



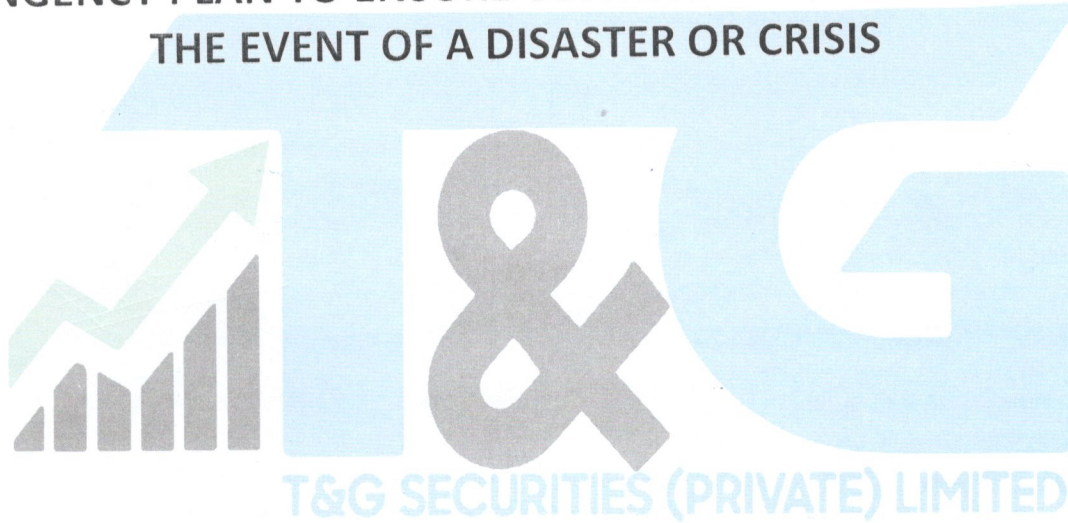
T&G Securities (Private) Limited.

T&G SECURITIES (PRIVATE) LIMITED *Trec Holder / Broker: Pakistan Stock Exchange Limited.*

T&G SECURITIES (PRIVATE) LIMITED

TRE Certificate Holder, PSX

**CONTINGENCY PLAN TO ENSURE CONTINUITY OF OPERATIONS IN
THE EVENT OF A DISASTER OR CRISIS**



Revision History

REVISION	DATE	NAME	DESCRIPTION
Draft 1.0	September 14, 2023		Initial DRP



1. OVERVIEW/INTRODUCTION:

- 1.1 This document delineates the T&G Securities (Private) Limited policies and procedures for Contingency Plan to Ensure Continuity of Operations in the Event of a Disaster or Crisis, as well as our process-level plans for recovering critical technology platforms and the communications infrastructure. This document summarizes our recommended procedures. In the event of an actual emergency situation, modifications to this document may be made to ensure physical safety of systems, and data.
- 1.2 Our mission is to ensure information system operation, data integrity and availability, and business continuity.
- 1.3 The Securities and Exchange Commission of Pakistan (the "Commission") has prescribed macro-level principles of "Conflict of Interest" under regulation 16(10) of the Securities Brokers (Licensing and Operations) Regulations, 2016. Wherein, the securities brokers shall be required to take all reasonable steps including the framing of appropriate policies and procedures to minimize Conflict of Interest between the Securities broker and its Customers.

2. POLICY STATEMENT:

Management has approved the following policy statement:

- 2.1 The comprehensive IT Disaster Recovery Plan shall be reviewed annually.
- 2.2 A risk assessment shall be undertaken periodically to determine the requirements for the IT Disaster Recovery Plan.
- 2.3 The IT Disaster Recovery Plan should cover all essential and critical infrastructure elements, systems and networks, in accordance with key educational activities.
- 2.4 The IT Disaster Recovery Plan should be periodically tested in a simulated environment to ensure that it can be implemented in emergency situations and that the management and staff understand how it is to be executed.
- 2.5 Staff must be made aware of the IT Disaster Recovery Plan and their own respective roles.
- 2.6 The IT Disaster Recovery Plan is to be kept up to date to take into with changing circumstances.

3. OBJECTIVES:

The principal objective of the IT Disaster Recovery Plan program is to develop, test and document a well-structured and easily understood plan which will help T&G Securities (Private) Limited recover as quickly and effectively as possible from an unforeseen disaster or emergency which interrupts information systems and trading and settlement operations. Additional objectives include the following:

- 3.1 The need to ensure that employees fully understand their duties in implementing such a plan.
- 3.2 The need to ensure that operational policies are adhered to within all planned activities.
- 3.3 The need to ensure that proposed contingency arrangements are cost-effective.
- 3.4 Disaster recovery capabilities are applicable to staff, vendors and others.



