

Dolat Capital
Employee Manual

DART



Building DART Culture

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Welcome Message

Dear Employee,

Welcome to Dolat Capital. Whether you have just joined our staff or have been at Dolat Capital for a while, we are confident that you will find our organization a dynamic and rewarding place to work in, and we look forward to a productive and successful association. We consider the employees of Dolat Capital to be one of its most valuable resources. We sincerely hope that your position with us is both rewarding and enjoyable. You can make a difference!

This Employee Handbook is not a contract of employment. It was written to help you get acquainted with our organization, give you a brief explanation of our philosophy, and outline some of our policies and procedures.

The Handbook will not answer all your questions, but it will serve as a guideline to your relationship with Dolat Capital. Remember, always feel free to approach HR with your questions.

Sincerely,

HR

ABOUT DOLAT CAPITAL



Dolat Capital has an early mover advantage and is one of the pioneers of mid-cap research, derivatives, arbitrage, and market-making in the Indian market. Our aim is not to reinvent the wheel, but to ensure that it runs smoothly without worrying about a breakdown! Here's a look at what we have achieved over 60 sixty years or so.

Who We Are

Dolat Capital was established in the late 1950s by the late Dolatrai A. Shah, a first-generation broker. We are a closely held group and are slowly and steadily establishing a global footprint through a range of Asia and US initiatives. We provide a full range of financial services, including institutional equities, forex broking, and commodity arbitrage.

What We Offer

Our group's presence spans equities, arbitrage, NBFC, and investment banking, with a strong team of 500 certified and trained market professionals spread across several functional domains. The automated investment modules are developed in-house, supported by excellent fundamental research and derivatives strategy for equities in India, with deep access to listed / unlisted corporates and policymakers.

Our Philosophy

Client before everything

Meeting clients' needs is our topmost priority, and we will continue to strive to make a positive difference to our client's portfolio. We believe in establishing long term relationships through our impeccable service standards.

Integrity at the core

We have maintained an impeccable record in risk management and all aspects of regulatory compliance throughout our existence.

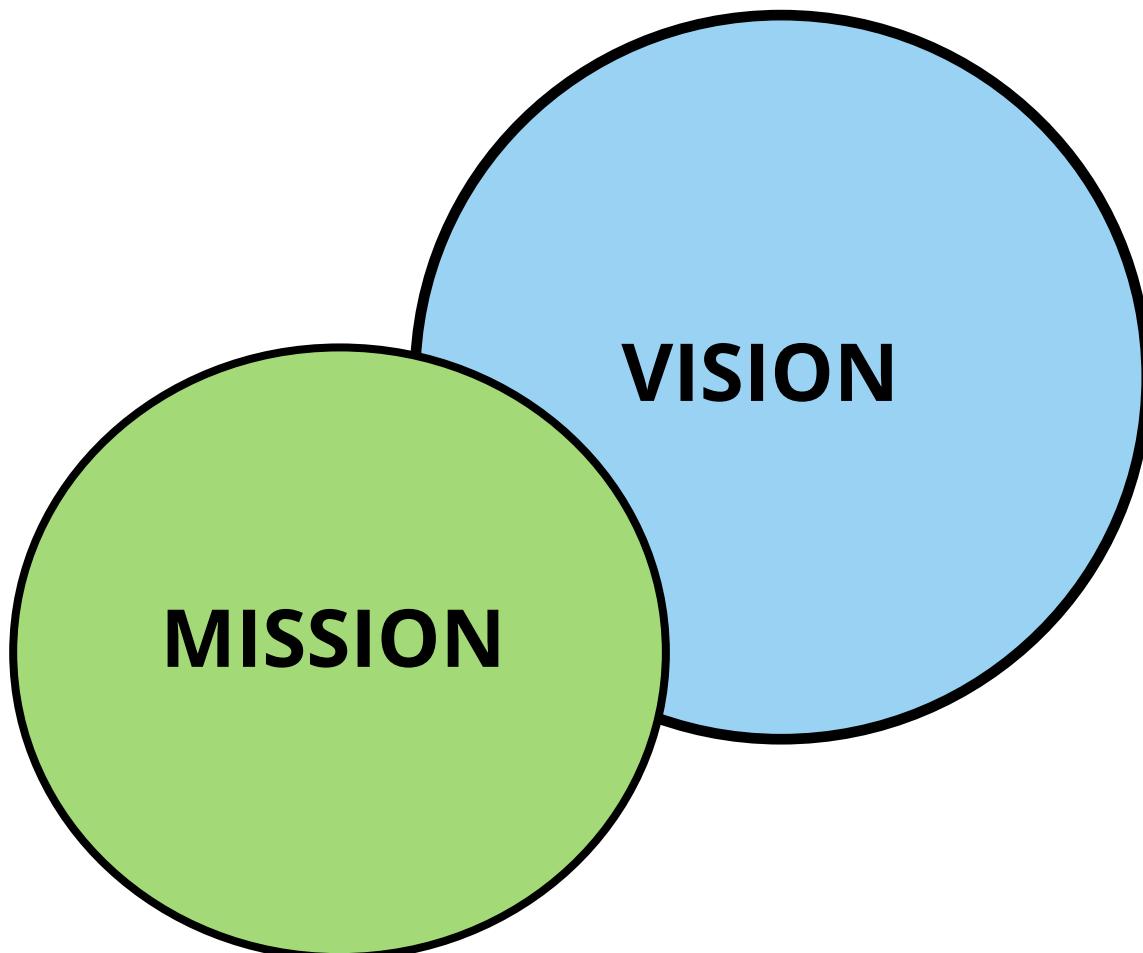
Teamwork spells success

At Dolat Group, we uphold teamwork as we stride towards success. We respect each other and have created an atmosphere where every contribution and innovation are recognized and rewarded.



