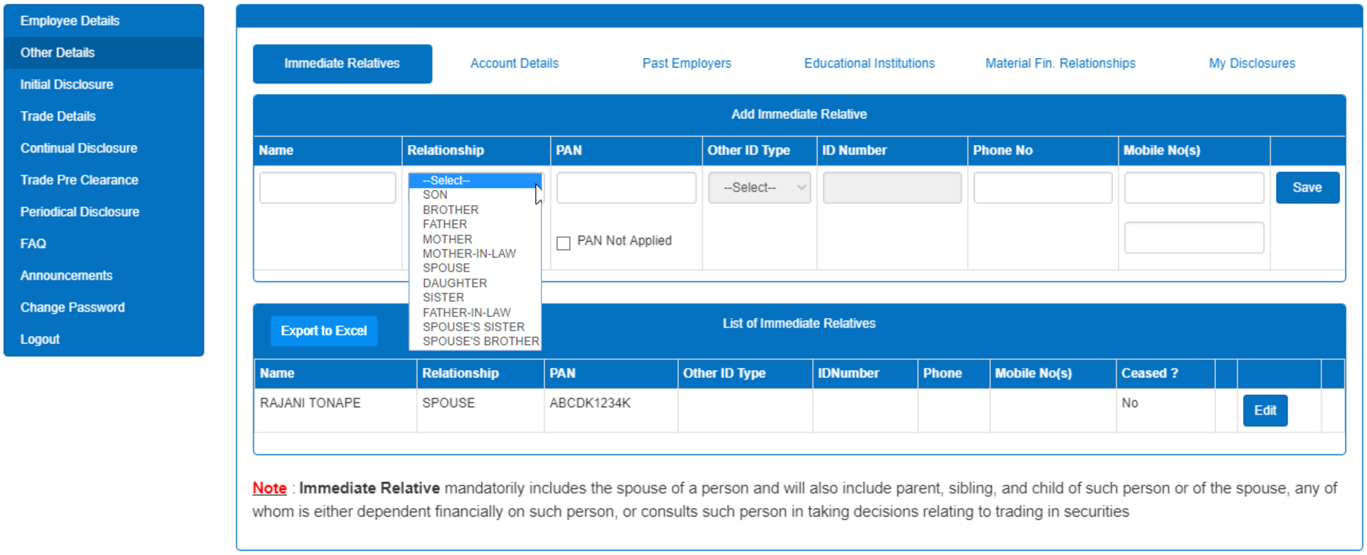
Quick Guide – How to use this Portal

1. *View or add immediate relatives (dependents) & their details.*

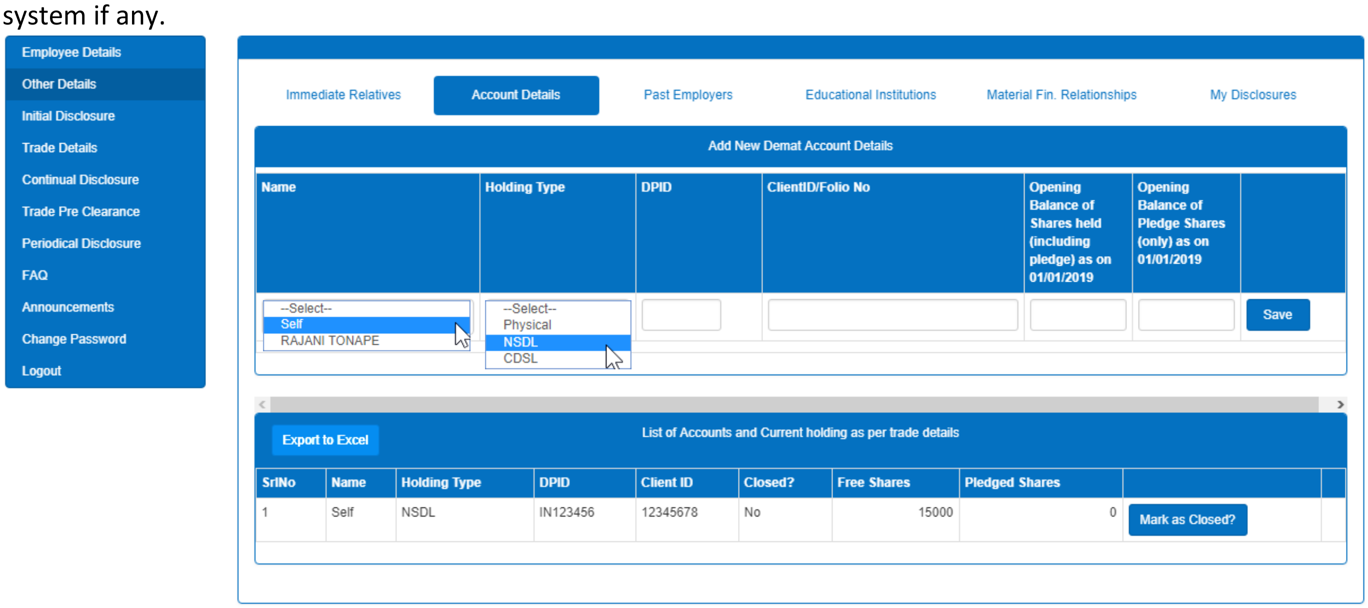
After you have successfully logged in, click on menu **"Other Details"**. Page will appear as shown below.



You will see many tabs. Default tab will be "**Immediate Relatives**". Enter "Name", Select "Relationship", Enter "PAN" (Tick on "Pan Not Applied" if PAN not available and enter Other ID details like "Aadhar", "Voter ID", "Driving License", etc.). Phone No. & Mobile No. are optional. Click on "Save" button to update the details.

2. *View or add physical / demat account details.*

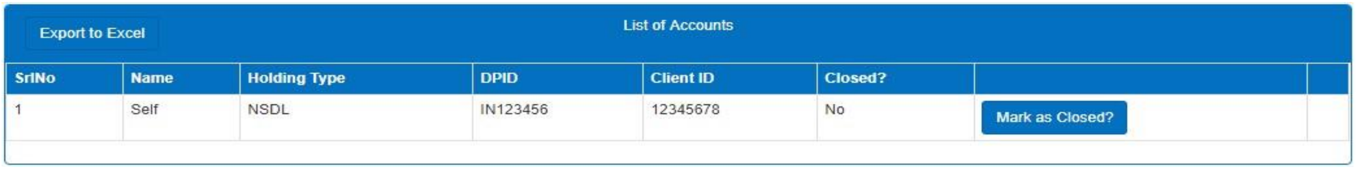
Click on menu "Other Details". Click on "Account Details" tab. Page will appears as shown below. You can see existing account details which are added automatically matching with depository data based on your PAN by the system if any.



Select the name of the person which account to be added. Select holding type i.e. "Physical / NSDL / CDSL". Enter DPID & ClientID/Folio along with **"Shares Held as on Cut-off-date"**. Click **"Save"** button to add the details.

3. *Mark physical / demat details as closed.*

To mark a physical / demat account as ceased (closed), click the ‘Mark as Ceased’ button. In case you wish to delete an account entered inadvertently, please contact the compliance team.

