



User Manual for InsiderQ

901, Shivarth The Ace, Sindhu Bhavan Marg, PRL Colony,
Thaltej, Ahmedabad, Gujarat 380054

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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

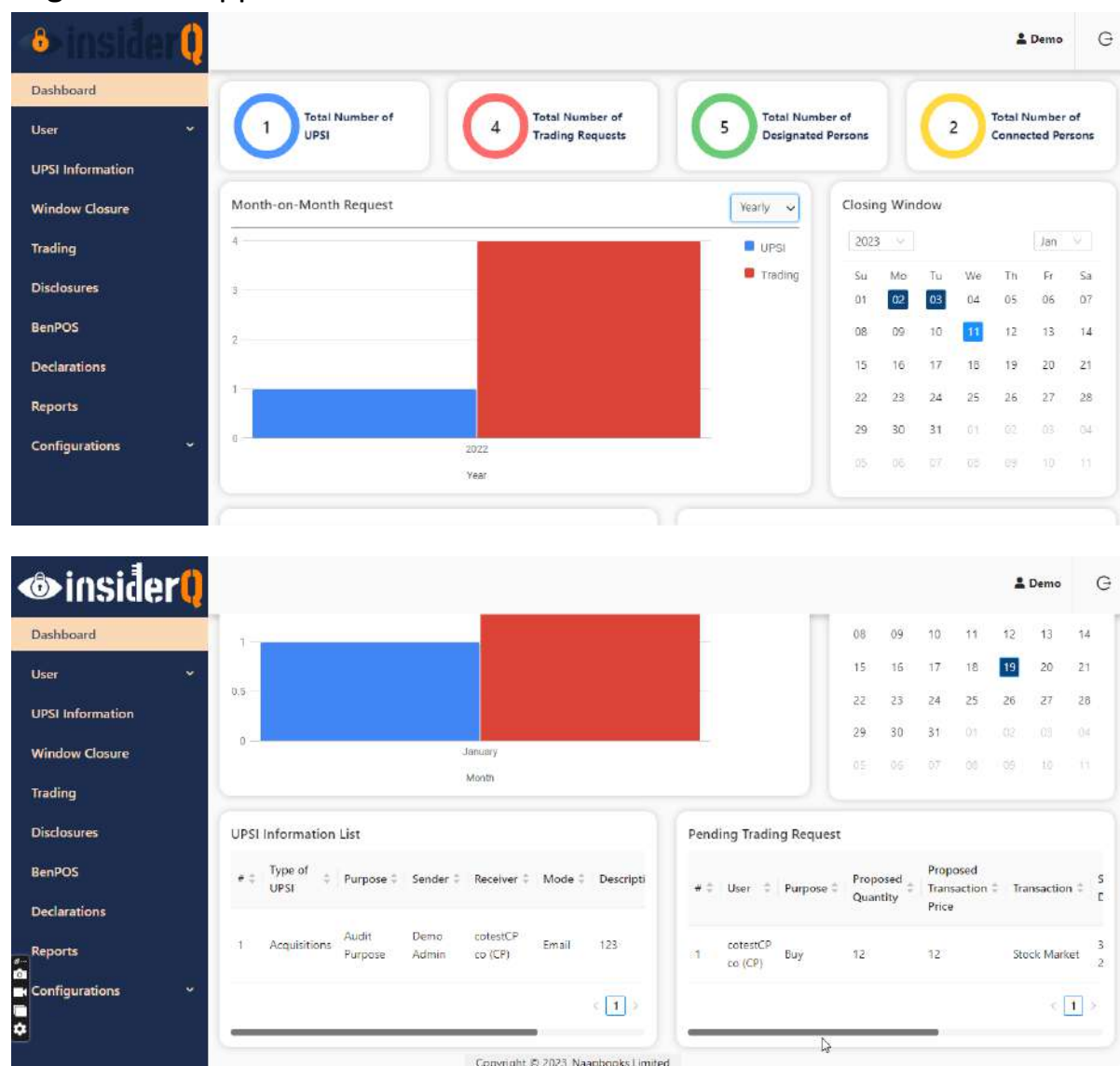
- The Compliance Officer has the ability to see numerical statistics on the dashboard, including the total count of UPSI (Unpublished Price Sensitive Information) requests shared, the total count of trading requests made, the total count of Designated Persons, and the total count of Connected Persons.