Vision

To “consistently” deliver “actionable” ideas through “differentiated” and “in depth” understanding of businesses, indicate market trends through Derivatives, and “strive to highlight” critical variables “first” in the market, all in pursuit of the “benefit of our clients”.



Mission

To contribute to the growth of financial services
driven by ethics and values.

Dolat Capital Code of Business Conduct & Ethics



Dolat Capital believes that for an organization to succeed, grow, and excel, it needs to be anchored to its values and beliefs, and motivate all employees to consistently display these values their interaction with colleagues and clients.

Dolat Capital believes in providing the best possible work environment and expects you to follow rules of conduct that will protect your interests and safety . Each employee is expected to conduct himself at all times following the highest levels of honesty and integrity.

Dolat Code of Business Conduct & Ethics

Honesty

The employees should be truthful to the people involved. They should not intentionally mislead or deceive others by distorting information, exaggerating, or giving partial truth. Nor should they discriminate against people by abstaining from doing something that needs to be done.

Integrity

The employees should exhibit their honesty and courage to uphold their convictions by doing things they perceive as right despite pressures favoring the opposite. They should be respectful, impartial, and committed to their principles.

Trustworthiness

The employees should disclose and provide related information and correct any misunderstanding of facts that may arise. They should try to fulfill their promises properly. They should not abuse technical or legal interpretation as an excuse not to cooperate or comply with contractual obligations.

Loyalty

The employees should exhibit their commitment to the company by dedicating themselves to their respective duties and people by providing support and assistance whenever required. They should not use or disclose confidential information for personal advantage. On the contrary, they should maintain the ability to make decisions independently as professionals, avoid inappropriate conduct and conflict of interest, and be faithful to the company and their colleagues. If the executives intend to leave and work somewhere else, they should notify them appropriately and treat the company information as relevant and confidential. They should not exploit their former positions for their benefit.

Fairness

The employees should be fair and just towards all people. They should not use their power deliberately; neither should they resort to cheating or inappropriate tactics to obtain or maintain benefits or advantage from misled or distressed people. Our fair-minded executives should disclose the agreements set for consideration, treat everyone equally, be open to disagreeable opinions, be willing to admit the mistakes they make, and be ready to shift positions and beliefs to appropriate and correct ones if the situation demands.

Concern for Others

The employees should be considerate, sympathetic, kind, and well-intentioned to others. As the golden rule says, "Treat others the way you want to be treated," executives should provide the help they need. They should also pursue proper means of achieving business objectives in a way that the business objectives are aligned with the goals and interests of all stakeholders.

Respect for Others

The employees should mutually respect each other's honor, freedom, privacy, legal, and human rights and the interests of stakeholders. In making their decisions, employees should be gentle and treat everyone equally without discrimination by gender, class, or race.

Commitment to Excellence

The employees should excel in their performance, i.e., be equipped hard to enhance knowledge and skills to cope with every issue under one's responsibilities.

Leadership

The employees should be aware of their responsibilities and leadership requirements and seek and comply with the code of conduct models that would benefit themselves and the organization. They should also attempt to create an environment in which ethical decision-making principles are given the utmost importance.

Reputation and morale

The employees should be aware of their responsibilities and leadership requirements and seek and comply with the code of conduct models that would benefit themselves and the organization. They should also attempt to create an environment in which ethical decision-making principles are given the utmost importance.

Protecting Company Assets

The employees should always act to protect company assets, including physical, intellectual, electronic, or digital properties. Work at the starting time each day. Behaviors, such as absenteeism and tardiness, burden other employees and the company.

Attendance and Punctuality

The employees are expected to be regular and punctual in attendance. This means being in the office, ready to work, at the starting time each day. Behaviors, such as absenteeism and tardiness, burden other employees and the company.

Zero Tolerance for Harassment

Dolat Capital is committed to providing a work environment free of discrimination and harassment. Any actions, words, jokes, or comments based on an individual's sex, race, ethnicity, age, religion, or legally protected characteristic will not be tolerated.

Cell Phone & Internet Use at Work

The use of personal cell phones or the internet during work hours is discouraged, except in extreme emergencies.

Dress Code

A professional appearance is essential when employees work with customers or potential customers. The employees should be well-groomed and dressed appropriately for the business and their position.

Smoking & Drinking in Prohibited Area

Smoking is injuries for health; please do not smoke /consume alcohol in office premises. The employees may smoke in designated smoking zones (6thFloor terrace – Sunshine Towers).

CONFIDENTIALITY

All employees are required not to disclose, or use proprietary, or confidential information, except as the job demands. They should not disclose or use any proprietary or confidential information obtained during their employment with any previous employer. The employees should not discuss confidential information with anyone, including co-workers, customers, and individuals outside the company, except as necessary to carry out assigned duties. The employees should take extra precautions when they are in areas where they may overhear their discussion or work. The employees should clear their desktops of any confidential information before leaving their desk. If an employee needs to leave their computer during the workday, they should use the “lockout” feature, which will require you a password when she returns.





Grievance Handling

Any unpleasant or inequitable experience due to any form of harassment, or discrimination, or unethical, or unprofessional, or unfair treatment would constitute a grievance. Dolat Capital is committed to addressing any discontent or concern of its employees during their tenure with the organization. Dolat Capital encourages its associates to disclose and express such experience to take appropriate action and ensure a healthy work environment.