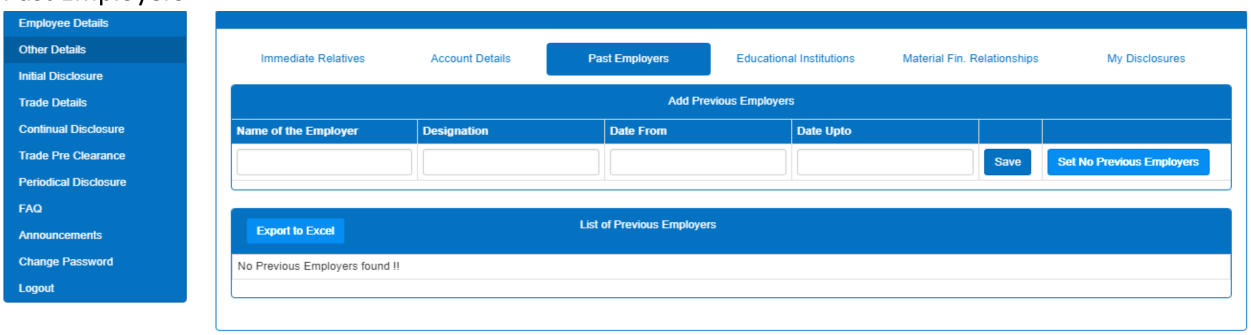


Other details to be furnished as per Statutory requirements

As per SEBI’s requirement, additional details need to be provided. Few details are one time and few needs to be given every F.Y. Similarly, needs to be disclosed through specified form. *(System shall generate form automatically based on information what you have provided)*

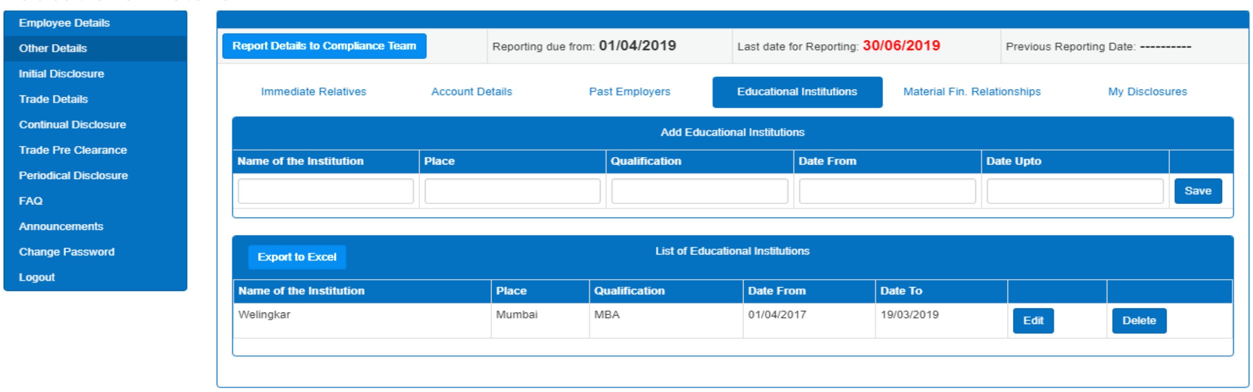
Details to be provided one time:

A. Past Employers



Enter the name of your “Past Employer”, “Designation” and Period. Click on “Save” button to update the details. If current organization is your first company, click on “Set No Previous Employers” button. (Multiple “Past Employers” details can be added)

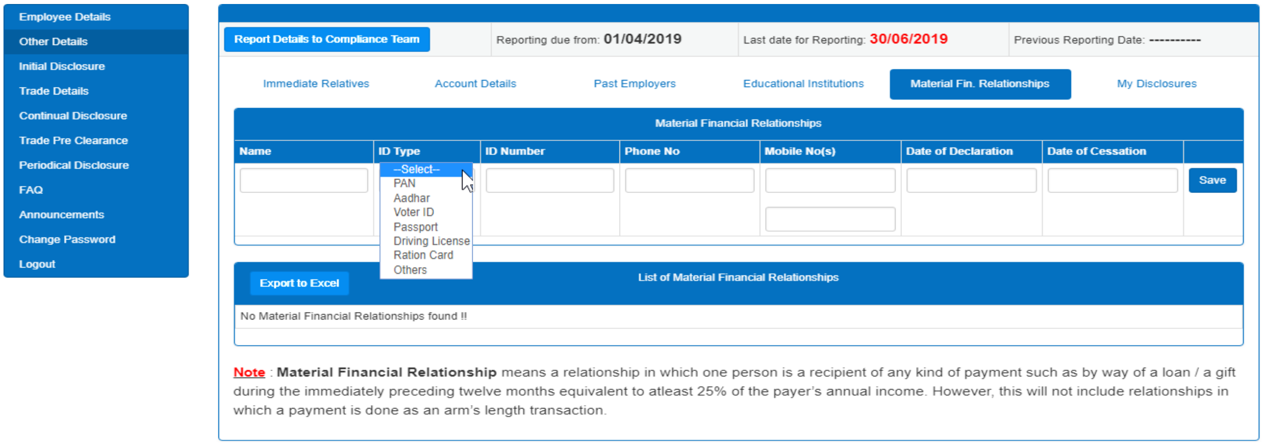
B. Educational Details.



Enter the name of institution, Place, Qualification, Period and click on “Save” button to update the details. (Multiple Educational Details can be added)

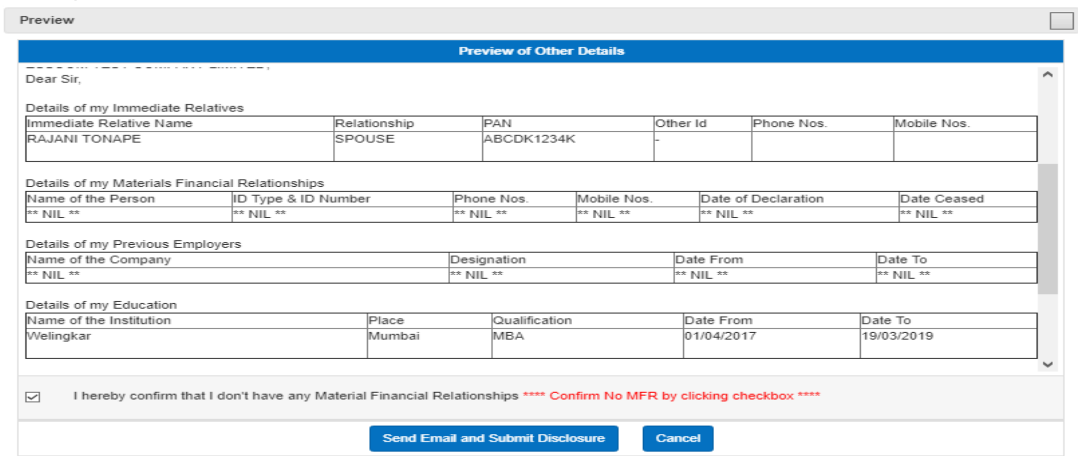
Details to be provided every year.

