

UEXO GLOBAL MARKETS LLC

Business Activity:

**Securities & Financial Products Promotion
Introduction to Financial Services**

Governance Policy

Governance Policy

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Company Stamp



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Table of Content:

Contents

INTRODUCTION	4
1. Regulation	5
Responsibility	5
2. Corporate Functions	8
3. Rules of Board of Directors and Executive Management	8
3.1- Regulatory Requirement	8
3.2 The Board of Directors	9
3.3 Executive Management.....	9
3.4Senior Management	10
4. Structure of the Board	13
4.1 Regulatory Requirements.....	13
4.2Independence and Objectivity.....	13
5.Internal Governance of the Board	14
5.1Regulatory Requirements.....	14
5.2Meetings.....	14
5.3Chairman.....	14
5.4Company Secretary	14
5.5Resources of the Board of Director.....	15
5.6Committees	15
5.7Succession Planning.....	15
6.Remuneration Structure and Strategy	15
6.1 Regulatory Requirement	15
6.2 Remuneration Policy.....	16
6.3 Reporting of the Remuneration Policy.....	16

INTRODUCTION

We at **UEXO GLOBAL MARKETS L.L.C** with commercial license Number **1569040** issued by Dubai Economy & Tourism are confirming that we are seeking approval from the SCA to approve our Category 5 SCA application with reference number LIC-0011290 as arranging and advising with activities Promotion & Introduction that we are involved in with the SCA.

This Governance policy sets out the legal and regulatory requirements, as well as the related actions which UEXO(hereafter referred to as “UEXO or “the Company”) complies with to meet its obligations, around Governance policy, as a company licensed & Regulated by the Securities & Commodities Authority (“SCA”), UAE.

Sound corporate governance practices are integral to a company’s business activities and help to boost the company’s long-term performance. They provide a framework of systems, policies, procedures, and controls through which a company works.

Promotes the sound and prudent management of its business, protects the interests of its clients and stakeholders, and places clear responsibility for achieving the above on the Governing Body and its members and the senior management of the company.

Corporate governance, its mainly the system that company created in terms of Manual of HR, Risk, AML, Internal audit, client servicer, Sales script and all procedures, culture, and environment where these all together to be taken place to be implemented in the firm and in that was the company is directed and controlled.

In any corporate governance, we need to consider the main 4 factors that UEXO will depend on to apply corporate governance which is People, staff, performance, and purpose.

Implementation of Corporate Governance in UEXO, is to ensure that businesses have the appropriate decision-making processes and controls to ensure that all stakeholders’ interests (shareholders, employees, suppliers, customers, and the community) are balanced.

At the corporate level, governance involves setting and achieving the company’s goals while considering the social, regulatory, and market contexts.

In other words, this concept refers to practices and procedures for ensuring that a company runs in a manner to meet its objectives while ensuring that its stakeholders can have confidence that they can trust the company.

The Corporate Governance Institute (<https://www.thecorporategovernanceinstitute.com/>) is the home of good governance and believes that good governance is critical to improving the quality of decisions made by management.

The ability to make ethical and high-quality decisions is essential to building a sustainable business.

Governance Policy

The corporate governance code is a guide for board members and directors, setting out how they should approach governance in UEXO based on all agreed manuals and all agreed procedures.

This policy details the corporate governance practices UEXO which applies to all employees of the Firm.

1. Regulation

This policy is designed to ensure compliance with the applicable laws and regulations of the Securities and Commodities Authority “SCA” as well as compliance with high standards of corporate governance which requires:

An Authorized Firm must have a corporate governance framework as appropriate to the nature, scale, and complexity of its business and structure, which is adequate to promote the sound and prudent management and oversight of the Authorized Firm’s business and to protect the interests of its customers and stakeholders.

In addition, consideration has been given to international best practice and the G20/OECD Principles of Corporate Governance by covering the 6 key main areas of corporate governance framework which are as per below to make sure that ensuring the basis for an effectiveness corporate governance framework,

- the right of Shareholders, key person, and ownership functions.
- Equitable treatment of shareholders, UBO & any main owner
- The role of Shareholders & UBO in corporate Governance.
- The role of stakeholders in corporate Governance.
- Disclosure and Transparency
- The responsibility of the board

Responsibility

The Board of Directors (“Board”) is responsible for reviewing and approving this policy, at least annually, to ensure a continuous review of the internal structure of the Firm. Any changes to the policy should be recorded in the Version Control Change Register embedded in this document.

