

Employee Code of Conduct Policy

Annexure B

1. General Conduct:

a. Office Environmental Behaviour:

- By adhering to the following guidelines, we contribute to a positive work atmosphere and uphold our values of respect, professionalism, and environmental consciousness.
- **Communication:** Maintain clear, concise, and respectful communication with colleagues, supervisors, and other stakeholders. Promptly respond to emails and messages within a reasonable timeframe.
- **Punctuality:** Arrive at the office on time and adhere to scheduled meetings and appointments. If unforeseen circumstances arise, notify your supervisor or appropriate parties in advance.
- **Unavailability Reporting:** Avoid being unavailable during office hours, even if you need to take a long break, arrive late, or leave early. Always seek permission from your supervisor for any deviations from regular work hours.
- **Meeting Etiquette:** Participate actively and contribute constructively during meetings. Avoid side conversations, and ensure that all attendees have an opportunity to express their views.
- **Professional Appearance:** Present yourself in a professional manner by adhering to the company's dress code policy. Maintain a neat and appropriate appearance that aligns with our values.
- **Respectful Interactions:** Treat all colleagues and office staff with kindness, consideration, and professionalism, fostering a respectful and collaborative atmosphere.
- **Collaboration:** Foster a collaborative environment by sharing ideas, providing feedback, and supporting team members. Embrace diversity of thought and encourage open dialogue.
- **Flexibility and Adaptability:** Demonstrate flexibility in adapting to changing work demands, assignments, or projects. Be open to taking on new responsibilities and challenges.
- **Responsible Resource Usage:** Utilize office belongings and resources responsibly. Report any misuse, loss, theft, or damage of firm assets promptly to the designated authority.
- **Authorized Use of Resources:** Use company resources, including equipment, supplies, and facilities, solely for authorized business purposes that support our operations and objectives.
- **Data Confidentiality:** Safeguard the confidentiality of proprietary information, client data, and sensitive materials. Adhere to procedures for secure handling and disposal of confidential information, both in digital and physical formats.
- **Reporting Misuse and Loss:** Report any instances of misuse, loss, or theft of firm assets to the appropriate authority in a timely manner.
- **Personal Calls and Breaks:** Limit personal calls and breaks to appropriate times. Use break areas for relaxation, and ensure that breaks do not disrupt your work or colleagues. Also avoid taking a lot of breaks or long break other than lunch.
- **Guest and Visitor Protocol:** Welcome guests and visitors professionally. Notify the appropriate parties of their arrival and ensure they are accompanied as needed.
- **Maintain Cleanliness:** Ensure that your workspace and its surroundings are kept clean and clutter-free. Dispose of waste materials properly and use designated bins for recycling and trash.
- **Lunch Etiquette:** Consumption of meals and snacks is strictly prohibited within the workplace. We encourage you to utilize the designated cafeteria or break areas for dining to maintain a hygienic and tidy workspace.
- **Mobile Phone Usage:** To minimize distractions and ensure focused work, the use of mobile phones for personal matters is not allowed within the office premises.

- **Refrain from Discrediting Activities:** Uphold the reputation of yourself and the company by avoiding any activities that may bring discredit to either party, both during work hours and outside the workplace.
- **Alcohol, Smoking, and Intoxication:** Consumption of alcohol, smoking, or any form of intoxicated substances within the office premises is strictly prohibited to ensure a healthy and focused work environment.
- **Sustainable Practices:** Embrace sustainable practices such as reducing paper usage, conserving energy, and minimizing waste generation to contribute to our environmental goals.
- **Shared Spaces:** Maintain the cleanliness and orderliness of shared spaces such as meeting rooms, kitchenettes, and break areas. Clean up after use to ensure a pleasant environment for all.
- **Printing Efficiency:** Minimize printing and paper usage by opting for digital communication, double-sided printing, and efficient use of paper resources.
- **Recycling Efforts:** Actively participate in office recycling programs by properly sorting recyclable materials like paper, plastics, glass, and aluminum.
- **Reduction of Single-Use Plastics:** Support our commitment to reducing single-use plastics by using reusable containers, water bottles, and eco-friendly alternatives.
- **Energy Conservation:** Contribute to energy conservation by turning off lights, computers, monitors, and other electronic devices when not in use.
- **Natural Light Usage:** Make efficient use of natural light and adjust window blinds to minimize the need for artificial lighting.
- **Noise Awareness:** Be considerate of noise levels in shared spaces, and avoid disruptive behaviour that may disturb colleagues' work.

b. Working Hours and Breaks:

- Working hours for all employees will be 10:00 AM to 6:00 PM with half an hour lunch break at 2:00 PM (Monday to Friday). You may be required to work flexible hours as per job requirements.

