

CORUM SECURITIES PRIVATE LIMITED

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CIN - U67120WB2002PTC094505

CORUM SECURITIES PVT LTD

POLICY FOR MAINTENANCE AND PRESERVATION OF RECORDS

Policy created by	Compliance Team
Policy reviewed by	Jitesh Dineshchandra Gandhi
Policy reviewed on	02/01/2024
Policy Approved by	Board of Directors
Policy approved on	02/01/2024

Version - 1.2

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Jitesh Gandhi
Authorised Signatory/Director

1. INTRODUCTION:

We should take appropriate steps to evolve an internal mechanism for proper maintenance and preservation of relevant records and information in a manner that allows easy and quick retrieval of data as and when requested by the competent authorities. Further, the records have to be maintained and preserved for a period five years from the date of cessation of the transactions between the Client and us.

We should formulate and implement the client identification program containing the requirements as laid down and such other additional requirements that it considers appropriate for a period of five years from the date of cessation of the transactions between the Client and us.

We should obtain a certification from their internal auditors that we have drawn up a policy on Anti Money Laundering Measures in compliance with the relevant laws, rules and instructions. In addition, in every quarterly report, the internal auditor must check and certify whether we have complied with the Policy so drawn up. Any deficiencies should be specifically pointed out in the report.

2. BACKGROUND FOR MAINTENANCE OF RECORDS:

We have incorporated under the provisions of the Companies Act, A depository Participant and stock broker shall also comply with the relevant provisions of the Companies Act with respect to preservation of records and archiving of records. In addition to the above, as a listed entity, we shall also comply with the policies for such record maintenance and archiving under Securities and Exchange Board of India ((Listing Obligations and Disclosure Requirements) Regulations, 2015 ("SEBI LODR").

In terms of regulations 38 and 49 of the SEBI (Depositories and Participants) Regulations, 1996 (hereinafter referred to as D&P Regulations, 1996), it is required to preserve the records and documents for a minimum period of 5 years. It is noticed that enforcement agencies like CBI, Police, and Crime Branch etc. have been collecting copies of the various records/documents during the course of their investigation. These original documents both in physical form and electronic form would be required by such enforcement agencies during trial of the case also.

In view of the above, notwithstanding anything contained in D&P Regulations, 1996, we are required to preserve the originals of the documents, both in electronic and physical form, copies of which have been taken by CBI, Police or any other enforcement agency during the course of any investigation till the trial is completed.

SEBI vide its circular SEBI/HO/MRD2/DDAP/CIR/P/2020/153 dated August 18, 2020 has informed regarding Corrigendum to Master Circular for Depositories dated October 25, 2019 on preservation of records. In terms of Regulations 54 and 66 of the SEBI (Depositories and Participants) Regulations, 2018 (herein referred to as D&P Regulations, 2018) notified on October 03, 2018, Depositories and Depository Participants are required to preserve the records and documents for a minimum period of eight years.

Accordingly, in compliance to the provision of

- ✓ Regulations 9 of Listing Regulations,
- ✓ Prevention of Money-laundering (Maintenance of Records) Amendment Rules, 2015, Rule 9
- ✓ Regulations 54 and 66 of the SEBI (Depositories and Participants) Regulations, 2018 and
- ✓ All the other Regulations as per Exchange and SEBI guidelines

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will preserve the records and documents for a minimum period of 8 years. We shall ensure compliance with the record keeping requirements contained in the SEBI Act, 1992, Rules and Regulations made there-under, PMLA as well as other relevant legislation, Rules, Regulations, Exchange Bye-laws and Circulars.

3. APPICABILITY AND MODES OF PRESERVATION:

This Policy is applicable to all documents maintained in physical and electronic mode by us. The preservation of documents should be such as to ensure that there is no tampering, alteration, destruction or anything that endangers the content, authenticity, utility or accessibility of the documents. The documents not specifically covered under this policy shall be preserved and maintained in accordance with the provisions of the respective acts, rules, guidelines and regulations as applicable under which those documents are maintained.

