

CIRCULAR

CIR/ISD/02/2015

September 16, 2015

To.

All Recognized Stock Exchanges

Dear Sir/Madam,

Sub: Revised Disclosure Formats under SEBI (Prohibition of Insider <u>Trading) Regulations, 2015</u>

- This has reference to Paragraph 1(i) of the <u>SEBI Circular numbered CIR/ISD/01/2015 dated May 11, 2015</u> whereby the formats for disclosure under Regulation 7 of the SEBI (Prohibition of Insider Trading) Regulations, 2015 ("the Regulations") were provided for.
- Based on various representations received and in view of <u>SEBI Guidance Note dated August 24th, 2015</u>, revised formats (Form A to Form D) are issued as annexed with this circular. The other conditions of the Circular dated May 11, 2015 shall remain unchanged.
- 3. All stock exchanges are advised to:
 - a. Put in place adequate systems and issue the necessary guidelines for implementing the above decision.
 - b. Make necessary amendments to the relevant bye-laws, rules and regulations as applicable for the immediate implementation of the above decision.
 - c. Bring the provisions of this circular to the notice of the listed companies/issuers and disseminate the same on their respective websites.
- 4. This circular is being issued in exercise of the powers conferred under Section 11 (1) of the SEBI Act 1992 and under regulations 4(3) and 11 of the Regulations and to protect the interests of investors in securities and to promote the development of and to regulate the securities market.

Yours faithfully,

Sunil Kadam Chief General Manager Integrated Surveillance Department 022-26449630 sunilk@sebi.gov.in

FORM A

SEBI (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7 (1) (a) read with Regulation 6 (2) – Initial disclosure to the company]

	rities held by Prof mentioned in Reg	_	anageriai i cisoi	mer (IXIVII), Di	rector and our		
Name, PAN, CIN/DIN & address with contact nos.	Category of Person (Promoters/ KN	MP coming in	Securities held as on the date of regulation coming into force				
	Directors/imme ate relative to/others etc)	Type of se	ecurity (For eg. – arrants, Convertibes etc.)	No.			
1	2		3	4	5		
Managerial Per 6(2)	en Interest (OI) sonnel (KMP), D	irector and o	ther such person	s as mentioned	l in Regulation		
Managerial Per 6(2) Open Interest of		tts held as on		s as mentioned	I in Regulation		
Managerial Per 6(2) Open Interest of the date of regularized Contract	the Future contractation coming into	ets held as on force	Open Interest of the date of regula	s as mentioned	racts held as on o force Notional value		
Managerial Per 6(2) Open Interest of the date of regular Contract Specifications	the Future contract ation coming into Number of units (contracts in	ets held as on force Notional value in Rupee terms	Open Interest of the date of regular Contract Specifications	he Option Contraction coming into Number of units (contracts * lot size)	racts held as on o force Notional value in Rupee terms		

FORM B

SEBI (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7 (1) (b) read with Regulation 6(2) – Disclosure on becoming a director/KMP/Promoter]

Name of the company:

ISIN of the com	pany:					
	g a Promoter of		ey Managerial Pe any and other s			
Name, PAN, CIN/DIN & Address with contact nos.	Category of Person (Promoters/ KMP / Directors/imm ediate relative to/others etc.)	Date of appointment of Director /KMP OR Date of becoming Promoter	Securities held at becoming Promoter/appoint Director/KMP Type of security (For eg. – Shares, Warrants, Convertible	ment of S	% of Shareholding	
			Debentures etc.)			
1	2	3	4	5	6	
Managerial Per		r Director or u	of the company pon becoming a lation 6(2).			
•	the Future contr ng Promoter/appoi		Open Interest of t time of becoming Director/KMP			
Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	
7	8	9	10	11	12	
Note: In case of options Name & Signatu Designation:	_	l value shall be o	calculated based o	n premium plus	strike price of	
Date:						
Place:		an a a	ateateate			
		***	***			

FORM C

SEBI (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7 (2) read with Regulation 6(2) – Continual disclosure]

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,	Categor	Securities	held	Securitie	es acqu	ired/D	-		±			Mode of	
PAN,	y of	prior to						acquisition/disposal advice/		intimation	acquisition /		
CIN/DIN,	Person	acquisitio	n/dispo							acquisiti	on of	to	disposal (on
& address	(Promot	sal								shares/		company	market/public/
with	ers/									sale of sl	nares		rights/
contact	KMP /									specify			preferential
nos.	Director	Type of	No.	Type of	No.	Valu	Transact	Type of	No. and %	From	То		offer / off
	s/immed	security	and %	security		e	ion	security	of				market/ Inter-se
	iate	(For eg.	of	(For eg.			Type	(For eg.	shareholdi				transfer, ESOPs
	relative	– Shares,	shareh	_			(Buy/	– Shares,	ng				etc.)
	to/other	Warrants	olding	Shares,			Sale/	Warrants					
	s etc.)	,		Warran			Pledge /	,					
		Converti		ts,			Revoke/	Converti					
		ble		Convert			Invoke)	ble					
		Debentur		ible				Debentur					
		es etc.)		Debent				es etc.)					
				ures									
				etc.)									
1	2	3	4	5	6	7	8	9	10	11	12	13	14

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

Details of trading in derivatives of the company by Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).

	Exchange on which the trade was executed					
Type of contract	Contract specifications	В	Buy			
			Number of units (contracts * lot size)	Notional Value Number of units (contracts * lot size)		
15	16	17	18	19	20	21

Note: In case of Options, notional value shall be calculated based on Premium plus strike price of options.

Name & Signature:	
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Designation:

Date:

Place:

FORM D (Indicative format)

SEBI (Prohibition of Insider Trading) Regulations, 2015 Regulation 7(3) – Transactions by Other connected persons as identified by the company

Details of trading in securities by other connected persons as identified by the company

Name,	Connect	Securities	held	Securitie	es acqu	iired/D	isposed	Securities he	eld post	Date of a	allotment	Date of	Mode of
PAN,	ion with	prior to							acquisition/disposal		advice/		acquisition/dispos
CIN/DIN,	compan	acquisitio	n/dispo							acquisition of		to	al (on
& address	у	sal								shares/		company	market/public/
with										sale of sl	nares		rights/
contact										specify			Preferential offer /
nos. of		Type of	No.	Type of	No.	Valu	Transa	Type of	No. and % of	From	То		off market/Inter-
other		security	and %	security		e	ction	security	shareholding				se transfer, ESOPs
connected		(For eg.	of	(For eg.			Type	(For eg. –					etc.)
persons		– Shares,	shareh	_			(Buy/	Shares,					
as		Warrants	olding	Shares,			Sale/	Warrants,					
identified		,		Warran			Pledge	Convertible					
by the		Converti		ts,			/	Debentures					
company		ble		Convert			Revoke	etc.)					
		Debentur		ible			/Invoke						
		es etc.)		Debent)						
				ures									
				etc.)									
1	2	3	4	5	6	7	8	9	10	11	12	13	14

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

Details of trading in derivatives by other connected persons as identified by the company

	Exchange on which the trade was executed					
JI	Contract specifications		Number of units (contracts * lot size)	Notional Value	Sell Number of units (contracts * lot size)	
15	16	17	18	19	20	21

Note: In case of Options, notional value shall be calculated based on premium plus strike price of options.

Signature:	
Place:	
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