

## CMC MARKETS CHART FORUM HOUSE RULES

Capitalised terms used shall have the meaning given to them in the Terms.

Please read these rules carefully. These rules apply to you whether you are a client with a live account or a demo account user (although a demo account user has only “read-only” access to the Chart Forum). They summarise what we consider is acceptable and unacceptable Content and use of the Chart Forum. These rules form part of our Terms. We may update the rules from time to time, so please read them before posting any Content on the Chart Forum. Please see our Terms on our website at <http://www.cmcmarkets.co.uk/en/legal/general> for more details on what is and is not allowed. These rules will be available to you on the Chart Forum itself, should you need to refer back to them at any time.

### **Rule 1: Contribute to the discussion - we welcome your opinions**

The Chart Forum has been created for our users to help each other, share personal opinions and see different points of view. Whether you are a new user of the Chart Forum or our trading platforms or an experienced trader, we welcome your contribution.

However, the Chart Forum must not be used for issuing financial promotions, providing investment advice or encouraging other users to engage in investment activity.

Please remember that users must only participate in their personal capacity and not as professionals. Other users are highly unlikely to owe you any duties. Most users will not be investment professionals and even if some are, they will not be using the Chart Forum in that capacity. The information that other users contribute to the Chart Forum should not be treated as being provided in the course of business or professionally, and as such you should not rely on it.

You must not rely on any Content in making or refraining from making a decision or to embark on a specific course of action. If you need professional investment advice, you will need to consult a professional investment adviser.

### **Rule 2: The Chart Forum is a public forum – you are legally responsible for your submissions**

Don't forget that you are legally responsible for what you submit. Once your Content is online, everyone with access to the Chart Forum can see it. You may only use such Content within the Chart Forum and you agree not to remove or make such Content available to anyone outside the Chart Forum. Please make your comment clear to ensure that it is not misunderstood. Your comment may be rated and assessed by other users. You can express a strong opinion, but please do not go over the top. Please consider how your comment could be received by others. Many different types of people may view your comment.

### **Rule 3: No financial promotions**

You must not use the Chart Forum to make financial promotions or advertise any products or services being offered by you or a third party. In summary, these are communications which provide or seek to provide encouragement to buy, sell or exercise rights in investments.

Your comments/posts must not contain an invitation or inducement intended to enter into an investment. Financial promotions specifically usually contain an element of persuasion. You are permitted to express personal views, but not if you (or anyone connected to you) have a direct or indirect commercial interest that is linked in any way to what you are saying. It is important that you are careful to comply with this restriction, as breaching it could result in a criminal offence.

In addition, if another person has communicated a financial promotion elsewhere, you must not repeat it or provide a link to it on the Chart Forum.

Bear in mind that investments for this purpose cover a broad range of assets and products. These include, for example: shares, bonds, derivatives, debentures, insurance contracts and loans (including mortgages).

#### **Rule 4: No market abuse**

You must not use the Chart Forum to commit acts of market abuse (which is a criminal offence). In summary, this is behaviour which occurs in relation to various listed investments (such as shares, bonds and derivative instruments) and includes the following (as examples):

- dealing or attempting to deal in such investments or related investments using inside information;
- disclosing inside information to another person;
- actions based on information not generally available to the market, which if available, would be considered as relevant to traders of such investments;
- if you are a regular market user, conduct that is likely to be regarded as a failure to live up to the standards expected of a person in your position in the market;
- engaging in transactions giving or which are likely to give an untrue impression of the market;
- carrying out transactions which involve using any form of deceptive methods; and
- distributing information and/or conduct, which gives or is likely to give, an untrue impression of the market for such investments.

Information is likely to be regarded as inside information if it is of a precise nature about investments and is not generally available to the market. For example, company data that is contained in public records will not constitute inside information. On the other hand, particulars of a takeover that has yet to be announced is likely to be considered inside information.

It is important to note that you may commit market abuse even if you did not intend to do so.

#### **Rule 5: No misleading statements and practices**

It is a criminal offence to make statements which you know are untrue, inaccurate or incomplete in order to persuade a person to enter into, and/or refrain from entering into, an agreement to buy, and/or sell and/or exercise any rights in relation to any investments or financial services.

You must also not behave in a way that creates a false picture of the market in, or price of, any investments. This includes for example, engaging in behaviour to artificially inflate the price of an investment.

#### **Rule 6: Use the report facility**

We strongly support the Chart Forum in maintaining high standards of participation. If you consider that a comment does not comply with these rules or our Terms, please use the flag abuse functionality available on the Chart Forum. The facility should only be used for complaints about contraventions of these rules or our Terms, not simply because you disagree with something said. If for whatever reason you are unable to use the flag abuse functionality, please email us on [moderation@cmcmarkets.com](mailto:moderation@cmcmarkets.com).