Shareholder represented by founders are the one who is in charge to hire the board and all 3rd party vendors like internal & external firms like auditors and consultancy to make sure that all manuals and procedures and rules are in place.

Why UEXO need Corporate Governance

At its core, corporate governance refers to the system of rules, practices, and processes by which a company is directed and controlled. It encompasses the relationships among various stakeholders, such as shareholders, management, employees, customers, suppliers, and the community at large. The goal of corporate governance is to manage the business to maximize long-term value while safeguarding the interests of all stakeholders.

In this blog post, we will demystify the concept of corporate governance, delve into its basic components, explore best practices, and highlight how corporate governance and corporate compliance intersect.

Importance of Corporate Governance:

Corporate governance is vital to a healthy company for a myriad of reasons, including:

- Providing a framework for effective decision-making and strategic planning
- Establishing accountability and transparency
- Fostering trust amongst employees and stakeholders
- Allowing organizations to adapt to changing market conditions.
- Enhancing a company's reputation
- Mitigating financial and reputational risks
- Promoting ethical behavior to ensure compliance with laws and regulations.

Benefits aside, corporate governance is especially important for what it prevents. Companies with bad corporate governance in place are subject to losing support of stakeholders and the public, financial loss, and ultimately, collapse.

Benefit of Corporate Governance as framework in UEXO

Improved Decision-Making

A strong corporate governance framework facilitates informed decision-making by providing a structured process, incorporating diverse perspectives, and focusing on long-term value creation. This leads to more effective strategies and better outcomes for UEXO.

Increased Shareholder Trust and Confidence

Transparent governance practices and adherence to ethical standards foster trust by shareholders. When investors have confidence in the organization's governance, they are more likely to invest, leading to increased access to capital and potential growth opportunities. We'll touch on the importance of transparency and communication later in this post.

Reduced Legal and Reputational Risk

Robust corporate governance practices help minimize legal and reputational risks by ensuring compliance, ethical behavior, and accountability. Being proactive to address potential issues means companies can avoid costly legal battles, safeguard reputation, and maintain stakeholder confidence.

Corporate Governance and the Board of Directors

The board of directors is the key to good corporate governance. This body is responsible for overseeing the company's activities, setting strategic objectives, appointing and monitoring senior management, and representing the interests of shareholders. A well-structured and independent board is crucial for effective corporate governance. The ideal structure of a board of directors for corporate governance will vary depending on the company's size, industry, ownership structure, and jurisdiction.

Directors have a duty to act in the best interests of the company and its shareholders. Their fiduciary responsibilities include making informed decisions, exercising due care and diligence, and avoiding conflicts of interest. By fulfilling their duties, directors contribute to the overall governance and success of the organization.

Best Practices of Corporate Governance in UEXO

There are many best practices that can follow to be successful in corporate governance. general best practices that can be applied broadly.

Clearly Define Roles and Responsibilities of the Board

Roles and responsibilities of the board of directors, executives, and management should be clearly defined, ensuring accountability, and minimizing conflicts of interest. It's also important to recruit a diverse and independent board, with a mix of skills and expertise. This promotes objective decision-making and provides effective oversight.

Establish a Code of Conduct to Promote Ethical Behavior

Promote a culture of integrity within the organization to maintain ethical behavior and minimize the risk of misconduct. An example of a policy that can go a long way to promote ethical behavior is one on conflicts of interest, which requires directors to declare any conflicts of interest during the course of their service on the board and to refrain from voting on any matters in which they have an interest or conflict.

Promote Financial Reporting and Disclosure

Accurate and transparent financial reporting is vital for maintaining investor confidence. Implementing robust accounting practices, adhering to relevant accounting standards, and conducting regular audits enhance the reliability of financial information, ensuring transparency and accountability.

Engage With Stakeholders

Engaging with stakeholders and fostering open lines of communication is an essential part of corporate governance. Organizations should actively seek feedback, address concerns, and consider the interests of all stakeholders when making decisions. Transparent and regular communication helps build trust, strengthen relationships, and enhance the organization's reputation.

2. Corporate Functions

- Introduction.

Introduce clients to tier 1 regulated financial brokerage firm regulated by SCA category 1 or other regulated well-known regulation body to protect the interest of the client, in UEXO case the introduction will be to UEXOgroup as per the following website: <https://UEXO.com/>

- Operations

Responsible for ensuring daily operational workflows are executed and reviewed. Ensures the review of all daily reconciliations and vendor reports.