4. ROLES & RESPONSIBILITIES:

The respective Functional / Departmental heads of our organization shall be responsible for maintenance and preservation of documents in respect of the areas of operations falling under the charge of each of them, in terms of the Policy.

5. AUTHENTICITY:

Where a document is being maintained both in physical form and Electronic form, the authenticity with reference to the physical form should be considered for every purpose.

6. REVIEW OF POLICY:

Notwithstanding anything contained in this policy, we shall ensure compliance with any additional requirements as may be prescribed under any laws/regulations either existing or arising out of any amendment to such laws/regulations or otherwise and applicable to us from time to time. This Policy shall be subject to review, if necessary. Any change/amendments in Applicable Laws with regard to maintenance and preservation of documents and records shall be deemed to be covered in this Policy without any review. Any change / amendments to this Policy shall be approved by the Board of Directors.

Change in the Policy will be adopted as and when required by the company and is binding on all the Staff/Employees/and Directors of the Company.

For M/s. Corum Securities Pvt. Ltd

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(Jitesh Dineshchandra Gandhi)

Designated Director

Dated: - 02/01/2024

Annexure - A:

Records as per Companies Act, 2013

Sr. No.	Record Type	Preservation Period
1.	Memorandum and Articles of Association	Permanent
2.	Certificate of Incorporation	Permanent
3.	Minutes of Board and Committee Meetings	Permanent
4.	Minutes of Shareholders' Meetings	Permanent
5.	Register and Index of Members	Permanent
6.	Resolutions passed by circulation	8 Financial Years
7.	Listing Agreement executed with the stock exchanges	Permanent
8.	Attendance Register - Board and Committee Meetings	8 Financial Years
9.	Register of investments in securities not held in the name of the Company	Permanent
10.	Register of renewed and duplicate certificates	Permanent
11.	Register of contracts in which Directors are interested	Permanent
12.	Register of Directors, Managing Director, Manager and Secretary	Permanent
13.	Register of Directors' Shareholding	Permanent
14.	Register of Inter-corporate loans and investments	Permanent
15.	Register of transfer of shares	Permanent
16.	Register of Transmission of shares	Permanent
17.	Forms filed with Registrar of Companies (ROC)	Permanent
18.	Notice and Agenda of the Board and Committee Meetings	8 Financial Years
19.	Notices pertaining to disclosure of Interest by the Directors	8 Financial Years
20.	Annual Returns	8 Financial Years
21.	Correspondence with shareholders	8 Financial Years
22.	Disclosures under SEBI - Substantial acquisition of shares and Takeovers, Regulations	8 Financial Years
23.	Disclosures under SEBI - Prohibition of Insider Trading Regulations	8 Financial Years
24.	Postal Ballot forms	8 Financial Years
25.	Scrutinizer's Reports on voting at General Meetings/ Postal Ballot	8 Financial Years
26.	Newspaper cuttings of notices of Board Meeting and Financial Results	8 Financial Years
27.	Investor meet presentations	8 Financial years

Accounts and Finance Records

Sr. No.	Record Type	Preservation Period
1.	Annual Audited and Financial Statements	Permanent
2.	Books of Accounts, Ledgers & Vouchers	8 Financial Years

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3.	Investment Records	8 Financial Years from the date of redemption
4.	Engagement letters from Auditors	8 Financial Years

Tax Records

Sr. No.	Record Type	Preservation Period
1.	Excise Returns, Income Tax Returns, Sales Tax/ VAT Returns, Service Tax Return.	8 Financial Years
2.	Documents, Challans and other details/correspondence related to Excise, Income Tax, Sales Tax/ VAT, Service tax	8 Financial Years