The time mentioned may change at any time as decided by the management.

- You may be asked to work on a non-working day depending upon the workload. And it will be considered as a working day and non-availability on that day will be marked as absent.
- Other than lunch break employees can take 15 minutes refreshment break once a day.

c. Annual Leave/ Holiday:

- Annual Leave: 12
- Sick Leave: As per medical requirements.
- Special Leave for female employees: 1 leave/month
- Holidays: As per the shared holiday list

d. Leave Application and Absconding:

- You are required to inform through mail about any kind of planned leave at least 3 days prior to the leave. You will be entitled to leave only after approval from your reporting manager.
- In case of any emergency leave, it is expected to inform the management before the opening of office working hours and latest by 12.00 pm.
- In case of Sick leave for more than 2 days, a medical report is required to claim for the same.
- In case of planned/unplanned leave on Monday/ Friday you will be required to work on the weekend.

- In case of absence for more than 3 days without information. It may be termed as absconding and strict action may be taken like suspension from duties or termination.
- In case of leave just before or after weekends or holidays, all the days will be considered unpaid leave.
- In case of continuous leaves or holidays for more than 3 days on weekdays you will be required on the weekend.
- No work from home will be allowed on request. However, the management may decide to grant work from home in certain extraordinary situations.

e. Proper Attire:

Please dress in a manner that reflects professionalism and respect for the workplace. The following items of clothing are not permitted:

- Short dresses or skirts that are above knee-length
- Pyjamas or sleepwear
- Revealing or excessively tight clothing
- Beachwear, swimwear, or similar attire
- Slippers, flip-flops, or Crocs
- Overly casual or flashy clothing items

f. Honesty and Integrity:

- We expect all employees to act with honesty and integrity in all their interactions and decisions.
- Avoid misleading or providing false information to clients, colleagues, or stakeholders.
- Maintain accurate records and ensure transparency in all financial transactions.

g. Respect and Professionalism:

- Treat all individuals with respect, fairness, and dignity, regardless of their position, background, or beliefs.
- Foster a workplace that is free from discrimination, harassment, or any form of offensive behaviour.
- Promote teamwork, collaboration, and open communication among colleagues.

h. Confidentiality and Data Protection:

- Safeguard confidential and proprietary information of clients, employees, and the Firm.
- Respect client privacy and adhere to data protection laws and regulations.
- Use Firm resources and data only for authorized purposes and protect them from unauthorized access or disclosure.
- Respect and protect the privacy rights of clients, employees, and stakeholders.
- Comply with applicable data protection laws, such as the General Data Protection Regulation (GDPR) or local data privacy regulations.
- Any breach of Data Confidentiality may attract legal prosecution.

i. Responsible Use of Resources:

- Utilize Firm resources, including equipment, software, and facilities, responsibly and efficiently.
- Avoid excessive or personal use of Firm resources that may interfere with work productivity or violate Firm policies.

- Report any misuse or unauthorized access of Firm resources promptly.

j. Compliance with Policies and Procedures:

- Familiarize yourself with and adhere to all Firm policies, procedures, and guidelines.
- Report any suspected violations of policies or unethical behaviour through appropriate channels.
- Seek guidance from relevant departments or supervisors when uncertain about the application of policies.
- Any business engagement with rival entities will be punishable or even attract legal prosecution.

k. Ethical Financial Practices:

- Follow ethical financial practices and avoid engaging in fraudulent or deceptive activities.
- Ensure accurate and transparent financial reporting, in compliance with accounting standards and regulations.
- Maintain proper documentation and record-keeping practices to support financial transactions.

l. Continuous Learning and Development:

- Embrace a commitment to ongoing learning, professional development, and staying updated with industry trends, regulations, and best practices.
- Actively participate in training programs and opportunities provided by the Firm.
- Firm will promote the learning aspirations of all interns and employees through finance and flexible working hours.

