

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.