



# Employee Handbook



This book belongs to

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## Directors' Message



Hello and welcome to the TresVista family!

We believe that each individual is a critical part of the team and has the potential to make TresVista a premier Financial Services Firm. Our team of Financial Services and Staff are true entrepreneurs, passionate about their contribution to TresVista and take complete ownership and responsibility for the direction the Company heads. We truly believe that each and every Person in the TresVista family is able to add value and contribute in their unique way to building our strong culture of integrity and excellence.

The TresVista culture of perfection is top down and there is a conscious effort to ensure that the Company culture is conserved and enhanced where possible. At TresVista, we recognize hard work, effort and sincerity displayed by the team. We believe in constantly challenging the individuals and motivating them to press ahead. When an individual, or we as a team, deviate from our desired standards, the responsibility is on all of us to get back on track and make this a Company we are proud to be a part of.

We still believe we are a small Company and as such there are no cracks to slip through. TresVista is continuously mentoring and cultivating team players who understand the importance of relationships. For better or worse, each individual's experience is shaped by the fact that we expect excellence at every step of the way. When we 'expect' excellence, it means we 'believe' the team is capable of it.

Someone once told us that what we ask of our team is like 'asking an Olympic long jumper to also be an Olympic marathon runner – it's not possible except for extraordinary people.' We responded in agreement – we aspire to be extraordinary. If you feel frustrated at times, if you experience 'failure' for the first time in a meaningful way, we hope at some point in the future, you can reflect on how much you have 'learned', and be proud of all you have accomplished and be excited by all you will accomplish. Over time, we hope you will see the positive changes in yourself.

We have tried to do our part in helping the development of each individual. The team's development will always be our responsibility and priority, but we believe that the team has adopted a culture of action and self-motivation which will allow one to achieve even more.

When we look at the quality of our team, our Clients, and our prospects, we are more excited than ever for the future of TresVista. We look forward to succeeding together!

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Abilash Jaikumar

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Sudeep Mishra



## Disclaimer

Employees will be required to abide by this Employee Handbook and the policies herein, and any other rules, regulations, policies that may be released by the Management from time to time.

In order for the policies to remain current and relevant, the Employee Handbook will be revisited at regular intervals and necessary modifications or additions will be made. In such cases, the eligible Employees will be informed of any change. Further, each Employee shall be bound to observe and uphold all of the Company's policies and procedures as implemented or varied from time to time.

The provisions mentioned are indicative and in case of any conflict with the provisions of the Employment Agreement, Offer Letter, or subsequent Promotion Letters, the terms of the most recent of Employment Agreement, Offer Letter or Promotion Letter shall prevail. Further, subject to Law, all representations and undertakings related to any and all benefits being or to be extended to Employees pursuant to this Employee Handbook are on a best effort basis and may be rolled back at discretion of the Management. This document is intended for the internal use of recipients only and may not be distributed externally. Any reproduction for external distribution in any form without written permission from TresVista Financial Services Pvt. Ltd. will attract penal actions.



# Table of Contents

<b>1. About TresVista</b>	<b>9</b>
1.1 History	9
1.2 Mission Statement	9
1.3 PACT	9
1.4 CSR	10
1.5 Organizational Structure	10
1.6 Career Progression	11
1.7 Training	11
<b>2. Conduct and Ethics</b>	<b>14</b>
2.1 Work Ethics	14
2.2 Adherence to Compliance Manual	14
2.3 Inventions	14
2.4 Conflict of Interest	16
2.5 Personal Relationships	19
2.6 Anti-Sexual Harassment Policy	20
2.7 Code of Ethics	28
2.8 Code of Conduct	39
<b>3. Working at TresVista</b>	<b>47</b>
3.1 Work Hours and Attendance	47
3.2 Hybrid Guidelines	49
3.3 Working from Out of Office	52
3.4 Dressing Guidelines and Personal Grooming	53
3.5 Communication	55
3.6 Company ERPs	55
3.7 Personal Information	56
3.8 Personal Use of Company Resources	57
3.9 Phone Etiquettes	57
3.10 Proof of Employment	58
3.11 Business Cards	58
3.12 Visitors	59
3.13 Flexwork Policy	59



3.14	Travel and Security Policy .....	61
(A)	For Female Employees Exiting Office Premises Post the Legally Mandated Timeline .....	61
(B)	For All Employees Exiting Office Premises Post 9:00 PM .....	64
<b>4.</b>	<b>IT Systems and Securities .....</b>	<b>67</b>
4.1	IDs and Passwords .....	67
4.2	Data Usage .....	67
4.3	Software and Hardware .....	68
4.4	Internet .....	68
4.5	Email .....	70
4.6	Telecommunication .....	70
4.7	Wi-Fi .....	71
4.8	Social Media .....	71
<b>5.</b>	<b>Leaves and Holidays .....</b>	<b>75</b>
5.1	Firm-wide Holidays .....	75
5.2	Vacation Days .....	75
5.3	Personal Days .....	78
5.4	Paid Extended Sick Leave .....	80
5.5	Maternity Leave and Benefits .....	82
5.6	Paternity Leave .....	83
5.7	Bereavement Leave .....	84
5.8	Unpaid Leaves .....	85
5.9	Extended Leaves Notice .....	85
<b>6.</b>	<b>Performance Appraisal .....</b>	<b>88</b>
6.1	Overview .....	88
6.2	Objectives .....	89
6.3	Points of Evaluation .....	89
6.4	Process .....	90
<b>7.</b>	<b>Compensation and Benefits .....</b>	<b>93</b>
7.1	Compensation Structure .....	93
7.2	Bonus .....	94
7.3	Reimbursements .....	96
7.4	Provident Fund .....	98



7.5	Gratuity .....	99
7.6	Onboarding Support .....	100
7.7	Referral Bonus .....	102
7.8	Business Travel .....	103
7.9	Tax Compliance.....	113
<b>8.</b>	<b>Exit.....</b>	<b>115</b>
8.1	Notice Period.....	115
8.2	Termination with Cause .....	116
8.3	Absconding Employee.....	117
8.4	Exit Formalities .....	118
8.5	Restrictions after Employment.....	120
<b>9.</b>	<b>Glossary .....</b>	<b>123</b>
<b>10.</b>	<b>Annexure .....</b>	<b>130</b>
10.1	Personal Relationships .....	130
10.2	Hybrid Guidelines.....	130
10.3	Flexwork .....	130
10.4	Vacation Days: Excess Leave Utilization - Deduction Matrix.....	130
10.5	Unpaid Leaves.....	131
10.6	Notice Period Matrix .....	131
10.7	Onboarding Support Application Form .....	131
10.8	Inter-City Travel: Allowance Limits .....	132
10.9	Business Travel - Domestic: Allowance Limits .....	132
10.10	Business Travel - International: Allowance Limits .....	133
10.11	Reimbursements: Allowance Limits.....	134

The background features a dark blue field with several overlapping geometric shapes. A large, light blue chevron shape points downwards from the top left. A grey chevron shape points downwards from the top center. A dark blue chevron shape points downwards from the top right. The text 'About TresVista' is centered in the lower half of the image.

## About TresVista





# 1. About TresVista

## 1.1 History

TresVista, along with its list of entities situated in India, Singapore, United States and United Kingdom, started in November 2006. It is a unique high-end financial service provider that meets Client needs by offering a diverse and in-depth suite of services. It provides financial advisory and consulting services to institutional clientele across asset classes and industries with a reach that spreads across the globe. Financial sector Clients include private and public equity, hedge funds, investment banking, equity research, and fixed income Firms. TresVista has also worked across multiple sectors such as banking, logistics, telecommunication, solar power, media, manufacturing, and many more. Through its unique services model and culture, TresVista delivers excellence to Clients and Opportunity to the Employees. both with an aspiration to exceed expectations.

This Employee Handbook is applicable to all the Employees of TresVista’s Indian entities.

## 1.2 Mission Statement

To be recognized as the highest quality financial and consulting services provider through:

- Building a team of industry leading talent
- Consistent dedication to excellence and quality
- Active participation in the growth and success of its Clients

## 1.3 PACT

The culture of TresVista is built on the founding pillars of the PACT.

### People

‘We recognize and value that people are unique and multifaceted. We give people the freedom to contribute to the Improvement of the Organization. We encourage creativity and support enthusiasm.’

### Action

‘We encourage active decision making and getting the job done. We act rather than react.’

### Clients

‘We strive to be close to the customer. We learn from the people we serve in order to continuously improve our quality.’

### Team

‘We succeed together.’



## 1.4 CSR

*“We make a living by what we get, but we make a life by what we give”*

Winston Churchill

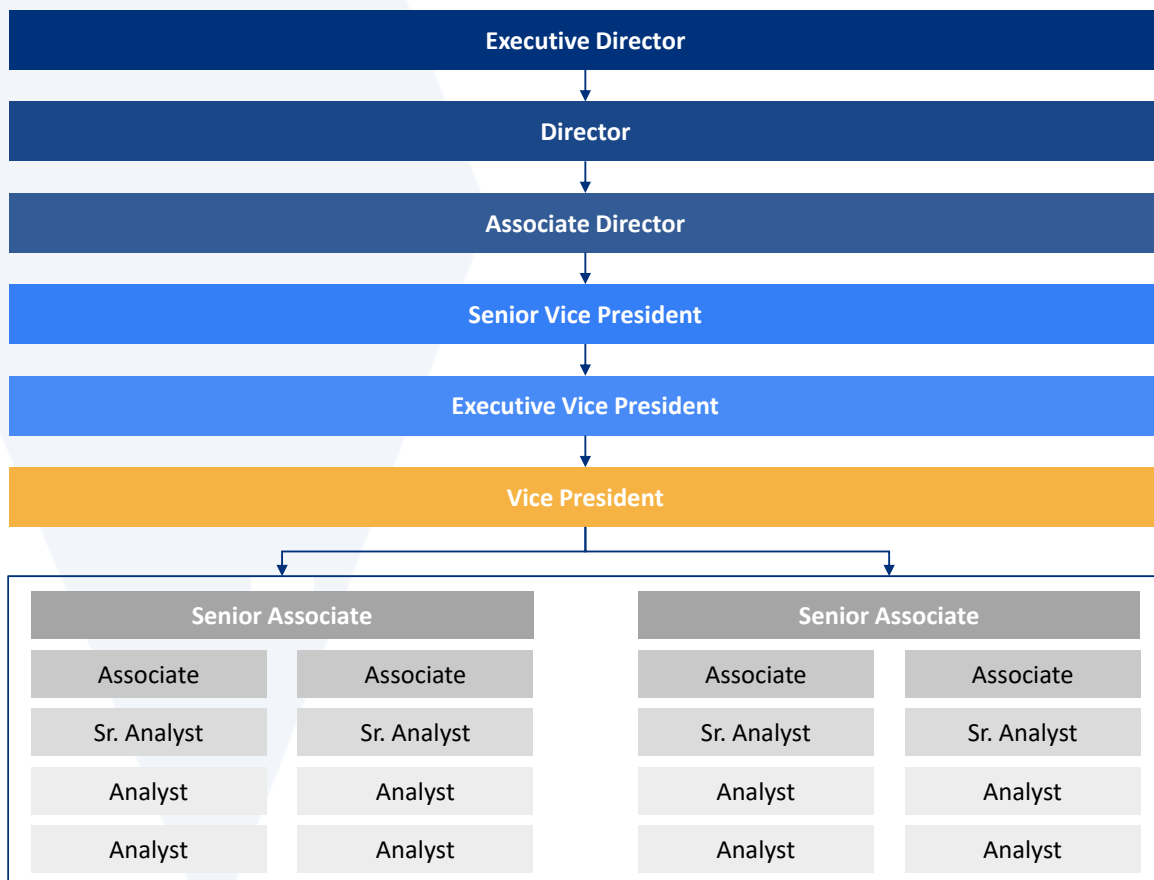
Since its inception, TresVista has been committed to serving the community to which it belongs. The founders appreciate that the proper functioning and improvement of a society requires its Employees. both as individuals and as corporate citizens to take not only responsibility but also action.

The Company periodically organizes community service events at the Company level, where in all Employees are encouraged to participate. Besides this, Employees are encouraged to promote causes they are passionate about. The founders often participate in service events with individual champions of causes. TresVista also actively partners with Organizations that promote social investment and entrepreneurship, whereby TresVista’s team members can leverage their financial skills for the benefit of NGOs and social entrepreneurs.

The small changes that can be made and witnessed, allow TresVista’s Employees to become more engaged and committed towards donating time and money for socially valuable causes. As a team, everyone at TresVista is encouraged to continue contributing to the community by putting in their best efforts.

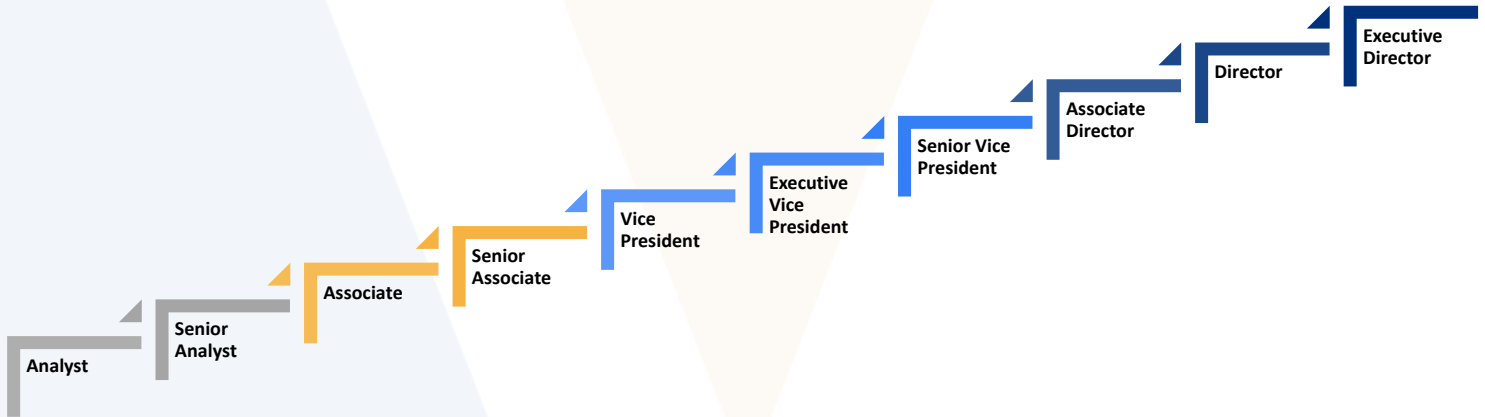
## 1.5 Organizational Structure

TresVista has multiple teams, each headed by a Vice President (VP). Employees may get rotated between teams during their tenure.



## 1.6 Career Progression

At every level, an Employee has the Opportunity to grow. The diagram below summarizes the initial career progression at TresVista (some departments may have a slightly different path). There also exist the opportunities to move within departments of the Company over time



## 1.7 Training

TresVista takes responsibility for the growth of its Employees. by providing enriching and valuable opportunities to learn at every stage of their career. Training at TresVista plays a pivotal role in Employee learning and development, knowledge sharing and skill enhancement. The aim is to create a supportive and engaging learning environment which is not only limited to technical upskilling but also ensures holistic development. The training is carefully tailored to contribute to the success of the Company through focused learning that is strategic, measurable, and effective for every Employee.

### New Hire Training

TresVista has a structured onboarding program to impart technical and process understanding and disseminate the culture of TresVista among the new joiners. New hire training is a platform that prepares new joiners for the tasks they will be expected to perform once they hit the floor.

- All new hires undergo intensive induction training facilitated by the Training department
- Such training sessions may be conducted off-site or in the office premises
- The duration of the training ranges from two to five (2-5) weeks depending on the team/department and includes a



mix of instructor lead induction/soft skill sessions, team/department/function-specific sessions, and technical sessions

## On the Job Training

TresVista has a structured year-wise training calendar that consists of training sessions organized for Employees across various levels. The objective of the program is to provide each Employees with the Opportunity to hone their creative, non-technical, and on-the-job skills in order to maximize their productivity at the workplace. The Training department will notify Employees of these training sessions in advance. It is mandatory to attend these training sessions and it should be noted that:

- Employees are required to plan their leaves accordingly
- It is the Employee's responsibility to notify the Manager in advance to manage work and training sessions

In case an Employee misses training, they must notify the Training department or their Managers of the reason for not attending the training

## Points to Note

- Team/department/function-specific training manuals are provided to the Employees prior to each session
- Employees are encouraged to refer to these manuals whenever required. All accesses given to refer to the training material are revoked at the time of the Employee's exit, since it is Company property

The background features a dark blue field with several overlapping geometric shapes. A large, light blue triangle points downwards from the top left. A grey triangle points downwards from the top center. Another dark blue triangle points downwards from the top right. The text 'Conduct and Ethics' is centered in the lower half of the image.

# Conduct and Ethics



## 2. Conduct and Ethics

Employees are expected to maintain high standards of professionalism as set by TresVista.

### 2.1 Work Ethics

TresVista aims at enhancing its reputation as a quality service provider and an enjoyable, stimulating and challenging place to work. It expects its Employees to achieve and maintain a high standard of ethics, professional conduct and work performance to ensure that TresVista maintains its reputation with all internal and external stakeholders.

All Employees should note that:

- High ethical standards must be recognized and valued
- Any unethical or illegal behaviour must be reported by the Employees to the Ethics Committee
- An environment of honesty, trust and integrity must be maintained
- TresVista's property must be maintained and not be damaged intentionally
- In all dealings with Third Parties, the policies and directions of this Employee Handbook must be complied with
- Any behaviour or collective action which harms or could harm the integrity and/or interests of TresVista must be avoided

Use of any Resources in connection with any illegal activity is strictly prohibited, and TresVista will cooperate with any legitimate Law enforcement investigation of potential criminal activity

### 2.2 Adherence to Compliance Manual

TresVista expects all Employees to adhere to the Compliance Manual which is an integral document covering all internal compliance policies of the Company. Employees are expected to:

- Conform the Compliance Manual and policies written therein, provided to them as a part of employment terms;
- Be aware of, and adhere to; all compliance related Company policies during their employment with TresVista and Perform their duties with care and diligence, using authority in fair and equitable manner

TresVista may take actions including, but not limited to, policy reminder, warning, or termination of the Employee who acts in contravention of the TresVista Compliance Manual and/or Policies therein.

### 2.3 Inventions

The purpose of this policy is to protect TresVista's Intellectual Property rights i.e., to ensure that all Employees of TresVista have appropriately assigned their invention rights and ownership to TresVista.



## Policy

- TresVista is not required to designate any Employee as the author of any invention during the period of their employment with the Company
- All Inventions created by an Employee during their period of employment with the Company are exclusively owned, legally and beneficially, by the Company and are dealt with or assigned to account in such manner and/or on such terms as the Company considers appropriate
- In addition, an Employee must assign to the Company any rights, title and interest to Inventions created by them when not carrying out their duties, but which are materially connected with those duties and may be of material value to the Company
- An Employee must disclose all Inventions to their Manager and at the Company's request, must do all things that may be necessary and appropriate to establish a perfect record or document the Company's ownership of the Inventions including, but not limited to, the execution of the appropriate copyright or patent applications or assignments, the production of documents and evidence to the appropriate authorities, etc. and assist the Company in taking action in relation to any possible infringements
- All rights, title, ownership, and interest in any Intellectual Property (as defined below) arising out of or in connection with the Employee's employment with the Company, whether or not created, conceived, or developed in the Company's premises or using the Company's property, and all other proprietary rights therein or otherwise subsisting now or in the future, shall vest solely with and be the property of the Company
- The Employee will execute all documents and perform all acts at the Company's request, without any additional remuneration or payments of any kind, to establish or preserve the Company's right to such Intellectual Property including execution of deeds of assignment or any other document as may be required during the course of their employment or at any time thereafter. The Employee hereby appoints the Company and its nominated officers as their authorized attorney and agent to execute documents on their behalf for this purpose
- The Employee hereby irrevocably and unconditionally waive in favour of the Company all rights granted by the Indian Copyright Act, 1957 in connection with their authorship of any copyright works in the course of their employment with the Company, including without limitation any moral rights and any right to claim an additional payment with respect to use or exploitation by the Company of those works. It is clarified that Section 19(4) of the Indian Copyright Act, 1957 shall not apply to any assignment of copyrights under this Agreement and the Employee hereby agrees not to raise and waive all rights to raise, any objection or claim before the Indian Copyright Board with respect to the assignment pursuant to Section 19A of the Indian Copyright Act, 1957
- **It should be noted that:**
  - An Employee does not and shall not at any time have any rights, title, or claim in or to any Inventions



- An Employee retains no right to use the Inventions. Further, they must not challenge the validity of the Company's ownership of the Inventions
- The decision on whether to commercialize or market any Inventions developed by an Employee solely or jointly with others is within the Company's sole discretion and for the Company's sole benefit
- No royalty is due to the Employee as a result of the Company's efforts to commercialize or market any such Inventions
- If an Employee has any right to the invention that cannot be assigned to the Company as a matter of Law , such as moral rights, author's rights, rights of integrity or any similar rights, the Employee must unconditionally and irrevocably waive such rights in the invention, including without limitation, the right to the integrity of the invention that they may enjoy in respect of the said invention, in favor of the Company and further grant to the Company the right to modify the Inventions as the Company deems fit
- Further, an Employee must unconditionally and irrevocably waive the enforcement of such rights, and all claims and causes of action of any kind against the Company with respect to such rights, and agree, at the Company's request and expense, to consent to and join in any action to enforce such rights
- The Employee's salary is full compensation for their services and all present and future uses of Intellectual Property made by them in the course of their employment and they will not make any claims against the Company or any of its affiliates with respect to such Intellectual Property; and
- The Employee shall not use, reproduce, or share in any manner whatsoever (including through social media) names, logos, trademarks, signs, signifiers or other representations of the Company, its affiliates, Clients, suppliers, and agents without the Company's prior written authorization; and
- The Employee shall not violate or infringe or disclose and use without written authorization any third-party Intellectual Property rights during their employment with Company
- The provisions of this Clause shall survive the termination of the Employment Agreement

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix under 'Annexure – Risk-Oriented Policies' of this Handbook.

## 2.4 Conflict of Interest

TresVista is committed to conducting business in a manner that ensures Employee's business judgment and decision making are not influenced by undue personal interests. Given the possibility of a conflict of interest (actual, potential, or perceived) in the context of the nature of services provided by TresVista to its Clients, TresVista requires all Employees to





comply with Company guidelines and make all relevant disclosures to prevent any such conflicts of interest (actual, potential, or perceived)

## Applicability

This policy is applicable to all Employees

## Particulars

Per the policy, conflict of interest situations include but are not limited to:

- Owning more than 1% stake in a Company (private or public), sole proprietorship Firm or partnership Firm (registered or unregistered)
- Partnership or Directorship in a private or public Firm:
  - Director or a Partner in any other Firm
  - Power of Attorney of any other Firm
  - Sleeping partner in a business run by another individual
- Multiple employment leading to monetary benefit:
  - Side business
  - Part-time employment
  - Weekend jobs
  - Monetary benefit from any employment apart from TresVista
- Freelance activities:
  - Freelancing, irrespective of the area of expertise, location, and timing
  - Working on a contract (temporary or renewal basis)
  - Giving lectures or teaching online or offline, irrespective of the topic (e.g., Alma Mater, CFA tutor, Finance tuitions, etc.)
  - Collaborating with institutions to give lectures
  - Providing professional consultation services to other Firms
  - Blogging to generate online traffic and/or marketing Products online
  - Referring a vendor Company in which an Employee has vested interest
- Other types of conflict:
  - Failing to disclose that the candidate, the Company is considering hiring is an immediate blood relative or spouse
  - Failing to disclose information pertaining to immediate blood relative or spouse working with a competitor
  - Engaging in business or working for a competitor
  - Working for an organisation that provides a competing Product or service



- Direct or indirect interest in any activity or business, resulting in monetary gain, whose nature of business is similar to TresVista

For the purpose of this policy, the term 'competitor' shall include any outsourced Financial Services provider or any Organization whose nature of business is similar to that of TresVista, including but not limited to Financial Services, data intelligence, CFO office services.

## Conflict Disclosure and Resolution Mechanism

### 1. Conflict of Interest (COI) Committee

- Shall assess and evaluate any conflict situation reported by Employees to avoid or minimize the risk associated with any conflict of interest (actual, potential, or perceived)
- Comprises of senior members of the Firm who will review all reported conflicts of interest
- Is responsible for:
  - Identifying whether a conflict exists
  - Evaluating the severity of the conflict
  - Communicating to the Employee, the steps necessary to resolve the conflict

### 2. Procedure

- Employees are required to declare any conflict of interest (actual, potential, or perceived) situation to the COI Committee and seek the Committee's approval before entering into any situation that may be deemed as a conflict of interest
  - Such instances can be raised with the COI Committee via a Helpdesk Ticket or via the following email ID [coi@tresvista.com](mailto:coi@tresvista.com)
- The Committee shall proceed to make an enquiry into cases brought to its notice:
  - The COI Committee will review the case and communicate their decision to the concerned Employee within one month of the case being presented
  - In the interim, the concerned Employee shall refrain from participating or continuing with the conflicting arrangement
  - The Employee will need to implement the Committee's recommendation within two weeks of being communicated of the Committee's decision
  - The COI Committee may ask the Employee to submit supporting documentation/evidence related to the conflict of interest at different stages of the review process in addition to seeking proof of the implementation of the corrective action recommended by the Committee
  - The decisions and recommendations of the Committee shall be binding upon the Employee. Failure to abide by this may result in Termination with Cause (Refer to section 8.2 of this handbook)



### 3. Exceptions

- An event or any act of an Employee that does not jeopardize the primary interest of the Employee towards TresVista shall not be categorized as a conflict of interest
- However, all such cases must be reported to the COI Committee, who will review it and may deem it as an exception (subject to approval from the COI Committee). There are certain activities which may not be a potential conflict, including but not limited to:
  - Volunteering for a non-profit Organization over the weekend
  - Serving on the Board of Directors of any Company with no conflict of interest in context of the nature of services provided by TresVista to its Clients
  - Conducting guest lectures on weekends without using TresVista's confidential and proprietary information

## 2.5 Personal Relationships

Employees must notify the firm in case they have a personal relationship with another employee, intern, third-party resource, or Partner. Such information is collected by the Company to avoid and handle any probable conflict of interest, complaints of harassment (sexual or otherwise), favoritism, discrimination, etc. resulting out of any personal relationships.

