

## *Quick Guide – How to use this Portal*

1. [How to view or add my immediate relatives \(dependents\) & their details?](#)
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5. [How to submit initial disclosure?](#)
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8. [How to apply for pre-clearance of trades?](#)
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## 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.

Employee Details

Other Details

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Add Immediate Relative

| Name                                     | Relationship  | PAN | Other ID Type | ID Number | Phone No | Mobile No(s) |      |
|--|---|-----|---------------|-----------|----------|--------------|------|
|  | --Select--<br>SON<br>BROTHER<br>FATHER<br>MOTHER<br>MOTHER-IN-LAW<br>SPOUSE<br>DAUGHTER<br>SISTER<br>FATHER-IN-LAW<br>SPOUSE'S SISTER<br>SPOUSE'S BROTHER |     | --Select--    |           |          |              | Save |
| <input type="checkbox"/> PAN Not Applied |   |     |               |           |          |              |      |

Export to Excel

List of Immediate Relatives

| Name          | Relationship | PAN        | Other ID Type | ID Number | Phone | Mobile No(s) | Ceased ? |      |
|---------------|--------------|------------|---------------|-----------|-------|--------------|----------|------|
| RAJANI TONAPE | SPOUSE       | ABCDK1234K |               |           |       |              | No       | Edit |

**Note :** Immediate Relative mandatorily includes the spouse of a person and will also include 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

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.

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Add New Demat Account Details

| Name                                | Holding Type                           | DPID | ClientID/Folio No | Opening Balance of Shares held (including pledge) as on 01/01/2019 | Opening Balance of Pledge Shares (only) as on 01/01/2019 |      |
|-------------------------------------|--|------|-------------------|--|--|------|
| --Select--<br>Self<br>RAJANI TONAPE | --Select--<br>Physical<br>NSDL<br>CDSL |      |                   |  |  | Save |

Export to Excel

List of Accounts and Current holding as per trade details

| SrNo | Name | Holding Type | DPID     | Client ID | Closed? | Free Shares | Pledged Shares |                 |
|------|------|--------------|----------|-----------|---------|-------------|----------------|-----------------|
| 1    | Self | NSDL         | IN123456 | 12345678  | No      | 15000       | 0              | Mark as Closed? |

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.

| Export to Excel |      | List of Accounts |          |           |         |                                  |  |
|-----------------|------|------------------|----------|-----------|---------|----------------------------------|--|
| SrNo            | Name | Holding Type     | DPID     | Client ID | Closed? |                                  |  |
| 1               | Self | NSDL             | IN123456 | 12345678  | No      | <button>Mark as Closed?</button> |  |

#### 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

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Export to Excel

Add Previous Employers

| Name of the Employer | Designation          | Date From            | Date Upto            |                       |  |
|----------------------|----------------------|----------------------|----------------------|-----------------------|--|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <button>Save</button> | <button>Set No Previous Employers</button> |

List of Previous Employers

No Previous Employers found !!

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.

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Report Details to Compliance Team

Reporting due from: 01/04/2019

Last date for Reporting: 30/06/2019

Previous Reporting Date: -----

Add Educational Institutions

| Name of the Institution | Place                | Qualification        | Date From            | Date Upto            |                       |
|-------------------------|----------------------|----------------------|----------------------|----------------------|-----------------------|
| <input type="text"/>    | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <button>Save</button> |

List of Educational Institutions

| Name of the Institution | Place  | Qualification | Date From  | Date To    |                       |                         |
|-------------------------|--------|---------------|------------|------------|-----------------------|-------------------------|
| Welingkar               | Mumbai | MBA           | 01/04/2017 | 19/03/2019 | <button>Edit</button> | <button>Delete</button> |

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.