Procedure

- Any Dolat employee may discuss the grievance over email or a call with the concerned HR person.
- If any employee feels insecure or uncomfortable addressing the issue with the relevant HR person, or if the HR fails to respond, the problem can be escalated to the next level.



Grievance Handling

- All information will be kept strictly confidential, and any information about the issue would always be treated with due procedure and confidentiality.

Prohibitions and Penalties

The following activities are prohibited at the workplace. The failure to comply with the company policies and rules is liable to be penalized. The penalties depend on the degree of misconduct. The continuing acts of misconduct can even lead to employment termination. A few are given below:

- Failure to notify of an absence.
- Insubordination.
- Rude or abusive language in the workplace.
- Failure to follow "Departmental Rules or Policies".
- Dishonesty.



Dress Code

All employees shall practice good personal hygiene, select an attire that is clean and in good condition, and must always present a professional image

Dress Code - Monday to Thursday

Men - Ironed shirt full sleeves(half sleeve shirts are not allowed).

Formal closed shoes, polished (sandals/ floaters etc. are strictly not allowed).

Women - Formal shirt and trouser, western formals, Indian formals, such as kurtis / salwar kameez, sarees.



Dress Code

Dress Code for Friday - Smart Casual Jeans T Shirts

- Semi casual, casual footwear (No chappals & floaters).
- Men should shave regularly (keep beards and hair trimmed neatly).
- **If any meeting or conference is on a Friday, the employee will be required to dress in formals.**
- **Any employee not dressed as defined in the HR manual will be marked absent.**

Dress Code for Conferences & Roadshow
Men – Formal Clothing (Blazer and Tie)

Women – Formal Western Clothing or Indian Formals
(Kurtis / Salwar Kameez or Saree).



Leave & Time Policy

Objective – The objective of the leave policy is to offer employees a provision to balance their personal as well as professional life.

The leave means, “To go away for something for a short time”. An employee is supposed to fulfill both professional and personal commitment, so she is supposed to take a short time duration leave to fulfill personal commitment and such leave must be duly approved by the reporting manager, only then can the employee proceed on leave.

The purpose of the leave policy for an employee is to offer guidelines regarding: when to avail leave, the process of applying for leave with pay, leave without pay, leave of absence policy etc.

- Leave must be applied through electronic leave management in Spine HR Portal and sanction to be taken before proceeding.
- The calendar year for leave is from April to March.
- All employees are entitled to 21 leaves in a year.
- The attendance record of the month will be considered from 25th to 24th of next month.
- Leave taken after 25th will be deducted in the subsequent month. Hence employees need to regularise his/ her attendance before the 24th of each month.
- For new joinees, leaves will provide on PRO RATA basis as per the Joining date.
- Employees may apply for leave depending upon their leave balance available to their credit.
- When the leave balance is exhausted, and any employee wants to take further leaves, it will be considered leave without pay. In an extreme emergency only, subject to the approval from HR & Management. The employee needs to submit all necessary medical certificate if applicable. We request all the employees to plan their leaves so that it should not exceed their leave balance.

- If an employee is absent for seven days, beyond sanctioned leave & with no information, the employee will be considered to have left his/ her employment on free will. Management reserves the right to initiate disciplinary action in this case. If there is still no response from the said employee, then the termination letter will be issued.
- In case of prolonged illness, an employee is supposed to inform the immediate reporting manager and HR at regular intervals about their condition and indicate the most probable return date.
- Leave without approval will be considered as leave without pay.
- Employees who have resigned from their duties leave entitlement calculated on a pro-rata basis until their last working day. Any leaves taken during the period shall be adjusted in their final settlement.
- All weekends and holidays lying between the sanctioned leave period will be excluded and not be counted as leave.
- Not more than one person shall be granted leave from one team at a particular point of time unless it is unavoidable due to some emergency.

Time - Policy

"Punctuality is not about being on time, its basically about respecting your own commitments."



The company expects all employees to conduct themselves professionally during their employment, including practicing good attendance habits. All employees should come to work on time & work in their shifts as scheduled and must leave the office at the scheduled time. This policy applies to all employees on the regular payroll of the organization.

Office Timing – 07:45 AM Till 04:30PM / As per shifts assigned.

Employee(s) who report later than their chosen shift timing or leave office before shift end will be marked late. Beyond Two (2) late marks in a month will be taken as 1/2 Day leave on each such late Mark. If an employee is late and leaves early, it will be treated as two (2) late marks.



