

Circular No. : 2016-17/02

Dated: 17.01.2016

Legal Documents

As a part of the Corporate Governance framework for SequelOne group entities, new control procedures have been initiated; these procedures will be effective from date of their issue (of related circular) and will cover all unsettled transactions on date of issue (of the circular).

SequelOne group is expanding and will continue to expand through creation of new firms, business offices and basket of products and services offered to varied customer segments. SBUs (Strategic Business Units), Branch offices and designated individuals receive varied legal documents including statutory notices/demands/orders, Request for information, Request for quotation, Tender documents etc.

In order to manage and ensure in-time organization response to such documents to avoid any financial or legal exposure to the firm, it has been decided that all recipients of such documents will adhere to the following protocol:

1. **SequelOne group - Statutory notices/demands/orders:** The recipient will immediately date stamp the document (except in case of documents received through emails) and will send a soft copy (through email) to Point of contact (at Head Office), Accounts department (current point of contact: Saurabh Agarwal) and my office (current point of contact: Bharat Jain). Legal/accounts department will advise the recipient on owner and disposal of the document within 1 day in receipt;
2. **Business related documents – Client compliances, Request for information, Request for quotation, Tender documents** (or any other similar document): The recipient will date stamp the document (except in case of documents received through emails) and will send a soft copy (through email) to Location head, Relationship Manager, SBU Head and Point of contact (at Head Office), with a copy to Accounts department (current point of contact: Saurabh Agarwal) and my office (current point of contact: Bharat Jain). The SBU Head will lead the closure of the document and will ensure a synopsis of the document along with list of deliverables (including unique owner of each deliverable) is circulated to all concerned within 48 hours of the initial receipt of the document;