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

- Employee Details
- Other Details
- Initial Disclosure
- Trade Details
- Continual Disclosure
- Trade Pre Clearance
- Periodical Disclosure
- FAQ
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- Change Password
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Report Details to Compliance Team

Reporting due from: 01/04/2019

Last date for Reporting: 30/06/2019

Previous Reporting Date: -----

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Material Financial Relationships

| Name | ID Type   | ID Number | Phone No | Mobile No(s) | Date of Declaration | Date of Cessation |      |
|------|---|-----------|----------|--------------|---------------------|-------------------|------|
|      | --Select--<br>PAN<br>Aadhar<br>Voter ID<br>Passport<br>Driving License<br>Ration Card<br>Others |           |          |              |                     |                   | Save |

Export to Excel

List of Material Financial Relationships

No Material Financial Relationships found !!

**Note : 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 / a gift during the immediately preceding twelve months equivalent to atleast 25% of the payer's annual income. However, this will not include relationships in which a payment is done as an arm's length transaction.

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 Cessation” 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”.

Preview

Preview of Other Details

Dear Sir,

Details of my Immediate Relatives

| Immediate Relative Name | Relationship | PAN        | Other Id | Phone Nos. | Mobile Nos. |
|-------------------------|--------------|------------|----------|------------|-------------|
| RAJANI TONAPE           | SPOUSE       | ABCDK1234K | -        |            |             |

Details of my Materials Financial Relationships

| Name of the Person | ID Type & ID Number | Phone Nos. | Mobile Nos. | Date of Declaration | Date Ceased |
|--------------------|---------------------|------------|-------------|---------------------|-------------|
| ** NIL **          | ** NIL **           | ** NIL **  | ** NIL **   | ** NIL **           | ** NIL **   |

Details of my Previous Employers

| Name of the Company | Designation | Date From | Date To   |
|---------------------|-------------|-----------|-----------|
| ** NIL **           | ** NIL **   | ** NIL ** | ** NIL ** |

Details of my Education

| Name of the Institution | Place  | Qualification | Date From  | Date To    |
|-------------------------|--------|---------------|------------|------------|
| Welingkar               | Mumbai | MBA           | 01/04/2017 | 19/03/2019 |

☒ I hereby confirm that I don't have any Material Financial Relationships \*\*\*\* Confirm No MFR by clicking checkbox \*\*\*\*

Send Email and Submit Disclosure

Cancel

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

- Employee Details
- Other Details
- Initial Disclosure
- Trade Details
- UPSI Recipients
- Continual Disclosure
- Trade Pre Clearance
- Periodical Disclosure
- FAQ
- Announcements
- Change Password
- Logout

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List of Additional Disclosures

Next Due Date : 01/04/2020

| Disclosure Date         | Details disclosed  |                         |              |            |             |            |             |               |        |            |   |  |  |
|-------------------------|--|-------------------------|--------------|------------|-------------|------------|-------------|---------------|--------|------------|---|--|--|
| 17/04/2019              | <div>Form for disclosing additional details of insider as per the revised regulation</div> <div>RAJANI TONAPE</div> <div>Date: 17/04/2019</div> <div>To:<br/>The Compliance Officer,<br/>ESSCOM TEST COMPANY LIMITED,<br/>Dear Sir,</div> <div>Details of my Immediate Relatives</div> <table> <thead> <tr> <th>Immediate Relative Name</th> <th>Relationship</th> <th>PAN</th> <th>Other Id</th> <th>Phone Nos.</th> <th>Mobile Nos.</th> </tr> </thead> <tbody> <tr> <td>RAJANI TONAPE</td> <td>SPOUSE</td> <td>ABCDK1234K</td> <td>-</td> <td></td> <td></td> </tr> </tbody> </table> | Immediate Relative Name | Relationship | PAN        | Other Id    | Phone Nos. | Mobile Nos. | RAJANI TONAPE | SPOUSE | ABCDK1234K | - |  |  |
| Immediate Relative Name | Relationship   | PAN                     | Other Id     | Phone Nos. | Mobile Nos. |            |             |               |        |            |   |  |  |
| RAJANI TONAPE           | SPOUSE   | ABCDK1234K              | -            |            |             |            |             |               |        |            |   |  |  |

#### 4. Add or view trade details.

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

Employee Details

Other Details

Initial Disclosure

Trade Details

Continual Disclosure

Trade Pre Clearance

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Type of Trade you wish to Report

