**AMALGAMATED ELECTRICITY COMPANY LIMITED**

**Code of Internal Procedure and Conduct for Insider Trading**

**Preamble**

This code of conduct for prevention of insider trading is framed pursuant to Regulation

12(1) of the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992. This code shall be called the Code of Internal Procedures and

Conduct for Prevention of Insider Trading in Dealing with Securities of AMALGAMATED ELECTRICITY COMPANY LIMITED ("AECL" or "Company") and are being framed with an aim that employees of the Company and his/her Dependents / relatives shall not derive any benefit or assist others to derive any benefit from the access to and possession of Price Sensitive Information about the Company which is not in the public domain and thus constitutes insider information.

This Code will come into force with effect from 30TH May , 2019.

**1. Definitions**

1.1 “**Act**” means the Securities and Exchange Board of India Act, 1992.

1.2 **“Board”** means the Board of Directors of the Company.

1.3 **“Code”** or **“Code of Conduct”** shall mean the Code of Internal Procedure and Conduct for Prevention of Insider Trading in securities of MPIL Corporations Limited as amended from time to time.

1.4 **“Company”** means Amalgamated Electricity company Limited.

1.5 **“Dealing in Securities”** means an act of subscribing to, buying, selling or agreeing to subscribe to, buy, sell or deal in the securities of the Company either as principal or agent.

1.6 **Designated Employee**(s) shall include:

(i) every employee in the grade of General Managers and above;

(ii) every employee in the finance, accounts, secretarial and legal department as may be determined and informed by the Compliance Officer; and

(iii) any other employee as may be determined and informed by the Compliance

Officer from time to time.

1.7 “**Director**” means a member of the Board of Directors of the Company.

1.8 “**Dependent**” shall include dependent spouse, dependent parents, dependent children, and any other person(s) dependent on the Designated Employee.

1.9 “**Employee**” means every employee of the Company including the Directors in the employment of the Company.

1.10 “**Insider**” means any person who,

(i) is or was connected with the Company or is deemed to have been connected with the Company and who is reasonably expected to have access to unpublished price sensitive information in respect of securities of a Company; or

(ii) has received or has had access to such unpublished price sensitive information.

1.11 **“Price Sensitive Information**” means any information, which relates directly or indirectly to the Company and which if published, is likely to materially affect the price of securities of the Company.

1.12 **“Regulations”** shall mean the Securities & Exchange Board of India (Prohibition of

Insider Trading) Regulations, 1992 and any amendments thereto.

1.13 **“Specified Persons”** – the Directors, the Officers, the Designated Employees and the Designated Persons are collectively referred to as Specified Persons.

All terms used in this Code but not defined hereinabove shall have the meanings ascribed to them under the Regulations or the Companies Act, 2013 and rules there under.

**2. Compliance Officer**

2.1 The Company Secretary nominated by the Board of Directors shall be the

Compliance Officer who shall report to the Board of Directors.

2.2 The Compliance Officer shall be responsible for setting forth policies, procedures, monitoring adherence to the rules for the preservation of “Price Sensitive Information”, pre-clearance of designated employees’ and their dependents’ trades, monitoring of trades and the implementation of the Code of Conduct under the overall supervision of the Board of Directors.

2.3 The Compliance Officer shall maintain a record of the designated employees and any changes made in the list of designated employees.

2.4 The Compliance Officer shall assist all employees in addressing any clarifications regarding the Securities & Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992 and the Company’s Code of Conduct and Business Ethics.

**3. Preservation of “Price Sensitive Information”**

3.1 Employees shall maintain the confidentiality of all Price Sensitive Information.

They shall not pass on such information to any person directly or indirectly by way of making a recommendation for the purchase or sale of securities.

3.2 **Need to Know**

(i) Unpublished Price Sensitive Information is to be handled on a “need to know” basis. This means that unpublished Price Sensitive Information should be disclosed only to those within the Company who need the information to discharge their duty and whose possession of such information will not give rise to a conflict of interest or appearance of misuse of the information.

(ii) All non-public information directly received by any employee should immediately be reported to the Compliance Officer.

