

# **Compliance Guide**

This Compliance Guide outlines internal rules and procedures that ensure regulatory and ethical conduct within the firm.

**1. Know Your Client (KYC):**

- Advisors must verify client identity and document source of funds.
- Risk tolerance and investment objectives must be recorded before any investment.

**2. Anti-Money Laundering (AML):**

- All transactions are screened for suspicious activity.
- Reports of unusual behavior must be escalated to the Compliance Officer.

**3. Conflict of Interest:**

- Employees must disclose personal holdings and refrain from front-running trades.

**4. Recordkeeping:**

- All communications and transactions must be archived for at least five years.