Salary

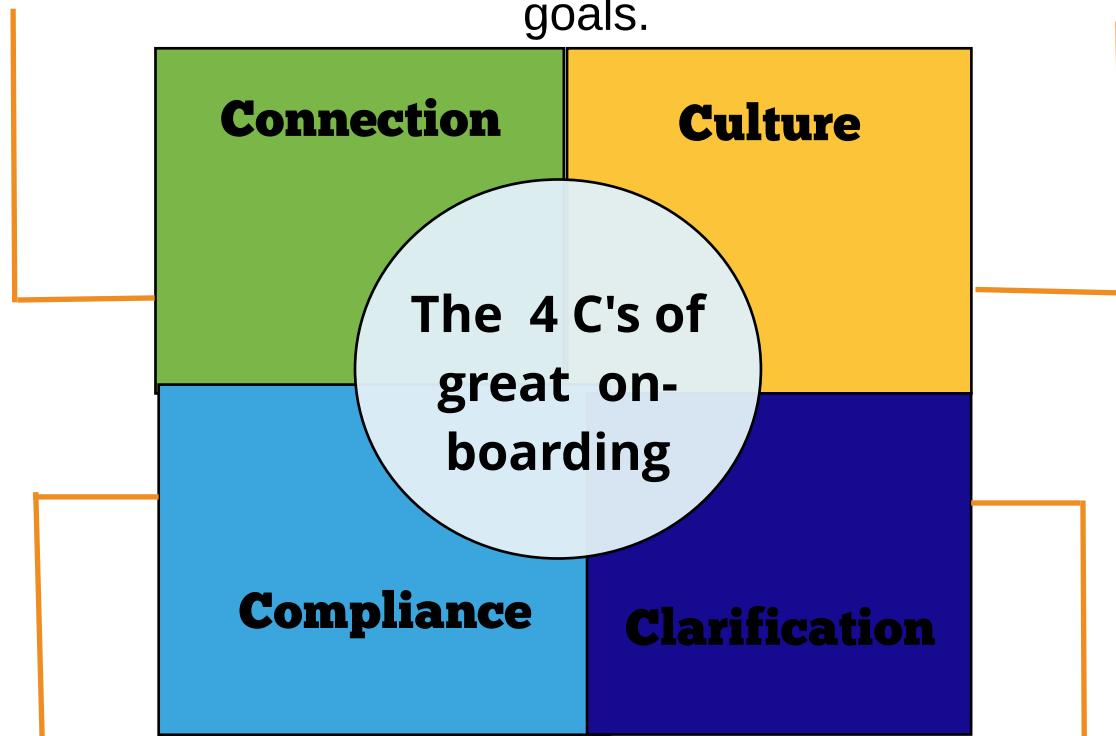
Dolat Capital's employee's salary account is with Axis Bank. In case the employee already possesses an existing account with Axis Bank, then the employee can convert that account into a salary account, or else Dolat Capital will open a salary account within 30 days after receiving all joining documents from the employee. The first salary after joining (in case your salary account is not with Axis bank) will be credited to your savings bank account provided by the employee at the time of joining. Any leaves taken more than allowed 21 + previous year's carry forward leaves, will be automatically adjusted against the salary. The employees can claim towards perk on a quarterly / yearly basis as per salary structure. The credits will be made on a pro-rata basis subject to the submission of the bills.



Employee On - Boarding

Employees feel like they are part of the family, they integrate into their new team and begin contributing to the company's mission and vision.

Employees need to understand spoken and unspoken “rules of the Organization” it makes it easy for them to absorb the culture of the company and help them to discover ways to navigate the company landscape and success at their goals.



Complete paperwork and administrative takes involved bringing a new employee into an organization and includes teaching employee basic legal and policy-related rules and regulations.

Understanding of the job / Goals/ Responsibilities.



On Boarding Information

Appointment Letter

Upon joining, an appointment letter will be issued to the employees by the HR Department & subsequently the following document needs to be submitted within two days of joining.

- Copy of a CV. Latest passport size photos.
- PAN card copies. Latest photo image in JPEG mode.
- Aadhar card copies/ passport copy/driving license copy.
- Rent agreement copy/PG owner's letter or sibling's letter with their address proof for non-Mumbai employees.
- School leaving certificate OR birth certificate.
- All qualification certificates.
- Payslips latest 6 Months (If not worked latest 6 months' bank statement).
- Relieving letter from the previous employer (not applicable to fresher's).
- Previous employer salary certificate (as per format HR mail).

- Agreement copy & a 1st rent receipt of a rental house, if applicable.
- Form No.16 from the previous employer (not applicable to fresher's).
- Existing bank account details (as per format HR mail). No income declaration form in case not employed.
- New staff data (as per format HR mail). After checking all the above documents, employee ID, & CTC breakup shall be issued to the newly joined employees.



HRA Rules & Regulations



General Rules

- The employee must submit provisional investments & HRA if any (refer HRA terms & conditions).
- A new employee will get a salary only after the completion of all joining procedures.
- All perquisites shall only be given on quarterly/yearly, only after submitting the original bills. Any changes in employees' contact number, email id, and the residential address should be informed to the HR department.

Terms for Investments Declarations / Proofs

- All provisional investment declarations and HRA should be submitted to the HR.
- For HRA, the employee must submit a copy of the registered agreement and 1st rent receipt to HR.
- In order to claim income tax benefit, all investments should be done by the employee himself/ herself. The investment in the name of spouse & children must have been debited from the employee's bank account only.

- For housing loan & interest exemption, the house should be self-occupied.
- The joint holder's declaration is required if the loan is jointly borrowed where the employee claims entire interest and principal amount to an avail tax benefit.
- No benefit will be given if the employee is just a co-applicant of the borrower and not the actual owner.
- The bank statement for repayment proof is required. For rented property higher of the actual rent received or standard rent of that area will be taken for loss on property calculations.
- For School Fees U/S 80C, only tuition fees mentioned in the school receipts are allowed. No deduction for part-time or distance learning courses & private tuitions is allowed. Mediclaim is allowed only if it is paid by cheque (no cash payment).
- The investments used for deductions in the previous employer shall not be considered again in Dolat. If investment proofs need to be taken again, then the gross previous employer salary shall be considered for TDS purpose in Dolat.
- Those who have joined after April of the financial year in Dolat should submit Form No.16 Or previous employer salary certificate (in Dolat format provided by HR) to the HR. .