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.

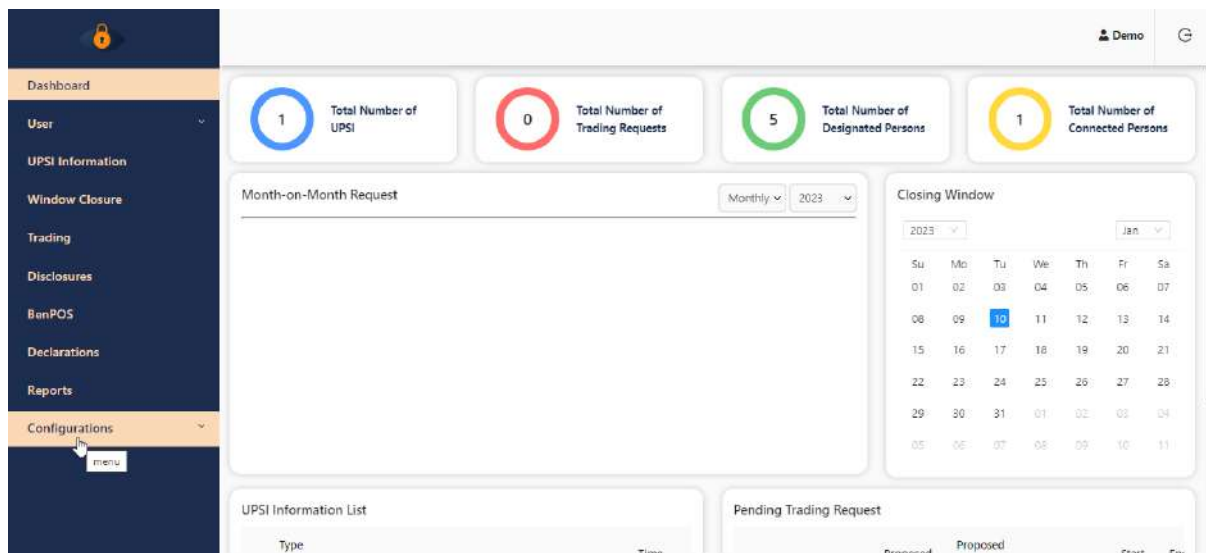
5. Access to the app for 1st time

- 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.

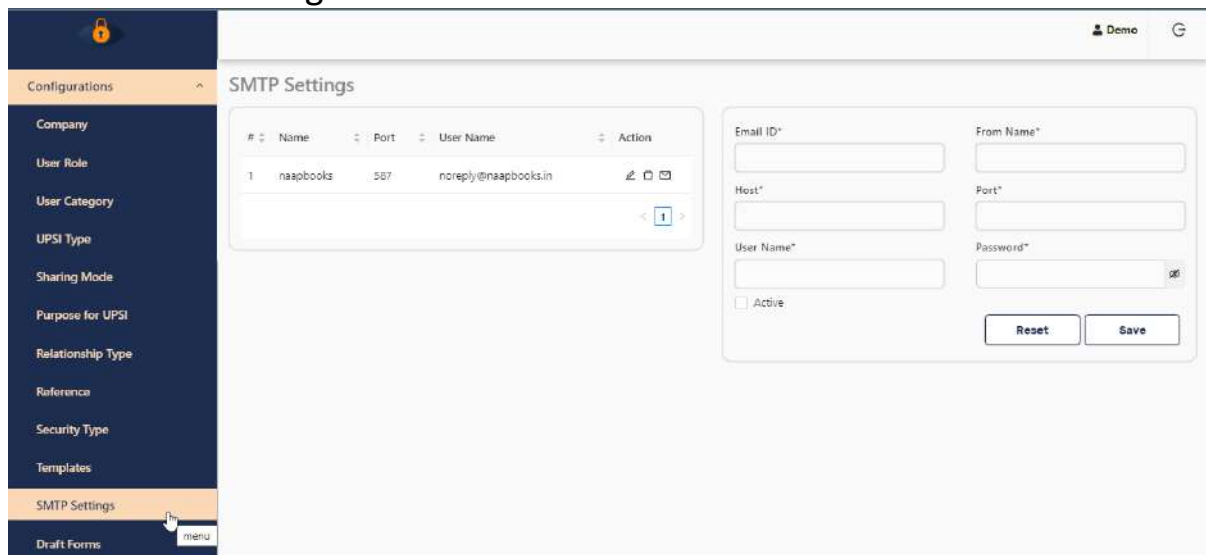
- When a user is initially added to the system, their ID's password needs to be recorded in the database. After the initial login, the user has the option to change their password.