Records to be maintained as per Exchange

1	Maintain separate books of accounts and records for trades executed on each recognised stock exchange.	5 Financial Years
2	Statements of funds and securities obligations received from NSCCL.	5 Financial Years
3	Client Ledger, Margin Register, Register of Complaints.	5 Financial Years
4	Records in respect of brokerage collected separately from constituents.	5 Financial Years
5	Register of Transactions.	5 Financial Years
6	Register or Ledger Account of Securities, client wise and security wise.	5 Financial Years

Records to be maintained as per Depository

1	All the documents related to account opening activity	8 Financial Years
2	All the written instructions with the enclosures received from the BO	8 Financial Years
3	The DRF and supporting documents	8 Financial Years
4	All DIS received from BO	8 Financial Years
5	All the documents related to closure / transmission	8 Financial Years
6	All Pledge Request Forms (PRF), Unpledge Request Forms (URF) & Invocation Request Forms (IRF)	8 Financial Years
7	All RRF / Repurchase Request Forms	8 Financial Years
8	All FRF, URF, Orders for freezing/unfreezing from Court, Tribunal, Statutory, Revenue or Regulatory Authorities and other supporting documents	8 Financial Years
9	All records pertaining to Arbitration proceedings including the Arbitration Award	8 Financial Years
10	Documents related to change in DP name and registered office address	8 Financial Years
11	Record of proof of dispatch of statements to the BO and any other supporting documents	8 Financial Years
12	All NDU forms	8 Financial Years

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STANDARD OPERATING PROCEDURE

Policy created by	Compliance Team
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Cyber Security incident handling process document:

Cyber security incident management is not a linear process; it's a cycle that consists of a preparation phase, an incident detection phase and a phase of incident containment, mitigation and recovery. The final phase consists of drawing lessons from the incident in order to improve the process and prepare for future incidents.

Drawing up a cyber security incident response plan is an important first step of cyber security incident management. It is also crucial that management validates this plan and is involved in every step of the cyber security incident management cycle.

The following elements should be included in the cyber security incident response plan:

Identification of the assets that need to be protected:

- ✓ Identification and assignment of responsibilities in the context of a cyber-security incident;
- ✓ In house capabilities or contracts with external experts for incident response and/or forensic investigation in case of an actual cyber security incident;
- ✓ The equipment and technology to detect and address a cyber-security incident;
- ✓ A basic containment strategy:
 - Disconnect the systems immediately in order to recover as quickly as possible?
 - Or take the time to collect evidence against the cybercriminal who perpetrated the system?
- ✓ A communication strategy for management and for authorities such as Depository and SEBI.

A good cyber security incident response plan can make the difference between a cyber-security incident and a cyber-security crisis. The pace at which we are able to recognize, analyse and respond to an incident will influence the damage done and the cost of recovery. Such a cyber-security incident response plan should not be limited to technology. Processes, people and other aspects of organization are also important elements to take into consideration.

Important terms to be known for Cyber Security incident handling:

- ✓ **Cyber Security Event** - A cyber security change that may have an impact on our operations (including mission, capabilities, or reputation).
- ✓ **Cyber Security Incident** - A single or a series of unwanted or unexpected cyber security events that are likely to compromise our operations.
- ✓ **Cyber Security Incident Management** - Processes for preparing, for detecting, reporting, assessing, responding to, dealing with and learning from cyber security incidents.

Basic Principles for examine the cyber security incidents:

- ✓ **There is no simple one-size-fits-all solution** -When it comes to Cyber Security there is no one-size-fits-all solution. What will work for us will depend on its mission and goals, the kind of infrastructure and information we are protecting, available resources, etc. Finally, recognise that some techniques will only be learned with time and experience.
- ✓ **Top management's commitment** - Cyber security incidents are a risk that should be incorporated in the overall risk management policy of company. Furthermore, managing cyber security incidents does not just mean applying technology. It also requires the development of a plan that is integrated into the existing processes and structures, so that it enables rather than hinders critical business functions. Therefore, Top management should be

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actively involved in defining a cyber security prevention and incident response plan, because top management's explicit support through appropriate internal communication and the allocation of personnel and financial resources is key to the success of the plan. The Designated Officer will be aware both of the risks of cybercrime and of his own exemplary role in encouraging all employees of company to assume their responsibility.

