

1

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **ANNUAL ETHICS & COMPLIANCE ATTESTATION**  **PART D: ATTESTATION FORM**  All Coronation Insurance employees, directors, temporary staff have the responsibility to be aware and comply with the letter and spirit of all policies, procedures, guidelines and regulatory requirements. They are to conduct all Insurance and investment business in accordance with the ethical standards, laws and regulations governing its operating environment locally and internationally. These include but not limited to the following:     |  |  |  | | --- | --- | --- | | **S/N** | **Policy** | **Content** | | 1 | Employees Code of professional conduct | Employees of the Company must abide by the norms, ethics and stipulated conduct as contained in the Staff Handbook and Code of Conduct Policy as long as they remain in the employment of the Company. | | 2 | Compliance with the AML/CFT/KYC policies and other regulations | Coronation Insurance expects its employees to abide by the AML/CFT/KYC laws, guidelines, policies and procedures as contained in the Compliance manual and other Local and International regulations. No member of staff or Executive Management of the Company shall victimize in any way an employee for testifying, assisting, participating, or declining to participate in any manner in an investigation on AML/CFT matters to the Nigerian Financial Intelligence Unit (NFIU), Regulator and Law Enforcement Agencies. | | 3 | Market Abuse and Insider Dealing policy | Coronation Insurance has established guidelines on which its employees are permitted to trade in money and capital market instrument and expects them to abide by it. | | 4 | Ethics and Conflict of Interest policy | The employee of Coronation Insurance should not engage, without prior approval of the Company in writing in any business for which the Company is licensed such as currency dealing, lending, financial advisory services etc. | | 5 | Anti-Corruption policy | Coronation Insurance has set out principles on bribery and corruption and provided information and guidance to staff on how to recognize and deal with the issues. | | 6 | Policy on Activities on Staff Accounts | |  | | --- | | Employees of the Company must abide by the required ethical conduct as contained in the Policy on Activities on Staff Accounts.  All accounts where a staff is a signatory or joint signatory should be declared to Compliance Advisory & Support Unit. |   Staff members are required to declare the accounts of their spouses or any other related accounts to the Compliance Advisory & Support Unit and declare their interest in other companies and /or companies, which have relationship with the Company or competitors to Human Resources (HR). | | 7 | Group Information System Security Policies | The purpose of this policy is to establish management’s criteria for accessing the Company’s information and information systems, in order to forestall uncontrolled or unauthorized access that may result in security breaches, or the misuse of corporate resources. | | 8 | Gift Policy | The purpose of this policy is to educate staff on the stand of the Company with respect to accepting Gift from Customers and the Company’s position on giving out gift to its customers. | | 9 | Related Persons | If existing staff become relatives by virtue of marriage or where a relative joins the Company, the staff must declare the relationship immediately. The employment of relatives in the same area of the Group may cause conflicts and problems, real or perceived. |     **Declaration:**    I Egbe Kehinde Oaveshe with staff ID \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ do declare that I have read and understood, and will abide by the Ethics, Anti-bribery and Corruption Policy, and other related policies and procedures of the Company and other regulations relating to the Insurance business and pledge to be in observance of them all.   |  |  |  | | --- | --- | --- | |  |  |  | | **Name: Egbe Kehinde Ozaveshe**  **Signature:**  **Date: 13/01/2022** |  |  | |
|  |

Bottom of Form