- All evidence/ proofs for declared investments must be submitted on or by mid of February to the HR. Investments due after 15th February should be paid in advance, so that you can submit the same on or before 15th February. However, in extreme cases, one can submit the proofs, with dues after 15th February till 5th March only. (All final proofs, i.e., submitted on 15th February and dues on 5th March, both must be filled online under the head "Income Tax" under the subhead 'investment declaration'. Please make a note in the "Remark" column for proofs that you will submit on 5th March. The submitted proofs should be filled in as per Dolat format only.
- Please note that after the given due date, the company will not take any responsibility for any excess TDS cut or not considering your investments.

Terms & Conditions for Claiming HRA

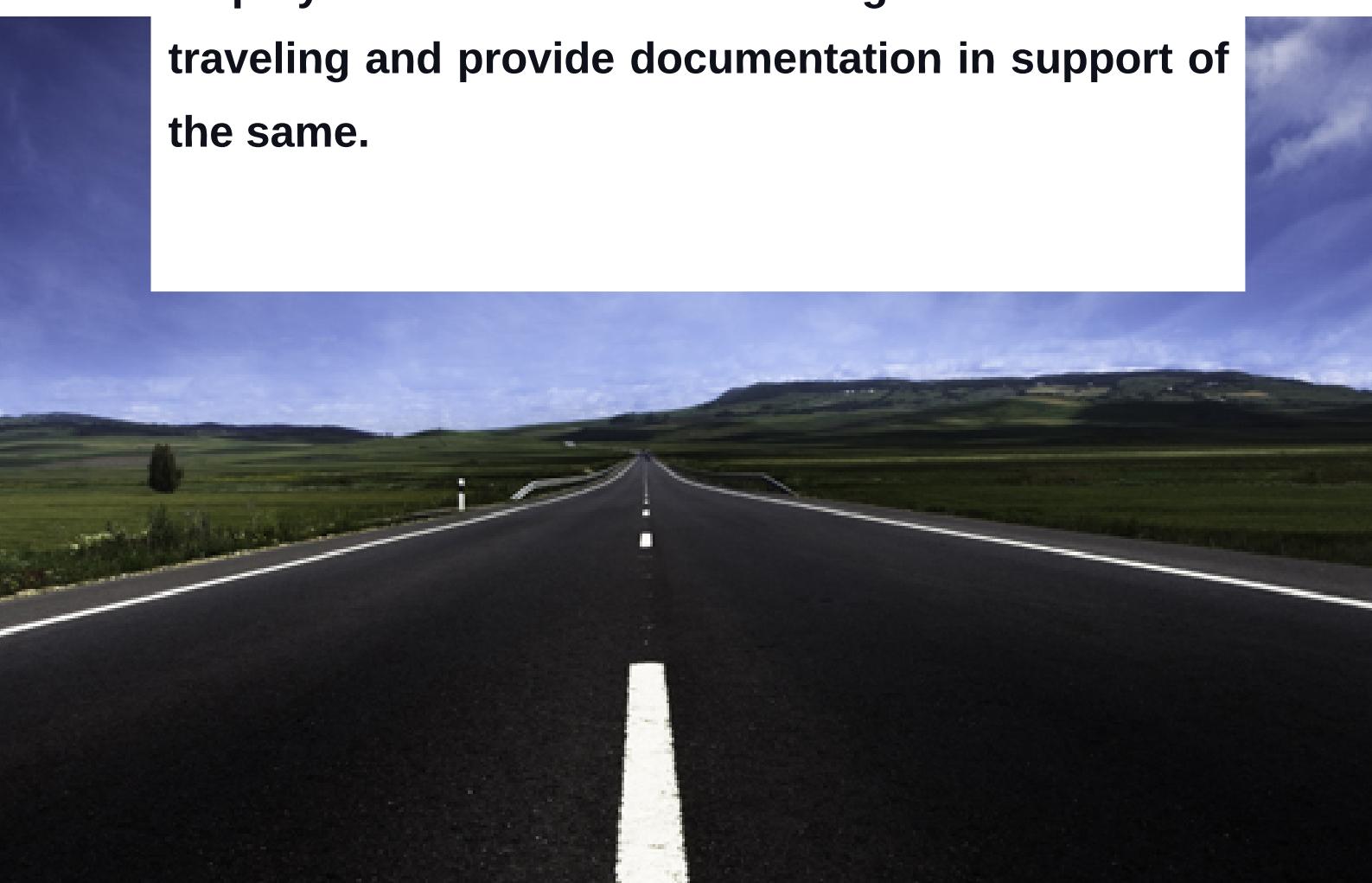
- As per the new notifications from the Income Tax department, the person who stays with the parents having the same address and giving rent to them is not allowed tax deduction and shall be scrutinized with PAN data & with any other sources.

- A copy of the registered agreement, along with a copy of the rent receipt for the first month, should reach in advance to Accounts Department Andheri office. (For new joinees 1st rent receipt should be for the month after their date of joining Dolat).
- If the monthly rent is more than 50,000/, the employees are required to deduct the TDS @ 5% U/S 194IB while paying rent to the landlord, The same should be paid to the Government, and challan copy should be submitted at the accounts dept.
- For all rent payments, a copy of the bank statement as a proof for rent payment must be submitted to the accounts department.
- The monthly rent receipts are required.
- The correspondence address on payslips, Form No.16, of the employee who stays in a rental house / paying guest will be the same as given on the agreement.
- Those employees who stay in a paying guest accommodation should provide complete details of house owners such as full name address, PAN, and confirmatory letter from the guest house owner regarding the stay of the employee.

- The HRA component cannot be changed before its completion of 11 months (i.e., from the date of agreement).
- After the end of 11 months, any changes, if required, should be informed to the accounts dept. By providing a new agreement copy. HRA will be calculated from the month in which the agreement was executed, e.g., if an agreement date is 10/04/20, then HRA will be considered from APR-20, and if the agreement date is 15/06/2020, then HRA will be regarded as from JUN-20 & so on.
- If an employee fails to fulfill the above terms and conditions, then the HRA component cannot be given to employees, despite requests.

