

TSS Consultancy Pvt. Ltd.

About TSS

TSS Consultancy is a fast growing technology solutions provider for the financial industry, with a focus on building innovative products for members of Stock exchanges / depositories. We develop low cost products which help our Clients get complete control of their business and compliance with the exchange.

We provide diverse solutions for different segments under **one single platform** called **TSS Small Office**. It consists of following modules, any one or all of which can be licensed individually.

- ✚ Anti Money Laundering (PMLA Regulations)
- ✚ PMS Back office
- ✚ Intermediary Management
- ✚ Terminal Management
- ✚ PRM (Document Management System)
- ✚ ETT (Employee Trade Tracker, Insider Trading Regulations)
- ✚ Inward Outward Management

Sample Clients



Small Office – Anti Money Laundering (AML)

TSS Consultancy's Anti Money Laundering system provides a means to prevent or report money laundering activities in the form of **suspicious transactions by the clients using a Risk based approach**. A financial institution such as a member of the Stock Exchange, Depository Participant can **monitor, investigate and report patterns of transactions** of a suspicious nature, and thus perform due diligence which is required to ensure not only smooth and safe business, but also **compliance with various SEBI as well as exchange specific regulations**.

Any single criterion used to evaluate the suspicious nature of a client's activities will be inadequate and produce inconsequential results. TSS AML is a **unique and comprehensive** system which ranks Clients by assigning negative grades based on **multiple criteria**. The summary provides an easy means to get a "Big picture" of Clients who are found to step in to unusual scenarios.

Key features

- ✓ Consolidated Platform for Equity, Derivatives and Depository Segment.
- ✓ End to End Solution, Screening to STR.
- ✓ **Watch list/ Screening** from multiple sources - SEBI, UN Security Council, OFAC, PEP with PAN Numbers
- ✓ **Ongoing** checking for updated SEBI Debarred Entities with existing clients at a click of a button.
- ✓ **Download Manager** will ensure that all public and trade level information is directly imported to the system.
- ✓ Ranking of Clients based on **smart detection of potentially fraudulent transactions** and trading patterns
- ✓ AML Dashboard allows to analyzing patterns for any period even more than one year.



Small Office – Anti Money Laundering (AML)..continued

- ✓ **Improve accuracy** of alerts and focus on **high-risk clients and events**, rather than chasing all simple alerts based on one single criterion
- ✓ **Risk Categorization** of Clients allows you to highlight high risk Clients
- ✓ Track Clients classified in **Special Categories** like NRI, Trust, Charity, Politically Exposed, Non face-to-face clients, clients with dubious public reputation etc
- ✓ Auto marking of some types of special categories.
- ✓ **Customizable grading system** that allows you to define your own weightings for different unusual scenarios.
- ✓ **Suspicious transaction register** allows you to save and track suspicious transactions as required by regulations of the exchange and SEBI, by maintaining comment log and status (Closed after investigation / Reported to Exchange) for each suspicious transaction
- ✓ **STR Module** Which will create the files as desired by the FIU IND.
- ✓ **55 Institutions** already using the solution.
- ✓ **Performance Benchmarking.** Currently running the dashboard through 12 million trades, 1.3 Million Clients
- ✓ **Constantly updating package** based on feedback from all existing clients spread across geographical locations and regulatory changes.
- ✓ Unique Highest Financial Exposure Concept. (**Client Financial Size**)
- ✓ **Report Builder** to create own views and on conditions and saving.

