

NAME OF THE STOCKBROKER

NETWORK SECURITY 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.

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NETWORK SECURITY POLICY

I. OVERVIEW:

Network security policies describe an organization's security controls. It aims to keep malicious users out while also mitigating risky users within the organization.

II. SCOPE:

The policy is developed to discuss organizational and technical measures important for maintaining information security in the Networks. It prevents anyone from gaining access to valuable data and sensitive information. The policy applies to all computers and data communication systems owned or administered by the company.

III. POLICY:

Logical access controls or techniques in network security is to prevent threats to integrity and confidentiality of data transmitted through network. The company establishes baseline standards to facilitate consistent application of security configurations to operating systems, databases, network devices and enterprise mobile devices within their IT environment. The LAN and wireless networks shall be secured within the Company's premises with proper access controls. All remote access of the company will either be through a secure VPN connection on owned device of the company that has up-to-date anti-virus software, or on approved mobile devices.

Terminals in form of workstation or device peripherals connected on a network should be accessed only by authorised personnel. Proper access control mechanisms and procedure should be in place to restrict the access through terminals to authorize personnel only.

Users must not extend or re-transmit network services in any way. This means a user must not install a router, switch, hub, or wireless access point to the network without IT approval. Users must not download, install, or run security programs or utilities that reveal weaknesses in the security of a system or alter network hardware in any way. Every individual as well as network connected system shall have an Anti-Virus Software with Anti Malware and Anti Ransomware protection. When an Application transmitting sensitive data communicates over the Internet with the Stock Brokers' systems, it shall be over a secure, encrypted channel. For Applications carrying sensitive data that are served as web pages over the internet, a valid, properly configured SSL certificate on the web server is mandatory.

Machine in various locations including servers, firewall and nodes have to be physically secured. All traffic from inside and outside shall only pass through the firewall and no other route. The documents with regard to network diagram configuration have to be thoroughly examined for vulnerabilities. Firewall shall provide facility for login every transaction that passes through it. These logs are to be examined at regular intervals to ensure that files are not tampered. Network device configurations such as firewalls and switches should be backed-up on a Quarterly basis.

IV. 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. _____.

V. 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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