3.3 **Limited access to confidential information**

Files containing confidential information shall be kept secure. Computer files must have adequate security of login and password, etc.

**4. Prevention of misuse of “Price Sensitive Information”**

All Specified Persons shall be subject to trading restrictions as enumerated below:

4.1 **Trading Window**

(i) The trading period, i.e. the trading period of the stock exchanges, called

‘trading window”, is available for trading in the Company’s securities. **(FORM I – Register of Periods of Closure of Trading Window)**

(ii) The trading window shall be, inter alia, closed 7 days prior to and during the time the information referred to hereunder is unpublished:

• Declaration of financial results (quarterly, half-yearly and annually).

• Declaration of dividends (interim & final)

• Issue of securities by way of public/rights/bonus etc.

• Any major expansion plans or execution of new projects

• Amalgamation, mergers, takeovers and buyback

• Disposal of whole or substantially whole of the undertaking

• Any changes in policies, plans or operations of the Company

(iii) When the trading window is closed, the Specified Persons shall not trade in the Company’s securities in such period.

(iv) The trading window shall be opened 24 hours after the information referred to in (ii) above is made public.

(v) All Specified Persons shall conduct all their dealings in the securities of the Company only in a valid trading window and shall not deal in any transaction involving the purchase or sale of the Company’s securities during the periods when the trading window is closed, as referred to in (ii) above or during any other period as may be specified by the Company from time to time.

(vi) In case of ESOPs, if any, exercise of option may be allowed in the period when the trading window is closed. However, sale of shares allotted on exercise of ESOPs shall not be allowed when trading window is closed.

**5. Pre-clearance of trades**

5.1 All Specified Persons and their dependents who intend to deal in the securities of the Company above 1,000 shares or up to Rs. 1,00,000/-(market value), whichever is less, should pre-clear the transaction by making an **application-cum- undertaking for Pre-Clearance of Trades in Securities** in the prescribed **FORM II** to the Compliance officer indicating the estimated number of securities that the Specified Employee intends to deal in, the details as to the depository with which he has a security account, the details as to the securities in such depository mode and such other details as may be required by any rule made by the company in this behalf.

5.2 The Compliance Officer shall consider the application made as above and shall approve it forthwith **(Letter of intimation / approval of pre-clearance - FORM III)** unless he/she is of the opinion that grant of such an approval would result in a breach of the provisions of this Code or the Regulations.

**6. Other Restrictions**

6.1 All Specified Persons and their dependents shall execute their order in respect of securities of the Company within one week after the approval of pre-clearance is given. The Specified Person shall file within 2 (two) days of the execution of the

deal, the details of such deal with the Compliance Officer in the prescribed **Form V**

**– Format for Disclosure of Pre-Approved Transactions**. In case the transaction is not undertaken, a report to that effect shall be filed.

6.2 If the order is not executed within one week after the approval is given, the employee/director must have the transaction pre-cleared again.

6.3 All Specified Persons who buy or sell any number of shares of the Company shall not enter into an opposite transaction i.e. sell or buy any number of shares during the next six months following the prior transaction. All Specified Persons shall also not take positions in derivative transactions in the shares of the Company at any time. In case of subscription in the primary market (initial public offers), the above mentioned entities shall hold their investments for a minimum period of 30 days. The holding period would commence when the securities are actually allotted.

6.4 In case the sale of securities is necessitated by personal emergency, the holding period may be waived by the Compliance Officer after recording in writing his/her reasons in this regard, in the **Register for waiver of Restrictions- FORM-VI.** It may, however, be noted that in terms of the Regulations, no such sale will be permitted when the Trading window is closed.

6.5 The Compliance Officer shall maintain a register of pre-clearance of trading of securities as per the format – **FORM IV**

**7. Reporting Requirements for transactions in securities**

7.1 **Initial Disclosure**

Every Director/Officer/Designated Employee of the Company shall forward to the Company immediately on being appointed as such, the details of all holdings in securities of the Company presently held by them including the statement of holdings of dependent family members in the prescribed **Form VII** and changes in **FORM VIII.**

7.2 **Annual Disclosure**

Every Director/Officer/Designated Employee of the Company shall forward to the Company an annual statement of all holdings in securities held in the Company by them including the statement of holdings of dependent family members, within 15 days of the financial year ending 31st March in the prescribed in **Form IX**.

