

## **Chief Compliance Officer (CCO)**

### **Roles and Responsibilities:**

1. Responsible for the governance of compliance risks.
2. Formulate and implement compliance and other policies such as prevention of front running, whistle blowing policy, record retention policy, outsourcing arrangements etc. in accordance with SEBI risk management framework and approved by the Board of AMC and Trustee
3. Review and suggest changes in the policies and obtain approval from Board of AMC and Trustee
4. Ensure identification and communication of regulatory updates to the respective functions and CXOs and monitor implementation.
5. Provide inputs to CRO to define risk threshold and risk appetite of Compliance
6. Define and delegate roles to the key personnel within the compliance function for identifying and reporting risks
7. Provide relevant information to CRO regarding monthly / quarterly risk reporting to the Committees
8. Identify, analyse and report relevant functional risks to the CRO and CEO along with recommended action plan Ensure escalation of such incidents as per the escalation matrix approved by CRO.
9. Review the risk level for the functional risk is in accordance with the approved risk threshold and risk metric
10. Formulate, review and update the RCSA for key Compliance risks and controls
11. Perform and report outcomes of periodic testing of the RCSA to CRO
12. Identify and implement corrective actions / recommend action plans for deviations in the controls and present to CRO/ CEO
13. Ensure adherence to the SEBI risk management framework
14. Ensure timely submission of regulatory reports to the Regulator and Board of AMC and Trustee as prescribed by the SEBI Mutual Funds Regulations.
15. Monitor the following scheme related disclosures -
  - a. Disclosure of credit (quality of investments made mainly debt based on the credit rating), counterparty, investment and other risks associated with the scheme to the investors
  - b. Scheme's risk profile is stated in all communications with investors including in the SID and marketing materials
  - c. Incorporate any other elements of risk appetite as may be stipulated by AMCs and Trustees in SID.

16. Implement process for performing compliance check of AMC's marketing materials (collateral, brochures etc.), website uploads, digital advertising, and performance advertising etc. before its usage.
17. Ensure that roles and responsibilities as per the RMF is disclosed on the AMC website