ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED

PROCEDURES FOR REPORTING UNUSUAL ACTIVITIES

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Review & Approved by	**Reviewed by Technology Committee & Approved by Board of Directors**

Purpose

- The purpose of reporting unusual activities is to identify and address any events, incidents, or behaviours that deviate from the norm or expected patterns. By reporting such activities, individuals or organizations aim to ensure the safety, security, and integrity of their operations, assets, and stakeholders. Reporting helps in identifying potential risks, mitigating threats, preventing harm, and maintaining regulatory compliance.
- Unusual activities refer to any events, incidents, behaviours, or patterns that are abnormal, unexpected, suspicious, or deviate from the established norms or standards. These activities can encompass a wide range of areas such as security breaches, cyber-attacks, data leaks, technical glitches, operational irregularities, financial anomalies, or any other behaviour that raises concerns. This Policy & Procedure deals with unusual activities such as cyber-attacks, data leaks and technical glitches

1. Cyber Attack, Data Breach, Data Leak, and Cyber Threat:

- Report and Contain Potential Harm:
  - Immediately report the incident to the Indian Computer Emergency Response Team (CERT-In) and the National Critical Information Infrastructure Protection Centre (NCIIPC) if applicable.
  - Use the following channels to report the incident to Cert-in:
    - E-mail: incident@cert-in.org.in
    - Helpdesk: +91-1800-11-4949
    - Fax: +91-1800-11-6969
  - Use the following channels to report SEBI:
    - Email: sbdp-cyberincidents@sebi.gov.in
- Contents of Incident Report:
  - Provide the following information while reporting the incident:
    - Time of occurrence
    - Information regarding affected system/network
    - Symptoms observed
    - Relevant technical information such as security systems deployed and actions taken to mitigate the damage
- **Reporting to Exchange:**
  - Utilize the Quarterly Incident Reporting mechanism to report incidents to the exchange within 15 days from the end of the quarter.

2. Technical Glitch:

➤ Incident Reporting:

- ✦ Notify the stock exchanges immediately, within one hour from the time of occurrence, by sending an email to the designated email address provided by the stock exchange.
- ✦ Include any other prescribed reporting channels as required.

➤ Preliminary Incident Report:

- ✦ Submit a Preliminary Incident Report to the stock exchange within one business day of the incident.
- ✦ Include the date, time, details, and impact of the glitch, as well as the immediate actions taken to rectify the problem.

➤ Root Cause Analysis (RCA) Report:

- ✦ Submit a detailed Root Cause Analysis Report to the stock exchange within 14 days from the incident date.
- ✦ Include the time of the incident, the cause of the technical glitch (including vendor-related causes if applicable), chronology of events, impact analysis, and details of corrective/preventive measures taken or planned.

➤ Reporting Email Address:

- ✦ All technical glitches should be reported to the stock exchanges through the designated email address: infotechglitch@nse.co.in