

## 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 – Intermediary / Franchise Manager

Intermediary (Franchise / Sub Broker) Management is an end to end solution, which starts from the lead and goes till the empanelment, servicing, termination process of an intermediary, Far beyond the capabilities of any backoffice software

### Salient Features

- ✓ **Approval process within the organization** during a new relationship is software driven and more informed. Like Region Manager or Business development manager approval etc.
- ✓ **Paperwork creation** any form like **AP Paperwork** / Sub Broker Paper work can be created in **exchange format** in word or pdf can be created from system
- ✓ **Email Manager** allows various emails sending by creating front end templates within and out of the organization at various stages of empanelment process.
- ✓ **Deposit Manager:** Allows complete tracking of agreed deposit with the various intermediaries and received and shortfall.
- ✓ **Sending Bulk SMSs** to all Intermediaries directly at a click.
- ✓ **Workflow Manager:** Allows an on screen view of status of registration of a new intermediary within the organization and the exchange level.
- ✓ **Paperless inspection:** System allows storing & scanning of all documents like SEBI certificates, exchanges paperwork etc...
- ✓ **Segment wise date wise status track,** Allowing to see from which date to which data an individual was applied for AP etc..Extremely helpful for compiling info for exchange inspections and audits.
- ✓ **Tracking** whether **display** of glow **sign board** / mandatory certificates sent to Franchisee have been put up or not.
- ✓ **Report Builder** allowing all and any kind of reports to be created.
- ✓ **Graphical Interactive reports** useful for cross selling.
- ✓ **Tracking Negotiated terms** like CTCL Charges / VPN Charges etc...



## Small Office Terminal Management

Terminal Manager helps you take complete control of the Terminals assigned to any Intermediary and avoid penalties from the Exchanges for violation of compliances which are otherwise extremely difficult to adhere to.

### Salient features / highlights

- ✓ **12 Digit / 16 digit terminal Id is created from software** automatically.
- ✓ **Compliance Validation** like 5 is to one in cash segment or one is to one in derivative segment.
- ✓ **Certificate Expiry** intimation email in advance to specified people.
- ✓ **Terminal reconciliation** this can be used for cross checking any mismatch between back office and exchange
- ✓ **Certification details** - exams cleared by each Dealer (like NCFM Capital Market, NCFM Derivatives Market, AMFI Mutual Funds, NISM Series - 1 etc) along with details like Exam Date, Expiry Date, Score details and Registration number.
- ✓ **Dealer Attachments** - copies of Dealer certificates or any other documents can be stored with the Dealer record - all stored in database

### Reports

- ✓ Total terminals given to an Intermediary by Segment with all details. So no disputes of charges.
- ✓ Total number of CTCL licenses used as of date of particular vendor
- ✓ Dealers that have FnO / Eq exam certification, but no Terminal attached to them

### Advantages

- ✓ Cut down Exchange Penalties due to non-compliance
- ✓ Check dealers with certifications which are not used for any Terminal