### Definition

Personal relationships with another Employee, intern, third-party resource, or partner include but are not limited to:

- Romantic relationships and/or,
- Family relationships (including but not limited to, parents/in-laws, children/grandchildren, grandparents/in-laws, siblings/in-laws, spouse, biological uncles/aunts, cousins)

### Points to Note

- Employees must avoid any circumstances that could be viewed as a conflict of interest or act as a cause of potential sexual harassment
- Employees must immediately notify their respective Managers and HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com)) in case of personal relationship with another Employee, intern, third-party resource, or partner:
  - Within one's team/department
  - Reporting directly or indirectly to the Employee
  - Belonging to a different team/department



- Upon disclosure, the Company, to the extent possible, takes efforts to accommodate the parties involved via:
  - Reassignments/transfers to different teams/departments
  - Any other actions, as applicable
- Inappropriate public display of affection in the office is strictly prohibited

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix for personal relationships under 'Annexure – People Policies' of this Handbook.

## 2.6 Anti-Sexual Harassment Policy

TresVista aims to foster a professional, open and trusting workplace. The purpose of this policy is to safeguard women against sexual harassment at the workplace. Sexual harassment against women in any form is an offence under this policy and is punishable in accordance with the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act 2013 ("Act") and the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Rules, 2013 ("Rules"), and any other applicable legal provisions.

### Definition

Sexual harassment of a woman includes sexually determined behavior that is unwelcome to the woman at whom such behavior is directed (whether directly or by implication). Sexual harassment includes actions such as:

- Physical contact and/or advances
- Making sexually colored remarks
- Showing pornography and/or any pornographic material
- Any other unwelcome physical verbal, or non-verbal conduct of a sexual nature
- Any unwelcome sexual advances, demand for sexual favors, either implicitly or explicitly in return for betterment in employment and working conditions, Promotions, assignments, evaluations in connection with any duties at the Company
- Any unwelcome sexual advances, demand for sexual favors, either implicitly or explicitly with the threat that if a woman does not agree it would affect her career and employment prospects with the Company
- Any unwelcome act of a sexual nature or any conduct of a Person in authority or otherwise, which outrages the dignity or modesty of a woman and is likely to affect her health or safety and/or create a hostile and/or intimidating work environment
- Any conduct of unwelcome sexual nature and which has the purpose or effect of unreasonably interfering with a woman's work performance



- Any act, advances, explicit or implied, which is of a sexual overtone which the Aggrieved Woman considers to be an act of outraging her modesty or dignity through a virtual communication is also considered to be an act of sexual harassment

## Scope

- This policy is applicable to all Employees of the Company in India, including those who are citizens of India but may be situated in a different country in the duration of their employment with the Company
- For the purpose of this policy:
  - “Employees” include everybody on a regular, temporary, full-time, part-time, ad hoc, daily wage basis, and also extends to trainees, probationers, apprentices, Employees on contract, Persons employed through contractors/agents, consultants or any other service provider and even Persons working on a voluntary basis or without any form of remuneration, irrespective of whether they are working out of Company premises or any other place where they are fulfilling their obligations as per their agreement
  - “Workplace” includes:
    - All offices and premises of the Company where its business is conducted including but not limited to a virtual setup which is available to an Employee at the residential place, or at a place where the Employee is currently residing at the time when such acts of sexual harassment took place
    - Any place visited by an Employee in discharge of the duties towards the Company or where the Employee is present in a work-related context or in a professional capacity, including training programs, conferences, off-site meetings and events, work related functions, office parties, business or field trips organized by the Company
    - Places visited when conducting the business of the Company in interaction with third parties and also transportation provided by the Company for undertaking such a journey
- An Aggrieved Woman has the right to complain against sexual harassment regardless of:
  - Her age or her employment status with the Company
  - The sex of the Alleged Perpetrator
  - Where such harassment occurs
- In case the Alleged Perpetrator is not an Employee of the Company, and Aggrieved Woman is an Employee, the Company takes all steps necessary and reasonable to assist her with additional support and preventive action, including, where requested in writing by the complainant, cause to initiate action against the respondent under the Indian Penal Code, 1860 or, where relevant, cause a representation to be made to the employer of the respondent



## Points to Note

- All Employees of TresVista are encouraged to report sexual harassment experienced by them or brought to their knowledge to the Internal Committee (IC)
- Confidentiality of information of a complaint against sexual harassment (including name of the Aggrieved Woman, details of the complaint and all related matters) must be maintained at all times. Violation of this requirement is punishable by Law
- Information without particulars, specifically with regard to the identity of the parties involved, may be used by the Company where required for authorized purposes under the Law
- Managers are responsible for ensuring awareness of this policy within their teams
- As a part of the anti-sexual harassment initiative, Employees must undergo trainings and workshops aimed at spreading awareness

## Non-Retaliation

- All complaints against sexual harassment must be made in good faith. A good faith complaint means that the Person making the complaint has provided all the information they possess, that they believe their complaint to be true and that they have made the complaint because the acts mentioned in it violate this policy
- The Company takes a disciplinary action against any Person responsible for or involved in any attempt of retaliation (that is, negative behavior aimed at a Person because of a Person's association with an inquiry into sexual harassment) against the complainant, a witness or any Person involved in an inquiry into sexual harassment, including termination, and any other applicable appropriate legal action
- Any form of victimization or retaliation must be immediately reported to the IC

## Raising A Complaint and Redressal Mechanism

### 1. Internal Committee

- Case proceedings for complaints against sexual harassment are undertaken by an Internal Committee ("IC") at TresVista
- The IC can be reached at the following email IDs, depending on the Employees' location:
  - Mumbai, [icmumbai@tresvista.com](mailto:icmumbai@tresvista.com)
  - Pune, [icpune@tresvista.com](mailto:icpune@tresvista.com)
  - Bengaluru, [icbengaluru@tresvista.com](mailto:icbengaluru@tresvista.com)
- The names and email addresses of the IC members are listed on the posters at all the office locations

### 1.1. Constitution of the IC

- The IC must have four (4) members, of which two (2) members must be women



- The herein above composition of the IC is in line with the provisions of section 4 (2) of the Act, which mandates the below:
  - **Presiding Officer:** Woman employed at a senior level at the workplace from amongst the Employees
    - In case a senior level woman Employee is not available, the Presiding Officer shall be nominated from other offices or administrative units of the workplace
    - Additionally, in case the other offices or administrative units of the workplace do not have a senior level woman Employee, the Presiding Officer shall be nominated from any other workplace of the same employer or other department or Organization;
  - **Members:** Not less than two (2) members from amongst Employees preferably committed to the cause of women or who have had experience in social work or have legal knowledge
  - **External Member:** From amongst non-governmental Organizations or association committed to the cause of women or Person familiar with issues relating to sexual harassment
  - At least one-half of the members nominated to the IC must be women
- The Company ensures that the composition of the IC is in line with the herein above specified provision of the Act, as amended, at all times

#### **1.2. Disqualification, resignation, or termination of membership of Internal Committee**

- An Employee/member ceases to hold office as a member of the IC if she/he ceases to be an Employee of the Company. Further, any member is disqualified by the Company, at its own sole discretion, from acting as a member if she/he:
  - Is found guilty of committing an act of sexual harassment or any other act of moral turpitude;
  - Contravenes Section 16 of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013;
  - Has been convicted for an offence or if an inquiry into an offence under any extant Law is pending against her/him;
  - Is found guilty in any disciplinary proceedings or if a disciplinary proceeding is pending against her/him;
  - Has so abused her/his position as a member of the IC so as to render her/his continuance in office prejudicial to public interest
- In the event of any disqualification, resignation, or termination of appointment of any member, the Company, with respect to an outgoing Employee, forthwith notifies a substitute Employee and with respect to the external member, makes best efforts to find an external member as quickly as possible
- Notwithstanding the aforesaid, the Company is entitled, at its sole discretion and at any time, to terminate the appointment (as member of the IC) of any Employee and appoint a substitute thereof



### **1.3. Recusal by Member**

Any IC member who believes that his/her objectivity may be compromised for any reason may apply to the IC to recuse him/herself from an investigation. The IC considers whether to accept such requests and if accepted, appoints a replacement IC member for an investigation in accordance with the Law and/or this policy and notify all concerned parties

### **1.4. Functions of the IC**

- Implementation of the policy relating to prevention of sexual harassment at the workplace;
- Conducting inquiries in accordance with this policy and applicable Laws in force in India, relating to the prevention of sexual harassment;
- Organizing workshops or interactive programs to spread awareness on the issue of sexual harassment as well as this policy amongst the Employees of Company; and
- Keeping a record of all complaints received and the actions taken by the IC and Company thereon

### **1.5. Decisions**

- The Internal Committee decides through unanimous decisions taken by all the members.

### **1.6. Redressal Mechanism**

- The IC has the powers of a Civil Court while conducting an inquiry and acts in accordance with the principles of natural justice and all parties are given the Opportunity to be heard
- Any Employee/individual who wishes to make a complaint alleging an act of sexual harassment, would have do so to the IC in the manner described below. The procedure of redressal of such a complaint is also provided below

## **2. Raising a Complaint**

- A written complaint to the IC (email IDs mentioned above) with a detailed record of the incident/s (such as dates, time, locations, description of the incident and any other relevant information) is mandatory for initiation of an inquiry
- No disciplinary action is taken against anyone on the basis of a verbal complaint
- A written complaint made through an online mode of communication consisting of all the details pertaining to the act of sexual misconduct, including the description, time, date etc. whether made by an Aggrieved Woman or the below-mentioned people on her behalf is deemed to be a valid complaint. The complaint along with all the relevant communication, evidence, if any, can be uploaded as attachments in the email or through any other mode as communicated by the Company
- If the aggrieved Person is unable to make a complaint on account of their physical or mental incapacity, a complaint may be filed by the below-mentioned people:
  - Physical Incapacity (With the written consent of the aggrieved Person):





- Relative or friend
- Co-worker
- An officer of National Commission for Women or State Women's Commission
- Any Person who has the knowledge of the incident
- Mental Incapacity:
  - Relative or friend
  - Special educator
  - Qualified psychiatrist or psychologist
  - Guardian or authority under whose care they are receiving treatment or care
  - Any Person who has the knowledge of the incident jointly with the above-mentioned people
- If an Aggrieved Woman feels that she needs support in making the complaint in writing, she may contact the IC for assistance
- An Aggrieved Woman may file a complaint within three (3) months from the date of the incident, and in case of a series of incidents, within three (3) months from the date of the last such incident. The IC, on its discretion can extend this time limit not exceeding three (3) months, the reasons to be recorded in writing, if it is satisfied that the circumstances were such that prevented the Aggrieved Woman from filing a complaint within the said period
- Employees must promptly inform the IC of incidences of sexual harassment, especially in cases where such incidences involve a threat to the security of a Person or the Company
- If the complaint is against a member of the IC, Employees must inform any other member of the IC
- The Company provides the Aggrieved Woman support to file a complaint with the police if she so desires
- Upon receipt of a complaint, whether in writing or otherwise, the IC is expected to respond to the Aggrieved Woman within five (5) working days as a best practice
- Within seven (7) working days of receipt of the written complaint, the IC informs the respondent in writing that a complaint has been filed against him or her and provide a copy of the complaint to enable the respondent to furnish a response
- The respondent is given ten (10) working days to furnish a reply in connection with the allegations of sexual harassment
- 3. Malicious or false complaints and false evidence**
- A false complaint is a complaint that is known to be false by the Person making the complaint at the time the complaint is made
- A Person making a false complaint or providing false evidence in an inquiry into sexual harassment is subjected to disciplinary action, based on the recommendation of the IC



- A mere inability to substantiate a complaint, or provide adequate proof, does not lead to the complaint being considered as a false or malicious complaint

#### **4. Conciliation**

- In case the complainant wishes to settle the matter with the respondent without an inquiry, the IC may facilitate a conciliation between them
- No monetary settlement is made the basis for arriving at any settlement through such conciliation
- Any settlement that is arrived at between the parties during conciliation is recorded in writing and the IC provides copies of the settlement as recorded, to both the parties
- If a settlement is arrived at through conciliation, no further inquiry is required to be conducted by the IC and the matter is treated as closed
- The IC proceeds to make an inquiry into the complaint in cases where:
  - No conciliation has been requested by the complainant, or
  - No settlement has been arrived at between the parties and/or
- If the complainant informs the IC that any term or condition of the settlement arrived at earlier has been breached by the respondent

#### **5. Inquiry**

##### **5.1. Process**

- The IC follows the inquiry process as laid out in the Company's investigation handbook. A copy of the investigation handbook can be accessed on the common SharePoint link
- The IC hears both, the complainant as well as the respondent to record their statements
- Both parties may submit the evidence and a list of witnesses to support their statements to the IC
- The IC may summon the attendance of any Person and examine the Person on oath as well direct production of any document which may assist the IC in an inquiry into sexual harassment
- If either party remains absent during the inquiry proceedings for three (3) consecutive hearings, the same may be conducted ex-parte on the basis of material on record
- The IC must conclude the inquiry proceedings within a period of ninety (90) days from the date of the receipt of the written complaint
- The inquiry in the matter can be conducted through a virtual online session if any of the parties involved is working from home. The IC may conduct the inquiry on video calls and may also record it for audit purposes and references

##### **5.2. Interim Actions**

During the pendency of an inquiry:



- The IC may, based on the request of the complainant, recommend to the Company to transfer the complainant or the respondent to any other workplace or grant the complainant leave up to a period of three (3) months, in addition to any other paid leave she may be entitled to, under her terms of employment. Neither the complainant nor the respondent has any choice of place of transfer as it is as per the Company's requirements
- If the IC is of the view that the presence of the respondent at the workplace is detrimental to the interest or to the conduct of a free and fair inquiry, it can recommend to the Company to place the respondent under suspension or leave pending completion of the inquiry:
  - Full salary is payable during such period of suspension pending inquiry
  - Such suspension order may also include an order prohibiting the respondent from accessing the Company's IT facilities, Employees or third parties to enable a fair and objective inquiry
  - Supervised access is provided to information relevant to the respondent to prepare a defence in the inquiry and the Alleged Perpetrator may make any such requests in writing to the IC
- In case the IC determines it to be necessary, it may recommend counselling for the complainant to the Company, which is offered to her at the cost of the Company

### **5.3. Post Inquiry**

- On completion of the inquiry, the IC submits the report of its findings to the Management of the Company along with all relevant documents, within ten (10) days from the date of closure of the inquiry proceedings, a copy of which is also made available to the complainant and the respondent
- If the allegations against the respondent have not been proved, the Company takes no action in the matter
- If the allegations have been proved, the Company takes appropriate action against the respondent within sixty (60) days of receipt the final report
- Proceedings conducted under the provisions of this policy, are considered to be disciplinary proceedings under the Company policy and no separate inquiries are required to be conducted

## **6. Disciplinary Action**

As prescribed by the IC, disciplinary action may include the following:

- Rendering of a written apology
- Censure and reprimand
- Payment of a fine
- Demotion or withholding of Promotion
- Termination with Cause in keeping with section 8.2 of this handbook
- Attending counselling
- Undertaking community service



- Monetary compensation to be paid to the complainant. The sum to be deducted is decided on the keeping in mind:
  - The mental trauma, pain and suffering of the complainant
  - The loss in career Opportunity of the parties
  - The medical expenses incurred due to sexual harassment, whether for physical or psychiatric treatment and the income and financial status of the respondent
- The amount may be deducted from the salary of the respondent or he/she may be instructed to make the payment directly to the complainant

Repercussions of sexual harassment may also result in initiating criminal charges, in addition to any action the Company may take, based on the recommendations of the IC. These actions are in addition to any legal recourse, and where any conduct or actions amount to specific offences under the Law.

## 2.7 Code of Ethics

The purpose of this policy is to define a set of principles for Employees to ensure that their actions are in accordance with the ethical standards and primary values of the Company.

### Overview

The code of ethics provides further clarity on TresVista's mission, values, and principles, linking them with professional conduct standards. It also articulates values that TresVista wishes to foster in Employees and, in doing so, defines desired behavior. Employees should adhere to the core ethical principles for guidance in decision-making and business conduct. Thus, the code of ethics becomes a benchmark against which individual and Organizational performance can be measured. It establishes a direction and pathway to meet the Organization's ethical responsibilities towards its stakeholders.

### Competence

Employees must develop and maintain relevant knowledge, skills, and behavior to ensure that any activity is conducted professionally and proficiently. This includes but is not limited to acting with diligence, as well as obtaining, and regularly updating the appropriate qualifications, training, expertise, and practical experience. All Employees must understand and comply with any applicable Laws, rules, regulations, and internal policies.

### Integrity

During and after the term of their employment with TresVista, Employees must:

- Behave in an accountable and trustworthy manner
- Avoid any acts that might damage the reputation of the Company or bring discredit to the Organization at any time
- Personally escalate non-compliance issues appropriately
- Exercise reasonable diligence when approving transactions and expenditures or signing documents



- Understand the importance of internal controls and consistently comply with them
- Not solicit or accept anything of value from anyone (directly or through others such as family members) if it is intended or could reasonably appear as intended to improperly influence the decisions to be taken on behalf of TresVista
- Neither indulge in the trade of the Company's stock for which they have access to confidential material and/or non-public information about a supplier, customer, or competitor nor should they advise others including connections to do so (Definition of connections can be referred to in Compliance Manual saved on SharePoint)
- Act based on ethical behavior with an aim to build relationships on honesty and transparency
- Not engage in practices that distort prices or artificially inflate trading volume with the intent to mislead market participants

## Morality

If an Employee commits any act, which:

- Is an offence involving moral turpitude under central, state or local Laws
- Might tend to bring the Employee to public disrepute, contempt, scandal or ridicule
- May embarrass, offend, insult or denigrate individuals or groups
- May shock, insult or offend the community or the Company's workforce or public morals or decency or prejudice the Company
- Results in actual or threatened claims against the Company

TresVista has the right to look into such matters and take necessary actions in its sole discretion as it deems appropriate. These actions might include but are not limited to the immediate right to unilaterally terminate the Employment Agreement for cause; in such cases no prior notice of termination is provided, upon written notice to the Employee.

## Fair Dealing, Diversity and Equal Opportunity

- TresVista condemns discrimination in any form and aims to provide a healthy and dignified work environment for all Employees
- Employees must treat all fellow Employees and third parties with respect and merit irrespective of their sex, age, sexual orientation, marital status, caste, religion, color, race, nationality, or any disability they may have. Harassment and bullying are considered as gross misconduct and are prohibited
- Employees must create a culture of fairness and transparency, which includes treating those with whom we have professional relationships with respect and ensuring that Employees consider the impact of their decisions and actions towards all stakeholders
- TresVista does not hire or terminate, reward or punish, or award or deny contracts based on personal considerations, including but not limited to favoritism, nepotism, or bribery



## Confidentiality

During and after the term of their employment, Employees must:

- Hold in the strictest confidence and not use, divulge or disclose, disseminate, publish, lecture upon, sell or transfer any Confidential Information to any Person except as required by their employment and for the benefit of the Company
- Not permit any Person to examine and/or make copies of, any documents, writings, drawings, materials or records, that contain or are derived from any Confidential Information received during the term of employment without the Company's prior written permission
  - Such Confidential Information is solely and absolutely vested in and owned by the Company, and the Employee does not have or claim any right, title or interest therein
- Not divulge or disclose to any other Employee, the Employee's salary or bonus arrangements with the Company
- Comply with, and do all things necessary to permit the Company to comply with all Laws, and with the provisions of contracts executed by the Company relating to Intellectual Property or to the safeguarding of information, including the signing of any confidentiality agreements required in connection with the performance of their duties and functions
- Hold and use the Confidential Information which may be in the nature of unpublished price sensitive information as defined in the SEBI's (Insider Trading) Regulations, 1992 (as may be modified/amended/re-enacted from time to time), in the manner and in terms of those regulations
  - Not pass along sensitive information or tip anyone to buy or sell securities whilst in possession of such information of such securities
- Upon termination of employment for whatever reason, deliver to the Company all working papers and/or other material and copies provided to the Employee pursuant to their employment or prepared by the Employee during the term of their employment, without retaining any copies
- Follow the highest standards of information security to keep any Client information confidential in order to protect the confidentiality and sensitivity of the information provided by them
- Ascertain that any data shared by the Clients is used for intended purposes only and any sensitive information is not divulged to anyone, including third parties, without the explicit consent of those involved - unless disclosure is required by Law or regulation
- Believe that all information about the Company and its business (including the past, present and Prospective Clients, business partners, vendors, directors, and Employees) is confidential unless otherwise stated
- Not share user IDs, passwords, access details, software, or authentication devices that are intended for individual use to gain access to a system



- Respect the Company's security controls and access information only within their authorized access level
- Not discuss the Clients in public to prevent unauthorized people (outside the team) from gaining access to this information
- Not share any data or information within or outside TresVista unless express consent is received from the respective Manager or other authorized Employee
- Confirm that all the files are precisely stored, deleted or destroyed as directed by the Manager or other authorized Employee and as mandated by the contract
- Not cause any unauthorized disclosure of any material, through any failure to exercise due care and diligence
- Not reproduce, store in a retrieval system or transmit in any form or by any means, electronic, mechanical, photocopying, recording, scanning or otherwise, any copyrighted material which is the property of the Company, for their own benefit or for the benefit of any Third Party, that contain or are derived from any Confidential Information received during the term of their employment
- Not at any time during the continuance of their employment or on expiry or termination or cessation of employment with the Company, issue any unauthorized statements to the press or any Third Party regarding the Company, the Company's business, this Agreement and their employment with the Company
- Not have or claim any right, title or interest therein since Confidential Information shall be deemed as the Company's trade secrets and solely and absolutely vested in and owned by the Company
- Obligations under this section continue after the termination of employment, without any restrictions regarding time (i.e., indefinitely) and are binding upon the Employee's heirs, assigns, executors, administrators and other legal representatives. Employee's obligations under any such additional confidentiality agreements shall supplement and not override the other provisions of this policy unless otherwise expressly stated otherwise. The obligations under this section do not apply:
  - To information which is or comes in the public domain other than through the Employee's unauthorized disclosure
  - To the extent that such information is required to be disclosed by any Law or any applicable regulatory requirements or by any regulatory body to whose jurisdiction the Company is subject or with whose instructions it is customary to comply under notice to the Company
  - In such cases, the Employee must immediately notify the Company and cooperate as reasonably requested by the Company in its attempt to prevent or limit such disclosure
  - To prevent the Employees from using their own personal skill in any business in which they may lawfully be engaged after the termination of their employment, provided such employment is in compliance with exit formalities provided in the handbook (Refer to the section 8.4 of this handbook)



## Communication

During and after the term of their employment, Employees must:

- Use electronic technology maintained by the TresVista responsibly and professionally
- Foster open lines of communication amongst team members
- Ensure Client communication is complete, accurate, professional, and consistent with the Employee's stated duties to Clients
  - It is essential to proofread all emails prior to sending and use a business email address with proper signature
- Avoid phrasal verbs, contractions, colloquial, and textspeak in any written communication, whether internal or external
- Disclose to Clients and Prospective Clients the basic format and general principles of the processes used at TresVista and promptly communicate any changes that might materially affect those processes. It is essential that Employees use reasonable judgment in identifying factors that are essential to servicing Clients and include these factors in communication to both current and Prospective Clients
- Refrain from exaggerating or using inaccurate statements that could be easily misunderstood or used against TresVista in legal proceedings

## Commitment to Quality

- TresVista aims and ensures to deliver unmatched quality to its Clients by helping every Employee embrace the ethos of utmost diligence and establish multiple levels of quality checks and instant investigation and correction of any deviations
- TresVista only recommends services/solutions that it believes is a proper fit for each Client's needs
- Employees must make reasonable inquiries into a current or a Prospective Client's requirements, industry practices, business requirements, and constraints, if any, and strive to re-assess and update this information regularly
- Employees must ensure that any completed Product is suitable and consistent to the Client's written objectives, and mandates, specified orally, via emails or in line with the terms of the signed agreement
- It is imperative for Employees. to be honest and upfront in advertising and marketing claims to avoid misrepresentation, exaggeration, ambiguity and reduce complexity and excel at execution

## Ownership

During and after the term of their employment, Employees must:

- Act with reasonable care and exercise prudent judgment
- Accept responsibility for any decisions or actions that may impact the Company's interests or stakeholders





- Act for the benefit of Clients and place the Client's interests before the Company's or the Employee's personal interests
- Ascertain accuracy and completeness in the delivery of the Company's services
- Display consistency between speech and actions
- Commit to have zero tolerance for both internal and external Fraud
- Report potential or suspected violations of the Law or TresVista policies including, situations when they know or suspect that other Employees are currently or potentially engaging in illegal, or unethical activities

## Partnership

During and after the term of their employment, Employees must:

- Work with others to develop solutions and break down internal barriers
- Assume positive intent in working with others, value and encourage diversity
- Share ideas and Resources across the Organization for scale and impact
- Manage Resources rather than owning them
- Build effective relationships with colleagues and industry partners to enable others to be successful
- Discuss the importance of ethics and compliance regularly with all team members
- Deliver and seek timely and actionable feedback
- Foster fair competition between any potential suppliers and encourage suppliers to comply with the sound business practices TresVista embraces, follow the Law, and conduct activities in a manner that respects human rights
- Build a positive working environment, along with the responsibility to speak out and ask for a change if any conduct that runs contrary to this principle is observed

## Health and Safety at the Workplace

Employees must be cautious and do nothing that might endanger or harm TresVista's business associates in any way – whether they are fellow Employees, vendors, visitors, etc. Employees are expected to keep the workplaces safe by following the health and safety norms, ensuring a safe, dignified, and productive work environment.

