Regulatory Compliance Policy

WCMS Investment Solutions Pvt. Ltd.

1. Objective

WCMS Investment Solutions Pvt. Ltd. (WCMS IS) is committed to conducting its business in a transparent, ethical, and compliant manner. The objective of this policy is to ensure that all activities undertaken by the Company are carried out in accordance with applicable laws, regulations, and industry standards.

2. Nature of Business

WCMS IS operates as a FinTech Aggregator and Knowledge Platform connecting businesses, investors, financial institutions, professionals, and funding solution providers.

3. Regulatory Position

WCMS IS - is not a Bank, NBFC, AMC, Portfolio Manager, AIF, Stock Broker, SEBI Registered Investment Adviser, SEBI Registered Research Analyst, or Collective Investment Scheme. The Company does not accept public deposits, pool investor funds, or guarantee returns.

4. Investor & Business Introductions

WCMS IS acts solely as a facilitator and aggregator connecting MSMEs, SMEs, Investors, Family Offices, Venture Capital Funds, Private Equity Funds, AIFs, Strategic Investors, Financial Institutions, and Funding Solution Providers.

5. No Guarantee Policy

WCMS IS does not guarantee funding approval, investment commitments, business performance, valuation outcomes, returns, listing approvals, or investor participation.

6. Due Diligence Responsibility

All stakeholders are responsible for conducting their own financial, legal, commercial, technical, and tax due diligence.

7. AML & KYC

WCMS IS supports compliance with applicable AML, KYC, and Anti-Fraud regulations and reserves the right to reject engagements posing legal or reputational risks.

8. Data Privacy & Confidentiality

Information shared with WCMS IS will be used only for legitimate business purposes and protected in accordance with applicable laws.

9. Conflict of Interest

WCMS IS shall endeavor to identify and manage conflicts of interest fairly and transparently.

10. Compliance with Applicable Laws

WCMS IS shall endeavor to comply with all applicable laws including the Companies Act, Income Tax Act, GST provisions, PMLA, IT Act, Data Protection regulations, and applicable RBI, MCA, and SEBI guidelines.

11. Limitation of Liability

WCMS IS shall not be liable for any direct or indirect losses arising from decisions taken by investors, lenders, business owners, or other stakeholders.

12. Policy Review

This policy may be amended or updated from time to time to reflect changes in regulations, industry practices, or business operation

Approval
For WCMS Investment Solutions Pvt. Ltd.

J C THIRUMURUGAN Digitally signed by J C THIRUMURUGAN
Date: 2026.06.09 13:02:40 +05'30'

J. C. Thirumurugan
Director