSS notification displayed on the proCS Dashboard.

Path: [Main Menu > Master > Trading Window Closure](#)

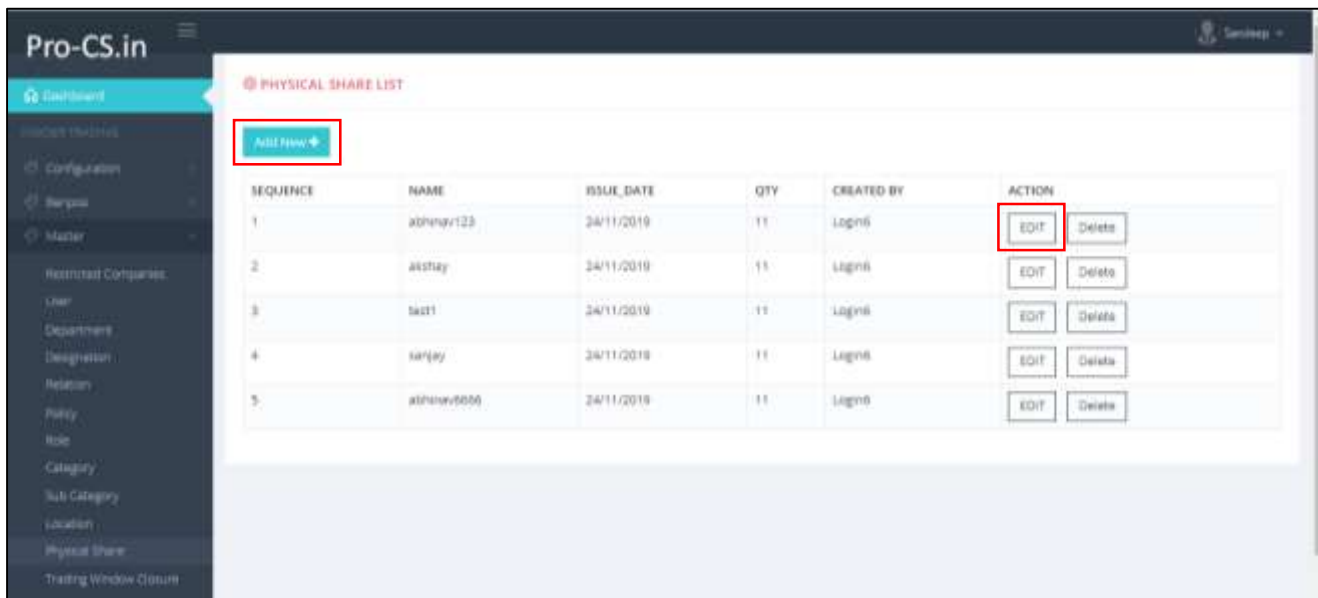


- **From and To:** The Trading Window Closure Dates to be provided by Admin
- **Remarks:** User Remarks (EG- Board Meeting, Annual Meeting etc.)
- **Edit:** To alter or change the dates of the Trading window closure

9. Physical Shares

The Physical Shares assigned can be managed by the “Physical Shares” listing.

Path: [Main Menu > Master > Physical Shares](#)



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PHYSICAL SHARE LIST

[Add New](#)

SEQUENCE	NAME	ISSUE DATE	QTY	CREATED BY	ACTION
1	abhinav123	24/11/2019	11	Logn6	EDIT Delete
2	akshay	24/11/2019	11	Logn6	EDIT Delete
3	last1	24/11/2019	11	Logn6	EDIT Delete
4	varjay	24/11/2019	11	Logn6	EDIT Delete
5	abhinav5555	24/11/2019	11	Logn6	EDIT Delete

Technical Specifications

Below are the set of minimum configuration requirements for implementation of proCS – Insider Trading Module and Investor Relation for MINDA CORPORATION LIMITED.

Server Configuration	
Item	Configuration
Operating System	Windows Server 2012 SP2 or Later
Database Server	Microsoft SQL Server 2012 R2 STD or Later
Processors	Quad Core (Minimum)
Disk Size	100GB for OS, 200 GB for SQL Logs and TempDB, 1 TB for Backups
RAM	16 GB Minimum
Network Card	3-GB Ethernet or higher
Others	.NET Framework 4.5 & IIS

▪ Data Security and Encryption

The data in motion is in encrypted form using SSL. The data at rest sits in a secured database behind the firewall. No data sits on the application servers. The server access for the updates and the maintenance is restricted to the defined admin team.

▪ User Authentication and Notification

MINDA users will be able to access the application with anywhere, anytime. proCS – Insider Trading system and Investor Relation module can be configured with Active Directory however the SSO can be achieved via configuration with ADFS, Google, Office 365. For the emails notifications we use authenticated SMTP relay to send emails to the users by integrating with MINDA email server.

▪ Server Sizing and VAPT reports

MINDA will be provided a seamless high performance access. Infrastructure is flexible enough and can be adjusted as the users and data is increased. Stress test, Vulnerability Assessment and Penetration Testing can be carried out on demand, to access the system scalability

▪ High Availability and disaster recovery Policy

SQL Database will be replicated and stored for high availability & for disaster management. A secondary copy of data can be kept in another Data Centre as a backup & using asynchronous replication.