## Objectivity and Independence

Employee should work at TresVista in a professional manner with objectivity, independence of mind and appearance. Employees must impose an obligation on their fellow Employees to not compromise their professional or business judgment because of bias, conflict of interest, or any undue influence of others.



## Fairness, Care, and Respect towards Employees

Employees must treat fellow Employees & third parties in TresVista, with fairness, care, and respect and make all decisions in complete fairness and free from competing self-interest and prejudice.

## Human Relationships

Employees must ensure that relationships with fellow Employees and third parties are based on trust, integrity, and respect. They must avoid aggression (physical or verbal) or any related act against personal dignity.

## Good Environment Practices

- TresVista pledges to minimize wastage of energy, water, and other Resources, prevent discharge that would harm the environment, and recycle wherever possible
- TresVista strives to ensure and demonstrate continuous improvement in preserving the environment
- Employees must ensure to switch-off lights, computers, printers, and other electronic devices when not in use and/or at the end of the workday and avoid unnecessary printing of documents
- Employees must make a judicious use of air-conditioning and heating devices and switch-off devices when not in use

## Additional Compensation Arrangements

- Employees should not accept gifts, benefits, compensation, or consideration in any form from the Clients, vendors, consultant, service provider, and any outside agency or other parties who have a business relationship with TresVista without following the approval matrix prescribed in Compliance Manual saved on SharePoint
- Employees should not accept any remuneration, salary, fee, perquisites, or other compensation in any form from any Person, or entity for working as part-time, assignment, contractual basis or otherwise

## Loyalty, Prudence, and Care

- Employees must not use Resources, including time, material, equipment, and information provided by TresVista for personal use or to create, access, store, print, solicit or send any materials that are harassing, threatening, abusive, sexually explicit, or otherwise offensive or inappropriate
- Employees must not use any equipment of TresVista such as computers, copiers, and fax machines in the conduct of an outside business or support of any religious, political, or other daily activity, except for Company-requested support to non-profit Organizations
- Employees who represent TresVista must behave responsibly and use good judgment to conserve Resources



## Upholding the Code

- The Board of Directors (Board) and Management of the Company are committed to the maintenance of high standards of ethics, honesty, and integrity, and promoting a corporate culture that adheres to these values
- TresVista does not accept any justification or excuse for breaking the code, for whatever reason – whether for profit, convenience, competitive advantage, or request/demand from any third-party or individual

## Fraud, Whistleblower and Raising Concerns

- TresVista through its work ethics is committed to the highest standards of moral and ethical behaviour and has a zero tolerance for both internal and external Fraud
- Each Employee at TresVista is its ambassador and expected to uphold the principles of honesty and integrity, on which TresVista is built. With a view to ensure ethical behaviour; TresVista considers it appropriate to provide a channel to its Employees and stakeholders to speak up when they see behavior inconsistent with its values and bring to the notice of the Compliance department any event of concern that may warrant necessary disciplinary action (E.g., an Employee raising a concern regarding the dishonesty of a superior/an Employee from the top Management)
- Through this clause, TresVista is committed to support and enforce the Fraud and Whistle-blower Policy, which aids in the detection and prevention of Fraud. This clause also ensures honest, open and well-intentioned working environment where people are confident to raise their concerns without fear of reprisal, retaliation, discrimination or any kind of harassment
- Any concerns involving unethical behavior should be reported via email to the Ethics Committee at [coe@tresvista.com](mailto:coe@tresvista.com)

## Ethics Committee

- The Ethics Committee has been designated to deal with grievances, and unethical issues arising in the Organization and Employee's acts within and outside their employment at TresVista, which might damage the Company's reputation or adversely impact Client and vendor relations
- The Committee offers assistance in addressing and giving solutions to the issues mentioned above with the intention of establishing fairness in the Organization

### 1. Definition

Cases under the purview of the Ethics Committee include, but are not limited to:

- Violation of the code of ethics or code of conduct
- Unauthorized consumption of alcohol in the office premises
- Misuse of the Company's Resources
- Theft/embezzlement in and/or around the office premises
- Misappropriation or misrepresentation of Company funds



- Misconduct by another Employee
  - Engaging in physical or verbal abuse with other Employees
  - Bullying or playing pranks on another Employee
- Discrimination based on caste, religion, gender
- Damage caused to TresVista's property
- Undue influence/nepotism
- Cheating/malpractices while completing training assignments
- Issues with Manager/superior
  - Inappropriate or unethical conduct
- Violation of Company policies and procedures
- Working conditions
  - Concerns regarding infrastructure
  - Workplace hygiene
  - Workplace decorum
- Any act which might bring the Employee to public ignominy, offends other Employees or public ethics or pose a risk to the Company's reputation

## **2. Scope**

- This clause applies to all Employees of TresVista
- For this clause:
  - Complainee refers to an Employee who is complained about, a subject of the complaint
  - Complainant refers to a Person who files a complaint

## **3. Points to Note**

- All Employees of TresVista must report any grievances, unethical issue/s, violation of code of ethics or code of conduct experienced by them, or brought to their knowledge or witnessed any act that might damage the Company's reputation to the Ethics Committee
- Confidentiality of information of a complaint against unethical issues/grievances or any inappropriate act of Employee (including name of the complainee, details of the complaint and all related matters) must be maintained at all times

## **4. Committee Formation**

- Inquiry into complaints against unethical issues and grievances is undertaken by an Ethics Committee ("EC") at TresVista
- The Committee comprises of senior members of the Firm who review all reported cases



- EC should be reconstituted per the tenure defined by the Organization

## **5. Stages of Redressal Mechanism**

- Employees should follow standard guidelines before lodging a complaint. At times complaints can be a way of negative feedback, which may not require a resolution or formal follow-up
- The complainant may choose to express their concern to the respective Manager/head of Employee's department or write to the EC directly

## **6. Complaint Making**

- A written complaint to the EC with a detailed record of the incident(s) (such as date, time, locations, details of the incident, etc.) is mandatory for initiating an inquiry into the matter
- The complaint can be raised by sending an email to [coe@tresvista.com](mailto:coe@tresvista.com)
- The EC does not investigate against anyone based on verbal complaints

## **7. Malicious or False Complaints and False Evidence**

- A Person making a false complaint or providing false evidence in an inquiry is subject to disciplinary action
- A mere inability to substantiate a complaint, or provide adequate proof, does not lead to the complaint being considered as false or malicious

## **8. Inquiry Process**

- The EC follows the inquiry process as laid out in the guiding principles of the Ethics Committee
- The EC hears both, alleged complainees and complainants to record their statements
- Both parties may submit evidence and a list of witnesses supporting their statements, to the EC
- Upon receiving any concerns regarding unethical issues/grievances, the EC convenes a meeting to deal with the complaint and makes a preliminary inquiry to verify the facts for the complaint within a time frame of two (2) to five (5) working days from the time of the receipt of the written complaint.

## **9. Post Inquiry**

- If the allegations against the complainees have not been proved, the EC does not take any action in the matter
- If the allegations have been proved, the EC takes appropriate action against the complainees based on the disciplinary actions under this clause, and the decision of the Committee is binding and final

## **10. Reports and Documents**

- Investigation results are not disclosed or discussed with anyone other than those who have a legitimate need to know. This is important in order to avoid damaging the reputation of the complainees subsequently found innocent of wrongful conduct and to protect the Company from potential civil liability



- All disclosures made by the Ethics Committee, reports and documents obtained during the course of any investigation, along with the results of the investigation relating to it, are retained by TresVista for a minimum period of four (4) years
- EC submits a summary of the reported concerns, if any, on a quarterly basis to the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com)) and the Management, highlighting the following:
  - Nature of reported cases and the proposed action
  - Status of cases reported in the current/prior period and the action taken
  - Results/status of any investigations/enquiries with reference to the cases reported

## Disciplinary Procedures

- In case of any violations (whether it is the code of ethics, code of conduct, TresVista policies, or outside Laws, rules, and regulations), TresVista does not hesitate to report it to the relevant authorities
- The Employee, their Manager and any other Person who was conscious of the breach and did not report it is subject to the following disciplinary actions, including but not limited to:
  - Reconciliation/resolution of the issue through conversation
  - Rendering a written apology
  - Warning letter
  - Withholding Promotion
  - Reduction of performance rating
  - Monetary compensation to be paid to the Company
  - Termination with Cause in keeping with section 8.2 of this handbook

## Affirmation Process

Employees must declare that they have read and affirm their awareness of the Code as part of the annual affirmation process.

## Legal Notice

- This code serves as a reference to Employees. TresVista reserves the right to modify, suspend or revoke this Code and any policies, procedures, and programs in whole or in part, at any time, with or without notice. TresVista also reserves the right to interpret this code and these policies at its sole discretion as it deems appropriate
- Neither this code nor any statements made by any Employee of TresVista, whether oral or written, confer any rights, privileges or benefits on any Employee, create an entitlement to continued employment at TresVista, establish conditions of employment, or create an express or implied employment contract of any kind between Employees and



TresVista. Employees should also understand that this code does not modify their employment relationship, whether at will or governed by a written contract

## 2.8 Code of Conduct

The purpose of this policy is to define standards and set guidelines concerning acceptable behaviour from Employees. The code of conduct is a commitment to conduct business ethically and helps the Company lay the foundation for core Company values and maintain high standards of behaviour and performance. By committing to the code of conduct, Employees are expected to support the Mission, Vision, and PACT of TresVista.

### Overview

All Employees must conduct their personal affairs and manage their business transactions in a manner that does not result in adverse comments or criticism from the public, or in any way damage the Company's reputation as a responsible Financial Services Organization. This policy addresses both business and social relationships, which may present legal and ethical concerns, and sets forth a code of conduct to guide Employees and provides an understanding of consequences and disciplinary actions if the conduct is violated/not adhered to. Sections of this policy have reference matters for which specific policies also exist, this is because the code of conduct encompasses standards of behavior outlined in other TresVista policies.

### Applicability

This policy applies to all Employees of TresVista. Each Employee is expected to become familiar with TresVista policies that directly or indirectly impact their day-to-day operations/responsibilities and are required to affirm to have read and understood the code of conduct at the time of joining.

### Particulars

- TresVista expects its Employees to fully comply with the spirit and intent of all applicable Laws, rules, and regulations in accomplishing their assigned duties while using good judgment and ethical standards
- Compliance to the code of conduct is mandatory and all Employees are expected to comply with the policy when performing their duties
- Employees are expected to understand their obligations as per the guidelines defined in this policy
- Employees must promptly report any known or suspected violations of the Company's code of business conduct and ethics
- Adherence to the code is monitored through audit, examination, and human resource procedures

### Fair Outcome and Conduct towards the Clients



- Serving Clients is the focal point of TresVista’s business and they deserve the highest quality service and standards in all transactions
- Employees must build and foster long-term relationships. This helps serve the Clients better and improves and upholds the Company’s reputation
- Employees should provide Clients with valued services and deal with them fairly
- Employees must act with integrity and do everything possible to provide excellent service to them either directly or by supporting the work of other individuals
- Employees must not make any promises that cannot be fulfilled by them or the Organization
- Employees must ensure that TresVista’s services are:
  - Well-designed
  - Efficient
  - Transparent and based on useful advice
  - Performed as expected

## Payment to Clients and Vendors

- Payments of any nature, which would violate any Law, are not allowed by the Organization
- All payments of fees must be per sound business practices
  - Payments, gifts, or favours must not be made to any Person with the intent to induce them to violate their duties or to obtain favourable treatment for the Employee or TresVista

## Disclosure to the Media

- Social Media policy is supplementary and should be read in conjunction with this policy. The purpose of these social media policies is to ensure that Employees understand and comply with TresVista's disclosure requirements in terms of media interaction and public presentations. The detailed social media policy can be referred to under sections 4.8 of this handbook
- If Employees are delegated to speak on behalf of TresVista, they are briefed before being interviewed, to review what is public and private information
- Also, if asked for opinions from the media regarding any of their outside interests, Employees should know that their comments are strictly personal. They should be cautious not to compromise on the Mission and Vision of TresVista

## Conduct when representing TresVista

- Employees must conduct themselves professionally and with personal integrity, both in and out of the workplace, reflective of TresVista values





- Employee must communicate and negotiate honestly with all Clients, partners, stakeholders, suppliers, associates, and other members of the public
- Obligation to act with integrity and within the spirit of this code of conduct continues while traveling, whether domestically or internationally
- It is imperative to avoid having alcoholic drinks while representing TresVista at social gatherings and parties
- Employees are expected to carry an official identity card, and any other document like business card, etc. as may be required to represent TresVista

## Involvement in Out-of-Office Activities

- This clause helps Employees understand and comply with TresVista's code of conduct
- They must refrain from directly or indirectly expressing or using the Company's name while involving themselves or participating in or providing their views and opinions on sensitive matters, including but not limited to political, social, or any other comments on any platforms

## Conduct in the Company

- Employees are expected to maintain high standards of professionalism as set by TresVista. TresVista aims at enhancing its reputation as a quality service provider and an enjoyable, stimulating, and challenging place to work
- It expects its Employees to achieve and maintain high standards of ethics, professional conduct, and work performance to ensure that TresVista maintains its reputation with all internal and external stakeholders
- High ethical standards must be recognized and valued. Any unethical or illegal behavior must be reported to the Ethics Committee ([coe@tresvista.com](mailto:coe@tresvista.com))
- An environment of honesty, trust and integrity must be maintained
- TresVista's property must be maintained and not be damaged intentionally
- In all dealings with third parties, the policies and directions of the Company must be complied with
- Any behavior or collective action which harms or could harm the integrity and/or interests of TresVista must be avoided
- Use of any Resources in connection with any illegal activity is strictly prohibited, and TresVista cooperates with any legitimate Law enforcement investigation of potential criminal activity

## Absenteeism and Tardiness

Employees must adhere to the work hours defined for them. They are expected to be punctual when reporting to work.

## Equal Opportunity



- TresVista ensures to provide equal employment and advancement opportunities to individuals without distinction or discrimination because of age, color, national origin, race, religion, caste, sex, physical or mental disability, or veteran status
- This clause applies to all Employees and candidates for employment and all aspects of the employment relationship, including recruitment, hiring, compensation, benefits, training, transfer, and any other terms and conditions of employment

## Professionalism

Employees must show integrity and professionalism in the workplace.

## Personal Appearance

Employees must follow the dress code and personal appearance guidelines as mentioned in the section 3.4 of this handbook.

## Respect in the Workplace

- Employees should respect their colleagues and should maintain a safe and inclusive work environment free from discrimination, bullying, harassment, or exploitation of any form
- Employees must be open to communicate with their colleagues, seniors, or team members
- Employees should treat colleagues fairly and work together to deliver the brand promise
- Employees should be friendly and collaborative and should not disrupt the workplace or pose any obstacles to their colleagues' work
- Employees are expected not to use foul language while communicating within the office premises and during official duties outside the office premises

## Communication with Former and Potential Employees

Employees should be careful in speaking with former and/or potential Employees and not disclose Confidential Information about the Company, even if it is something that they may already know.

## Legal and Social Responsibility

Employees must ensure that their actions comply with and are within the meaning and intent of all applicable Laws and regulations. Employees' actions should be free from suspicion and criticism and have no adverse impact on society.

## Sustainability and Environmental Protection

- TresVista continuously educates its Employees on environmental issues and stimulates individual and local initiatives



- TresVista strives to continually reduce environmental impact and endeavors to reduce energy consumption and waste etc.
- TresVista encourages Employees to use eco-friendly means of transport, and set environmental requirements when purchasing goods and services

## Protection of Company Property

- Employees should treat TresVista's property, tangible or intangible, with respect and care
- Employees should not misuse TresVista's equipment or use it frivolously
- Employees should respect all kinds of intangible property, such as trademarks, copyrights, etc. and should use them only to complete their work responsibilities
- When exiting or retiring from TresVista, Employees must ensure that they return all Company property in their possession, including but not limited to records and equipment

## Protection of Confidential Information

- Employees of TresVista should protect Confidential Information about the Company, Clients, etc. received during the term of their employment
- For ensuring that Confidential Information is well protected, Employees should disclose information only on a "need-to-know" basis
  - Details can be referred to in Compliance Manual saved on SharePoint

## Prohibition of Insider Trading

- TresVista restricts its Employees from trading in personal accounts using price-sensitive information of Clients received during the term of their employment for personal gain/benefit
  - Details can be referred to in Compliance Manual saved on SharePoint

## Frauds and Thefts

TresVista ensures that incidents of Fraud and theft relating to the Company are promptly investigated, reported, and, where appropriate, prosecuted.

## Anti-Bribery

- This clause helps Employees understand and adhere to the Company's ethical standards and comply with legal obligations
- It restricts Employees from directly or indirectly, offering, giving, requesting, or accepting any bribe from any Clients, business associate, vendors, competitors, government officials or any other parties, thus observing and upholding TresVista's position on bribery and corruption



- Employees must ensure that they demonstrate high levels of integrity, act ethically, honestly, transparently and in a trustworthy manner in all their deals to protect the Company's and their own interests

## Internet Usage: Cybersecurity, Social Media, and Corporate Email

- Employees must refrain from sharing information that is private or proprietary to TresVista
- Employees must avoid posting derogatory comments about Clients, competitors, employer, or their practices on social media
  - For more information, kindly refer to the section 4.8 of this handbook
- Employees must align themselves with the Company's Social Media and Social Media (Corporate Accounts) policies and plan before posting anything on social media platforms

## Sexual Harassment

- TresVista does not tolerate sexual harassment, which involves the solicitation of sexual favors or the initiation of any unwelcome sexual advance by one Employee towards another. It may also include other sexually related physical or verbal conduct. The creation of a work environment that is hostile, intimidating, or offensive to an individual or a group because of gender may also constitute sexual harassment
- Employees throughout TresVista should treat one another with courtesy, dignity, and respect, regardless of gender
- Employees must be alert to the possible presence of sexual harassment in the workplace. Appropriate steps must be taken to prevent sexual harassment. Complaints about sexual harassment can be made to Manager, Human Resources department, or the Internal Committee. Any charges should be promptly, reasonably, and thoroughly investigated. There is no retaliation for truthfully reporting sexual harassment or participating in the Company's investigation of a complaint
- If sexual harassment occurs, it leads to immediate disciplinary consequences ranging from a warning to Termination with Cause
  - For more information, refer to section 2.6 of this handbook

## Drugs, Alcohol and Smoking

- Employee must not distribute, possess or use illegal or unauthorized drugs or alcohol on the Company's property, time, in connection with the business or in a manner that might affect the performance of their responsibilities and duties to the Company
- No Employee is permitted to smoke at the workplace
- Employee whose behavior, judgment, or performance is impaired by drugs or alcohol should not report to work. Such Employees are prohibited from entering the Company's premises or engaging in Company business
- Violation of this clause is serious and results in the appropriate disciplinary actions, including Termination with Cause



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## Workplace Violence

- Employees should have a safe place to work. Workplace violence, including threats, threatening behavior, harassment, intimidation, assaults, and similar conduct, is not tolerated
- Any threats or concerns about Employee's safety or the safety of others must be immediately reported to the respective Managers

## Violation

In case of any violations (whether it is the code of ethics, code of conduct, TresVista policies or outside Laws, rules, and regulations), TresVista does not hesitate to report to the relevant authorities. Additionally, the Employee, the Employee's Manager or any other Person who was conscious of the breach is subject to the disciplinary action including but not limited to Termination with Cause.

The background features a dark blue field with several overlapping geometric shapes. A large, light blue chevron shape points downwards from the top left. A grey chevron shape points downwards from the top center. Another dark blue chevron shape points downwards from the top right. The text 'Working at TresVista' is centered in the lower half of the image.

**Working at TresVista**



## 3. Working at TresVista

The purpose of this section is to educate Employees on general office policies and guidelines pertaining to their day-to-day operations.

### 3.1 Work Hours and Attendance

This policy is to inform Employees about the guidelines concerning office hours, shifts, and attendance.

#### Work Hours

- **Office Hours:**
  - The timings shall be decided by the Company from time to time, subject to work commitments and responsibilities of the Employee. The Employee:
    - Shall be required to adhere to the office hours as may be intimated from time to time
    - Understands and agrees that no compensatory offs are provided by the Company for working late and/or on weekends or Firm-wide Holidays
    - Understands and agrees that the compensation payable as part of their employment includes wages and overtime payments and no separate overtime payments would be paid to the Employee
  - The Company may, at its discretion, vary its working hours for any specific Employee to meet its requirements on giving the Employee reasonable notice. If requested to do so by the Company or their Manager, the Employee must keep such records and permit such monitoring or restrictions of the working time as the Company requires
- **Flexibility:** If the Employee has worked late the previous night or is aware they will be working late in the current day, they may be permitted the flexibility of reporting late to work to the extent permitted by the Manager. Further, an Employee may be excused from the office early if they arrived at work early, to the extent permitted by the Manager. However, Employees shall be required to obtain prior consent from their Manager for all situations when reporting after or leaving before office hours, otherwise, the day may be treated as a Personal Day at the discretion of the Manager
- **Emergency Work Requests:** If an Employee knows they will be unavailable on a weekend or a Holiday or will take more than usual time to reach office, they must inform their Manager in advance so that the Manager can plan any last minute or emergency work demands accordingly. Consistent unavailability outside office hours must be avoided

#### Attendance

- When working from office, Employees are expected to use the biometric on every entry and exit



- Tailgating will be counted as non-compliance to office rules and will lead to consequences as per the consequence matrix of the physical security policy (Refer to Compliance Manual saved on SharePoint)
- Employees must apply for leaves availed by them, using the 'Leaves and Flexwork' module on DarwinBox
- When working from home, Employees are expected to clock-in on DarwinBox, to mark their attendance for the day
- In case Employees are unable to record their leaves/attendance for the day, they may regularize it on DarwinBox, the next day
  - Failure to do so will lead to the day(s) being marked as a Vacation Day on DarwinBox
- In case employees notice any discrepancies in the punch-in/punch-out time for the days they were working from office, they can regularize and mark such days as 'Present – Biometric Issue' on DarwinBox
  - Employees must not regularize their attendance in case their punch-in/punch-out details are accurately captured on biometric, irrespective of their actual punch-in/punch-out time
  - Regularizing accurate punch-in/punch-out details via this option may wipe out the employee's biometric capture for that particular day and impact the in-office presence calculation, per the hybrid guidelines
  - Detailed guidelines on regularizing attendance on DarwinBox can be referred to in the 'User Manual - DarwinBox Attendance', saved on SharePoint
- Leaves taken by Employees within ninety (90) days from their date of joining, will be recorded as unpaid leave on DarwinBox
- Employees cannot be away from office (base location) for more than consecutive 10 working days, including availing vacation days, personal days, flexwork and/or work from home days as per the hybrid guidelines, in isolation or in combination
  - Non-adherence to the above clause will lead to monetary impact
- An Employee must notify their Managers when they are away from their desk for an extended period of time
- All Employees must ensure that any attendance request or leave taken is applied for and approved on DarwinBox per the timeline decided by the Corporate Finance Department, otherwise these days will be auto-deducted from their Vacation Days balance
- In the absence of a sufficient Vacation Days balance, these days will be marked as unpaid leaves. The process in this regard is defined below:
  - Employees are eligible to receive 75% of their salary for these days in the next salary cycle subject to Manager approval, however, a standard 25% deduction for each day, will apply
  - To receive this amount, Employees must share Manager approval with the Corporate Finance Department within the current month's attendance timeline
- Absence due to contingencies:





- In case of any unforeseen situation, Employees are expected to inform their Manager before 9:00 AM if they will be delayed or absent. Tardiness may result in the Manager marking the day as a Personal Day
- In case of unforeseen situations, such as bandhs or public transportation strikes, Employees are expected to work from home. In case they are unable to work from home, this day(s) will be deducted from the Employee's Leave Balance unless such a day is declared to be a Holiday
- An Employee is not permitted to be absent for more than eighty (80) working days in any twelve (12) month period for any reason other than maternity leave and paid extended sick leave

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action which may include but not be limited to policy reminder, re-training, impact on review rating, issuance of warning letter, or termination.

## Working in Shifts

Employees working in shifts can reach out to their Managers for details related to eligibility, shift-structure, reimbursements, etc. Any updates/changes to these details will be communicated to the Employees. as and when required by the Company/respective Managers, as applicable

## 3.2 Hybrid Guidelines

The purpose of this policy is to provide a framework to Employees on working from the office/home in the hybrid model.

### Applicability

This policy is applicable to all Employees.

