

## **COMPLIANCE POLICIES**

Rosa & Roubini Associates has adopted a set of policies to ensure the highest standards of compliance with the latest regulation, and in particular:

1. A policy against Bribery or Corruption in our Business Activities;
2. A policy concerning the dissemination of research in a MiFID II context;
3. A policy concerning appropriate communications and social media use;
4. A policy concerning the potential for Conflicts of Interest;
5. A policy concerning appropriate Records Management;
6. A protocol for interactions with Public Officials; and
7. A privacy policy compliant with GDPR directive (25 May 2018).

These policies can be shared on request with selected and authorised counterparties.