- ✓ **Involve every employee of the Company** - It is often said that humans are the weakest link when it comes to cyber security. Having said that, it is also important to realise that the employee of company have great potential to help detect and identify cyber security incidents. Make sure that every employee of our company is aware of the cyber security incident response plan and of their own role within it; even if this just means informing the right person.
- ✓ **Keep an offline copy of the documents need during an incident** - We have to keep in mind that when a cyber-security incident occurs, we may not always have access to the files on our computer. It is always a good idea to keep a hard copy/offline copy of any document we are likely to need during a cyber-security incident or crisis.
- ✓ **Don't link backups to the rest of the system** - When it comes to backups, it is not only crucial to have them. It is also very important to have a backup that is not linked in any way to the rest of the system. If the backup is linked to the system, chances are that the infection of the system also spreads to the backup, which makes the backup useless.
- ✓ **The importance of logging and keeping those logs during a certain time (up to 6 months)** - Logs can help to trace back the origin of the cyber security incident. This is not only important to be able to identify the cybercriminal; it will also help the company to get back to business as soon as possible.
- ✓ **Ensure to take all legal aspects into account when managing a cyber-security incident** - Evidence will only be admissible in Police or cyber security cell if it has been collected in respect of all applicable laws and regulations.
- ✓ **Document every step of a cyber-security incident** - Ensure to note down any action that is taken, such as the reporting of the incident, the collecting of evidence, conversations with users, system owners and others, etc. When something goes wrong it may allow looking back and evaluating where and why the problem started. Furthermore, documenting the cyber security incident response will ensure that the knowledge regarding what is going on is not just in a few people's heads.

Cyber Security Action / Response Mechanism

✓ **IDENTIFY THE ASSETS AND POTENTIAL THREATS -**

- When hit by an incident the first questions that will arise are: which assets are at risk?
- And which of those assets are vital for the business's activity?

We will have to decide which assets need attention first in order to remain in business and keep the damage to business as low as possible. That's why it is crucial to identify, document and categorise 'vitals': the assets of company depend on to conduct its core activities. This will help to identify where to apply which protective measures and to take quick and justified decisions during the incident management process. The following will give an idea of what those 'vitals' could be: management, company, processes, knowledge (e.g. intellectual property has been stolen), people, information (e.g. data sets have been stolen or altered), and applications (e.g. website is down or defaced, infrastructure (e.g. system and/ or network connections are down), financial capital (e.g. bank accounts). It's also a good idea to identify vulnerabilities and potential threats.

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- Who is the internal contact point for cyber security incidents? And how can he be contacted?
- What are the different incident response tasks? And who is responsible for doing what?
- Who is managing the incident from business/technical side? This should be someone within the company with decision-making authority, who will follow the incident from the beginning until the end.
- Who will communicate with senior management?
- Who can engage the external incident response partner?
- Who can file a complaint with law enforcement/inform the regulatory bodies?

In order to adequately address a cyber-security incident, different skills are needed to take up the different responsibilities and necessary roles of an efficient incident response.

<u>SKILLS</u>	<u>RESPONSIBILITIES</u>	<u>ROLES</u>
Incident management	Manage the cyber security incident from the moment of its detection until its closure.	Cyber security Incident response manager - Designated Officer
Business decision capability	Assessing the business impact and act upon it. Engage the right resources. Take decisions on how to proceed e.g. decide if the internet connection of a compromised system can be shut down and when is the most appropriate time. Decide when to start clean-up activities. Decide whether to file a complaint or not.	Management
Network management capabilities	Technical know-how on network (firewall, proxies, IPS, routers, switches). Analyse, block or restrict the data flow in and out of the network. IT operations Information security and business continuity	IT technical support staff
Workstation and server administrator capabilities (admin rights)	Analyse and manage compromised workstations and servers.	IT technical support staff
Legal advice	Assess the contractual and judicial impact of an incident. Guarantee that incident response activities stay within legal, regulatory and our boundaries. Filing a complaint.	Designated Officer
Communication skills	Communicate in an appropriate way to all concerned stakeholder groups and answer clients immediately	Designated Officer
Physical security	Handle the aspects of the incident that are linked to <ul style="list-style-type: none"> • the physical access to the premises • The physical protection of the cyber infrastructure. 	IT technical support staff