### Particulars

- **Working from Office:**
  - Employees must work from office for a minimum of 60% of their total net-working days in any given week, unless informed otherwise
  - Employees must mandatorily work from office for 60% of their total net-working days on a half-yearly basis (i.e., from January 01 to June 30 and from July 01 to December 31)
    - Net-working days include flexwork, hybrid deviations (if any), field days, etc. and exclude all types of leaves, Firmwide Holidays, and weekends



- Employees availing of their flexwork balance and/or opting for hybrid deviations any time during the half-yearly period will have to ensure that their in-office presence at the end of the half-yearly period is at least 60%
- Employees cannot be away from office (base location) for more than consecutive 10 working days, including availing vacation days, personal days, flexwork and/or work from home days as per the hybrid guidelines, in isolation or in combination
  - Non-adherence to the above clause will lead to monetary impact
- **New Joiners:**
  - Employees are required to work from the office/training venue until their training period is completed
    - In case employees are attending training from the training venue which is outside of the office premises, they should clock-in and mark such days as 'Present – Field Duty' on DarwinBox by the end of the week, which will be considered as working from office, per the hybrid model
    - Detailed guidelines on regularizing attendance on DarwinBox can be referred to in the 'User Manual - DarwinBox Attendance', saved on SharePoint
  - Employees joining anytime during the half-yearly period must work from office for 60% of their net-working days from their date of joining until the end of the half-yearly period
- **Employees Serving Notice Period:** Employees are required to work from the office per the hybrid model while serving their Notice Period, and should mandatorily work from office on their Last Working Day (deviation process does not apply on the Last Working Day)
- **Working from Home:**
  - When working from home, it is recommended that Employees are based out of their respective base locations
  - In case employees forget to clock-in on DarwinBox when working from home, employees may regularize their attendance by marking such days as 'Present – Forgot to Clock-In/Clock-Out'
    - Failure to do so will lead to the day(s) being marked as a Vacation Day on DarwinBox, as applicable
    - Detailed guidelines on regularizing attendance on DarwinBox can be referred to in the 'User Manual - DarwinBox Attendance', saved on SharePoint
- **Deviation Process:**
  - In case Employees are unable to meet the defined hybrid guidelines in a given week due to health or unforeseen emergencies, they may work from home for up to one (1) week in a given month basis Manager approval
    - Managers must report all such approvals to the Strategy department in the defined format, on a monthly basis
- **Exceptional Approval:**



- Request to deviate from the hybrid guidelines for any other reason or requests to work from home for more than one (1) week in a given month will require an approval from the Exceptions Committee
- Employees should raise exception requests only after utilizing benefits available to them (i.e., leave and flexwork balance, hybrid deviation)
- Exception requests are shared with the Committee every two (2) weeks (tentatively mid and end of the month) on a Wednesday and Employees must share their requests with the Exceptions Committee ([exceptions@tresvista.com](mailto:exceptions@tresvista.com)) at least one (1) working day prior
  - o Requests received after this timeline are shared with the Committee in the next update, two (2) weeks later
- In the interim, until a decision is made on the request, Employees are required to opt for one of the alternatives listed below, given that these approvals cannot be backdated and are effective immediately
  - o Work from the office per the hybrid model
  - o Avail of leaves/flexwork
  - o Avail of hybrid model deviation for up to one (1) week per the process mentioned above, if applicable
- **Team Management in Hybrid Setup:**
  - It is recommended that Employees, line Managers and their respective VPs based out of the same office location work together from the office at least two-three (2-3) times a month
  - It is recommended that formal and sensitive conversations (e.g., Promotions, review discussions, structured feedback, etc.) are done in Person, to the extent possible
- **Seating:**
  - Each team has been allocated a defined number of seats and Employees can utilize the seats allocated to their team
    - The detailed floor plan can be referred to on SharePoint
  - **Pune and Bengaluru:** Open floor seating plan is followed, wherein Employees are not required to book seats and can directly utilize one of the seats allocated to their team
  - **Mumbai:**
    - Seating is managed via the SpotHold Portal and Employees are required to book a desk for the days they intend to work from the office
    - SVPs and equivalents are required to book cabins for the days they intend to work from the office
      - o In case of non-availability of cabins, they can reach out to the FMS department and book one of the seats allocated to their respective teams
    - Employees are only allowed to block seats in their allocated seating area



- Once the seats/cabins are booked, Employees are required to self-certify on the SpotHold Portal between 7:00 AM to 10:00 AM on the same day
  - o The desk/cabin are released if Employees fail to self-certify within the aforementioned timeline
- Dedicated cabins are provided to Management, hence, they are not required to book seats/cabins through the SpotHold Portal
- Employees can block seats on the SpotHold Portal for a maximum of thirty (30) days in advance
- Further details can be referred to in the SpotHold Portal User Manual, saved on the SharePoint

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix for hybrid guidelines under 'Annexure – People Policies' of this Handbook.

## 3.3 Working from Out of Office

The purpose of working out of office is to enable Employees to attend business activities outside the office on behalf of TresVista.

### Eligibility

This policy is applicable to all Permanent Employees.

### Particulars

- **Attending Business Activities on Behalf of TresVista:** Employees may work from outside the office on specific days wherein they attend activities on behalf of the Company (e.g.: meetings outside the office, campus recruitment drives, conducting/attending trainings, business trips, etc.)
  - Working from out of office is subject to Manager approval
  - These days are considered as working from the office, per the hybrid model. Employees must clock-in on DarwinBox and mark such days as 'Present – Field Duty'
    - Detailed guidelines on regularizing attendance on DarwinBox can be referred to in the 'User Manual - DarwinBox Attendance', saved on SharePoint
  - When working from out of the office, it is expected that Employees are available and are productive
- **Working From Another Office Location:**
  - Confirmed Employees. not serving their Notice Period, may opt to work out of other office locations once for up to one (1) week at a stretch (i.e., from Monday to Friday) in a given month, at their own personal expense, subject to Manager approval



- This flexibility is over and above the current guidelines on inter-city travel wherein eligible Employees are allocated a travel budget to meet their team
- **Seating Guidelines:**
  - When approving requests to work from other office locations, it is the Manager's responsibility to check and ensure that seats are available
  - **General Guidelines:**
    - Each team has been allocated a defined number of seats, EVPs and below can utilize one of the seats allocated to their team
      - The detailed floor plan can be referred to on SharePoint
      - If a team/department does not have seats allocated in a particular location, Employees can check with the FMS department on the availability of inter-city seats and accordingly raise a Ticket to block them
    - SVPs and equivalents can block a cabin by reaching out to FMS department
      - If no cabins are available, FMS department will block a seat on the floor or an inter-city seat
    - If no inter-city seats are available, Employees can check with the FMS department and leverage Management seats
  - **Location Specific Seat Booking Guidelines:**
    - **Pune and Bengaluru:** Open floor seating plan is followed, wherein Employees do not need to book a seat and can directly utilize one of the seats allocated to their team (e.g.: An HR Employee travelling from Mumbai to Pune can directly occupy one of the empty seats in the HR cabin)
    - **Mumbai:** Seating is managed via the SpotHold Portal and Employees can reach out to the FMS department to book a seat on their behalf
      - In case seats are not available, Managers must reject these requests and Employees are required to shift their travel dates accordingly

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action which may include but not be limited to policy reminder, re-training, impact on review rating, issuance of warning letter, or termination.

## 3.4 Dressing Guidelines and Personal Grooming

### Eligibility

This policy is applicable to all Employees.



## Particulars

- Employees are required to adhere to the dressing guidelines set by the Company and it is Manager's responsibility to ensure that their teams adhere to these guidelines
- A summary of the guidelines is mentioned below, and the detailed manuals should be referred to on SharePoint
- **Working from the Office:**
  - **Monday to Thursday:** Business casual, although business formal is recommended
  - **Friday:** Casuals
  - **Client Visits:**
    - If an Employee is meeting a Client or attending meetings outside the office on behalf of the Company, they are expected to be dressed in business formals
    - If a Client is visiting the office premises, Employees are notified in advance about the appropriate dress code
- **Working from Home:**
  - **Friday Casuals:** Day to day operations, internal training, or webinars (excluding induction training)
  - **Business Casuals:** External meetings, induction training, calls with Clients/Management and conducting internal meetings with more than ten (10) attendees
- **Weekends:** No dress code
- **Approval Mechanism for Deviations (Health/Religious Reasons):**
  - If Employees cannot adhere to the guidelines due to health or religious reasons, they must seek email approval from their Manager (VP and above), at least one (1) day in advance and mark the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com)) on all such communications
    - The email must have a defined time-period along with the reasoning for deviating from the policy
    - Managers can approve policy deviations up to a maximum period of 10 consecutive working days i.e., two (2) weeks at their level
  - Any requests to deviate from the policy for any reason (apart from health/religious reasons) or for more than 10 consecutive working days i.e., two (2) weeks will require an approval from the Exceptions Committee ([exceptions@tresvista.com](mailto:exceptions@tresvista.com))
    - In the interim, until Employees hear back on their approval request, they must adhere to the policy, or avail of their flexwork/Leave Balance if they are unable to do so
    - These deviations, if approved by the Committee, are effective immediately and cannot be backdated



## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action which may include but not be limited to policy reminder, re-training, impact on review rating, issuance of warning letter, or termination.

## 3.5 Communication

Given TresVista's diverse team and Client base, communication is integral to its success. For the sake of smooth and effective flow of communication, English will be the official language for all purposes.

The following communication channels are used within the Company:

- **Direct Communication:** Employees are encouraged to speak directly to their Managers regarding any day-to-day concerns/queries they may have (E.g., Functioning of the team, work related queries, etc.)
- **Helpdesk:** For any operational concerns/queries/requests, Employees should raise a Helpdesk Tickets with the respective departments. If Employees are dissatisfied with the resolution, they may escalate it in accordance with the defined SLA matrix, saved on the SharePoint
- **Viva Engage:** Viva Engage is the internal social networking platform of the Company with the aim of bringing together Employees across locations and teams. Employees can participate in events, share their thoughts/achievements/ milestones and engage with other Employees through this platform

TresVista prides itself on a culture based on openness and transparency. Any feedback or suggestions to improve the workplace are welcome.

## 3.6 Company ERPs

The Company has 2 enterprise resource planning (ERP) systems – Darwinbox and Microsoft Dynamics 365 to manage day-to-day internal activities of the Employees.

- A login ID and password will be provided to each Employee upon joining
- Employees can log-in to ERPs using the single sign-on (SSO) feature
- Manuals with detailed guidelines on how to use the below ERPs are available on the SharePoint
- It is recommended that Employees log-in to the below ERPs through Microsoft Edge to avoid any bugs that may arise in other browsers
- **DarwinBox:**
  - DarwinBox allows Employees to record and manage their personal information, leaves, attendance, etc.
  - The system can be accessed through: <https://tresvista.darwinbox.in/>
- **Microsoft Dynamics 365:** Microsoft Dynamics 365 allows interns to record their expense reimbursements and to access project hours, etc.



## 3.7 Personal Information

The 'Personal Information' module under the 'Profile' section on Darwinbox records each Employee's personal details such as educational qualifications, past work experience, contact information, food preference, etc. The Employee is required to fill in this page upon joining. At any given time, the 'Profile' page must remain updated. If there is a change in any details, the responsibility lies with the Employee to update the page immediately. The Management, respective Managers, and the HR Department have access to this page. An Employee is required to submit personal documents, as mentioned in the Offer Letter, before they join the Company. The Employee is responsible to ensure the Personal Information page on Darwinbox is updated; for instance, change in address or certification received. These documents are uploaded on Darwinbox and will reflect in the 'Personal Documents' page of an Employee. The documents include but are not limited to the Employee's passport, PAN card, mark sheets, driving license, and experience letters. The Management, the Accounting Team, and HR Departments have access to these documents.

All personal information is kept strictly confidential.

In the course of employment with the Company, the Company may obtain or have access to certain information about the Employee or his/her employment with any previous employers, including but not limited to information about the job and performance, health, education, contact details, absence from work and information obtained from Background Verification checks (collectively, "Personal Information"). The Company will use Personal Information in connection with the employment with the Company, to provide the Employee with health and other benefits, and in order to fulfill its legal and regulatory obligations.

TresVista can leverage an Employee's pictures and videos for the various marketing and communications materials and showcase the Employee engagement initiatives, reflecting culture and growth of the Organization. The content will be used for (including but not limited to) internal communication (e.g., Company/department updates, Yammer posts, etc.), external communication (e.g., Company website, social media posts, PR notes/articles, Company newsletter, etc.), and other print and digital communications as deemed appropriate by TresVista.

The Company will use Personal Information in connection with the employment with the Company, to provide the Employee with health and other benefits, and in order to fulfill its legal and regulatory obligations. Due to the global nature of the Company's business and need to centralize the Company's information and technology storage systems, the Company may transfer, use or store an Employee's Personal Information in a country (including the United States) or continent outside the country where the Employee works or lives, and may also transfer an Employee's Personal Information to its other group companies, insurers, and third-party service providers, as necessary or appropriate in the Employee's home country, the United States or other countries, and to any party that it merges with or which purchases





all or a substantial portion of its assets, shares, or business (any of which may be located outside the country or continent the Employee works or lives).

The Company may also disclose an Employee's Personal Information when it is legally required to do so or to governmental, fiscal, or regulatory authorities (e.g., to tax authorities in order to calculate appropriate taxation, compensation, or salary payments). The Company may disclose Personal Information as noted above, including to any of the third parties and for any of the reasons listed above, without further notice to the Employee. By receiving the Employee Handbook, the Employee consents to TresVista collecting, retaining, disclosing, and using Personal Information as outlined above and to transfer such information internationally and/or to third parties for these purposes.

### 3.8 Personal Use of Company Resources

The use of Company Resources for personal use is a privilege and not an entitlement, and may be revoked at any time.

Such use must:

- Be limited, infrequent and reasonable
- Be lawful, ethical, and efficient
- Incur no or minimal additional cost to TresVista
- Not impact the Employee's productivity
- Not interfere with the operation of the Company, or contravene Law
- Not interfere with or distract any other Employee from their work

The Management and Staff have the right to track usage of Company Resources to determine whether usage or involvement is excessive or inappropriate.

### 3.9 Phone Etiquettes

All Employees are expected to be reachable on their cell phones even when not in office.

It should be noted that:

- Employees must not have any caller tunes and/or disruptive ring tones as it is unprofessional
- While at work, the volume on the cell phone must not disturb people around. It is advised that Employees keep their phones on silent, while working from the office
- Messaging during meetings and discussions should be avoided as much as possible as it is ill-mannered and disruptive
- Phone games should be restricted to the recreation room or outside the office



Understand that personal communication is inevitable and sometimes necessary. However, it is expected that such communication will be kept to appropriate and reasonable levels.

## 3.10 Proof of Employment

### Eligibility

TresVista provides an employment verification proof to all Employees. on request.

### Particulars

Proof of employment may be required by Employees for various purposes, including but not limited to the ones mentioned below:

- **Visa Application:** An Employee who is applying for a foreign visa may request for an employment verification letter by the Company. TresVista has a set template for such letters, which includes information such as the Employee's designation and tenure, travel dates and destinations, name and address of the consulate, and salary (if required). In case, an Employee wants the letter in a particular format, they must draft the letter and send it to the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)). The letter is then signed by an authorized signatory
- **Bank Application:** An Employee applying for a bank loan, or a credit card may require an employment verification letter from the Company. In certain cases, an Employee may also need to get some of their personal documents attested by the Company

### Procedure for Application

- The Employee may raise a Ticket to the HR Operations team for a letter and/or attestation. Employees can expect to receive the documents within two (2) working days after raising a Ticket with the required information
- The letters only specify the Employees total gross compensation along with the Provident Fund amount. Details on bonus are not shared

## 3.11 Business Cards

The purpose of this policy is to provide Employees with business cards, for work-related purposes, upon request.

### Eligibility

This policy is only applicable to Employees designated as Vice President (VP and above), who are confirmed and not serving their Notice Period.



## Particulars

- Business cards are provided to Employees upon request, which must be raised via a Helpdesk Ticket to the FMS department under the subcategory 'Business Cards'
  - The FMS department then shares the business cards with Employees within two (2) weeks from the date of the Helpdesk Ticket
- It is recommended that Employees carry sufficient number of business cards at all times, for networking purposes such as work-related meetings or trips

## 3.12 Visitors

In accordance with TresVista's culture of approachability and hospitality, visitors must be treated with due respect and courtesy. When engaging with visitors in the office premises, Employees should be mindful of the explicitly defined clauses on Client confidentiality and ensure that there is minimal disruption to other Employees working in the office premises.

Detailed guidelines for visitors (Prospective Joiners, family members, relatives, friends of existing Employees/Prospective Joiners, and vendors) visiting the office premises across locations can be referred to in the compliance manual saved on the SharePoint.

## 3.13 Flexwork Policy

### Eligibility

This policy is applicable to all confirmed, Permanent Employees. not serving their Notice Period.

### Particulars

- Employees can avail of this benefit to work from any location within India, for two (2) weeks (i.e., ten (10) working days) in their annual Leave Cycle
- The benefit can be availed in a maximum of two (2) parts, i.e., five (5) or ten (10) working days at a stretch
  - However, if an Employee has to take a leave during the flexwork period due to medical or unforeseen emergencies, the original flexwork period is split into vacation/Personal Days and flexwork, accordingly
  - The balance flexwork days from the original flexwork period can be utilized separately in one stretch in the next flexwork request, but cannot be split any further
    - E.g. In a five (5) day flexwork request, an Employee was unwell and took two (2) days of leaves. The five (5) days are then split as three (3) days of flexwork and two (2) days of leave
    - The remaining seven (7) days can be taken as one (1) flexwork request



- Managers should be mindful when approving these requests and applications not meeting the defined criteria should be rejected
- Employees must ensure that their in-office presence at the end of the half-yearly period is at least 60% of their net-working days
  - Net-working days include flexwork, hybrid deviations (if any), field days, etc. and exclude all types of leaves and Firmwide Holidays (Refer to section 3.2 of this handbook)

## Procedure of Application

- Employees can apply for this benefit under 'Leaves and Flexwork' module on DarwinBox.

## Approval Mechanism

- Employees may avail of this benefit at Manager approval.

## Points to Note

- It is encouraged that Employees plan this benefit at least a month in advance
- All requests for flexwork must be applied for and approved on the system within the monthly leave/attendance timeline defined by the Corporate Finance Department
- Flexwork cannot be carried forward or encashed and any unused days lapse at the end of the annual Leave Cycle
- Employees can club this benefit with their leaves, at Manager's discretion. However, Employees cannot be away from office (base location) for more than consecutive 10 working days, including availing vacation days, personal days, flexwork and/or work from home days as per the hybrid guidelines, in isolation or in combination
  - Non-adherence to the above clause will lead to monetary impact
- For the days that Employees avail of flexwork, they are mandatorily required to clock-in on DarwinBox
  - Any miss in clocking-in leads to a direct impact on the utilization calculation
- The number of days an Employee works from the office in a week are pro-rated to the flexwork availed in that week
  - Detailed guidelines on the hybrid model can be referred to in section 3.2 of this handbook
- Flexwork cannot be availed of during the below-mentioned days and Employees are expected to be present in the office on these days:
  - TresVista Day (3<sup>rd</sup> week of November)
  - Review Delivery Period (3<sup>rd</sup> and 4<sup>th</sup> weeks of January/July, as applicable)
- Work timings and other guidelines (such as attendance, availability, responsiveness, etc.) remain as is



## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix for flexwork under 'Annexure – People Policies' of this Handbook.

### 3.14 Travel and Security Policy

The purpose of this policy is to provide guidelines to all Employees exiting the office premises post the legally mandated timelines or post 9:00 PM, as applicable.

#### (A) For Female Employees Exiting Office Premises Post the Legally Mandated Timeline

##### Eligibility

This policy is applicable to all female Employees if they are exiting the office premises post the legally mandated timeline:

- Mumbai and Pune: 9:30 PM
- Bengaluru: 8:00 PM

##### Particulars

- The Company will provide transportation service to the female Employees exiting post the legally mandated timelines, as applicable, for a safe commute to their residence
- First trip will be available thirty (30) minutes post the legally mandated timelines
- As a part of this service, female Employees will be accompanied by a Company-appointed male representative, to their residence, as per the address mentioned in the Company records (DarwinBox)
- **Approval Matrix:**
  - Female Employees can avail this service, subject to the Manager approval. In the absence of Manager, the approvals will be sought as follows:
    - For Analyst and equivalent: Line Manager
    - For Associate and equivalent: Self-approval
  - No separate approval will be required if VP and above female Employees avail this service



- For female Employees who are undergoing new hire training (NHT), the approval will be sought from the Training department
- It is mandatory for all female Employees to exit from the reception area (where the security guard is available) when exiting the office premises post above-mentioned timelines

## Procedure

- **For female Employees exiting post the legally mandated timeline and opting for transportation service provided by the Company:**
  - A Helpdesk request must be raised with the FMS department under the category of 'Ground Transport Services' with the necessary details
    - Requests must be raised and approved by the Manager (as applicable) minimum ninety (90) minutes prior to the departure
      - In case female Employees inform the FMS department about their requirement less than ninety (90) minutes prior to their departure, a justification will be sought from their Manager, post which, if possible, a cab will be booked on the spot, subject to availability
    - Requests will only be initiated after receiving the necessary approvals, as applicable
    - Incorrectly raised requests may lead to a delay in processing the requests
    - Requests shared via any other platform (E.g., verbal requests, emails, Microsoft Teams, etc.) will not be processed
  - Addresses updated on DarwinBox will be referred by the FMS department at the start of each quarter
    - In case the current residential address differs from the one mentioned on DarwinBox, a softcopy of the updated address proof (E.g., rent agreement, Aadhaar card, PAN card, driving license, etc.) must be attached as a one-time activity, while raising the request, after which FMS department will update the address in their records
      - Female Employees in the initial ninety (90) days from the date of joining are exempted from providing a softcopy of their updated address proof, in case of a change in their residential address. However, they are mandatorily required to fill in their updated address on DarwinBox by 3:00 PM on any given day
      - Post completion of the initial ninety (90) days, female Employees must mandatorily provide a soft copy of their address proof in case of change in their address
    - In case of deferring address from the one on DarwinBox or no proof of address change is attached while raising a request, it will not be processed further. Female Employees are then required to plan the commute on their own in line with the guidelines specified under 'For female Employees exiting



- the office premises post the legally mandated timeline but not opting for the transportation service provided by the Company'
- In case of change in address, female Employees should ensure that their current address is updated on DarwinBox at the earliest
  - In case the current address is not updated on DarwinBox by the beginning of the next quarter, female Employees will still be required to attach the address proof while raising the request
- Female Employees should update their personal and emergency contact details on DarwinBox as soon as there is a change in these details
  - Once the travel request is approved by the Manager, the FMS department will share the following details via email closer to the departure time, as applicable:
    - Departure slot and pick-up location,
      - Female Employees are required to be at the pick-up location five (5) minutes prior to their departure time
    - Details of the car (vehicle type, number, etc.)
    - Details of the driver and/or male representative (name, contact details, etc.)
    - Do's and don'ts to be followed during the trip
    - Link to the acknowledgement survey form which must be mandatorily filled in/responded by female Employees on the safe arrival at their doorstep
  - This service, across all office locations and drop distances (within a reasonable limit from the office premises), will be provided in intervals of 90 minutes, on a first come first serve basis
    - Multiple female Employees residing on the same route can be accommodated in one trip
    - No in between stops/halts will be allowed from the office premises to the residential address
  - This service will be provided subject to the logistical requirements, such as availability of cabs, male representatives, etc.
  - Conveyance reimbursements claimed by female Employees for the days they opt for this service, will be rejected by the Corporate Finance Department
  - On days when female Employees are working from another office location and wish to avail this service, they must include the following details while raising the Helpdesk request:
    - Email approval from their Manager to work from another office location (as an attachment)
    - Temporary address details
  - Once female Employees have been accompanied to their residence by the male representative, they must mandatorily:



- Sign the travel receipt confirming that they have been safely dropped off at their residence
- Respond and submit the acknowledgement survey form mentioned on the email shared by FMS department within fifteen (15) minutes of their arrival at their doorstep
- A SPOC from the FMS department will call on the registered mobile number of the female Employees to check on their safe arrival, if the response is not received within fifteen (15) minutes from the time they have been dropped off at their residence
  - In case the call is not answered, the FMS SPOC will call the emergency contact as mentioned on DarwinBox in next fifteen (15) minutes
  - In case emergency contact does not answer the call, the FMS SPOC will visit female Employees' address (as mentioned on the Helpdesk Ticket) in Person to verify their safe arrival
- **For female Employees exiting post the legally mandated timeline but not opting for transportation service provided by the Company:**
  - A declaration register must be mandatorily signed at the office reception if the female Employees exit the office premises post the legally mandated timeline and do not wish to opt for the Company provided transportation service
  - Female Employees. Undergoing new hire training outside office premises, must sign the declaration register kept at the training venue

## Non-Adherence to the Policy

- The below mentioned breaches shall lead to Disciplinary Action which may include but not be limited to policy reminder, re-training, impact on review rating, issuance of warning letter, or termination:
  - Not informing the FMS department of the safe arrival via the acknowledgement survey form after opting for the Company-provided transportation service, and/or;
  - Exiting the office premises post the legally mandated timelines without signing the Declaration Register and have opted out of the Company-provided transportation service
- In case female Employees do not utilize this service after the booking is confirmed, the applicable cancellation charges will be borne by them

## (B) For All Employees Exiting Office Premises Post 9:00 PM

### Eligibility

This policy is applicable to all Employees if they are exiting the office premises post 9:00 PM.





## Particulars

- Employees exiting the office premises post 9:00 PM can continue to claim conveyance expenses per the Reimbursements Policy (Refer to section 7.3 of this handbook)
  - Female Employees exiting the office premises post the legally mandated timelines (9:30 PM for Mumbai and Pune, and 8:00 PM for Bengaluru) must mandatorily sign the declaration register, if they do not wish to avail the Company-provided transportation service
- It is mandatory for all Employees to exit from the reception area (where the security guard is available) when exiting the office premises post the legally mandated timelines (9:30 PM for Mumbai and Pune, and 8:00 PM for Bengaluru)

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# **IT Systems and Securities**



## 4. IT Systems and Securities

TresVista provides its Employees with the latest and most effective information technology and urges them to use the infrastructure optimally and responsibly.

