

BLOG CHAT POLICY

Policy regarding Block Chat is created & reviewed by the Compliance officer and approved by the Board of Directors.

Objective

The purpose of this policy is to prevent circulation OF unauthenticated news or rumors related to various scrip by the Company's Employees/Temporary Staff or other dealing person USING company's Infrastructure without adequate caution, Which can do considerable damage to the normal functioning and behavior of the market and distort the price discovery mechanisms.

Out of Various Means of communication like SMS, E-mail, Website, Blogs/Chats etc. The company uses under mentioned Modes of communication for its day to day works.

- SMS
- E-mail
- Website

The SMS reporting is linked with date generated from back office software for sending details of trade, delivery, payments, and margins etc. to clients. No other forms of SMS are allowed to send without the consent of compliance /' officer or senior managerial personnel's.

The company uses its own EMAIL IP address for sending email and DSD to inter department and clients. The same is linked with date generated from back office software for sending various reports of trade, delivery, payments, margins etc. to clients. No other email ids should be created and used by any employee of the company for any official purpose.

The company website is administered by the WEBSITE creation company under the guideline of compliance officer or senior managerial personal. No other employee has been authorized by the company to look after this work.

Policy for Internal code of conduct:

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 the Employees. In view of same the company implements code of conduct for communicating through various modes of communication. Company Directors/Officers/Employees are prohibited from:-

1. Encouraging or circulating rumors or unverified information obtained from client, industry, any trade or any other sources without verification.
2. Access to blogs/chat forums/messenger sites etc. are usually restricted by firewall. The company does not entertain any blogs/Chat forums/Messenger sites (called by any nomenclature).

3. Forwarding of any market related news, received in employee's official mail/personal mail/blog or in any other manner is debated unless approved by the Companies Officer. If an employee fails to do so, he/she shall be deemed to have violated the various provisions contained in SEBI Act/Rules/Regulations etc. and shall be liable for disciplinary action. Companies officer is advised to administrate all the matters related to this as per NSE/SEBI/PMLA rules and regulation and take appropriate measures as deemed fit in consultation with the management.

Approval Authority and Review policy :

This policy is approved by the Board of Suresh Rathi Sec. Pvt. Ltd.

This policy may be reviewed as and when there are any changes introduced by any statutory authority or as and when it is found necessary to change the policy due to business needs. And will place the changes in policy before the Board.

Policy communication:

A copy of this policy shall be made available to all the relevant staff/persons such as compliance officer/ Department in-charge/authorized persons.