

Annexure VI

Criteria / Aspects of Testing

Broad areas where system testing should be done and system audit report to be submitted to Exchange for using the software.

User Management:

- Rights validation
- Privileges validation
- Audit log of Users
- Audit log of JV postings
- System to restrict parallel Ledgers of clients
- System Lock (Date range: T-2 days) for back dated entries

Report Generation & submissions:

- Periodic reports as per Exchange standardised formats and methodology for submissions
 - Cash and Cash Equivalents
 - Holding Statements
 - Bank Balances
 - Enhanced Supervision
 - Margin reporting
 - Monitoring and segregation of client's asset
- Authenticating data submission via API without manual intervention
- Standardised format Reports as per the Exchange requirements
 - Client Ledger
 - Trial Balance
 - Register of Securities
 - Bank Book
 - Segregation of books of accounts w.r.t Margin Trading Funding Framework
 - UCC master (client master) with Exchanges compliance of mandatory attributes.