



TECHNICAL VALIDATION

Technical Due Diligence Package

Infrastructure Review, Security Attestations, and Integration Documentation

Unykorn Capital Markets

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Classification:

Restricted — BD Only

Date:

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OVERVIEW

The Unykorn Technical Due Diligence Package is provided under NDA to prospective broker-dealer partners as part of the platform review process. The package contains: platform architecture overview, API reference documentation, security posture summary, custody integration specifications, smart contract audit references, and the platform's business continuity and disaster recovery summary.

Security posture documentation covers: encryption at rest and in transit, key management procedures, access control architecture, rate limiting and DDoS mitigation, monitoring and incident response procedures, and the Sentinel behavioral security layer overview. Penetration testing may be arranged on a coordinated basis for partners with internal IT security mandates.

SLA commitments include a 99.5% platform availability target (excluding scheduled maintenance windows), defined incident response timelines, and documented escalation contacts for production issues. Support is available at compliance@unkorn.org and partners@unkorn.org. Emergency escalation is handled by the BD partnership lead with direct contact.



PARTNER IMPLEMENTATION CHECKLIST

- 1 Request technical DD package under mutual NDA
- 2 Complete internal IT security review of architecture documentation
- 3 Review custody integration specifications with custody operations team
- 4 Evaluate business continuity plan against BD operational standards
- 5 Arrange coordinated penetration test if required by internal policy
- 6 Review SLA commitments against BD operational requirements
- 7 Confirm support escalation contacts and response timelines

NEXT STEPS — Unykorn Capital Markets Partnership Desk

BD Partnerships: partners@unkorn.org
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