

ANNEXURE 7: SYSTEM AUDIT⁴⁷⁵

Annexure 7A - System Audit framework for MFs/AMCs

IT Environment	
Organization Details	
Name	
Address	
What is the IT team size (Employees)?	
What is the IT team size (Vendors)?	
IT Setup & Usage	
Data Center and DR Site (Location, owned/outsourced)	
Network Diagram (schematic) with WAN connectivity	
Network/ Security Systems: (Please specify Version/make/model)	
- Routers	
- Switches	
- Proxy servers	
- Firewall	
- Intrusion Detection Systems	

⁴⁷⁵ SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/57 dated April 11, 2019

- Intrusion Prevention Systems				
- Remote Access Servers				
- Data Leakage Prevention (specify network and/ or host)				
- Privileged Identity Management				
- Others (please specify e.g. WIPS)				
Total number of workstations (incl. laptops) & users				
Primary Operating Systems in use for workstations?				
Application Systems				
Application System	Location of server(s)	HW/OS/DB for DB Server	HW/OS/DB for Web Server	HW/OS/DB for Web Server
<i>e.g. Front Office System</i>				
<i>e.g. Back Office System</i>				
<i>e.g. Email System</i>				
<i>e.g. Intranet System</i>				
<i>e.g. File Server System</i>				

e.g. Finance & Accounting System				
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