7.3 **Continual Disclosure**

(i) Every Director/Officer/Designated Employee of the Company shall disclose to the Company and the Stock Exchange(s) where the securities are listed in **Form D**, the total number of shares or voting rights held and change in shareholding or voting rights, if there has been a change in such holdings of such person and his dependents from the last disclosure made to the Company and the change exceeds Rs 500,000/- in value or 25,000 shares or

1% of total shareholding or voting rights (or any revised limits notified by

SEBI from time to time), whichever is lower.

(ii) The disclosure shall be made within 2 working days of: (a) the receipt of intimation of allotment of shares, or

(b) the acquisition or sale of shares or voting rights, as the case may be.

**8. Disclosure by the Company to the Stock Exchange(s)**

8.1 Within 2 days of the receipt of intimation under Clause 7.3, the Compliance Officer shall disclose to all Stock Exchanges on which the Company is listed, the information received in **Form D** as prescribed under the Regulations.

8.2 The Compliance Officer shall maintain records of all the declarations in the appropriate form given by the Directors/Officers/Designated Employees for a minimum period of three years.

**9. Disclosure/dissemination of Price Sensitive Information**

9.1 No information shall be passed by Specified Persons by way of making recommendation for the purchase or sale of securities of the Company.

9.2 Disclosure/dissemination of Price Sensitive Information with special reference to analysts, media persons and institutional investors:

9.3 The following guidelines shall be followed while dealing with analysts and institutional investors

• Only public information to be provided.

• At least two company representatives be present at meetings with analysts, media persons and institutional investors.

• Unanticipated questions may be taken on notice and a considered response given later. If the answer includes price sensitive information, a public announcement should be made before responding.

• Simultaneous release of information after every such meet.

**10. Penalty for contravention of the Code of Conduct**

10.1 Any employee/officer/director who trades in securities or communicates any information for trading in securities in contravention of the Code of Conduct may be penalised and appropriate action may be taken by the company.

10.2 Employees/officers/directors of the company who violate the code of conduct shall also be subject to disciplinary action by the company, which may include wage freeze, suspension, ineligible for future participation in employee stock option plans, etc.

10.3 The action by the company shall not preclude SEBI from taking any action in case of violation of SEBI (Prohibition of Insider Trading) Regulations, 1992.

**11. Information to SEBI**

In case it is observed by the Company/Compliance Officer that there has been a violation of SEBI (Prohibition of Insider Trading) Regulations, 1992, SEBI shall be informed of the same by the Company/ Compliance Officer.

**REGISTER OF PERIODS OF CLOSURE OF TRADING WINDOW**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Sl. No.** | **Purpose for which**  **Trading window closed** | **Start date of closure of**  **trading window** | **Date of notifying**  **closure of trading window, if any** | **Date of opening of**  **trading window** | **Date of notifying**  **opening of trading window** | **Remarks** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**APPLICATION FOR PRE-CLEARANCE OF TRADES IN SECURITIES**

**To**

The Compliance Officer

Dear Sir,

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 1992 and the Company's Code of internal procedures and conduct for prevention of Insider Trading in dealing in Securities and Code of Corporate Disclosure Practices, I seek approval for purchase/sale/subscription of the Securities (give description) as per the details given below:

Name, Designation & Emp. No.: Department:

Date of Joining/ becoming the Designated Employee:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SI. No.** | **No. of Securities held**  **(including the dependent**  **members as on the date of application)** | **Folio No.**  **/DPID& Client ID** | **Nature of new transaction for**  **which approval is**  **sought** | **Estimated number**  **of Securities to be**  **dealt** |
| **1** | **2** | **3** | **4** | **5** |
|  |  |  |  |  |
|  |  |  |  |  |
| **Estimated consideration**  **value** | **Whether proposed transaction is in the**  **self**  **name or in the name of Dependent** | **Name of the dependent, if**  **the**  **transaction is in the name(s) of the Dependent(s)** | **Date of**  **Purchase/**  **allotment** | **Previous approval**  **number and**  **date of purchase/ allotment** |
| **6** | **7** | **8** | **9** | **10** |
|  |  |  |  |  |

