

# **Keynote Corporate Services Limited**

## **Risk Management Policy**

# KEYNOTE CORPORATE SERVICES LIMITED

## RISK MANAGEMENT POLICY

At Keynote Corporate Services Limited (KCSL), we believe that an effective Risk Management process is the key to sustained operations thereby protecting Shareholder value, improving governance processes, achieving strategic objectives and being well prepared for adverse situations or unplanned circumstances, if they were to occur in the lifecycle of the business activities. KCSL ensures implementation of effective Enterprise Risk Management by following prescribed Risk Management Framework and Processes.

### Background

KCSL is a SEBI registered Category I Merchant Banker with 'Permanent' registration. The functioning of KCSL primarily falls within the regulatory framework concerning capital market and other related business activities. Thus assessing regulatory risk is of paramount importance besides other commercial and business risks associated with the organization.

Keeping such background in mind, following framework and processes are followed:

- Utmost care is taken at the time of accepting assignment of any nature. Due diligence about the prospective client, their business, their background is carried out. While all the executives and employees may assume the role of marketing, the process of accepting assignment essentially involves following important steps :
  - Understanding the nature of business and requirement of prospective client by verification of financial & other corporate data.
  - Meeting with the prospective client at the top management level.
  - Visiting the facilities /offices.
  - A "Proposal Evaluation Sheet" is made in a prescribed format for consideration by senior management.
- The senior management team comprising of Whole Time Directors shall evaluate and understand the requirements of the clients, feasibility of completing the assignment and also finalizing the compensation structure. On the satisfactory understanding of clients and nature of services being provided by the company, standard Engagement Letter in respect of each activity are being executed.
- There are standard documentation manuals and process structures implemented for the execution team to carry out the transactions. The internal structure regarding execution of documents, signing of certificates and communications with regulatory authorities, clients is followed.

