

Bulletin #: 11B

**File Maintenance and Recordkeeping Policy for the Business and Relationship Management Group**

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## **I. PERMANENT**

The following business and relationship management documents shall be permanently maintained in the India Ratings document management system:

- Engagement Letters; and
- Executed confidentiality agreements.

## **II. FIVE YEARS FROM DATE OF CREATION OR RECEIPT**

The following documents or other communications (collectively, the “Records”) will be maintained for 5 years from the date of creation or receipt:

- Electronic or written communications received or sent by India Ratings and its employees concerning fee negotiations;
- All marketing materials including issuer and banker presentations shown to any external party. Issuer and banker presentations shall be saved under the name of the company for which they are used. Investor presentation templates shall be saved by date; and

All external and internal electronic communications, received or sent, relating to the initiating, determining, maintaining, changing or withdrawing of a credit rating, including emails and pitch books India Ratings receives relating to potential new business.