

**RCSPL SHARE BROKING PVT. LTD**  
**Information Security Policy**

**1.0 Overview:** The Guidelines mentioned in the Information Security policy aim to provide a safe and Secure Information Security environment to all Employees of RCSPL Share Broking Pvt. Ltd.(mentioned as RCSPL SHARE BROKING PVT. LTD in throughout the policy Document)as well as maintain desired standards of Security level as expected by Clients of RCSPL SHARE BROKING PVT. LTD.

**2.0 Contents:** The following Security Aspects are covered in the Information Security policy:

- a) E-Mail use Policy
- b) Clean Desk Policy
- c) Visitor Access Policy
- d) Workstation Security Policy
- e) Anti Virus Guidelines
- f) Password Policy
- g) Patch Updation process

**a) E-Mail Use Policy**

**1.0 Purpose**

To prevent tarnishing the public image of RCSPL SHARE BROKING PVT. LTD.And also to avoid any confidential information or Data being shared with person receiving the e-mail.When email goes out from RCSPL SHARE BROKING PVT. LTD the general public will tend to view that message as an official policy statement from the RCSPL SHARE BROKING PVT. LTD.

**2.0 Scope**

This policy covers appropriate use of any email sent from a RCSPL SHARE BROKING PVT. LTD email address and applies to all Employees, vendors, and agents operating on behalf of RCSPL SHARE BROKING PVT. LTD.

**3.0 Policy**

**3.1 Prohibited Use.** The RCSPL SHARE BROKING PVT. LTD email system shall not to be used for the creation or distribution of any disruptive or offensive messages, including offensive comments about race, gender, hair color, disabilities, age, sexual orientation, pornography, religious beliefs and practice, political beliefs, or national origin. Employees who receive any emails with this content from any RCSPL SHARE BROKING PVT. LTD employee should report the matter to their supervisor immediately.

**3.2 Personal Use.**

Using of RCSPL SHARE BROKING PVT. LTD resources for personal emails is not acceptable. Sending chain letters or joke emails from a RCSPL SHARE BROKING PVT. LTD email account is prohibited. Virus or other malware warnings and mass mailings from RCSPL SHARE BROKING PVT. LTDare also prohibited.

### 3.3 Monitoring

RCSPL SHARE BROKING PVT. LTD employees shall have no expectation of privacy in anything they store, send or receive on the company's email system. RCSPL SHARE BROKING PVT. LTD may monitor messages without prior notice. RCSPL SHARE BROKING PVT. LTD is not obliged to monitor email messages.

### 4.0 Enforcement

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

### 5.0 Definitions

Term	Definition
Email	The electronic transmission of information through a mail protocol such as SMTP or IMAP. Typical email clients include Eudora and Microsoft Outlook.
Forwarded email	Email resent from an internal network to an outside point.
Chain email or letter	Email sent to successive people. Typically the body of the note has direction to send out multiple copies of the note and promises good luck or money if the direction is followed.
Sensitive information	Information is considered sensitive if it can be damaging to RCSPL SHARE BROKING PVT. LTD or its customers' reputation or market standing.
Virus warning.	Email containing warnings about virus or malware. The overwhelming majority of these emails turn out to be a hoax and contain bogus information usually intent only on frightening or misleading users.
Unauthorized Disclosure	The intentional or unintentional revealing of restricted information to people, both inside and outside RCSPL SHARE BROKING PVT. LTD, who do not have a need to know that information.

## **b) Clean Desk Policy**

### **a. Overview**

The purpose for this policy is to establish a culture of security and trust for all employees at RCSPL SHARE BROKING PVT. LTD. An effective clean desk effort involving the participation and support of all RCSPL SHARE BROKING PVT. LTD employees can greatly protect paper documents that contain sensitive information about our clients, customers and vendors. All employees should familiarize themselves with the guidelines of this policy.

### **b. Purpose**

The main reasons for a clean desk policy are:

- i. A clean desk can produce a positive image when our customers visit the company.
- ii. It reduces the threat of a security incident as confidential information will be locked away when unattended.
- iii. Sensitive documents left in the open can be stolen by a malicious entity.

**c. Responsibility**

All staff, employees and entities working on behalf of RCSPL SHARE BROKING PVT. LTD are subject to this policy

**d. Scope**

- a. At known extended periods away from your desk, such as a lunch break, sensitive working papers are expected to be placed in locked drawers.
- b. At the end of the working day the employee is expected to tidy their desk and to put away all office papers. RCSPL SHARE BROKING PVT. LTD provides locking desks and filing cabinets for this purpose.

