

## **General Guidelines for dealing with Conflicts of Interest of Intermediaries, Recognised Stock Exchanges, Recognised Clearing Corporations, Depositories and their Associated Persons in Securities Market.**

**Circular Reference:** SEBI has issued circular No. CIR/MIRSD/5/2013 dated August 27, 2013, providing general guidelines on Conflicts of Interest of Intermediaries, Recognised Stock Exchanges, Recognised Clearing Corporations, Depositories and their Associated Persons in Securities Market.

**Background:** All Intermediaries shall adhere to these guidelines for avoiding or dealing with or managing conflict of interest. They shall be responsible for educating their associated persons for compliance of these guidelines.

### **Protect Your Online Trading Account Passwords:**

Don't share your password details with others and change the Passwords regularly. Create passwords that are unpredictable and counter intuitive, and don't use the same password for different accounts. Do not store passwords in a file on your PC or laptop as they are at risk if your computer is services or stolen.

### **LOGOUT:**

It is very important to terminate each online session when you are finished by clicking the "Log out" link on the site. If you merely type in another address, or close or minimize the web browser window, it may be possible for unauthorized users with access to the same computer to gain access to your account information. Retrieving this information could be as easy as clicking on the Internet browser icon, pressing the browser's Back button, or recalling a browser's Internet History.

### **Securing Internet-Connected Computers :**

1. Keep your computer up-to-date with the latest security updates.
2. Install a firewall and anti-virus software on any laptop or PC with wireless connectivity.
3. While accessing your personal financial information online, you should have a secure web connection at all times. The web site address should start with "https://" instead of "http://" and you should see a secure symbol such as a closed padlock or key on the status bar in the lower right part of your screen.

### **Respecting Your Privacy :**

The privacy of your personal information has always been important to us and we are committed to respecting your right to privacy and protecting your personal information against unauthorized disclosure. We would like to inform you that our staff is trained to respect your privacy in accordance with our standards, policies and procedures.

### **Collecting your Personal Information :**

Fortune is committed to protecting your privacy and utilizing technology to give you the most powerful and safe trading experience that you can get anywhere else. We are strongly committed to protecting the personal and financial information that you submit to us. This information is provided when you register to receive certain services from us, such as online share trading.

### **Using and Disclosing Your Personal Information:**

We will not disclose your personal information to any external organisation unless we have your consent or are required by law or have previously informed you. We may be required from time to time to disclose your personal information to Governmental or judicial bodies or agencies or our regulators, but we will only do so under proper authority.

## **Do's and Don'ts:**

### **Do the Following:**

#### **While Opening a Trading Account:**

1. Deal only with SEBI registered intermediaries / authorized persons. Ensure whether the member is registered with the Exchange by checking with the Exchange / Exchange Website.
2. Carefully read and understand the terms and conditions and the contents stated in the Risk Disclosure Document, Rights & Obligation, Guidance Note, Polices and Procedures, Voluntary Rights and Obligations which forms part of the Account Opening Form for dealing through brokers in the Stock Market.
3. Kindly provide accurate and complete details in the application, fill up all the fields and provide all the required supporting documents. Do not leave any blank spaces in the application and kindly shruk off the blank spaces. Kindly update the Change of KYC Details like, Address, Contact No, Mail ID etc., immediately and keep your account informations always accurate with the Member.

#### **While Trading :**

1. Familiarize yourself with the rules, regulations and circulars issued by Stock Exchanges / SEBI / FMC before carrying out any transaction.
2. Please bear in mind that while it is our endeavor to inform you that in case of a margin call, it is your responsibility to maintain margins. The Company will square up outstanding positions in case of shortfalls in margin and delays in payments.
3. Please be informed that there are no guaranteed returns on investments in stock market investments in Capital Markets which are subject to market risks.

#### **Post Trading :**

1. Make payments from your own bank account only and deliver securities into the pool account of the trading member from your own beneficiary account only mapped / updated with the Member.
2. Always insist on contract notes from your trading member. In case of any doubts regarding your transactions, verify the genuineness of the same on the Exchange web sites.
3. Always insist on periodical statements of your ledger.
4. Please insist on your statement of accounts at regular intervals and check for all the entries therein. Any discrepancies should be brought to our notice immediately. In case of disputes, please write to us at [ftc@ftconline.in](mailto:ftc@ftconline.in)

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#### **Do Not Do The Following:**

1. Do not deal with any third party / unregistered intermediaries / unauthorized persons.
2. Do not start trading until you have read and understood the Risk Disclosure Document, Rights & Obligation, Guidance Note, Polices and Procedures, Voluntary Rights and Obligations which forms part of the AOF.
3. Do not fill in / provide any wrong or incomplete details. Do not use Whitener. Don't Over write or cancel any completed details.
4. Do not be misled by rumors or tips and do not undertake deals on behalf of others.
5. Do not fall prey to promises of guaranteed returns.

6. Do not sign blank Delivery Instruction Slips (DIS) and keep them with the Depository Participant or broker to save time.
7. Do not accept unsigned / duplicate contract notes / confirmation memos.
8. Do not make payments in cash / delivery of securities from any account other than your own beneficiary account.
9. Do not delay payments.
10. Do not make payment of money / delivery of securities in the personal account of authorized persons / employees of the trading member.

***CAUTION NOTICE***

*No Sub-broker or official of the Company is authorized to accept any payment or delivery of securities into his account. NO DEALINGS IN CASH ARE ALLOWED*