

**BUSINESS CONTINUITY PLANING AND DESASTER RECOVERY POLICY**

The Company is in the business of share and stock business and distribution of products. The entire business module is the function of proper human resource utilization / management and the state of art of technology / I.T. infrastructure amongst others.

Our business continuity plan takes on to consideration the following action plan:

1. **Recovery, resumption and maintenance** of all aspects including human resource and technology.
2. Prioritization of **business objectives Regular updates to the BCP.**
3. A cyclical process oriented approach with **proper risk assessment, implementation and management.** The above points are detailed hereunder:-

1. **Recovery, resumption and maintenance**

Share and trading business is the key activities to the organization. In order to this business the company has implemented various CTCL, software's in addition to NEAT / BOLT System for trading with NSE and / or BSE, Respective vendors make constant up gradations and implementation accordingly. Trained human resources are employed for the purpose.

A detailed policy for disaster recovery is separately made and successfully implemented in the organization, which includes DRP, changes Management amongst others.

- a) Data Recovery

A proper Data Backup policy stating the recovery, resumption and restoration of the data is adapted and following by the company. The company ensures the restoration of data at intervals to ensure business continuity in time of crisis.

- b) System & Hardware's

The Company claim to have a techno-savy environment. As management policy it keeps on investing in upgraded hardware's and software's are required from time to time.

- c) Monetary Loss

Increasing complexities in the financial business environment attracts new risk to the business model. The company always looks forward for implementation of new software's to counter such monetary losses.

- d) Offsite

The company has a vision of PAN India network and has already opened quite a few branches and a few more are in process.

Mumbai branch has been opened with a view to function as an offsite to keep the business continuity in cases of emergencies when the HO (i.e. Kolkata office) goes down. Company has an 'Incident Response Policy' that explains the plan.

- e) Environmental

Flood, Earthquakes, Riot, Fire etc are the threats for which the company has continuity plans.

- Long Term Plans
  - Offsite operations from Mumbai

- Continuous Plans
  - Insurance Policies
  - Maintenance of server / software's.
  - Backup
- f) Recovery Plans

The biggest challenge is the recovery of the business in times of crisis. The crisis may come for the following factors:

  - Data Backup – Please refer to backup policy.
  - Server- Maintenance contracts are given.
  - Nodes – Front and user – An in house efficient team is there to look after
  - Software's – Front and back –Appropriate contracts are made with the vendors to ensure smooth functioning.

## 2. Business Objectives

Prioritization of financial services to the best of satisfaction of its clients and realization of own set targets are the prime objectives of the company.

In the existing dynamic market situation the company need to constantly vouch for the latest development in the market environment with regards to available models of business and the requisite I.T and human resources.

Accordingly the company has evolutes its paradigm from the conventional self centered business to break into retail segment. Similarly on the I.T front various new software's have been introduced onto the system.

## 3. Regular Updates to the BCP

The company has a technology savy senior management team who understand the entire prospects of the business viz-a-viz technological changes, understanding the critical operation, business dynamics, human resources management, general administration and all other related matters.

The said senior management team constantly interacts on the evolution if the BCP.

## 4. Proper Risk assessment, implementation and management

Assessing and managing the risk is the key function of the business. Any miss-assessment of the risk for transaction done whether for transaction done whether for self or for clients may have adverse impact on the company business. Therefore, the proper risk assessment for all the processes is very important. The business models are accordingly formulated.

Once the models are formulated proper implementation and management of the same is done with available I.T. human resource in light of the relevant policies of the company formulated for the purpose.