

AMBIUM FINSERVE LIMITED
(Formerly known as Ambium Finserve Private Limited)

CIN: U65999CH2017PLC041442

Website: <https://www.wint.capital/>

Ambium Finserve Limited

(Formerly known as Ambium Finserve Private Limited)

Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information

Version 2

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Document Versioning

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1	Original	Board of Directors	July 30, 2024
2	Version 2	Board of Directors	May 29, 2025

1. Introduction:

In compliance with the requirements of Regulation 8 of the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, as amended ("**Regulations**"), Ambium Finserve Limited (formerly known as Ambium Finserve Private Limited) (the "**Company**") has formulated a Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information ("**Fair Disclosure Code**"/ "**Code of Fair Disclosure**"/ the "**Code**") in adherence with the principles set out in Schedule A to the Regulations.

2. Scope:

The Company endeavors to preserve the confidentiality of unpublished price sensitive information ("**UPSI**") and to prevent its misuse. To achieve these objectives, and in compliance with the aforesaid Regulations, the Company has adopted this Code.

3. Terms and Definition:

For the purpose of the Code, the following terms shall have the meanings assigned to them hereunder:

"**Act**" means the Securities and Exchange Board of India Act, 1992.

"**Board**" means Securities and Exchange Board of India.

"**Company**" means "Ambium Finserve Limited".

"**Code**" shall mean this Code of Practices and Procedures for Fair Disclosure of UPSI.

"**Compliance Officer**" means Company Secretary of the Company, designated so and reporting to the board of directors, who is financially literate and is capable of appreciating requirements for legal and regulatory compliance under these Regulations 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compliance of policies, procedures, maintenance of records, monitoring adherence to the rules for the preservation of unpublished price sensitive information, monitoring of trades and the implementation of the codes specified in these Regulations under the overall supervision of the board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.

Further Compliance Officer shall act as a Chief Investor Relations Officer ("**CIRO**") to deal with dissemination of information and disclosure UPSI.

"**Connected Person**" means:

1. any person who is or has been, during the six months prior to the concerned act, associated with the Company, in any capacity, directly or indirectly, 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, whether temporary or

permanent, with the Company, that allows such a person, directly or indirectly, access to unpublished price sensitive information or is reasonably expected to allow such access.

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) a relative of connected persons specified in (i) above; 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 recognized 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 a Company or his/her relative or banker of the Company, has more than ten per cent of the holding or interest; or
 - k) a firm or its partner or its employee in which a connected person specified in (i) above is also a partner; or
 - l) a person sharing household or residence with a connected person specified in sub-clause (i) above.

"Designated Person(s)" A "Designated Person" would include the following, for the purpose of this Code:

- i. Promoter and Promoter Group of the Company;
- ii. Directors of the Company;
- iii. Chief Executive officer/Chief Financial officer/Company Secretary/ & other KMPs.;
- iv. Auditors of the Company
- v. Members of executive committee of the Company not being directors;
- vi. Institutional Investors and concerned employees of Institutional Investors who is in possession of UPSI
- vii. Employees of the Company's material subsidiaries, intermediary and fiduciary, if any, designated on the basis of their functional role or access to UPSI in the organization by their board of directors , working in accounts finance, information technology, secretarial, legal and compliance departments, Corporate Strategy, and Managing Director's/KMPs office and any other departments of the Company and its material

subsidiaries, if any on the basis of their functional role or access to unpublished price sensitive information.;

- viii. Employees up to two levels below Chief Executive Officer of the Company and material subsidiaries, intermediary and fiduciary.

And such other persons as may be determined by the Compliance Officer.

"Director" means Director appointed on the Board of the Company.

"Generally Available Information" means information that is accessible to the public on a non-discriminatory basis and shall not include unverified event or information reported in print or electronic media.

"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;

"Insider(s)" means any person who is:

- i. designated person(s) & their immediate relative(s)
- ii. a connected person; or
- iii. In possession of or having access to unpublished price sensitive information;

"KMP" means Key Managerial Personnel as defined in Companies Act, 2013.

"Legitimate purpose" means sharing of unpublished price sensitive information in the ordinary course of business by an insider with partner(s), collaborator(s), lender(s), customer(s), supplier(s), merchant banker(s), legal adviser(s), auditors, insolvency professional(s) or other adviser(s) or consultant(s), provided that such sharing has not been carried out to evade or circumvent the prohibitions of these Regulations.

"Need to Know" basis 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 any conflict of interest or appearance of misuse of information.

"Promoter and 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:

"Relative" shall mean the following:

- (i) spouse of the person;
- (ii) parent of the person and parent of its spouse;
- (iii) sibling of the person and sibling of its spouse;
- (iv) child of the person and child of its spouse;
- (v) spouse of the person listed at sub-clause (iii); and
- (vi) spouse of the person listed at sub-clause (iv)

Note- It is intended that the relatives of a "connected person" too become connected persons for the purpose of these Regulations. It is a rebuttable presumption that a connected person had UPSI.

"**Securities**" shall have the meaning assigned to it under the Securities Contracts (Regulation) Act, 1956 (42 of 1956) or any modification thereof;

"**Stock Exchanges**" shall mean any recognized stock exchange on which Company's securities are listed.

"**Takeover Regulations**" means the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011 and any amendments thereto;

"**Trading**" means and includes subscribing, pledging, redeeming, switching, buying, selling, dealing, or agreeing to subscribe, redeem, switch, buy, sell, deal in any securities, and "Trade" shall be construed accordingly.

"**Trading Day**" means a day on which the recognized Stock Exchanges are open for trading;

"**Unpublished Price Sensitive Information**" / "**UPSI**" means any information, relating to the 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 of the Company and shall, ordinarily including but not restricted to, information relating to the following:

- i. Financial results;
Provided that any data / information, whether shared in one go or multiple tranches, pertaining to financial results which does not give a complete picture of the financial results w.r.t. PBT/PAT, EBITA, net worth, significant ratios, contingent disclosures, if any, shall not be considered as Unpublished Price Sensitive Information
- ii. dividends;
- iii. change in capital structure;
- iv. mergers, de-mergers, acquisitions, delisting, disposals and expansion of business, award or termination of order/contracts not in the normal course of business and such other transactions;
- v. Changes in key managerial personnel, other than due to superannuation or end of term, and resignation of a Statutory Auditor or Secretarial Auditor;
- vi. change in rating(s), other than ESG rating(s);
- vii. fund raising proposed to be undertaken;
- viii. agreements, by whatever name called, which may impact the management or control of the company;

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- ix. fraud or defaults by the company, its promoter, director, key managerial personnel, or subsidiary or arrest of key personnel, promoter or director of the company, whether occurred within India or abroad;
 - x. resolution plan/ restructuring or one-time settlement in relation to loans/borrowings from banks/financial institutions;
 - xi. admission of winding-up petition filed by any party /creditors and admission of application by the Tribunal filed by the corporate applicant or financial creditors for initiation of corporate insolvency resolution process against the company as a corporate debtor, approval of resolution plan or rejection thereof under the Insolvency and Bankruptcy Code, 2016;
 - xii. initiation of forensic audit, by whatever name called, by the company or any other entity for detecting misstatement in financials, misappropriation/ siphoning or diversion of funds and receipt of final forensic audit report;
 - xiii. action(s) initiated or orders passed within India or abroad, by any regulatory, statutory, enforcement or judicial body against the company or its directors, key managerial personnel, promoter or subsidiary, in relation to the company;
 - xiv. outcome of litigation(s) or dispute(s) which may have an impact on the company;
 - xv. giving of guarantees or indemnity or becoming a surety, by whatever named called, for any third party, by the company not in the normal course of business;
 - xvi. granting, withdrawal, surrender, cancellation or suspension of key licenses or regulatory approvals.

Explanation:

Explanation 1- For the purpose of sub-clause (ix):

a. 'Fraud' shall have the same meaning as referred to in Regulation 2(1)(c) of Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair Trade Practices relating to Securities Market) Regulations, 2003.

b. 'Default' shall have the same meaning as referred to in Clause 6 of paragraph A of Part A of Schedule III of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Explanation 2 - For identification of events enumerated in this clause as unpublished price sensitive information, the guidelines for materiality referred at paragraph A of Part A of Schedule III of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 as may be specified by the Board from time to time and materiality as referred at paragraph B of Part A of Schedule III of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 shall be applicable.

All the other terms used in this Code shall have the same meaning as assigned to them under the Regulations.

4. Compliance Officer

The Company has appointed the Company Secretary, as the Compliance Officer for the purposes of Regulations, who shall work subject to guidance of the Managing Director and/ or the Chairperson and the Board of Directors.

5. Determination of Designated Persons

The Board of Directors shall in consultation with the Compliance Officer of the Company determine the list of designated persons on the basis of their role and function in the organization and the access that such role and function would provide to unpublished price sensitive information in addition to seniority and professional designation, who shall be covered by this code.

6. Applicability of this Code

This Code is applicable to the designated persons as may be specified by the Board of Directors and their immediate relatives.

7. Communication or Procurement of Unpublished Price Sensitive Information:

- i. No Insider shall communicate, provide, or allow access to any unpublished price sensitive information, relating to the Company or securities listed or proposed to be listed, to any person including other Insiders except where such communication is in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.
- ii. No person shall procure from or cause the communication by any Insider of unpublished price sensitive information, relating to the Company or securities listed or proposed to be listed, except in furtherance of legitimate purposes, performance of duties or discharge of legal obligations. Further, the Policy for Determination of Legitimate Purpose forms an integral part of this code as **Annexure - A**.
- iii. Notwithstanding anything contained in this Regulation an Unpublished Price Sensitive Information may be communicated, provided, allowed access to or procured, in connection with a transaction that would:
 - a. entail an obligation to make an open offer under the Takeover Regulations 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;
 - b. not attract 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.

- iv. For purposes of clause (iii) above, 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 purpose of above clause (iii), and shall not otherwise trade in securities of the Company when in possession of Unpublished Price Sensitive Information.
- v. The board of directors of the Company shall ensure that a structured digital database is maintained containing the nature of UPSI and the names of such persons who have shared the information and also the names of such persons with whom information is shared under these Regulations along with the Permanent Account Number or any other identifier authorized by law where Permanent Account Number is not available. Such databases shall not be outsourced and shall be maintained internally with adequate internal controls and checks such as time stamping and audit trails to ensure non-tampering of the database. Provided that entry of information, not emanating from within the Company, in structured digital database may be done not later than 2 calendar days from the receipt of such information.
- vi. The board of directors shall ensure that the structured digital database is preserved for a period of not less than eight years after completion of the relevant transactions and in the event of receipt of any information from the Board regarding any investigation or enforcement proceedings, the relevant information in the structured digital database shall be preserved till the completion of such proceedings.

8. Trading when in possession of UPSI

- I. No Insider shall trade in securities of the Company when in possession of UPSI:

***Explanation:** When a person who has traded in securities has been in possession of Unpublished Price Sensitive Information, his trades would be presumed to have been motivated by the knowledge and awareness of such information in his possession.*

Provided that the Insider may prove his innocence by demonstrating the circumstances including the following: -

- i. the transaction is an off-market inter-se transfer between insiders who were in possession of the same UPSI without being in breach of regulation 3 of Regulations and both parties had made a conscious and informed trade decision.

Provided that such off-market trades shall be reported by the insiders to the Company within two working days. Every Company shall notify the particulars of such trades to the stock exchange on which the securities are listed within two trading days from receipt of the disclosure or from becoming aware of such information.

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- ii. the transaction was carried out through the block deal window mechanism between persons who were in possession of the UPSI without being in breach of this code and both parties had made a conscious and informed trade decision;

Provided that such UPSI was not obtained by either person under Regulations.

