

SAROJ SECURITIES

309 KAN CHAMBER, 14/113 CIVIL LINES, KANPUR – 208 001

Member: The National Stock Exchange of India Ltd.

SEBI Regn No: INZ 000224427

Policy for prohibition of unauthenticated news

The policy for prohibition of unauthenticated news circulated by SEBI Registered Market Intermediaries through various modes of communication with reference to SEBI circular no Cir/ISD/1/2011 dated March 23, 2011. Is as follows .

- Proper monitoring and adherence in relation to compliance of internal code of conduct and controls for prohibition of unauthentic news would be ensured .
- Employees/temporary staff/ employed/working in the Office of Saroj Securities will not encourage or circulate rumors or unverified information obtained from client, industry, any trade or any other sources without verification.
- Access to Blogs/Chat forums/Messenger sites etc. shall be restricted under supervision or access should not be allowed.
- Logs for any usage of such Blogs/Chat forums/Messenger sites (called by any nomenclature) shall be treated as records and the same shall be maintained as specified by the respective Regulations which govern the Concerned Firm.
- Employees are directed that any market related news received by them either in their official mail/personal mail/blog or in any other manner, shall be forwarded only after the same has been seen and approved by the Firm's Compliance 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 actions.