5.1 SMTP Settings

On Homepage Sidebar>Click "Configurations".



Click "SMTP Settings".



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

Password*, Check>Active, Click on Save.

SMTP Settings

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

1

Email ID*
tejas@naap.com

From Name*
Naapbooks

Host*
abc

Port*
8080

User Name*
demoadmin

Password*

☒ Active

[Reset](#) [Save](#)

5.2 Setup of Company Profile

On Homepage Sidebar>Click "Configurations".

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

Month-on-Month Request: Monthly | 2023

Closing Window: 2023 | Jan

Su	Mo	Tu	We	Th	Fr	Sa
01	02	03	04	05	06	07
08	09	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	01	02	03	04
05	06	07	08	09	10	11

UPSI Information List

Type	Time

Pending Trading Request

Proposed	Proposed	Proposed	Proposed

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@insp.com	StutiDP	ABHGS332TL	Test	[Edit] [Delete] [Add]
2	PoojaDP Nayak	tejas@insp.com	PoojaDP	AHPEC554TL	Executive Director	[Edit] [Delete] [Add]
3	MohanDP Sahu	suraj.b@naapbooks.in	MohanDP	ABDPF6854P	Managing Director	[Edit] [Delete] [Add]
4	KanishkDP Virdi	kanishk.v@naapbooks.in	KanishkDP	ABCD64567P	Internal Auditor	[Edit] [Delete] [Add]
5	SurajDP Behera	suraj.b@naapbooks.in	SurajDP	8ZPP89955L	Executive Director, Test	[Edit] [Delete] [Add]

Bank Details
Education
Employment
Directorship
Holding

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.

The screenshot shows the 'UPSI Information List' interface. On the left sidebar, 'UPSI Information' is selected. The main area features a search bar and filters for 'Show UPSI Records', 'Shared By', and 'Shared With'. Below these are 'From Date' and 'To Date' pickers. A table lists the following record:

Type of UPSI	Sender	Receiver	Purpose	Mode	Type	Time Stamp	UPSI Date	Action
Change in capital structure	Sura DP Behara (DP)	Kshiti DP Viroja (DP)	Board Meeting	Email	Change in capital structure	09-01-2023 15:24:28	01-01-2022 00:00:00	[Edit]

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”.

The screenshot shows the 'UPSI Information' form. It includes the following fields and controls:

- UPSI date***: Text input with a calendar icon.
- Type of UPSI***: Dropdown menu.
- UPSI Purpose***: Dropdown menu.
- UPSI Mode***: Dropdown menu.
- Receiver***: Text input with 'Select All' and 'Deselect All' buttons.
- Description**: Text area.
- Document**: Section with an 'Upload Document' button.
- Save**: Button at the bottom right.

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	KshitijDP Virola (DP)	test	17-01-2022	28-01-2022	
3	KshitijDP 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 left sidebar contains navigation links: Dashboard, User, UPSI Information, Window Closure (highlighted), Trading, Disclosures, BenPOS, Declarations, Reports, and Configurations. The main form area has the following fields:

- Persons***: A multi-select dropdown containing 'SurajDP Behera (DP) x' and 'KshitiyDP Vitrola (DP) x'. Buttons for 'Select All' and 'Deselect All' are present.
- Reason for Closure***: A text input field containing 'test'.
- From Date***: A date picker field showing '2023-01-11'.
- To Date***: A date picker field showing '2023-01-13'.
- Buttons**: 'Back' and 'Save' buttons are located at the top right and bottom right of the form, respectively.

