



User Manual for InsiderQ

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1. Pre-Conditions

Hardware Requirements:

1. RAM: 8GB or above
2. CPU: i7 or above
3. SSD: 256GB or above
4. Windows 10 and above / Windows Server 2016 or above
5. Local Static IP - 1 (192.168.x.x)

Software Requirements (can be installed by us for an extra charge):

1. IIS
2. MySQL Community License
3. NodeJS

To Setup the server you need below files:

1. Database file
2. API build
3. UI Build

2. Introduction – InsiderQ

Insider Q- UPSI is a web-based UPSI Management platform which helps the compliance officer to centrally manage, track and follow up on all compliances and generate reports pertaining to UPSI.

Insider Q helps you to stay compliant with SEBI regulations and also Mitigate Insider Trading Risks by following the key process. It provides varieties of necessary reports to the compliance officer which makes the data accessibility easier.

3. Dashboard

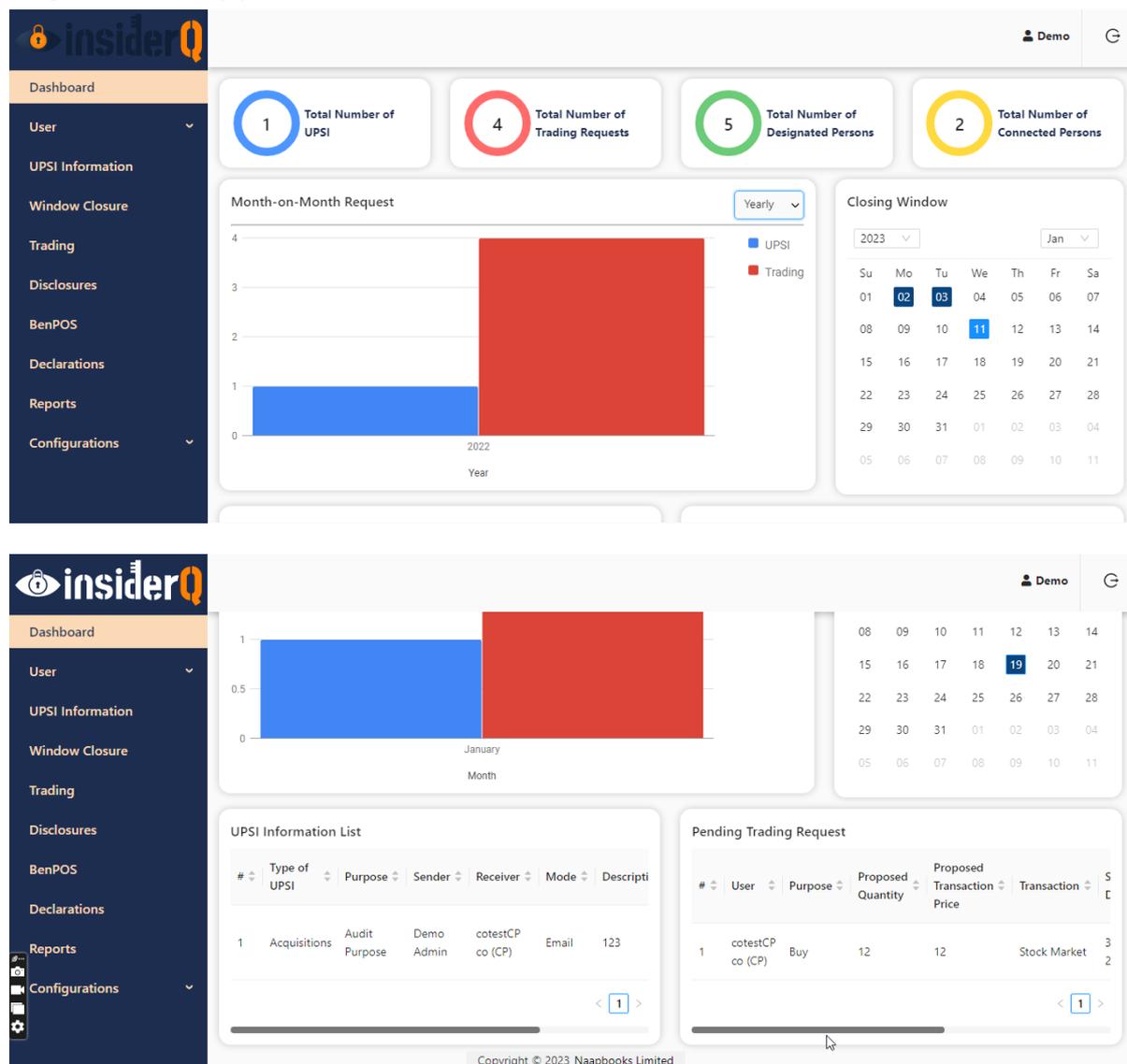
- The Compliance Officer has the ability to see numerical statistics on the dashboard, including the total count of UPSI (Unpublished Price Sensitive Information) requests shared, the total count of trading requests made, the total count of Designated Persons, and the total count of Connected Persons.

