



INTERNATIONAL FEDERATION FOR ARBITRATION



P-02 Legal and Regulatory Compliance Policy

International Federation of Arbitration (IFA)

1. Definition

This Policy establishes the legal and regulatory compliance framework governing all activities of the International Federation of Arbitration (IFA), ensuring adherence to applicable laws, regulations, and international standards across all jurisdictions in which the Federation operates.

2. Objective

The objective of this Policy is to ensure full compliance with legal and regulatory requirements, mitigate legal risks, promote ethical conduct, and safeguard the Federation's legitimacy and reputation at both national and international levels.

3. Scope of Application

This Policy applies to all departments, branches, employees, affiliates, partners, and any individual or entity acting on behalf of the Federation.

4. Governing Principles

This Policy is based on the principles of legality, integrity, accountability, transparency, and respect for applicable laws and international regulatory frameworks.

5. Legal Compliance Framework

The Federation shall establish and maintain a structured compliance framework that ensures continuous monitoring and adherence to all relevant legal and regulatory requirements.

6. Regulatory Obligations

All activities must comply with applicable laws, regulations, licensing requirements, and professional standards in the jurisdictions where the Federation operates.

7. Internal Policies Alignment

All internal policies, procedures, and operations must be aligned with applicable legal and regulatory requirements to ensure consistency and compliance.

8. Legal Advisory Function

The Federation shall maintain access to qualified legal advisors to provide guidance on compliance matters, regulatory obligations, and legal risks.

9. Monitoring and Reporting

Compliance shall be monitored continuously, and any potential or actual violations must be reported promptly through appropriate channels.



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10. Documentation and Record Keeping

All legal and regulatory documents, licenses, and compliance records must be properly maintained, updated, and securely stored.

11. Training and Awareness

The Federation shall provide regular training and awareness programs to ensure that all relevant parties understand their legal obligations and compliance responsibilities.

12. Risk Management Integration

Legal and regulatory risks shall be identified, assessed, and managed in coordination with the Risk Management Policy.

13. Cooperation with Authorities

The Federation shall cooperate with regulatory and governmental authorities in accordance with applicable laws and procedures.

14. Confidentiality and Legal Protection

All legal matters shall be handled with strict confidentiality to protect the Federation's interests and legal position.

15. Violations

Violations include non-compliance with laws or regulations, failure to meet legal obligations, or engaging in unlawful activities.

16. Sanctions

Sanctions may include disciplinary action, suspension, termination, or legal proceedings depending on the severity of the violation.

17. Review and Amendment

This Policy shall be reviewed periodically to ensure alignment with evolving legal and regulatory requirements.

18. Annexes

Annexes may include compliance checklists, legal registers, reporting templates, and regulatory guidelines.