----- Select -----

----- Select -----

Sold Shares in Market

Bought Shares from Market

Pledged Shares

Pledge Released

Pledge Invoked

Transferred Shares to Own Account

Shares received on ESOP allotment

Gifted Shares

Received Shares as Gift

Received Shares from Public Issue

Received Bonus Shares

Tendered Shares against BuyBack

Export to Excel

| Trade Date | Name | Account           | Security | Qty Bought | Rate  | Mode   | Exchange | Broker          | PC Doc.No | Free Bal. | Pledged Bal. | Account Bal. |
|------------|------|-------------------|----------|------------|-------|--------|----------|-----------------|-----------|-----------|--------------|--------------|
| 01/01/2019 | Self | IN123456/12345678 | Shares   |            |       |        |          |                 |           |           |              |              |
| 01/12/2018 | Self | IN123456/12345678 | Shares   | 10000      | 10.00 | Market | NSE      | HDFC SECURITIES | 0         | 15000     | 0            | 15000        |
|            |      |                   | Total    | 15,000     | 0     |        |          |                 |           |           |              |              |

Note:

1. Please note that you shall not be able to delete the transaction, once entered. Please write to abc@xyz.com or contact the Team - Share Dealing Code Compliance in case you need any assistance.
2. 'Form C' will be generated if the value of shares traded, whether in one transaction or a series of transactions over any calendar quarter, aggregates to a traded value in excess of Rs. 10 lakhs.

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 be 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.

Employee Details  
Other Details  
**Initial Disclosure**  
Trade Details  
Continual Disclosure  
Trade Pre Clearance  
Periodical Disclosure  
FAQ  
Announcements  
Change Password  
Logout

**Initial Disclosure**

Please check the Opening Balance of Shares Held through Self and Immediate Relatives by clicking Employee Details and then Click here to automatically create the Initial Disclosure

**Note**  
1. Please confirm the balance of shares held through Self / Immediate Relatives before generating the disclosure.  
2. Preview the disclosure and click Submit to mail the generated disclosure. You are also required to print the disclosure, sign it and send it to Team - MGL Insider Trading Compliance.

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

Employee Details  
Other Details  
Initial Disclosure  
Trade Details  
Continual Disclosure  
Trade Pre Clearance  
Periodical Disclosure  
FAQ  
Announcements  
Change Password  
Logout

**Details of Employee**

|                  |                                      |
|------------------|--------------------------------------|
| Name             | RAJAN TONAPE ( Designated Employee ) |
| Division         | MUMBAI                               |
| Address          |                                      |
| PinCode          |                                      |
| Personal Details |                                      |
| Telephone No     |                                      |
| Mobile No        |                                      |
| PAN              | ABCDE1234F                           |
| Email ID         | DINFOTEK@YAHOO.CO.IN                 |

**Demat Account Details**

| Name | Holding Type | Member ID         | Shares as per beneficiary details (31/03/2018) | Free Shares (As per your Trade Details) | Pledged Shares (As per your Trade Details) |
|------|--------------|-------------------|--|---|--|
| Self | NSDL         | IN123456/12345678 | 0  | 0                                       | 0  |
|      |              |                   | 0  | 0                                       | 0  |

**Note:**  
1. Please update your transactions by clicking the TRADE DETAILS menu.  
2. Please report to Team - Share Dealing Code Compliance if there is any discrepancy in the information shown above.

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.

