



Consortium Securities Pvt. Ltd.

Prevention of Insider Trading

The Company endeavors to preserve the confidentiality of client's position and price sensitive information to prevent misuse of such information. The Company is committed to transparency and fairness in its dealing with all clients. The Company also ensure to adhere its policy not to disclose any of its clients position except in case of regulatory compulsions.

The management and employees of the Company are allowed to do investments in shares and securities up to the extent of their personal ability and financial capacity. The management and employees of the company are not allowed to undertake an speculative position. The management and employees are not allowed to use their positions or knowledge to gain personal benefit by disclosing the position and price sensitive information of the client to any third party. The system has been designed in such a manner that employees are given access to the information based on their work profiles. Other necessary checks and balances are also in place like limited uses of mobile, internet and other communication medium with outsiders while working.

Policy for Unauthentic News Circulation

Company provides information to the clients after due verification of contents and authenticity of the information. Daily market information in the form of a newsletter is being provided to the clients, in the newsletter it is being ensured that only factual information, reports be part of it. Clients are also being informed on a regular basis that any investment/trading should to done strictly as per own financial capability. Any investments/trading based on the information gathered from any medium should be done only after due verification of the information available. The company has its own code of conduct for adherence of its management and employee not to induce any client for trading for sole purpose of earning brokerage and not to indulge in spreading rumours and unauthentic information.