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”.

The screenshot shows the 'Trading Clearance Request' interface. The sidebar on the left contains the following menu items: Dashboard, Connected Person, UPSI Information, Window Closure, Trading (highlighted), Disclosures, Declarations, and Draft Forms. The main content area has a header with 'Trading Clearance Request', a search bar, and an 'Add' button. Below this is a table with the following columns: #, User, Purpose, Proposed Quantity, Proposed Transaction Price, Transaction, Start Date, End Date, Id, Request Submit Date, Status, and Action. The table contains two rows of data:

#	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	⬇

At the bottom right of the table, there is a pagination control showing '1'.

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

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

The screenshot shows the 'Pre Clearance-Request form' interface. The sidebar on the left is the same as in the previous screenshot. The main content area has a header with 'Pre Clearance-Request form' and a 'Back' button. The form contains the following fields:

- User*: SurajDP Behera (DP) (dropdown)
- Total Security Held: 2200 (text input)
- Purpose*: Buy (dropdown)
- Proposed date Starting*: 2023-01-11 (calendar icon)
- Proposed date Ending*: 2023-01-18 (calendar icon)
- Proposed Quantity*: 10000 (text input)
- Proposed Transaction Price*: 201 (text input)
- Current Market Price: 195 (text input)
- Transaction Via: ☒ Open Market ☐ Off Market
- FORM F Undertaking*: [Download Form](#) form f.pdf (upload icon)

At the bottom right of the form, there is a 'Save' button.

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".

Post Deal Disclosure

Back

Pre Clearance-Taken: ☒ Yes ☐ No

Above 10 Lacs: ☒ Yes ☐ No

Preclearance Id*:

Date of Transaction start*:

Date of Transaction end*:

Trade Date*:

Name*:

Type of Security*:

No. of Securities sold / Acquired*:

Total Security Held as on date:

Contract Note*:

