

# SVK FINVALUE ADVISORS PRIVATE LIMITED

(CIN: U70200GJ2019PTC107045)

## Policy for Code of Conduct

### 1. General Principles

1. Act in the best interests of clients and investors.
2. Uphold the highest standards of integrity, professionalism, and ethical behavior.
3. Comply with all applicable laws, regulations, and guidelines.

### 2. Client-Centric Approach

1. Ensure transparency, fairness, and honesty in dealings with clients.
2. Provide accurate and timely information to enable informed decision-making.
3. Address client grievances promptly and effectively.

### 3. Professional Integrity

1. Avoid conflicts of interest and disclose any potential conflicts.
2. Maintain confidentiality of client information unless legally required to disclose.
3. Refrain from making exaggerated or misleading claims about services or products.

### 4. Operational Excellence

1. Implement robust internal controls to mitigate risks of fraud, misconduct, or negligence.
2. Ensure all employees and agents are adequately trained and competent.
3. Foster a culture of continuous learning and compliance with industry standards.

### 5. Conflict of Interest Management

1. Establish mechanisms to identify, disclose, and manage conflicts of interest.
2. Maintain an arms-length relationship between advisory services and other business operations.

### 6. Regulatory Compliance

1. Adhere to all directives issued by regulatory authorities such as SEBI.
2. Notify clients and stakeholders of any changes in registration status or penalties.



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3. Avoid any practices that could harm the integrity of the financial market, such as insider trading or price manipulation.

## 7. Corporate Governance

1. Promote transparency and accountability within the organization.
2. Develop and implement policies that reflect good corporate governance practices.
3. Support an ethical workplace culture that encourages reporting of non-compliance.

## 8. Responsibilities of Employees and Associates

1. Ensure all employees understand and follow the Code of Conduct.
2. Prohibit employees from offering advice on securities without disclosing relevant interests.
3. Hold employees accountable for their actions and omissions in business conduct.

## 9. Disciplinary Measures

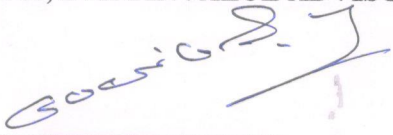
Violations of the Code of Conduct will lead to disciplinary actions, including but not limited to:

- Verbal or written warnings
- Suspension or termination of employment or contracts
- Reporting to regulatory bodies, where applicable.

## 10. Continuous Improvement

Regularly review and update the Code of Conduct to align with evolving legal, regulatory, and industry standards.

For, SVK FINVALUE ADVISORS PRIVATE LIMITED

  
SHILPANG V. KARIA  
DIRECTOR  
DIN: 08388381

