

"Concerned about complying with SEBI's new insider trading regulations and recent amendments?"

How confident are you of your "Insider Trading Compliance System-in-place"?

Dolphin launched largest selling web-based solution

ESSCom - "Employee Self Service Module for Compliance" on SEBI (PIT) Regulations.

ESSCom is a software for insider trading compliance which gives you an automated solution to centrally manage track compliance related to Prohibition of Insider Trading. It helps the Compliance Officer to manage, track and comply on all compliances pertaining to SEBI Insider Trading Compliance. The Compliance Officer can easily set up its Model Code of Conduct, announce opening and closing of trading windows, provide pre-clearance approvals based on prescribed limits over emails or from the system, capture trade details and also initial and periodic holdings of insiders. This helps the Compliance Officer to generate all reports and relevant forms in single click.

ESSCom is the best Insider Trading Compliance system which not only provides you standard features like **UPSI Deceleration in Structured Digital Database, System Driven Disclosure, Disclosures like Initial, Continual & Periodical, Pre-Clearance request & approval/rejection, the system is designed to be reconcile trade reporting with your BENPOS file** to find Non-Compliance trades.

With our simple prohibition of insider trading solution, you can keep your compliance team informed and prevent the risk of market abuse. Using insider lists, keep track of which insiders have material and non-public information, and compare employee trades to high-impact market activity.

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




HIGHLIGHTS

- ★ *Fastest implementation and GO LIVE.*
- ★ *Dynamic and up-to-date system with latest PIT regulations and amendments.*
- ★ *Required no or minimal infrastructure.*
- ★ *Can be integrated with SSO system.*
- ★ *Instant support over Email & Phone.*
- ★ *VAPT compliant software.*
- ★ *Flexible, customizable, user defined and parametrized system.*
- ★ *Integration with Email to automate reporting of UPSI.*

The SEBI's (PIT) Regulations, 2015 suggest you should take second look.

Rising number of insider trading violations, as well as thousands of crores in penalties levied by SEBI for non-compliance with Insider Trading Regulations, are driving companies to become more proactive and cautious in their Insider Trading procedures.

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Request Demo

Features

Some of the Best features

- ❖ Tamperproof Structured Digital Database for UPSI with date-time stamp along with trails.
- ❖ System Driven Disclosure as per SEBI.
- ❖ Definition of Model Code of Conduct of PIT.
- ❖ Benpos Reconciliation with insider reporting.
- ❖ Recording of violation and action taken.
- ❖ Trade closure window and intimation alert.
- ❖ Pre-clearance and its approval/rejection.
- ❖ Web-based platform for self-declaration.
- ❖ Comprehensive MIS, general and Exception Reports.
- ❖ Complete Audit trails/logs.
- ❖ Bulk Import option.
- ❖ **Integration with Email for automation of UPSI reporting.**

Benefit

Advantages of ESSCom

- Web-Based platform to INSIDER for self-declaration own details and disclosures pertaining PIT regulation. Hence, no manual forms, disclosures, & declarations.
- Complete online and digital solution which help compliance officer to do away with manual process.
- Effortless management of SEBI Prohibition of Insider Trading.
- Automated functionality helps to save time, energy, and cost.
- A system which will help insider to prevent from violation and you to take preventive measures.
- A single and comprehensive system to comply with all SEBI's PIT Regulation, 2015

Why ESSCom

Impressive factors

- ✓ Cost Effective solution & customer centric.
- ✓ Up to date with SEBI PIT Regulation.
- ✓ Secure and Tamperproof Structured Digital Database
- ✓ Focus on prevention rather than punishment.
- ✓ Self-Declaration in electronic forms & disclosures.
- ✓ Centralize & common platform for all users
- ✓ CDSL / NSDL Benpos reconciliation with insider reporting
- ✓ Statutory reports for SEBI, NSE, BSE, NSDL & CDSL.
- ✓ Auto / Manual pre-clearance approval and rejection
- ✓ User defined and customizable Email templates
- ✓ Complete audit trails and logs of activities
- ✓ VAPT compliant

ESSCom - SDD

Only Structured Digital Database

- ❖ Tamperproof Structured Digital Database with date-time stamp.
- ❖ Capture person/entity name who has shared UPSI and with whom UPSI has been shared.
- ❖ Capture PAN, Mobile No. and EmailID of the people who are in possession of UPSI.
- ❖ Maintain the trails of UPSI flow from the sharer till the last Recipient.
- ❖ Option to send Confidentiality Notice to UPSI Recipient through Email
- ❖ Export UPSI and its logs in excel for MIS and audit reporting.
- ❖ Reporting of Immediate Relatives, Past Employers, Education Details and Material Financial Relationship.
- ❖ Various MIS, General and Exception Reports.
- ❖ **Integration with Email for automation of UPSI reporting.**

ESSCom - GL

Grey List Compliance

- ❖ Complete management of UPSI in tamperproof Structured Digital Database with date and time stamp.
- ❖ Definition of Grey List (GL) securities window which are under restricted list.
- ❖ Pre-clearance request and auto pre-clearance approval/rejection basis on defined Grey List window
- ❖ Bulk import such as Security, GL Windows, Insiders, Immediate Relatives, Past Employers and Education Details.
- ❖ Reporting of Immediate Relatives, Past Employers, Education Details and Material Financial Relationship.
- ❖ Various MIS, General and Exception Reports.