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**RAJSHREE SUGARS & CHEMICALS LIMITED**  
**CODE OF CONDUCT TO REGULATE, MONITOR AND**  
**REPORT INSIDER TRADING**

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# **CODE OF CONDUCT TO REGULATE, MONITOR AND REPORT TRADING BY INSIDERS PURSUANT TO REGULATION 9(1)(2) OF SEBI (PROHIBITION OF INSIDER TRADING) REGULATIONS 2015**

## **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 Procedures and Conduct for Regulating, Monitoring and Reporting of trading by insiders of RAJSHREE SUGARS & CHEMICALS LIMITED, formulated pursuant to Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended from time to time.
- 1.4. **"Company"** means **RAJSHREE SUGARS & CHEMICALS LIMITED**.
- 1.5. **"Compliance Officer"** means Company Secretary or such other senior officer, who is financially literate and is capable of appreciating requirements for legal and regulatory compliance under these regulations designated so and reporting to the Board of Directors and who shall be responsible for compliance of policies, procedures, maintenance of records, monitoring adherence to the rules for the preservation of unpublished price sensitive information, monitoring of trades and the implementation of the codes specified in these regulations under the overall supervision of the Board of Directors of the Company.
- 1.6. **"Connected Person"** means:
  - 1.6.1. any person who is or has during the six months prior to the concerned act been associated with the company, directly or indirectly, in any capacity including by reason of frequent communication with its officers or by being in any contractual, fiduciary or employment relationship or by being a director, officer or an employee of the Company or holds any position including a professional or business relationship between himself and the Company whether temporary or permanent, that allows such person, directly or indirectly, access to unpublished price sensitive information or is reasonably expected to allow such access.
  - 1.6.2. Without prejudice to the generality of the foregoing, the persons falling within the following categories shall be deemed to be connected persons unless the contrary is established.
    - a) an immediate relative of connected persons specified in clause (1.6.1); or
    - b) a holding company or associate company or subsidiary company; or
    - c) an intermediary as specified in Section 12 of the Act or an employee or director thereof; or

- d) an investment company, trustee company, asset management company or an employee or director thereof; or
  - e) an official of a stock exchange or of clearing house or corporation; or
  - f) a member of board of trustees of a mutual fund or a member of the board of directors of the asset management company of a mutual fund or is an employee thereof; or
  - g) a member of the Board of directors or an employee, of a public financial institution as defined in section 2 (72) of the Companies Act, 2013; or
  - h) an official or an employee of a self-regulatory organization recognised or authorized by the Board; or
  - i) a banker of the Company; or
  - j) a concern, firm, trust, hindu undivided family, company or association of persons wherein a director of the Company or his immediate relative or banker of the Company, has more than ten per cent, of the holding or interest.
- 1.7. **“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.
- 1.8. **Designated Persons** (s) shall include:
- i) every employee in the grade of Deputy General Manager and above; every employee in the finance, accounts, secretarial, Information Technology and legal department of the company.
  - ii) Other Employees of the Company, intermediary or fiduciary designated on the basis of their functional role or access to UPSI in the organization.
  - iii) every employee in the grade of Deputy General Manager and above; every employee in the finance, accounts, secretarial, Information Technology and legal department of the material subsidiary Company, if any.
  - iv) Other Employees of material subsidiaries of the Company, if any, designated on the basis of their functional role or access to UPSI in the organization.
  - v) All promoters of the Company and promoters who are individuals or investment companies for intermediaries or fiduciaries;
  - vi) Chief Executive Officer and employees upto two levels below Chief Executive Officer of intermediary, fiduciary and its material

subsidiaries irrespective of their functional role in the company or ability to have access to UPSI;

vii) Any support staff of intermediary or fiduciary such as IT staff or secretarial staff who have access to unpublished price sensitive information

