



# CONFLICT OF INTEREST

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### *PROHIBITED PRACTICES*

All of FSMSmart's employees are expected to own and hold adequate knowledge of the forbidden practices in relation to the transaction. Employees have the authority and liability to inform the compliance officer in the event that any of these occur:

FSMSmart employees are rigorously prohibited to invoke any special treatment or exceptional approach to the ongoing Company's staffs as an outlay for their Clients.

FSMSmart employees are disallowed to promulgate and circulate any of the Client's transaction information for personal gains and satisfaction.

FSMSmart employees are also prohibited to circulate and disseminate the Client's transaction information to any companies outside of FSMSmart.

FSMSmart employees are also prevented in facilitating any exploits that involve the information of the Company's clients or any related individual.

### **DISCLOSURE**

Should the procedures or actions taken by the Company are deemed to be insufficient to prevent or avoid the risks that might result into losses or damages in the part of the Client, the Company will then inform the Client of the nature of the conflict of interest prior to proceeding with investment transactions with the Client.

The release of the aforementioned information will be given to the Client in a written manner. The statement will also provide the Client specific information that will allow them to arrive at a personal decision regarding the service to which the Client may find a conflict with his/her interests.

The entirety of FSMSmart's Conflict of Interest statement will be given and be uploaded on the Company's official website. The Conflict of Interest Policy may be changed and altered by the Company from time to time without prior notice to the Client. The Client then acknowledges, agrees, and accepts the presence and the terms of the Policy on Conflict of Interest.

Moreover, FSMSmart reserves the right to evaluate and change this statement should the Company find it necessary. Additional information in regards to the Conflict of Interest statement may be provided upon request while inquiries or questions may be addressed to one of the Company's authorized representatives.