Dolat Capital Travel Policy

The purpose of the travel policy is to ensure that the company's travel expense is controlled by establishing specific standards. All employees must control business travel expenses by making a sound judgment in consultation with and approval of MD/HOE concerning the use of company funds. Travel is an essential aspect of carrying out business. It is expected that employees follow the travel guidelines when traveling and provide documentation in support of the same.



- Any traveling (domestic or international), please inform admin team along with the purpose (meeting details, etc.) on teamadmin@dolatcapital.com.
- It is mandatory to submit TRF (Travel Requisition Form) through SPINE HR Portal for approval from MD/HOE. Otherwise, any such request will not be entertained.
- If there is any change in the travel (domestic or international), due to any reason and it is costlier to rebook, then a new travel request needs to be sent to the HR & admin team for the approval.
- Any international or domestic travel request must be raised and followed as per the company travel policy and procedure.
- The food expenses are allowed only as per the limit of entitlements.
- A proper approval for lunch/ dinner/gift, expenses for clients or guests needs to be taken from the MD/HOE, in the absence of which, no reimbursement will be made.
- The expense report, with a travel request, has to be through SPINE HR Portal to get approval from HOE / HR & Admin Team.

- Must consist of the original boarding pass and travel tickets, a complete tour report maintained date wise to upload in the portal.
- In case an employee wants to combine business stay with personal vacations, the MD/HOD must duly approve it. It should be noted that no reimbursement would happen for any personal expense.

Traveling by Air

- All employees are expected to take the lowest airfare while going.
- In air travel, Dolat employees are entitled to fly in the economy class.
- All policy exceptions must be noted on the travel request form and approved in advance by the director and above level through SPINE HR Portal.
- In case any re-booking is done, it will be reimbursed in case of an emergency after proper approval for MD/HOE only.

Any Change in Air Tickets

- As per Dolat Capital travel policy, change in the air ticket is allowed subject to the written request for a specific reason.
-

Flight Insurance

- The business travel policy makes it clear that while purchasing the ticket from the company's authorized agent, the employee is covered under the business travel
- Accident insurance. In case an employee purchases some other insurance coverage, it will not be reimbursed by the company.

Cancellation of Traveling

- In case there is a cancellation of the already planned business trip, the employee must inform the admin department, who will check from the agency as soon as possible.

Transportation from Home to Airport

- The most economical means of transport must be chosen while commuting from home to the airport and vice versa. We have a corporate OLA/UBER for all the
- Employees, we encourage employees to use it. In exceptional circumstances, if you need airport pick up and drop, please mail us in advance with the permission of HOE / MD.
- The car rentals will be reimbursed on actual for weekdays with supporting vouchers.

Road Transportation

- For a car on rent for outstation (one city to another city), we take care of our employees; for any outstation travel, we book only Innova or equivalent.
- The car on rent must be taken from the company's approved vendor. In case a vendor car is not available, the most economical vendor should be chosen.
- For any car booking, we need approval from HOE in advance.
- The employee must ensure that the proper and economical rate is charged at the time of rental.
- For local meetings, only Ola /Uber should be used by employees. Only in exceptional circumstances can the company vendor car be used after a proper email, with the purpose of travel (meeting details), with the appropriate approval from HOE.
- In case of traveling to an international location, as per the international travel policy
- For employees, the expense for taxi must not be more than the cost of car rental.

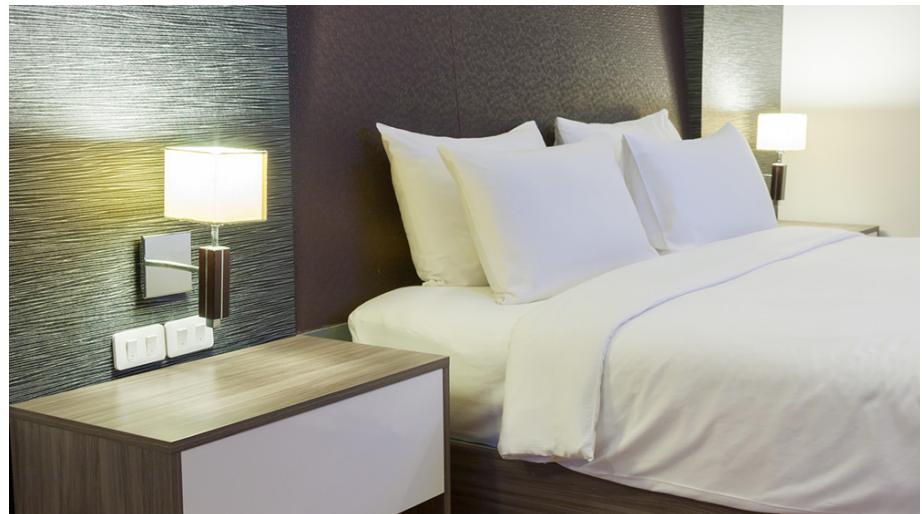
Use of Personal Cars

The employee can use personal cars for business travel if it is more economical than other means of transportation. The amount spent by the employee can be reimbursed @INR 15 per km and parking charges, if any.

Sharing of Ride

- If two employees are traveling to the same location, they are advised to share the ride.

Lodging Policy



Classification of Cities as Per Domestic Travel

Class	Cities
A	Mumbai, Delhi, Hyderabad, Chennai, Pune, Kolkata, Bangalore & Ahmedabad
B	All Other Cities & Towns.