Employee Details  
Other Details  
Initial Disclosure  
Trade Details  
Continual Disclosure  
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**Initial Disclosure**

Please check the Opening Balance of Shares Held through Self and Immediate Relatives by clicking Employee Details and then Click here to automatically create the Initial Disclosure

**Note**  
1. Please confirm the balance of shares held through Self / Immediate Relatives before generating the disclosure.  
2. Preview the disclosure and click Submit to mail the generated disclosure. You are also required to print the disclosure, sign it and send it to Team - MGL Insider Trading Compliance.

mahanagargas.pitcompliance.in says  
Proceed only if you are sure that you have updated the details of your immediate relatives and demat accounts.  
OK Cancel

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

Employee Details
Other Details
Initial Disclosure
Trade Details
Continual Disclosure
Trade Pre Clearance
Periodical Disclosure
FAQ
Announcements
Change Password
Logout

Initial Disclosure

| Disclosure Date | Total Shares Held | Submitted? | Date of Receipt of Annexures |
|-----------------|-------------------|------------|------------------------------|
|-----------------|-------------------|------------|------------------------------|

Preview

Preview of Initial Disclosure Doc No.: 1

FORM B

Securities and Exchange Board of India (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: ABC Company Limited|  
ISIN of the company: INE002S01010

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

| Name, PAN, CIN/DIN, No. & address with contact nos. | Category of Person (Promoters or Directors/Designated Persons OR | Date of appointment of Director/KMP/Designated Persons OR | Securities held at the time of becoming Promoter/appointment of Director/KMP/Designated Persons | % shareholding |
|---|--|---|---|----------------|
|   |  |   | Type of security (For   |                |

Details of Open Interest (OI) in derivatives of the co held on appointment of Key Managerial Personnel (K Director or Designated Persons or upon becom Promoter of a listed company and other such persc mentioned in Regulation 6(2)

| Open Interest of the Future contracts held at the time of becoming Promoter/appointment of Director/KMP/Designated Persons | Open Interest of the Contracts held at the ti becoming Promoter/appointment of Director/KMP/Designated Persons |
|--|--|
| Number   | Notional   |

Submit Disclosure
Print Disclosure
Return to List

Now please click on **“Submit Disclosure”** button to send it via email and also click on **“Print Disclosure”** to print the form on your printer. You may need to sign it and send it to the Compliance officer. Clicking on **“Return to List”** 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).

Employee Details
Other Details
Initial Disclosure
Trade Details
Continual Disclosure
Trade Pre Clearance
Periodical Disclosure
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Export to Excel

List of Continual Disclosures

No Disclosures found. Please check and keep the trade details updated.

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 **“Continual Disclosure”** by clicking on “View & Submit” Button if any.

Employee Details
Other Details
Initial Disclosure
Trade Details
Continual Disclosure
Trade Pre Clearance
Periodical Disclosure
FAQ
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Logout

Export to Excel

List of Continual Disclosures

| Disclosure Date | Period From | Period Upto | Traded Quantity | Traded Value      | Doc No. | Submitted? | Stock Exchange Submitted Date |
|-----------------|-------------|-------------|-----------------|-------------------|---------|------------|-------------------------------|
| 16/05/2018      | 16/05/2018  | 16/05/2018  | 1000000         | 1,00,00,00,000.00 | 1       | No         |                               |

View & Submit



## 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.

| Name | Holding Type | Member ID         | Shares as per beneficiary details (31/03/2018) | Free Shares (As per your Trade Details) | Pledged Shares (As per your Trade Details) |
|------|--------------|-------------------|--|---|--|
| Self | NSDL         | IN123456/12345678 | 0  | 1000000                                 | 0  |
|      |              |                   | 0  | 1000000                                 | 0  |

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.

**Instructions**

1. Please fill the details of your Pre-Clearance Request and click the **Save** button.
2. Once saved, click **View and Submit PC Request** button and submit Form..
3. On receipt of your request, Team - **MGL Insider Trading Compliance** shall verify the details and e-mail you the approval, subject to scrutiny.
4. You may execute the trade within the stipulated approval period and click the **Confirm Trade** button to enter the details of the executed trade.
6. Please note that you may not be able to place subsequent Pre-Clearance requests until the confirmation of trade is submitted.

- 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 **“Submit PC Request”** to submit the pre clearance.

The screenshot shows a table titled "List of Pre Clearance Details" with columns: 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. The first row shows a request for 100,000 shares of ABC Company Limited, submitted on 16/05/2018, with a status of "Submitted?".