- 1.9. **"Director"** means a member of the Board of Directors of the Company.
- 1.10. **"Employee"** means every employee of the Company including the Directors in the employment of the Company.
- 1.11. **"Generally available Information"** means information that is accessible to the public on a non-discriminatory basis.
- 1.12. **"Immediate Relative"** means a spouse of a person, and includes parent, sibling, and child of such person or of the spouse, any of whom is either dependent financially on such person, or consults such person in taking decisions relating to trading in securities
- 1.13. **"Insider"** means any person who is,
  - a) a connected person; or
  - b) in possession of or having access to unpublished price sensitive information.
- 1.14. **"Key Managerial Person"** means person as defined in Section 2(51) of the Companies Act, 2013.
- 1.15. **"Promoter"** shall have the meaning assigned to it under the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018 or any modification thereof.
- 1.16. **"Promoter Group"** shall have the meaning assigned to it under the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018 or any modification thereof;
- 1.17. **"Securities"** shall have the meaning assigned to it under the Securities Contracts (Regulation) Act, 1956 (42 of 1956) or any modification thereof except units of a mutual fund;
- 1.18. **"Takeover regulations"** means the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011 and any amendments thereto;
- 1.19. **"Trading"** means and includes subscribing, buying, selling, dealing, or agreeing to subscribe, buy, sell, deal in any securities, and "trade" shall be construed accordingly
- 1.20. **"Trading Day"** means a day on which the recognized stock exchanges are open for trading;
- 1.21. **"Unpublished Price Sensitive Information (UPS I)"** means any information, relating to a company or its securities, directly or indirectly, that is not generally available which upon becoming generally available,

is likely to materially affect the price of the securities and shall, ordinarily including but not restricted to, information relating to the following:

- i) financial results;
- ii) dividends;
- iii) change in capital structure;
- iv) mergers, de-mergers, acquisitions, delistings, disposals and expansion of business and such other transactions;
- v) changes in key managerial personnel; and

1.22. **"Regulations"** shall mean the Securities & Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 and any amendments thereto.

1.23. **"Specified Persons"** means the Directors, connected persons, the insiders, the Designated Persons and their immediate relatives are collectively referred to as Specified Persons.

1.24. **'Fiduciaries'** means Professional firms such as auditors, accountancy firms, law firms, analysts, insolvency professional entities, consultants, banks etc., assisting or advising the Company.

1.25. Words and expressions used and not defined in these regulations but defined in the Securities and Exchange Board of India Act, 1992 (15 of 1992), the Securities Contracts (Regulation) Act, 1956 (42 of 1956), the Depositories Act, 1996 (22 of 1996) or the Companies Act, 2013 shall have the meanings respectively assigned to them in those legislation.

## **2. Role of Compliance Officer**

2.1. The compliance officer shall report to the board of directors and in particular, shall provide reports to the Chairman of the Audit Committee, if any, or to the Chairman of the Board of Directors on half yearly basis.

2.2. The Compliance Officer shall assist all designated persons in addressing any clarifications regarding the Securities & Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Conduct.

## **3. Preservation of "Price Sensitive Information"**

3.1. All information shall be handled within the Company on a need-to-know basis and no unpublished price sensitive information shall be communicated to any person except in furtherance of the legitimate purposes, performance of duties or discharge of legal obligations.

3.2. USPI may be communicated, provided, allowed access to or procured, in connection with a transaction which entails:

- a. an obligation to make an open offer under the takeover regulations where the Board of Directors of the Company is of informed opinion that the sharing of such information is in the best interests of the Company; or
- b. not attracting the obligation to make an open offer under the takeover regulations but where the Board of Directors of the Company is of informed opinion that sharing of such information is in the best interests of the Company and the information that constitute unpublished price sensitive information is disseminated to be made generally available at least two trading days prior to the proposed transaction being effected in such form as the Board of Directors may determine to be adequate and fair to cover all relevant and material facts.

However, the Board of Directors shall require the parties to execute agreements to contract confidentiality and non-disclosure obligations on the part of such parties and such parties shall keep information so received confidential, except for the limited purpose and shall not otherwise trade in securities of the Company when in possession of UPSI.

