



R.L.P. Securities Private Limited.

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



Policy for Hiring & 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 shall be conduct ongoing employee training program through con calls / webinars / meetings / seminars so that the staff are adequately trained in AML/CFT/ Surveillance obligations, 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. The said training shall be conducted at least once in a year. All the staff members are also being circulated with all the latest Regulatory Circulars and the updating on the AML and CFT Procedures, FEMA Regulations and all other relevant circulars as and when issued by the Regulators.

The Mid and Senior level staff of the Surveillance team set up to handle the KYC and Surveillance activities shall mandatorily have the following NISM e-learning Certification:

Staff handling KYC	- AML - KYC and Customer Due Diligence
Staff handling Transaction Monitoring Reporting.	- AML - Transaction Monitoring and Suspicious Transaction Reporting.
The Principal Officer	- Certified Anti-Money Laundering Manager (CALM)

Review of Policy:

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

Approval Authority:

This Policy was placed and was reviewed by the board in its meeting held on **26-06-2025** and was approved by the Board of Directors.