- iii. the transaction in question was carried out pursuant to a statutory or regulatory obligation to carry out a bona fide transaction.
- iv. the transaction in question was undertaken pursuant to the exercise of stock options in respect of which the exercise price was pre-determined in compliance with applicable regulations.
- v. in the case of non-individual Insiders: -
 - a) the individuals who were in possession of such UPSI were different from the individuals taking trading decisions and such decision-making individuals were not in possession of such UPSI when they took the decision to trade; and
 - b) appropriate and adequate arrangements were in place to ensure that the Regulations are not violated and no UPSI was communicated by the individuals possessing the information to the individuals taking trading decisions and there is no evidence of such arrangements having been breached;
- vi. the trades were pursuant to a trading plan set up in accordance with trading plan submitted to the Company.

9. Trading Plans:

- I. An Insider shall be entitled to formulate a trading plan and present it to the Compliance Officer for approval and public disclosure (formats of the same shall be provided by the Company on request) pursuant to which trades may be carried out on his/her behalf in accordance with such plan.
- II. Trading Plan shall;
 - (a) not entail commencement of trading on behalf of the Insider earlier than one hundred and twenty calendar days from the public disclosure of the plan;
 - (b) not entail overlap of any period for which another trading plan is already in existence;
 - (c) set out following parameters for each trade to be executed:
 - i. either the value of trade to be affected or the number of securities to be traded;
 - ii. nature of the trade;
 - iii. either specific date or time-period not exceeding five consecutive trading days;
 - iv. price limit, that is an upper price limit for a buy trade and a lower price limit for a sell trade, subject to the range as specified below:

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- a. for a buy trade: the upper price limit shall be between the closing price on the day before submission of the trading plan and up to twenty per cent higher than such closing price;
 - b. for a sell trade: the lower price limit shall be between the closing price on the day before submission of the trading plan and up to twenty per cent lower than such closing price.

Explanation:

- c. Parameters (i), (ii), and (iii) are mandatory for each trade.
- d. The price limit parameter (iv) is optional but can be included.
- e. The price limit in sub-clause (iv) shall be rounded off to the nearest numeral.
- f. Adjustments may be made to the number of securities of price limits if corporate actions like a bonus issue or stock split occur after the approval of the trading plan. Such adjustments must be approved by the Compliance Officer and must be notified to the stock exchanges, where the securities of the Company are listed.

(d) not entail trading in securities for market abuse.

- III. The Compliance Officer shall review the trading plan to assess whether the plan would have any potential for violation of the Regulations and shall be entitled to seek such express undertakings as may be necessary to enable such assessment and to approve and monitor the implementation of the plan.

Provided that pre-clearance of trades shall not be required for a trade executed as per an approved trading plan.

Provided further that trading window norms shall not be applicable for trades carried out in accordance with an approved trading plan.

Provided that restrictions on contra trade shall not be applicable for trades carried out in accordance with an approved trading plan.

- IV. The trading Plan once approved shall be irrevocable and the Insider shall mandatorily have to implement the plan, without being entitled to either execute any trade in the Securities outside the scope of the trading plan or deviate from it except due to permanent incapacity or bankruptcy or operation of law.

Provided that the implementation of the trading plan shall not be commenced if any unpublished price sensitive information in possession of the insider at the time of formulation of the plan has not become generally available at the time of the commencement of implementation.

Provided further that if the Insider has set a price limit for a trade under clause 9(II) (c) (iv), the insider shall execute the trade only if the execution price of the security is within the limit as prescribed. If price of the security is outside the price limit set by the insider,

the trade shall not be executed.

Explanation: In case of non-implementation (full/partial) of trading plan due to either reasons enumerated hereinabove or failure of execution of trade due to inadequate liquidity in the scrip, the following procedure shall be adopted:

- i. The Insider shall intimate non-implementation (full/partial) of trading plan to the Compliance Officer within two trading days of end of tenure of the trading plan with reasons thereof and supporting documents, if any.
- ii. Upon receipt of information from the Insider, the Compliance Officer, shall place such information, before the Audit Committee in the immediate next meeting. The Audit Committee shall decide whether such non-implementation (full/partial) was bona fide or not.
- iii. The decision of the Audit Committee shall be notified by the Compliance Officer on the same day to the stock exchanges on which the Securities are listed.
- iv. In case the Audit Committee does not accept the submissions made by the Insider, then the Compliance Officer shall take action as per this Code.
- v. The Compliance Officer shall approve or reject the trading plan within two trading days of receipt of the trading plan and notify the approved plan to the stock exchange(s) on which the securities are listed, on the day of approval.

10. Disclosure requirements

I. Initial Disclosures:

- a. Every person on appointment as Key Managerial Personnel or a director of the Company or upon becoming a promoter or member of the promoter group shall disclose his/her 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.

II. Continual Disclosures:

- a. 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 ten lakh rupees;
- b. It is hereby clarified that the disclosure in a calendar quarter after reaching the limit of Rs. 10 lakhs shall be made for every incremental transaction of any value (less or more than Rs. 10 lakhs) which is being undertaken in that quarter.
- c. The Company shall notify the particulars of such trading to the stock exchange on which the securities are listed within two trading days of receipt of the disclosure or from becoming aware of such information.

III. Disclosures by other Connected Persons:

The Compliance Officer may, require any other Connected Person to disclose the holdings and trading in securities of the Company in the prescribed formats as per the Regulations.

Note: - insider and connected persons shall make above disclosure as per the formats attached herewith in the end of this Policy.

The disclosures made under this clause shall be maintained by the Company, for a minimum period of five years, in such form as may be specified.

11. Code of Conduct

Minimum standards for code of conduct to regulate, monitor and report trading by Designated Persons and immediate relatives of Designated Persons forms an integral part of this code as **Annexure-B**.