A. Immediate Relatives along with their account details. (Already shown previously)
B. Material Financial Relationship.

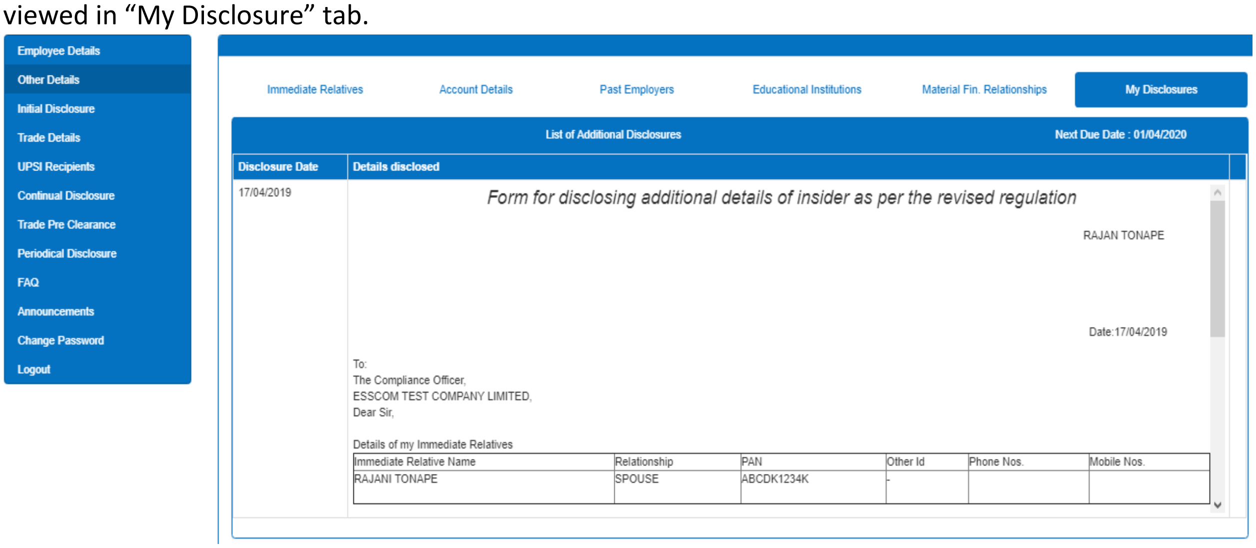


Please refer the note to understand definition of “Material Financial Relationship”. Enter the name of the person, ID, Phone no., mobile no., Date of Declaration and click on “Save” button to update the details. “Date of Ceasation” can be entered against said details if that person is no longer in “Material Financial Relationship”.

After filling all the details, click on **Report Details to Compliance Team** button to submit details to Compliance team through “Additional Disclosure”.

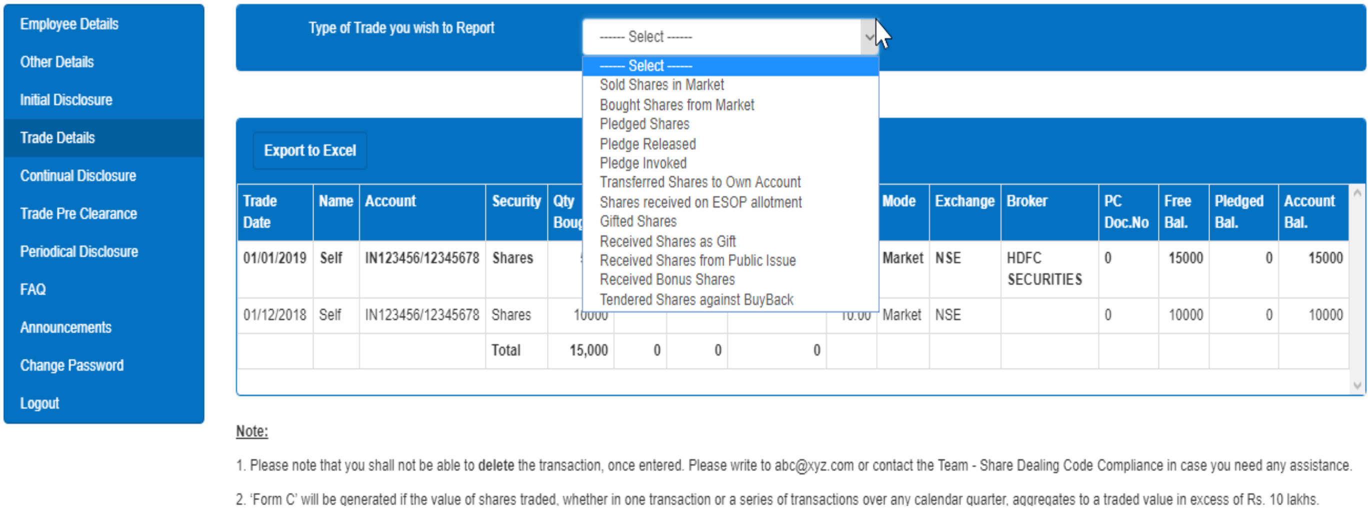


Click on “Send Email and Submit Disclosure” to intimate to compliance team through Email. Same can be viewed in “My Disclosure” tab.



4. Add or view trade details.

Click on **"Trade Details"** menu. New page will appear as shown below.



Select Types of trade which you have executed from dropdown option. Enter the details as mentioned below.

- Date – Date of Transaction. (In case of ESOP allotment, this should the allotment date).
- Name – Select 'Self' if the transaction was done by you, else select the name of the dependent who has executed the transaction.
- Account – Select the demat account involved in the transaction. (In case of multiple accounts, make additional entries for each account).
- Security – Select the type of security you have transacted with. The default value is 'Shares'. Please inform the compliance team if you have transacted in any other type of security such as Derivatives or Options.
- Quantity – Input the quantity of shares involved in the transaction.
- Rate per Share – Input the rate at which the shares were bought or sold. In case of Pledge / Release / Offline, enter the stock market closing price. In case of ESOP allotment, enter the exercise price.
- Mode – Select the appropriate mode of transaction viz., Market / Off Market / Gift / Pledge / Release / Corporate Action.
- Stock Exchange – Select the stock exchange in which the trade was executed. Select 'Others' in case of ESOP allotment / Corporate Action / Gift / Offline / Pledge / Release mode of trades.

Now click on "Save" button to save the entered details. ***Note : System will ask to enter details based on your type of trade selection.***

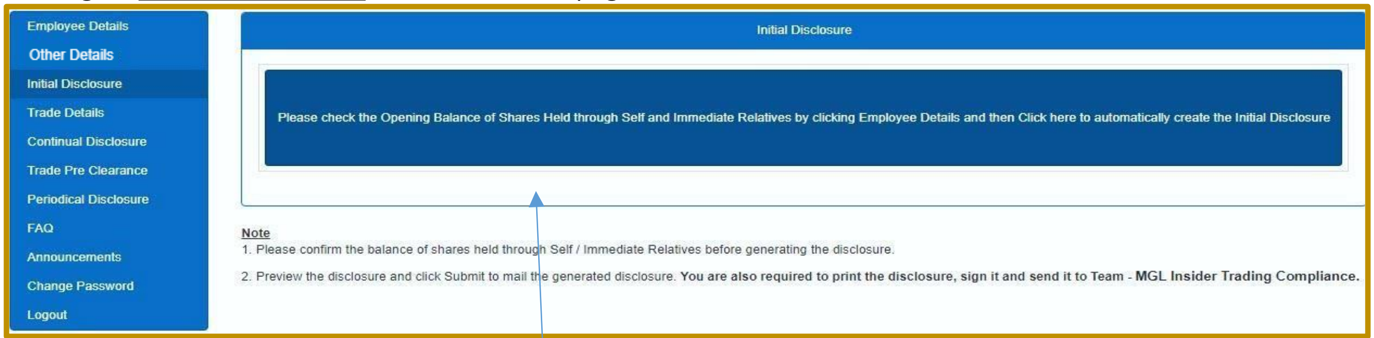
After details are added successfully, you can see the saved Trade Details in the table as shown above.

