

Fast Capital Markets Limited

POLICY TO ENSURE COMPLIANCE WITH LEGAL, STATUTORY, REGULATORY AND CONTRACTUAL OBLIGATION AND AVOID COMPLIANCE BREACHES

Policy created by	Designated Officer
Policy reviewed by	Technology Committee
Policy reviewed on	31.12.2023
Policy Approved by	Board of Directors
Policy approved on	04.01.2024

Version - 1.0

Purpose and Scope

This Compliance Policy outlines the procedures and guidelines for our company to ensure strict adherence to legal, statutory, regulatory, and contractual obligations. The objective is to prevent compliance breaches, maintain the integrity of operations, and safeguard the reputation of the organization.

Compliance Framework

Legal and Regulatory Landscape

- Conduct regular reviews to stay informed about changes in applicable laws, regulations, and industry standards.
- Establish a framework for interpreting and applying legal and regulatory requirements.

Contractual Commitments

- Maintain a repository of all contracts and agreements relevant to the business operations.
- Periodically review contracts to ensure compliance with agreed-upon terms.

Regulatory Compliance

Regulatory Authorities

- Identify and designate responsible personnel for monitoring compliance with relevant regulatory bodies.
- Establish communication channels with regulatory authorities for timely updates and reporting.

Compliance Reporting

Develop a system for the timely and accurate reporting of compliance matters to regulatory bodies as required.

Internal Compliance Controls

Compliance Risk Assessment

- Conduct regular risk assessments to identify and evaluate compliance risks associated with business activities.
- Develop strategies to mitigate identified risks.

Compliance Monitoring

- Implement a robust monitoring system to track ongoing compliance with internal policies and external obligations.
- Regularly audit and assess compliance controls.

Policies and Procedures

Documented Policies

- Develop and maintain comprehensive policies and procedures that clearly articulate compliance requirements.
- Ensure that all employees have access to and understand these policies.

Employee Training

- Provide regular training to employees on compliance policies, laws, and regulations relevant to their roles.
- Establish a system for tracking employee training and awareness.

Reporting and Escalation

Incident Reporting

Establish a confidential reporting mechanism for employees to report suspected compliance breaches without fear of reprisal.

Escalation Procedures

Develop procedures for escalating reported compliance breaches to the appropriate authorities for investigation and resolution.

Recordkeeping and Documentation

Maintain accurate and up-to-date records related to compliance activities, including audit trails, reports, and communication records.

Continuous Improvement

- Regularly review and update compliance policies and procedures based on changes in laws, regulations, and industry standards.
- Conduct post-incident reviews to identify areas for improvement in the compliance framework.

Compliance Officer

- Appoint a Compliance Officer or team responsible for overseeing and enforcing compliance measures.
- Ensure they have the authority to implement corrective actions and make necessary changes.

Legal Counsel

Retain legal counsel to provide guidance on legal matters and ensure compliance with all applicable laws and regulations.

Change in the Policy will be adopted as and when required by the company and is binding on all the Staff / Employees /and Directors of the Company.

Fast Capital Markets Ltd



Binay Kumar Agarwal