12. Policy and Procedure for Inquiry in case of leak of UPSI or suspected leak of UPSI forms an integral part of this code as **Annexure-C.**

13. Medium of disclosure and dissemination:

- i. The Compliance Officer shall disseminate all credible and concrete UPSI on a continuous and in a timely manner to stock exchanges in accordance with the requirements of the Regulation, where its securities are listed.
- ii. As a good corporate practice, the UPSI disclosed to the stock exchanges may also be supplemented by prompt updates on the Company's website. The Company may also consider other modes of public disclosure of UPSI so as to improve investor access to the same.
- iii. The Company shall undertake uniform and universal dissemination of UPSI in accordance with the Regulations to avoid selective disclosure.
- iv. Information shared with analysts and research personnel is not UPSI.
- v. The Company will also promptly intimate any amendment to the Code to the stock exchanges, as required under the Regulations.
- vi. Responding to market rumors:
 - a. The Compliance Officer shall be responsible for deciding whether a public announcement is necessary for verifying or denying rumors and then making the suitable statement/s in this regard.
 - b. All the requests/queries received shall be documented and as far as practicable, the Compliance Officer, shall request for such queries/requests in writing.
- vii. The disclosure/dissemination of information shall be made with the prior approval by the

Managing Director of the Company or in his/her absence, by the Chief Financial Officer of the Company.

- viii. The Compliance Officer shall ensure that transcripts or records of proceedings of analyst's meetings/investor relation conferences, if any, shall be procured and published on the official website of the Company to ensure official confirmation and documentation of disclosures made.
- ix. The Company shall handle all UPSI on a Need to Know basis in accordance with this Plan and the Regulations.

The contact details of the Compliance Officer are as under: -

Name: Mr. Rishav Mahendru

Address: Ambium Finserve Limited, Cabin No. 101, 1st Floor, SCO No. 148-149, Sector 34A, Chandigarh-160022

Email ID: compliance@ambium.in

14. RESPONSIBILITY OF AUDIT COMMITTEE:

The Audit Committee of the Company shall review compliance with the provisions of these Regulations at least once in a financial year and shall verify that the systems for internal control are adequate and are operating effectively.

15. AUTHORITY TO MAKE ALTERATIONS/AMENDMENTS:

The Board of Directors are authorized to make such alterations or revisions to this Code as considered appropriate, subject, however, to the condition that such alterations or revisions shall not be inconsistent with the provisions of the Regulations. Further, every amendment to this Code shall be promptly intimated to stock exchange(s) where the securities are listed.

Annexure-A

POLICY FOR DETERMINATION OF "LEGITIMATE PURPOSES"

1. PREAMBLE AND OBJECTIVE

The Policy for Determination of Legitimate Purpose (the "Policy") prepared in compliance with the provisions of regulation 3(2A) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 and as amended from time to time (the "Regulations") in order to establish a mechanism for sharing of Unpublished Price Sensitive Information ("UPSI") in the ordinary course of business by an Insider of the Company.

2. DEFINITIONS

The capitalized terms are not defined herein shall have the meaning assigned to them under the Code and regulation.

3. SCOPE

The Policy shall form part of code of practices and procedures for fair disclosure of unpublished price sensitive information formulated under regulation 8 of the Regulations and shall be applicable to all Insiders.

4. LEGITIMATE PURPOSE

The legitimate purpose for sharing the UPSI by insider in the ordinary course of business shall include but not be limited to the following: -

- a. Sharing the information upon an action or order of a court of competent jurisdiction;
- b. Sharing the information for any requirement of legal process, regulation or governmental order, decree or as per applicable laws, rules and regulations;
- c. Sharing of information with auditors viz. internal auditors, statutory auditors, cost auditors, tax auditors or secretarial auditors in relation to audit or for obtaining any certifications or any other services etc.;
- d. Sharing the information with partners, customers, collaborators and agents for entering into contracts or other business prospects which necessitates the same;
- e. Sharing of information for the purposes of obtaining regulatory licenses and approvals etc.;
- f. Sharing of information in relation to obtaining various credit facilities or loans, giving guarantees or providing security from/to banks, financial institutions or other lenders;
- g. Sharing of information with Registrar and Transfer Agent, credit rating agencies, merchant bankers including their counsels and advisors etc. in relation to valuations, further issue of any Securities, debentures, convertible instruments etc.;
- h. Sharing information with legal advisors or counsels in relation to any litigations, representations or in relation to obtaining any opinion or advisory services etc.;

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- l. Sharing information with consultants, analysts and research personnel in relation to obtaining any opinion or advisory services etc.;
 - l. Sharing of information with insolvency professionals or other advisors or consultants in any other important matters of the Company; and
 - k. Sharing of such information as may be determined by the Managing Director from time to time.

5. PROCESS FOR SHARING OF UPSI

The Insider shall conduct the following steps while sharing UPSI:

- Ensure that information is UPSI and sharing of such information is only for legitimate purposes;
- The recipients of UPSI shall be clearly identified, and their names, permanent account numbers ("PAN") or other identifiers and information as required under the Regulations or as determined by the Compliance Officer, shall be obtained and provided to Compliance Officer.;
- Notify the recipient that the information that is being shared is UPSI and to maintain confidentiality of such UPSI;
- The details of sharing of the UPSI shall be duly communicated to the Compliance Officer along with the details of the recipient and such details shall be maintained in a Structured digital database as required under this code and the Regulations.

6. RECEIPT OF UPSI FOR LEGITIMATE PURPOSE

Any person in receipt of UPSI for legitimate purpose shall be considered as an Insider for the purpose of the Regulations. Accordingly, the person who shares UPSI shall give proper notice to the recipient of UPSI to maintain confidentiality of such UPSI in compliance with the Regulations.

7. POWERS OF BOARD OF DIRECTORS

The Board of Directors may modify and also establish further rules and procedures, from time to time, to give effect to the intent of this Policy and to further the objective of good corporate governance.

