Association of Financial Advisors of India

CODE OF ETHICS

Sl. No.	DO's	DON'Ts
1	Manage conflicts of interest	Don't offer or accept gifts in exchange for improper business advantage.
2	Comply with all the applicable laws and regulations of the land as well as internal policies and procedures of AFAI	Don't engage in bribery.
3	Promote responsible banking behavior and ethical standards	Don't tolerate malpractice and carelessness.
4	Respect rules on insider trading	Don't engage in unlawful or fraudulent practices.
5	Comply with IPR rules & regulations	
6	Respect trade & commerce regulations	
7	Respect the privacy of employees, partners and customers	
8	Comply with competition laws to regulate business practices	
9	Exhibit mutual respect and camaraderie	
10	Quest for excellence and adoption of best practices in the industry	

Government Letters/Notices		
Sl. No.	DO's	DON'Ts
1	Sharp eye on legal compliances	Casual approach towards compliances
2	Immediate escalation of show cause notices with first draft reply to legal	No delayed response to Government Letters/Notices.
3	Fast retrieval of information and details	Take improper means to meet short term gains.
4	Stakeholders' involvement / engagement	Respond without stakeholder's involvement / inputs.

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