**UNDERTAKING**

In this connection I solemnly confirm and declare:

a) that I do not have access and/or have not received any" Price Sensitive Information" up to the time of signing the undertaking;

b) that in case I have access to or receive "Price Sensitive Information" after the signing of the undertaking but before the execution of the transaction, I shall inform the

Compliance Officer of any change in my position and that I shall refrain from Dealing in

Securities till the time such information becomes public;

c) that I have not contravened the Code of Conduct for Prevention of Insider Trading and

Code of Corporate Disclosure Practices as notified by the Company from time to time.

d) that I shall hold the Securities for a minimum period of six months from the date of purchase/ That I have complied with the requirement of the minimum holding period of six months with respect to the Securities sold, (applicable only in respect of sale transaction).

e) that I undertake to submit the necessary report within four days of execution of the transaction/a 'Nil' report, if the transaction is not undertaken.

f) that I am aware that, I shall be liable to face penal consequences as set forth in the Code including disciplinary action under the Code of the Company, in case the above declarations are found to be misleading or incorrect at any time.

g) that I hereby undertake not to transact in Securities in the sanctioned period in case trading window is declared closed subsequently.

h) that I hereby made a full and true disclosure in the matter.

Pre-clearance may kindly be accorded in terms of provisions of the Code of Conduct for Code of internal procedures and conduct for prevention of Insider Trading in Dealing in Securities and Code of Corporate Disclosure Practices of MPIL Corporation Ltd..

**Signature:**

**Name:**

**Emp. No:**

**Department Official Address:**

**Telephone and e-mail:**

**VOIP No.(if any)**

**MOBILE No.**

**\*Strike out whichever is not applicable.**

**Date ..... …………. Place…………….**

**FORM-III**

**Letter of intimation / approval of pre-clearance**

Name ............................................................ Employee No. …………………….. Designation...................................

Dear Sir,

With reference to your above application seeking approval for undertaking certain transactions in Securities detailed therein, please be informed that you are hereby authorized/not authorized to undertake the transaction(s) as detailed in your said application. Kindly note that in terms of the Code of Internal Procedures and Conduct for Prevention of Insider Trading in dealing in Securities and Code of Corporate Disclosure Practices of AECL, the above mentioned transaction is to be completed within i.e. within seven days of the pre-clearance.

This approval is being issued to you based on the various declarations, representations and warranties made by you in your said application.

This approval letter is valid till (i.e. for {1} week). If you do not execute the approved transaction /deal on or before this date you would have to seek fresh pre-dealing approval before executing any transaction/deal in the Securities. Further, you are required to file the details of the executed transactions in the attached format within four {4} days from the date of transaction/deal. In case the transaction is not undertaken, a "Nil" report shall be necessary.

Kindly also note that in terms of the Code of Internal Procedures and Conduct for Prevention of Insider Trading in dealing with Securities and Code of Corporate Disclosure Practices of Amalgamated Electricity Company Limited the Securities to be bought shall be held for a minimum period of six months from the date of the purchase, (applicable only in respect of purchase transaction).

The above sanction automatically stands withdrawn if subsequently the trading window is declared closed involving the period of sanction therein.