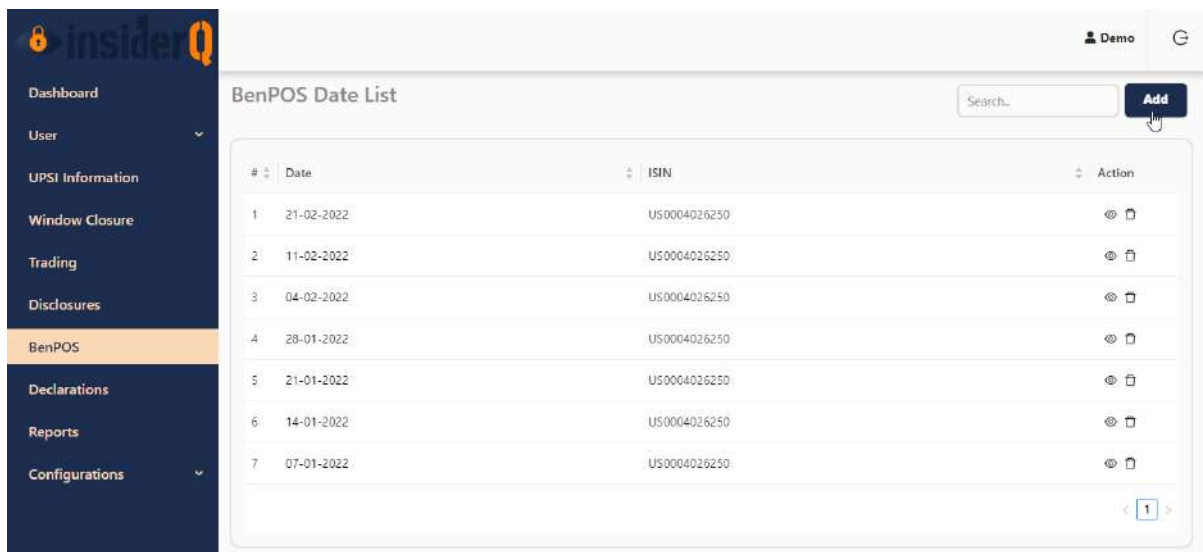
Save

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

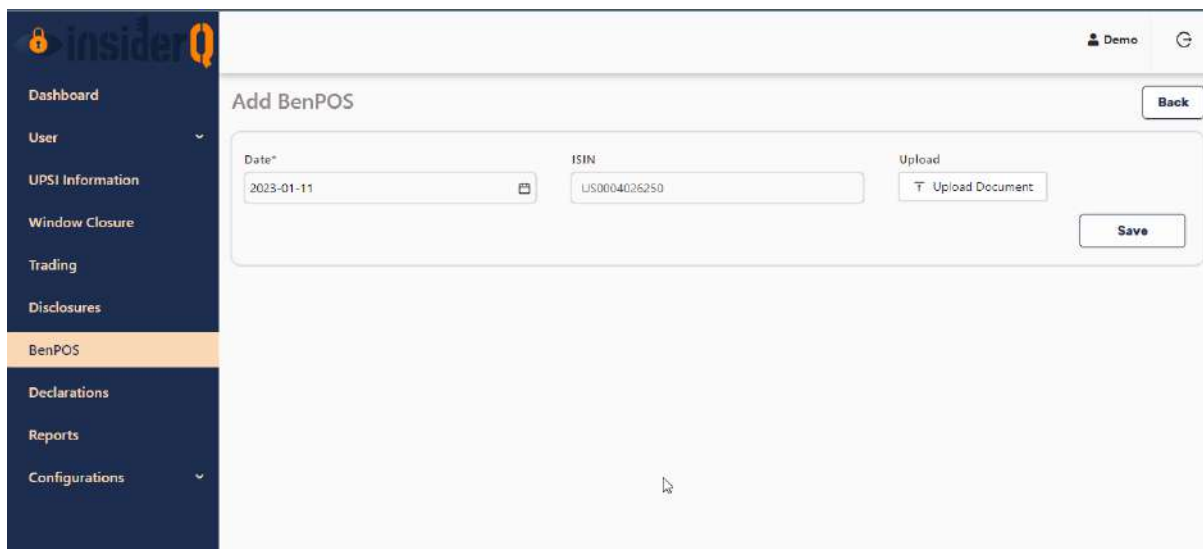
From CO Login Homepage Sidebar>Click “BenPOS”> “Add”.



BenPOS Date List

#	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	

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



Add BenPOS

Date*

ISIN

Upload Upload Document

Save

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”.

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”.

Dashboard

User

UPSI Information

Window Closure

Trading

Disclosures

BenPOS

Declarations

Reports

Configurations

Reports

Designated Persons Report

Connected Person Report

Deviation Report

Holding Statement

UPSI Statement

Audit Logs

Mail / SMS Report

#	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	ABHG53321L		11-02-2022	0	0	0	21-02-2022	0	0.00	Test
2		PoojaDP	AHIFEC5541L		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		KshitiDP	ABCD64567P		11-02-2022	700	0	0	21-02-2022	700	0.04	Internal Auditor
5		SurajDP	BZPP89963L		11-02-2022	2200	0	0	21-02-2022	2200	0.12	Executive Director, Test