The dashboard includes the following features:

- A bar graph displaying month-to-month statistics for both UPSI information shared and trading requests made. Users can change the time period (month or year) using a dropdown menu.
- A calendar highlighting dates associated with window closure allocations. Clicking on a highlighted date reveals window closure details for that specific date.
- Beneath the graph, there is a section presenting all UPSI information shared by users.
- Below the calendar, a section displays pending trading requests awaiting approval by the Compliance Officer (CO).
- The Compliance Officer (CO) has access to view all user data on the Dashboard.
- Designated Persons (DP) can view their own data on the Dashboard.

3.1 Dashboard View

Login to the app from CO or DP to view the Dashboard.



4. User Roles

1. Compliance Officer (CO)

Company Secretary of the company shall be designated as the Compliance Officer who shall report to the Board of Directors of the company.

2. Designated Person (DP)

The following class of persons will be treated as Designated Persons :

- (i) Promoters of the company
- (ii) All the Directors of the company and its material subsidiary
- (iii) Employees based on functional role and access to UPSI

3. Practicing Company Secretary (PCS)

A Practicing Company Secretary (PCS) is a certified professional who ensures that companies comply with legal and regulatory requirements, especially related to corporate governance.

4. Connected Person (CP)

Any person who is or has during the six months prior to the concerned act been associated with the company, directly or indirectly, in any capacity including by reason of frequent communication with its officers or by being in any contractual, fiduciary or employment relationship or by being a director, officer or an employee of the company or holds any position including a professional or business relationship between himself and the company whether temporary or permanent, that allows such person, directly or indirectly, access to unpublished price-sensitive information or is reasonably expected to allow such access.

5. Access to the app for 1st time

- The first time the Compliance Officer (CO) accesses the app, they are required to configure the SMTP settings and provide company details.
- The total tradable quantity of the security must be entered into the database.

- When a user is initially added to the system, their ID's password needs to be recorded in the database. After the initial login, the user has the option to change their password.

5.1 SMTP Settings

On Homepage Sidebar>Click "Configurations".

The screenshot shows the system dashboard. The sidebar on the left contains the following menu items: Dashboard, User, UPSI Information, Window Closure, Trading, Disclosures, BenPOS, Declarations, Reports, Configurations (highlighted), and Draft Forms. The main content area displays four summary cards: Total Number of UPSI (1), Total Number of Trading Requests (0), Total Number of Designated Persons (5), and Total Number of Connected Persons (1). Below these are sections for 'Month-on-Month Request' and 'Closing Window' (a calendar for January 2023). At the bottom, there are sections for 'UPSI Information List' and 'Pending Trading Request'.

Click "SMTP Settings".

The screenshot shows the 'SMTP Settings' configuration page. The sidebar on the left has 'SMTP Settings' highlighted. The main content area features a table with one row of SMTP configuration data:

#	Name	Port	User Name	Action
1	naapbooks	587	noreply@naapbooks.in	[Edit] [Delete] [Refresh]

Below the table is a form for adding or editing SMTP settings. The form includes the following fields:

- Email ID*
- From Name*
- Host*
- Port*
- User Name*
- Password*
- Active
- Reset button
- Save button

Click and fill data in "Email ID* From Name* Host* Port* User Name*

Password*, Check>Active, Click on Save.

The screenshot shows the SMTP Settings configuration page. On the left, a dark sidebar contains a menu with 'Configurations' expanded and 'SMTP Settings' selected. The main content area is titled 'SMTP Settings' and features a table with one entry and a form with several input fields and a checkbox.

