

Telephone Call Recording Policy

AAA Securities (Private) Limited shall ensure that all orders placed by customers through telephone lines are recorded over dedicated telephone lines and ensure that:

- a. All telephone lines to be used by its employees and accredited representatives who are responsible for taking and confirming orders, executing contracts, transferring funds, or carrying out instructions incidental thereto, shall be routed through a centralized call recording system;
- b. All lines of communication are regularly tested to ensure ongoing proper functioning;
- c. AAA Securities (Private) Limited shall ensure that all orders received in-person from visiting customers are adequately recorded and acknowledgement is obtained from the customers;
- d. AAA Securities (Private) Limited shall ensure that it has preserved all records pertaining to all orders received from customers in writing or through any other document, fax, email, or through any other means;
- e. Recorded Telephone Lines, emails, SMS etc Preventing, detecting and deterring market abuse is one of AAA's key priorities. Good quality recordings of voice conversations and of electronic communications (email, SMS etc) may help AAA Securities (Private) Limited to detect and deter market abuse. Customer disputes usually begin with a miscommunication when there is no easy way to prove who is right.
- f. For this reason, and to comply with regulatory requirement AAA Clients' orders received and/or confirmed via telephonic [landline] communications must be recorded in the manner specified by the Exchange;
- g. Where Clients' orders are not received and/or confirmed via telephonic [landline] communications, the same can be received on official AAA email account only;
- h. Adequate compliance monitoring is exercised over the office staff that is responsible for recording the telephone order instructions;

- i. Telephone recordings are being retained for a minimum period of six months or any other period specified by the Exchange and/or Commission;
- j. Further, in case of any complaint lodged by an Investor, the Broker has retained the record of such Investor till the resolution of the complaint;
- k. All telephone lines under use of the traders, agents, dealers and authorized persons who are involved in trading, are connected to the telephone recording system of the Broker;
- l. During trading time, no trader is allowed to use mobile phones in order to make the transaction of the Client transparent and confidential;