**e. Action**

- a. Allocate time in your calendar to clear away your paperwork.
- b. Always clear your workspace before leaving for longer periods of time.
- c. If in doubt - throw it out. If you are unsure of whether a duplicate piece of sensitive documentation should be kept - it will probably be better to place it in the shred bin.
- d. Consider scanning paper items and filing them electronically in your workstation.
- e. Use the recycling bins for sensitive documents when they are no longer needed.
- f. Lock your desk and filing cabinets at the end of the day
- g. Lock away portable computing devices such as laptops or PDA devices
- h. Treat mass storage devices such as CDROM, DVD or USB drives as sensitive and secure them in a locked drawer.

### **c) Visitor Access Policy**

#### **1.0 Purpose**

The purpose of this document is to provide guidance for Visitors to RCSPL SHARE BROKING PVT. LTD premises, as well as for clients sponsoring Visitors to RCSPL SHARE BROKING PVT. LTD.

#### **2.0 Cancellation or Expiration**

The processes and statements in this document do not have an expiry date. However, this document is reviewed and updated annually

#### **Background**

RCSPL SHARE BROKING PVT. LTD is engaged in providing Image based CAF management solutions, Address Verification, Logistics and Warehousing services to its esteemed clients. This document provides the mechanism to protect both our Visitors and the company, while still filling our mandate of community education and participation.

#### **3.0 Scope**

This policy applies to all Visitors to any premise of RCSPL SHARE BROKING PVT. LTD, and to clients who sponsor Visitors.

#### **4.0 Parking**

Visitors are encouraged to use open Parking spots in RCSPL SHARE BROKING PVT. LTD office premises. Vehicles should not be parked on Roads with possibility of being towed away.

#### **4.1 Check-In**

All Visitors must arrive at a designated Check-In entrance (Security desk).

All Visitors must sign in to Visitor Register at Security desk of RCSPL SHARE BROKING PVT. LTD.

Pets are not permitted to RCSPL SHARE BROKING PVT. LTD premises.

Visitors must read this document during their visit.

All Visitor electronics (laptops, other computer equipment, cell phones, etc.) will be checked in as described in the *Laptop, Computer and Related Equipment Check-In / Check-Out Procedure*.

#### **4.2 Visitor Badges**

Visitor Badges must be worn at all time. RCSPL SHARE BROKING PVT. LTD Employees are instructed to immediately report to Security desk of anyone not wearing a Visitor or Employee badge.

Visitors requiring access to areas controlled by swipe card access locks should be accompanied by authorized employees of RCSPL SHARE BROKING PVT. LTD having access to Swipe cards.

#### **5.0 Photographs and Cameras**

Visitors are not permitted to take photographs inside of RCSPL SHARE BROKING PVT. LTD premises, unless discussed specifically. For instance, photographs are sometimes required for documentation purposes. If employees have any questions about the suitability of photographs, they should consult the Human Resources Department.

Dedicated cameras are not permitted onsite. Cell phones and laptops equipped with cameras are permitted, but as previously stated photographs are not permitted without permission.

#### **5.1 Information Disclosure**

Visitors should not request information that does not pertain to their visit or the work being performed. Confidential or otherwise inappropriate nature, requests for corporate documents, customer information, financial projections, comments on any matter currently under litigation, future products or future corporate direction, or requests for information or statements in the name of the company.

#### **5.2 Check-Out**

Visitors will check out at the Security desk of RCSPL SHARE BROKING PVT. LTD. All Visitor electronics will be checked out individually as described in the Laptop, Computer and related equipment Check-In / Check-out Procedure.

Checking out of computers and related equipment may take significantly longer after regular business hours; Visitors should factor this into their estimates for exit times.

#### **5.3 Exit Inspection**

Visitors may be subject to a brief search of their laptop bags or other luggage as they exit the premise.

#### **5.4 Multiple Day Visits and Longer Term Contracts**

Visitors who are at RCSPL SHARE BROKING PVT. LTD for multiple days must follow all procedures associated with this policy (Check-In, Check-Out, etc.) on each day of their visit.

#### **5.5 Network or System Access**

Visitors will not be provided any sort of internet or System access within Premises of RCSPL SHARE BROKING PVT. LTD.

#### **5.6 On Courtesy**

All employees of RCSPL SHARE BROKING PVT. LTD are to bear in mind at all times that all Visitors are either Customers or potential Customers. Even in the case of clear violations of this policy, all actions, dealings and conversations are to be courteous in nature.

#### **6.0 Responsibility**

This document is maintained solely by the Administration department of RCSPL SHARE BROKING PVT. LTD.

Administration of the Check-In / Check-Out procedure is the responsibility is the duty of the main Security officer and Administration department of RCSPL SHARE BROKING PVT. LTD.

#### **7.0 Penalties**

Violation of any of the requirements in this policy by any employee will result in suitable disciplinary action, up to and including prosecution and / or termination.

Violation of any of the requirements in this policy by any Visitor can result in similar disciplinary action against the sponsoring employee, and can also result in termination of services with any associated consulting organization or prosecution in the case of criminal activity.

### **d) Workstation Security Policy**

#### **1.0 Purpose**

The purpose of this policy is to provide guidance for workstation security for RCSPL SHARE BROKING PVT. LTD workstations in order to ensure the security of information on the workstation and information the workstation may have access to.

#### **2.0 Scope**

This policy applies to all RCSPL SHARE BROKING PVT. LTD employees, contractors, workforce members, vendors and agents with a RCSPL SHARE BROKING PVT. LTD-owned or personal-workstation connected to the RCSPL SHARE BROKING PVT. LTD network.

#### **3.0 Policy**

Appropriate measures must be taken when using workstations to ensure the confidentiality, integrity and availability of sensitive information and that access to sensitive information is restricted to authorized users.

**3.1** Workforce members using workstations shall consider the sensitivity of the information, that may be accessed and minimize the possibility of unauthorized access.

**3.2** RCSPL SHARE BROKING PVT. LTD will implement physical and technical safeguards for all workstations that access electronic protected health information to restrict access to authorized users.

**3.3** Appropriate measures include:

- Restricting physical access to workstations to only authorized personnel.
- Securing workstations (screen lock or logout) prior to leaving area to prevent unauthorized access.
- Enabling a password-protected screen saver with a short timeout period to ensure that workstations that were left unsecured will be protected
- Complying with all applicable password policies and procedures.
- Ensuring workstations are used for authorized business purposes only.
- Never installing unauthorized software on workstations.
- Storing all sensitive information on network servers
- Keeping food and drink away from workstations in order to avoid accidental spills.
- Complying with the Anti-Virus policy
- Ensuring that monitors are positioned away from public view..
- Ensuring workstations are shut down after working hours. Exit running applications and close open documents.

#### **4.0 Enforcement**

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

#### **5.0 Definitions**

**Workstations** include: laptops, desktops, PDAs, containing or accessing patient information and authorized home workstations accessing the RCSPL SHARE BROKING PVT. LTD network.

**Workforce members** include: employees, volunteers, trainees, and other persons under the direct control of RCSPL SHARE BROKING PVT. LTD

### **e) Anti Virus Guidelines**

Processes to prevent virus problems:

- Always run the corporate standard, supported anti-virus software is available from the corporate download site. Download and run the current version; download and install anti-virus software updates as they become available.
- NEVER open any files or macros attached to an email from an unknown, suspicious or untrustworthy source. Delete these attachments immediately, then "double delete" them by emptying your Trash.
- Delete spam, chain, and other junk email without forwarding
- Never download files from unknown or suspicious sources.
- Avoid direct disk sharing with read/write access unless there is absolutely a business requirement to do so.

- Always scan USB Drive from an unknown source for viruses before using it. (For selected users having USB Access in their PCs).
- Back-up critical data and system configurations on a regular basis and store the data in a safe place.
- New viruses are discovered almost every day. Periodically run the Anti Virus Software in your computer regularly.

## f) Password Policy

### 1.0 Overview

Passwords are an important aspect of computer security. A poorly chosen password may result in unauthorized access and/or exploitation of RCSPL SHARE BROKING PVT. LTD's resources. All users, with access to RCSPL SHARE BROKING PVT. LTD systems, are responsible for taking the appropriate steps, as outlined below, to select and secure their passwords.

### 2.0 Purpose

The purpose of this policy is to establish a standard for creation of strong passwords, the protection of those passwords, and the frequency of change.

