NAME OF THE STOCKBROKER

LOG RETENTION POLICY

POLICY CONTROL

Version:	1.0
Version Date:	_____ (Date of Passing Board Resolution)
Approved by:	Board of Directors
Department in Charge:	
Frequency of Review:	Yearly or as and when any update comes change in the Relevant Regulation comes or any change in the Company's internal control or Structure whichever is earlier.

TABLE OF CONTENTS:

Sr. No	Particulars	Page No
1.	Objective	4
2.	Purpose	4
3.	Scope	4
4.	Policy	4
5.	Archival and Disposal	5
6.	Clarification/Information	5
7.	Review	5

LOG RETENTION POLICY

I. OBJECTIVE:

A **log retention policy** is a set of rules that define how long system, application, or security logs are stored before they are deleted, archived, or otherwise handled. This policy is critical for compliance, troubleshooting, performance, and storage management.

II. PURPOSE:

The purpose of a **log retention policy** is to establish clear guidelines for how long logs are retained, how they are stored, and when they are deleted or archived. This ensures effective management of logs for operational, security, legal, and compliance purposes.

III. SCOPE:

This policy applies to all:

- Servers, workstations, firewalls, routers, switches, trading platforms, and databases;
- Applications and services used in trading, client management, and internal operations;
- Employees, vendors, and third parties accessing systems that generate logs.

IV. POLICY:

To facilitate investigations, as well as to protect privacy, the retention of log records should be well defined to provide an appropriate balance among the following:

- Confidentiality of specific individuals' activities
- The need to support investigations
- The cost of retaining these records
- Logs must be stored in tamper-proof, encrypted environments.
- Only authorized personnel (e.g., IT admins, compliance officers) may access log data.
- All access to logs must be logged and periodically reviewed.

Company should ensure logs are available for security investigations, audits, and troubleshooting.

It should protect sensitive information (e.g., client data, trade logs) and manage storage efficiently through automated log rotation and deletion.

V. ARCHIVAL AND DISPOSAL:

- Logs exceeding the retention period will be securely archived or deleted using automated tools.
- Archiving will use encrypted, access-controlled storage with proper indexing for retrieval.
- Disposal will follow secure deletion standards to prevent data recovery.
- Care should be taken not to retain log records that are not needed.
- The cost of long- term retention can be significant and could expose to high costs of retrieving and reviewing the otherwise unneeded records in the event of litigation.

VI. CLARIFICATION/INFORMATION:

In case of any clarification/information required on the implementation of the Policy, please contact the IT Head/Compliance Officer on Email -_____, Tel No._____.

VII. REVIEW:

The said policy shall be reviewed by the Board of the Directors on a yearly basis or as and when any update comes change in the Relevant Regulation/Circular comes or any change in the (Name of the Stock Broker)'s internal control or Structure. The Compliance officer has the authority to give direction to undertake additions, changes, and modifications, etc. to this Policy, and the same shall be effective per the authority of the Compliance Officer and thereafter be ratified by the Board of the Directors at its next review. Periodic audits will be conducted to ensure compliance with this policy.

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