- 3.3. The Board of Directors has formulated a policy for determination of “legitimate purposes” as a part of “Codes of Fair Disclosure and Conduct” and the same has been filed with stock exchanges and also placed on the website of the Company. You are required to take note of the same.
- 3.4. The Company is maintaining a structured digital database containing the names of such persons or entities as the case may be with whom information is shared under the Regulations along with the Permanent Account Number or any other identifier authorized by law where Permanent Account Number is not available. Such databases is maintained with adequate internal controls and checks such as time stamping and audit trails to ensure non-tampering of the database. The Compliance officer is authorized by the Board to maintain the database.
- 3.5. Need to Know:
  - a) “need to know” basis means that UPSI 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.
  - b) All non-public information directly received by any designated person should immediately be reported to the head of the department.
- 3.6. Limited access to confidential information

Files containing confidential information shall be kept secure. Computer files must have adequate security of login and password, etc.,
- 3.7. Any person in receipt of UPSI pursuant to a “legitimate purpose” shall be considered an “insider” for purposes of these regulations and due notice shall be given to such persons to maintain confidentiality of such

unpublished price sensitive information in compliance with this code of conduct.

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

The specified persons shall be governed by an internal code of conduct governing dealing in securities.

##### **4.1. Trading Plan**

An insider shall be entitled to formulate a trading plan for dealing in securities of the Company, which is not a mandatory requirement, and present it to the Compliance Officer for approval and public disclosure pursuant to which trades may be carried out on his behalf in accordance with such plan.

##### **4.2. Trading Plan shall:**

- (i) not entail commencement of trading on behalf of the insider earlier than six months from the public disclosure of the plan;
- (ii) not entail trading for the period from the end of the quarter for which results are required to be announced by the Company and till 48 hours after the declaration of financial results;
- (iii) entail trading for a period of not less than twelve months;
- (iv) not entail overlap of any period for which another trading plan is already in existence;
- (v) set out either the value of trades to be effected or the number of securities to be traded along with the nature of the trade and the intervals at, or dates on which such trades shall be effected; and
- (vi) not entail trading in securities for market abuse.

4.3. The Compliance Officer shall consider the Trading Plan made as above and shall approve within a reasonable time not exceeding 5 trading days. However, he shall be entitled to take express undertakings as may be necessary to enable such assessment and also to approve and monitor the implementation of the plan as per provisions of the Regulations.

4.4. The Trading Plan once approved shall be irrevocable and the Insider shall mandatorily have to implement the plan, without being entitled to either deviate from it or to execute any trade in the securities outside the scope of the trading plan.

Provided that the implementation of the trading plan shall not be commenced, if at the time of formulation of the plan, the Insider is in possession of any UPSI and the said information has not become generally available at the time of the commencement of implementation.

The commencement of the Plan shall be deferred until such UPSI becomes generally available information. Further, the Insider shall also not be allowed to deal in securities of the Company, if the date of trading in securities of the Company, as per the approved Trading Plan, coincides with the date of closure of Trading Window announced by the Compliance Officer.

- 4.5. Upon approval of the trading plan, the compliance officer shall notify the plan to the stock exchanges on which the securities are listed.

## **5. Trading Window and Window Closure**

- 5.1. 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

ii) The trading window shall be closed from the end of every quarter, for which the financial results are required to be announced by the Company, till 48 hours after the declaration of financial results.

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

iv) 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 Point No. (ii) above or during any other period as may be specified by the Company from time to time.

- 5.2. The Compliance Officer shall intimate the closure of trading window to all the designated persons of the Company when he determines that a designated person or class of designated persons can reasonably be expected to have possession of UPSI. Such closure shall be imposed in relation to such securities to which such UPSI relates.

- 5.3. The gap between clearance of accounts by audit committee and board meeting should be as narrow as possible and preferably on the same day to avoid leakage of material information

- 5.4. The timing for re-opening of the trading window shall be determined by the compliance officer taking into account various factors including the UPSI in question becoming generally available and being capable of assimilation by the market, which in any event shall not be earlier than forty-eight hours after the information becomes generally available.

## **6. Pre-clearance of trades**

- 6.1. All Specified Persons, who intend to deal in the securities of the Company when the trading window is opened and if the value of the



proposed trades is above 50,000 shares or upto Rs.10 Lakhs (market value) or 1% of total shareholding, whichever is less, should pre-clear the transaction. The pre-clearance procedure shall be:

