



Conflicts of Interest

The purpose of this document is to provide information on Orient Financial Brokers LLC policy on conflicts of interest and its approach to managing any conflicts of interest fairly: both between Orient Financial Brokers LLC s, our directors, employees, group companies associates and our clients, and between your interests and those of other clients.

1. Orient Financial Brokers LLC Conflicts Policy

Orient Financial Brokers LLC aims to establish and maintain effective systems, controls and procedures which are designed to identify and manage actual and potential conflicts of interest in the course of its business that pose a material risk to clients' interests.

Orient Financial Brokers LLC keeps a record of potential conflicts of interest which could arise during its activities and takes into account, among other things, whether the Orient Financial Brokers LLC:

- is likely to make a financial gain, or avoid a loss, at the expense of a client.
- has an interest in the outcome of a service or transaction provided to a client, which is distinct from the client's own interest in that outcome.
- has a financial or other incentive to favor the interest of a client or group of clients over the interest of another client or group of clients.
- carries on the same business as the client.
- receives from a person other than the client, an inducement in relation to a service provided to the client in the form of monies, goods, or services other than the standard commission or fee for that service.

Dealing in OTC derivatives as principal, personal account dealing and inducements are all examples of situations in which potential conflicts of interest may arise.

2. Management of Conflicts

Having identified potential conflicts of interest, Orient Financial Brokers LLC has procedures in place to manage conflicts promptly and fairly. The following minimum systems, controls and procedures are in place:

- Procedures to ensure that the compliance function operates with appropriate independence.
- Procedures to prevent or control the exchange of information between relevant persons engaged in activities involving a conflict of interest, where exchange of that information may harm one or more clients.
- Supervisory arrangements providing for the separate supervision of employees, where this is necessary for the fair management of conflicts of interest.
- Controls to monitor outside business interests.
- Procedures to ensure that disclosures are fair, clear and not misleading, so that clients can make an informed decision.
- Rules on personal account transactions to which relevant persons are subject.
- periodic reviews of the effectiveness and continued relevance of Orient Financial Brokers LLC 's systems and controls.



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- Orient Financial Brokers LLC 's execution policy, which aims to ensure the best possible outcome on client orders.
 - Rules on inducements, gifts and entertainment which apply to the Orient Financial Brokers LLC.

3. Disclosure

When there is no effective way of managing a conflict, this will be disclosed in outline in Orient Financial Brokers LLC 's Terms of Business. You may request further information from Orient Financial Brokers LLC in relation to such conflicts in order to enable you to make an informed decision about whether to deal with Orient Financial Brokers LLC in particular circumstances. In addition, Orient Financial Brokers LLC may decline to act for you if the conflict of interest cannot otherwise be effectively managed.

For further details of how Orient Financial Brokers LLC manages conflicts of interest, please contact info@orientfinance.com.

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