- ✓ **CYBER INCIDENT RESPONSE TEAM** - In an ideal world, every company should have an incident response team that is convened whenever there is an incident. Of course, the size of the company determines the size and the structure of the incident response team. Smaller companies that do not have the resources for an actual team could designate a first responder - ideally someone with business decision capability - amongst their personnel. In case of a cyber-security incident, he or she should contact external help, but remains the person ultimately responsible for the incident response within the company. The composition of this incident response team will be

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determined by the different skills that are needed to handle an incident. For smaller companies, some of these skills may have to be found outside the company and contacted by the first responder.

- ✓ **HARDWARE AND SOFTWARE FOR CYBER SECURITY INCIDENT MANAGEMENT** - To improve the maturity and efficiency of the incident response team, the appropriate tools need to be in place. It is important that the incident response team disposes of autonomous systems and tools that permit them to take care of an incident even if the corporate network has been compromised. This means that when the systems or networks are no longer available, the system of the incident response team still is. Incident procedures and contact lists have to be available on these systems.

CLASSIFICATION OF INCIDENTS ON THE PARAMETERS OF RISK CATEGORIES:

- ✓ Cyber security incident response has become an important component of information technology (IT) programs. Cyber security-related attacks have become not only more numerous and diverse but also more damaging and disruptive. New types of security-related incidents emerge frequently. Preventive activities based on the results of risk assessments can lower the number of incidents, but not all incidents can be prevented. An incident response capability is therefore necessary for rapidly detecting incidents, minimizing loss and destruction, mitigating the weaknesses that were exploited, and restoring IT services.
- ✓ The incident response process has several phases. The initial phase involves establishing and training an incident response team, and acquiring the necessary tools and resources. During preparation, we also attempt to limit the number of incidents that will occur by selecting and implementing a set of controls based on the results of risk assessments. However, residual risk will inevitably persist after controls are implemented. Detection of security breaches is thus necessary to alert us whenever incidents occur. In keeping with the severity of the incident, we can mitigate the impact of the incident by containing it and ultimately recovering from it. During this phase, activity often cycles back to detection and analysis—for example, to see if additional hosts are infected by malware while eradicating a malware incident. After the incident is adequately handled, we issue a report that details the cause and cost of the incident and the steps should take to prevent future incidents
- ✓ Periodic risk assessments of systems and applications should determine what risks are posed by combinations of threats and vulnerabilities. This should include understanding the applicable threats, including organization-specific threats. Each risk should be prioritized, and the risks can be mitigated, transferred, or accepted until a reasonable overall level of risk is reached. Another benefit of conducting risk assessments regularly is that critical resources are identified, allowing staff to emphasize monitoring and response activities for those resources.
- ✓ We shall carry out risk assessment to examine the incident and classify them into High / Medium / Low risk as per the cyber security handling document and should take necessary action to minimize the loss and destruction and to prevent the company from such threats and vulnerabilities.

REPORTING OF INCIDENT TO CERT - IN

We should always seriously consider reporting cyber-security incidents to the Indian Computer Emergency Response Team, CERT-IN. Reporting to the CERT-IN is vital in determining whether the incident is isolated or not and allows to keep track of threat trends in India. The CERT-IN will be able to provide some information and advice related to the incident that can help the victim to take effective countermeasures. Furthermore, the information provides may help to prevent attacks on other computer systems.

