

CHOICE EQUITY BROKING PVT. LTD

ISMS Scope

Version Control

| Version | Activity | Date | Description | Person Responsible |
|----------------|-----------------|----------------|---|--|
| 1.0 | Created | 11th Nov, 2024 | Formal draft prepared | Abhishek Vinayak, Associate Information Security |
| 1.0 | Reviewed | 11th Nov, 2024 | Reviewed and finalized the Scope document for conducting internal audit | Shripad Mayekar, Manager Information Security |
| 1.0 | Reviewed | 6th Jan, 2025 | Review & Approval for ISO 27001:2022 audit by CISO | Ashutosh Bhardwaj, CISO |
| 1.0 | Approved | 8th Jan, 2025 | Review & Approval for ISO 27001:2022 audit by CTO | Yogesh Jadhav, CTO |
| 1.0 | Approved | 9th Jan, 2025 | Review & Approval for ISO 27001:2022 audit by CEO | Ajay Kejriwal, CEO |
| 1.1 | Created | 17th Jan, 2025 | Change in Scope as suggested by External Auditor | Abhishek Vinayak, Associate Information Security |
| 1.1 | Reviewed | 17th Jan, 2025 | Review & Approval for ISO 27001:2022 audit by CISO | Shripad Mayekar, Manager Information Security |
| 1.1 | Approved | 17th Jan, 2025 | Review & Approval for ISO 27001:2022 audit by CISO | Ashutosh Bhardwaj, CISO |

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1 Purpose

The ISMS Scope document defines the detailed scope of the ISMS in CHOICE EQUITY BROKING PVT. LTD., its users, locations and any other exclusions to the ISMS application.

2 ISMS Scope

Service Scope

The ISMS of Choice Equity Broking Pvt. Ltd. covers front, middle, and back office operations for trading services supported by admin, HR, Legal & Compliance, IT services from :

- **Choice Equity Broking Pvt Ltd, Head Office** - 1st and 2nd Floor, Sunil Patodia Tower, JB Nagar, Andheri East - Mumbai
- **Primary Data Center** - NTT, DC 7, Lighthall 'E' Wing, Hiranandani Business Park, Hiranandani Lighthall, Saki Vihar Rd, Muranjan Wadi, Chandaivali, Andheri East, Mumbai, Maharashtra 400072
- **Disaster Recovery Data Center** - SURVEY NO.115 SIFY INFINITE SPACES LIMITED NANAKRAMGUDA, FINANCIAL DISTRICT, HYDERABAD-500032

The in scope controls along with justification for out of scope controls (if any) are articulated in Statement of Applicability (SOA) attached herein.

3 Organization & Business Context

Choice Equity Broking Pvt. Ltd. provides online securities trading facility to its customers

Choice Equity Broking Pvt. Ltd. avails following services provided by IT and security services vendor-

- Application support provided to client and partners
- Underlying infrastructure to support the business including operating system, network, email & databases
- IT processes adopted & practiced to protect the information assets.

3.1 Support function & its Dependencies

| Interfaces | Dependencies |
|--------------------------------|---|
| External | |
| HR department | HR department manages life cycle of employee and provides background verification services |
| Business Continuity department | IT department depends on business continuity to provide framework for IT service continuity strategy & planning |

| | |
|--------------------------------|--|
| Facilities Management Services | FMG department provides physical security and manages PDC & DR environment controls for IT |
| Service Providers | IT department depends on ISPs for network & telephony connections |
| Contractors & Consultants | IT department depend on implementation, configuration & maintenance of its IT assets. |
| Vendors | IT department depends on vendors for providing equipment & its maintenance & support including, Consulting, VAPT, Security Tools |
| Government and Legal Bodies | Depends on the regulators for guidelines and frameworks for Equity broking Services |

3.2 Interested Parties

A. Government & Regulators-SEBI, NSE/BSE

CHOICE EQUITY BROKING PVT. LTD. needs to comply with IT Act 2008 and CERT-IN guidelines related to cyber security and privacy. CHOICE EQUITY BROKING PVT. LTD. also needs to comply with various circulars issued by SEBI, NSE, BSE, MCX, NCDEX, NSDL and CDSL related to cyber security and resilience.

B. Executive Management

Executive management at CHOICE EQUITY BROKING PVT. LTD. needs to protect information to mitigate the risk which may have financial, operational, reputational & compliance impact. CHOICE EQUITY BROKING PVT. LTD. IT department needs to understand & manage information security requirements of management and board of directors of CHOICE EQUITY BROKING PVT. LTD. by ensuring confidentiality, integrity & availability of information. It also -needs to allocate budget, resources & time by assessing cost-benefit analysis.

C. Customers

CHOICE EQUITY BROKING PVT. LTD. handles personally identifiable as well as financial information of their customers. CHOICE EQUITY BROKING PVT. LTD. is responsible for protecting this information. Customer needs assurance trade transaction to be conducted in safe and secure manner.

D. Vendors & Contractors

Vendors provide licensed software & various proprietary information. CHOICE EQUITY BROKING PVT. LTD. & vendors have signed a non-disclosure agreement on reciprocal basis. Besides certain vendors & contractors provide remote support for its IT infrastructure.
It must be ensured that vendors & contractors abide by the confidentiality agreement of CHOICE EQUITY BROKING PVT. LTD.- IT department. Similarly, IT

department abides by non-disclosure, licensing agreement of software publishers & any other intellectual property rights.

3.2.1 External and Internal Issues

A list of internal issues

- IT hardware and software failures.
- Insider threats
- Business strategies
- Management directions

A list of external issues

- Cyber-attacks targeting at national level and financial sector including securities trading and operations.
- Data theft of personal identifiable and financial information of customers.
- Compliance with regulations and observations made if any.
- Natural Disasters, Environmental hazards and Climate changes

4 ISMS Exclusions

The following are excluded from the scope:

- Any Choice subsidiaries not captured as part of the scope document
- Any other offices of choice not captured as part of the scope document