Permitted Hotel Rental limits

Class	Cities
A	Rs.8000/- Per Room / Per Night (Inclusive of all taxes).
B	Rs.5000 /- Per Room / Per Night (Inclusive of all taxes).

International Travel

USD 250 Per Room / Per Night (Inclusive of all taxes).

Meal Expenses:

- The company policy states that expenditure incurred on meals (breakfast, lunch, or dinner) will be reimbursed while the employee is on business travel after submitting the bills.
- Every 24 hours from the scheduled departure will be counted as a day.
- For domestic travel per day – Rs.1500/- (which includes all meals & sundries) subject to the bill.
- The international travel per day meal - USD 100 /- (for all snacks & sundries) subject to the bill.
- If this increases more than the mentioned amount in the reimbursement voucher, the employee must take approval from HOE.
- The employee shall bear alcohol expenses incurred for personal consumption.
- All vouchers should process through SPINE HR Portal to get approval from HOE and then to the accounts department for approval.
- The meal expenses are reimbursable whenever the company's business travel demands overnight stay.

EntertainmentPolicy:

Employees are allowed to incur client/ guest entertainment expense (Meal/Gift) subject to approval from the reporting head, as per the following limits: -

Domestic – Rs 2500/- Per Meal

International – Rs 5000/- Per Meal.

Reimbursement Policy



- The employees are required to submit their claims for travel reimbursement within seven days of returning from their official trip through the SPINE HR Portal, using the “expense voucher” in CLAIMS.
- The expenses voucher should be approved by the line manager (who will be responsible and answerable for approving it), the second approval is from HR & the final approval is from HOE/MD.
- All expenses submitted for reimbursement must be fully itemized and classified along with the Bills, Invoices / Payment Receipts need to be uploaded on to the portal.
- It will take at least 15 working days to receive reimbursement after the final (with all approval) submission of the expenses voucher.

- Dolat employees at every level should be conscious of the proper management of expenses.
- The employee approving reimbursements have the same level of accountability to ensure that the expenses management policy is being followed, similar to the employee who expects to be reimbursed.

Expenses Submission Itemization

The statement of expenses submitted for reimbursement must be fully itemized and classified, including the details below per our Travel policy.

1. The business purpose of the expense.
2. The amount and description of each expense.
3. Place and date of the expenses.
4. Room charges, meals, and all other expenses on hotel bills.

Receipts

1. The original receipt must accompany the statement of expenses. Original receipts will be required for business-related reimbursable expenditures, all the receipts and travel-related documents like Tickets, Hotel Voucher, Boarding Passes, and transportation etc. to upload on the portal through CLAIMS – Expense – Apply Voucher in SPINE HR.

The employees must continue to provide a description of the expenses, business purpose, and attendance as required in the expenses voucher.

- The expense report, along with the bill, is submitted to the accounting department, which in turn validates the bills and makes payments to the employee by cash or cheque.

Miscellaneous expenses

- The company will reimburse calls made for business purposes while traveling. The calls made for the business purpose must be marked clearly in the expense report on SPINE HR Portal.

Spouse/guest/personal travel combined with business travel.

- Prior information should be given to the management for family/ guest travel. Any kind of travel expenses occurring for guest or family member will not be reimbursable.
- The spouse/ guests can share the accommodation. And additional cost on this account shall be borne by the employee.

Safety & security of employees while on travel (domestic travel or international travel)

One of the most important aspects of any business travel policy is to protect employees while on international or domestic travel. Some of the measures that are being taken are as follows:

- As per the travel policy, the employee is supposed to inform the travel desk & immediate reporting manager about her stay and itinerary.
- The employees are also required to provide their hotel contact number as soon as they reach their destination.
- The employee who is traveling must submit their meeting details to the HR & admin team.
- Dolat Capital will provide travel Insurance.
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ROADSHOW

The Roadshow format for approval is given below for different requirements of the Roadshows in the Dolat group.

1. Roadshow – India

Asia _____ **Others** _____

1. Date of the Roadshow _____
2. Company Name _____
3. Sector Name _____
4. Name of the Guest _____
5. Contact Number _____
6. Guest Designation _____
7. Flight booking details: From _____ To _____
8. Return flight: From _____ To _____
9. Travel Class Economy _____ Business _____
10. Extra comment _____
11. Visa requirement _____

1.1. Car requirements

Airport pick up _____

Car for roadshow _____

Date 1 _____

Date 2 _____

Date 3 _____

Any other requirement _____

1.2. Meeting room requirement

A) Venue _____

1. Start Time _____
2. End Time _____
3. No of Persons _____
4. Projector _____
5. Any other Requirement _____

B) Venue _____

1. Start Time _____
2. End Time _____
3. No of Persons _____
4. Projector _____
5. Any other Requirement _____

C) Venue _____

1. Start Time _____
2. End Time _____
3. No of Persons _____
4. Projector _____
5. Any other Requirement _____

1.3. Gift if any Required _____

1.4. Paid Speaker:

Please give us below bank details prior to the roadshow with the approval of HOE

- Amount to be paid _____
- Bank account holder name _____
- Bank account number _____
- Bank branch name _____
- Bank IFSC / SWIFT code _____
- PAN CARD details _____
- GST details if required _____

1.5. Lunch policy for roadshows:

In case, the lunch/ dinner for any client meeting or any special speaker has to be arranged at any five-star hotel, it will require prior permission from HOE. For all other cases the restaurants listed can be booked separately by admin ,

It's advisable to take the guest to one of the listed restaurants for lunch meetings.

