



SECURITY PROGRAM

Cybersecurity and Data Protection Overview

Security Architecture, Incident Response, and Access Controls

Unykorn Capital Markets

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Classification:

Restricted — BD Only

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OVERVIEW

Unykorn's cybersecurity program is organized around the NIST Cybersecurity Framework: Identify (asset inventory, risk assessment), Protect (access controls, encryption, key management, training), Detect (monitoring, behavioral analysis, anomaly detection via Sentinel), Respond (incident response procedures, escalation contacts, forensic log access), and Recover (disaster recovery, business continuity, data backup and restoration).

All investor and program data is encrypted in transit using TLS 1.3 and at rest using AES-256. API authentication uses bearer tokens with short expiry and refresh rotation. Internal access is governed by role-based access control with least-privilege enforcement. No single platform user has unrestricted access to both investor PII and financial settlement functions simultaneously.

Incident response is activated within 15 minutes of a confirmed security event. The sponsoring BD's designated security contact is notified within 1 hour of any event affecting investor data or settlement functions. Post-incident reports are delivered within 72 hours. Regulatory notification obligations remain with the sponsoring BD; Unykorn provides all required platform data to support timely notification.



PARTNER IMPLEMENTATION CHECKLIST

- 1 Review NIST framework coverage documentation with IT security team
- 2 Confirm TLS and encryption standards meet BD security requirements
- 3 Review RBAC architecture and privileged access control documentation
- 4 Establish incident notification contact with UnyKorn security team
- 5 Document BD Reg S-P obligations and notification thresholds
- 6 Test data access and audit log retrieval for forensic requirements
- 7 Complete annual vendor security review per BD procedures

NEXT STEPS — UnyKorn Capital Markets Partnership Desk

BD Partnerships: partners@unkorn.org
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