- Compliance & AML/CFT

Ensures that "UEXO" meets its regulatory requirements in respect of its activities, also involve 3rd party independent auditor who can review the Compliance & AML/CFT Manual to make sure that company is even governed by 3rd independent party.

- Risk

Ensures all risk parameters set by internal policies and regulatory guidelines are maintained and met. Conducts Internal Risk Assessment for the Firm and ensures all its products meet the Risk Appetite and capacity of the Firm.

- Finance

Ensures accurate and timely maintenance of the finances of the Firm. Ensures adherence to financial requirements of the Firm in line with internal policies and the regulatory framework.

Responsible for quarterly and annual financial statements including assistance to the external auditor of the Firm.

The Firm is aware of the importance of the integration of its corporate functions and has mechanisms in place to ensure that these functions are fully integrated and support the Firm's.

3. Rules of Board of Directors and Executive Management

3.1- Regulatory Requirement

SCA requires that the Firm must have Board of Directors ("the Board") and Executive Management that meets the following requirements:

The Board must be responsible for setting or approving (or both) the business objectives of the Firm and the strategies for achieving those objectives and for providing effective oversight of the management of the Firm.

The Executive Management of the Firm must be responsible for the day- to-day management of the Firm's business in accordance with the business objectives and strategies approved or set by the Board. When applying these requirements, consideration must be given to the nature, scale, and complexity of

the Firm's business and its organizational structure.

3.2 The Board of Directors

The Board of Directors constitutes the Directors of "UEXO" and assumes the general oversight of the Firm's affairs. The Board is the ultimate decision-maker -if we are talking about public company or private company with more than 20 shareholders -and will adopt the procedures it may deem fit for realizing the Firm's objectives and strategies. As a result, the Board has the ultimate accountability and responsibility for the performance and affairs of the Firm.

CEO is responsible for appointing all directors & executives to make sure that these team are able to do A-Z company daily operation as per Vision of UEXO along with business plan & starting plan.

Role of the Board

The key terms of reference with regards to the Board's mandate, which forms the basis for its responsibilities, are as set out below:

- Review and implement any changes to the Business Plan and Budget prepared by CEO & Finance Manager.
- Appoint External Auditors and agree on their engagement fee.
- Appoint a Safe Custodian for the Fund and do not change it without the consent of SCA for the deposited capital which is for amount of 500K AED.
- Review and approve the scope and cover of the Internal Audit Plan and ensure that all the Firm's key risk areas are covered with the appropriate frequency.
- Review and approve the various reports prepared by the Compliance Officer and Money Laundering Reporting Officer ("MLRO").
- Review and approve the Interim Financial Reports (quarterly reports) reviewed by the external auditor, Annual Audited Financial Report, prepared by the Finance Officer.
- Review the Monthly Management Accounts (including trial balance) and Monthly Capital Adequacy Report prepared by the Finance Officer.
- Review, at least annually, the policies and procedures of the Firm and to make any recommendations and update when necessary.
- To always act in the best interests of the Firm and adhere to the SCA regulations.

3.3 Executive Management

CEO has appointed the board of directors who is responsible for the day-to-day business and operations of the Firm and for apportioning significant responsibilities between the members of the Board, Executive Management, and Persons Undertaking Key Control Functions in a way that is appropriate regarding the nature, scale, and complexity of the business of the Firm and the ability and qualifications of the persons'

assigned responsibility.

The board of directors with main support from CEO of the Firm appointed by the Board includes Finance Officer (“FO”), Risk Officer (“RO”), Compliance Officer and Money Laundering Reporting Officer (“CO/MLRO”), and Operations Officer. Persons undertaking other key control functions, who are appointed by the Board, include Internal Auditor and External Auditor.

Role of the Chief Executive Officer (“CEO”)

SCA requires that the Firm must have at least one individual registered as a CEO, who is ordinarily a resident in the U.A.E., to have the overall responsibility for the conduct of the business of the Firm.

The CEO oversees the day-to-day operations of the Firm and is the link between the Board of Directors, senior management, and persons undertaking key control functions. The CEO reports directly to the Board of Directors.

The CEO’s primary responsibility is to implement the approved objectives and strategies of the Firm to achieve profitability and growth as well as providing overall leadership and direction to employees.