Note:-

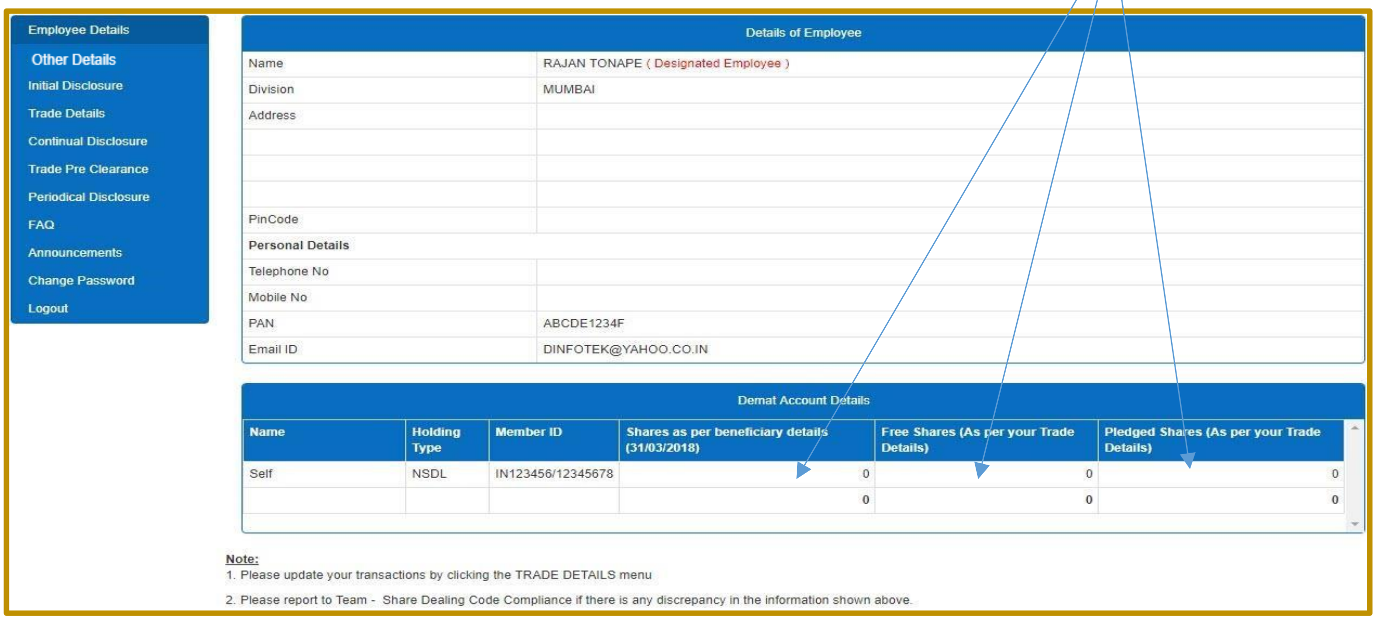
- The system monitors the value of the trade(s) executed in a given calendar quarter (Jan to Mar, Apr to Jun, July to Sep and Oct to Dec) and if the aggregate of the values in a quarter exceeds ten lakh rupees, a continual disclosure will be automatically generated (as required under SEBI's PIT Regulations, 2015) and shown on the screen.

5. ***Submit Initial Disclosure.***

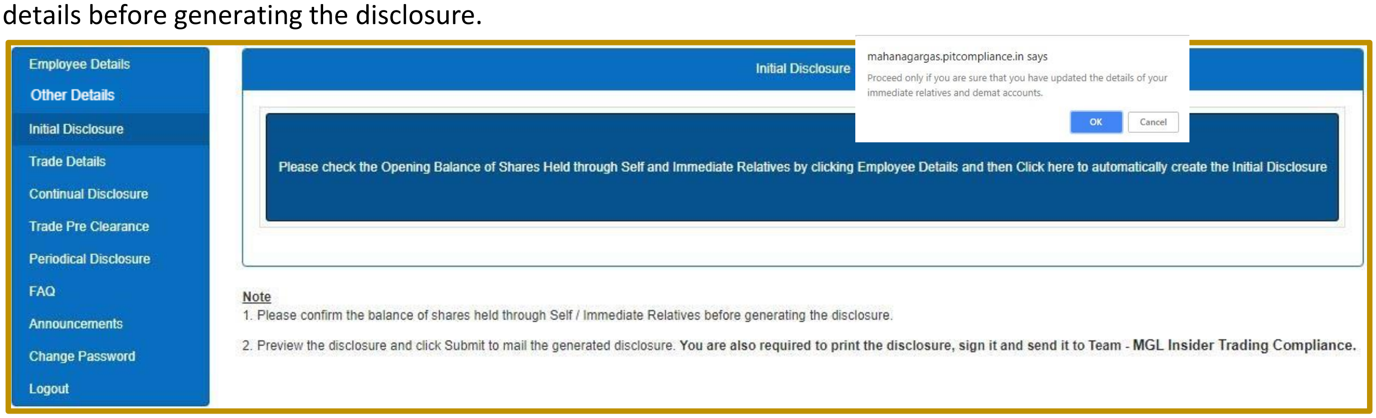
Clicking on **"Initial Disclosure"** menu shows the page as shown below.



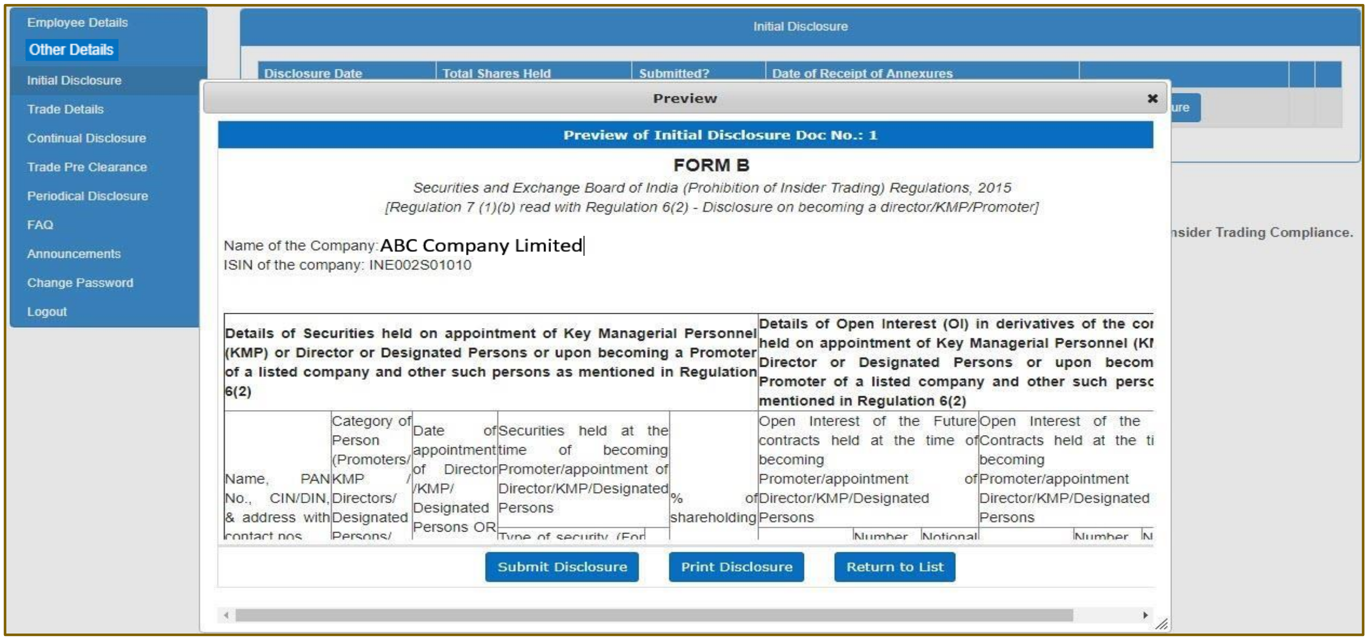
System will create "Initial Disclosure" **automatically** as per your holding. Please check the **holding details**, before clicking this button.



