

## Annexure A: Operating Guidelines

### **I. Operating guidelines for developing back-office facility In-house: -**

1. The trading members developing Back-office software in-house, may not be required to engage as empanelled vendor with the Exchange. However, for such Back Office Facility, the designated director of the Trading Members shall make an application as specified in **Annexure I** to the Exchange and provide the undertaking as specified in **Annexure III** stating that they will abide by all the conditions and / or requirements of the exchange.
2. Members shall also submit system audit report and certificate in the prescribed format specified in **Annexure II** along with the application for Backoffice facility. In this report, the system auditor shall cover the areas of audit specified in **Annexure II** and submit their findings.
3. Detailed list of documents to be submitted in physical copy is enclosed:

<b>List of Documents</b>	<b>Annexure</b>
Member Application format	Annexure I
Auditors Report & Certificate	Annexure II
Format of the undertaking to be given by the members availing Backoffice facility	Annexure III

### **II. Operating guidelines for Vendors desirous of being empanelled with Exchange: -**

1. Vendors wishing to get themselves empanelled with Exchange are required to submit the application form as specified in **Annexure IV and V** through the member, who will be introducing the vendor to the exchange by submitting the application form as specified in **Annexure I** after completing the necessary testing. The vendor is required to submit an undertaking as specified in **Annexure III** stating that they will abide by all the conditions and / or requirements of the exchange.
2. Member shall also submit system audit report and certificate in the prescribed format specified in **Annexure II** along with the application for Backoffice facility. In this report, the system auditor shall cover the areas of audit as specified in **Annexure II** and submit their findings
3. Detailed list of documents to be submitted in physical copy is enclosed:

<b>List of Documents</b>	<b>Annexure</b>
Member Application format	Annexure I
Auditors Report & Certificate	Annexure II
Format of the undertaking to be given by the members availing Backoffice facility	Annexure III
Vendor Application format	Annexure IV
Vendor Confirmation	Annexure V

**III. Operating guidelines for members procuring software from Exchange empanelled Vendors: -**

1. Members wishing to avail the BO facility through exchange empanelled vendors need to submit application form as specified in **Annexure I** along with vendor application form as specified in **Annexure IV and V**.
2. Members shall also submit system audit report and certificate in the prescribed format specified in **Annexure II** along with the application for Backoffice facility. In this report, the system auditor shall cover the areas of audit as specified in **Annexure II** and submit their findings.
3. Detailed list of documents to be submitted in physical copy is enclosed:

<b>List of Documents</b>	<b>Annexure</b>
Member Application format	Annexure I
Auditors Report & Certificate	Annexure II
Vendor Application format	Annexure IV
Vendor Confirmation	Annexure V