Annexure-B

MINIMUM STANDARDS FOR CODE OF CONDUCT TO REGULATE, MONITOR AND REPORT THE TRADING BY DESIGNATED PERSONS AND IMMEDIATE RELATIVES OF DESIGNATED PERSONS

1. BACKGROUND

Regulation 9(1) of the SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended from time to time (the "Regulations") mandates every listed Company to formulate a code of conduct to regulate, monitor and report trading by its designated persons and immediate relatives of designated persons (the "Code").

2. DEFINITIONS

The definition of the key terms used in the Code are given below. Further capitalized terms are not defined herein shall have the meaning assigned to them under the Code and the Regulations.

"Material Financial Relationship" means a relationship in which one person is a recipient of any kind of payment such as by way of a loan or gift from a designated person during the immediately preceding twelve months, equivalent to at least 25% of the annual income of such designated person but shall exclude relationships in which the payment is based on arm's length transactions.

3. CHINESE WALL PROCEDURES

Chinese wall procedures and physical arrangements (collectively 'Chinese Wall(s)') shall be used to manage confidential information and prevent the inadvertent spread and misuse of price sensitive information. In general, Chinese walls separate areas that have access to price sensitive information ("Insider Areas") from those who do not have such access ("Public Areas"). As such, Chinese walls are designed to operate as barriers to the passing of price sensitive information and other confidential information.

Where Chinese Wall arrangements are in place Employees working within an Insider Area are prohibited from communicating any price sensitive information to Employees in Public Areas without the prior approval of the Compliance Officer.

Employees within a Chinese wall shall be responsible to ensure the Chinese wall is not breached deliberately or inadvertently. Known or suspected breaches of the Chinese wall

must be referred to the Compliance Officer immediately.

The establishment of Chinese Walls is not intended to suggest that price sensitive information can circulate freely within Insider Areas. The 'need-to-know' principle shall be fully in effect within Insider Areas. In exceptional circumstances, Employees from the Public Areas may be allowed to 'cross the wall' and given price sensitive information by following the 'need-to-know' principle, under intimation to the Compliance Officer. The Compliance Officer would duly record reasons for crossing the wall in writing. Such persons shall be made aware of the duties and responsibilities attached to the receipt of UPSI, and the liability that attaches to misuse or unwarranted use of such information.

4. TRADING RESTRICTIONS

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

Trading Window

The period prior to declaration of Unpublished Price Sensitive Information is particularly sensitive for transactions in the Company's securities. This sensitivity is due to the fact that the Designated Persons will, during that period, often possess Unpublished Price Sensitive Information. During such sensitive times, the Designated Persons (including their immediate relatives) will have to forego the opportunity of trading in the Company's securities. The Designated Persons of the Company (including their immediate relatives) shall not deal in the securities of the Company when the trading window is closed. The period during which the trading window is closed shall be termed as prohibited period.

****Provided that, for UPSI not emanating from within the Company, trading window may not be required to closed.***

The Compliance Officer shall also close the trading window when he determines that a designated person or class of designated persons can reasonably be expected to have possession of unpublished price sensitive information. Such closure shall be imposed in relation to such securities to which such unpublished price sensitive information relates.

Trading window shall be mandatorily closed from the end of every quarter till 48 (Forty-Eight) hours after the declaration of financial results. The trading window shall be opened at least 48 (Forty-Eight) hours after the unpublished price sensitive information becomes generally available.

For other items, the Compliance Officer, shall determine the period for which the Trading Window shall remain closed and when it will be reopened. In case of information, which is eventually made generally available, the Trading Window with respect to such information

shall not be re-opened earlier than 48 hours after the information becomes generally available.

The trading window shall also be applicable to any person having contractual or fiduciary relation with the Company, such as auditors, accountancy firms, law firms, analysts, consultants etc., assisting or advising the Company.

All Designated Person(s) of the Company and their immediate relative(s) shall not deal in any transaction involving the purchase or sale of the Company's securities during the periods when Trading Window is closed as referred above or during any other period as may be specified by the Managing Director/Compliance Officer/ Chief Financial Officer from time to time.

The Compliance Officer shall intimate the closure of Trading Window to all the Designated Person(s) of the Company when he/ she determines that a designated person or class of Designated Person(s) can reasonably be expected to have possession of unpublished price sensitive information. Such closure shall be imposed in relation to such securities to which such unpublished price sensitive information relates.

Provided that the trading window restriction shall not apply in respect of:

- (a) transactions specified in clauses (i) to (iv) and (vi) of the proviso to sub-clause (I) of clause 8 of this Code of practices and procedures for fair disclosure of unpublished price sensitive information, as mentioned above, and in respect of a pledge of shares for a bonafide purpose such as raising of funds, subject to pre-clearance by the Compliance Officer and compliance with the respective regulations made by the Board;
- (b) Transactions which are undertaken in accordance with respective regulations made by the Board such as acquisition by conversion of warrants or debentures, subscribing to rights issue, further public issue, preferential allotment or tendering of shares in a buy-back, open offer, delisting offer or transactions which are undertaken through such other mechanism as may be specified by the Board from time to time.

5. PRE-CLEARANCE OF TRADES

All Designated Persons who intend to trade in the securities of the Company (either in their own name or in any immediate relative's name) i.e. buy or sell securities and if the value of the securities likely to be traded, whether in one transaction or a series of transactions over any calendar quarter, if the value of the proposed trades exceeds Rs. 10 Lakhs (market value) should obtain pre-clearance for the transactions by making an application in the format in terms of the Regulations to the Compliance Officer indicating the estimated number of units of securities that the designated person or immediate relative(s) intends to trade, the details as to the depository with which(s) he has a

security account, the details as to the securities in such depository mode and such other details as specified in the form and also declare that the applicant is not in possession of unpublished price sensitive information.

