

Tugas & Kewajiban Komisaris Utama dan Direksi
Roles & Responsibilities of Independent Commissioner and Directors

| BOARD OF DIRECTORS RESOLUTION | | KEPUTUSAN DEWAN DIREKSI | |
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| PT J.P. MORGAN SEKURITAS INDONESIA | | | |
| ROLE & RESPONSIBILITY OF INDEPENDENT COMMISSIONER AND DIRECTORS | | TUGAS & KEWAJIBAN KOMISARIS UTAMA DAN DIREKSI | |
| Position | Role & Responsibility | Posisi | Tugas & Kewajiban |
| Independent Commissioner | <ol style="list-style-type: none"> 1. The key role of an Independent Commissioner is to perform an audit function which entails: <ul style="list-style-type: none"> o analyzing the financial information to be issued by the Company to the public or other relevant authority; o ensuring the independence of, and supervising the audit by, the appointed public accountant; and o supervising the risk management, compliance and internal audit functions of the Company. 2. In addition, an Independent Commissioner will also need to: <ul style="list-style-type: none"> o independently supervise the management of the Company, including the implementation of the Business Plan; o provide independent advice to the Board of Directors ; o independently supervise the application of the Good Corporate Governance principles; o ensure that the Board of Directors take the necessary follow-up actions following audit findings and recommendations from various functions (such as the risk management function, the compliance and internal audit function, the Board of Commissioners and the Indonesian Financial Services Authority); and o report any violation of laws and regulations by any director, commissioner or employee of the Securities Company to the Indonesian Financial Services Authority within 3 days of knowledge of such violation. | Komisaris Independen | <ol style="list-style-type: none"> 1. Tugas utama dari Komisaris Independen adalah melakukan fungsi Audit mencakup: <ul style="list-style-type: none"> o menganalisa informasi keuangan yang dikeluarkan oleh perusahaan pihak umum atau otoritas terkait; o memastikan kemandirian dari, dan pengawasan audit oleh, akuntan public yang di tunjuk; dan o mengawasi risk manajemen, Kepatuhan dan fungsi internal audit perusahaan. 2. Komisaris Independen juga perlu untuk: <ul style="list-style-type: none"> o secara mandiri mengawasi perusahaan, termasuk pelaksanaan Rencana Bisnis perusahaan; o Memberikan masukan kepada Direksi; o secara mandiri mengawasi pelaksanaan prinsip Tata Kelola Perusahaan; o memastikan Dewan Direksi melakukan tindak lanjut atas temuan audit dan rekomendasi dari fungsi-fungsi terkait (seperti fungsi risk manajemen, Kepatuhan dan fungsi internal audit, Dewan Komisaris dan OJK); dan o melaporkan adanya pelanggaran terhadap undang-undang dan peraturan yang dilakukan oleh direktur, komisaris atau pegawai perusahaan kepada OJK 3 sejak terjadi pelanggaran tersebut. |

| Position | Role & Responsibility | Posisi | Tugas & Kewajiban |
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| President Director | <ol style="list-style-type: none"> 1. The President Director is responsible for directing the development of short and long range objectives, policies, budgets and operating plans of the Company and overseeing their consistent interpretation and implementation, as well as achievement of the plans. 2. The President Director is required to establish an organizational hierarchy and delegate limits of authority to his subordinate executives regarding policies, contractual commitments, expenditures and personnel (human resources) matters. 3. The President Director shall represent the Company to the financial community, industry groups, key customers, representatives of government and regulatory agencies, and the general public. 4. The President Director may also serve as the presiding officer of the Board of Directors and guides its deliberations and activities. | Presiden Direktur | <ol style="list-style-type: none"> 1. Presiden Direktur bertanggung jawab untuk memberikan arah perkembangan tujuan jangka pendek dan panjang, kebijakan, anggaran dan rencana operasional perusahaan dan mengawasi interpretasi yang konsisten dan penerapannya, serta rencana pencapaiannya. 2. Presiden Direktur diperlukan untuk mendirikan hirarki organisasi dan mendelegasikan kewenangan terbatas kepada eksekutif lainnya untuk kebijakan, komitmen kontrak, pengeluaran dan karyawan (Sumber Daya Manusia). 3. Presiden Direktur berkewajiban mewakili perusahaan ke komunitas keuangan, grup industry, nasabah utama, perwakilan ke pemerintahan, regulator dan umum. 4. Presiden Direktur juga bertindak sebagai pemimpin dewan direksi dan memberikan panduan dalam memberikan putusan dan kegiatan. |
| Investment Banking Director | <ol style="list-style-type: none"> 1. The Investment Banking Director has the overall responsibility for investment banking activities of the Company, such as underwriting, mergers and acquisitions, private placements, and project finance. 2. The Investment Banking Director shall establish and implement investments banking objectives, policies, and practices. 3. The Investment Banking Director shall provide overall supervision and coordination of the department, including personally handling the most critical investment banking negotiations. 4. The Investment Banking Director is required to develop new investment banking businesses. 5. The Investment Banking Director shall establish and maintain a cooperative relationship with other | Direktur Investment Bank | <ol style="list-style-type: none"> 1. Direktur Invesment Bank bertanggung atas kegiatan investment bank perusahaan, seperti penjamin emisi, peleburan dan penggabungan, <i>private placement</i>. 2. Direktur Investment Bank berkewajiban untuk membentuk dan melaksanakan tujuan, kebijakan, dan pelaksanaannya. 3. Direktur Investment Bank berkewajiban melakukan pengawasan dan koordinasi departemen, termasuk penanganan negosiasi kritikal dari investment bank. 4. Direktur Invesment Bank berkewajiban untuk mengembangkan bisnis baru. 5. Direktur Investment Bank berkewajiban membangun dan menjaga hubungan dengan |

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| | <p>financial institutions to promote future investment banking business.</p> <p>6. The Investment Banking Director is required to ensure that all external and internal regulations are fully adhere by the members of its investment banking department.</p> | | <p>lembaga keuangan lain untuk membangun kegiatan investment bank.</p> <p>6. Direktur Investment Bank berkewajiban untuk memastikan dipatuhinya seluruh kebijakan internal dan eksternal oleh karyawan bagian Investment Bank.</p> |
| Compliance Director | <p>1. The Compliance Director shall perform an analysis of the Company's activities and advise on the Company's operating activities in so far as they relate to compliance with regulatory requirements.</p> <p>2. The Compliance Director is required to implement the necessary monitoring programs, and thereafter, monitor all regulatory periodic and incidental reports.</p> <p>3. The Compliance Director shall function as the main co-coordinator in filing and submitting of various legal documents.</p> <p>4. The Compliance Director shall perform an AML/KYC function for the Company.</p> <p>5. The Compliance Director is required to provide or organise training on compliance related issues for employees.</p> <p>6. The Compliance Director shall liaise with various regulators and government institutions.</p> <p>7. The Compliance Director is responsible for identifying potential or actual weaknesses in the regulatory-related processes and procedures referenced above, and to present such findings. Therefore, the Compliance Director shall work effectively with the relevant business, compliance and technology partners to enhance</p> | Direktur Kepatuhan | <p>1. Direktur Kepatuhan berkewajiban melakukan analisa atas kegiatan perusahaan dan memberikan masukan terhadap kegiatan operasional perusahaan agar sesuai dengan peraturan terkait.</p> <p>2. Direktur Kepatuhan berkewajiban untuk menerapkan program pengawasan dan setelahnya, memantau laporan periodik dan berkala.</p> <p>3. Direktur Kepatuhan berfungsi untuk mengkoordinasikan penyerahan dan penyampaian dari berbagai dokumen legal.</p> <p>4. Direktur Kepatuhan berkewajiban untuk melakukan kegiatan AML/KYC perusahaan.</p> <p>5. Direktur Kepatuhan berkewajiban untuk menyediakan atau mengadakan training terkait peratuhan yang berhubungan dengan karyawan.</p> <p>6. Direktur Kepatuhan berkewajiban menjadi penghubung dengan regulator dan institusi pemerintah.</p> <p>7. Direktur Kepatuhan berkewajiban untuk mengidentifikasi potensi atau kelemahan yang nyata dalam proses atau prosedur dengan pertauran terkait, dan menyampaikan temuan tersebut. Direktur Kepatuhan berkewajiban bekerja secara efektif dengan fungsi lain di perusahaan, Kepatuhan dan teknologi untuk</p> |

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| | the control process and address the discovered weaknesses. | | meningkatkan proses control dan menemukan kelemahan. |
| Operations Director | <ol style="list-style-type: none"> 1. The Operations Director is responsible for the formulation and implementation of operations plan, finance and administration functions to support business activities. 2. The Operations Director shall maintain the company's records and books and be responsible for bookkeeping. 3. The Operations Director shall lay down the principles and guidelines for resolutions of operational issues. 4. The Operations Director has overall control of the Company's assets, liabilities and exposures. 5. The Operations Director has overall responsibility for the back office operations of the Company which covers transaction ledger, general ledger, trade reconciliation and trade confirmation (which includes the settlement process applicable to both clients and the central depository). 6. The Operations Director shall ensure that the settlement functions are carried out in accordance with all applicable regulations and principles as well internal policy. 7. The Operations Director shall be responsible for the management of cash flow of the Company and its reporting requirement. 8. The Operations Director needs to ensure that functions are carried out successfully with high operating quality and efficiency. 9. The Operations Director shall have first-hand involvement in formulating and updating settlement procedures. | Direktur Operasional | <ol style="list-style-type: none"> 1. Direktur Operasional bertanggung jawab memformulasikan dan menerapkan rencana operasional, keuangan, dan administrasi yang mendukung kegiatan bisnis. 2. Direktur Operasional berkewajiban untuk memelihara dan bertanggung jawab atas pembukuan perusahaan. 3. Direktur Operasional memiliki prinsip dan panduan untuk mengatasi masalah operasional. 4. Direktur Operasional memiliki kuasa atas asset, utang dan exposure perusahaan. 5. Direktur Operasional bertanggung jawab atas pembukuan perusahaan yang meliputi pembukuan transaksi, buku besar, rekonsiliasi transaksi, konfirmasi perdagangan (termasuk penyelesaian transaksi kepada nasabah maupun central depository). 6. Direktur Operasional wajib memastikan kegiatan di bagian settlement dilakukan sesuai dengan peraturan dan prinsip yang berlaku dan sesuai dengan kebijakan internal. 7. Direktur Operasional bertanggung jawab atas manajemen arus kas perusahaan dan pelaporan yang diperyaratkan. 8. Direktur Operasional harus memastikan fungsi-fungsi di bawahnya melakukan kewajibannya dengan sukses dengan menggunakan standar kualitas operasional yang tinggi dan efisien. 9. Direktur Operasional wajib terlibat dalam memformulasikan and memperbarui prosedur bagian settlement. |

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| | <p>10. The Operations Director is required to provide training and guidance to sub-ordinates, supervise the day-to-day operations of settlement activities, monitor settlements to minimize failed settlements and protect both the Company and clients from misappropriation of assets.</p> | | <p>10. Direktur Operasional wajib memberikan pelatihan dan panduan kepada karyawan, memantau kegiatan harian penyelesaian transaksi untuk meminimalkan kegagalan penyelesaian transaksi dan melindungi perusahaan dan nasabah dari penyalahgunaan aset,</p> |
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