

# IMPORTANT FORMS

## ANNEXURE 1

\_\_\_\_\_  
(NAME OF COMPANY)

### REGISTER OF DESIGNATED PERSONS

[To be maintained by the Compliance Officer]

Sr No	#Emp No.	Name of the Designated Person & PAN	#Dept	#Div & Location	Names of Immediate Relatives as disclosed by Designated Persons	DP BEN ID or FOLIO NO.	Date on which the person is identified as a Designated Person	Date on which the person ceases to be the Designated Person

# to be filled in only in case of Employees

**ANNEXURE 2**

**SPECIMEN OF APPLICATION FOR PRE-TRADING APPROVAL**

Date: \_\_\_\_\_

Internal use
Recd Date
And time:
Sign :

To,

The Compliance Officer  
\_\_\_\_\_ Limited  
\_\_\_\_\_

Dear Sir/Madam,

**APPLICATION FOR PRE-TRADING 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 for purchase/sale/subscription of the \_\_\_\_\_ Securities (including derivatives) (GIVE DESCRIPTION) of the Company as per the details given below

NAME.....

State whether

- Director
- Designated Person
- Immediate Relative

**EMPLOYEE NO.** \_\_\_\_\_

**DESIGNATION** \_\_\_\_\_

**DEPARTMENT** \_\_\_\_\_

**LOCATION** \_\_\_\_\_

Nature of transaction	*Name of Proposed Buyer/Seller	No. Of Securities	**Date of purchase /allotment	***Previous approval no. and date for purchase / allotment )	DP/BEN ID of the account /folio no. where the securities will be credited/ debited	No. of Securities held in such Account /Folio No.
					DP ID _____	
					BEN ID _____	
					FOLIO NO _____	

\* applicable for off market transaction

\*\* applicable only if the application is in respect of sale of Securities (including derivatives)

\*\*\* applicable only if the application is in respect of sale of Securities (including derivatives) for which an earlier purchase sanction was granted by the Compliance Officer

# to be filled in only by Employees

I enclose herewith the form of Undertaking signed by me.  
Yours faithfully,

\_\_\_\_\_  
(Signature of Applicant)

**Note:** This application has to be necessarily submitted through electronic mail at the dedicated e-mail id \_\_\_\_\_ and followed by a hard copy.

### **ANNEXURE 3**

#### **FORMAT OF UNDERTAKING/DECLARATION TO BE ACCOMPANIED WITH THE APPLICATION FOR PRE-TRADING**

##### **UNDERTAKING/DECLARATION**

To,  
\_\_\_\_\_Ltd

I, \_\_\_\_\_, resident of \_\_\_\_\_ hereby declare that I am Designated Person of \_\_\_\_\_ [INSERT NAME OF THE COMPANY].

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 and at the time of signing this Undertaking/Declaration.

In case I have access to or I receive any Unpublished Price Sensitive Information after signing this Undertaking/Declaration but before execution of the transaction, I shall inform the Compliance Officer of the change in my position and I would, and ensure that my Immediate Relatives would completely refrain from Trading in the Securities (including derivatives) of the Company till the time such Unpublished Price Sensitive Information becomes generally available.

I declare that I have not contravened the Code as notified by the Company from time to time.

I undertake to submit the necessary report within two Trading Days of execution of the transaction/a 'Nil' report if the transaction is not undertaken.

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

I agree to comply with the provisions of the Code and provide any information relating to the trade as may be required by the Compliance Officer and permit the Company to disclose such detail to SEBI, if so required by SEBI.

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

(Signature of the Applicant)

Date:

## ANNEXURE 4

### FORMAT FOR PRE-TRADING APPROVAL LETTER

Date: \_\_\_\_\_

Approval No: \_\_ of \_\_\_\_

To,

Mr. /Mrs. \_\_\_\_\_

Emp. No.: \_\_\_\_\_

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

### PRE-TRADING APPROVAL/DISAPPROVAL - Your application dt \_\_\_\_\_

Dear Mr. /Mrs. \_\_\_\_\_

With reference to your above application seeking approval for undertaking certain transactions in Securities (including derivatives) of the Company detailed therein please be informed that you are / your Immediate Relative \_\_\_\_\_ is hereby authorised/not authorised to undertake the transaction(s) as detailed in your said application.

