

THE INVESTMENT ANALYST SOCIETY OF SOUTHERN AFRICA NPC

A Guide to Behaviour and Conduct by Members

- A. The reputation of the investment and financial analysts' profession and of The Investment Analysts Society of Southern Africa NPC is of paramount importance and must be preserved by members of the Society.
- B. Breaches of this Guide to Behaviour and Conduct, alleged or observed, will be dealt with in terms of the Constitution of the Society
- C. As a general prerequisite, members shall:
 - a) be truthful, fair-minded and ethical in the manner in which they go about their business;
 - b) adopt irreproachable standards of common decency towards fellow human beings;
 - c) be upstanding in their behaviour insofar as it pertains to all aspects of Society business so as not to bring the Society into disrepute;
 - d) honour and preserve a trust or confidential information;
 - e) observe the letter and spirit of legislation, regulation and governance as it pertains to all professional and business dealings;
 - f) participate in the activities of the Society and further the interests of Society
- D. As a specific prerequisite, members shall:
 - a) present themselves with due decorum in any public forum;
 - b) be well groomed;
 - c) wear business or business casual attire with corresponding footwear to Society functions
- E. As a specific prerequisite, members shall:
 - a) honour the obligation of attendance that acceptance of an invitation to an event, such as a company presentation, implies;
 - b) acknowledge and respect the trouble that a host of an event goes to;
 - c) show courtesy by advance notification if attendance shall no longer be possible;
 - d) be cognizant of the rudeness, cost, inconvenience and reputational damage to the Society of a no-show
- F. As a specific prerequisite, members shall:
 - a) ensure that membership fees and any dues owed to the Society are current;
 - b) notify the Society of any change in their status to ensure accurate record keeping
- G. As a specific prerequisite, members shall:
 - a) enjoy the privilege of inviting guests to company presentations hosted by the Society from time to time but subject to the following provisos:
 - i) the guest has a direct professional relationship with the member;
 - ii) guests should have a specific professional interest in the company concerned;
 - iii) the invitation does not constitute an opening to solicit business or pecuniary advantage;

- iv) conduct by the guest shall be in accordance with the code of conduct of the Society and the member shall apprise the guest thereof in advance;
 - v) invitations are by their very nature exceptional and should a guest have an interest in the activities of the Society and meet the standards and qualifications required for membership then the guest should be encouraged to apply for membership and gain the privileges, benefits and obligations thereof if accepted;
 - vi) an invitation by a member to a guest to attend an occasional function, such as an awards function, in no way derogates that member or the guest from the standards of good conduct demanded of Society members
- H. The Executive Committee of the Investment Analysts Society of Southern Africa reserves the right to make amendments to the Guide to Behaviour and Conduct from time to time

Effective May 2012
