



R.L.P. Securities Private Limited.

Corporate Member – NSE, BSE, MCX, NCDEX. DP - CDSL.
SEBI Regn. NO: INZ000166638. DP : IN-DP-224-2016.



POLICY FOR HIRING AND TRAINING OF EMPLOYEES

R.L.P. Securities Private Limited has adequate screening procedures in place to ensure high standards while hiring employees. We identify the key positions within the organization structures having regards to the Risk of Money Laundering and terrorist financing activities substantiate to the size of our business. We ensure the employees taking up such key positions are suitably trained and competent to perform their duties.

We conduct ongoing employee training programme through con calls / webinars / meetings / seminars so that the members of the staff are adequately trained in AML and CFT procedures and amendments thereof. The Training requirement shall have specific focus for frontline staff, back office staff, compliance staff, risk management staff, DP staff and staff dealing with new clients and all other relevant staff, sensitive to AML and CFT activities. It is crucial that all those concerned fully understand the rationale behind these directives, obligations and requirements, implement them consistently and are sensitive to the risks of their systems being misused by unscrupulous elements.

All the staff members are also being circulated with all the latest Regulatory Circulars and the updations on the AML and CFT Procedures, FEMA Regulations and all other relevant circulars as and when issued by the Regulators.

All the AML and CFT procedures will be reviewed on daily basis.

Such meetings would be conducted on regular basis, at a period not less than three months.

Review of Policy:

This policy will be reviewed by the Designated Director and Board of Directors on regular Basis.

This policy is placed before the Board of Directors and was adopted in its Board Meeting held on 06/03/2020.

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