



## **FulmenIndia Enterprises Pvt. Ltd.**

Plot No 150, 4th Floor, Udyog Vihar, Phase-1,  
Gurgaon - 122001, Haryana, India

### ***Financial & Regulatory Compliance Policy***

#### **FINANCIAL & REGULATORY COMPLIANCE POLICY**

Effective Date: 12/11/2025

Revision Number: V.1

Approved By: Board of Directors

Policy Owner: Finance & Compliance Department

#### **1. PURPOSE**

This policy ensures that all financial operations, statutory filings, and regulatory obligations of FulmenIndia Enterprises Pvt. Ltd. are performed with accuracy, transparency, and within timelines defined by the Government of India. It establishes processes to manage financial notices and enforces accountability for any delay or non-compliance.

#### **2. OBJECTIVES**

- Ensure adherence to all statutory and financial regulations.
- Maintain a compliance calendar aligned with all government deadlines.
- Promote transparency and timely financial reporting.
- Enforce disciplinary action for repeated failure to meet deadlines.
- Establish a structured response mechanism for government notices.

#### **3. SCOPE**

Applies to all financial, tax, and compliance activities, including:

- GST, Income Tax, ROC/MCA, DGFT, RBI, EPF/ESI filings.
- All directors and employees responsible for financial documentation and compliance.
- Coordination with statutory auditors and government departments.

#### **4. COMPLIANCE FRAMEWORK & DEADLINES**

The Compliance Department shall maintain a master calendar with the following key activities:

- GST Returns: Monthly/Annual - 10th, 20th, 31st Dec.
- Income Tax: TDS, Advance Tax, Annual Return - 7th, 30th June, 31st July.



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- ROC/MCA: AOC-4, MGT-7, DIR-3 KYC - 30th Oct / 30th Nov.
- EPF/ESI: Contributions & Filing - 15th of every month.
- DGFT/RBI: IEC & Export Declarations - As per notifications.
- Financial Audit: Annual completion by 30th September.

Failure to comply will attract internal disciplinary review.

#### **5. STRINGENT ACTION FOR NON-COMPLIANCE**

- 1st Instance: Written warning and corrective meeting.
- 2nd Instance: Departmental review and formal explanation.
- 3rd Instance: Disciplinary action and reassignment of duties.
- Repeated or deliberate negligence: Termination or Board review.

#### **6. GOVERNMENT NOTICES & QUERY RESPONSE PROCEDURE**

Upon receipt of any financial or compliance-related notice:

- Acknowledge within 24 hours and forward to the Finance Head.
- Conduct preliminary review within 48 hours.
- Prepare and review draft reply within 5 working days.
- Final submission to authority within 7-10 working days or earlier if required.

All communications must be logged in the Compliance Register and securely archived.

#### **7. MONITORING & REVIEW**

- Quarterly internal audits on compliance performance.
- Annual report submission to the Board of Directors.
- Training sessions on compliance awareness and updates.

#### **8. CORRECTIVE & PREVENTIVE MEASURES**

- Every deviation triggers a Corrective Action Plan (CAP).
- Root cause analysis and preventive systems (reminders, automation) implemented.



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- Regular review meetings to ensure process adherence.

#### **9. RECORD KEEPING**

All statutory filings, government notices, and responses shall be retained for at least 8 years in physical and electronic formats. Access limited to authorized personnel.

#### **10. POLICY REVIEW & AMENDMENT**

This policy shall be reviewed annually or upon:

- Changes in government or regulatory norms.
- Observations from internal/external audits.
- Recommendations from the Board or Compliance Committee.

Authorized By:



Director - FulmenIndia Enterprises Pvt. Ltd.

Date: 12/11/2025

