

Annexure III

In relation to any schemes/ leagues/ competitions, etc. launched by members or by any third party/ Group Company/ associate of the member, members are requested to ensure strict compliance with the following requirements:

- a. Stock Broker or its associates/group company cannot directly or indirectly, sponsor or be associated with any schemes/leagues/competition, etc. which may involve distribution of monies/prizes/gifts/medals, etc.
- b. No reference to Stock broker's name, logo, etc. can be made in any schemes/leagues/competition, etc.
- c. Stock Broker cannot share any information of their clients with a third party, even with the clients' consent, in case any third party is involved in launching schemes/leagues/competition, etc.
- d. Stock Broker cannot take any financial liability, including any contingent financial liability, on account of any schemes/leagues/competition, etc. launched by a third party.