#	Name	Port	User Name	Action
1	naapbooks	587	noreply@naapbooks.in	Edit Delete

The form fields are as follows:

- Email ID*: tejas@nap.com
- From Name*: Naapbooks
- Host*: abc
- Port*: 8080
- User Name*: demoadmin
- Password*: [masked]
- Active

Buttons: Reset, Save

5.2 Setup of Company Profile

On Homepage Sidebar>Click "Configurations".

The screenshot shows the application's homepage dashboard. On the left, a dark sidebar contains a menu with 'Configurations' selected. The main content area features four summary cards and two data sections.

Summary Cards:

- Total Number of UPSI: 1
- Total Number of Trading Requests: 0
- Total Number of Designated Persons: 5
- Total Number of Connected Persons: 1

Data Sections:

- Month-on-Month Request: Monthly, 2023
- Closing Window: 2023, Jan

Tables:

- UPI Information List: Type, Time
- Pending Trading Request: Proposed, Proposed, Start, End

Click "Company>Add" and add all necessary information, then click "Save".

6. Adding Users

-The Compliance Officer (CO) has the capability to add Designated Persons (DPs) and Connected Persons (CPs). When inputting user details, CO must assign a unique username, which DP can use to log in from their respective IDs.

-Connected Persons (CP) do not have login IDs themselves. Designated Persons (DP) can add Connected Persons (CP) using their own login credentials.

6.1 Add user

On Homepage Sidebar>Click "User", Click on any User Category you want to add and click on the "Add" button.

Input valid details on all the fields and click “Save”.

7. Add/Edit/Delete User Details

-The Compliance Officer (CO) has the ability to input Bank Details, Education, Employment, and Directorship information from their own login.

-Similarly, Designated Persons (DP) and Connected Persons (PCS) can also add the aforementioned details using their own login credentials.

7.1 Add User Details

On Homepage Sidebar>Click "User", Click on any “User Type” of whose data you want to add>From Action of respective user click the option in

which you want to add data.

Designated Person List

#	Name	Email	User Name	PAN no.	Category	Action
1	StutiDP Singh	tejas@naap.com	StutiDP	ABHG53321L	Test	
2	PoojaDP Nayak	tejas@naap.com	PoojaDP	AHFEC5541L	Executive Director	
3	MohanDP Sahu	suraj,b@naapbooks.inf	MohanDP	ABDFR6654P	Managing Director	
4	KshitiDP Virola	kshiti,v@naapbooks.in	KshitiDP	ABCD44567P	Internal Auditor	
5	SurajDP Behera	suraj,b@naapbooks.in	SurajDP	BZPF89963L	Executive Director ,Test	

Click>Add, fill up necessary details and click “Save”.

Bank Details

Detail

Bank Name* Account No* IFSC Code*

Branch Name*

Save

User can edit/delete data of users in the same way.

8. UPSI Information

- UPSI information means any information, relating to the company or its securities, directly or indirectly, that are not generally available which upon becoming generally available, is likely to materially affect the price of the securities.
- Users have the ability to share UPSI information from their own login with other Designated Persons (DPs) and Connected Persons (CPs).
- UPSI information shared by Connected Persons (CPs) can be accessed through their respective connected Designated Persons' (DPs) IDs.
- Users can view UPSI information that they have shared from their own login.
- The Compliance Officer (CO) can view shared UPSI information and add closure details for users.

8.1 Add UPSI Information

On Homepage Sidebar>Click “UPSI Information”>Add to add any UPSI Information.

#	Type of UPSI	Sender	Receiver	Purpose	Mode	Type	Time Stamp	UPSI Date	Action
1	Change in capital structure	SuraJDP Behera (DP)	KshitiJDP Virola (DP)	Board Meeting	Email	Change in capital structure	09-01-2023 15:24:28	01-01-2022 00:00:00	

Fill in all necessary details, select the “Receiver” with whom you want to share the information>Upload any document if you want to share by Clicking on “Upload Document”>Click “Save”.