- i) An application may be made in the prescribed Form (Annexure 1) to the Compliance officer indicating the estimated number of securities that the Specified Persons 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.
- ii) An undertaking (Annexure 2) shall be executed in favour of the Company by such Specified Persons incorporating, *inter alia*, the following clauses, as may be applicable:
  - (a) That the specified persons does not have any access or has not received UPSI up to the time of signing the undertaking.
  - (b) That in case the Specified Employee has access to or receives UPSI after the signing of the undertaking but before the execution of the transaction he/she shall inform the Compliance Officer of the change in his position and that he/she would completely refrain from dealing in the securities of the Company till the time such information becomes public.
  - (c) That he/she has not contravened the code of conduct as notified by the Company from time to time.
  - (d) That he/she has made a full and true disclosure in the matter.
- iii) All Specified Persons 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) trading days of the execution of the deal, the details of such deal with the Compliance Officer in the prescribed form. In case the transaction is not undertaken, a report to that effect shall be filed. (Annexure 4 or 5 as applicable).
- iv) If the order is not executed within seven days after the approval is given, the employee/director must pre-clear the transaction again.
- v) 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 any contra trade be executed, inadvertently or otherwise, in violation of such a restriction, the profits from such trade shall be liable to be disgorged for remittance to the Securities and Exchange Board of India (SEBI) for credit to the Investor Protection and Education Fund administered by SEBI under the Act.

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

Provided that this shall not be applicable for trades pursuant to exercise of stock options.

vi) The Compliance Officer may waive off the holding period in case of sale of securities in personal emergency after recording reasons for the same. However, no such sale will be permitted when the Trading window is closed.

vii) Pre-clearance of trades shall not be required for a trade executed as per an approved trading plan.

viii) The trading window norms and restrictions on contra trade shall not be applicable for trades carried out in accordance with an approved trading plan

## **7. Other Restrictions**

7.1. The disclosures to be made by any person under this Code shall include those relating to trading by such person's immediate relatives, and by any other person for whom such person takes trading decisions

7.2. The disclosures of trading in securities shall also include trading in derivatives of securities and the traded value of the derivatives shall be taken into account for purposes of this Code.

7.3. The disclosures made under this Code shall be maintained for a period of five years.

## **8. Reporting Requirements for transactions in securities**

### **8.1. Initial Disclosure**

a) Every promoter/member of promoter group / Key Managerial Personnel / Director / Officers / Designated Persons of the Company, within thirty days of these regulations taking effect, shall forward to the Company 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 (Annexure 6).

b) Every person on appointment as a key managerial personnel or a director of the Company or upon becoming a promoter or member of the promoter group shall disclose his holding of securities of the Company as on the date of appointment or becoming a promoter, to the Company within seven days of such appointment or becoming a promoter. (Annexure 7)

## 8.2. **Continual Disclosure**

Every promoter, member of the promoter group, designated person and director of the Company shall disclose to the Company the number of such securities acquired or disposed of within two trading days of such transaction if the value of the securities traded, whether in one transaction or a series of transactions over any calendar quarter, aggregates to a traded value in excess of Rs.10 lakhs.

The disclosure shall be made:

- a) In case of any fresh allotment within two trading days from the receipt of intimation of allotment,
- b) In the case of any other mode of acquisition within two trading days of such acquisition.

8.3. The disclosure requirements as aforesaid shall be applicable to the 'members of the promoter group', with effect from 21<sup>st</sup> January 2019.

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

9.1. Within 2 days of the receipt of intimation under Clause 8.3, the Compliance Officer shall disclose to all Stock Exchanges on which the Company is listed, the information received.

9.2. The Compliance officer shall maintain records of all the declarations in the appropriate form given by the directors / officers / designated persons for a minimum period of five years.

## 10. **Dissemination of Price Sensitive Information**

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

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

- a) The following guidelines shall be followed while dealing with analysts and institutional investors
- b) Only public information to be provided.
- c) At least two Company representatives be present at meetings with analysts, media persons and institutional investors.
- d) 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.
- e) Simultaneous release of information after every such meet.

## **11. Penalty for contravention of the code of conduct**

- 11.1. Every Specified Person shall be individually responsible for complying with the provisions of the Code (including to the extent the provisions hereof are applicable to his/her dependents).
- 11.2. Any Specified Person who trades in securities or communicates any information for trading in securities, in contravention of this Code may be penalized and appropriate action may be taken by the Company.
- 11.3. Specified Persons who violate the Code shall also be subject to disciplinary action by the Company, which may include wage freeze, suspension, recovery, clawback, ineligibility for future participation in employee stock option plans, etc.
- 11.4. The action by the Company shall not preclude SEBI from taking any action in case of violation of SEBI (Prohibition of Insider Trading) Regulations, 2015.