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 {7} trading days from date hereof). If you / your Immediate Relative \_\_\_\_\_ do(es) not execute the approved transaction /trade on or before this date you would have to seek fresh pre-trading approval before executing any transaction/deal in the Securities (including derivatives) of the Company.

Further, you are required to file the details of the executed transactions in the attached format within two {2} Trading Days from the date of transaction/deal. In case the transaction is not undertaken a 'Nil' report shall be necessary.

Yours truly,

**Compliance Officer**

*Encl: Format for submission of details of transaction (Annexure 5)*

## ANNEXURE 5

### FORMAT FOR DISCLOSURE OF PRE-APPROVED TRANSACTIONS

[To be submitted within 2 Trading Days of transaction/Trading in Securities (including derivatives) of the Company]

Date: \_\_\_\_\_

To,  
The Compliance Officer  
\_\_\_\_\_ Limited

Dear Sir,

### DETAILS OF PRE-APPROVED TRANSACTION

Ref: Your Approval letter No. \_\_\_\_\_ dated \_\_\_\_\_

I hereby inform you that I / my \_\_\_\_\_

- have not bought/sold/subscribed any Securities (including derivatives) of the Company
- have bought/sold/subscribed to the \_\_\_\_\_ Securities (including derivatives) (GIVE DESCRIPTION) as mentioned below on \_\_\_\_\_ (INSERT DATE)

Name of the holder	** First or joint holder	No. of Securities (including derivatives) 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 5 (Five) 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 Insider Trading Code and/or applicable laws/regulations have been contravened for effecting the above said transaction(s).

I agree not to buy/sell ● the Securities (including derivatives) for a period of [six months] from the date of the aforesaid transaction (applicable in case of purchase / sale transaction by Designated Persons only).

In case there is any urgent need to sell these Securities (including derivatives) 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: \_\_\_\_\_

#Dept/ Div. \_\_\_\_\_

Strike out whichever is not applicable.

**# to be filled in only by Employees**

**ANNEXURE 6**

**FORMAT FOR DISCLOSURE OF PARTICULARS BY PROMOTER / KEY MANAGERIAL PERSONNEL / DIRECTOR/ DESIGNATED PERSON**

**PART A- Details required for making entry into the Register of Designated Persons**

Date: \_\_\_\_\_

To,  
The Compliance Officer,  
\_\_\_\_\_ Limited

INTERNAL USE: RECD DATE AND TIME SIGN:
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Dear Sir,

My personal details are as under:

<b>NAME OF PROMOTER/ KEY MANAGERIAL PERSONNEL (KMP) /DIRECTOR /DESIGNATED PERSON</b> _____
<b>#EMPL NO.</b> _____ <b>#GRADE</b> _____
<b>#DEPARTMENT</b> _____
<b>*FOLIO NO. / DP ID &amp; CLIENT ID</b> _____
<b>#LOCATION</b> _____
<b>DATE OF APPOINTMENT</b> _____

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Conduct for Prevention of Insider Trading, I hereby declare that I have the

Sr. No.	Name of the Immediate Relative	Relationship with Director/KMP/ Designated Person	Folio No./ DP ID & Client ID

following Immediate Relative(s):

***# To be filled in only by Employees***

I hereby undertake to inform the changes in the above details from time-to-time. I hereby declare that the above details are true, correct and complete in all respects.

