ESSCom

Employee Self Service Portal for Compliance on PIT Regulations, 2015 – Compliant with SEBI's PIT(Amendments), 2018/2019

Why ESSCom?

ESSCom is the most comprehensive software for managing Compliance on SEBI's (PIT) Regulations, 2015, online.

- ✓ It assists the Compliance officer to put in place, an effective system to comply with the SEBI's Regulatory requirements.
- ✓ Provides a web based platform to the employees to comply with the requirements of the model code of conduct, by allowing to report the following details:
  - o Immediate Relatives
  - o Educational Institutions and Previous Employers (One-Time).
  - o Material Financial Relationships.
  - o 'Trade Details' of self and immediate relatives
  - o Place 'Pre-Clearance' requests.
- ✓ Every transaction entered by the employee in the portal is carefully analyzed and validated against the company's model code of conduct embedded in the system.

- ✓ One-Click generation of Initial, Continual & Periodic disclosures.
- ✓ Option to upload RTA data to monitor employees' Buy/Sale /Pledge transactions using their PAN / Demat accounts.
- ✓ Option to upload ESOP/Rights/Bonus/IPO Allotment data and automatically generate continual disclosures, when triggered.
- ✓ The following reports are available to the Compliance officer:
  - ✓ Excel dump of Continual Disclosures (in both BSE and NSE formats).
  - ✓ Excel dump for SDD upload.
  - ✓ Register of Insiders
  - ✓ Register of Trades.
  - ✓ Register of violations recorded by the application. (Contra Trade, Traded in

Blackout period, Traded without Pre-Clearance & Late Submission of Disclosures).
- ✓ Structured Digital Database to store UPSI Recipients with time stamp and audit trail. Supports multiple workflows.

> *The highlight of the product is its seamless monitoring of the Insiders' transactions with the help of RTA data.*

Select Clients

- L&T Group
- HDFC Group
- Tata Group
- Bajaj Group
- Aditya Birla Group
- Wadia Group
- Godrej Group
- ICICI Lombard
- LIC
- NSDL
- CDSL
- State Bank of India
- IndusInd Bank
- Hexaware
- Bayer
- Siemens
- YES Bank
- Union Bank of India
- Marico
- Mphasis
- Cipla

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Regional Office : Dolphin Infotek (P) Ltd, Unit No 404, Primus Business Park, Rd Number 16A, Wagle Industrial Estate, Thane - 400604

Add-On Modules

- ✓ **Exit Compliance**
  - o A module designed to collect designated employee's personal details, such as address, mobile number, phone number, and email ID, during their separation from the organization.
  - o This ensures compliance with SEBI's requirement of storing last contact details of the DPs for one year.

- ✓ **PIT Awareness Module**
  An awareness-building module that helps employees understand compliance requirements through:
  - o Quiz
  - o Questionnaire
  - o Awareness Videos
    This module ensures employees stay informed and up to date with SEBI's PIT regulations.

- ✓ **Emails2SDD Automation**
  - o A standalone tool configured to run on the application server's Windows Task Scheduler, automating the process of converting emails into SDD (Structured Digital Database) entries.
  - o Reads the inbox of the UPSI Email ID configured with IMAP/Graph settings.
  - o Applies data mapping, business rules and logic to process the emails.
  - o Runs at scheduled intervals, reducing manual intervention.
  - o The business team can define and confirm the frequency and timing for the tool to execute seamlessly.

- ✓ **Employee Ledger (Benpos Comparison)**
  - o A comprehensive ledger system to compare employee trades with the Benpos data to identify discrepancies, ensuring compliance with the requirement of tracking & monitoring of trades under SEBI regulations.

- ✓ **PIT Violation Response System**
  - o A dedicated response module for the employees who have executed trades that triggered a violation.
  - o Explain the scenario of a violation and why it occurred.
  - o Submit up to two responses regarding the violation.
  - o The submitted responses are directly emailed to the compliance team for review and further action.

- ✓ **Email Scheduler**
  - o A standalone tool that automates sending compliance related reminders with a one-time setup.
  - o Administrators can configure reminders for actions like Closure Window, Periodic Disclosure, Additional Disclosure, Pre-Clearance, Snapshot Scheduler, Continual Disclosure, and Exit Disclosure.
  - o It allows setting start dates, intervals, stop conditions, and multiple reminders ensuring timely communication and simplifying compliance tracking.

- ✓ *The application also offers multiple authentication methods to ensure secure access for users:*
  - o **System-Generated Username and Password**: Credentials are generated and managed within the application.
  - o **Active Directory with LDAP**: Seamlessly integrates with the organization's Active Directory using LDAP for centralized user authentication.
  - o **Single Sign-On (SSO) with SAML**: Provides a modern, secure, and convenient authentication method, enabling users to log in once and access multiple systems without re-entering credentials.

- ✓ *The application supports multiple email protocols, including SMTP, IMAP, and Microsoft Graph Client, providing flexibility for sending emails based on organizational requirements.*

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