If Shares as per Beneficiary details are different from Shares as per trade details, please update the deals in Trade details before generating the disclosure.



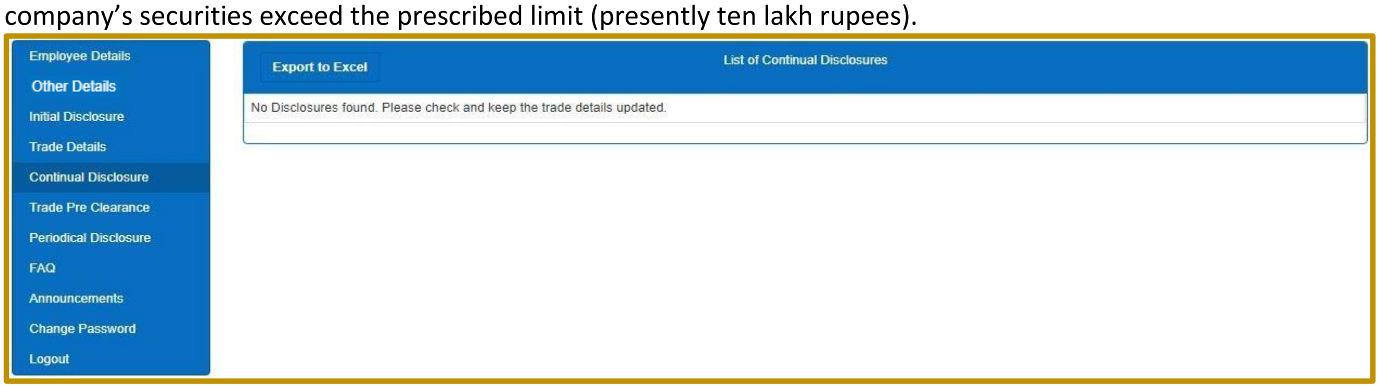
After clicking on "OK" button, the Initial disclosure is automatically generated by the system and shown in the table as given below.



Now please click on **<u>"Submit Disclosure"</u>** button to send it via email and also click on **<u>"Print Disclosure"</u>** to print the form on your printer. You may need to sign it and send it to the Compliance officer. Clicking on **<u>"Return to List"</u>** shall return to list of disclosure(s) page.

6. Submit Continual Disclosure.

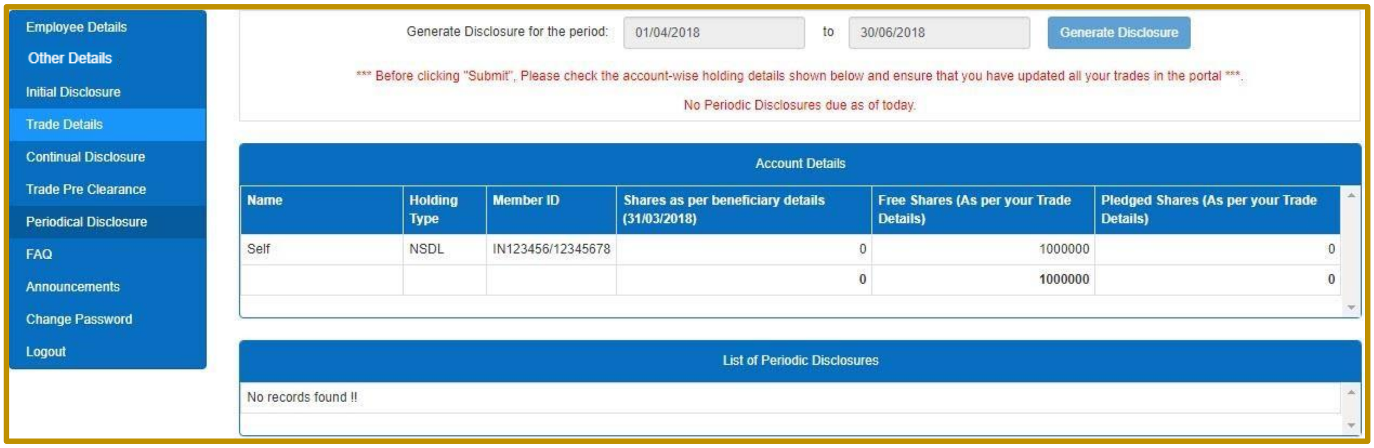
Continual Disclosure is applicable if the aggregate value of your and your dependent(s) transactions in the company's securities exceed the prescribed limit (presently ten lakh rupees).



The application shows you the page having all the continual disclosures generated so far. (while entering the trade details). You can view and submit the **<u>"Continual Disclosure"</u>** by clicking on "View & Submit" Button if any.

7. *Submit Periodical Disclosure.*

Click on "Periodical Disclosure" menu. The period for which the annual disclosure is due is automatically shown on the page. Now click on "Generate Disclosure" button. Before generating Periodical disclosure, please check whether your holding details as on that date are correct or not. If not, update you transaction details properly and generate periodical disclosure.

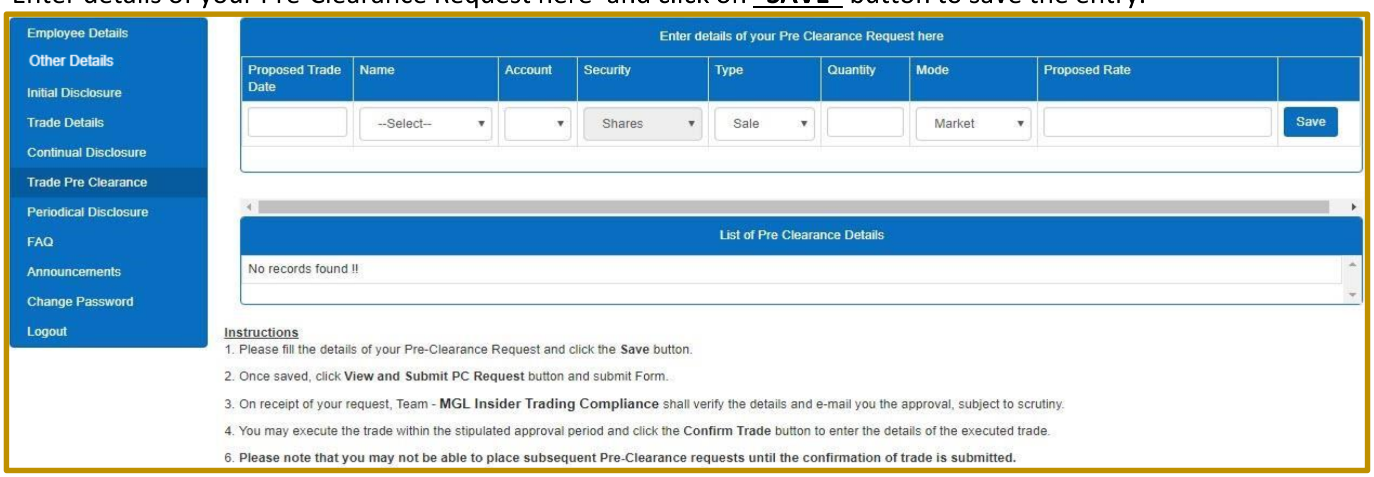


The application automatically generates the periodical disclosure for the given period. Click on "OK" button to proceed further. Then click on "View Disclosure" button to view and submit the periodical disclosure.

Click on "Submit Disclosure" button to email the generated "Periodical Disclosure" to the compliance team.

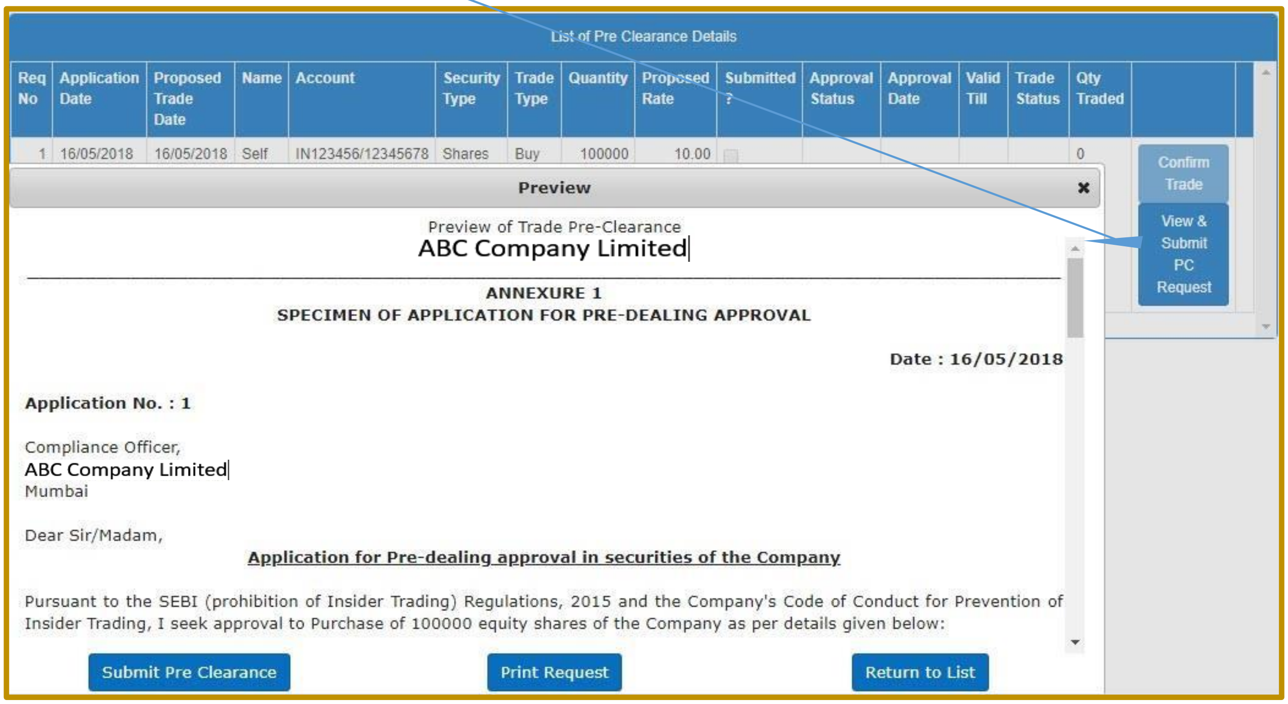
8. *Apply for Pre-Clearance.*

Clicking on "Trade Pre-Clearance" Menu, shows the webpage as given below. Input the details in the table titled 'Enter details of your Pre-Clearance Request here' and click on **"SAVE"** button to save the entry.



- Proposed Trade Date -: Date on which you wish to do transaction.
- Name -: You or your immediate relative. (All available Name will come in Drop down. Add If missing)
  Account -: In which account (All account details will come in dropdown. Add if missing)
  Type -: Whether you wish to Buy or sale.
- Quantity -: No. of shares to be transacted.
- Mode -: Whether Market or Gift.
- Proposed Rate -: Proposed trade rate.

Now click on **<u>"Submit PC Request"</u>** to submit the pre clearance.



List of Pre Clearance Details

Req No	Application Date	Proposed Trade Date	Name	Account	Security Type	Trade Type	Quantity	Proposed Rate	Submitted ?	Approval Status	Approval Date	Valid Till	Trade Status	Qty Traded	
1	16/05/2018	16/05/2018	Self	IN123456/12345678	Shares	Buy	100000	10.00						0	Confirm Trade / View & Submit PC Request

Preview

Preview of Trade Pre-Clearance
ABC Company Limited

ANNEXURE 1
SPECIMEN OF APPLICATION FOR PRE-DEALING APPROVAL

Date : 16/05/2018

Application No. : 1

Compliance Officer,
ABC Company Limited
Mumbai

Dear Sir/Madam,

Application for Pre-dealing 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 of 100000 equity shares of the Company as per details given below:

Submit Pre Clearance | Print Request | Return to List

The Pre-Clearance request form is generated and shown on the page as given below. Click on "Submit Pre Clearance" to send the form via email and click "Print Request" to print form and send it to the Compliance team along with your signature.

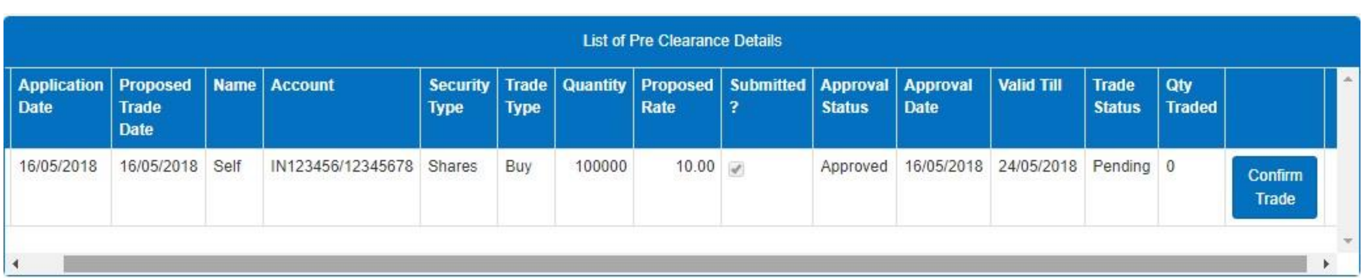
On receipt of your mail, the Compliance office shall give you the approval after necessary verification. The **<u>"Approval Status"</u>** will be shown as **<u>"Pending"</u>** till the request is approved.

List of Pre Clearance Details

Req No	Application Date	Proposed Trade Date	Name	Account	Security Type	Trade Type	Quantity	Proposed Rate	Submitted ?	Approval Status	Approval Date	Valid Till	Trade Status	Qty Traded	
1	16/05/2018	16/05/2018	Self	IN123456/12345678	Shares	Buy	100000	10.00	✓	Pending				0	Confirm Trade

9. *<u>Enter trade details against Pre-clearance approval.</u>*

You will get an email from the Compliance team intimating the approval of your pre clearance request, after which the Approval Status turns 'Approved' and the approval date, validity period of the approval is shown in the table as given below.

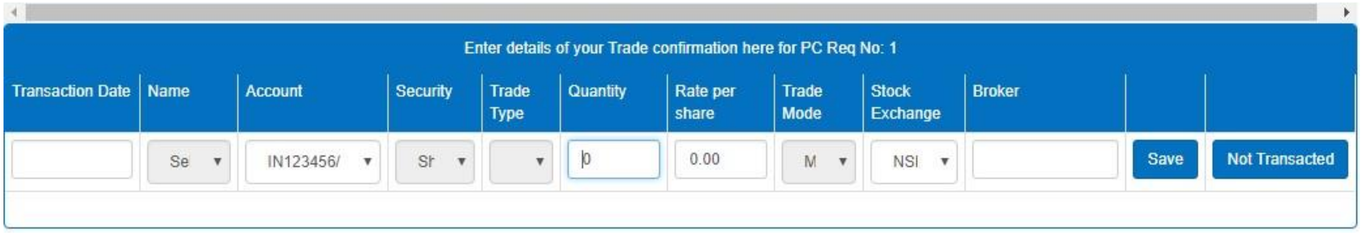


List of Pre Clearance Details

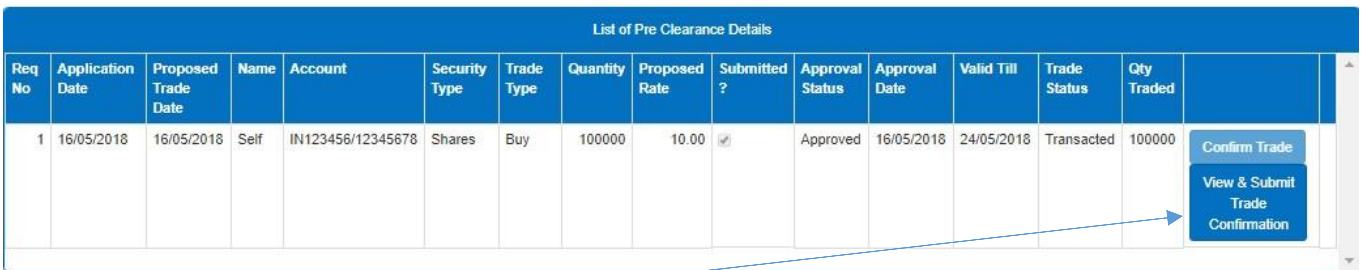
Application Date	Proposed Trade Date	Name	Account	Security Type	Trade Type	Quantity	Proposed Rate	Submitted ?	Approval Status	Approval Date	Valid Till	Trade Status	Qty Traded	
16/05/2018	16/05/2018	Self	IN123456/12345678	Shares	Buy	100000	10.00	✓	Approved	16/05/2018	24/05/2018	Pending	0	Confirm Trade

You need to inform the Compliance team about the details of your trade by clicking on **<u>"Confirm Trade"</u>**.

After clicking on **<u>"Confirm Trade"</u>** button, a table titled 'Enter details of your Trade Confirmation here for PC Req No. XXX' is shown. In case, you decided to defer the transaction, please click "Not Transacted" and enter the reasons for not transacting, else input the details as shown below:



Then Click on ***<u>"Save"</u>*** button to furnish the trade details.



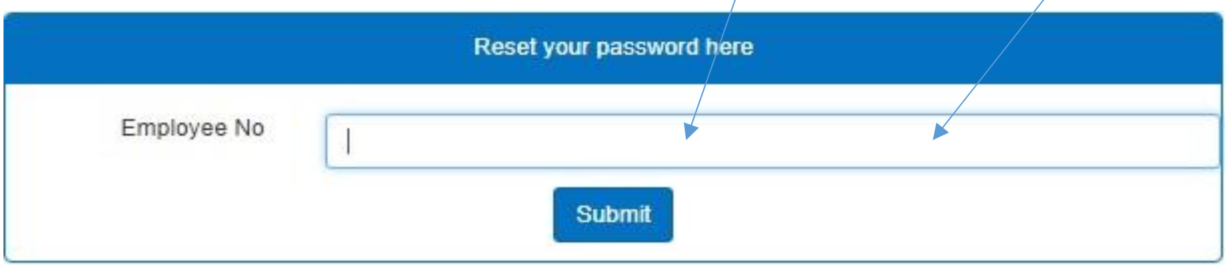
Now click on **<u>"View & Submit Trade Confirmation"</u>** button to submit the form to the compliance team. The application will generate the form as per the Model Code of Conduct as shown below:

Click on "Submit Trade Confirmation" to send the form via email to the compliance team.

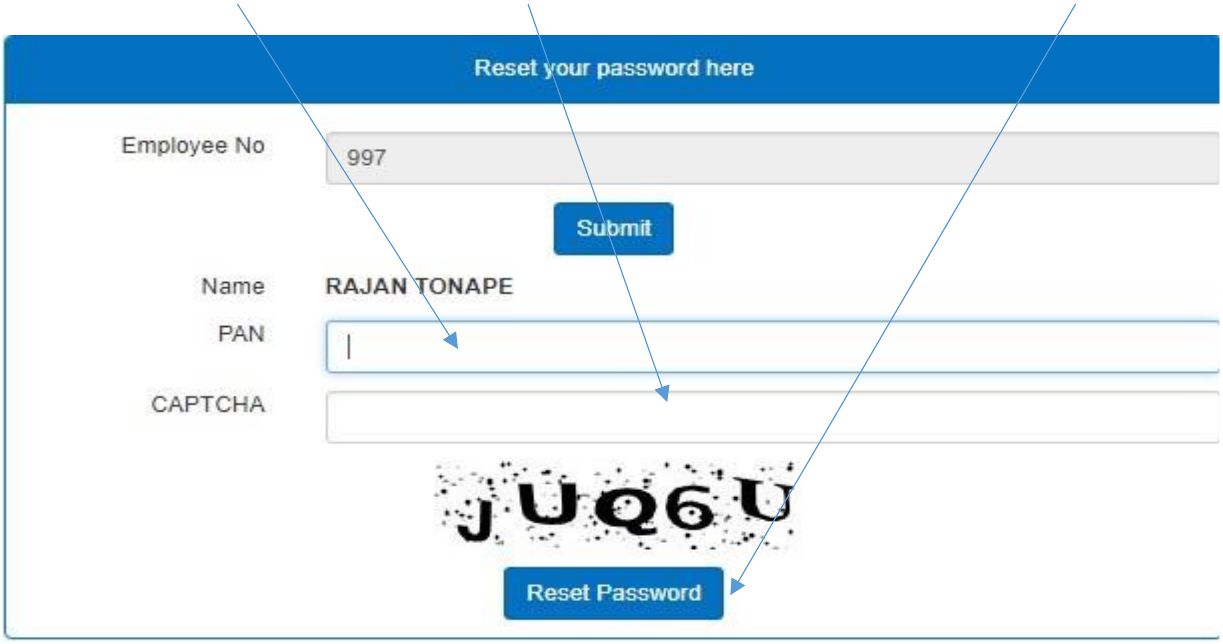
10. Reset forgotten Password.

If you forgot the password, click on "Forgot Password" button as shown below.

You will get the option to reset the password. Input your "Employee No" and click on "Submit" button.