Signature:

Name:



**PART B - Initial Disclosure under Regulation 7 (1) (a) read with Regulation 6 (2)**

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

NAME PAN No., CIN/DIN & address with contact nos	Category of Person (Promoters/ KMP / Directors / immediate relatives / others, etc.)	Securities held as on the date of regulation coming into force		% of Shareho lding	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 e.g. – Shares, Warrants, Convertible Debentures, etc.)	No.		Number of units (contrac ts * lot size)	Notional value in Rupee terms	Number of units (contracts * lot size)	Notional value in Rupee terms

**Note:** “Securities” shall have the meaning as defined under regulation 2(I)(i) of SEBI (Prohibition of Insider Trading)

Signature:

Designation:

Date:

Place:

**PART C – Initial Disclosure under Regulation 7 (1) (b) read with Regulation 6(2)**

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

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

NAME PAN No., CIN/DIN & address with contact nos	Category of Person (Promoters/ KMP / Directors / immediate relatives / others, etc.)	Securities held as on the date of regulation coming into force		% of Shareh olding	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 e.g. – Shares, Warrants, Convertibl e Debenture s, etc.)	No .		Numbe r of units (contra cts * lot size)	Notional value in Rupee terms	Number of units (contract s * lot size)	Notional value in Rupee terms

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

Signature:

Designation:

Date:

Place:

**Parts A & B have to be submitted by June 13, 2015 or forthwith on being identified as Designated Person on adoption of the Code.**

**Parts A & C have to be submitted within 7 days on appointment as Director / KMP or on becoming Promoter or being identified as Designated Person going forward.**

**ANNEXURE 7**

**FORMAT OF ANNUAL STATEMENT OF HOLDINGS BY PROMOTER / KEY MANAGERIAL PERSONNEL / DIRECTOR/ DESIGNATED PERSON AND THEIR IMMEDIATE RELATIVES**

Date:

To,  
The Compliance Officer  
\_\_\_\_\_ Limited  
\_\_\_\_\_

Dear Sir,

**STATEMENT OF SHAREHOLDINGS IN THE COMPANY (\_\_\_\_\_ LTD.)**

As on \_\_\_\_\_, I along with my Immediate Relatives hold the Securities (including derivatives) of the Company, details whereof are as under:

**Description of Security:**

Name of Holder	Physical Holdings		Electronic Holdings		
	<i>Folio No.</i>	<i>Total holdings</i>	<i>DP ID</i>	<i>Client ID</i>	<i>Total holdings</i>

Yours  
truly,  
Signature:  
\_\_\_\_\_

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

#Emp. No: \_\_\_\_\_

#Dep. /Div. \_\_\_\_\_

**#to be filled in only by Employees**

## **ANNEXURE 8**

### **FORMAT FOR DISCLOSURE OF TRANSACTIONS CROSSING CERTAIN THRESHOLDS BY PROMOTER/ DIRECTORS/ EMPLOYEES PURSUANT TO REGULATION 7 (2) READ WITH REGULATION 6(2)**

**(To be submitted within 2 Trading Days of transaction/Dealing in Securities (including derivatives) of the Company)**

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,	Category	Securities held		Securities		% of Share		Date of allotment		Date	Mode of	Trading in derivatives				Exch
PAN No.,	of Person	prior to		acquired/		holding		advice/acquisition		of	acqui	(Specify type of contract,				ange
CIN/DIN &	(Promoters /	acquisition /		disposed				of shares / sale		intim	sition	Futures or Options, etc.)				on
address of	KMP/	disposal						of shares specify		ation	(market					the
Promoter /	Directors /									to	purchase					trade
Employee /	immediate									com	/public					was
Director with	relatives									pany	rights					execu
contact nos.	/others, etc.)										preferen					ted
											tial offer					
											/off					
											market/					
											Inter-se					
											transfer,					
											etc.					
												Buy	Sell			
		Type of	No	Type of	No	Pre	Post	From	To			Value	Num	Value	Num	
		security		security		transac	trans						ber		ber	of
		(For e.g. –		(For e.g. –		tion	action						of		of	
		Shares,		Shares,									units		units	
		Warrants,		Warrants,									(cont		(contra	
		Conver		Conver									racts		cts *	
		tible		tible									* lot		lot	
		Deben		Deben									size)		size)	
		tures, etc.)		tures, etc.)												

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

Signature:

Designation:

Date:

Place: