

YES SECURITIES (India) Limited ("YSL") has put in place a board approved Whistle Blower Policy in compliance with the provisions of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, the Companies Act, 2013, other applicable laws and in accordance with principles of good corporate governance.

This policy enables a Whistle Blower i.e. any employee, director, customer, vendor/third- party intermediary (engaged to conduct business on behalf of YES SECURITIES (India) Limited) to report matters such as the following:

- ✓ Breach of YSL's Code of Conduct
- ✓ Questionable accounting or auditing matters
- ✓ Any Company matters involving abuse of authority
- ✓ Fraud, bribery or corruption
- ✓ Employee misconduct
- ✓ Illegality
- ✓ Health & safety
- ✓ Environmental issues
- ✓ Wastage/misappropriation of YSL's funds/assets
- ✓ Victimization of employees and directors
- ✓ Any other unethical conduct

The Audit Committee of YES SECURITIES (India) Limited reviews the functioning of the Whistle Blower mechanism.

Any person sighting any of the said adverse activities including the above shall report the same within three months from the date he / she comes to know about the said adverse activity; however, it would be appreciated if the same is raised as soon as possible.

An email complaint can be sent to the whistleblower committee at whistleblower@yessecuritiesltd.in which is then forwarded to the investigation officers.

CEO of the company will appoint the investigation officers.

A Whistle Blower should not use this policy to report personal grievances. All Whistle Blower concerns are treated in confidence and are shared on 'need to know' basis for review and proper action without revealing the identity of the Whistle Blower.