Key activities and responsibilities:

- Preparing and updating the Business Plan detailing strategies and initiatives to attain growth.
- Implementing the approved Business Plan and performing regular reviews of actual performance against objectives.
- Supervising and leading staff to achieve maximum profitability and growth in line with the Firm’s policies, procedures, systems and controls.
- Leading and mentoring employees throughout the Firm by promoting the Firm’s vision and by adhering to the SCA’s rules and regulations.
- Ensuring that there is an apportionment of responsibilities and appropriate segregation of duties.
- Maintaining the Firm’s organization chart to demonstrate the clear reporting lines among all employees.
- Maintaining the Firm’s Risk Management Policy and monitoring the on-going risks to which the Firm is exposed together with the Risk Management Officer.
- Developing and maintaining relationships with key stakeholders, including Clients, Business Partners, and Regulators.
- Ensuring that the Board stays informed about the Firm’s developments by identifying the information required by the Board and that they receive the necessary information on a timely basis.
- Ensuring on-going regulatory compliance with the SCA’s rules and regulations and the applicable SCA legislation.

3.4 Senior Management

3.4.1- Financial Officer

The Finance Officer (“FO”) is responsible for maintaining financial, accounting, administrative, and personnel services to ensure that the Firm meets the SCA financial reporting requirements. The Finance Officer reports to the CEO and the Board.

Key activities and responsibilities:

- Preparing and maintaining financial records in accordance with the International Financial Reporting Standards and SCA requirements.
- Preparing the Firm’s budget and monitoring the actual results against the set objectives and budget.
- Implementing and maintaining all financial policies and procedures.
- Establishing, maintaining, and reconciling the general ledger.
- Preparing and reconciling bank statements and issuing cheques for all accounts due.
- Preparing monthly management accounts and providing financial analysis in conjunction with the financial analyst and other relevant financial information to executive management.
- Monitoring the Firm’s liquidity position to ensure that the Firm’s capital resources exceed the Firm’s capital requirements.
- Assisting with the annual audit and preparing the Firm’s annual report and accounts.
- Overseeing the preparation and timely submission of the Interim Financial Reports (quarterly reports) reviewed by the external auditor, Annual Audited Financial Report, Monthly Management Accounts (including trial balance) and Monthly SCA reports related to Financial Consulting & Introduction via email.

3.4.2 Role of the Compliance Officer & Money Laundering Reporting Officer

SCA requires that the Compliance Officer & Money Laundering Reporting Officer (“the CO/MLRO”) is ordinarily resident in the U.A.E. and that the individual has unrestricted access to the Board and all relevant records of the Firm.

The CO/MLRO reports to the CEO and directly to the Board as detailed in the organization chart.

The CO/MLRO is responsible for all compliance matters in respect of the Firm’s financial services and for ensuring the Firm’s compliance with the SCA’s Anti Money Laundering (“AML”) Rules, and any other applicable legislation, government findings, or recommendations.

Key activities and responsibilities:

- Administering relevant policies & procedures to ensure they reflect areas of regulatory change and applicable best practice.
- Liaising with Regulators to obtain any necessary licenses, consents, making ad-hoc notifications, filing periodic regulatory returns, and providing information upon request.
- Conducting Business Risk Assessments (BRA) at least annually or whenever there are any significant changes in the Firm’s business environment.

Governance Policy

- Performing Client Risk Assessment (CRA) on new clients and KYC refreshes on existing clients when fall due.
- Responsible for updating and organizing such internal bylaws and managing conflict of interests between the Firm and its Clients in a manner that ensures the continuity of the Firm to perform its business in a sound and legal manner.
- Conducting staff training and internal briefings to ensure that the Firm and its staff comply with the applicable legislation in the SCA.
- Reviewing any marketing materials (including Fund Prospectus, KIID etc.) and making the necessary AML/KYC checks in a timely manner to ensure compliance with regulatory requirements.
- Providing guidance and advice to the Board & Executive Management on any regulatory matters.
- Maintaining proper records of Controllers, Executive Management, Senior Management, registered individuals, breaches, fitness and propriety, complaints, training and competence, conflicts identification and management, communications and marketing, client-related documentation, regulatory returns, notifications made, SCA correspondence, and individuals' declarations and undertakings.
- Conducting annual compliance monitoring and reporting the Board and Executive Management on the appropriateness and effectiveness of the Firm's systems and controls and implementing any required recommendations.
- Preparing and filing of various reports as per SCA's requirements.
- Filing of Suspicious Activity Reports (SARs) to the Financial Intelligence Unit (FIU) of the Central Bank of UAE via Go-AML platform where the Firm is registered.
- Establishing and maintaining a strong and effective AML/CFT compliance culture within the Firm. This duty includes working with executive management and other internal and external stakeholders to ensure that the Firm's staff are well-qualified, well-trained, well- equipped, and well-aware of their responsibility to combat the threat posed by ML/FT.

