

**THIS IS WITH REFERENCE TO SEBI CIRCULAR NO. CIR/ISD/1/2011, DATED MARCH 23, 2011 ALL BRANCHES, EMPLOYEES, AUTHORISED PERSONS AND SUB BROKERS ARE INFORMED TO ABIDE FOLLOWING INSTRUCTIONS STRICTLY.**

**Do's and Don'ts for all our employees, offices, Authorised Persons and sub brokers**

1. Ignore Free advises given by unregistered Intermediaries, Individuals, or employees who are not authorised to do so.
2. Always see disclaimer and disclosure of long or short position of Intermediary giving advise through SMS, electronic or Print media
3. Any information given by unregistered intermediary or Individual might be an attempt to influence market price. Investors are advised to take adequate care and carry out necessary due diligence before acting on the basis of such advice/communication.
4. All employees are directed not to forward any market related news received by them either in their official mail/personal mail/blog or any other manner unless it is approved by Compliance officer..
5. All Authorised Persons and Sub brokers should have proper internal code of conduct and controls for employees.
6. Authorised Persons and sub brokers should restrict their employees/temporary staff/Voluntary workers etc from encouraging or circulating rumors or unverified information obtained from their client, industry , any trade, official mail/personal mail/blog or any other sources.
7. Access to Blogs/Chat Forums/ Messenger sites etc by employees should be restricted under supervision or access should not be allowed
8. All employees, Authorised Persons, Sub brokers and their employees should not communicate expectation or opinion like bonus candidate or any corporate action without confirmation and unless they are authorised to do so.
9. Oral statements of management should not be communicated without seeking confirmation of company.
10. Any stocks and security having history of extreme volatility in prices should not be recommended for investment
11. All employees are restricted from running portfolios of clients or non clients on private bases.

**Note:** If employees fails to do so shall be deemed to have violated the various provisions contained in SEBI Act/Rules/Regulations etc and shall be liable for action