9. Window Closure

- The Designated Persons and their immediate relatives shall not deal in the securities of the company when the trading window is closed. The

Compliance Officer shall decide the period during which Trading Window shall be closed. Generally, the closure of Trading Window for securities of the company shall be announced when any of the following events occurs
Declaration of Financial results

1. (quarterly, half-yearly and annual)
2. Declaration of dividends (interim and final)
3. Issue of securities by way of public/rights/bonus, etc.
4. Any major expansion plans or execution of new projects.
5. Any changes in policies, plans or operations of the company.

- The Compliance Officer (CO) is responsible for assigning window closures to Designated Persons (DPs) and Connected Persons (CPs).

- During the window closure period, the individuals affected by it are prohibited from adding any Pre-Clearance requests or engaging in any trading activities involving the company's securities.

9.1 Add Window Closure

On the Homepage Sidebar>Click “Window Closure”> “Add”.

#	Receiver	Purpose	From	To	Action
1	MohanDP Sahu (DP)	test	03-01-2022	11-02-2022	
2	KshitiDP Virola (DP)	test	17-01-2022	28-01-2022	
3	KshitiDP Virola (DP),SurajDP Behera (DP)	ABC Test	01-01-2022	05-01-2022	

Fill in all the details and Click> “Save”.

The screenshot shows the 'Add Trading Window Closure' form in the InsiderQ system. The form is located in the main content area, with a 'Back' button in the top right corner. The form fields are as follows:

- Persons***: A multi-select field containing 'SurajDP Behera (DP) x' and 'KshitiDP Virola (DP) x'. There are 'Select All' and 'Deselect All' buttons next to the field.
- Reason for Closure***: A text input field containing 'test'.
- From Date***: A date picker field containing '2023-01-11'.
- To Date***: A date picker field containing '2023-01-13'.
- Save**: A button located at the bottom right of the form.

The left sidebar contains the following navigation items: Dashboard, User, UPI Information, Window Closure (highlighted), Trading, Disclosures, BenPOS, Declarations, Reports, and Configurations. The top right corner of the page shows 'Demo' and a refresh icon.

10. Trading

- Designated Persons and Connected Persons are permitted to engage in transactions involving the bank's securities only when the trading window is open, and the Designated Person does not possess any unpublished price-sensitive information.
- Before trading in the company's shares, a Designated Person (DP) is required to submit a Pre-Clearance Request, which must be approved by the Compliance Officer (CO).

10.1 Add Pre Clearance Request

From DP Login Homepage Sidebar>Click “Trading”> “Add”.

#	User	Purpose	Proposed Quantity	Proposed Transaction Price	Transaction	Start Date	End Date	Id	Request Submit Date	Status	Action
1	SurajDP Behera (DP)	Buy	500	90	Stock Market	07-02-2022	11-02-2022	PreClearance-7	10-01-2023	Approved	↓
2	SurajDP Behera (DP)	Buy	200	50	Stock Market	17-01-2022	25-01-2022	PreClearance-5	10-01-2023	Approved	↓

On Pre Clearance Request screen DP has to sign and upload the “Form-F” undertaking.

- Fill in all the details and Click> “Save”.

11. Disclosures

- Every Designated Person is obligated to provide a disclosure of their holdings in the company's securities, both in their name and in the name of their immediate relatives, in the designated Disclosure section.

- Furthermore, following any trade, a Designated Person (DP) is required to include a "Post-Deal Disclosure."

11.1 Add Post Deal Disclosure

From DP Login Homepage Sidebar>Click "Disclosures"> "Add".

#	Name	Security Type	Securities Sold / Acquired	PreClearance Taken	Start Date	End Date	Trade Date	Action
1	SurajDP Behera (DP)	Equity Shares	200	Yes	07-02-2022	11-02-2022	11-02-2022	↓
2	SurajDP Behera (DP)	Equity Shares	200	No			28-01-2022	↓
3	SurajDP Behera (DP)	Equity Shares	300	Yes	17-01-2022	25-01-2022	21-01-2022	↓

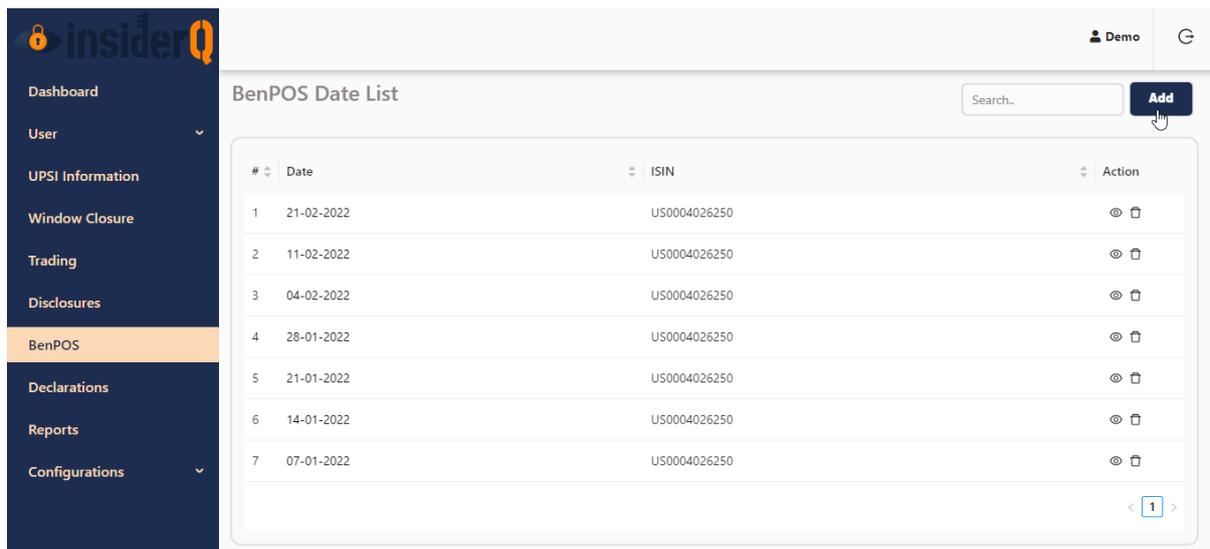
Fill in all the details, upload the contract note and Click> "Save".

12. BenPOS

- Typically, on a weekly basis, the depositories supply BenPOS statements for download to all the registrars. The Compliance Officer (CO) is responsible for integrating these statements into the software.

12.1 Add BenPOS

From CO Login Homepage Sidebar>Click “BenPOS”> “Add”.

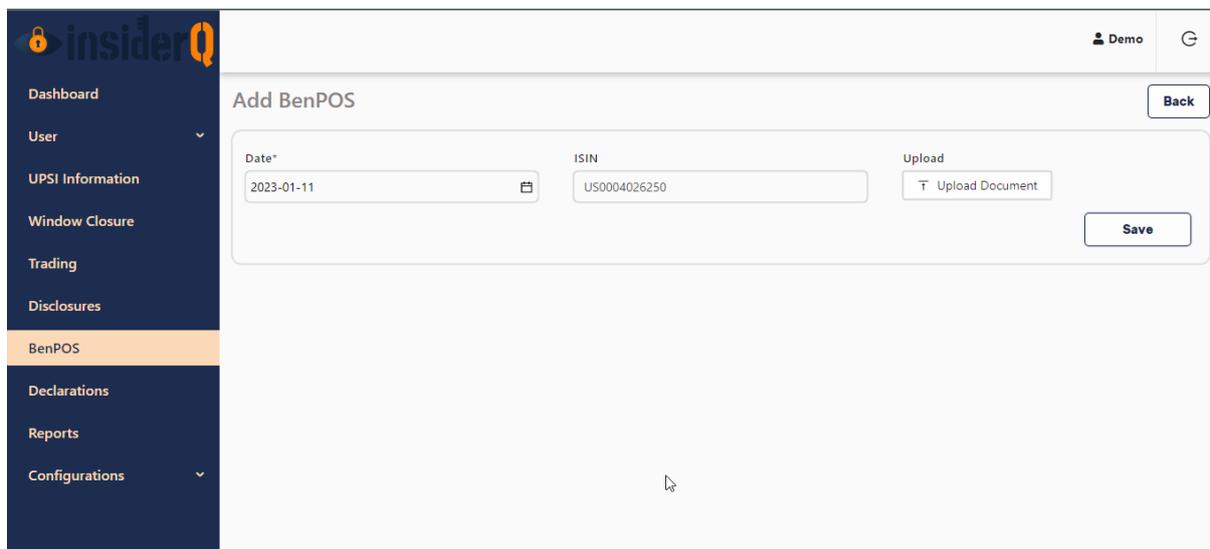


The screenshot shows the 'BenPOS Date List' interface. The sidebar on the left has 'BenPOS' highlighted. The main content area displays a table with the following data:

#	Date	ISIN	Action
1	21-02-2022	US0004026250	
2	11-02-2022	US0004026250	
3	04-02-2022	US0004026250	
4	28-01-2022	US0004026250	
5	21-01-2022	US0004026250	
6	14-01-2022	US0004026250	
7	07-01-2022	US0004026250	

At the top right of the table area, there is a search bar labeled 'Search..' and an 'Add' button. A mouse cursor is pointing at the 'Add' button.

Fill in all the details, upload the BenPOS excel file and Click> “Save”.



The screenshot shows the 'Add BenPOS' form. The sidebar on the left has 'BenPOS' highlighted. The main content area displays the form with the following fields:

- Date*: 2023-01-11
- ISIN: US0004026250
- Upload: Upload Document

At the bottom right of the form, there is a 'Save' button. A 'Back' button is located at the top right of the form area. A mouse cursor is pointing at the 'Save' button.

13. Declarations

- Designated Persons (DPs) have the ability to submit declarations, which must be approved by the Compliance Officer (CO).

13.1 Add Declaration

From DP Login Homepage Sidebar>Click “Declarations”>Enter a valid name and upload the document>Click “Save”.

The screenshot displays the 'Declarations' interface in the InsiderQ application. On the left, a dark blue sidebar contains navigation links: Dashboard, Connected Person, UPSI Information, Window Closure, Trading, Disclosures, Declarations (which is highlighted in orange), and Draft Forms. The main content area is titled 'Declaration' and includes a search bar at the top right. Below the search bar is a table with columns for '#', 'Name', 'File Name', 'Created By', 'Status', and 'Action'. The table is currently empty, showing a 'No Data' message with a folder icon. To the right of the table is a form for adding a new declaration. It has a text input field for 'Name of Declaration*' containing the word 'Test'. Below this is a section labeled 'Declaration' with an 'Upload Document' button. At the bottom right of the form is a dark blue 'Save' button.

14. Reports

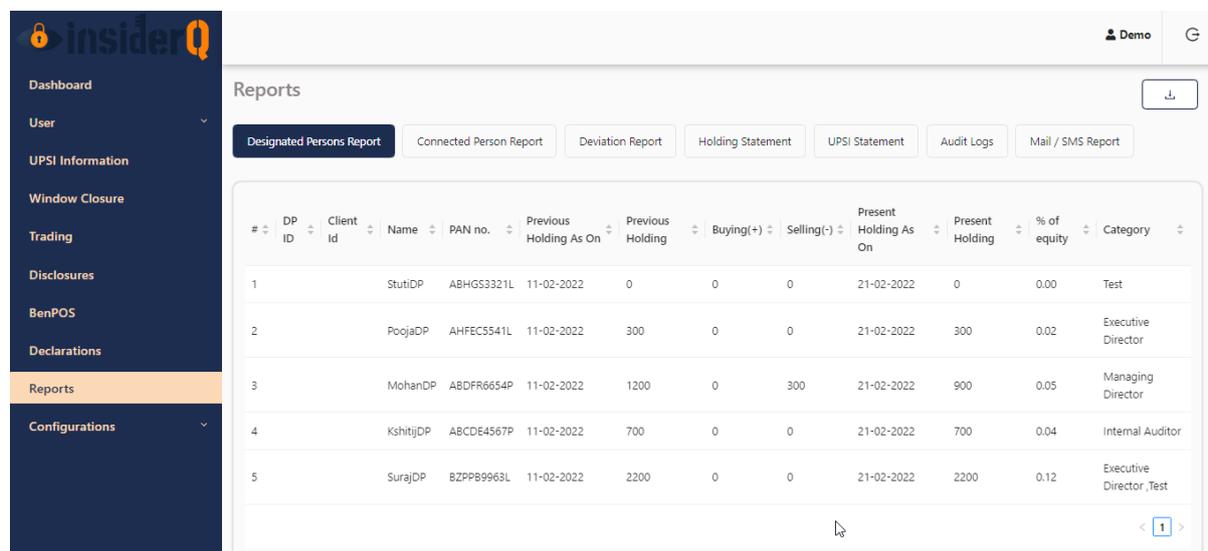
- CO and PCS both can see all the reports.
- The following reports are available in the reports section of the app.
 1. Designated Person-All the holding and Buying/Selling of DP's are Shown here.
 2. Connected Person- All the holding and Buying/Selling of CP's are Shown here.
 3. Deviation Report-It is of 3 types
 - a. Contra Trade- “Contra Trade” means a trade or transaction which involves buying or selling any number of shares of the

Bank and within 6 months trading or transacting an opposite transaction involving sell or buy following the earlier transaction.

