

## OUTSOURCING POLICY

### Unlock Wealth Securities Limited

The outsourcing policy of the company is as under:

#### ACTIVITIES THAT CAN BE OUTSOURCED BY THE COMPANY

Following activities can be outsourced by the company

- Data entry and opening of trading accounts
- Scanning and storage of account opening forms
- Printing and dispatch of welcome kits and dispatch of quarterly transaction statements
- Customer services
- Dispatch of contract notes
- Stock brokers acting as distributors for Mutual Funds schemes - distribution, maintenance of nomination details by distributors for the various schemes of Asset Management Companies, etc.

#### ACTIVITIES THAT SHOULD NOT BE OUTSOURCED BY THE COMPANY

The following activities not to be outsourced by the company:

- Creation of user id/login id, password generation for internet clients
- Order management
- Operation of trading terminals
- Operations & Monitoring of Bank A/cs & DP A/cs
- Pay in / pay out of funds and securities
- Generation & dispatch of contract notes, quarterly statement of accounts, daily margin statement and monitoring of the said activities.
- Control of servers and online trading platform
- Maintenance & monitoring of client database & client financial information
- Surveillance function
- Allotment / surrender of trading terminals, opening & closing of branches
- Implementation of PMLA policies
- Risk Management system (which includes margins, trading limits, scrip / terminal enablement etc.
- IT Technology Infrastructure
- Printing of contract notes