

Risk Management Policy : ASQI Investment Managers Pvt Ltd

1. Purpose and Scope

Purpose: To outline the framework and procedures for identifying, assessing, managing, and monitoring risks to ensure the company's objectives are met and to safeguard its assets, reputation, and stakeholders.

Scope: Applies to all departments, employees, and activities within the company.

2. Risk Management Objectives

Identify and evaluate risks systematically.

Implement effective measures to manage risks.

Ensure compliance with legal and regulatory requirements.

Promote a risk-aware culture within the organization.

Protect the company's assets and ensure business continuity.

3. Risk Management Framework

Risk Identification: Processes to identify potential risks across various areas such as operational, financial, strategic, legal, and technological.

Risk Assessment: Evaluate the likelihood and impact of identified risks using qualitative and quantitative methods.

Risk Mitigation: Develop strategies to manage risks, including avoidance, reduction, sharing, and acceptance.

Risk Monitoring and Reporting: Continuously monitor risks and the effectiveness of mitigation measures, and report on risk status to management and stakeholders.

4. Roles and Responsibilities

Board of Directors: Oversight of the risk management framework and ensuring its alignment with the company's strategic objectives.

Risk Management Committee: Develops and implements risk management policies and procedures.

Executive Management: Ensures that risk management practices are integrated into daily operations and decision-making processes.

Risk Officers/Managers: Conduct risk assessments, implement mitigation plans, and monitor risk levels.

Employees: Understand and comply with the risk management policy, and report any potential risks.

5. Risk Categories

Operational Risks: Risks arising from day-to-day operations, including process failures, human errors, and system breakdowns.

Financial Risks: Risks related to financial loss, including market fluctuations, credit risks, and liquidity issues.

Strategic Risks: Risks associated with high-level decisions that affect the company's long-term objectives, including competition and market changes.

Compliance Risks: Risks related to legal and regulatory compliance, including data protection and intellectual property rights.

Technological Risks: Risks related to technology development and deployment, including cybersecurity threats and technological obsolescence.

6. Risk Assessment Process

Identification: Use tools like SWOT analysis, checklists, and brainstorming sessions.

Analysis: Assess the potential impact and likelihood of risks using risk matrices.

Evaluation: Prioritize risks based on their potential impact on the company.

Treatment: Develop and implement plans to manage high-priority risks.

7. Risk Mitigation Strategies

Avoidance: Eliminate activities that generate risk.

Reduction: Implement measures to reduce the likelihood or impact of risks.

Sharing: Transfer risks through insurance or partnerships.

Acceptance: Acknowledge the risk and decide to bear the impact.

8. Monitoring and Review

Regularly review and update the risk management policy.

Conduct periodic risk assessments and audits.

Monitor key risk indicators and report findings to senior management.

Update risk mitigation strategies as necessary.

9. Communication and Training

Promote awareness of the risk management policy through regular training sessions.

Ensure open communication channels for reporting and discussing risks.

Provide ongoing education to employees about emerging risks and best practices in risk management.

10. Documentation and Reporting

Maintain comprehensive records of risk assessments, mitigation plans, and monitoring activities.

Regularly report on risk management activities to the Board of Directors and stakeholders.

Ensure transparency in risk management practices and decisions.

11. Policy Review and Updates

Review the risk management policy annually or as necessary.

Update the policy to reflect changes in the company's operations, regulatory environment, and industry best practices.

Seek input from stakeholders during the review process.

For

ASQI Investment Managers Pvt Ltd



Authorized Signatory