- b. Pre-Clearance Violation- When any DP buys or sells any share without any pre-clearance, buys or sells more than the approved quantity of pre-clearance and buys any share other than the approved pre-clearance date that comes under Pre-Clearance violation.
 - c. Variation- When any DP buys or sells less than the approved trading quantity that comes under Variation.
4. Holding Statement-All the holding details of both DP and CP are shown here.
 5. UPSI Statement-All the UPSI Information is shown here.
 6. Audit Logs- All the activities made in the app are shown here.
 7. Mail/SMS Report-All the emails sent from the app are shown here.

14.1 View Reports

From DP Login Homepage Sidebar>Click “Reports”.



#	DP ID	Client Id	Name	PAN no.	Previous Holding As On	Previous Holding	Buying(+)	Selling(-)	Present Holding As On	Present Holding	% of equity	Category
1		StutiDP	ABHGS3321L	11-02-2022	0	0	0	21-02-2022	0	0.00	Test	
2		PoojaDP	AHFEC5541L	11-02-2022	300	0	0	21-02-2022	300	0.02	Executive Director	
3		MohanDP	ABDFR6654P	11-02-2022	1200	0	300	21-02-2022	900	0.05	Managing Director	
4		KshitijDP	ABCDE4567P	11-02-2022	700	0	0	21-02-2022	700	0.04	Internal Auditor	
5		SurajDP	BZPP89965L	11-02-2022	2200	0	0	21-02-2022	2200	0.12	Executive Director, Test	

15. Configurations

- All the custom dropdown options can be added from configurations.
- CO can add custom dropdowns for
 1. User Category
 2. UPSI Type
 3. Sharing Mode
 4. Purpose For UPSI
 5. Relationship Type
 6. Reference
 7. Security Type
 8. Templates-For sending emails.
 9. Draft Forms- To be used in the app for DP's to upload forms.

15.1 Add Custom Dropdowns

From CO Login Homepage Sidebar>Click “Configurations”>Click any category in which you want to add a custom dropdown option.>Click “Add”>Enter the Value>Click “Save”.

The screenshot shows the 'Add User Category' form in the InsiderQ application. The sidebar on the left lists various configuration categories, with 'User Category' currently selected. The main form area has a title 'Add User Category' and a 'Back' button. Below the title, there are two input fields: 'Type*' and 'value*'. The 'Type*' field is a dropdown menu with 'User Category' selected. The 'value*' field is a text input box. A 'Save' button is located at the bottom right of the form area.

16. Change Of Password

16.1 Change Password

From CO/DP/PCS Login Homepage Hover on “Profile Name”>Click “Change Password”.

The screenshot shows the InsiderQ dashboard. On the left is a dark blue navigation menu with options: Dashboard, User, UPSI Information, Window Closure, Trading, Disclosures, BenPOS, Declarations, Reports, and Configurations. The main content area has a top row of four circular statistics: 1 Total Number of UPSI, 4 Total Number of Trading Requests, 5 Total Number of Designated Persons, and 2 Total Number of Designated Persons. Below these are sections for 'Month-on-Month Request' and 'Closing Window' (with a calendar for January 2023). At the bottom, there are tables for 'UPSI Information List' and 'Pending Trading Request'. A user profile dropdown menu is open in the top right corner, showing options: Profile, Change Password, and Logout.

Enter “Current Password”, “New Password”, “Confirm New Password”> Click “Save”.

The screenshot shows the 'Change Password' form in the InsiderQ application. The form is centered on a light gray background and contains three input fields: 'Current Password*', 'New Password*', and 'Confirm New Password*'. Each field has a small eye icon to the right for toggling visibility. Below the input fields is a 'Save' button.