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following information should be reported:

- ✓ Contact details
- ✓ The type of the incident
- ✓ The date of the incident
- ✓ Is the incident ongoing?
- ✓ How did company notice this incident?
- ✓ What's the impact of the incident?
- ✓ Have company already taken actions or measures? If so, which ones?
- ✓ Does company have logs or other useful data?
- ✓ Who have company already informed?
- ✓ What company expecting from the report?

We shall submit the overall details of the incident to Depository and SEBI whether the same has been reported or not reported to CERT-IN. Furthermore, if the incident is not reported to CERT-IN, members shall submit the reasons for the same to the Depository and SEBI.

FILING A COMPLAINT WITH LAW ENFORCEMENT AGENCIES

Communication to law enforcement authorities must be made as soon as possible after discovery of the cyber security incident, given the volatility of traces and actions that need to be taken (Internet identification, etc.). For prosecution to be successful, the chain of custody needs to be preserved in a legally accepted manner, which requires the evidence to be preserved immediately after the detection of the incident.

Judicial authorities need to possess the available information regarding the incident in order to make a qualification of the offence and proceed with the identification of the suspect. The information that should be communicated to the police in case of Internet fraud (a 'traditional' crime committed by electronic means) may not be entirely the same as the information the police needs in case of IT crime (hacking, sabotage, espionage). In the course of the investigation, additional information will be requested, collected and searched for by the investigators. It is of the utmost importance that the services provide the assistance and input requested by law enforcement, to help advance the investigation.

- ✓ **POLICE:** If our company is impacted by an incident and as such has been the victim of an offence; we can decide to lodge a complaint. By default, we should go to the local police station or the police station of choice. For more complex cases, the local police will get support from the CERT-IN / MHA / Cybercrime police, specialised in dealing with IT crime (hacking, sabotage, espionage). If the case concerns a critical infrastructure or a sector with specific rules, a special procedure may apply.
- ✓ **CYBER SECURITY CELL:** It is also possible to file a complaint directly with a Cyber security cell. This should be an exceptional measure. Furthermore, we will probably have to advance the costs of the investigation, because the Cyber security cell is conducting it at specific demand.
- ✓ **INFORMATION TO DEPOSITORY AND SEBI:** We shall submit details on whether the incident has been registered as a complaint with law enforcement agencies such as Police or cyber security cell. If yes, details need to be provided to Depository and SEBI. If not, reason for not registering complaint should also be provided to Depository and SEBI.

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INFORMATION TO DOS-MIRSD and CISO OF SEBI: The details of reported incidents and submission to various agencies by we shall also be submitted to Division Chiefs (in charge of divisions at the time of submission) of DOS-MIRSD and CISO of SEBI.

Quarterly Reporting of Cyber Incidents:

The Designated Officer of our company (appointed in terms of para 6 of the SEBI Circular dated December 03, 2018) shall continue to report any unusual activities and events within 24 hours of receipt of such Information as well as submit the quarterly report on the cyber-attacks & threats within 15 days after the end of the respective quarter to the respective depositories and exchanges.

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Most Common Incident types and how to neutralise them:

INCIDENT TYPE	DEFINITION	POSSIBLE TARGET	VULNERABILITIES THAT MIGHT BE EXPLOITED	POSSIBLE REACTIONS
Social Engineering: (Spear) phishing, vishing (phone phishing)	Manipulating and tricking someone into revealing information that (e.g., password for financial information) that can be used to attack systems or networks	Management	As deems fit.	As deems fit.
(spear) phishing, vishing (phone phishing)	Attempt to acquire sensitive information (e.g. customer logins & passwords) from customers by impersonating a legitimate and trusted person or XYZ Company.	Management	As deems fit.	As deems fit.
Unauthorised access	When a person gains logical or physical access without permission to a network, system, application, data, or other IT resource.	Customer information Credit card information Applications creating or processing payments Websites and services	Password cracked or sniffed Unpatched system vulnerabilities Social engineering Careless users or weak procedures	Patch vulnerabilities or block exploitation Check for malware (rootkits, backdoors, Trojans) Change passwords or inactivate accounts Forensic evidence gathering Block (network) access to the targeted resources
Denial of service	Any attack that prevents or impairs the authorised use of networks, systems or applications by exhausting	Mail system Network appliances Application	Spam filter weaknesses Unpatched system vulnerabilities	Block traffic Contact ISP Disconnect infected system(s)