TresVista encourages the use of electronic communications to share information and knowledge to conduct the Company's business. To this end, TresVista supports and provides information technology facilities which include all hardware, software, and services that TresVista provides to its Employees to help them carry out their day to day official work ("IT Facilities"). An exhaustive list of all IT Facilities that the Company provides to its Employees from time to time basis for official purposes is available in the SharePoint.

The following sections cover the usage of all of TresVista's IT Facilities, whether owned or leased by TresVista or are under TresVista's possession, custody, or control; and all users, whether on TresVista's property, connected remotely via any networked connection or using TresVista's equipment.

If any Employee is found in violation of any of the policies below, it will lead to repercussions as per the compliance matrix.

### 4.1 IDs and Passwords

User IDs and passwords help maintain individual accountability for the internet, intranet, and email resource usage, and Employees are responsible for keeping them confidential and not sharing them with anyone.

Employees must change their system passwords once every 30 days. Password can be changed remotely using 'Ctrl+Alt+End' keys. Employees must be connected to the authorized VPN Client before changing the system password. Employees can raise a Ticket with the Software Department for issues related to Microsoft Dynamics 365.

### 4.2 Data Usage

- All Employees are responsible for managing their use of information Resources and are accountable for their actions relating to information resource security
- Employees can access their respective network drives/share point sites on Company laptops when they are connected to the authorized VPN Client
  - Network drives/share point sites are backed up per the pre-defined Backup Policy
- Employees are allowed to store their personal data (e.g., documents, MP3, etc.) on the hard-drive of their local system, however, it cannot not be stored on the Network Server
  - Employees can raise a Ticket with the IT Department to upload their personal files on the drive
  - Data stored on the laptop's local storage will not be backed up, and lost data is not recoverable



- Any such violations/incidents must be reported immediately so that appropriate action can be taken in a timely manner
- Employees using Company laptops should not leave the device unattended keeping in mind TresVista's Data Security Policy

## 4.3 Software and Hardware

Software includes purchased or licensed business software applications, Company-written applications, Employee or vendor/supplier-written applications, computer operating systems, Firmware, and any other software residing on TresVista-owned equipment. All equipment, including desktop computers (PCs), laptops, tablets, terminals, workstations, wireless computing devices, USB flash drives, telecom equipment, networks, databases, printers, servers, shared computers, and all networks and hardware to which this equipment is connected, are covered under hardware. Employees must use TresVista's computers and networks only for legal and authorized purposes.

- For computers dedicated for use by a single Employee end-user
- At the end of each workday or if an Employee plans to leave the computers unattended for a few minutes or longer, lock or power off the computer to prevent unauthorized access. In case the Employee wishes to log on to the system remotely, they should log off and switch off the monitor
- For a computer shared by multiple Employee end-users (e.g., database terminals):
  - Not leave their computer sessions unattended, and instead, log-off if they must leave the immediate vicinity of the computer, then log in again upon return
  - Disconnect from network-accessible Resources, log-off the computer, and make it available for another Employee immediately upon completion of their computer session
- Employees are responsible for the laptops provided to them by TresVista. In case of theft or damage, the Employee must notify the IT and Compliance Department immediately through an email
- In case of damage, Employees have the responsibility to raise a case with the OEM for repair and replacement
  - Any loss or damage to Company-issued laptops will be borne by the Employee to whom the assets are assigned

## 4.4 Internet

This policy governs the use of internet by all users in TresVista that are in scope of Information Security Management System (ISMS).

### Particulars

- TresVista recognizes the business need for providing internet access to its Employees and it is not to be treated as a basic facility, privilege or right of an Employee



- Employees are eligible to use internet services based on their role and prior approval from their respective Heads of Department/Manager
- Formal guidelines are established in order to control and regulate the use of internet in the Organization
- TresVista specifically prohibits Employees from accessing the following type of sites and messenger tools on Company devices:
  - Gambling sites
  - Auction sites
  - Hate sites
  - Pornographic sites
  - Any site engaging in or encouraging illegal activity
  - Hacking sites
  - Social Networking sites (e.g., Orkut, Matrimonial Sites)
  - Messenger tools (e.g., Yahoo Messenger, MSN Messenger, Google Talk)
  - Online shopping sites
  - OTT and entertainment sites
- Access to the internet should not be used for:
  - Viewing, storing, and transmitting indecent, obscene, offensive, sexually explicit materials
  - Upload/download commercial software in violation of its copyright
  - Unauthorized access to remote systems
  - Attempt to hack internal and external networks
  - Crack passwords of other logins
- All communication to and from the internet is enabled through a firewall to protect the network from being affected by malicious code attack
- Employees must only connect via secured internet sources and avoid connecting to public internet sources (i.e., airport Wi-Fi, lounge Wi-Fi, etc.)
- Remote access to LAN must only be done through secure authentication
- Inbound traffic is checked for malicious code attacks at gateway level
- Users must comply with the Email Policy of the Organization
- All illegal sites and downloads are to be identified and blocked on proxy servers on regular basis
- IT Department monitors the internet activity and reports actual and potential security incidents or non-compliance of the policy to the Incident Management Response Team
- Logs of proxy are maintained to reflect user/IP, time of request, request link and files downloaded



- Logs are analysed on a fortnightly basis for forbidden sites and the IT Department sends a report to the Head of the Department
- Any breach in this policy results in disciplinary action being taken against the Employee. The disciplinary action may range from warning letter to Termination with Cause, at the discretion of the Organization

## 4.5 Email

Email facility is provided to Employees in order to assist them in the performance of their work duties. Email is subject to regulations covering libel, freedom of information, breach of confidence, copyright, obscenity, fraudulent misrepresentation, data protection and wrongful discrimination. Email has legal status as a document and may be accepted as evidence in a court of Law. Access to both, personal and work related emails may be demanded as part of legal action in some circumstances. Some forms of email conduct may also be open to criminal prosecution.

- TresVista emails can be accessible by all Employees using the following applications:
- Microsoft Outlook available from within TresVista premises and on Company-issued laptops
  - Mobile device management application installed on Employees' compatible personal Smartphones (Android/iOS)

### **Employees must:**

- Not expect privacy, as the IT Department and Management may review any emails at any point in time
- Set up out-of-office replies as per their Manager's guidance, in case they are out of office for some reason and not able to check emails
- Note that even when it is used for purposes outside the scope of employment of the Employee, TresVista can be held responsible for the contents of email messages, including any attachments
- Not delete emails, including personal messages from the 'Sent Items', 'Inbox' or any other folder
- Not configure their personal mailbox using Outlook or any other applications on Company issued devices such as desktops, laptops, MS Surface, iPads, and smartphones
- Not configure their official TresVista mailbox themselves using any email applications on personal devices such as desktops, laptops, MS Surface, iPads, and smartphones
  - Not try to use webmail to access their official mailbox as it is prohibited and blocked through policy by the IT Department

## 4.6 Telecommunication



## Smartphones

It is mandatory for all Employees to have a Smartphone with a valid voice and data plan at all possible times. The data plan on an Employee's personal phone must allow at least email communication. Internet browsing is optional

### 4.7 Wi-Fi

Apart from the wired LAN, there is a Wi-Fi network in place wherein access to Wi-Fi-enabled devices like a laptop, a tablet PC, or a smartphone can be configured. To seamlessly configure Wi-Fi with restricted internet access on all the Employee's smartphones, it is pushed through Microsoft Intune application which is a secure MDM platform managed centrally by the IT Department.

### 4.8 Social Media

The purpose of this policy is to define guidelines and best practices for Employees concerning the usage of social media.

#### Overview

While technology enables easy exchange of information, there is also a threat of information leaks, Clients forming unwarranted opinions about certain Employees or any other consequences which may have an undesirable impact on the Company's reputation.

#### Scope

Social media includes but is not limited to:

- Social networking websites (e.g., Facebook, LinkedIn)
- Video and photo sharing websites (e.g., Flickr, YouTube)
- Blogs (not including TresVista blogs)
- Micro-blogging (e.g., Twitter)
- Wikis and online collaborations (e.g., Wikipedia)
- Forums, discussion boards, chat rooms and groups (e.g., Google groups)
- Video on Demand (VOD) and podcasting
- Status updates on messenger services (e.g., WhatsApp, Telegram, Facebook Messenger, or any other instant messaging application)
- Geospatial tagging (e.g., Foursquare)
- Interviews, columns or talk shows (e.g., Television, print media or radio)

#### Applicability

This policy is applicable to all Employees.



## Particulars

- Employees are not permitted to:
  - Use TresVista's name and refer or state that they are working at TresVista across any social media platforms
    - If the Employees wish to update their social media account with details of their current role, they may mention the name of the employer as 'Financial Services Firm'
  - Post any information about TresVista, its internal processes, or any other information which is not publicly available
    - Disclose or publish any information that is confidential or proprietary to TresVista, including but not limited to specific details on projects and Clients
    - Generic references are acceptable (e.g., working with a Middle Eastern PE Firm), however, Employees should be vigilant that no further details are mentioned (e.g., working with the biggest Middle Eastern Non-Sovereign PE Firm)
    - Queries regarding what is considered proprietary and confidential can be discussed with Marketing and Corporate Communications and/or Compliance departments
  - Expressly state or imply that they are authorized to speak as a representative of TresVista or give the impression that the views expressed by them are those of the Organization
  - Use their official email address or TresVista logo on social media platform, in case it gives the impression that the Organization supports or endorses their personal comments
  - Post commentary, content, or images on social media that are defamatory, pornographic, proprietary, harassing, libelous, bullying, discriminatory towards another Employee or that can create a hostile work environment
  - Post anything that may lead to potential infringement of Intellectual Property rights, including but not limited to, brand names, trade names, logos, copyrights, or trade secrets of TresVista or any of its Clients
  - Post or publish any information that could be in contravention of a Law, statute, or regulation applicable in their jurisdiction as well as in the jurisdiction of the Third Party referred to in any such publication
    - Engaging in prohibited or unlawful conduct will not be tolerated and the Employee may be subject to disciplinary action
  - Tag the Company's official account in any of the posts or comments
- Employees must refrain from engaging in inappropriate posts, including but not limited to threats of violence, dishonorable content such as racial, ethnic, sexual, religious, physical disability slurs, etc.
- Employees should be aware that the Company may observe content and information made available by them on social media platforms





- Employees must refrain from publishing or engaging in rumors that can have a significantly adverse impact on the Company's reputation
- Employees should use their best judgment in posting content that is neither inappropriate nor harmful to the Organization, other Employees, or Clients
- TresVista reserves the right to request the withdrawal of any posts, comments, or content from any social media platform (including internal platforms). Employees must be aware that some forms of internet conduct may be open to criminal prosecution and lead to disciplinary actions

### Points to Note:

- Any queries from social media networks, blogs and other types of online content that may generate press, media attention, and/or legal questions must be redirected to Marketing and Corporate Communications department
- Employees are required to adhere to the guidelines mentioned in this policy and the Compliance Manual saved on SharePoint, when using social media with reference to the Organization
- Marketing and Corporate Communications department will conduct monthly audits to ensure adherence to this policy

### Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix under 'Annexure – Risk-Oriented Policies' of this Handbook.

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# Leave and Holidays



## 5. Leaves and Holidays

The purpose of the section is to provide information on the types of leaves and Holidays that can be availed during a Leave Cycle, the eligibility criteria, and the relevant application process via the 'Leave and Flexwork' module on DarwinBox.

### 5.1 Firm-wide Holidays

This section provides information on Firm-wide Holidays decided per the list of government Holidays in the given Leave Cycle.

#### Eligibility

All Employees are eligible for the designated Firm-wide Holidays.

#### Particulars

- Firm-wide Holidays consist of public Holidays, and/or other religious events and festivals
- A list of ten to eleven (10-11) Firm-wide Holidays decided as per the list of government Holidays will be provided depending upon the Employee's office location
- There is no application procedure for these Holidays, and they are auto-applicable to all Employees

### 5.2 Vacation Days

Vacation Days are planned leaves that require prior approval of the Manager and should ideally be planned at least one (1) month in advance.

#### Eligibility

All Employees are be entitled to Vacation Days after completing ninety (90) days from their date of joining.

#### Particulars

- A total of eighteen (18) paid Vacation Days are available in a Leave Cycle, calculated on a pro rata basis.
- **It should be noted that:**
  - Vacation Days are approved at the discretion of the Manager
  - Vacation Days commence accruing from the date of joining, and post completion of ninety (90) days from the date of joining, the entire Leave Balance pro-rated for the Leave Cycle is made available for utilization
  - Except for a maximum of ten (10) unused Vacation Days, which can be carried forward to the next Leave Cycle, all unused Vacation Days lapse at the end of the annual Leave Cycle



- Employees cannot be away from office (base location) for more than consecutive 10 working days, including availing vacation days, personal days, flexwork and/or work from home days as per the hybrid guidelines, in isolation or in combination
  - Non-adherence to the above clause will lead to monetary impact
- If an Employee's Vacation Days are exhausted, they cannot be substituted with Personal Days
- When on leave, Employees may be expected to attend conference calls or respond to emails that may be critical to the nature of work
- When on leave, Employees should set up a formalized out-of-office response as per the Organizational Hygiene policy under the header of people policies of this handbook
- Leave requests may be denied by the Managers if there are Client demands/critical deliverables or capacity constraints
- If the Manager requires an Employee to cancel or reschedule a vacation that has already been approved (not applicable for auto-approved leaves), any expenses that may be incurred in cancelling or rescheduling, that are not covered by the Employee's travel insurance, are reimbursed. This reimbursement is expensed to the respective department budget on producing relevant receipts. A vacation can be cancelled only in the most urgent situations
- Exceeding Vacation Days balance incurs a loss of pay and is deducted from that month's salary. It also leads to an additional salary deduction as explained under the sub-section 'Excess Leave Utilization - Consequences'
  - At the point of exit, an Employee is required to repay TresVista for any Vacation Days taken in excess of the Employee's leave entitlement calculated on a pro rata basis till the Last Working Day, and it is adjusted with their full and final settlement
- During Notice Period, Vacation Days are accrued but cannot be utilized. However, at the point of exit, up to ten (10) unused Vacation Days calculated on a pro rata basis till the Last Working Day, can be encashed to the Employee as a part of the full and final settlement
- If Employees miss marking their leaves within the monthly timeline defined by the Corporate Finance Department, these days are auto-deducted from their Vacation Days balance. In the absence of sufficient Vacation Days balance, these days are marked as unpaid leaves. The process in this regard is defined below:
  - Employees are eligible to receive 75% of their salary for these days in the next salary cycle subject to Manager approval, however, a standard 25% deduction for each day, is applicable
  - To receive this amount Employees must share Manager approval with the Corporate Finance Department within the monthly attendance/leaves timeline and also mark this day from their Personal Day balance, as applicable



- If Employees do not have any Leave Balance (vacation/Personal Days), this day is treated as an unpaid leave and the necessary salary/monetary deductions apply, as applicable

## Procedure for Application

- In order to avail of a Vacation Day, an Employee must apply for it under 'Vacation Days' on DarwinBox
- When a leave is requested on the system, it should include all days like weekends and/or firmwide holidays if they fall under the duration of the vacation
  - Although these days would not be counted, it would indicate that the Employee is unavailable to come to work on those days
- **It should be noted that:**
  - Employees are encouraged to discuss with their Managers and then plan their vacations. This is to ensure that the deliverables/capacity is managed effectively and in a timely manner
  - If the date of application is more than one (1) month before the start date of the leave, and the Manager neither approves nor rejects it until one week prior to the start of the leave, then the leave is deemed to be approved
  - If the date of application is within one (1) month before the start date of the leave, and the Manager neither approves nor rejects it until one week prior to the start of the leave, then the leave is deemed as rejected
    - In such instances, the Employee should revoke these leaves on DarwinBox within the timeline shared by the Corporate Finance Department. Failure to do so, leads to a deduction from the Employee's Leave Balance
    - If the Employee does not revoke the leaves, the Manager has access to reject them on DarwinBox
  - An Employee can raise a concern with the Ethics Committee if they feel they were denied Vacation Days unfairly. The Ethics Committee investigates the situation through conversations with the Manager and the Employee, and finalizes the status of the application per the process mentioned under the section 2.7 of this handbook
  - All leave requests applied on the system are auto approved as per the timeline shared by the Corporate Finance Department
    - In case the Manager disagrees with the auto-approved leaves, the Manager has the option to reject these leaves on the system keeping the Employee informed of the same

## Excess Leave Utilization - Consequences

- Employees are charged with an additional salary deduction in case they exceed the Vacation Days allotted in a Leave Cycle
- The deduction, as a percentage, is applicable on the average monthly gross salary earned during the Leave Cycle and is deducted from January month's payroll, as per the deduction matrix mentioned in the Annexure



- Average monthly gross salary is calculated by dividing the total salary earned in a Leave Cycle by twelve (12) months
- If an Employee exits the Company before December, then the deduction is be made from their full and final settlement
- In instances where an Employee has exceeded their leaves in a given Leave Cycle due to personal reasons (e.g., wedding, death of immediate family, or any unforeseen emergency) and kept their Manager informed, the deduction may get waived subject to approval of the Exceptions Committee ([exceptions@tresvista.com](mailto:exceptions@tresvista.com))
  - Any requests to waive off the deduction due to the above-mentioned reasons should be submitted to the Exceptions Committee latest by January 05 of the subsequent Leave Cycle

## 5.3 Personal Days

Personal Days are unplanned leaves that do not require prior approval of the Manager, as these leaves are provided to accommodate for any unplanned/unforeseen personal emergencies and sickness.

### Eligibility

All Employees are entitled to Personal Days after completing ninety (90) days from their date of joining.

### Particulars

- A total of six (6) paid Personal Days are available in Leave Cycle, calculated on a pro-rata basis.
- **It should be noted that:**
  - Personal Days commence accruing from the date of joining, and post completion of ninety (90) days from the date of joining, the entire Leave Balance pro-rated for the annual Leave Cycle is made available to the Employee for utilization
  - Employees cannot carry forward Personal Days to the next annual Leave Cycle, and all unused days lapse at the end of the annual Leave Cycle
  - More than two consecutive Personal Days for any reason other than sickness can be deemed as Vacation Days
    - In case of sickness, the Employees can take more than two Personal Days at the discretion of the Manager
  - If an Employee's Personal Days are exhausted, the Vacation Days can be utilized with the prior approval of the Manager
  - Employees cannot be away from office (base location) for more than consecutive 10 working days, including availing vacation days, personal days, flexwork and/or work from home days as per the hybrid guidelines, in isolation or in combination



- Non-adherence to the above clause will lead to monetary impact
- When on leave, Employees may be expected to attend conference calls or respond to emails that may be critical to the nature of work
- When on leave, Employees should set up a formalized out-of-office response as per the Organizational Hygiene policy under the header of people policies of this handbook
- All leave requests applied on the system are auto approved as per the timeline shared by the Corporate Finance Department
  - In case the Manager disagrees with the auto-approved leaves, the Manager has the option to reject these leaves on the system and should inform the Employee of the same
- During Notice Period, Personal Days are accrued but cannot be utilized. Upon exit, unused Personal Days lapse and cannot be encashed to the Employee
- If Employees miss marking their leaves within the monthly timeline defined by the Corporate Finance Department, these days are auto deducted from their Vacation Days balance
- In the absence of sufficient Vacation Days balance, these days are marked as unpaid leaves. The process in this regard is defined below:
  - Employees are eligible to receive 75% of their salary for these days in the next salary cycle subject to Manager approval, however, a standard 25% deduction for each day, is applicable
  - To receive this amount Employees must share Manager approval with the Corporate Finance Department within the consequent month's attendance/leaves timeline and also mark this day from their Personal Day balance, as applicable
  - If Employees do not have any Leave Balance (vacation/Personal Days), this day is treated as an unpaid leave and the necessary salary/monetary deductions apply, as applicable

## Procedure for Application

- A Personal Day does not need prior approval from the Manager
- However, the Employee should inform the Manager as soon as they are aware that they require a Personal Day
- The Employee must record this leave under 'Personal Days' on DarwinBox and the leave request then goes to the Manager for approval

## Non-Adherence to the Policy

Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix for flexwork under 'Annexure – People Policies' of this Handbook.



## 5.4 Paid Extended Sick Leave

### Eligibility

This policy is applicable to all Permanent Employees effective their date of joining.

### Particulars

- Employees can avail of paid extended sick leave if they are unable to work for eight (8) or more consecutive working days on account of personal ill-health (temporary/recoverable illness, and prolonged sickness including but not limited to injuries, mental health illness, and accidents)
- **It should be noted that:**
  - Paid extended sick leave is not an entitlement and approval of such requests is at the discretion of the Manager and the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com))
  - Employees are eligible to avail of this leave while serving their Notice Period however, the Notice Period may be extended in accordance with the number of leaves availed
- If paid extended sick leave is not approved:
  - The Employee can mark these days from their existing Leave Balance
  - If the Employee does not have an active Leave Balance, up to two (2) weeks (i.e., 10 working days) of unpaid leaves can be approved by Managers per the guidelines mentioned in the section 5.8 of this handbook
    - Any request for unpaid leaves beyond this limit needs an approval from the Exceptions Committee ([exceptions@tresvista.com](mailto:exceptions@tresvista.com))
    - If the request for unpaid leaves is not approved, but the Employee yet avails of these leaves, disciplinary action including but not limited to Termination with Cause, may be taken against them
- Employees are required to keep their Managers updated on the status of their leave
- Employees should only return from a paid extended sick leave when they are sure that they are able to resume work without disruptions

### Approval Matrix

- Employees can avail of paid extended sick leave to the extent of three (3) months basis approval from their Manager and the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com))
- Any extension beyond three (3) months will require approval from the Employee's Manager and the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com))
  - Extensions can only be given for one (1) month at a time and must be capped at a maximum of three (3) months
- Any further extension beyond the total of 6 months paid extended sick leave needs an approval from the Exceptions





committee

## Procedure of Application

- Employees can apply for this leave under 'Paid Extended Sick Leave' on DarwinBox
- Employees are required to submit the necessary documentation such as medical certificate/doctor's report detailing out the health condition and duration of leave recommended
  - The leave request is not processed if this documentation is not submitted and is kept on-hold/rejected, within the monthly leaves/attendance timeline defined by the Corporate Finance Department, until the necessary documentation is received from the Employees
  - If the request is rejected, Employees must mark these days from their Leave Balance
  - If they miss doing so, these days are marked as absent/unpaid leave, and the necessary salary/monetary deductions apply, as applicable
- **Medical Tests:**
  - Employees on leave for extended sickness may be referred to an institution or physician for periodic examinations to determine the nature and extent of the illness, their progress toward recovery, the estimated recovery period, and date of return to work
  - The Employee, at the Company's discretion, may also be asked to undergo medical tests, as suggested by the physician. The cost for any of these medical expenses are borne by the Company on submission of the necessary receipts
  - Employees suffering from contagious diseases such as TB, chicken pox, etc., are required to share a fitness certificate with their Manager, deeming them fit to work and free from any infection, prior to resuming work from office
  - Medical expenses are covered to the extent defined by the Employee's medical insurance
- **Notice Period and Resignation:**
  - If the Employee decides to resign while on paid extended sick leave, they must inform their Manager of the decision, and initiate their Separation request on DarwinBox per the process defined in the section 8 of the handbook
  - The Employee, at the Company's discretion, is relieved from the Organization on the day they resign, and this is treated as their Last Working Day in all official records
- **Compensation:**
  - Gross salary is paid out on monthly basis to the Employee
  - Variable Bonus:



- Annual bonus is calculated on pro-rata basis and adjusted in accordance with the number of leaves availed under the Paid Extended Sick Leave Policy
  - E.g., if an Employee avails paid extended sick leave for ten (10) days and their per day bonus is INR 1000, then INR 10,000 is deducted from the Employee's annual bonus

## 5.5 Maternity Leave and Benefits

### Eligibility

- Any leave and benefits accruing under this category are applicable to all female Employees who have worked for at least eighty (80) days in the preceding twelve (12) months from her date of expected delivery and who are adoptive or Commissioning Mothers (as described in the sub-sections below) (“Eligible Woman Employee”)
- TresVista provides maternity leaves as specified herein below. An eligible woman Employee is granted maternity leave at the rate of the average daily salary for the period of her actual absence

### Duration of Maternity Leave

- **Less Than Two Surviving Children:** Eligible woman Employee is entitled to paid leaves for twenty-six (26) weeks, out of which a maximum of eight (8) weeks can be taken before the date of delivery
- **Two or More Surviving Children:** Eligible woman Employee is entitled to paid leaves for twelve (12) weeks, out of which a maximum of six (6) weeks can be taken before the date of delivery
- **Adoptive and Commissioning Mothers:** Eligible woman Employee who legally adopts a child of 12 months or below **in age**, or is a Commissioning Mother, is entitled to paid leave of twelve (12) weeks. The twelve (12) week period of maternity leave is calculated from the date the child is handed over to the adoptive or Commissioning Mother
- **Miscarriage, Medical Termination or Tubectomy:** TresVista provides leave for a duration of six (6) weeks in case of a miscarriage or medical termination of pregnancy and two (2) weeks in the event of tubectomy operation, with salary at the rate of average daily salary of such eligible woman Employee, immediately following the day after her miscarriage, medical termination of pregnancy or tubectomy operation
- **Post-Delivery Leaves:** In any event, it is mandatory by Law for an eligible woman Employee to avail at least six (6) weeks (out of her total entitlement) of maternity leave immediately following the date of delivery of her child
- **Additional Leaves:** In addition to the leaves and benefits mentioned above, TresVista acknowledges such cases of illness due to pregnancy, premature delivery, medical termination of pregnancy, or tubectomy operation, and the Employee is entitled to a maximum of one (1) month leave with salary at the rate of average daily salary of such eligible woman Employee



- Unutilized portions of maternity leave lapse, and the eligible woman Employee is not entitled to any compensatory leaves or encashment in lieu thereof.