## **12. Disclosures by Designated Persons**

- 12.1. Designated persons shall be required to disclose names and Permanent Account Number or any other identifier authorized by law of the following persons to the company on an annual basis and as and when the information changes:
  - a) immediate relatives
  - b) persons with whom such designated person(s) shares a material financial relationship
  - c) Phone, mobile and cell numbers which are used by them

In addition, the names of educational institutions from which designated persons have graduated and names of their past employers shall also be disclosed on a one time basis.

Explanation—The term “material financial relationship” shall mean a relationship in which one person is a recipient of any kind of payment such as by way of a loan or gift during the immediately preceding twelve months, equivalent to at least 25% of such payer’s annual income but shall exclude relationships in which the payment is based on arm’s length transactions.

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// Annexures Follow //

**ANNEXURE 1**  
**FORMAT OF APPLICATION FOR PRE-CLEARANCE APPROVAL**

Date:

To,

The Compliance Officer,

Dear Sir/Madam,

**Application for Pre-clearance approval in securities of the Company**

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Conduct for Prevention of Insider Trading, I seek approval to purchase / sale / subscription of \_\_\_\_\_ equity shares of the Company as per details given below:

1.	Name of the applicant		
2.	Designation		
3.	Number of securities held as on date		
4.	Folio No. / DP ID / Client ID No.)		
5.	The proposal is for		(a) Purchase of securities (b) Subscription to securities
6.	Proposed date of dealing in securities		
7.	Estimated number of securities proposed to be acquired/subscribed/ sold		
8.	value at which the transaction is proposed		
9.	Current market price (as on date of application)		
10.	Whether the proposed transaction will be through stock exchange or off-market deal		
11.	Folio No. / DP ID / Client ID No. where the securities will be credited / debited		

I enclose herewith the form of Undertaking signed by me.

Yours faithfully,

(Signature of Employee)

**ANNEXURE 2**  
**FORMAT OF**  
**UNDERTAKING TO BE ACCOMPANIED WITH THE APPLICATION**  
**FOR PRE-CLEARANCE**

To,

I, \_\_\_\_\_, \_\_\_\_\_ of the Company residing at \_\_\_\_\_, am desirous of dealing in \_\_\_\_\_\* shares of the Company as mentioned in my application dated \_\_\_ for pre-clearance of the transaction.

I further declare that I am not in possession of or otherwise privy to any unpublished Price Sensitive Information (as defined in the Company's Code of Conduct for prevention of Insider Trading (the Code) up to the time of signing this Undertaking.

In the event that I have access to or received any information that could be construed as "Price Sensitive Information" as defined in the Code, after the signing of this undertaking but before executing the transaction for which approval is sought, I shall inform the Compliance Officer of the same and shall completely refrain from dealing in the securities of the Company until such information becomes public. I declare that I have not contravened the provisions of the Code as notified by the Company from time to time.

I undertake to submit the necessary report within 2 trading days of execution of the transaction / a 'Nil' report if the transaction is not undertaken.

If approval is granted, I shall execute the deal within 7 days of the receipt of approval failing which I shall seek pre-clearance again.

I declare that I have made full and true disclosure in the matter.

Date :

Signature : \_\_\_\_\_

\* Indicate number of shares

**ANNEXURE 3**  
**FORMAT FOR PRE- CLEARANCE ORDER**

To,

Name : \_\_\_\_\_

Designation: \_\_\_\_\_

Place : \_\_\_\_\_

This is to inform you that your request for dealing in (nos) shares of the Company or value of the transaction as mentioned in your application dated\_\_\_\_\_ is approved. Please note that the said transaction must be completed on or before\_\_\_\_\_(date) that is within 7 days from today.

In case you do not execute the approved transaction /deal on or before the aforesaid date you would have to seek fresh pre-clearance before executing any transaction/deal in the securities of the Company. Further, you are required to file the details of the executed transactions in the attached format within 2 days from the date of transaction/deal. In case the transaction is not undertaken a 'Nil' report shall be necessary.