Pre-dealing Procedure:

An application for pre-clearance of trade shall be made in the format set out in the Regulations, as amended from time to time, to the Compliance Officer along with an undertaking in favour of the Company by such Designated Person incorporating, inter-alia, the following clauses, as may be applicable:

- a) That the Designated Person does not have any access or has not received "Unpublished Price Sensitive Information" up to the time of signing the undertaking in the format enclosed in the end of this code.
- b) That in case the Designated Person has access to or receives "Unpublished Price Sensitive Information" after signing of the undertaking but before the execution of the transaction he or she shall inform the Compliance Officer of the change in his position and that he or she would completely refrain from dealing in the securities of the Company till the time such information becomes public.
- c) That he or she has not contravened the provisions of this Code or Regulations, as amended, from time to time.
- d) That he or she has made a full and true disclosure in the matter.
- e) The Compliance Officer shall on receiving an application provide the Designated Person with an acknowledgement on the duplicate of the application.
- f) The Compliance Officer shall retain copies of all applications and acknowledgements.

The Designated Person shall execute their trade in respect of securities of the Company within 7 trading days after the pre-clearance is given. If the order is not executed within 7 trading days after the pre-clearance is given, the Designated Person must take fresh pre-clearance for trade.

The Designated Persons shall hold their investments in securities for a minimum period of six months irrespective of mode of acquisition in order to be considered as being held for investment purposes. The Designated Persons permitted to trade shall not be permitted to execute a contra trade within a period of six months from the date of said trade.

In case a contra trade 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 Board for credit to the Investor Protection and Education Fund administered by the Board under the Act.

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

The Compliance Officer may be empowered to grant relaxation from strict application of such restriction for reasons to be recorded in writing provided that such relaxation does not violate these regulations.

Formats of the applications for pre-clearance reporting of trade executed, reporting of decisions not to trade after securing pre-clearance are enclosed herewith in the end of this policy.

6. ANNUAL DISCLOSURES

The designated persons shall be required to disclose on an annual basis, within 30 days from the end of the Financial Year and on continual disclosure basis, as and when the information changes within 15 days of such change:

- a) Name of immediate relatives;
- b) persons with whom such designated person(s) shares a Material Financial Relationship;
- c) Permanent Account Number or any other identifier authorized by law of (a) &(b)
- d) Phone, mobile and cell numbers of (a) & (b) 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.

7. INTIMATION TO BOARD

In case it is observed by the Compliance Officer that there has been a violation of the Code or Regulations, the Compliance Officer shall promptly inform the same to the stock exchange(s) where the concerned securities are traded.

8. PENALTY FOR CONTRAVENTION OF THE CODE

Any designated persons and immediate relatives of designated persons, 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, include wage freeze, suspension, recovery, claw back, etc.

Any amount collected under this clause shall be remitted to the Board for credit to the Investor Protection and Education Fund administered by the Board under the Act.

Annexure-C

POLICY AND PROCEDURE FOR INQUIRY IN CASE OF LEAK OF UNPUBLISHED PRICE SENSITIVE INFORMATION ("UPSI") OR SUSPECTED LEAK OF UPSI

1. BACKGROUND

Regulation 9A (5) of the SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended from time to time ("the Regulations") mandates every listed Company to formulate a written policy and procedures for inquiry in case of leak of unpublished price sensitive information and initiate appropriate inquiries on becoming aware of leak of unpublished price sensitive information/suspected leak of unpublished price sensitive information and inform Board promptly of such leaks, inquiries and results of such inquiries.

2. SCOPE

This Policy deals with:

- a. Formulating procedures for inquiry such as initiating inquiry, reporting, etc. in case of leak or suspected leak of UPSI.
- b. Powers of the Compliance Officer in case of leak or suspected leak of UPSI.
- c. Penalizing any insider who appears to have found guilty of violating this policy.

3. DEFINITIONS

The definition of the key terms used in the Code are given below. Further capitalized terms are not defined herein shall have the meaning assigned to them under the Code and Regulations.

"Leak" dissemination of any Unpublished Price Sensitive Information by any Insider, employee, Designated Person, any Connected Person or any other person in possession of Unpublished Price Sensitive Information, to any person other than those persons authorized by the Board of Directors or the Compliance Officer to handle Unpublished Price Sensitive Information in accordance with the Regulations, and the term "Leaked" shall be construed accordingly.

"Suspect" means the person or persons against or in relation to whom an inquiry is initiated in case of leak or suspected leak of UPSI.

"Whistle Blower" means an employee of a Company making a disclosure under the Whistle Blower Policy.

4. PROCEDURE FOR ENQUIRY IN CASE OF LEAK OF UPSI

a) Source of information relating to leak of UPSI

The Compliance Officer may on becoming aware suo moto or on receipt of a written intimation of leak or suspected leak of UPSI from:

- communication received from regulatory authorities; or
- a written complaint and/or email received from a whistle-blower; or;
- Company's own/internal monitoring, etc.

follow the below mentioned procedure in order to inquire and/or investigate the matter.

b) Preliminary Inquiry:

Preliminary enquiry is a fact-finding exercise which shall be conducted by the Compliance Officer. The object of preliminary enquiry is to ascertain the truth or otherwise of the allegations contained in the information or complaint, if any, and to collect necessary available material in support of the allegations, and thereafter to decide whether there is justification to embark on any disciplinary action.

The relevant intermediaries and fiduciaries shall co-operate with the Company in connection with such inquiry conducted by the Company.