### 3.0 Scope

The scope of this policy includes all personnel who have or are responsible for an account (or any form of access that supports or requires a password) on any system that resides at any RCSPL SHARE BROKING PVT. LTD facility, has access to the RCSPL SHARE BROKING PVT. LTD network, or stores any non-public RCSPL SHARE BROKING PVT. LTD information.

### 4.0 Policy

#### 4.1 General

- All system-level passwords (e.g., root, enable, Windows Administrator, application administration accounts, etc.) must be changed on at least a monthly basis.
- All user-level passwords (e.g., email, web, desktop computer, etc.) must be changed at least every month.
- User accounts that have system-level privileges granted through group memberships or programs such as "sudo" must have a unique password from all other accounts held by that user.
- All user-level and system-level passwords must conform to the guidelines described below.

#### 4.2 Guidelines

##### A. General Password Construction Guidelines

All users at RCSPL SHARE BROKING PVT. LTD should be aware of how to select strong passwords.

##### Strong passwords have the following characteristics:

- Must have at least one digit.
- Must contain atleast one Uppercase Character.
- Must contain atleast one Lowercase Character.
- Must contain atleast one special symbol.
- Password length should be atleast 8 characters.
- New Password must be different from atleast last three passwords.

##### Weak passwords have the following characteristics:

- The password contains less than seven characters
- The password is a word found in a dictionary (English or foreign)
- The password is a common usage word such as:
  - Names of family, pets, friends, co-workers, fantasy characters, etc.
  - Computer terms and names, commands, sites, companies, hardware, software.
  - The words "RCSPL SHARE BROKING PVT. LTD", "RCSPL SHARE BROKING PVT. LTD", "Godisgreat", "vandemataram" or any derivation.
  - Birthdays and other personal information such as addresses and phone numbers.
  - Word or number patterns like aaabbb, qwerty, zyxwvuts, 123321, etc.
  - Any of the above spelled backwards.

- Any of the above preceded or followed by a digit (e.g., secret1, 1secret)

Try to create passwords that can be easily remembered. One way to do this is create a password based on a song title, affirmation, or other phrase. For example, the phrase might be: "This May Be One Way To Remember" and the password could be: "TmB1w2R!" or "Tmb1W>r~" or some other variation.

#### **B. Password Protection Standards:**

- Always use different passwords for RCSPL SHARE BROKING PVT. LTD accounts from other non-RCSPL SHARE BROKING PVT. LTD access (e.g., personal ISP account, option trading, benefits, etc.).
- Always use different passwords for various RCSPL SHARE BROKING PVT. LTD access needs whenever possible. For example, select one password for systems that use directory services (i.e. LDAP, Active Directory, etc.) for authentication and another for locally authenticated access.
- Do not share RCSPL SHARE BROKING PVT. LTD passwords with anyone, including administrative assistants or secretaries. All passwords are to be treated as sensitive, confidential RCSPL SHARE BROKING PVT. LTD information.
- Passwords should never be written down or stored on-line without encryption.
- Do not reveal a password in email, chat, or other electronic communication.
- Do not speak about a password in front of others.
- Do not hint at the format of a password (e.g., "my family name")
- Do not reveal a password on questionnaires or security forms
- If someone demands a password, refer them to this document and direct them to the Information Security Department.

If an account or password compromise is suspected, report the incident to the IT Department.

#### **5.0 Enforcement**

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment. Password cracking or guessing may be performed on a periodic or random basis by the Information Security Department or its delegates. If a password is guessed or cracked during these exercises, the user/owner will be required to change it.

#### **f. Patch Updation process**

- The operating systems of PCs / laptops must be updated with the latest IT/ Network vendor recommended security patches preferably through firewall.
- The available virus definitions / patches must be updated every week preferably daily evening late working hours through firewall.
- The IT Department must carry out audit of workstations (on a sample basis) at least every month to check for patch updates status.

- Necessary security-related patches, service packs and other software updates must be installed within 48 hours of need identification for all infrastructure components and applications.
- The firewall application must always have the latest minus one (n1) applicable IT/ Network vendor issued patches/ updates/ upgrades installed.
- **Responsibility and Accountability:**All RCSPL SHARE BROKING PVT. LTD employees are responsible for ensuring that information security policies are adhered to, and that they operate systems in such a manner as to ensure its security. All users are accountable for actions carried out by them on Information Systems. Management at all levels is responsible and accountable for ensuring that staff are aware of, and adhere to this policy.

RCSPL IS Policy Document