2. Employee Rights:

a. Equal Employment Opportunity:

- Promote a workplace that values diversity and prohibits discrimination based on race, colour, religion, gender, sexual orientation, national origin, age, disability, or any other protected characteristic.
- Ensure fair and equal treatment in all aspects of employment, including hiring, promotion, compensation, and access to training and development opportunities.

b. Harassment and Bullying:

- Prohibit all forms of harassment, including sexual harassment, bullying, and any behaviour that creates a hostile or intimidating work environment.
- Encourage employees to report any incidents of harassment and provide multiple reporting channels to ensure their concerns are addressed promptly and confidentially.

c. Freedom from Retaliation:

- Safeguard employees' rights to raise concerns, make reports, or participate in investigations without fear of retaliation.
- Prohibit any form of retaliation against employees who assert their rights or participate in protected activities.

d. Privacy and Personal Data Protection:

- Respect employees' privacy rights and protect the confidentiality of their personal information.
- Comply with applicable data protection laws and regulations regarding the collection, storage, and use of employees' personal data.

e. Compensation and Benefits:

- Provide fair and competitive compensation that complies with legal requirements and industry standards.
- Clearly communicate the components of employee compensation, including wages, benefits, incentives, and any eligibility criteria.

f. Health and Safety:

- Provide a safe and healthy work environment, free from hazards and potential risks.
- Comply with applicable health and safety regulations, implement preventive measures, and provide necessary training and protective equipment to employees.

g. Grievance Procedures:

- Establish fair and transparent grievance procedures that allow employees to raise concerns or complaints and have them addressed in a timely and impartial manner.
- Communicate the steps involved in the grievance process and provide access to designated individuals or committees responsible for handling grievances.

3. Professionalism and Client Relations:

a. Providing High-Quality Service:

- Strive to deliver exceptional service to our clients, meeting their needs and exceeding their expectations.
- Maintain a professional and courteous demeanour when interacting with clients, demonstrating respect and attentiveness.
- Respond promptly and effectively to client inquiries, concerns, and requests.

b. Conflict of Interest:

- Avoid conflicts of interest that may compromise the best interests of clients or the integrity of our services.
- Disclose any actual or potential conflicts of interest to the appropriate channels.
- Take appropriate measures to mitigate conflicts of interest and ensure fair and unbiased decision-making.
- Act in the best interests of clients and prioritize their needs above personal gain or the interests of the Firm.
- Avoid favouritism or biased treatment towards certain clients over others based on personal relationships or financial interests.

c. Fair Competition and Anti-Competitive Practices:

- Compete fairly and ethically in the marketplace, respecting the principles of fair competition.
- Refrain from engaging in anti-competitive practices, such as price fixing, collusion, or unfair trade practices.
- Uphold intellectual property rights and avoid unauthorized use or misappropriation of competitors' confidential information.

d. Transparency and Disclosure:

- Provide clients with clear and accurate information about our services, fees, and potential risks.
- Disclose any material information that may affect clients' decision-making process or their understanding of our services.
- Maintain transparency in client communication, ensuring that clients are informed about relevant updates and changes.

e. Insider Trading:

- Strictly adhere to laws and regulations governing insider trading.
- Do not engage in trading activities based on non-public, material information or share such information with others.
- Report any suspicious or potential insider trading activities to the designated compliance officer.

f. Fiduciary Duty:

- Recognize and fulfil our fiduciary duty to act in the best interests of our clients.
- Prioritize the interests of clients above personal gain or the interests of the Firm.
- Provide unbiased advice and recommendations that align with clients' financial goals and objectives.

g. Professional Development and Continuous Learning:

- Continuously enhance our professional knowledge, skills, and expertise to deliver the highest level of service to clients.
- Stay updated with industry trends, regulatory changes, and best practices through ongoing training and professional development opportunities.
- Seek relevant certifications and accreditations to demonstrate competence in our field.

4. Compliance and Review

a. Compliance Monitoring:

- The compliance officer will be responsible for monitoring and ensuring adherence to the Code of Conduct and related policies.
- Regular audits and assessments will be conducted to assess the effectiveness of the Code and identify areas for improvement.

b. Updates and Amendments:

- The Code of Conduct will be reviewed periodically to ensure its relevance and effectiveness.
- Updates and amendments will be made as necessary to reflect changes in laws, regulations, or industry standards.

c. Employees' Acknowledgment:

- All employees are required to acknowledge receipt and understanding of the Code of Conduct and its policies.
- New hires will sign a statement of acknowledgment during their onboarding process, and existing employees will be required to reconfirm their understanding periodically.

5. Conclusion:

At Finace India, we are committed to maintaining the highest ethical standards and fostering a culture of integrity and responsibility. Our Code of Conduct serves as a guiding document that outlines the expectations and responsibilities of every employee. By adhering to this Code, we demonstrate our dedication to providing excellent service, safeguarding confidentiality, and upholding the trust of our clients and stakeholders.

This Code of Conduct is not exhaustive and should be read in conjunction with other firm policies and guidelines. If you have any questions or concerns about the Code of Conduct or require further clarification, please reach out to the designated compliance officer or the human resources department.



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