The said preliminary inquiry shall be completed within 7 working days from the date of receipt of such intimation and the report thereof shall be circulated to the Chairman of Audit Committee within 30 days from completion of inquiry.

c) Intimation of Leak or suspected Leak of UPSI:

If in the opinion of Compliance Officer and Chairperson of Audit Committee, the preliminary inquiry report warrants further investigation, the same shall be submitted to the Audit Committee and after that if necessary than, recommend to the Board of Directors for their consideration and action.

d) Detailed Inquiry:

If the prima facie is established, the Audit Committee shall proceed to conduct a detailed inquiry. The Audit Committee shall appoint and/ or authorize the Compliance Officer or any other person(s) as it may deem fit, to collect the relevant facts, materials and documents substantiating actual or suspected leak of UPSI. The Audit Committee shall complete the inquiry within 15 (fifteen) working days or period of time as reasonably deemed fit by the Audit Committee from the date of receipt of such intimation. The Audit Committee shall submit its decision thereof along with its recommendation of any disciplinary or other actions as may be necessary. The Compliance Officer shall promptly intimate Board and the Stock Exchange(s) about such Leak or suspected Leak of UPSI. Audit Committee may seek advice of any other

person(s) as it may deem fit for completion of any inquiry. If any member of the Audit Committee has a conflict of interest in any given case, then he/she should recuse himself/herself, and other members of the Audit Committee shall deal with the matter.

5. POWERS OF COMPLIANCE OFFICER

For purpose of conducting inquiry, the Compliance Officer may:

- a) CALL UPON
 - such employees/individuals to seek clarification or information pertaining to the Leak.
 - persons or members of committees involved in generation of the original data for purpose of determination of key figures pertaining to financial figures.
 - persons involved in the consolidation of the figures for the financial results.
 - persons involved in the preparation of board notes and presentations.
 - persons involved in dissemination of information relating to financial results in the public domain.
 - any other persons who had access to the information.
 - any market intermediaries, fiduciaries and other person/ entities who have access to UPSI for inquiry conducted for leak of such UPSI.
- b) at his discretion, invite external investigators/experts;
- c) take necessary actions including sending the suspect on leave, restrict physical access to the office premise, freeze access to systems, electronic devices, emails, etc., during the pendency of the investigations for fair conduct of the proceedings.
- d) keep the identity of the suspect confidential till the completion of inquiry unless it is essentially required for the purpose of investigation.
- e) notify the suspect of the allegations at the outset of internal investigation and provide him opportunity to represent his case and submit evidence.
- f) do all such acts, deeds, matters and things as are necessary for the purpose of conduct of internal investigation.

6. RIGHTS AND OBLIGATIONS OF THE SUSPECT

- a) The Suspect shall-
 - co-operate with the Compliance Officer during the investigation process;
 - right to be informed of the outcome of the investigation.
- b) The Suspect(s) has the responsibility not to interfere with the investigation. Evidence shall not be withheld, destroyed or tampered with and witnesses shall not be influenced, coached, threatened or intimidated by the Suspects.
- c) No allegation of wrongdoing against a Suspect shall be considered as maintainable unless there is evidence in support of the allegation as may be determined by the Audit Committee.
- d) The Suspect has the responsibility to keep the inquiry proceedings confidential.

AMBIUM FINSERVE LIMITED
(Formerly known as Ambium Finserve Private Limited)

CIN: U65999CH2017PLC041442

Website: <https://www.wint.capital/>

7. DISCIPLINARY ACTION:

The Disciplinary action(s) shall include wage freeze, suspension, recovery, claw back, termination of employment contract/agreement etc., as may be decided by the Audit Committee or the Board of Directors or any other person as may be authorized by the Board of Directors.

8. REPORT OF ACTUAL OR SUSPECTED LEAK OF UPSI TO BOARD:

On becoming aware of actual or suspected leak of Unpublished Price Sensitive Information of the Company, Compliance Officer shall ensure that a report on such actual or suspect leak of UPSI, preliminary enquiry thereon and results thereof shall be promptly made to the Board in the format as set out in "**Annexure 1**" to this Policy.

APPLICATION FOR APPROVAL OF TRADING PLAN BY INSIDER(S)

To,

The Compliance Officer

Ambium Finserve Limited

(formerly Ambium Finserve Private Limited)

Dear Sir/Madam,

I, Shri/Smt. _____, an insider of Ambium Finserve Limited intend to deal in securities of Ambium Finserve Limited for the financial year _____ as per details given below:

Details of Insider:

Name	
Employee Code, if any	
Designation	
Department	
PAN	
Email ID	

Details of proposed Trading Plan in securities of Ambium Finserve Limited:

Name	Relationship	Opening Balance as on 01.04.____	DP Id / Client Id or Folio No.	Date / Period of Trade	Transaction (Buy / Sell)	Quantity / Value of Securities	Price Limit (Optional)	Closing Balance as on 31.03.____	Remarks

Note:

(i) Specific date or time period not exceeding five consecutive trading days.

(ii) Price limit is optional:

for a buy trade — upper price limit between closing price on the day before submission and up to 20% higher;

for a sell trade — lower price limit between closing price on the day before submission and up to 20% lower.

UNDERTAKING

I understand that public disclosure of the above mentioned Trading Plan would be made by Ambium Finserve Limited by intimation to the Stock Exchange. I further declare as under:

1. The Trading Plan submitted is irrevocable and I shall mandatorily 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.
2. I shall not entail commencement of trading earlier than one hundred and twenty calendar days from the public disclosure of the plan.
3. I shall not entail overlap of any period for which another Trading Plan is already in existence.

4. I shall not entail trading in securities for market abuse.

5. The Trading Plan shall not be commenced if any unpublished price sensitive information is in my possession at the time of formulation of the plan and has not become generally available at the time of commencement of implementation.

Date:

Signature: _____

Place: _____

APPLICATION FORM FOR PRE-CLEARANCE APPROVAL

Date: _____

To,
The Compliance Officer
Ambium Finserve Limited
(formerly Ambium Finserve Private Limited)

Dear Sir/Madam,

Subject: 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 Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information, I seek approval to purchase / sale / subscription of _____ securities of the Company as per details given below:

S.No.	Particulars	Details
1	Name of the applicant	
2	Designation	
3	Number of Securities held as on date	
4	Folio No. / DP Id / Client Id	
5	The Proposal is for	a. Purchase of Securities b. Sale of Securities
6	Estimated number of securities proposed to be acquired / subscribed / sold	
7	Proposed date of dealing in Securities	
8	Price 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 where the securities will be debited / credited	

An undertaking in the prescribed format is enclosed for your perusal and records in this connection.