Demo

G

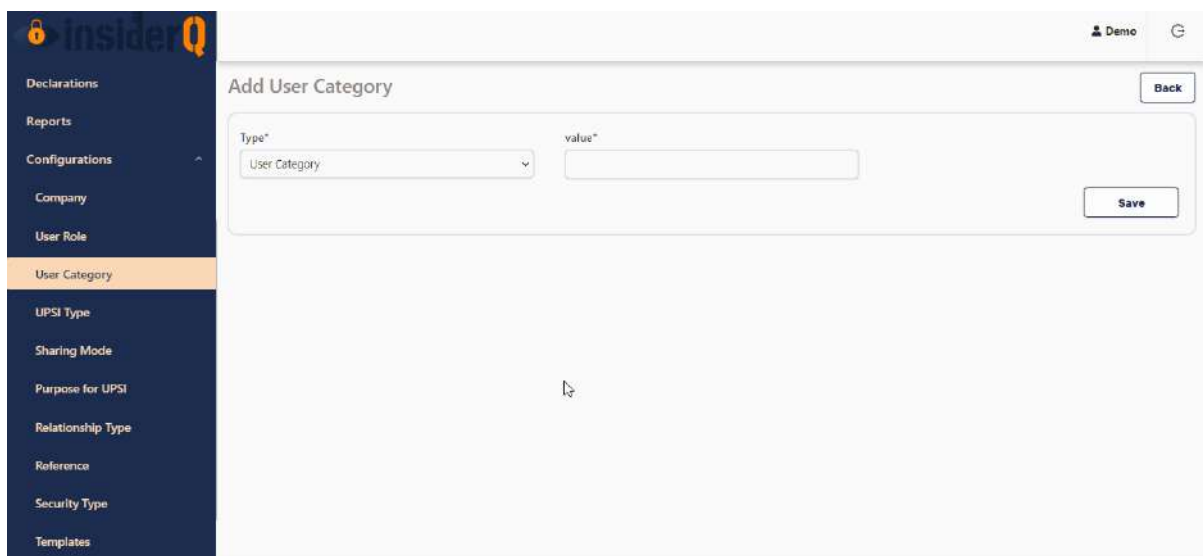
Download icon

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”.

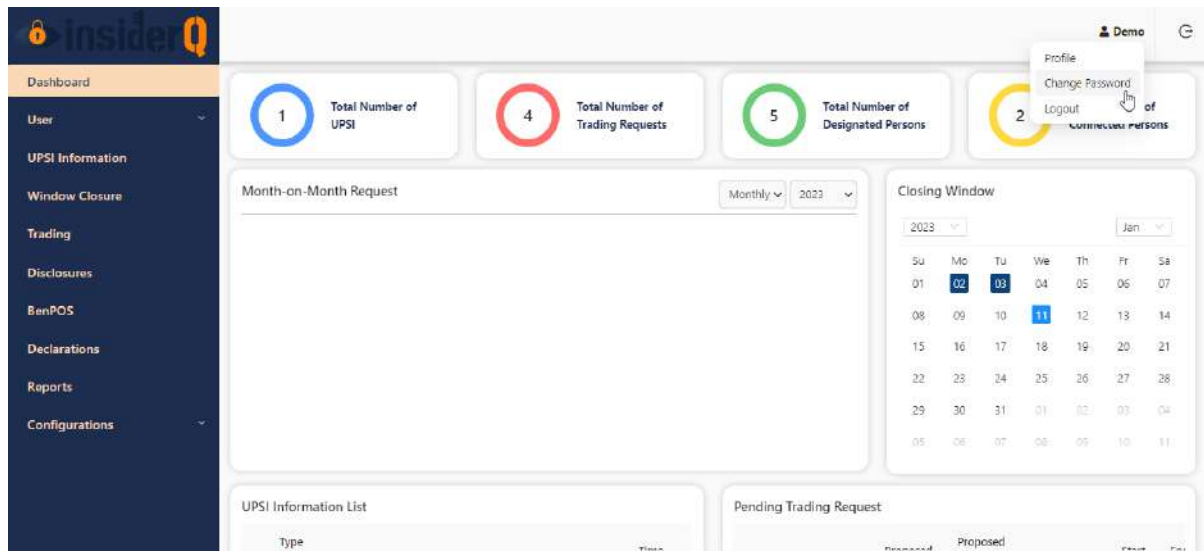


The screenshot shows the 'Add User Category' form in the InsiderQ application. The sidebar on the left lists various configuration categories, with 'User Category' currently selected. The main form area has a title 'Add User Category' and a 'Back' button. It contains two input fields: 'Type*' with a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

16. Change Of Password

16.1 Change Password

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



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