For & on behalf of

**Amalgamated Electricity Company Limited**

**Compliance Officer/Authorised Officer**

**REGISTER OF PRE-CLEARANCE FOR TRADE IN SECURITIES**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **SI. No** | **NAME** | **DESIGNATION** | **DEPARTMENT** | **DATE & TIME OF RECEIPT OF PRE CLEARANCE**  **APPLICATION** | **NATURE OF TRANSACTION (PURCHASE OR**  **SALE)** | **ESTIMATED NUMBER OF SECURITIES**  **INDICATED IN THE APPLICATION** |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **ESTIMATED CONSIDERATIO N**  **VALUE INDICATED IN THE**  **APPLICATION** | **NAME OF THE DEPENDENT IF THE**  **TRANSACTION IS IN**  **THE NAME OF THE DEPENDENT** | **DATE OF COMMUNICATI ON OF THE**  **CLEARANCE BY THE COMPLIANCE OFFICER** | **REASONS FOR NON CLEARANCE, IF**  **NOT CLEARED** | **DATE OF PLACEMENT BEFORE**  **GRIEVANCE COMMITTEE** | **NUMBER OF SECURITIES ACTUALLY**  **TRADED, IF INTIMATED** | **REMARKS** |
| **8** | **9** | **10** | **11** | **12** | **13** | **14** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**FORMAT FOR DISCLOSURE OF PRE-APPROVED TRANSACTIONS**

(To be submitted within four working days of transaction/dealing in Securities of the Company) Date:

To,

**The Compliance Officer**

**Amalgamated Electricity Company Limited**

**Mumbai**

Dear Sir**,**

**DETAILS OF PRE-APPROVED TRANSACTION**

**Ref: Your Approval letter No. dated**

I hereby inform you that I

• **have not bought/sold/subscribed any Securities**

• **have bought/sold/subscribed to the Securities (give description) as mentioned below on**

**(insert date)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Name of**  **holder** | **First or**  **joint holder** | **No. of**  **Securities dealt with** | **Bought/**  **Sold/ Subscribed** | **DP ID/CLIENT ID**  **(electronic form)**  **or Folio no. for physical where the**  **Sec. will be debited or credited** | **Price**  **(Rs.)** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

\*\* "F" first holder "J" joint holder

In connection with the aforesaid transaction(s), I hereby undertake to preserve, for a period of 3 (Three)

years and produce to the Compliance Officer/SEBI any of the following documents:

1. Broker's contract note.

2. Proof of payment to/from brokers.

3. Extract of bank passbook/statement (to be submitted in case of demat transactions).

4. Copy of Delivery instruction slip (applicable in case of sale transaction).

I declare that the above information is correct and that no provisions of the Company's Code of Internal Procedures and Conduct for Prevention of Insider Trading in dealing with Securities and/or applicable laws/regulations have been contravened for effecting the above said transaction(s).

I agree to hold the above Securities for a minimum period of six months. In case there is any urgent need to sell these Securities within the said period, I shall approach the Company (Compliance Officer) for necessary approval (applicable in case of purchase / subscription).

Yours truly,

Signature: Name: Emp No:

Department Official Address: Telephone and e-mail: MOBILE No.

\*Strike out whichever is not applicable

**FORM-VI**

**REGISTER OF WAIVER OF RESTRICTION FOR DISPOSAL OF SECURITIES WITHIN SIX MONTHS OF ACQUISITION**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SI. No.** | **NAME DESIGNATION**  **& DEPARTMENT** | **NAME OF THE DEPENDENT, IF THE SECURITIES HELD IN THE NAME OF DEPENDENT** | **NUMBER OF SECURITIES** | **CONSIDERATION VALUE** | **REASONS FOR WAIVER** |
| 1 | 2 | 3 | 4 | 5 | 6 |
|  |  |  |  |  |  |

|  |  |
| --- | --- |
| **DATE OF WAIVER** | **REMARKS** |
| 7 | 8 |
|  |  |

**FORM-VII**

**PROFORMA FOR INITIAL DISCLOSURE OF DETAILS OF SECURITIES HELD BY THE DESIGNATED EMPLOYEES.**

**The Compliance Officer**

**Amalgamated Electricity Company Limited**

Dear Sir,

I ...................................................... , the Designated Employees furnish below the details of the Securities as on

.......................... in my name and/or in the name(s) of my dependent in terms of regulation 13 (2) of SEBI (Prohibition of Insider Trading) Regulation, 1992 and clause 8.1 of the Code of internal procedures and conduct for prevention of Insider Trading in dealing with Securities and Code of Corporate Disclosure Practices of Amalgamated Electricity Company Limited.

