

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 marketing and social media

The Management of the Firm has formulated the following policies for Marketing and Social Media Segment.

Marketing

1. The management/employees of the Firm whenever shall go for marketing of their products should give priority to their customer/client interest and their benefits.
2. The management/employees of the Firm shall adopt a transparent and ethical practice in the financial market while approaching any customer/client whether in case of Mutual funds services as a Distributor or in case of equity and derivative trading as a share broker/trading member of NSE on the behalf of the Firm.
3. The management/employees of the Firm shall provide complete, true & sufficient information to the concerned client/customer as per their requirement.
4. The Firm shall be liable to form in future, if required, a separate marketing division which will look after the marketing procedure and the compliances related to it.
5. The management/employees of the Firm shall try to go for marketing of those products only which shall help in wealth creation and results in customer/client satisfaction.
- 6. The management/employees shall provide disclaimer /declaration as and when required as per SEBI/NSEIL Rules .**

Social Media

“Stocks as an investment class can capture the imagination of younger investors if social media is harnessed well .Social media also naturally facilitates free flow of information and can sustain interest in the asset class for various customers/clients.”

- 1.“Keeping the above view in mind & to attract a new class of young retail investors, some of the brokers gear up to launch Facebook apps that allows clients to execute trades on the BSE/NSE platform from the familiar comfort of their Facebook accounts and therefore our

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

trading Firm shall also be liable to launch any such kind of facebook apps whenever it feels any kind of requirement for it .

2.The Management of the Firm shall also be at liberty to use various other social media forums like Twitter, LinkedIn , Google+, whatsapp , and various other social networking sites ,news-papers ,magazines ,blogs etc in order to share public information, build customer relationships and obtain relevant feedback.

3. The purpose of formulation of this policy is to ensure that employees should engage in responsible online activities which represent themselves and the business with utmost honesty and professionalism.

4. While doing any interaction with Clients on Social media it shall be the duty of Compliance officer to check for any non compliance with respect to any rules and regulations of SEBI/NSEIL .

“However till date we haven’t come up with the practical use of the above mentioned marketing and social media policies but shall likely to follow the above mentioned policies whenever required.” Within the rules and framework as specified by SEBI/NSEIL .