### **Rule 7: No libel or other abuse**

You must not at any time or for any reason make or encourage comments which are:

- defamatory, false or misleading;
- insulting, threatening, abusive or embarrassing to others;
- obscene, distasteful or of a sexual nature; or
- offensive, profane, rude, racist, sexist, homophobic or discriminatory against any religions or other groups.

### **Rule 8: Confidentiality, privacy and contempt of court**

Please respect people's privacy. You are not allowed to submit confidential or private information. For example, you must not include in any posting the telephone number, email address or any other contact details of any person.

Where you have a complaint with CMC Markets which is pending investigation or resolution, we would urge you not to use the Chart Forum to discuss the details of that complaint. All complaints should be raised with us using the Complaints Procedure which can be found on the website: <http://www.cmcmarkets.co.uk/legal/general/complaints-procedure>.

You should not write anything which could prejudice pending or on-going court proceedings or breach any court orders. For example, if you have any personal knowledge about someone who has been arrested or charged or is being prosecuted for an offence or want to say anything else which could prejudice the proceedings, you must not mention it. If you do, you could be in contempt of court, which is a criminal offence.

### **Rule 9: No advice, advertising, solicitation or investigations**

You must not use the Chart Forum for:

- the promotion or provision of any products or services (including financial products or services, such as investment advice, of any type whatsoever) or for any other commercial purpose;
- any sponsorship, petition, campaign, scheme, research or chain message; or
- an investigation e.g. tracing the whereabouts of any person.

### **Rule 10: No impersonation and proper disclosure**

You must not pretend to be someone else (e.g. an expert, another user or a member of our team). You must not pretend or give the impression that you are unconnected to a company, financial product or service, issue or topic, when in fact you are. If you have a personal connection to any matter under discussion or referred to on the Chart Forum, you should disclose your connection or, where appropriate, not comment at all. You must not try to hide your identity e.g. by using proxy servers or the like.

### **Rule 11: No copyright infringement or linking to unlawful material**

You will not be able to upload your own or third party content on the Chart Forum but you may create your own Content such as trading charts by using the tools and functionalities available to you on the Chart Forum. You must not submit Content which is or is likely to be an infringement of copyright or database right (or any other intellectual property right). For example, you must not copy third party text, photos, diagrams, charts, graphs, music or video content without consent.

You must not provide links to websites or other material which would not comply with our Terms, including these House Rules. For example, you must not link to a website which contains false, misleading or defamatory material or would breach any intellectual property rights or financial

promotion or market abuse rules. You must not link to a website which is not publicly accessible (e.g. in a way which would get round a pay-wall).

#### **Rule 12: Language and relevance**

Please be polite. Do not use swear words or crude language. Keep your submissions relevant to the discussion. Do not insult other contributions, contributors or our staff or discuss the non-appearance or removal of any Content on the Chart Forum or the suspension or termination of any users.

#### **Rule 13: Respect the spirit as well as the letter of the House Rules**

In deciding what is acceptable, please also respect the spirit and tone of these rules and the community.

#### **Rule 14: Removal of Content**

We have the right to review Content on the Chart Forum (but we are not obliged to and may not).

Comments that violate the letter or spirit of these rules or our Terms may be removed. If we do remove something, we will generally remove whole posts, or where necessary, whole threads (not parts). This means that even if only one sentence is objectionable, the whole comment will usually be removed.

If a comment or a thread is removed, this may be for any number of reasons. Usually, this will be because the comment breaks these Rules or our Terms or is the subject of a report. Sometimes, the comment may be removed because it is connected to another comment which is being removed. We hope that you will understand that, once properly notified of a complaint, we may have to remove a comment for legal reasons (whatever the rights and wrongs).

If your Content has been removed, we may email you to let you know or to inform you if you have been suspended or banned from submitting further comments to the Chart Forum (but we are not obliged to do any of these things and may not).

If you are aware that Content has been removed, you must not deliberately resubmit or link to the same Content.

#### **Rule 15: Suspension and termination**

We reserve the right to suspend or ban an account at our sole discretion. Here are some reasons why we might do so:

- Breaching these Rules or our Terms;
- Failure to respect the spirit and tone of the community; or
- Conduct or comments that demand a disproportionate amount of our time or that abuse our staff.

The length of a suspension or whether we ban someone depends on all the circumstances. Bans are generally for extreme cases and repeated serious abuse.

If we suspend or ban your registration, you must not attempt to re-register or submit Content (e.g. using someone else's account), without our permission.

If you have terminated live account with us or tell us that you now wish to cease all use of your demo account, then we shall be entitled to immediately terminate your use of the Chart Forum.