



Policy for Branch & Authorized Person Audits

Policy Reviewed on 04/04/2023:- By AJAY GANGWAL (Designated Director)

We have designated a Compliance team which is headed by the Compliance Officer for periodic inspection of Authorized Person & our branch office Audit on periodic basis once in a year.

The Branch / Authorized Person audit covers areas like No Cash dealings with clients, Check whether any illegal or unauthorized activity is being carried out at the said location, Operation of trading terminals, Advertisement are issued only after due permission from head office and/or Exchange, Display of notice board and SEBI registration certificate, etc.

We ensure that all the areas as per the exchange norms are covered under the inspection. After the inspection a report is provided to concerned office with findings of the inspection along with the suggestions for better compliance.

We have appointed Mr. AMIT KUMAR (Compliance Officer) for conducting the internal audits as per the exchange norms.

Findings & suggestions of the Internal Auditors are referred to audit committee which is designated to comply with the findings of the internal & rectify the discrepancies if any found

For Siddhartha Commodities Pvt. Ltd.

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Ajay Gangwal

Director

(Director)