Name, Designation & Emp. No.: Department:

Date of Joining/ becoming the Officer/ other Designated Employee:

**I. Details of shareholding of the Designated Employee held in self-name:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **No. of Securities**  **Held** | **Date of acquisition** | **Consideration**  **(Rs.)** | **Folio No./ DP ID**  **& Client ID** |
|  |  |  |  |  |
|  |  |  |  |  |

**II. Details of Securities held by/in the name(s) Dependent.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Name of dependent family member** | **Relationship** | **No. of Securities Held** | **Date of acquisition** | **Consideration**  **(Rs.)** | **Folio No/ DPID**  **& Client ID** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Signature**

**Date: Place :**

**PROFORMA FOR DISCLOSURE OF CHANGE IN SUBMITTED BY THE DESIGNATED EMPLOYEES To**

**The Compliance Officer**

**Amalgamated Electricity Company Limited**

Dear Sir,

I ........................................................ , the Designated Employee furnish below the details of transactions of my own/ Dependent in the Securities during the period from to in terms of clause 8.1 of the Code of internal procedures and conduct for prevention of Insider Trading in dealing with Securities and Code of Corporate Disclosure Practices of Amalgamated Electricity company Limited .

Name, Designation & Emp. No.: Department:

Date of Joining/ becoming the Designated Employee:

**I. Details of any change in shareholding (on own account)-**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **No. of**  **Securities**  **held as on........ (date of previous disclosure)** | **Date of**  **transaction** | **Details of**  **Securities**  **Purchased** | | **Details of**  **Securities sold** | | **No. of**  **Securities held as on**  **......... (date of present disclosure)** | **Folio No./**  **DPID & Client ID** |
|  |  | **No.** | **Consideration** | **No.** | **Consideration** |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

**II. Details of any change in shareholding of Dependent**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Name of the**  **Dependent** | **Relationship** | **No. of Securities held as on**  **........ (date of previous disclosure)** | **Date of transaction** | **Details of Securities Purchased** | | **Details of Securities Sold** | | **No. of Securities held as on**  **...**  **(date of present**  **disclosure**  **)** | **Folio**  **No./ DP**  **ID & Client**  **ID** |
|  |  |  |  | **No.** | **Value** | **No.** | **Value** |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |

I declare that I have complied with the requirement of the minimum holding period of six months with respect to the Securities sold.

**Signature**

**Date: Place :**

**PROFORMA FOR ANNUAL DISCLOSURE OF SECURITIES HOLDING TO BE SUBMITTED BY THE DESIGNATED EMPLOYEES.**

**To**

**The Compliance Officer**

**Amalgamated Electricity Company Limited**

Dear Sir,

I ........................................................ , the Designated Employee furnish below the details of transaction(s) in the

Securities, during the financial year…………..as well as shareholding as on 31st March…………….. .................

Name, Designation & Emp. No.: Department:

Date of Joining/ becoming the Designated Employee:

**I. Details of transaction/shareholding in own name**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No. of**  **Securities**  **held as on........** | **Details of Securities purchased during the**  **year** | | **Details of Securities sold during the year** | | **No. of Securities held as on**  **.........** | **Folio No./ DPID & Client ID** |
|  | **No.** | **Value** | **No.** | **value** |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**II. Details of transaction/shareholdings of Dependent**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Name of the**  **Dependent** | **Relationship** | **No. of Securities held as on**  **........** | **Details of**  **Securities purchased during the year** | | **Details of**  **Securities sold during the year** | | **No. of Securities held as on ...** | **Folio**  **No./ DP**  **ID & Client**  **ID** |
|  |  |  | **No.** | **Value** | **No.** | **Value** |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

I declare that the Securities sold have been held by me for minimum period of six months

(applicable in case sale transaction).