3.4.3-Role of the Risk Management Officer

The Firm has established risk management systems and controls to enable it to identify, assess, mitigate, control, and monitor its risks. The process to be undertaken to identify and assess the risks applicable to the Firm is documented in the Firm's Risk Management Policy incorporating the Firm's Internal Risk Assessment Process ("IRAP").

The Firm's Risk Management Officer ("the RMO") is responsible for managing and overseeing the risk management systems, controls, and monitoring of the on-going risks to which the company is exposed.

The RMO is responsible identifying and assessing the potential risks of the Firm, which may arise from the operational factors thereof. Other functions include making appropriate decisions to address such risks once they occur, monitor, and report them and make sure they are avoided, as well as reviewing and updating the risk management guide to be consistent with the business, purposes and risks of the company.

4. Structure of the Board

4.1 Regulatory Requirements

SCA requires that the Board of a Licensed Firm must comprise an adequate number and mix of individuals who have, among them, the relevant knowledge, skills, expertise, and time commitment necessary to effectively carry out the duties and functions of the Board.

Membership of the Board of Directors (“Board”)

In determining the membership of the Board of Director's, the following requirements are taken into consideration:

The Board shall have a minimum of 2 Directors who will have the relevant skills, knowledge, and experience among them to provide effective leadership, direction, and oversight of the Firm's business always.

Individual Directors must commit necessary to fulfill their roles, and reasonable limits will be placed on the number of other directorship or similar positions held by them and whether these directorships or positions have potential conflicts with the interests of the Firm, its customers, and other stakeholders. The appointment, resignation, and all other matters relating to the membership of the Board shall be conducted in accordance with the Firm’s Articles of Association.

4.2 Independence and Objectivity

The Firm has established clear and objective independence criteria which must be met when determining the independence of a director.

A director will not be considered "independent" if:

- the director is, or has been within the last three years, an employee of the Firm;
- an immediate family member of the director is, or has been within the last three years, an executive officer of the Firm.
- the director has received or has an immediate family member who has received, during any twelve-month period within the last three years, more than AED 250,000 indirect compensation from the Firm or associated entities, other than director's fees and pension or other forms of deferred compensation for prior service with the Firm, provided that such compensation is not contingent on continued service, and compensation received by a director's immediate family member for service as an employee of the Firm or associated entities (other than as an executive officer);
- the director or an immediate family member of the director is a current partner of a firm that is the Firm's internal or external auditor; the director is a current employee of such firm; the director has

an immediate family member who is a current employee of such firm and who participates in the firm's audit, or the director or an immediate family member of the director was within the last three years (but is no longer) a partner or employee of such firm and personally worked on the Firm's audit within that time

- a director is a current employee, or an immediate family member of a director is a current executive officer, of another company that has made payments to, or received payments from, the Firm for services in an amount which, in any of the last three years, exceeds the greater of AED 250,000 or 2% of the other company's consolidated gross revenues.
- If any director or a director's immediate family member has or had any relationship or transaction of a typeset above 5 points and that relationship or transaction does not fully meet the criteria stated, then the relationship or shall be considered immaterial and deemed not to impair the director's independence.

5. Internal Governance of the Board

5.1 Regulatory Requirements

SCA requires that the Board of the Licensed Firm have adequate powers and resources, including its governance practices and procedures, to enable it to discharge those duties and functions effectively.

5.2 Meetings

The Board shall meet at least twice a year. The mechanism for the calling and holding of Board meetings is set out in the Articles of Association.

A Director will act as CEO -if CEO was not attended- at any meetings, supported by the appointed Secretary of the meeting. The appointed Secretary shall ensure that an agenda, along with the relevant supporting documents, is circulated to the members prior to the board meeting. Draft minutes of the meeting should be circulated in the meeting.

Resolutions shall be adopted by a majority vote of the members present. The Board's resolutions shall be recorded in the minutes of the meeting and signed by the session Chairman.

5.3 Chairman

The Board of Directors should select one of its members to act as Chairman. The Chairman's primary role is to ensure that the Board is effective in its task of setting and implementing the Firm's direction and strategy.