4. **KEY PERSONNEL CONTACT INFORMATION:**

4.1 **Internal Contracts:**

NAME AND DESIGNATION	CONTACT OPTION	CONTACT NUMBER
First Level		
	Work	
	Mobile	
	Home	
	Email Address	
2nd Level		
NAME AND DESIGNATION	Work	
	Mobile	
	Home	-
	Email Address	
3rd Level		
Head of Compliance	Work	
	Mobile	
	Home	-
	Email Address	
4th Level		
NAME AND DESIGNATION	Work	
	Mobile	
	Home	-
	Email Address	

4.2 **External Contacts**

NAME AND CONTACT	CONTACT OPTION	CONTACT NUMBER(S)
Building Authority		
Building In Charge / KEL	Power Outage	118
Internet provider Primary Link		
	Work	
Internet provider Secondary Link		
	Work	
Software vender		
	Work	
	Email Address	
Hardware vender		
	Work	
	Mobile	
	Email Address	
Other		
	Work	
	Mobile	
	Home	



NAME AND CONTACT	CONTACT OPTION	CONTACT NUMBER(S)
	Email Address	

5. PLAN OVERVIEW:

- 5.1 **Plan Updating:** It is necessary for the IT Disaster Recovery Plan updating process to be properly structured and controlled. Whenever changes are made to the plan they are to be fully tested and appropriate amendments should be made to the training materials. This will involve the use of formalized change control procedures under the control of the Technology Department.
- 5.2 **Plan Documentation Storage:** Copies of this Plan and hard copies will be stored in secure locations to be defined by the district. Each member of the IT Disaster Recovery Team will be issued a hard copy of this plan. A master protected copy will be stored on specific resources established for this purpose.
- 5.3 **Prevention:** All attempts are made to prevent or limit the impact of a disaster on the information systems of our Company. Specifically, the following steps have been taken:
- All servers are in a centralized and secured, locked location with access limited to technology staff.
 - A separate independent cooling system is installed in the server room.
 - All servers are password protected, with only select person have rights to access server.
 - Uninterrupted power supplies are installed on all servers and key network equipment.
- 5.4 **Backup hardware Strategy:** Key business server's backup strategy for each are listed below.

KEY BUSINESS SERVERS	BACKUP STRATEGY
Database Server	Same configuration server available with installations

- 5.5 **Backup Software Strategy:** Key business software's backup strategy for each are listed below.

KEY BUSINESS SERVERS	BACKUP STRATEGY
Database Server	Backup available to restore within 30 min. Backup available on site and safe remote locations.

- 5.6 **Risk Management:** There are many potential disruptive threats which can occur at any time and affect the normal trading process. We have considered a wide range of potential threats and the results of our deliberations are included in this section. Each potential environmental disaster or emergency situation has been examined. The focus here is on the level of trading disruption which could arise from each type of disaster. Potential disasters have been assessed as follows:

Potential Disaster	Probability Rating	Impact Rating	Brief Description of Potential Consequences & Remedial Actions
Natural disaster (Flood, fire, earth quake, Tornado, storms)	5	2	Backups of all servers available on secure locations. Can be restored easily on new hardware.
Electrical power Failure	2	5	UPS array tested weekly. Building generator uptime less than 10 min.



Loss of communications network services	2	3	Network staff available to troubleshoot and recover and services.
Loss of internet network services	2	5	Backup internet connection available with auto switching option..
Communications network hardware failure	2	4	Device available in backup.
System hardware failure	2	4	Hardware / server available in backup.

Probability: 1=Very High, 5=Very Low Impact: 1=Total destruction, 5=Minor annoyance

6. IT DISASTER RECOVERY PLAN EXERCISING:

- 6.1 IT Disaster Recovery Plan exercises are an essential part of the plan development process. In an IT Disaster Recovery Plan exercise, no one passes or fails; everyone who participates learns from exercises – what needs to be improved, and how the improvements can be implemented. Plan exercising ensures that the emergency team is familiar with the assignment and, more importantly, is confident in their capabilities.
- 6.2 Successful IT Disaster Recovery Plans launch into action smoothly and effectively when they are needed. This will only happen if everyone with a role to play in the plan has rehearsed the role one or more times. The plan should also be validated by simulating the circumstances within which it has to work and seeing what happens.
- 6.3 Upon completion of the exercises, amendments to this document may be determined necessary. Revisions to this document will be noted on the cover sheet of the IT Disaster Recovery Plan.

7. IT DISASTER RECOVERY KIT AND SUPPLIES:

An IT Disaster Recovery kit, including the following items, will be located at the Office and other save locations:

- 7.1 Copy of the District's IT Disaster Recovery Plan
- 7.2 Copy of the telephone numbers and email addresses for all members of the IT Disaster Recovery Team.
- 7.3 Copy of telephone numbers with extensions and email addresses for all staff.

8. ANNUAL REVIEW:

T&G Securities (Private) Limited will review and update the Contingency Plan to Ensure Continuity of Operations in the Event of a Disaster or Crisis annually.

APPROVED BY




CHIEF EXECUTIVE

Dated : September 14, 2023