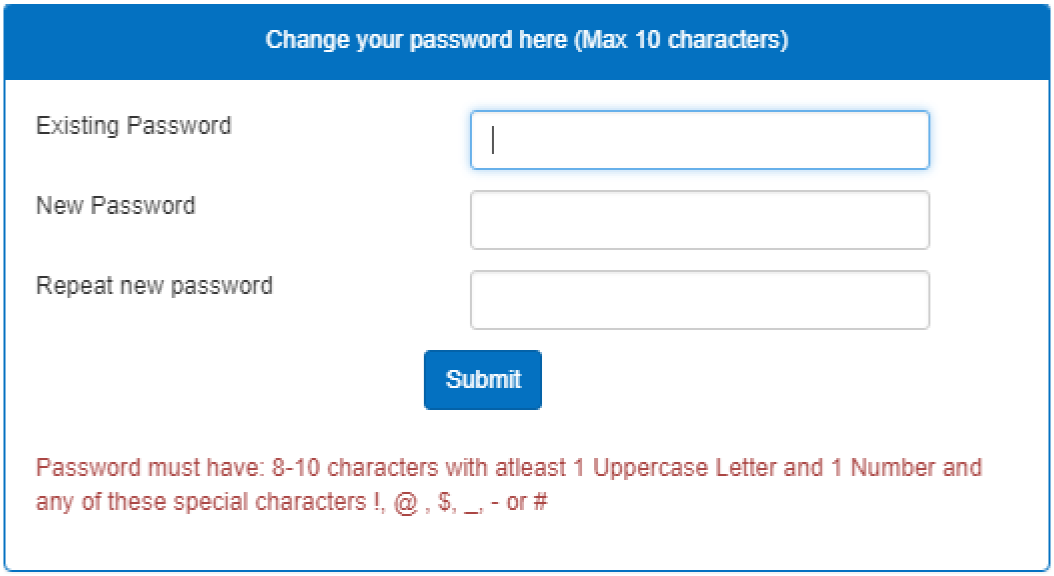


Then input your "PAN" and enter the "CAPTCHA" code as shown and then click on "Reset Password"



The application will now generate a new one time Password and send you by E-mail to your registered email-id. On receipt of the email, you can login with the new password.

After successful login, you must change the password.



Enter You exiting password received through Email. Enter new Password and repeat the same for confirmation.

Password must have: 8-10 characters with at least 1 Uppercase Letter and 1 Number and any of these special characters !, @ , $, _, - or #

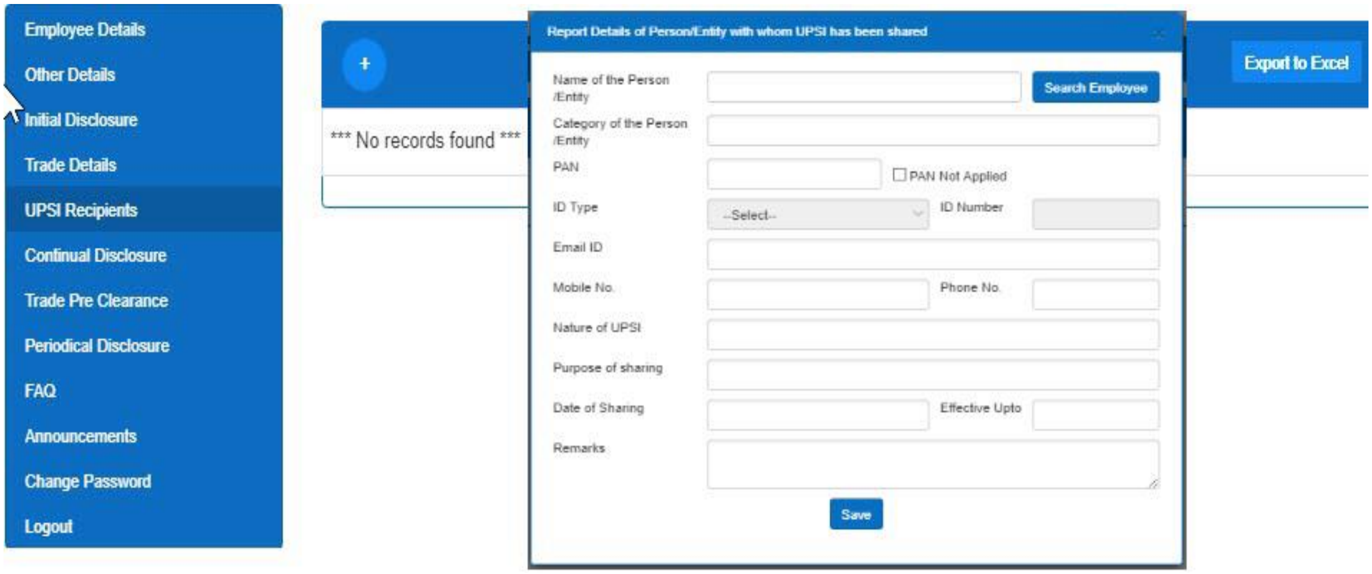
Password Policy :

- **a.** Password shall expire after 90 days. (This will start from the last change password).
- **b.** New password cannot be the same as previous 2 passwords.
- **c.** After resetting password (using Forgot Password), the user has to now change the temporary password.
- **d.** No of failed attempts while entering password is set to 5 after which the login will be locked. The employee has to then reset password using “Forgot password”.

*********** UPSI Recipient ***********

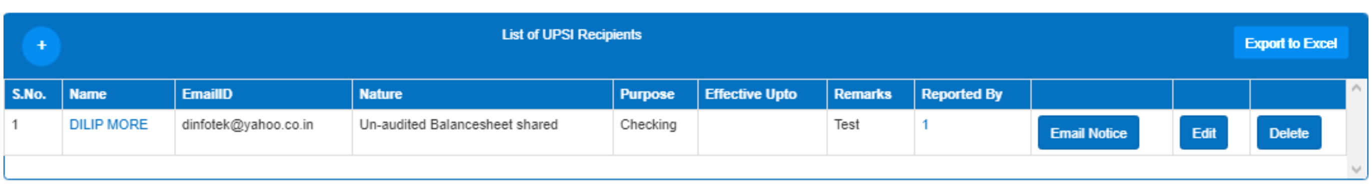
If you have tagged for "UPSI", you will see additional menu called "UPSI Recipient" in your employee login. You are supposed to enter the details of people/entity with whom you have shared any kind of UPSI for legitimate purpose.

Click on "UPSI Recipient" menu. Page will appear as show below.



- ➔ Enter the of the person/Entity with whom UPSI has shared. (If the person is Designated Person, you can select by clicking on "Search Employee"
- ➔ Enter the Category e.g. Auditor, CA, etc.
- ➔ Enter PAN or other ID.
- ➔ EmailID.
- ➔ Mobile No. & Phone No.
- ➔ Enter Nature of UPSI. E.g. Unaudited Balance sheet.
- ➔ Enter Purpose of Sharing. E.g. Auditing Purpose.
- ➔ Date of Sharing.
- ➔ Date Effective Upto.
- ➔ Enter concise remarks if any or keep it blank.

Click in "Save" button to update the information. On successful updation, you can see details as shown below.



You can intimate to "UPSI Recipient" through sending "Email Notice".

<u>Important -:</u> *System will maintain tamperproof digital database of UPSI recipients in encrypted format and can be viewed from front end only with authorized login(s). Since it is tamperproof data, it cannot be deleted permanently from frontend or backend in any case once it is entered. However, it can be edited or marked as deleted. System will also maintain the audit log with date and time stamp for any edition or deletion.*

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