5.4 Company Secretary

The Company Secretary is appointed by the Board and will assist the Board in preparing the Board

Agenda, organizing Board Meetings, circulating agendas, and Board papers in advance of Board meetings.

The Company Secretary is also responsible for maintaining and updating statutory registers as required by the SCA in respect of directors and shareholders and for filing the relevant notifications to the SCA via email.

5.5 Resources of the Board of Director

The Board will be provided with timely and comprehensive information relating to the management of the Firm, including direct access to the relevant person within the Firm for obtaining information such as its Executive Management.

5.6 Committees

The Board may establish several committees to ensure that the Firm is managed in a sound and prudent manner. The responsibilities given to these committees do not release the Board of Directors from any of its responsibilities.

5.7 Succession Planning

Succession planning is the process of identifying and developing internal people with the potential to fill key roles within the Firm.

Succession planning increases the availability of experienced and capable employees that are prepared to assume these roles as they become available.

Succession plan, considering the size of the Firm, has been limited to shared services from the Firm's parent entity, but as the nature and size of the Firm grows, consideration will be given to the development of a comprehensive succession plan which requires the following:

- Identify key roles for succession planning.
- Define the key competencies required for these roles.
- Assess possible candidates against these criteria - with a future orientation.
- Develop employees to be ready for advancement into key roles - primarily through the right set of experiences.

6. Remuneration Structure and Strategy

6.1 Regulatory Requirement

Governance Policy

The SCA requires that the Board of the Licensed Firm ensures that the remuneration structure and strategy of the Firm are consistent with the business objectives and strategies and the identified risk parameters within which the Firm's business is to be conducted and provide for effective alignment of risk outcomes and the roles and functions of the employees, considering:

- The nature of the roles and functions of the relevant employees; and
- Whether the actions of the employees may expose the firm to unacceptable financial, reputational, and other risks.
- At a minimum, include the members of its Board, the Executive Management, Persons Undertaking Key Control Functions, and any significant risk-taking Employees; and
- Are implemented and monitored to ensure that they operate on an on-going basis, effectively and as intended.

The Board must provide to the SCA and relevant stakeholders, upon request, sufficient information about its remuneration structure and strategies to demonstrate that such structure and strategies meet these requirements in 6.1 sub-chapter above on an on-going basis.

Employees whose actions have a material impact on the risk exposure of the Firm are defined as "major risk-taking Employees."

6.2 Remuneration Policy

The Board is responsible for establishing a formal & transparent procedure for developing a policy on remuneration.

Levels of remuneration should be sufficient to attract, retain, and motivate employees of the quality required to run the Firm successfully and be consistent with the Firm's business objectives and strategies.

The Firm's remuneration policy also provides for the effective alignment of risk outcomes and the roles and functions of the Board Members, Executive Management, Senior Management, Persons Undertaking Key Control Functions, and any Major risk-taking employee, considering:

The nature of the roles and functions of the relevant employees; and
Whether the actions of the employees may expose the firm to unacceptable financial, reputational and other risks.

6.3 Reporting of the Remuneration Policy

The Board will provide the SCA with the following information about its remuneration structure and strategies in its annual report or accounting statements to demonstrate that the Firm meets the above requirements on an on-going basis:

- The decision-making process used by the Board to determine the Company-wide Remuneration Policy (if applicable);

Governance Policy

- The important elements of its Remuneration Policy, including any links between pay and performance and any other assessment criteria; and
- Aggregate quantitative information on the remuneration of the Board, Executive Management, Senior Management, Persons Undertaking Key Control Functions, and any major risk-taking employees (if applicable)

In UEXO, there are the board of directors which the nominated one of them to act as CEO under name of **Louis Detata**

The main founders agreed to select and hire the main function and department of the organization in term of department and key staff.

CEO with executive members will manage UEXO from A-Z as per daily operation process as per the agreed company manuals, procedures & culture.

The main functions and department in UEXO will be, Compliance, Internal Audit, Risk management & finance department, all these departments will be reporting to CEO directly and make sure to implement all kind of regulations as per UAE in terms of SCA and central bank of UAE along with company procures and rules.

Any variances or non-compliance to regulation of UAE & company procedures will be figures out by Compliance & Internal audit team, that that will led to have meeting minutes for the reason of breaching as its by risk factor or department/ staff negligent.

Base don't he above will be firing and hiring or Risk department along with Compliance will start for the process of reengineering to enhance the build new procedures.

So Corporate governance is the responsibility of every staff in UEXO.