**Signature**

**Date: Place :**

**REGISTER OF DISCLOSURE OF SHAREHOLDING BY ALL THE DESIGNATED EMPLOYEES**

Name, Designation & Emp. No.: Department:

Date of Joining/ becoming the Designated Employee:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **INITIAL DISCLOSURE** | | | | |
| DATE OF RECEIPT OF INFORMATION | NUMBER OF SECURITIES | DATE OF ACQUISITION | CONSIDERATION VALUE | NAME OF THE DEPENDENTS SECURITIES HELD IN THE NAME OF DEPENDENT |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CHANGE IN HOLDING** | | | | | |
| DATE OF RECEIPT OF INFORMATION | NUMBER OF SECURITIES | DATE OF TRANSACTION | NATURE OF TRANSACTION (PURCHASE  OR SALE) | CONSIDERATION VALUE | NAME OF THE DEPENDENT  IF  SECURITIES HELD IN THE NAME OF DEPENDENT |
|  |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **YEAR END DISCLOSURE** | | |  | **REMARKS** |
| DATE OF RECEIPT OF INFORMATION | NUMBER OF SECURITIES | AGGREGATE VALUE | NAME OF THE DEPENDENT IF SECURITIES HELD  IN THE NAME OF  DEPENDENT |  |
|  |  |  |  |  |

**REGISTER OF ALL THE DESIGNATED EMPLOYEES**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **SI. No.** | **NAME, DESIGNATION, DEPARTMENT & EMP. NO** | **DATE OF JOINING OF THE COMPANY** | **DATE OF BECOMING DESIGNATED EMPLOYEE** | **DATE OF CEASATION AS DESIGNATED EMPLOYEE** | **DP ID OR FOLIO NO.** | **REMARKS** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**Regulation 13 (1) - Details of acquisition of 5% or more shares in a listed company**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name, PAN No. & address of shareholder with  telephone number | Shareholding prior to acquisition | No. and percentage of shares / voting rights  acquired | Date of receipt of allotment / advice Date of  acquisition  (specify) | Date of intimation to Company | Mode of acquisition (market purchase/ public/  rights/ preferential offer etc.) | Shareholding Subsequent To acquisition | Trading member through whom the trade was  executed with SEBI Registration No. of the TM | Exchange  on which the trade was executed | Buy  quantity | Buy  valu |
|  |  |  |  |  |  |  |  |  |  |  |

**FORM B**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations,

1992 [Regulation 13 (2) and (6)]

**Regulation 13 (2) - Details of shares held by Director or officer of a Listed company**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name, PAN  No.& Address of Director/ Officer | Date of  assuming office of Director / Officer | No. & % of  Shares/ voting rights held at the time of becoming Director  /Officer | Date of  intimation to company | Mode of  acquisition (market purchase  /public/ rights / preferential offer etc.) | Trading  member through whom the trade was executed with SEBI Registration No. of the TM | Exchange  on which the trade was executed | Buy  quantity | Buy value |
|  |  |  |  |  |  |  |  |  |

**FORM C**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations,

1992 [Regulation 13 (3) and (6)]

**Regulation 13(3) - Details of change in shareholding in respect of persons holding more than 5% shares in a listed company**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name, PAN No.& Address of  Director/ Officer | Shareholdin g prior To acquisition/  sale | No. & % of shares/  voting rights acquired  /  sold | Receipt Of allotment  advice/  acquisition  of shares/ sale of shares - specify | Date of intimation to  company | Mode of acquisition On (market  purchase / public/ rights/prefere ntial  offer etc.) | No. & %  Of shares/ Voting  rights post acquisition  / sale | Trading Member Through  whom the trade was executed with SEBI Registration no.  of the TM | Exchange on which the trade  was executed | Buy  quantit y | Buy  value | **Sell Qua ntity** | **Sel val** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |

**Regulation 13(4) - Details of change in shareholding of Director or designated Employee of a listed company**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name, PAN  No.& Address of Director/ Officer | No. & %of  shares/votin g rights held by the Director/ Officer | Date of  receipt of allotment advice/ acquisitio n  /sale of shares/ voting rights | Date of  intimation to company | Mode of  acquisition (market purchase/ public/ rights / preferentia l  offer etc.) | No. & % of  shares/ post acquisition/ voting rig | Trading  member through whom the trade was executed with SEBI Registration no. of the  TM | Exchange  on which the trade was executed | Buy  quantity | Buy value | Sell  Quantity | S  v |
|  |  |  |  |  |  |  |  |  |  |  |  |