Below the table is a "Preview" window titled "Preview of Trade Pre-Clearance ABC Company Limited". It contains an "ANNEXURE 1" titled "SPECIMEN OF APPLICATION FOR PRE-DEALING APPROVAL". The form includes fields for "Application No. : 1", "Compliance Officer, ABC Company Limited, Mumbai", and "Date : 16/05/2018". The main body of the form is titled "Application for Pre-dealing approval in securities of the Company" and contains a paragraph stating: "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:". At the bottom of the form are three buttons: "Submit Pre Clearance", "Print Request", and "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 **“Approval Status”** will be shown as **“Pending”** 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         | <input checked="" type="checkbox"/> | Pending         |               |            |              | 0          |  | Confirm Trade |

## 9. **Enter trade details against Pre-clearance approval.**

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         | <input checked="" type="checkbox"/> | 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 **“Confirm Trade”**.

After clicking on **“Confirm Trade”** 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:

Enter details of your Trade confirmation here for PC Req No: 1

| Transaction Date | Name | Account   | Security | Trade Type | Quantity | Rate per share | Trade Mode | Stock Exchange | Broker |      |                |
|------------------|------|-----------|----------|------------|----------|----------------|------------|----------------|--------|------|----------------|
|                  | Se   | IN123456/ | Sr       |            | 10       | 0.00           | M          | NSI            |        | Save | Not Transacted |

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         | <input checked="" type="checkbox"/> | Approved        | 16/05/2018    | 24/05/2018 | Pending      | 0          | Confirm Trade |

Then Click on **"Save"** button to furnish the trade details.

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         | <input checked="" type="checkbox"/> | Approved        | 16/05/2018    | 24/05/2018 | Transacted   | 100000     | Confirm Trade<br>View & Submit Trade Confirmation |

Now click on **"View & Submit Trade Confirmation"** 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:

**Preview**

Preview of Trade Confirmation  
**ABC Company Limited**

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**ANNEXURE 4**  
**FORMAT FOR DISCLOSURE OF TRANSACTIONS**  
(To be submitted within two trading days of transaction / dealing in securities of the Company)

Date : 16/05/2018

Compliance Officer,  
ABC Company Limited  
Mumbai

Ref: Approval No. 1 dated 16/05/2018 for pre-clearance of dealing in securities  
I hereby inform that I

- have not Purchased any securities of the Company due to
- have Purchased to 100000 securities as mentioned below on 16/05/2018

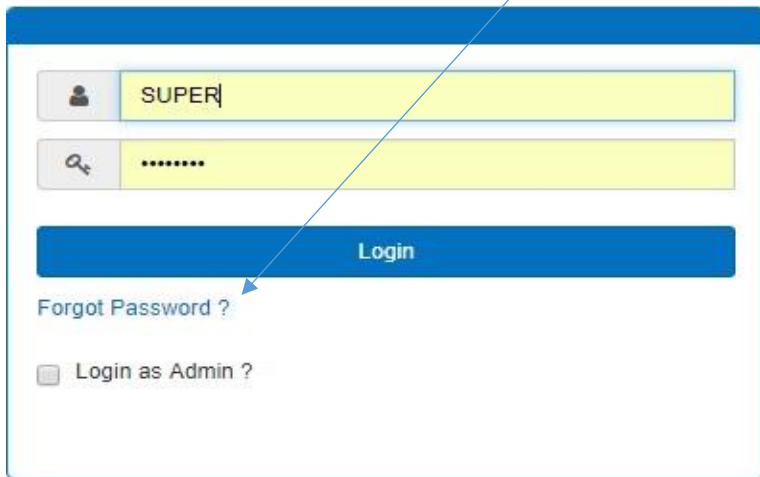
No. of securities dealt/Bought/sold/subscribed: 100000, DD ID/Client ID: /, Price: /, per unit of

[Submit Trade Confirmation](#)
[Print Confirmation](#)
[Return to List](#)

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.



