

## **RATNABALI SECURITIES PRIVATE LIMITED**

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### **Code of Conduct for circulation of unauthenticated news through various modes of communication**

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,

Ratnabali Securities Private Limited ( RSPL) directs all the employees to adhere to the following guidelines of code of conduct for communicating through various modes of communication.

1. The employees of RSPL shall not encourage or circulate rumours or unverified information obtained from client, industry, any trade or any other sources without proper verification and authorization.
2. All the electronic correspondence, internal or external, should be made through official email id assigned to all the employees. No person should access to any blogs / chat forms/ messenger sites/ SMS etc at the trading workstation. Access to these sites shall be restricted and system administrator should monitor the same on a regular basis.
3. Mobile phone of all the employees should be diverted to their respective recorded land line phones and should not take or make calls through the mobile phones. All the employees should make or take calls through their recorded land line phones only.
4. The Compliance officer should ensure compliance of the same from time to time.

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.

These guidelines are applicable to all the employees/ temporary staff/ voluntary workers of the Company.