

# Standards of Conduct

## All personnel of CariCRIS shall:

- **Fundamental Responsibilities**
  - 1. Recognise credit rating as a function of serious responsibility and view it as a matter of great trust. CONTENT REVISION FOR CARICRIS WEBSITE 2016 Date: October 28, 2016  
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  - 2. Be aware of and adhere to all applicable laws, rules and regulations (including company policies, practices and procedures) of any government, governmental agency, regulatory organisation, licensing agency, or professional association governing the members' professional activities.
- **Confidentiality**
  - 1. Presume the confidentiality of all information and decision-making processes within the company and take all possible precautions to preserve that confidentiality.
  - 2. Maintain confidentiality of all information, even after termination of employment or association with the company.
- **Use of Information** - Desist from taking advantage of any proprietary knowledge or confidential information.
  - Not render, directly or indirectly, investment advice about any security in any external interaction.
  - Not be unethical or unfair in the disclosure of information, proffering of opinion or advice, or any other action.
  - Disseminate ratings, changes in ratings and any other information in a fair and objective manner to all intended recipients.
  - Not copy or use, in substantially the same form as the original, material prepared by another without acknowledging and identifying the name of the author, publisher, or source of such material. Members may use, without acknowledgement, factual information published by recognised financial and statistical reporting services or similar sources.
- **Conflict of Interest**
  - Conduct themselves in a manner such that their interests will not conflict with those of CariCRIS. Should a conflict of interest arise in a specific situation, CariCRIS members shall disclose the source of such conflict and not participate in the associated decision making process.

Personnel refers to employees, directors and Rating Committee members.