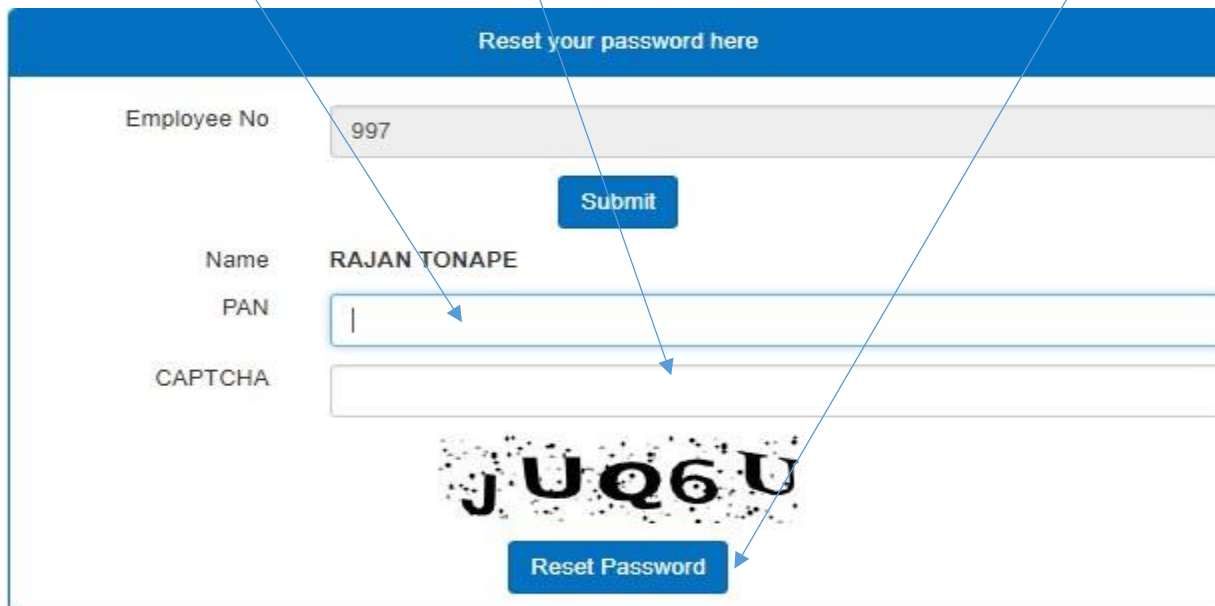
The login form has a blue header. Below it, there are two yellow input fields. The first field contains the text 'SUPER' and has a person icon on the left. The second field contains seven dots and has a magnifying glass icon on the left. Below these fields is a blue button labeled 'Login'. Under the 'Login' button, there is a link 'Forgot Password ?' and a checkbox labeled 'Login as Admin ?'.

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



The form has a blue header with the text 'Reset your password here'. Below the header, there is a label 'Employee No' followed by a white input field. Below the input field is a blue button labeled 'Submit'.

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



The form has a blue header with the text 'Reset your password here'. Below the header, there are several input fields and buttons. The first field is labeled 'Employee No' and contains the value '997'. Below it is a blue button labeled 'Submit'. The next field is labeled 'Name' and contains the value 'RAJAN TONAPE'. Below that is a field labeled 'PAN' which is empty. Below the 'PAN' field is a field labeled 'CAPTCHA' which is empty. Below the 'CAPTCHA' field is a CAPTCHA image showing the text 'JUQ6U'. Below the CAPTCHA image is a blue button labeled '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.

Change your password here (Max 10 characters)

Existing Password

New Password

Repeat new password

Submit

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

Enter Your existing 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.

List of UPSI Recipients

Export to Excel

| S.No. | Name       | EmailID              | Nature                         | Purpose  | Effective Upto | Remarks | Reported By |              |      |        |
|-------|------------|----------------------|--------------------------------|----------|----------------|---------|-------------|--------------|------|--------|
| 1     | DILIP MORE | dinfotek@yahoo.co.in | Un-audited Balancesheet shared | Checking |                | Test    | 1           | Email Notice | Edit | Delete |

You can intimate to “UPSI Recipient” through sending “Email Notice”.

**Important :-** 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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