



ABL Asset Management

Discover the potential

KEY ELEMENTS OF SIGNIFICANT POLICIES

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1 - Risk Management Policy & Framework

Section 1: Scope

The scope of risk policy cover following areas;

- Risk governance
- Risk categories and frame work.

Section 2: Governance

- 2.1 Responsibilities of Board of Directors
- 2.2 Risk Management Committee (RMC)
- 2.3 Role and Responsibilities of Risk Management Department (RMD)
- 2.4 RMD Organogram & Job Description of Head of Risk Management
- 2.5 Principles of Risk Management

Section 3: Risk Categories & Framework

- 3.1 General: The broad categories of risk are defined below;
 - Strategic
 - Portfolio
 - Operational
- 3.2 Market Risk
- 3.3 Credit Risk
- 3.4 Liquidity Risk
- 3.5 Operational Risk

Section 4: Annexures

- 4.1 Terms of Reverence

2 - CORPORATE GOVERNANCE POLICY

Section 1: Introduction

Section 2: Responsibilities of the Board of Directors

Section 3: Committees of the Board

Section 4: Constitutional Documents

Section 5: Integral part of policy;

- Code of Conduct
- Whistle Blow Policy & Procedure
- Board Evaluation Mechanism
- Board Orientation Mechanism
- Level of Materiality

Section 6: Disclosure and Communications;

Timely, accurate and complete disclosure of all material information about the ABL AMCL and to providing fair and equal access to such information.

Section 7: Applicability of the Policies
Section 8: Review and Approval
Section 9: Modification and Amendments

3 - Whistle Blow Policy

Section 1: Scope and objective
Section 2: Applicability
Section 3: Definitions relating to whistle blowing
Section 4: Policy Statement on whistle blow
Section 5: Procedures of whistle blow
Section 6: Resolution/Closure of Complaints
Section 7: Record Retention of Complaints

4 – Asset Manager Code of Professional Conduct

Section 1: Introduction
Section 2: General Principles of Conduct
Section 3: Asset Manager Code of Professional Conduct
Section 4: Appendix. Recommendations and Guidance

5 - Directors' Remuneration/ Meeting Fee of ABL Asset Management

Company Limited

- Directors' Remuneration/Meeting Fee of ABL Asset Management Company Limited.
- Directors traveling, hotel and other expenses incurred in attending and returning from meetings.
- Fee of directors who are in service with ABL AMC.