## Other Benefits

- **Creche Facility:** The Firm has partnered with a creche facility in line with the mandates of the Maternity Benefit Act. If any Employee chooses to utilize the same, they can approach the HR Compensation and Benefits 2 team ([compensation2@tresvista.com](mailto:compensation2@tresvista.com)) for further details
- **Option to Work from Home:** Such eligible woman Employee may be permitted to work from home for maximum up to four (4) weeks after availing her maternity benefit, if the nature of work assigned to her permits her to work from home and subject to discretion and prior approval of the Manager
- **Maternity Bonus:** TresVista pays a one-time medical bonus to the eligible woman Employees as per the prevailing rate as stated by Law
- **Medical Practitioner Certificate:** Eligible woman Employee, after resuming work, is required to produce a certificate from a registered medical practitioner certifying the pregnancy, delivery, or miscarriage, or any related illness to avail of any of the benefits under this category
- **Certificate of Adoption:** Eligible woman Employee is required to produce a certificate of adoption after resuming work/once the child is handed over to the adoptive mother
- **Procedure for Application:** Eligible woman Employees can apply for this benefit under 'Maternity Leave' on DarwinBox, not being a date earlier than eight (8) calendar weeks from the date of her expected delivery

## 5.6 Paternity Leave

This policy is applicable to all male Employees effective ninety (90) days from their date of joining.

### Particulars

- Employees can avail ten (10) working days of paid leave, on successive days or in breaks, subject to their manager approval, within twelve (12) months:
  - From the birth of their child/children
  - From the date the child/children of 12 months or below in age are handed over to the adoptive/commissioning father

### Process for Application

- Employees can apply for this leave under 'Paternity Leave' on DarwinBox



- **Required Documents:** When applying for these leaves, Employees must submit the supporting documentation such as birth certificate of the child/children, or medical documents related to their significant other's/surrogate mother's pregnancy or adoption certificate, as applicable
- All requests for paternity leave must be applied for and approved on the system within the monthly leave/attendance timeline defined by the Corporate Finance Department

## Points to Note

- Employees should inform their Managers as soon as they are aware that they require this leave
- Employees can avail this benefit twice during their tenure in the Company
  - These leaves are applicable per childbirth/adoption and are not dependent upon the number of children being born/adopted
    - E.g., in case of twins/triplets, the number of paternity leaves that can be availed by the Employee remains the same (i.e., 10 working days of paid leave)
- Adoptive/commissioning fathers can avail these leaves only if they legally adopt/commission the child/children
- These leaves are over and above the vacation and Personal Days provided to Employees to in a given Leave Cycle
- Employees can club paternity leave with other leaves and benefits at Manager's discretion

## 5.7 Bereavement Leave

To provide additional paid leaves to Employees and to support them in the event of demise of their immediate family members.

### Eligibility

This policy is applicable to all Employees from their date of joining.

### Particulars

- An Employee can avail paid leaves of up to five (5) working days at the discretion of their Manager within one (1) month from the date of demise of immediate family member (immediate **family members are defined as parents/in-laws, grandparents/grandparents in-laws, siblings/siblings in-laws, spouse, and children**)
- These leaves can be taken on successive days or in breaks at the Employee's discretion
- Employees are eligible to avail of this leave while serving their Notice Period however, the Notice Period may be extended in accordance with the number of leaves availed

### Process for Application

- The Employee should inform their Manager as soon as they are aware that they need a bereavement leave



- An Employee must apply for these days under 'Bereavement Leaves' on DarwinBox

## 5.8 Unpaid Leaves

### Eligibility

This policy is applicable to all Employees

### Particulars

- Employees cannot avail of unpaid leaves while they have an active Leave Balance (Vacation/Personal Days)
- Once the Leave Balance is exhausted, Employees may avail of unpaid leave to the extent of 2 weeks i.e., 10 working days basis Manager approval
  - Any request for unpaid leaves beyond this limit will require approval from the Exceptions Committee ([exceptions@tresvista.com](mailto:exceptions@tresvista.com))
  - Any non-adherence to this policy shall lead to Disciplinary Action as per the consequence matrix under 'Annexure – People Policies' of this Handbook
  - Availing these leaves will result in the necessary deductions per the excess leave utilization policy, as mentioned in the section 5.2 of this handbook

### Points to Note

- It is recommended that Employees only avail of unpaid leaves in case of health/unforeseen emergencies or personal commitments
- Employees are advised to plan their vacation/Personal Days accordingly, if they are aware that they will need additional leaves during a specific time of the year (E.g.: marriage, planned travel, etc.)
- Employees should inform their Managers as soon as they are aware that they will require these leaves
- Any requests to waive off deductions will require exceptional approval from the Committee
  - Exceptions requests are shared with the Committee every 2 weeks (tentatively mid and end of the month) on a Wednesday and Employees must share their requests with the Committee at least 1 working day prior
  - Requests received after this timeline will be shared with the committee in the next update, 2 weeks later

## 5.9 Extended Leaves Notice

- If the Employee has not returned to the office for two (2) months, TresVista shall cause to be served upon the Employee a notice ("Extended Leave Notice") requiring them to send a written Confirmation to TresVista stating that



the Employee would be resuming employment before or on the completion of third month ("Extended Leave Return Date") starting from the date the Employee has not been present in the office

- Upon failing to receive any Confirmation from the Employee, and consequential return to service by such Employee on or before the extended leave return date, TresVista reserves the right to terminate the services of such Employee with effect from completion of the three (3) month period, and the extended leave notice shall be deemed to be served as a termination notice. In such cases, extended leave return date will be recorded as the Employee's Last Working Day in their termination letter. The Employee may be considered for re-employment at a later date

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# Performance Appraisal



## 6. Performance Appraisal

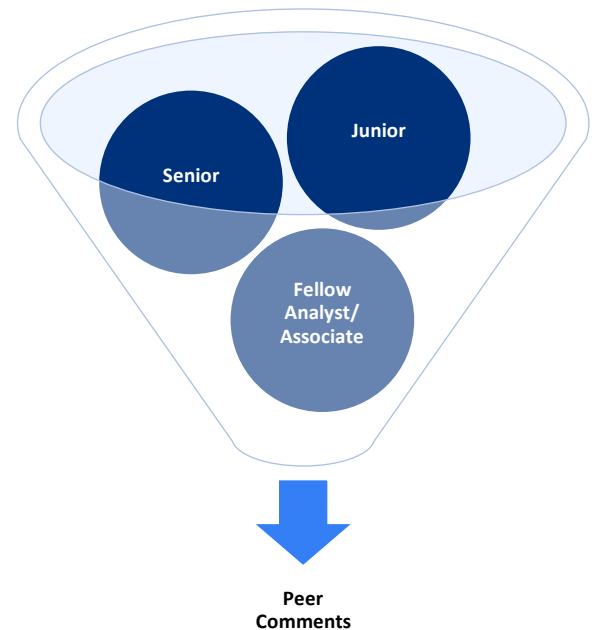
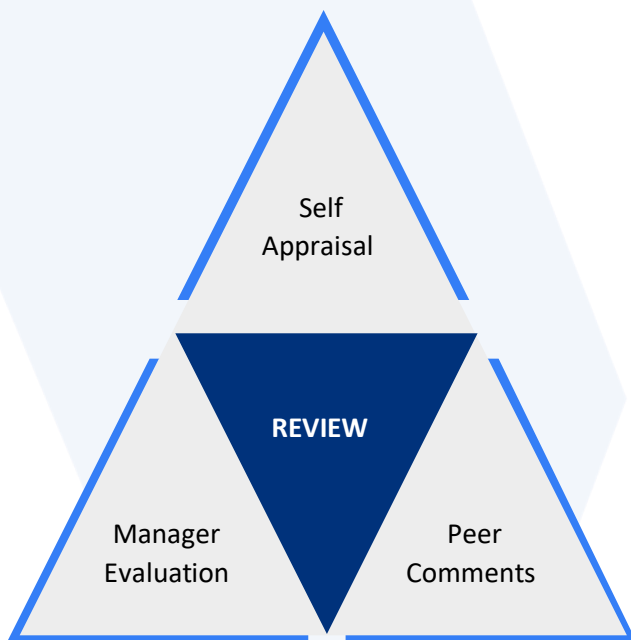
*“A Company’s Employees are its greatest asset and your people are your Product.”*

Richard Branson

In keeping with this mantra, TresVista is committed toward the success of its Employees and to this end, aims to provide a holistic review process based on constant performance monitoring and regular, objective feedback.

### 6.1 Overview

Everyone values both honest criticism as well as the praise that is due for their effort. The review process at TresVista is 360o, where an Employee is given feedback from multiple sources including peers, seniors, juniors, Manager and themselves. All Employees have their own learning curve, and must accept feedback in a constructive way.



### Eligibility

An Employee is eligible to write and receive reviews if:

- Their date of joining is as follows (For first mid-year review):
  - June Review Period: On or before March 15
  - December Review Period: On or before September 15
- They are not serving notice





## Timelines

Performance reviews are conducted semi-annually at TresVista. An Employee will get a mid-year review and a yearend review in an Annual Review Period.

## 6.2 Objectives

The aim of performance appraisals is to:

- Encapsulate the Reviewee’s performance over the review period
- Provide constructive criticism on areas of development
- Provide a basis for coaching to improve Employee performance
- Assist in setting goals for Employee development
- Assist in making systematic judgments
- Provide feedback to the Reviewee from multiple sources
- Assist in realigning the culture of a team and/or the Company
- Provide the Company with performance measures to be used in making Promotion and compensation decisions

## 6.3 Points of Evaluation

### Parameters

A performance review assesses the Reviewees’ ability to achieve results across various parameters. The principal categories include:

- Business Results
- Strategic Thinking
- Personal Effectiveness

The ‘Self-Appraisal Form’ will also have a section on ‘Areas of Interest for Development and Suggestions for Improving Your Experience at TresVista’ and a tabular summary of the projects worked on during the review period.

### Ratings

Performance will be rated on a scale of 1 to 5 with the latter demonstrating the highest level of performance.

Rating	Meaning	Description
NA	Not Applicable	Not tested
1	Major Improvement Required	Lack of effort, knowledge, and ability
2	Some Improvement Required	Obvious and repeated mistakes, but shows effort/sincerity



3	Consistent Average Performance	Meets expectations
4	Often Exceeds Performance Expectations	Exceeds expectations
5	Consistently Exceeds Performance Expectations	Displays ability to achieve results at the next level

It should be noted that:

- The individual ratings depend on the perspective of the Reviewer, and hence, any serious accreditation/allegation by self or peer Reviewer as evidenced by the extreme ratings, has to be backed by credible examples. If one has no opinion on a particular sub-category, rating “NA” is the best option. The Manager comments will not be based on singular incidents or examples
- The category ratings on the review are meant to disclose where the Person stands on the date of the review, whereas an overall rating for the review period describes the Reviewee’s performance over that entire review period
- The expected level of performance is benchmarked against the expectation of the specific year of the title/role
- The overall rating in the year-end review will be a function of the full year’s performance and determines performance bonus
- In order to achieve an overall rating of 5, one has to get a rating of 4 and 5 in all categories. Likewise, an overall rating of 1 means, that an Employee would have got a rating of 1 or 2 in most categories

## 6.4 Process

The review process is important for each Employee and a thorough, accurate, and sincere effort is deserved in recognition of the Reviewee’s efforts. The HR Department will notify all eligible Employees regarding the initiation of the review process, and communicate important dates.

### Solicitation

The solicitation period is the time during which the Reviewee sends requests to all those Employees who they have worked with. A Reviewee is expected to solicit at least two other Employees in order for the Manager to get holistic feedback about an Employee’s performance. Employees may accept or reject solicitation requests.

### Writing Reviews

An Employee has to write and submit the self and peer reviews within the given deadlines. Reviews have to be written and submitted on Review Portal. For reference, an Employee can also access his previous reviews, if any, under ‘My Review Reports’. During this period, Review Portal can be accessed from outside the office.



Employees are encouraged to write an unsolicited review, positive or negative, for any Reviewee for whom they feel they have comments that would add value to the review process. The identity of unsolicited Reviewers is not known to the Reviewee.

An Employee is responsible to ensure that Employees who have accepted their solicitation request, submit reviews in a timely manner. Once the process is closed, no submissions will be accepted on Review Portal. It will be up to the Manager whether they want to consider any review provided to them outside of Review Portal.

## Review with Manager

The Manager consolidates all the peer comments and evaluates the Reviewee themselves. The 'Peer Comments' section includes comments from all Reviewers except those of the Manager. Peer comments are provided to the Reviewee without revealing the identification of the specific Reviewer. A review document is handed out to the Reviewee, after which the Manager or HR has a one on one conversation with them. Managers should avoid taking any Holidays during this time.

## Outcome

The performance review may result into the following:

- **Probation or Confirmation:** An Employee shall be kept under Probation, for the period specified in their Company issued Offer Letter, subsequent to which they will either be confirmed or their Probation period will be extended for a duration of two months, at Manager's discretion. Confirmed Employees will receive relevant communication to this effect
- **Promotion:** An Employee may receive a Promotion during a mid-year or year-end review. The Promotion may take effect immediately or following the completion of the next review period as stated in their Promotion Offer

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# **Compensation and Benefits**



## 7. Compensation and Benefits

TresVista aims to provide to its Employees. compensation that is fair, motivating, and that aptly rewards Employees for their contribution towards TresVista's success. This section provides information on Employee compensation, associated benefits and details on the administration of compensation to the Employees.

Any compensation provided to an Employee by TresVista is confidential.

### 7.1 Compensation Structure

TresVista operates on a cost to Company compensation structure comprising of several fixed and variable components, which will be decided by the Company.

#### Particulars

The fixed and variable components comprise of:

- **Fixed:** This may include but is not limited to:
  - Basic
  - House Rent Allowance
  - Conveyance
  - Books and Periodicals
  - Leave Travel Allowance
  - Provident Fund
  - Special Allowance
  - Attire, Vehicle, Telephone, and Medical Reimbursements
- **Variable:** The variable compensation comprises of bonuses (signing and variable) that are accrued annually and are paid either in a lump sum or in instalments, subject to meeting the criteria defined in section 7.2
- The above defined compensation structure may be modified at the discretion of the Company
- Basis TresVista's performance during the year and other relevant factors, the Company may give Employees an increment in their annual compensation structure at the end of their Annual Review Period
- Employees resigning prior to the end of their current Annual Review Period will not be eligible to receive annual increments
- Employees are given a compensation summary sheet at the end of each Annual Review Period, which encapsulates the total compensation that an Employee has earned in the current review period as well as their projected fixed compensation for the coming review period



## Salary Revision

If the Employee's salary, perquisites, and benefits are revised upwards for any reasons during the term of your employment, the same shall be applicable only if the Employee is employed with the Company, and not undergoing Notice Period as on the effective date of revision of the salary. The revision shall not be applicable if the date of notice of resignation/termination coincides with the effective date of salary revision. For the purpose of this provision, the salary revisions may take place on the following occasions:

- Pursuant to the annual review process;
- Pursuant to any mid-year review, as per Company's decision;
- Pursuant to any change in applicable Laws, or a revision due to any other scenario

## 7.2 Bonus

### Eligibility

All Employees may receive performance bonus (signing/variable bonus), in addition to their fixed annual salary, upon completion of their Annual Review Period (signing bonus can be paid in advance, as per the details mentioned below). The amount payable by the Company as performance bonus shall be at the discretion of the Company. This bonus is contingent upon the Employee meeting all the below mentioned criteria:

- Successfully completed the Annual Review Period;
- Been eligible, and successfully completed the annual review process at the end of the Annual Review Period; and,
- Been employed with the Company on the day of actual payout of the performance bonus

For an annual performance rating of below three (3), or in cases of initiated or pending disciplinary actions against the Employee, all bonus amounts are non-realizable. In case the Employee receives any advance bonus amounts (E.g.: signing bonus), the Employee shall return the amount in full to the Company, in case of an ineligible performance rating, or initiated or pending disciplinary actions.

### Particulars

- **Type**
  - **Signing Bonus:** It is the sub-component of the total performance bonus which can be paid to Employees within their first three months of joining, if applicable and mentioned in the annualized salary and bonus structure in the Offer Letter
  - **Pay-Out:**
    - To claim this amount, Employees must submit an updated collateral cheque with the Corporate Finance Department, within ninety (90) days from their date of joining



- This cheque will only be retained as collateral in the interim and will only be cashed in the event of clawback as defined below
- The cheque should be in the name of 'TRESVISTA FINANCIAL SERVICES PRIVATE LIMITED' or 'TRESVISTA ANALYTICS LLP', as applicable, basis the Employee's job location
- If signing bonus is not claimed within the defined timeframe, the amount will be paid out as the annual performance bonus subject to other relevant clauses, as applicable
- **Clawback:**
  - In case the Employee resigns or is subject to Termination with Cause before the completion of the first Annual Review Period, they will have to return the entire amount credited to them latest by their Last Working Day
  - In case the Employee fails to return the amount, the Company will be entitled to cash the cheque (submitted as collateral) of the entire amount at the end of this period
- **Variable Bonus:** A sub-component of the total performance bonus that the Employee is eligible for at the end of the Annual Review Period; subject to Company and Employee performance
  - **Amount:** The maximum payable amount of performance bonuses (signing and variable) will be specified on the first Offer Letter that the Employee receives by way of commencement of employment. Bonus range beyond the first year in the Company will not be shared with Employees
  - **Announcement:** Bonus amounts payable are announced at the end of the Annual Review Period
  - **Pay-out:**
    - Bonuses are generally paid out at least one and a half months after the completion of the Annual Review Period unless notified otherwise
    - The bonus mentioned on the Offer Letter is the maximum annualized amount. The payable bonus amount for any year is pro-rated to the exact tenure of the Employee at the time of completion of the Annual Review Period, subject to Employee and Firm performance and any other criteria as applicable and defined by the Company
- Factors of consideration for payout of performance bonus:
  - Individual performance
  - Company performance
  - Mandatory contributions by Law, if any

The Company reserves the right to derive the final payout, which shall be conclusive and binding



## 7.3 Reimbursements

The purpose of this policy is to defined guidelines for reimbursing the expenses incurred by Employees when working late, on weekends, or Firmwide Holidays from the office.

### Eligibility

This policy is applicable to all Employees subject to prior Manager approval.

### Particulars

Reimbursements are paid out with the salary per the timeline defined by the Corporate Finance Department. Employees may claim the following types of reimbursements:

- **Conveyance:** Employees can reimburse one way travel expenses (Through any mode transport such as private vehicle, Uber, Ola, etc.) to their residence if they work beyond 9:00 PM on regular workdays. If Employees work on weekends or Firmwide Holidays, conveyance expenses to and from their residence are reimbursable. Conveyance reimbursements are paid for distance up to 30 kilometers and expenses for distance beyond this limit must be borne by the Employee. The documentation to avail of these expenses is as follows:
  - **Public Transport:** Receipts should be provided wherever available
  - **Personal Vehicles:** Employees who travel by their personal vehicles can claim reimbursement for fuel. In order to claim this, Employees must map the distance from the office to their residence and record it on DarwinBox prior to reimbursing the amount. The reimbursement rates are re-evaluated at fixed intervals throughout the year. The prevailing fuel reimbursement rate can be referred to in the Annexure
  - **Toll:** If the Employee uses a road toll, then any expense in relation to the usage of the toll must be entered as a separate conveyance entry on Microsoft Dynamics 365
- **Food:**
  - **Dinner Allowance:** If an Employee works beyond 9:00 PM, dinner expenses are reimbursed per the prevailing reimbursement limits mentioned in the Annexure
  - **Lunch Allowance:** If an Employee works on weekends and/or Firmwide Holidays, lunch expenses are reimbursed per the prevailing reimbursement limits mentioned in the Annexure
  - **Business Promotion:** Employees may reimburse any reasonable expense incurred while entertaining a Client. If the Client is visiting the office, the team may email an authorized Employee from the FMS department for meal arrangements
  - **Other Reimbursements:** This includes attire, driver allowance, fuel, and mobile/internet allowance

### Procedure to Claim Reimbursements





When claiming reimbursements, Employees must be mindful of the following:

- Make entries for food and/or conveyance reimbursements on Microsoft Dynamics 365 on a daily basis
  - If any Employee is in office on 29th and orders dinner, but the food arrives at 12:30 AM on 30th, the reimbursement entry should still be dated as 29th
  - Reimbursement bills are not paid if they are submitted under a different name, any of the details are incorrect or the entry on Microsoft Dynamics 365 is under the incorrect expense head
- All reimbursement bills should have GST details
- Entries must be approved by Managers within the defined monthly timeline unapproved expenses are not reimbursed
  - All receipts should be shared in electronic format with the Corporate Finance Department within the defined monthly timeline, no reimbursements are paid out without corresponding receipts despite being approved by the Manager
- Reimbursement should be marked as billable by the Manager in instances where they are billed to the Client
- Client and project must be entered correctly (especially in case of cross department work)

## Points to Note

- The reimbursement allowance amounts are mentioned in the Annexure
- Below mentioned documentation is not considered for monthly reimbursements:
  - Email copy with order Confirmation details
  - Any modifications to a printed bill (E.g., Adding/overwriting/)
  - Cash/credit memo
- The responsibility of putting the entries on the system, getting them approved and sharing the necessary receipts is on the Employee. No entries, approvals, and/or receipts are accepted after the defined reimbursement timeline determined by the Corporate Finance Department
- Any reimbursement entries with incorrect details (e.g., wrong date or amount) are not reimbursed at the discretion of the Corporate Finance Department
- Any expense incurred by Employees on Company account and not submitted for reimbursements per the process defined above are treated as a personal expense and deducted from the Employee's salary
- Employees that miss claiming any type of reimbursements within the timeline defined by the Corporate Finance Department, are eligible to receive this amount in the next salary cycle, with a standard 25% deduction, at Manager approval
  - Employees should share Manager approval with the Corporate Finance Department within the monthly reimbursement timeline in order to receive this amount



## Re-Billable Reimbursements

Employees claiming any reimbursements which are re-billable to the Client should properly mark it as re-billable on the system. If Employees/Managers fail to mark it as re-billable, it is considered as a policy breach and the above-defined consequence matrix is applicable.

## 7.4 Provident Fund

The purpose of this policy is to detail out the benefits provided by TresVista in accordance with the Employees Provident Fund and Miscellaneous Provisions Act, 1952.

### Eligibility

This policy is applicable to all Employees.

### Particulars

- Employee Provident Fund (EPF) is an Employee benefits scheme prescribed under a statutory Law and government fund that facilitates medical assistance, retirement, education of children, insurance support, and housing
- **EPF Account:**
  - The Company provides Employees with an EPF account number
  - However, in case of previous employment, Employees must transfer the EPF account from their previous employer through an online transfer
    - Corporate Finance Department is responsible for any shortcomings in the transfer process
  - Employees may operate the EPF account provided by the Company, as per the EPF scheme framed and amended by the Government from time to time, however, the Company is responsible for any rejection of claims towards the usage of an Employee's EPF by the concerned authorities under this scheme
- **EPF Contribution:**
  - Contribution made by the Company for the Employee provident fund is 12% of the basic salary, and the Employee's contribution is equal to the contribution payable by TresVista
  - The Employees, if they desire, can contribute further, though the Company stands under no obligation to contribute over and above the minimum requirement
    - The Employee's contribution is deducted from their monthly salary



## Procedure

Any Employee who wishes to “opt for” or “opt out” of the PF scheme must inform the Corporate Finance Department, in writing, about their decision. The Company then makes the necessary filings with the appropriate authority as required under the Law.

## Points to Note

- Withdrawal or transfer of PF is facilitated per the EPF rules as amended from time to time
- Employees must comply with the prevailing Law at the time of resignation/retirement for withdrawal/transfer of PF
- Employees can reach out to the Corporate Finance Department for the detailed manual related to PF transfer/withdrawal
- Employees can check their account balance or status online; the provident fund UAN number is mentioned on the salary slip

## 7.5 Gratuity

The purpose of this policy is to define the benefits provided by TresVista to Employees in accordance with the Payment of Gratuity Act, 1972.

### Eligibility

- Gratuity is paid to Employees who have completed four (4) years and one-hundred and ninety (190) days of continuous service with TresVista, however, completion of continuous service of four (4) years and one-hundred and ninety (190) is not mandatory in cases wherein the Employee faces termination due to death or disablement
- In such cases, the amount due to the Employee up to the date of termination can be paid, at the discretion of the Company and this amount is transferred to the Employee or their immediate family member’s (spouse in case of a married Employee or parents in case of an unmarried Employee) bank account

### Particulars

- Gratuity is calculated as per the Payment of Gratuity Act, 1972 and is only be paid out after the termination of employment
- Employees can raise a Helpdesk Ticket with the Corporate Finance Department to know the amount of gratuity due to them



## 7.6 Onboarding Support

The purpose of this policy is to define guidelines concerning onboarding support provided by TresVista to compensate for the expenses incurred by new recruits who are required to visit the job location and/or relocate to the job location for the purpose of their employment with TresVista.