Please grant your permission for the said transaction.

Yours Faithfully,

(Signature): _____

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

To,
The Compliance Officer
Ambium Finserve Limited
(formerly Ambium Finserve Private Limited)

I, _____, Designation: _____, of the Company residing at _____ am desirous of dealing in * Securities 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 Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information) 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 'Unpublished Price Sensitive Information' 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.

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

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

I undertake not to transact in Securities in the sanctioned period in case Trading Window closure is declared prior to undertaking the transaction.

I undertake not to execute a contra trade in the Securities of the Company within a period of six months from the date of the requested transaction.

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

Date: _____

Place: _____

Signature: _____

** Indicate number of securities*

AUTHORISATION TO TRADE

The above transaction has been authorised. Your transaction must be completed within 7 trading / working days from the date of this approval.

Signature / Approval by Email: _____

Name: _____

Date: _____

Designation: _____

FORMAT FOR DISCLOSURE OF TRANSACTIONS

(To be submitted within 2 days of transaction / dealing in securities of the Company)

To,
The Compliance Officer
Ambium Finserve Limited
(formerly Ambium Finserve Private Limited)

I hereby inform that I:

- Have not bought / sold / subscribed any securities of the Company.
- Have bought / sold / subscribed to securities as mentioned below on _____ (date):

Name of Holder	No. of Securities dealt with	Bought / Sold / Subscribed	DP Id / Client Id / Folio No.	Price

In connection with the aforesaid transaction(s), I hereby undertake to preserve, for a period of 3 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 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 Compliance Officer for necessary approval.

(Applicable in case of purchase / subscription).

I declare that the above information is correct and that no provisions of the Company's Code and / or applicable laws / regulations have been contravened for effecting the above said transaction(s).

Date: _____

Signature: _____

Name: _____

Designation: _____

FORMAT FOR DISCLOSURE BY DESIGNATED PERSON

Details required for making entry into the Register of Designated Persons

To,
The Compliance Officer
Ambium Finserve Limited
(formerly Ambium Finserve Private Limited)

Dear Sir/Madam,

My personal details are as under:

Category	KMP / Director / Designated Person	Name	
Date of Appointment		PAN No.	
Folio No.		DP Id	
Client ID		Designation	
Department		Email ID	
Name of educational institution from which graduation has been done		Name of Past Employer	
Phone / Mobile Number			

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information, I hereby declare that I have the following Immediate Relative(s)*:

Sl. No.	Name of Immediate Relative	Relationship with Promoter / Director / KMP / Designated Person	PAN / Folio No. / DP Id / Client Id	Contact Number
1.				
2.				
3.				

* "Immediate Relative" means the spouse of the Designated Person and includes parent, sibling and child of such Designated Person or of the spouse, who are either financially dependent on the Designated Person or consult the Designated Person in taking decisions relating to trading in securities.

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.

Date: _____

Place: _____

Signature: _____

Name: _____

Designation: _____

INITIAL DISCLOSURE
FORM B

SEBI (Prohibition of Insider Trading) Regulations, 2015
[Regulation 7 (1) (b) read with Regulation 6(2) – Disclosure on
becoming a Key Managerial Personnel/Director/Promoter/Member of
the promoter group]

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 or member of the promoter group of a listed company and immediate relatives of such persons and by other such persons as mentioned in Regulation 6(2).

Name, PAN, CIN/DIN & Address with contact nos.	Category of Person (KMP / Director or Promoter or member of the promoter group/ Immediate relative to/others, etc.)	Date of appointment of KMP/Director / OR Date of becoming Promoter/ member of the promoter group	Securities held at the time of appointment of KMP/Director or upon becoming Promoter or member of the promoter group		% of Shareholding of
			Type of securities (For eg. – Shares, Warrants, Convertible Debentures, Rights entitlements, etc.)	No.	
1	2	3	4	5	6

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

Details of Open Interest (OI) in derivatives on the securities of the company held on appointment of KMP or Director or upon becoming a Promoter or member of the promoter group of a listed company and immediate relatives of such persons and by other such persons as mentioned in Regulation 6(2).

Open Interest of the Future contracts held at the time of appointment of Director/KMP or upon becoming Promoter/member of the promoter group			Open Interest of the Option Contracts held at the time of appointment of Director/KMP or upon becoming Promoter/member of the promoter group		
Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms
7	8	9	10	11	12

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

Name & Signature: _____

Designation: _____

Date: _____

Place: _____

CONTINUAL DISCLOSURE

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, Member of the Promoter Group, Designated Person or Director of a listed company and immediate relatives of such persons and other such persons as mentioned in Regulation 6(2).

Name, PAN, CIN/DIN, & address with contact nos.	Category of Person (Promoter/member of the promoter group/designated person/Director s/immediate relative to/others etc.)	Securities held prior to acquisition/disposal		Securities acquired/Disposed				Securities held post acquisition/disposal		Date of allotment advice/acquisition of shares/disposal of shares, specify		Date of intimation to company	Mode of acquisition /disposal (on market/public/rights/preferential offer/off market/Inter-se transfer, ESOPs, etc.)	Exchange on which the trade was executed
		Type of securities (For eg. – Shares Warrants, Convertible Debentures, Rights entitlements etc.)	No. and % of share holding	Type of securities (For eg. – Shares, Warrants, Convertible Debentures, Rights entitlement, etc.)	No.	Value	Transaction Type (Purchase/sale Pledge / Revocation / Invocation/ Others-please specify)	Type of securities (For eg. – Shares, Warrants, Convertible Debentures, Rights entitlement, etc.)	No. and % of shareholding	From	To			
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

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

(ii) Value of transaction excludes taxes/brokerage/any other charges