Yours faithfully,

for \_\_\_\_\_

COMPLIANCE OFFICER

Date :

Encl: Format for submission of details of transaction

**ANNEXURE 4**

**FORM C**

**Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015**

[Regulation 7(2) read with Regulation 6(2)]

Name of the Company :

ISIN of the Company :

Details of change in holding of Securities of Promoter, Employee or Director of a listed Company and other such persons as mentioned in Regulation 6(2).

Name, PAN No., CIN/ DIN & address of Promoter/ Employee/ Director with contact Nos.	Category of Persons (Promoters/ KMP/ Directors/ immediate relatives/ others etc)	Securities held prior to acquisition/ disposal		Securities acquired / Disposed		% of share holding / Disposed		Date of allotment advice/ acquisition of shares/ sale of shares specify		Date of intimation to Company	Mode of acquisition (market purchase /public rights/ preferential offer / off market /inter-se transfer etc.	Trading in derivatives (specify type of contract, Futures or Options etc)				Exchange on which the trade was executed
		Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No	Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No	Pre transaction	Post transactions	From	To			Buy		Sell		
												Value	Number of units (contracts * lot size)	Value	Number of units (contracts * lot size)	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17

Note : "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI(Prohibition of Insider Trading) Regulations, 2015.

Date :

Signature:

Place :

Designation:



## Annexure - 5

### FORM D

## Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

### Regulation 7(3) – Transactions by Other connected persons as identified by the Company

Name, PAN No, CIN/ DIN & address of connected persons as identified by the Company with contact Nos.	Connection with company	Securities held prior to acquisition/ disposal		Securities acquired / Disposed		% of share holding / Disposed		Date of allotment advice/ acquisition of shares/ sale of shares specify		Date of intimation to Company	Mode of acquisition (market purchase /public/rights/ preferential offer / off market /inter-se transfer etc.	Trading in derivatives (specify type of contract, Futures or Options etc)				Exchange on which the trade was executed		
		Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No	Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No	Pre transaction	Post transactions	From	To			Buy		Sell				
													Value	Number of units (contracts * lot size)	Value	Number of units (contracts * lot size)		
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17		

Note : "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI(Prohibition of Insider Trading) Regulations, 2015.

Date :

Signature:

Place :

Designation:

**ANNEXURE 6**

**FORM A**

**Securities and Exchange Board of India  
(Prohibition of Insider Trading) Regulations, 2015**

[Regulation 7(1)(a) read with Regulation 6(2)]

Name of the Company :

ISIN of the Company :

**Details of Securities held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)**

Name, PAN No, CIN/ DIN & address with contact Nos.	Category of Persons (Promoters / KMP/ Directors / immediate relatives / others etc)	Securities held as on the date of regulation coming into force		% of share holding	Open Interest of the Future contracts held as on the date of regulation coming into force		Open Interest of the Option contracts held as on the date of regulation coming into force	
		Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No		Number of units (contracts * lot size)	National value in Rupee terms	Number of units (contracts * lot size)	National value in Rupee terms
1	2	3	4	5	6		7	

Note : "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI(Prohibition of Insider Trading) Regulations, 2015.

Date :

Signature:

Place :

Designation:

**ANNEXURE 7**

**FORM B**

**Securities and Exchange Board of India**

**(Prohibition of Insider Trading) Regulations, 2015**

[Regulation 7(1)(b) read with Regulation 6(2)]

Name of the Company :

ISIN of the Company :

**Details of Securities held by on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed Company and other such persons as mentioned in Regulation 6(2)**

Name, PAN No, CIN/ DIN & address with contact Nos.	Category of Persons (Promoters / KMP/ Directors / immediate relatives / others etc)	Date of appointment of Director / KMP OR Date of becoming Promoter	Securities held at the time of becoming Promoter / appointment of Director / KMP		% of share holding	Open Interest of the Future contracts held at the time of becoming Promoter / appointment of Director / KMP		Open Interest of the Option contracts held at the time of becoming Promoter / appointment of Director / KMP	
			Type of security (For eg. Shares, Warrants, Convertible Debentures etc)	No		Number of units (contracts * lot size)	National value in Rupee terms	Number of units (contracts * lot size)	National value in Rupee terms
1	2	3	4	5	6	7		8	

Note : "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI(Prohibition of Insider Trading) Regulations, 2015.

Date :

Signature:

Place :

Designation: