

Member of : Bombay Stock Exchange and Depository Services (India) Ltd.
MEMBER: BSE & NSE

Circulation Of Unauthenticated News

As per code of conduct for Stock Broker in SEBI (Stock Brokers and Sub-brokers) Regulations, 1992 and SEBI circular Cir/ISD/1/2011 dated March 23, 2011, all SEBI registered market intermediaries are required to have proper internal code of conduct to govern the conduct of its Employees. In view of same, Shree Naman Securities & Finance Pvt. Ltd. Implements code of conduct for communicating through various modes of communication. Employees/temporary staff/voluntary workers are prohibited from: we take below mentioned necessary steps.

- All the employees are advised to take due care while communicating with the client and further requested not to spread any kind of rumors with respect to any scrip or market.
- Necessary training and guideline are held from time to time for the staff.
- The Dealers are strictly warn not to circulate any kind of market Tips/ Blog / Sms / Chat to the clients or not to inspire the client to do trade on such news.
- Fire Wall System is in place to block the usage of various website / Social networking site / Messenger etc..
- All the mails are scrutinized by the Senior Officials on regular basis to prevent any Unauthenticated news regarding any scrip or market or any other news that might be considered as Unauthenticated.
- All the telephone lines are routed through telephonic recording system and the same are scrutinized by the senior managerial person on random basis.
- Prior approvals are to be taken from Compliance Officer or Management.

In case if any of our employee failed to comply with any of the above mentioned guidelines, harsh action will be taken by the organization.

Access to Blogs/Chat forums/Messenger sites etc. has been restricted by Shree Naman Securities & Finance Pvt. Ltd. and access is not allowed

For Shree Naman Securities and Finance Pvt. Ltd.

(Director / Authorised Signatories)

