



National Audit Office

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First Edge Ltd

Compliance Agreement

**First edge corporate governance in Traders and
Platforms central departments:
Code of good practice**

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Our vision is always to proceed wisely.

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Introduction

Our Compliance Officers find it helpful for any of our current or any new Platforms to complete this checklist as part of our procedures for assessing their compliance Investigation

The purpose of our Basic Compliance is to give good corporate governance presentation to our Partnering Company or Associated Company, this also builds a record of relayed updates along with a greater engagement with First Edge compliance checks, as well as an enhanced role for any non compliance-executive,

Our Compliance Team principles-base is incorporated with the most current and relevant procedural policies on how they should be implemented under the guide of the SEC Laws, along with other supporting provisions which may covering other several key areas: compliance letter of authority to verify; accountability; the role of board of directors; board composition; board effectiveness; risk management; other arm's-length associated bodies.

ALL First Edge's departments are required to comply with the firm's policy set that's out, and to adhere to the principles and supporting provisions. Recognising that one size never fits all, that's exceptionally, departments may choose to explain and describe, in their alternative measures has been put in place with similar effect to a principle or supporting provision – the “comply or explain” mechanism.

This focus is always changed and compiled by our compliance department. However, non-compliance departments and arm's length bodies should adopt and adhere to the extent that it is practical, appropriate and not incompatible with any statutory or other authoritative requirements.

How to proceed with this checklist

We can use this Code of Good Practice Agreement to help assess and record any known adherence information for future checks. We have structured our compliance checklist around the required key areas presenting each element of it as a statement against which organisations can record whether they have complied with our good code of practice by entering an explanation in any cases of non-adherence to any principle or supporting provision. A further section allows organisations to record a comment or a 'not applicable' judgement against a statement. At the end of each section there is scope for first edge to draw its overall conclusion as to whether it has complied with a particular section of the Good Code of Practice.

Whilst this Agreement only focuses on Traders and Platform Banks/Institution, it also provides a hard framework which our directors can use as a point for any future assessment.

This **Code of Good Practice Agreement** must be accompanied and returned with the signing off with our **Confidentiality and Discloser Agreement**.

Code of Good Practice (V546)

Compliance Traders and Platform Agreement



Accountability Section

	Yes	No	Comment or N/A
First Edge Principles Traders and Platforms, Liabilities			
<p>1.1 The Head of Our Compliance department is responsible and answerable only to the directors of First Edge or any of our partnering institutional associated groups; this position is to exercise the powers of verification to traders and platforms also other known entities who represents a principle administrative representation role, for all the policies, procedures, decisions and actions of their position, including any outside arms - length connected bodies they might be connect to.</p> <p>If Agreeable nor not please state</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<p>1.2 The potential qualified Asset Managers, Traders, Trade Platforms and Regulated Entities ("Confidential Sources") is personally responsible and accountable to each Private Placement Program or any monetisation from any organisation presented to First Edge, No indebt information of any of our clients or institution will be released until all in-house compliance regulatory checks of the Traders - Platforms has been fully completed and presented to our board or the partners or institution we represent , upon qualification First Edge will start releasing all the required financial and procedural documentation to proceed under the stewardship of First Edge, along with any revised updated documentation than might be required to close each required transaction.</p> <p>If Agreeable nor not please state</p>	<input type="checkbox"/>	<input type="checkbox"/>	
Supporting Provisions of Agreement			
<p>1.3 It is required for each Representative of qualified Asset Managers, Traders, Trade Platforms and Regulated Entities ("Confidential Sources") to define their full standing status of responsibility of any (monetisation and Program) which is delivered to First Edge for reviewing or to engage on, along with a name of he or she has devolved responsibility to proceed under the confirmation of the Trader or Platform.</p> <p>If Agreeable nor not please state</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>1.4 Any none first edge supervised staff (known as Intermediaries, Mandated Officers and Brokers), these parties are only answerable to the Asset Managers, Traders, Trade Platforms and Regulated Entities ("Confidential Sources") Principle Trader or Platform who released the information and not to first Edge.</p> <p>If Agreeable nor not please state</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>1.5 All non-supervised staff or representative consultants working under the guideline of First Edge will exercise zero powers of charge under the representation of First Edge the company and will remain unaccountable for any decisions making.</p> <p>If Agreeable nor not please state</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>1.6 All internal and external directions that are subject to public disclosure under the Freedom of Information Act 2000 were an appropriate request is made through the right channels through the FCA (financial Conduct Authority).</p> <p>If Agreeable nor not please state</p>	<input type="checkbox"/>	<input type="checkbox"/>	

Code of Good Practice (V546)

Compliance Traders and Platform Agreement



	Yes	No	Comment or N/A
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First Edge Policy

1.7 All Instrumental Pricing and Procedural Agreements along with the completion of First Edge's Compliance Checks shall be presented to the First Edge board of directors for a final review, which will then be presented before the said partnering institutions or associated groups for final consultation of approval.

1.8 All private related documentation or Confidential Information cannot be released without being fully authorised by any of our partnering institutions or associated groups who originally presented the information.

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|----|---|--------------------------|--------------------------|--|
| a. | Signed off below by the First edge's director who has the chair to proceed | <input type="checkbox"/> | <input type="checkbox"/> | |
| b. | Signed off below by the potential qualified Asset Managers, Traders, Trade Platforms and Regulated Entities ("Confidential Sources") to proceed | <input type="checkbox"/> | <input type="checkbox"/> | |