### Eligibility

- Onboarding support is offered to all Employees who:
  - Reside outside of the job location and are required to visit the job location for their recruitment and/or attend subsequent meetings/events as required by TresVista before their date of joining
  - Relocate to the specified job location after receiving their Offer Letter from TresVista
- To be eligible for the support, the following primary criteria must be met:
  - **For Campus Hires:** If their permanent residential address differs from their job location
  - **For Lateral Hires:** If their current residential address differs from their job location
- The Company's decision towards regarding the Employee's eligibility is to be considered as final

### Particulars

- Employees can claim reimbursements for the following, subject to the Company's decision of Employee's eligibility, based on actuals and upon submission of all supporting documents/proofs to the Corporate Finance Department, within ninety (90) days from the date of joining
  - In case the employee misses to claim the onboarding support within the above-mentioned deadline, they can write to Corporate Finance department to claim it within next thirty days, with a standard 25% deduction
- **Visit to the Job Location:**
  - Travel to and from the job location and the Employee's residence
  - Temporary stay at the job location
- **Relocation:**
  - One-time travel from the Employee's residence (includes travel of spouse/children/dependent parents)
  - Temporary stay at the job location during selection and finalization of accommodation
  - Broker fee (pro-rated share if the Employee has roommates)
  - Movers and packers
- The maximum amount that can be claimed as onboarding support is mentioned in the Employee's Offer Letter
- To claim reimbursements, Employees must submit the following supporting documents via an email to the Corporate Finance Department:



- **Application Form:** Duly filled application form that can be accessed in the Annexure
- **Travel:**
  - Flight, bus, train, and private taxi: Original ticket/invoice with GSTIN, toll receipts (in case of private/rental taxi) and boarding pass (in case of flights)
  - Personal car: Toll receipts and fuel bills
- **Temporary Stay:**
  - Hotel: GSTIN invoice
  - PG: Receipt with PAN details and GSTIN (if registered with GST authority) and payment transaction details
- **Broker Fee:**
  - Tax invoice or receipt (containing PAN, GSTIN, address)
  - Registered leave and license agreement; or
  - A letter from the PG declaring that the Employee is residing with them
- **Movers and Packers:** Original receipt with GSTIN and lorry receipts, wherever applicable
- **Collateral:**
  - Employees have to submit an undated cheque as collateral amounting to the sum of onboarding support provided to them
  - This cheque is only retained as collateral in the interim and is not cashed unless the Employee violates this policy
  - The cheque should be in the name of 'TRESVISTA FINANCIAL SERVICES PRIVATE LIMITED' or 'TRESVISTA ANALYTICS LLP', as applicable, basis the Employee's job location
- Employees must also submit the onboarding support entry on Microsoft Dynamics 365, under the Reimbursement Module, as mentioned below:
  - **Mumbai Employees:**
    - Client - TresVista
    - Project – Onboarding Support (Mumbai)
  - **Pune Employees:**
    - Client - TresVista
    - Project – Onboarding Support (Pune)
  - **Bengaluru Employees:**
    - Client - TresVista
    - Project – Onboarding Support (Bengaluru)



## Points to Note

- Bills and claims in Employee's name, supported by the original receipts along with the GST component, as applicable, must be submitted in electronic mode to the Corporate Finance Department within the defined timeline
- In case an Employee resigns or is subject to Termination with Cause before the completion of their first Annual Review Period, they must return the amount credited to them latest by their Last Working Day
- In case of non-compliance with this section, the Company is entitled to encash the cheque (submitted as collateral) of the entire amount at the end of this period

## 7.7 Referral Bonus

TresVista is growing rapidly and attracting the best talent to join the Organization, which requires significant effort and input from everyone at TresVista. Hence, it is essential that existing Employees are proactive in seeking qualified candidates to apply for posts within the Company. To align interests, anyone who can successfully refer a candidate, subject to eligibility, is entitled to a referral bonus.

This policy enables leveraging Employees' network to attract the best talent (working at another Company, currently unemployed, or graduating) for open positions and to compensate them for their efforts.

### Eligibility

- An Employee is eligible for referral bonus if all of the following hold true:
  - The Employee must know the candidate from prior interactions
  - The Employee must vouch for the candidate
  - The candidate accepts the offer and gets confirmed at TresVista
- An Employee is not eligible for a referral bonus if:
  - The position being recruited for is a position that would report to the Employee
  - The Employee is required, as part of their job duties, to recruit for that position

### Particulars

- To refer a potential candidate, Employees can look up open positions on careers page, [TresVista](#) and drop an email to [referrals@tresvista.com](mailto:referrals@tresvista.com) with the following details:
  - Name of open position
  - Resume of candidate



- Vouching for someone entails that the Employee is confirming to the Company that the referee is known to them, and they are willing to put their name and credibility on the line to refer them for the position. Employees can vouch for candidates at [referrals@tresvista.com](mailto:referrals@tresvista.com)
- Employees are also encouraged to forward applications to the Talent Acquisition team if not vouching for someone, which may include instances when they:
  - Know a candidate who they feel strongly about, but are not prepared to put their credibility at stake, in which case they should forward the resume and communicate their hesitation to endorse them
  - Have an acquaintance of an acquaintance ask them to forward their resume, in which case they should do so and communicate that they are not familiar with the candidate at all
- It should be noted that:
  - If the above conditions are met, the minimum bonus that can be earned is INR 10,000 and it may increase based on the level of the position being recruited. However, it should be noted that the bonus payout is at the discretion of the Talent Acquisition team
  - The bonus payout is subject to appropriate tax deductions
  - The referral bonus is paid along with the salary of the month in which the candidate's employment is confirmed, per the timeline defined by the Corporate Finance Department, provided the Employee is employed with TresVista at that time
  - An Employee can earn multiple bonuses, they are welcome to refer or vouch for as many candidates as they may see fit
  - If two Employees refer a candidate for the same position within 12 months, the Employee who referred first would be eligible for bonus
  - In the event that the candidate's resume has been added to the database through any recruitment source (i.e., social media, job portals) in the previous 12 months from the date of referral, the Employee would not be eligible for bonus
  - Employees may write to [referrals@tresvista.com](mailto:referrals@tresvista.com) for further details

## 7.8 Business Travel

The purpose of this policy is to define guidelines and criteria for domestic, international, and inter-city travel (between Mumbai/Pune/Bengaluru), covering aspects such as travel, accommodation, and various allowances for Employees who need to travel as a part of their role. The fundamental premise of this policy is to ensure that Employees travel in a comfortable and an efficient manner, while keeping it cost effective for the Company.



## Eligibility

This policy is applicable to all Employees who may have to travel to office or non-office locations, domestically/internationally for business purposes.

Designations	Budget	Approvals
SVP & above	Limits Applicable as per their Budget*	Self
EVP & below	Limits Applicable as per Policy	Managers

\* The above table is applicable for inter-city, domestic and international travel.

\* Any unnecessary expenses outside the scope of this policy not pertaining to travel should not be incurred against the allotted budget.

## Particulars for Inter-City, Domestic and International Business Travel

### Travel Booking:

#### Approvals:

- EVP and below: All travel bookings and any request for modification to the request raised, must be approved by the Manager (SVP and above, as applicable)
- SVP and above: No separate approval is required given that they have an allocated travel budget for the year

#### Booking Guidelines and Process:

- All travel requests must be planned and initiated well in advance
- For EVP and below, request should be initiated with the FMS department on Helpdesk under the category 'Travel Request- Company Car/Hotel/Flight'
- For SVPs and above, bookings will be managed by their respective secretaries
- Timeline to initiate the booking (travel and hotel) for all types of travel is four (4) weeks
  - o This is to ensure that most economical tickets are booked, per the limits defined in the Annexure
- Travel requests shared over an email will not be considered
- In case the most economical ticket results in excessively inconvenient travel (multiple stops/long layovers, etc.), alternative flight options can be considered if Employees have sought necessary approvals from their respective Director++
- Preferences for certain airline/hotel groups for loyalty points will not be considered when making any bookings





- An email Confirmation will be shared with the Employee, from the FMS department or the travel portal, as applicable, once the bookings have been made
  - Any reimbursement request for travel booked by Employees themselves will be rejected by the Corporate Finance Department
  - Economy tickets will be booked for all Employees up to SVP level
    - o In spite of a dedicated budget, SVP in Client Development department will not be allowed to travel business class
  - Associate Directors and Directors will be allowed to travel by premium economy and business class respectively in case the travel duration is of more than 4.5 hours
    - o In case a round trip ticket is booked on the same booking, and if either journey (outward or return) is of more than 4.5 hours, premium economy/business class tickets, as applicable, can be booked
  - In case there is a layover of more than six hours at any airport for Associate Directors and below, Employees may expense entry into a business class lounge
  - On account of extended stay due to personal reasons, any additional airfare/hotel cost when compared to normal business travel dates is borne by the Employee. FMS to inform Corporate Finance Department to adjust the excess from the salary
  - If the additional stay is approved by the Manager (SVP and above) and is within budget reasonable limit, then it may be considered
  - Employees can claim reimbursements for conveyance to and from the airport and these expenses are reimbursed on actuals (The reference point in this regard is the prevailing rate of Uber/Ola). This reimbursement is over and above the daily allowance
- **Daily Allowance:**
    - Daily allowance is reimbursable upon submission of the relevant receipts/bills
    - Employees may claim this amount in advance based on the number of days they are travelling for. In order to do so, Employees must submit their travel tickets to the Corporate Finance Department who will evaluate and accordingly process these requests.
    - In case of extended stay for personal reasons, daily allowance will not be provided for the extended duration
  - **Miscellaneous:**
    - Office services (i.e., faxes, copies, courier, postage) are reimbursed on actuals subject to the submission of relevant bills and receipts
    - Expenses on laundry, dry cleaning and ironing are only reimbursed for trips exceeding seven (7) days, subject to the submission of relevant bills and receipts



- Non-allowable Expenses
- Unsanctioned trips, entertainment, gifts and/or donations
- Mini bar items
- Toiletries and other personal items
- Membership fees to register for any reward program
- Service, installation and/or repairs cost of personal mobile phones
- Expenses on tobacco
- Repair, maintenance of briefcases, luggage, or similar items
- Loss of cash or other personal property
- Personal medical supplies
- Excess baggage charges
- Expenses for travel incurred by companions/ family members
- Other travel expenses considered as 'not necessary' during the trip

Refer to the below sections for specific guidelines on Inter-City, Domestic and International Business Travel.

## Particulars for Inter-City Business Travel

- These guidelines are in addition to 'Particulars for Inter-City, Domestic and International Business Travel'
- **Booking Guidelines:**
  - **Road Travel (To and From Pune/Mumbai):**
    - **Company Car:** If the Company car is unavailable on the planned travel dates and if the travel dates can't be changed to align with the availability of the car, then the Employees are required to book a cab either by themselves or through the FMS department
    - **Self-Bookings:** Expenses are reimbursed in accordance with the total cost of travel as per limits mentioned in the Annexure
    - This amount is inclusive of toll expenses, and the Employees are required to submit the necessary FASTag statements/toll receipts
  - **Personal Vehicle (Applicable to VPs and above):**
    - Employees may use their personal vehicle for inter-city travel; reimbursement amount is then calculated basis the distance and prevailing fuel rates, and is reimbursed per the limits in the Annexure
    - Toll expenses are reimbursed at actuals subject to submission of necessary FASTag statements/toll receipts
- **Accommodation:**



- Hotel rooms are finalized based on the designation, gender, and number of people travelling by FMS Team with the contracted hotels or its equivalent
- EVPs & below are allocated rooms on double occupancy basis
  - The only exception would be if a male and female Employee travel together
- SVPs & above are allocated rooms on single occupancy basis
- **Daily Allowance:**
  - Daily allowance is the amount allocated to Employees to reimburse expenses incurred on food and local conveyance
  - Breakfast expenses are not reimbursed, given that it is included in the hotel booked by the FMS department
- **Cancellation:**
  - Cancellation request must be shared with the FMS department via a Helpdesk Ticket at least two (2) days prior to the date of travel and it needs to be approved per the eligibility matrix defined above
  - Non-refundable amounts and cancellation charges, if any, are deducted from the respective department/team travel budget
- **Reimbursement:**
  - SVP in Client Development department are not allowed to claim reimbursement as per inter-city policy as they have a separate 'Team Building Trips' policy governing their inter-city travel
- **Office Guidelines:**
  - **Timing:**
    - In consideration of their travel schedule, Employees may plan their day as follows:
    - At the office they travel to, on the day of travel, start their day latest by 10:30 AM and leave any time after 4:00 PM
    - Employees wishing to start their day after 10:30 AM or leave before 4:00 PM, may do so subject to Manager approvals
  - **Seating:**
    - When approving travel requests, it is the Manager's responsibility to check and ensure that seats are available
- **General Guidelines**
  - Each team has been allocated a defined number of seats; EVPs and below can utilize one of the seats allocated to their team
    - The detailed floor plan is saved and can be referred to on SharePoint



- If a team/department does not have seats allocated in a particular location, they may check with the FMS department on the availability of inter-city seats and accordingly raise a Ticket to book one of these seats
- SVPs and above can block a cabin by reaching out to FMS department
  - FMS department blocks a seat on the floor or an inter-city seat if no cabins are available
- If no inter-city seats are available, Employees can check with the FMS department and leverage the Management seats
- **Location Specific Guidelines:**
  - **Pune and Bengaluru:** Open floor seating plan is followed, wherein Employees do not need to book a seat and can directly utilize one of the seats allocated to their team (E.g.: An HR Employee traveling from Mumbai to Pune can directly occupy one of the empty seats in the HR cabin)
  - **Mumbai:** Considering seating is managed via the SpotHold Portal, and Employees should reach out to the FMS department to book a seat on their behalf
    - In case seats are not available, Managers must reject these requests and Employees are required to shift their travel dates accordingly

## Particulars for Domestic and International Business Travel

- These guidelines are in addition to 'Particulars for Inter-City, Domestic and International Business Travel'
- **Accommodation:**
  - All bookings (except for Inter-City Travel) should be made by the Employee and be reimbursed in accordance with the limits defined in the Annexure. Please note:
  - SVPs and above can book rooms on single occupancy basis
  - EVP's and below must share rooms if they are travelling with another Employee
    - Exception is made in situations wherein male and female Employees travel together
- **Daily Allowance:**
  - Employees can claim daily allowance, per the limits defined in the Annexure, for their food expenses while travelling
  - Bills will yet need to be submitted for the amounts claimed in advance as well along with the boarding pass
  - In case of extended stay for personal reasons, daily allowance will not be provided for the extended duration
- **Client Welfare:**
  - Employees are allowed to claim reimbursements up to a certain amount (as per prevailing allowance) for Client related expenditure such as business meal or drinks with a Client. These expenses are to be claimed



at the actuals. VP/EVP are responsible for approving in line with the budget all such reimbursements for their team

▪ **Conveyance:**

- When travelling, it is recommended that Employees use public transport to ensure that their commute is cost-effective
- In case public transport is unavailable, Employees may use their discretion in determining the mode of transport
- When travelling with other Employees/colleagues, it is recommended that Employees rideshare/carpool, to the extent possible
- The Employee must submit receipts of these expenses with the Corporate Finance Department in order to claim relevant reimbursements
- The Company reimburses Employee conveyance expenses per day in accordance with the limit mentioned (as per Annexure)
- In case an Employee is travelling through the day and making multiple stops, it is advisable that they rent a car or cab for the entire day if that happens to be more cost effective

▪ **Host Allowance:**

- In case an Employee on international travel is staying with family, friends, or acquaintances, they will be entitled to a host entertainment amount (as per prevailing limits provided in the annexure), in order to entertain their host and/or buy them a present

▪ **Weekend:**

- When business travel requires a weekend stay, only food and accommodation expenses are reimbursed
- Conveyance expenses are reimbursed if the Employee travels on the weekend for business purposes
- Employees will need to inform the FMS department/travel desk, as applicable in advance if they need to stay over the weekends due to business requirement for them to book/rebook hotel/flights, subject to Manager approval
- Employees staying the weekend without any intimation/approval will need to bear the additional cost. FMS needs to inform Corporate Finance Department to adjust the excess from the salary accordingly

## Additional Guidelines for International Business Travel

- These guidelines are in addition to 'Particulars for Domestic and International Business Travel'

▪ **Approval:**

- If Employees need to travel outside of London/New York/Dubai, approval for travel cost to be sought from Director++, as applicable



- **Booking Guidelines:**
  - Bookings for tickets, rental cars, forex, visa and insurance formalities are handled by the Employee and will be reimbursed in accordance with the limits defined in the Annexure
- **Documents:**
  - Employees must have a valid passport and credit card with a limit of not less than INR 1,00,000. The lack of an appropriate credit card may cause complications leading to additional travel costs, which will need to be borne by the Employee
  - Visa expenses, including travel from their residence to the visa office, will be reimbursed by the Company however, passport related expenses will not be paid for by the Company
- **Travel Insurance:**
  - Employees who travel internationally on behalf of the Company are covered by comprehensive travel insurance for the duration of their proposed overseas stay. This insurance policy includes coverage of illnesses and accidents
- **International Telephone Service:**
  - When travelling internationally, to manage data and voice calls for business needs or for important/unavoidable personal use, Employees mandatorily need to get an international roaming service activated with their existing Indian Service Provider. These expenses will be reimbursed basis the limits defined in the Annexures
- **Medical Expenses:**
  - During travel for business purposes, all the medical related expenses (including COVID-19 related expenses) should be covered in the travel insurance policy
  - Additional expenses incurred due to medical emergencies which are not covered by travel insurance policy will be reimbursed for Employees at all levels
  - This will only be provided if the Employee has opted for a travel insurance (i.e., in case the Employee has not opted for it, all medical expenses will be borne by the Employee)
  - Employees must submit the relevant medical bills in order to claim this reimbursement

## Additional Guidelines for SVPs and Above

- These guidelines only apply to SVPs and above and are in addition to the recommendations and guidelines mentioned above
- **Travel Allowance:**



- SVPs are given a fixed travel budget during each review cycle and are expected to maintain travelling costs within the set budget range and only claim expenses against the pre-defined reimbursement heads, as mentioned below:
  - Local Travel Allowances
  - Air Travel
  - Hotel Stay
  - Insurance
  - Airport Travel
  - Visa Charges
  - Telephone
  - Laundry
  - Daily Allowance:
    - No documentation will need to be submitted to claim these expenses and this amount is reimbursed basis the number of days an Employee is travelling
    - In case their expenses exceed the allocated budget during any review cycle, SVPs (related to Client Development) must seek prior approval from the Strategy department and SVPs (not related to Client Development) must seek approval of his/her department's Director++. Subsequent to receiving the approval, these claims are processed by the Corporate Finance Department
    - SVPs may get these additional expenses approved and reimbursed in the same or the following month of incurring them
    - Additional expenses will be approved by the Strategy department, only in the multiples of USD 500, basis Employees having a valid reason for incurring them

## Procedure to Claim Reimbursements

- The allowance limits for business travel – Domestic, International and Inter-City are mentioned in the Annexure
- For detailed information concerning the reimbursement process, Employees must go through section 7.3 of this handbook
- A few additional guidelines for claiming expenses for business travel are as follows
- All reimbursement entries for business travel must be made under the appropriate expense head on ERP, basis the nature of expense incurred
- The Employee must submit proof of the exchange rate at which foreign currency has been purchased and expenses have been incurred
  - E.g.: When travelling for campus recruitment, reimbursement details must be as follows:



- Client: HR Recruitment
- Project: Relevant project name to be confirmed with the TA team
- If an Employee is unable to submit the original receipt, the expenses claimed will be subject to additional scrutiny, and will be approved/accepted at the discretion of the Corporate Finance Department
- Reimbursement entries should be applied for, approved and original receipts along with the GST component, as applicable, should be submitted to the Corporate Finance Department within the defined monthly reimbursement deadline
- All the bills need to be submitted digitally to Corporate Finance Department
- To claim reimbursements for payments made through cash and personal credit/debit card, Employees must submit the following documentation to the Corporate Finance Department:
  - Relevant bills/receipts for the payments made through cash or personal credit/debit card
  - In case of card payments, if the above is not available, then the card statement may be submitted, highlighting the specific transactions
  - Supporting documents specifying the exchange rate and amount converted into foreign currency
- In case SVPs and above make payments with someone else's card, reasonable justification for this must be provided
- In case of Intercity Policy, additional details have been provided below
  - Reimbursements should be billed under the Client 'TresVista' and project 'TresVista Analytics'/'TresVista Financial Services' (as applicable) on Dynamics 365
  - Employees should refer to section 7.3 of this handbook, for detailed information on the reimbursement process
- In case Employees choose to travel to the business location from an origin point which is any other city other than TresVista office locations, the additional cost borne for this travel, if applicable, will be borne by the Employee. Same will be applicable for reverse travel
- For EVP and below Employees. FMS department/travel desk will share screenshots of travel costs for both the route options i.e. office location to destination vs any other location to
- destination basis which Corporate Finance Department will make the necessary deductions
- For SVP & above, the respective secretaries will share the snips of the bookings with the FMS department. As per the regular process, the latter will share the snips with the Corporate Finance Department for the necessary deductions, if applicable
- Prevailing food and conveyance reimbursement rates can be accessed in the Annexures





## 7.9 Tax Compliance

During the term of employment with the Company, any tax liability arising in respect of the exercise of employment or on income earned by the Employee would be borne solely by the Employee and the Company will only be responsible for withholding taxes from the salary paid to the Employee and payment thereof to the credit of the Central Government in accordance with the provisions of the Income Tax Act, 1961 and rules made thereunder.

The investment declaration template for the current year will be available in the SharePoint. It will consist of:

- **Investment Declaration Form:** Every Employee needs to fill an investment declaration form at the beginning of a financial year in order to get tax reliefs. This form will provide a snapshot of all the investments that the Employee proposes to undertake during the financial year. The form should be filled and a hard/scanned copy duly signed should be submitted as per the deadline as notified by the Corporate Finance Department. Tax deductions will be made from an Employee's monthly salary as per this Investment Declaration
  - **Submission of Proofs:** 'Tax Notes' sheet under investment declaration includes information about the documents/ proofs that need to be submitted under every investment component in order to avail of tax benefits. It also consists of some guidelines that Employees should keep in mind while submitting their investment proofs. An Employee will be required to submit all the necessary proofs of the investment to the Corporate Finance Department as per the deadline as notified by them. In case, an Employee is unable to produce, or fails to submit the required receipts and documents, a lump sum to the extent of the total tax payable will be deducted from the Employee's salary
- Form 16, a document that assists an Employee in the process of filing Tax Returns, will be available after May. A Ticket may be raised to the Corporate Finance Department to avail this form

The background features a dark blue field with several overlapping geometric shapes. A large, light blue triangle points downwards from the top left. A grey triangle points downwards from the top center. Another dark blue triangle points downwards from the top right. The word "Exit" is centered in the lower half of the image.

**Exit**



## 8. Exit

TresVista aims to provide a smooth and consistent process for its exiting Employees.

