

AMBIUM FINSERVE LIMITED
(FORMERLY AMBIUM FINSERVE PRIVATE LIMITED)



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Policy for Preservation / Archival of Documents

Document Versioning

Name of the Document	Policy for Preservation / Archival of Documents
Issuing Authority	Board of Directors
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Version History

Versio	Revision Summary	Approving Authority	Effective date
1	Original	Board of Directors	July 30 2024
2	Version 2	Board of Directors	May 29, 2025
3	Version 3	Board of Directors	June 18, 2026

1. Introduction

1.1. Regulations 9 of Chapter III of the SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015, (“LODR Regulations”) mandates framing of a policy by all listed companies for preservation / archival of documents.

Ambium Finserve Limited, hereinafter referred to as (“WINT CAPITAL”/ “Company”) has formulated and notified this policy for preservation / archival of documents in compliance with the LODR Regulations.

The Board of Directors may review and amend this policy from time to time.

2. Purpose and Scope

2.1. The main purpose is to present a policy statement for the company regarding preservation of its documents in accordance with the provisions of the Companies Act, 2013 and in accordance with the provisions of LODR Regulations.

2.2. The policy is intended to define the following:

- a) To Preserve documents
- b) To provide guidance to the employees of Wint Capital.
- c) To frame the guidelines for fundamental accountability of the Company to retain and preserve its documents as the basis for communication with a range of stakeholders.

2.3. This policy is framed for the following purposes:

- a) Systematic identification, categorization, maintenance, review, retention and destruction of documents received or created during the course of business.
- b) Providing guidelines for identification of documents that need to be maintained, how long certain documents should be retained, how and when those documents should be disposed off, if no longer needed and how the documents should be accessed and retrieved when they are needed.

3. Definitions

3.1. “Archive” means a place where records, documents or other materials of Company are preserved.

3.2. “Preservation of Documents” classified under Regulation 9 of the LODR Regulations is as follows:

- Documents whose preservation shall be permanent in nature.
- Documents with preservation period of not less than eight years after completion of the relevant transactions.

3.3. “Unit” means factories/Corporate offices located at various locations at present and at such locations, as may be established, from time to time.

“Words and expressions used in this policy shall have the same meanings respectively assigned to them in the Companies Act 2013 and the LODR Regulations.”

4. Classification of Documents to be preserved / retained

4.1. The Board of Directors have classified the following documents to be retained and preserved for posterity.

- a) Documents that need to be preserved / retained permanently.
- b) Documents that will be preserved / retained for a period of 8 years as specified under the Companies Act 2013 or LODR Regulations.
- c) Documents that may be required by judicial proceedings and which may be destroyed after closure of the legal case.
- d) Documents like internal budgets etc., which may be retained for less than 8 years.

While maintaining the records in physical form when required under various statutes for specified periods, the Company's records may be maintained in digital form for non-statutory purposes.

5. Responsibility for Preservation of Documents

5.1. All the Employees in the rolls of the Company are responsible for taking into account the potential impact on preservation of the documents in their work area and their decision to retain/ preserve or destroy documents pertaining to their area of work.

However, the ultimate responsibility for determining whether to retain or dispose or archive the specific documents rests with the concerned Departmental / Unit Heads.

The Departmental / Unit Head shall be responsible only for their respective Department / Unit.

6. Preservation Principles

6.1. It is only through preservation that continued availability access to documents can be maintained. The following principles shall be adhered:

- Documents shall be preserved in their original format, wherever possible, respecting the physical integrity and authenticity of the original documents. Wherever practicable, a digital version is preferable for physical documents.
- Active conservation mechanisms at regular intervals are employed as and when appropriate to prevent further deterioration / damage to document(s).
- Appropriate conservative measures shall be taken into account, considering the need, significance, value and usage of the document in question.
- The employees of Wint Capital shall be made aware at regular intervals of the importance of preservation of documents and shall be trained in safe handling of documents.

- The employees shall be trained to learn about the methods to sustain 5S practices, apply methods learnt to overcome challenges in implementing 5S, develop 5S standards for their work area, identify the areas of improvement and implementation and apply the methods for sustaining 5S practices.

7. Periodical Review of the Policy by the Board of Directors

7.1. The Policy should be flexible and easy to understand and comply with by all levels of employees. The policy should be reviewed on an annual basis, by the Board of Directors of the Company and amendments effected to, as and when mandated. The Board of Directors of the Company may also review the policy on document retention to comply with any local, state, central legislation that may be promulgated from time to time.

8. Administration

8.1. The responsibility to maintain and retain the physical records as per Standard Operating Procedure (SOP) defining the nature of records, their retention period and manner of disposal of records rests with the concerned Departmental / Unit Heads.

9. Suspension of Record Disposal in the events of Litigation or Claims

9.1. In case, the Company is served with any notice for request of documents or any employee becomes aware of a governmental investigation or audit concerning the Company or commencement of any litigation against the Company, such employee shall inform the Departmental / Unit Heads and disposal of further documents pursuant to this policy, if any, shall be suspended until such time, as the Departmental / Unit Heads of the Company may advice or determine otherwise.

The Departmental / Unit Heads in such a case shall inform all the employees by Email, the need to retain the documents and suspension of disposal of the same.

10. Storage and Archival of Records

10.1. A record that is no longer required in which it originated or was received, and that has permanent legal, institutional or historical value is to be archived.

10.2. Hard copies or scanned copies of documentation beyond its operational date may be kept onsite for reference purposes and the Information Technology department of the Company shall have a back-up of the electronic data at an appropriate safe location.

10.3. Copies of all material disclosures made to the stock exchanges under any Regulation of the LODR Regulations shall be hosted on the website of the Company for a minimum period of 5 years. After a period of 5 years from the date of filing the records or documents with the stock exchanges, the copies of such records or documents shall be archived from the website of the Company.

11. Document destruction process

11.1. It must be ensured that all copies of information which are no longer required to be retained are permanently and completely destroyed. The information must be removed from all electronic media devices.

11.2. Some records are scheduled for destruction immediately after active use; others are scheduled for destruction after the semi-active phase of retention.

11.3. Physical destruction for paper-based records are defined as confidential shredding.

11.4. Physical destruction for electronic documents and e-mail or physical destruction of stored media is defined as deleting the documents from active computer system repositories.

11.5. Drafts of documents need not be retained, unless the concerned Departmental / Unit Head advises otherwise.

12. Disposal of Documents

12.1. The documents after the said period of 8 years (whose preservation shall not be permanent in nature) may be disposed off, in the presence of the concerned Departmental / Unit Heads. The disposal of significant documents should be documented by the relevant Departmental / Unit Heads by keeping a record of the document disposed off, the date and the method of disposal and who authorized the disposal.

13. Register of Documents destroyed

13.1. The Company shall maintain a register, wherein it shall enter brief particulars of the documents destroyed and all entries made therein shall be authenticated by the respective Functional Heads of the Company at various locations and shall send an annual report to the Finance department on or before 30th September every year, to be presented before the Board for their information and review.

14. Amendment

14.1. This policy may be amended by the Board at any time either suo-moto and / or pursuant to amendments to the LODR Regulations or such other law, rules, regulations, guidelines as may be applicable. If there is any amendment to the policy, this policy will be deemed to have been amended and such amendment will take effect from date of the approval of such amendment. In case of any conflict between this policy and the LODR Regulations, the LODR Regulations shall prevail.

AMBIUM FINSERVE LIMITED
(Formerly known as Ambium Finserve Private Limited)

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