



PT CLSA Sekuritas Indonesia

### **Function and Policy on Compliance**

The primary function of Compliance is to ensure that CLSA complies with the rules and regulations governing its business and that the business is aware of and appropriately adapts to new rules and regulations.

The function requires, on an on-going basis, a hands-on approach which includes pro-active education, monitoring and assessment to identify and resolve compliance issues. It also acts as an advisory function to provide background and information on relevant regulation and its impact on the business.

CLSA Compliance Officer is empowered with rights and authority such as access to all staff and business units and to request any information, including but not limited to reports and relevant documents from any person on a compliance matter without limitation.