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	resources.	servers Web sites and services	Weak configuration of systems or appliances	
Malicious code attack	A malicious code attack is any (large- scale) infection or threat of infection by a virus, worm, Trojan horse, or other code-based malicious entity	Any server or even appliance in the network could be the target of a malicious code attack, but some systems have a higher risk profile (e.g. systems directly or indirectly connected to the outside world). Any end user workstations could be targeted via e-mail, USB storage devices, visits to web sites and web applications, etc.	Unpatched system vulnerabilities (e.g. Flash or JavaScript) Anti-virus not installed, not active or signature file not up to date Inappropriate or imprudent user behaviour (e.g. using infected USB memory device)	Block malicious web traffic Apply patches Update anti-virus signature files. Run virus clean-up tool if available. Run vulnerability assessment tool to list vulnerable resources Completely reinstall infected system Shut down vulnerable services Shut down or disconnect infect system(s)
Inappropriate usage	An inappropriate usage incident is any incident involving an internal employee or contractor violating a code of conduct or a computer policy. Inappropriate behaviour is not always malicious and targeted. Sometimes a user will simply act carelessly or even be completely unaware of the standard operating procedure or code of conduct he / she has infringed. The inappropriate behaviour will	Payment transactions Credit card information Customer commercial and personal information Confidential information in general	Weak management or control of confidential data Bad user password management Lack of segregation of duties, accumulation of access rights Lack of application security or monitoring Lack of procedures or control to enforce policies and	Inform and get advice from Compliance and/or the legal department Inactivate users or withdraw access rights Make forensic copies of logs and other crucial information to trace and prove what happened Check logs and

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	sometimes constitute a serious security incident in itself, but it can also be the cause or trigger of a serious incident (like malware infection, loss of critical data)		codes of conduct	other information for traces of the infringement
Fraud	Fraud is a kind of inappropriate behaviour that is inherently malicious in nature, and aimed at personal enrichment by abusing company systems, applications or information.	Management	As deems fit.	As deems fit.
Data loss or theft	This is an incident that involves the loss or theft of confidential information. Information can be confidential because of the value it has for the company, or because it is protected by internal or external regulations. Data loss incidents can have a big financial impact, due to possible financial liability or damage done to the company image, should the information itself or the fact that it has been lost become public or known to the wrong people.	Personal information about employees or customers (protected by privacy laws or concerns) Credit card information Customer commercial information Confidential balance sheet information Confidential information about company strategy, on-going projects and decisions, etc	Personal information about employees or customers (protected by privacy laws or concerns) Credit card information Customer commercial Confidential balance sheet Confidential information about company strategy, on-going projects and decisions, etc.	Assess the level of protection of the data, if any (encryption, password protection, specific device required to read the data) Inform and get advice from Compliance and/or the legal department or from the external legal adviser Inform Communications department and management, define a communication strategy Inform the owner of the lost or stolen data

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Brand abuse	This is an incident where someone is abusing the brand and registered trademarks.	Registration of DNS names containing the brand Spoofing of website designs Spoofing of e-mail addresses and e-mail templates	Not applicable	Inform police (in case of theft) Request a takedown of the website Inform customers about the existence of this
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Change in the Standard Operating Procedure will be adopted as and when required by the company and is binding on all the Staff / Employees / and Directors of the Company.

For M/s. Corum Securities Pvt. Ltd

CORUM SECURITIES PVT. LTD.

J D Gandhi

Authorized Signatory/Director

(Jitesh Dineshchandra Gandhi)

Designated Director

Dated: - 02/01/2024