### 8.1 Notice Period

- During Probation, either the Employee or the Company may terminate the Employee's employment without notice. Upon Confirmation, employment can be terminated by either party by abiding by the Notice Period. In case the Company terminates the Employee immediately, other than on the grounds as defined in the section 8.2 of this handbook, the Employee is paid a salary in lieu of their Notice Period, except wherein the termination is due to a force majeure event which has affected the operations or the business of the Company or rendered the services of the Employee redundant
- It is expected that Employees and their Managers should be in constant communication about both parties' intent for the Employee's future with the Company, however, the Employee's Notice Period does not officially begin until they formally raise a Separation request via DarwinBox. The HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) subsequently confirms the Last Working Day on the portal and this is communicated to the Employee and their Manager via an automated email
- **It should be noted that:**
  - The Employee's Manager approves the Separation request on DarwinBox. In case the resignation is not acted upon within the defined TAT of 5 days, the resignation will be auto approved by the system which will be treated as the final approval for HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) to proceed with the Separation formalities
  - It is mandatory for all Employees to serve the Notice Period, per the matrix mentioned in the Annexure, unless notified otherwise by the Company
  - In case an Employee does not serve the Notice Period, as approved by Manager per the Notice Period waive off clause (mentioned below), their exit formalities (including but not limited to their relieving letter, final settlement, etc.) is not processed
  - The relieving formalities of all exiting Employees are conducted on their Last Working Day; except for the Employees who have been terminated. If the applicable Last Working Day is a Holiday, then the formalities are conducted on the preceding working day
  - Employees cannot avail of any paid leave or flexwork, excluding those mentioned below, during their Notice Period. In case Employees need to avail of leaves, these leaves will be unpaid in nature and may result in an extension to the Notice Period, at the Manager's discretion
    - Any pre-approved/system auto-generated leaves on DarwinBox falling in the duration of the employee's notice period will be revoked



- Employees can avail of paid extended sick leave and bereavement leave during their Notice Period, per the guidelines mentioned in sections 5.4 and 5.7 of this handbook, respectively
  - These leaves are paid in nature and the Notice Period may be extended in accordance with the number of leaves availed
- Employees are required to work from the office per the hybrid model while serving their Notice Period and should mandatorily work from office on their Last Working Day. The detailed guidelines on the hybrid model can be referred to in section 3.2 of this handbook
- The Managers, at their discretion, can reduce an Employee's Notice Period up to one (1) month. This one-month reduction can be waived off, bought out, or can be a combination of both. In case Employees want to reduce their Notice Period beyond one (1) month, they must mandatorily make a payment in lieu of the Notice Period i.e., buy-out. Please note, any reduction of notice is not an Employee's entitlement, and falls under Company's discretion
- The raised/approved Separation can be withdrawn by the Employee any time before the Last Working Day at the Manager's discretion
- If an Employee is a part of any disciplinary proceedings, the Company reserves the right to reject their resignation request, at its sole discretion

## 8.2 Termination with Cause

Termination with Cause includes but is not limited to the following grounds:

- Material failure to observe the performance standards set by the Employee's Manager or in carrying out their duties
- Unsatisfactory performance during training period
- Failure or inability to provide any undertakings as may be reasonably requested in accordance with policies, procedures and rules on the conduct that the Company expects from its Employees within a reasonable period of time or any censure or fining by the relevant regulatory authority
- Misconduct as identified by the Employee's Manager
- Negligence in connection with or affecting the business of the Company or any associated Company
- Willful disobey of a lawful or reasonable order by an Employee
- Employee found guilty of Fraud or dishonesty
- Serious or persistent breach or non-observance of any of the Company's policies, terms and conditions as mentioned in the Employee Handbook or the Employee's Employment Agreement (as amended from time to time)



- Taking unpaid days off for medical or any other reasons in excess of a tolerable amount as determined by the Employee's Manager
- Taking any bribes or improper gifts/kickbacks
- Any action or behavior that creates a potentially unsafe working environment
- Conduct which is likely to bring the Company, Management or Managers into disrepute or conviction of a criminal offence
- Refusal to submit to a drug test or failure in any drug test administered by an institution or named physician selected by the Company
- Information given by the Employee in connection with their personal details, education and/or their past service is found to be untrue
- An Employee being actively involved in any other business or income generating venture, without prior approval from Manager or the Conflict of Interest committee
- Any prior regulatory fine or censure, litigation, crime, or involuntary termination of any prior employment affecting the Employee, or any report from the Company's background checking agency or referencing the Company considers unsatisfactory
- Sexual harassment of a woman in the workplace in accordance with 2.6 of this handbook
- Any physical or mental incapacitation, which (in the Company's sole opinion) renders an Employee incapable of performing their duties associated with their employment
- In the event the Company is not satisfied with any of the background checks or the results of such background checks, the Company reserves the right to terminate the Employee's employment with immediate effect without any liability or loss to the Company

### 8.3 Absconding Employee

- In case the Employee does not report to work by 9:30 AM, then the line Manager tries to contact the Employee on their personal contact number
- If the Employee is unavailable/does not answer the calls, the line Manager sends an email to the Employee
- In case the Employee does not respond to any of the above, the line Manager gets in touch with the Employee's emergency contact Person's number saved on DarwinBox and inform the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) about the case



- In case the Employee does not report to office/remains unreachable due to an unforeseen event (accident, hospitalization, death etc.) then the line Manager informs the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) to take the process forward
- In case no response is received from the Employee/Employee's emergency contact within twenty-four (24) hours, the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) intervenes and proceeds with the next steps
- Post seven (7) days from the date of the Employee's absence, the employment contract may be, upon Company's discretion, immediately terminated

## 8.4 Exit Formalities

All exiting Employees must complete a set of formalities prior to their Last Working Day before they can be relieved from their services.

### Exit Checklist

- Exit clearances are triggered on the Employee's Last Working Day through DarwinBox. These clearances comprise of a list of formalities that need to be completed when Employee leaves the Organization. The clearances, with the required sign-offs from the concerned stakeholders, must be completed on DarwinBox
- Employees must return all Company property including, but not limited to, any Company equipment, storage devices, training manuals, keys, documents, correspondence, records, credit cards, and passes which are in their possession or under their control. They must sign the resource return form (as applicable) on their Last Working Day

### Exit Interview

- An exit survey is sent to the exiting Employee in their last week in order to solicit feedback from the Employee regarding their experience during their stint at TresVista
- The Employee fills out the exit survey by their Last Working Day
- A representative from the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com)) conducts a one-on-one interview with the Employee in order to discuss their responses in detail and solicit additional feedback. Responses to the survey are kept confidential

### Full and Final Settlement

- Full and final settlement includes but is not limited to salary, unutilized Vacation Days, refunds, deductions, etc.
- **Salary Withholding:**



- **For Employees with One Month's Notice Period:** Salary is withheld from the day the Separation is raised on DarwinBox until their Last Working Day and is paid out as part of full and final settlement per the timeline defined by the Corporate Finance Department
- **For Employees with Two or More Months' Notice Period:**
  - Salary for the month in which Employees raise their Separation on DarwinBox, is withheld. This salary is paid out as part of full and final settlement per the timeline defined by the Corporate Finance Department
  - Salary for any other month falling during the Notice Period is paid as per the monthly salary timeline as defined by the Corporate Finance Department
- Any amount that is due to the Company may be deducted from the Employee's full and final settlement

## Relieving Letter

- Once the exit checklist is closed and cleared, a relieving letter is issued within thirty (30) working days from the Employee's Last Working Day. It contains details such as the Employee's name, date of joining, Last Working Day, and last designation
- It should be noted that the relieving letter is not sent unless all the relevant exit formalities are successfully completed
- In the event of Termination with Cause, a termination letter is issued explicitly stating that the Employee was terminated

## Recommendation Letters

- Letter of recommendation is a letter provided by TresVista to recommend an Employee for the initiatives taken by them and their performance in the Company. It serves as validation of the Employee's achievements in the Firm.
- It is given to Employees on ask basis and this policy details out the process in this regard.
- **Eligibility:**
  - Employees who have completed twenty-four (24) or more months at a stretch from their original date of joining, or exit as role-completions (excluding one-year roles) are eligible to receive one recommendation letter from their Managers for higher studies and/or future employment, provided they have fulfilled their commitments towards the Company, and not been terminated for cause
  - Providing any such letter is at the sole discretion of the Manager



## No Due Certificate

All Employees are required to submit the Employee sign-off on DarwinBox, on their Last Working Day. Exit formalities (including but not limited to their reliving letter, final settlements etc.) are not processed for Employees who fail or refuse to adhere to the obligations.

## 8.5 Restrictions after Employment

In the course of their employment with TresVista, Employees may form interpersonal relationships and get access to trade secrets, Confidential Information, goodwill, personal knowledge, and influence with respect to Products and Key Persons.

This section constitutes separate and independent restrictions and the duration, extent, and application of each of the restrictions are no greater than what is necessary for the protection of the interests of the Company. The Employee is expected to be bound by the covenants contained below and accepts that such covenants are reasonable and legitimate protections for the Company's business.

Employees must not directly or indirectly, on their own account or in conjunction with or on behalf of any other Person, for the period of twelve (12) months following the Last Working Day:

- Provide services in respect of soliciting Clients or businesses of a similar characteristic to opportunities considered by the Company
- Seek or accept employment with any Clients of the Company for any reason
- Contact or solicit or direct or assist any Person or entity to contact or solicit, any of the Company's Clients, Prospective Clients, or business partners for the purpose of selling or attempting to sell, any Products and/or services provided by the Company to its Client
- Disclose the identity of any Clients and/or Prospective Clients or business partners to any Person or entity for any reason
- Offer to carry out, or engage in, or transact any Financial Services, advisory services, or investment activities relating to an Opportunity or an investment in relation to which an Employee has any personal dealings during the course of the Employee's employment
- Solicit or entice away any Key Person from the Company
- Employ or enter into a partnership or association with or retain the services (or offer to do so) of any Key Person
- Interfere with or damage, by way of positive action, the relationship between the Company and:
  - Any liquidity provider or other provider of any commercial paper conduit in which the Company participates or,
  - Any sponsor of any commercial paper conduit





**It should be noted that:**

- If an Employee receives an offer of employment or engagement with someone other than the Company, either during employment or during the period for which the restrictions set out above remains in force, the Employee must ensure that the Management of such new workplace is made aware of the restrictions on the Employee as set out above
- The above restrictions are reasonable for the legitimate protection of the business and goodwill of the Company. In the event that the aforesaid restrictions are found to be void, but would be valid if some part thereof was deleted or the scope, period or area of application were reduced, the above restrictions shall apply with the deletion of such words or such reduction of scope, period or area of application as may be required to make the restrictions mentioned above valid and enforceable. Notwithstanding the limitation of this provision by any Law for the time being in force, the Employee at all times, can be bound by the spirit of this section
- The covenants and obligations with respect to non-compete and non-solicitation as set forth above relate to special, unique and extraordinary matters, and that a violation of any of the terms of such covenants and obligations will cause the Company, irreparable injury. The Company shall be entitled to an interim injunction, restraining order or such other equitable relief as a court of competent jurisdiction may deem necessary or appropriate to restrain an Employee from committing any violation of the covenants and obligations contained in this section. These injunctive remedies are cumulative and are in addition to any other rights and remedies that the Company may have at Law or in equity

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# Glossary



## 9. Glossary

1. **Aggrieved Woman:** A woman who alleges that she has been subject to sexual harassment at the workplace
2. **Alleged Perpetrator:** One against whom allegations of sexual harassment have been made
3. **Annual Review Period:**
  - July 01 to June 30
  - January 01 to December 31
4. **Client:** Persons or entities to which the Company has sold any Products or for which the Company has performed any services
5. **Commissioning Mother:** A biological mother who uses her egg to create an embryo implanted in any other woman
6. **Company/Organization/Firm/TresVista:** TresVista Financial Services and its subsidiaries and affiliates
7. **Confidential Information:**
  - All Company and Third Party information which is proprietary and not available to the general public and shall include but not be limited to plans, Client lists, budgets, funds and investments, Products in development, portfolio management strategies, tools and procedures, finance issues, marketing strategies, personnel records, information technology, board and executive structures and methods of conducting meetings
  - Knowledge, technical data, trade secrets, confidential commercial information relating to the business finances or affairs of the Company or Third Party
  - Inventions accessed, created, received, exploited, developed or obtained by the Employee during the course of employment with the Company
  - Any information, data and materials of whatever nature, whether or not stored in any medium and/or disclosed orally or in writing by the Company, its affiliates, agents, partners, suppliers, Clients, contractors and consultants including, but not limited to, information about equipment, software, designs, samples or technology, trade secrets, commercially sensitive information, business plans, personal data (including sensitive personal data), technical documentation, business information, Product or service specifications or strategies, marketing plans, pricing information, financial information, information relating to existing, previous and potential customers, contracts and Products, Inventions, unreleased software applications, methodologies and other Know-how, drawings, photographs, models, mock-ups, and design and performance specifications, production volumes, and production schedules, together with any notes, summaries, reports, analyses, or other material derived or developed by the Company or you, in whole or in part
  - Any documents or information, which reflect or are generated from any such Confidential Information, will also be deemed as Confidential Information



- All Confidential Information shall be deemed as the Company's trade secrets
- 8. Confirmation:** Upon successful completion of Probation, an Employee may get confirmed as per the clause mentioned in the Offer Letter
  - 9. Corporate Finance Department:** All Employees in the Corporate Finance Department at TresVista
  - 10. Contractual Employees:** Employees retained by a Company for a predetermined time and for a predetermined remuneration
  - 11. Dependent Parents:** Any legal guardians, or legally verifiable mother and father, whether biological or otherwise, of an Employee who are emotionally, physically or financially dependent on the Employee for the purpose of their subsistence. For the purpose of this Employee Handbook, dependent parents shall not include in-law relatives of an Employee
  - 12. Developments:** Any idea, Invention, design, technical or business innovation, computer program and related documentation, or any other work Product developed, conceived, or used by the Employee, in whole or in part that arises during employment with the Company, or that are otherwise made through the use of the Company's time or materials
  - 13. Employee:** All individuals who are directly employed by TresVista, including but not limited to those who are on Probation, Notice Period, etc. in accordance with the terms of their respective Employment Agreements
  - 14. Employment Agreement or Offer Letter:** The agreement that specifically sets out the terms and conditions, and the scope of employment of the Employee at TresVista
  - 15. Employee Handbook:** This handbook and all attached annexes, schedules and instruments supplemental to or amending, modifying or confirming this handbook (if any) in accordance with the provisions of the Employment Agreement and Offer Letter
  - 16. Fraud:** Any concern raised by written communication that discloses or demonstrates information that may act as evidence for unethical or improper activity. This term applies to both internal and external Fraud and is used to describe offenses including, but not limited to, deception, bribery, forgery, extortion, corruption, theft, conspiracy, embezzlement, misappropriation, false representation, concealment of material facts, collusion perpetrated for personal profit or to gain some unfair advantage. It further includes the following:
    - Intentional, false representation or concealment of a material fact to induce another to act upon it to his or her injury
    - False accounting: Dishonestly destroying, defacing, concealing, or falsifying any account, record, or document required for any accounting purpose



- Knowingly providing false, deceptive, misleading, or incomplete information within business/functions, to its partners, or other business relations, or deliberately failing to provide information where there is an obligation to do so
- Disclosing confidential, sensitive, or proprietary information to internal or external parties
- Forgery of any document, cheque, bank draft, or any other financial document or account that belongs to TresVista
- Alteration, destruction, or removal of any document, cheque, bank draft, or any other financial document or account that belongs to TresVista, unless instructed to do so by the Organization
- Misappropriation of funds, securities, or misuse or destruction or removal of supplies, or other assets of TresVista including computers, vehicles, machines, mobiles, furniture and fixtures, equipment, or any other property, or services outside of professional duties or without specific authorization
- Impropriety in the handling or reporting of money or financial transactions
- Making unfair profits due to insider knowledge of Company activities
- Accepting or seeking any offering that may influence the action of any Person such as taking inducements, gifts, anything of material value or favours from contractors, vendors, or Persons providing services/ materials to TresVista. For the approval matrix refer to Compliance Manual saved on SharePoint
- Any similar or related inappropriate conduct

**17. Holiday:** Firm-wide Holidays, or day offs as declared by the Firm

**18. HR Department:** All Employees in the human resource teams at TresVista

**19. Intellectual Property :** Intellectual Property means and includes creations and/or information, whether registered or unregistered and/or pending registration of trademarks, patents, designs, copyrights including design copyrights, Inventions, service marks, internet domain names, processes, geographical indications, computer software, Confidential Information, Know-how and any research effort relating to any of the above mentioned business, names whether capable of registration or not, moral rights and any similar rights in any country in the world

**20. Inventions:**

- Developments, Know-how and Intellectual Property, which an Employee may solely or jointly conceive or develop or reduce to practice, or cause to be conceived or developed or reduced to practice
- Invention means and includes whether registered or unregistered and/or pending registration of neighbouring rights, trade secrets, integrated circuits, exploitation of any present or future technologies, applications for any of the foregoing and the right to apply for them in any part of the world; discoveries, creations, Inventions, modifications or improvements upon or in addition to an existing invention

**21. IT Department:** All Employees in the information technology department at TresVista



- 22. Key Person:** An individual who was at any time during the period of twenty-four (24) months immediately prior to the Termination Date engaged or employed as an Employee, director, or consultant (other than an external professional adviser)
- 23. Know-how:** Any or all information (including that comprised in or derived from information technology of all sectors, electronic Intellectual Property, manuals, instructions, catalogues, booklets, data disks, tapes, source codes, formula cards and flowcharts) relating to the business of the Company and the Products or services and markets therefore, Clients of the Company (including, but not limited to, Clients with whom the Employees have become acquainted with during the term of their employment), software, Developments, Inventions, processes, formulas, technology, designs, drawings, engineering, hardware configuration information, marketing, finances or other business information, services provided or Products manufactured and developed by the Company
- 24. Law:** All applicable Laws, bye-laws, rules, regulations, orders, ordinances, protocols, codes, guidelines, policies, notices, directions, judgments, decrees or other requirements or official directive of any governmental authority or Person acting under the authority of any governmental authority and/ or of any statutory authority in India
- 25. Leave Balance:** Total number of leaves allotted to the Employees in the given Leave Cycle
- 26. Leave Cycle:** January 01 to December 31
- 27. Management:** The managing directors, and any other authorized Employee of TresVista
- 28. Manager:** Supervisor of an Employee, or any individual designated as such by the Organization from time to time. For the purpose of this document, Managers refers to VPs and above, as applicable, unless mentioned otherwise
- 29. Notice Period:** The party who is terminating employment will give to the other advance notice in writing, with such notice not to be less than the period indicated in the Employee's Offer Letter or as specified in subsequent Promotion letters
- 30. Financial Services:** All Employees who provide Financial Services
- 31. Opportunity:**
- Any Prospective Client; or
  - Any private equity or private debt or asset backed security, or structured finance or real estate Opportunity which is offered to or under consideration by any Employee of the Company for the Company or any Person for which the Company provides advisory, consultancy or Management services
- 32. Permanent Employees:** The Employees who work for and are directly on the payrolls of TresVista without a predetermined end date for the employment at hand
- 33. Perpetrator:** One against whom allegations of sexual harassment have been proved, based on the Inquiry conducted by the IC



- 34. Person:** An individual, Firm, limited partnership, limited liability partnership, Company, association, corporation or other Organization
- 35. Personal Day:** A day that an Employee is not present in the office as stated in section 5.3
- 36. Probation:** Period during which a Manager closely evaluates the progress and skills of a newly hired Employee, determines appropriate assignments and monitors other aspects of the Employee
- 37. Product:** Any Financial Services related work including but not limited to valuation, investment research; industry landscaping, due diligence, financial modelling, investment recommendations, consulting, portfolio management, capital raising, and M&A advisory services, or any other work the Company performs for its Clients
- 38. Promotion:** The recognition of an Employee's effort, work contribution, and success. The Employee's designation and compensation structure will change with effect of a Promotion
- 39. Prospective Client:** Persons to which the Company has
- Maintained or established contact or other information regarding that Person for the purpose of soliciting or potentially soliciting the sale of any Products
  - Solicited for the purpose of selling any Products within the last two (2) years preceding the time of determination as to whether a Person is a Prospective Client for the purpose of this Employee Handbook
- 40. Prospective Joiner:** People who are most likely join the Company in the near future
- 41. Resources:** Including but not limited to Company property (tangible or intangible) such as IT facilities, stationery, printing facilities, emails, databases/software, conference rooms, recreation room, pantry, training manuals, fax machines, manpower, etc., whether owned by TresVista or not provided to or used by Employees for the performance of their responsibilities at TresVista
- 42. Reviewee:** The Employee receiving the review
- 43. Reviewer:** All Employees evaluating and giving feedback to the Reviewee
- 44. Separation:** It is a process under which an Employee formally notifies their decision to separate from the Firm. The process is managed through DarwinBox
- 45. Separation Date /Last Working Day:** Last Working Day of the Employee as approved and notified by the HR Operations team ([ops@tresvista.com](mailto:ops@tresvista.com))
- 46. SharePoint:** A common site through which all Employees can access information including but not limited to TresVista handbooks, templates, policies, training manuals, Organization chart, etc.
- 47. Staff:** The Employees working in all non-delivery/support departments
- 48. Third Party:** An individual or an entity who is directly/indirectly involved in an existing business relationship between two parties, of which one is TresVista



- 49. Termination with Cause:** Termination of employment without any notice considering the grounds mentioned in section 8.2 of this Employee Handbook
- 50. Termination Date:** The date on which the termination of an Employee’s employment with the Company becomes effective and, for the avoidance of doubt not the date on which notice of termination is given
- 51. Ticket:** A mode of communication used to raise requests/incidents via the ‘Helpdesk Support’ module on Microsoft Dynamics 365
- 52. TresVista:** TresVista Financial Services Pte. Ltd., TresVista Financial Services Pvt Ltd, TresVista Analytics LLP, TresVista INC, and TresVista UK Ltd. along with their affiliates are collectively referred to as “TresVista”
- 53. Vacation Day:** A day that an Employee is not present in the office as stated in section 5.2



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**Annexure**



## 10. Annexure

### 10.1 Personal Relationships

Action Considered as Breach	Breach 1	Breach 2
Failing to disclose personal relationships in the workplace	Warning Letter	Termination
Inappropriate public display of affection in the office	Warning Letter	Termination

### 10.2 Hybrid Guidelines

Action Considered as Breach	Breach 1	Breach 2
Not completing the mandated in office time	Warning Letter	Termination
Taking hybrid deviation for more than one week in a month	Monetary Impact	NA

### 10.3 Flexwork

Action Considered as Breach	Breach 1	Breach 2
Applying in more than 2 parts	Warning Letter	Termination
Deviating from the specified duration of flexwork days, i.e., not applying flexwork for 5 or 10 working days at a stretch	Warning Letter	Termination
Applying for flexwork during review delivery period and TresVista Day	Warning Letter	Termination

### 10.4 Vacation Days: Excess Leave Utilization - Deduction Matrix

No. of Excess Vacation Days Taken	% Deduction from Average Monthly Gross Salary
1-5	10.0%
6-10	20.0%
11-15	30.0%



Notes:

- (1) The deduction (%) will keep increasing by 10% for every 5 additional leaves taken beyond 15 excess Vacation Days
- (2) Details concerning excess leave utilization can be referred to in section 5.2 of this handbook

## 10.5 Unpaid Leaves

Action Considered as Breach	Breach 1	Breach 2
Availing unpaid leaves for more than 10 working days without approval from the Exceptions Committee	Warning Letter	Termination

## 10.6 Notice Period Matrix

Designation	Notice Period
Analysts & Equivalent: <ul style="list-style-type: none"> <li>• All Departments</li> <li>• Admin</li> </ul>	1 month 2 months
Associates & Equivalent	2 months
VPs & EVPs	2 months
SVPs & Above	3 months

Note: Details concerning the exit process can be referred to in section 8 of this handbook

## 10.7 Onboarding Support Application Form

I, \_\_\_\_\_, would like to apply for the Onboarding Support amounting to INR \_\_\_\_\_ (in words \_\_\_\_\_).

I am submitting the following document(s) as proof of the expenses incurred toward my onboarding:

- i.
- ii.
- iii.

I am also submitting as collateral an undated cheque, the details of which are mentioned below:

Amount: INR \_\_\_\_\_

Cheque No.: \_\_\_\_\_

Name of the Issuing Bank: \_\_\_\_\_



I agree to the Terms & Conditions as mentioned in the Onboarding Support (Section 7.6 of the Employee Handbook) policy document.

SIGNED AND ACCEPTED

\_\_\_\_\_

Name: \_\_\_\_\_

Dated: \_\_\_\_\_

APPROVED BY HR

\_\_\_\_\_

Name: \_\_\_\_\_

Received By:

## 10.8 Inter-City Travel: Allowance Limits

Particulars	Amount
<b>Air Travel <sup>(1)</sup></b>	INR 11,500
<b>Daily Allowance <sup>(2)</sup></b>	
- Mumbai	INR 1,500
- Pune	INR 1,300
- Bengaluru	INR 1,800
<b>Personal Cab <sup>(3)</sup></b>	INR 6,000
<b>Personal Vehicle <sup>(4)</sup></b>	INR 6,000

1. Cost covers round trip from Mumbai/Pune to Bengaluru and vice versa
2. Mentioned amount is the per day limit and can be used on a rollover basis when one stays for multiple days
3. Cost covers round trip from Mumbai to Pune and vice versa
4. Cost covers round trip from the Employee's residence to the destination office location (Only applicable to VPs and above, as defined in the policy)
5. Daily allowance is given basis the city the Employee travels to and not from their base office location
6. Allowance limit for personal cab is applicable for reimbursement claim of personal vehicles (for VP and above only)

## 10.9 Business Travel - Domestic: Allowance Limits

Particulars	Amount
Air Travel <sup>(1)</sup>	INR 8,000



Stay <sup>(2)</sup>	
- SVP and above	INR 10,000
- EVP and below	INR 7,000
Food <sup>(3)</sup>	INR 2,000
Domestic Conveyance	INR 3,000
Host Allowance	INR 3,000
Client Welfare	Actuals

- 1) Cost on return fare basis
- 2) Includes accommodation cost per night
- 3) Food and conveyance cost shown above are on a per day basis
- 4) All reimbursements will be based on actuals subject to the limits mentioned above

## 10.10 Business Travel - International: Allowance Limits

Travel within cities except New York, London, Dubai will be reimbursed at actuals on the basis of Managers approval in line with the budgets.

Particulars	New York	London	Dubai
Air Travel <sup>(1)</sup>	INR 107,043	INR 71,789	INR 40,150
Insurance	INR 7,000 (Global Annual Insurance)		
Accommodation <sup>(2)</sup>			
- Associate equivalent and below	\$200	£150	AED 225
- VP & equivalent	\$250	£180.00	AED 225
- SVP and above	\$275	£200.00	AED 225
Daily Allowance <sup>(3)</sup>	\$50	£40.00	\$50
Local Travel <sup>(4)</sup>	\$100	£75.00	\$100
Airport Travel	Actuals		
Visa Charges	Actuals		
Telephone <sup>(5)</sup>	INR 3,000		
Laundry <sup>(6)</sup>	\$25		

- (1) Cost on return fare basis (Considering Mumbai as the base location)
- (2) Includes accommodation cost per night
- (3) Daily allowance includes food expenses per day (inclusive of breakfast)
- (4) Local travel includes Subway/Tube cost per day
- (5) Includes telephone charges per week



(6) Includes laundry expenses per week (Applicable in case of travel exceeding 7 days)

(7) If Employees need to travel outside of London/New York/Dubai, approval for travel cost to be sought from Director++, as applicable

## 10.11 Reimbursements: Allowance Limits

#	Particulars	Last Updated	Amount
<b>1</b>		<b>Fuel</b>	
	Car	September 20, 2021	INR 18.0
	Bike	September 20, 2021	INR 7.0
<b>2</b>		<b>Food</b>	
	Lunch	September 20, 2021	INR 400.0
	Dinner	September 20, 2021	INR 400.0

The background is a solid dark blue color. It features two large, overlapping geometric shapes. On the left, a light blue shape points downwards, resembling a large arrowhead or a stylized letter 'V'. On the right, an orange shape points upwards, also resembling a large arrowhead or a stylized letter 'V'. The two shapes meet at their tips in the center of the page.

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