

The Form of the Back Office System No (6)

- 1) The Company's Name in Arabic and in English:
- 2) The Company's Address: (The Basic Location – The Representation Office.)
- 3) The Phone's Number:
- 4) The Fax's Number:
- 5) The E- Mail:
- 6) Does the Company have a Back Office System to register and settle – up all the transactions that the Company conducts electronically?

Yes:

No:

I Offer the Consultancies' Activity
Only: -----

- 7) Are the characteristics of the Back Office System; which is related to the Company in correspondence with the abidance by Regulations, and the related issued Directives and Decisions by each of the SCFMS and specially the Decision No (148)/M; Which was dated on 18/9/2019, and the DSE?

Yes:

No:

- 8) Is there a Director of the Back Office System which is related to the Company?

Yes: The Name of the Director of the Back Office System:

No: The Authorities of the Director:

9) Are there other users for the System?

Yes: The Name of the users:

- The Authorizations of the users:

- Please to attach the Users' Authorizations within the Form.

No:

10) Do the Financial Services and Intermediary Companies abide – by the Following requirements?

- A secret password which is related to the attached File.

Yes:

No:

- The secrecy of the password and the authorities of the users which are related to the Attached File.

Yes:

No:

- The reservation of the Data Base and the closure of it through a Password.

Yes:

No:

- The Protection of the Source Code of the Program and to reserve it.

Yes:

No:

- The establishment of a password with the Highest degree of protection and to change it periodically.

Yes:

No:

- The correspondence of the Back – Office System with the Timing of The Syrian Arabic Republic, and to prevent the authorities of changing each of the date and time on the correlated Equipments with the System.

Yes:

No:

- The showing – up of all the Date and Timing on all the Reports and Documents of the System.

Yes:

No:

- The registration of all The Accountings' Transactions' Types including (The Organized Registrations, The Registrations' Bonds, The receiving Bonds, and the Exchange Bonds Etc.)

Yes:

No:

- The granting of Serial Numbers for each type of the Registrations' Types.

Yes:

No:

- The Issuance of a Report which states the Balances of the Company's Balances' Tree by the System.

Yes:

No:

- The correlation of all the Required Financial Reports in accordance with the Regulations and the Directives of the Commission, with the Back – office System in accordance with Defined Patterns by the Commission and to detect them Electronically without any change, on them.

Yes:

No:

- The sending of an "Access File" which includes defined Columns in accordance with the Requirements of the Commission, and to abstain from the disclosing of the data of this File to any Entity without obtaining a written and a previous approval by the Commission.

Yes:

No:

11) Does the Company have an Optional Served System of the Electronic Data.

Yes:

No:

12) Is there possibility of reserving the Computer's data electronically; such as providing the Reservation's Service through an Optional Server.

Yes:

No:

13) Is there an Electronic System for the reservation, the holding – up of the Books and the registration?

Yes:

No:

14) Is there a Periodic examination by the System’s Director, and the Compliance Officer to ensure the proficiency of the System’s work, and his lack of any defect?

Yes:

No:

15) Is there a “UPS” that is connected with the Company’s Back Office to ensure the efficiency of the System’s work in case of any Electricity’s cutting?

Yes:

No:

16) Is the Company abide – by reserving Incremental Back – ups of the System’s Data Base daily, and Weekly on an ensured Full back – up away from the Limit of the Main Server which includes the Data Base and for a period that does not decrease (10) Ten Years?

Yes:

No:

17) Is the Company abide – by preparing a Column which registers in the name and the signature of the Person who conducts the Incremental Back – up “which is stated above” each time?

Yes:

No:

18) Are the attached Guarantees fill – up in this Form?

Yes:

No:

The Guarantees:

**The Name of
the Authorized of Signature
On Behalf of the Company and His Signature.**

An Abidance By Guarantee with the Specific Directives of The Back – Office System of The Financial Services and Intermediary Company.

- I am the undersigned -----
- I Hold an (Identity Card – a Passport)
No: -----
- I work as a General Director / an Executive Director of the Company,
I consider myself as a guaranteed and responsible Person of the accuracy and correctness of the information's below:

The ----- Company guarantees the abidance – by all the Requirements of the Back – Office System which is issued by the SCFMS by the Decision No (148)/M dated on 18/9/2019, and to conduct any other changes or modifications that are decided by the Commission lately.

The Company shall abide – by obtaining a Previous and Written Approval by the Commission in case of conducting any changes or modifications on the System that may affect the accuracy and correctness of the Data's System whether it is a Programming, an Accounting, or related to the Settlement Registrations.

The Date: ----- / ----- / -----.

The Name:

And the Signature:

An Abidance by Guarantee of the Specific Directives of the Back Office System of the Supplier of System Company.

- I am the under – signed -----.
I hold (an Identity Card / A passport) No -----.
I work as a ----- in the Company, and I consider myself as a Guaranteed and responsible for the accuracy and correctness of the information's below.

The Supplier of the Back Office System Company shall abide by all the requirements of the Back Office System which is issued by the SCFMS by the Decision No (148)/M dated on 18/9/2019, and to conduct any changes or modifications which are decided by the Commission lately.

And to reserve the Data Base, and to close it with a Password, in addition to prevent any addition on it except after obtaining the written and the previous approval of the Commission.

The Date:

----- / ----- / ----- .

The Name and the Signature.

17 / 1 / 2024 K.I.