

SKP SECURITIES LTD.

PRESERVATION OF DOCUMENTS & ARCHIVAL POLICY

Adoption Date : 9th November, 2015
Effective Date : 1st December, 2015

PREFACE

Documents whether in physical or electronic form plays a vital role in our personal as well as professional life. Being an artificial person, an organization's entire identity depends on documents. They are an asset of the Company and so preservation of documents becomes extremely important. Therefore the Board of Directors of SKP Securities Limited ("the Company") in pursuance to Regulation 9 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("SEBI LODR") has adopted a policy with regard to preservation of documents of the Company and as per Regulation 30(8) a policy with regard to website disclosure and archival of such disclosure. This Policy shall be known as *Preservation of Documents & Archival Policy* ("the Policy").

PRESERVATION OF DOCUMENTS OBJECTIVE

The purpose of the Policy is to provide guidance to employees of the Company on maintenance, preservation, archival and disposal of the documents as per applicable statutory and regulatory requirements.

All the words and expressions used in the Policy shall have the same meaning as defined under the SEBI LODR, the Companies Act, 2013 and the Rules framed there under or/and any amendments thereto.

DOCUMENTS AND ITS PRESERVATION PERIOD – INDICATIVE LIST

i) Documents whose preservation shall be permanent in nature:

| S.No. | Particular of Documents |
|-------|--|
| 1. | Certificate of incorporation and commencement of business |
| 2. | Memorandum and Articles of Association |
| 3. | Minutes Book |
| 4. | Statutory Registers |
| 5. | Statutory Forms |
| 6. | Common seal |
| 7. | Share Certificates |
| 8. | Any other documents/Policies as may be required to be maintained and preserved |



ii) Documents whose preservation period of not less than eight years after completion of the relevant transactions:

| S.No | Particulars of Documents |
|------|---|
| 1. | Books of Accounts together with relevant vouchers |
| 2. | Annual Returns and copies of all certificates and documents required to be annexed thereto |
| 3. | Disclosure of Interest by Directors |
| 4. | Copies of Notice of Meetings and related papers |
| 5. | Board Agenda and supporting documents |
| 6. | Attendance Register |
| 7. | Register of Proxies |
| 8. | Register of Employee Stock Options |
| 9. | Disclosures made to Stock Exchanges under SEBI Substantial Acquisition of Shares and Takeover Code |
| 10. | Any documents submitted or disclosures made to the Stock Exchanges |
| 11. | Documents filed with Registrar of Companies or Ministry of Corporate Affairs (other than the documents which are required to be maintained permanently) |

iii) Miscellaneous Documents

In case any other documents is required by any law or regulation to be maintained permanently or for a specific period of time, it shall be so maintained by the Company.

MODE OF PRESERVATION

- The documents shall be preserved in physical or electronic form.
- The preservation of documents should be such as to ensure that there is no tampering, alteration, destruction or anything which endangers the content, authenticity, utility or accessibility of the documents.
- The preserved documents shall be accessible at all reasonable times. Access may be controlled by Authorized Person in order to prohibit unauthorized access.

CUSTODY OF THE DOCUMENTS

The custody of the documents shall be with the person authorized by the Head of the Department or the Managing Director of the Company or with the person authorized under the applicable law to be called as the 'Authorized Person'



DESTRUCTION OR DISPOSAL OF DOCUMENTS

Documents which are no longer required shall be destroyed / disposed by the Authorized person with prior approval of the Head of the Department or the Managing Director to avoid unnecessary use of office/record room space.

ARCHIVAL POLICY OBJECTIVE

The objective of this policy is to comply with Regulation 30(8) of the SEBI LODR as mentioned below: *“The listed entity shall disclose on its website all such events or information which have been disclosed to stock exchange(s) under this regulation, and such disclosures shall be hosted on the website of the listed entity for a minimum period of five years and thereafter as per the archival policy of the listed entity, as disclosed on its website.”*

ARCHIVAL REQUIREMENT

The disclosures made to stock exchanges pursuant to Regulation 30 of SEBI LODR shall be disclosed on the website of the Company i.e. www.skpmoneywise.com for a period of 5 years and thereafter will be archived for a period of 1 year.

REVIEW

This policy shall be reviewed from time to time so that the policy remains compliant with applicable legal requirements.

AMENDMENT

The Board shall have the power to withdraw and / or amend any part of this Policy or the entire Policy, at any time, as it deems fit, to the condition that such alteration shall be consonance with the provision of the Act and Regulations.

