



CONTROL AND SECURITY

Smart Contract Audit Summary

Control Framework, Testing Methodology, and Security Posture

Unykorn Capital Markets

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Restricted — BD Only

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OVERVIEW

All smart contracts deployed by Unykorn on behalf of issuing broker-dealer programs undergo a documented security review prior to production deployment. The review framework covers: access control logic, ownership and upgrade authority structures, transfer restriction enforcement, reentrancy and overflow protections, event emission and audit trail completeness, and emergency pause and fund recovery mechanisms.

Internal review uses static analysis tooling, manual code review, and an automated test suite with a minimum of 165 assertions per contract module. For institutional programs exceeding \$5M in targeted gross proceeds, an external audit engagement with a qualified third-party security firm is recommended and facilitated by Unykorn at the broker-dealer's election.

All deployed contract addresses, bytecode hashes, and audit reference documents are maintained in the platform's program registry and provided to the sponsoring broker-dealer as part of the standard post-close documentation package, available to regulators, transfer agents, and auditors on request.



PARTNER IMPLEMENTATION CHECKLIST

- 1 Review contract access control architecture with engineering
- 2 Request internal audit report for target contract modules
- 3 Evaluate need for external audit based on program size
- 4 Confirm emergency pause and fund recovery procedures
- 5 Obtain deployed contract addresses and bytecode hashes
- 6 Validate event logging against audit trail requirements
- 7 Retain audit package in the program documentation file

NEXT STEPS — Unykorn Capital Markets Partnership Desk

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