

# Internal Compliance Review

## Introduction & Scope

### Introduction

The purpose of this Internal Compliance Review document is to provide an overview of the procedures and methodology employed to assess adherence to internal policies and regulatory requirements. This review is designed to identify gaps, ensure operational integrity, promote best practices, and support organizational accountability.

Through a systematic evaluation of processes and controls, the Internal Compliance Review aims to enhance transparency and reinforce the organization's commitment to ethical operations and continual improvement.

### Scope

This review covers key business functions and departments as outlined in the annual compliance plan. Areas subject to evaluation include, but are not limited to:

- Adherence to internal policies and procedures
- Compliance with applicable laws and regulatory standards
- Effectiveness of risk management processes
- Accuracy and completeness of recordkeeping practices
- Employee awareness and training on compliance matters

The period under review and the specific processes examined are detailed in the subsequent sections of this document.

### Important Notes

- An Internal Compliance Review is not a substitute for external audits or regulatory inspections.
- Findings are based on the information and documentation available at the time of review.
- Recommendations should be implemented to address any identified gaps or weaknesses.
- This document should remain confidential and shared only with authorized parties.