NOTES:-

- These Requisition Form needs to be filled by the employee managing the roadshow, duly approved by the MD/ HOE.
- The employee is requested to fill these forms carefully, as the same shall be forwarded as it is to the vendors. Any mistake or lapse in the information may adversely affect the services offered to the clients.

- For any fees paid to the clients/ speakers, we need these details in advance (before the roadshow). Otherwise, it will not be entertained by the accounts department.
- We will book the car for the guest, but employees are requested to use corporate OLA, or local taxi for meetings, or we will arrange the vehicle at the office with prior permission, and the employee can come to the office and go for the meeting.
- The lunch/ dinner for any important client meeting or any special speaker can be arranged at any five-star hotel, with the prior permission from HOE; for others, please refer to the lunch policy.
- The permission required for the number of persons who will attend the lunch meeting should be mentioned in the mail to HOE/HR & admin team.

Roadshow Organized by

Name _____

Signature _____

Approved by: MD Purvag Shah/HOE Amit Khurana

Performance Management System



Purpose

The performance appraisal process provides a means for discussing, planning, and reviewing each employee's performance.

The performance appraisals influence salaries and promotions, and supervisors must be objective in conducting performance reviews and assigning overall performance ratings.

The performance of the employees will be judged on KRAs and other behavioral competencies. At Dolat Capital, performance appraisal is conducted yearly.

Every employee is given a set of KRAs in consultation with the respective head of departments/teams.

Each employee is evaluated based on his/her performance, with respect to the pre-determined KRAs. The performance incentives and performance awards are disbursed on the basis of the performance appraisal of the employees.

Salary Increases

A performance appraisal does not always result in an automatic salary increase. The employee's overall performance and salary level relative to position responsibilities must be evaluated to determine whether a salary increase is warranted. The management must preapprove an out-of-cycle salary increase.

Employee Conduct and Performance

All employee's must: -

- Report to work as scheduled and seek approval from their supervisors in advance for any changes to the established work schedule, including leave and late arrivals and departures.
- Perform assigned duties and responsibilities with the highest degree of public trust.
- Devote their full effort to job responsibilities during work hours.
- Demonstrate respect for the organization and toward co-workers and clients.
- Use company equipment, time, and resources judiciously and as authorized.
- Support effort that ensures a safe and healthy work environment.
- Utilize leave and related employee benefits in the manner for which they were intended.

- Resolve work-related issues and disputes in a professional manner and through established business processes.
- Meet or exceed set job performance expectations.
- Make work-related decisions and take actions that are in the best interest of the company.

Employee Misconduct

Every employee is expected to act in a professional, responsible, and courteous manner always. Such behavior fosters a positive and productive working environment. Conversely, inappropriate or unprofessional behavior is disruptive and unproductive. Moreover, improper conduct is cause for discipline, up to and including immediate termination. Of course, in this manual's context, the company cannot identify all unacceptable standards of conduct. Again, the company demands that employees act professionally and courteously.

We expect that employees will use common sense and good judgment in achieving this goal. However, the company's decision, and not that of any individual employee, is the benchmark for what is acceptable and not. An employee's conduct is not made acceptable solely because the employee believes it to be. Nor may an employee excuse his or her behavior, because this manual does not explicitly prohibit the objectionable conduct. The company expects that employees recognize that inappropriate conduct, from rudeness to theft, is unacceptable. The decision as to what is inappropriate is left in the company's hands and sole discretion.



EXIT POLICY

Resignation/Termination

Resignation, retirement, and termination are different terms of a detachment of employees from the organization in different situations.

Resignation

Resignation is the term used when an employee leaves the organization for any reason, which may include better opportunity or any other personal rights.

Termination

Employers do termination for employee which occurs, due to any unethical behavior or non-performance. Due to a breach of the code of conduct or performance-related concerns, the company may initiate a disciplinary process leading to employee separation. The employee needs to complete all exit formalities and leave the organization with immediate effect without serving a notice period. In such cases, the employee does not receive a relieving letter, only the termination of service letter is provided, whereas full and final settlement is carried out at the end of the month.

Resignation Process

The employee resigning from the company services must submit the resignation to the immediate head, HOE, and HR.

Notice period

The notice period for all the employees shall be three months.

- In case an employee wants an early relieving, full/partial buy out of notice period can be opted for by an employee.
- Any leaves beyond those pro-rata allowed leaves as per resignation date shall extend the notice period accordingly.
- The employee must maintain punctuality and attendance during the notice period.
- Management reserves the final discretion regarding relieving the employee.

Handing over the Charges

After the resignation letter is accepted, the employee will receive a communication by the immediate head/HR department about his relieving date and handing over the charge/important document /files to the appointed person by the direct head.

Full and Final Settlement

On receipt of the resignation letter, further processing will be done, and within ONE month from the last date of working, a full and final settlement statement will be forward

Service Certificate

The HR will provide a service certificate to an employee after receiving all the clearance from all the departments.

Exit Interviews

The employment termination is carried out according to the exit booklet, which requires the employee to submit the customer contact lists, return the company assets, and sign-offs from all the departments. The employee is required to go through an exit interview conducted by HR.

Revision of the Policy

The company reserves the right to revise, modify any, or all clauses of this policy depending upon the demand of business.

Explanation of the policy

The HR department will be the sole authority to interpret the content of this policy.

Revision History

Date of change	Responsible	Summary of Change
01st April 2019	HR & Admin Department	Updated & Converted into new Format
30th August 2020	HR & Admin Department	Updated & Converted into new Format