

### Annexure C

**Report by (Name of the asset management company/Intermediary/Fiduciary) for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.**

[For asset management companies: Schedule B1 read with Regulation 5F(1) of SEBI(Prohibition of Insider Trading) Regulations, 2015

For Intermediaries/ Fiduciaries: Schedule C read with Regulation 5F(2) of SEBI(Prohibition of Insider Trading) Regulations, 2015]

Sr. No.	Particulars	Details
1	Name of the asset management company/ Intermediary/Fiduciary	
2	<p><i>Please tick appropriate checkbox</i></p> <p>Reporting in capacity of :</p> <p><input type="checkbox"/> Asset Management Company</p> <p><input type="checkbox"/> Intermediary</p> <p><input type="checkbox"/> Fiduciary</p>	
3	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	
	ii. PAN of the DP	
	iii. Designation of DP	
	iv. Functional Role of DP	
	v. Whether DP is Promoter/Sponsor/Trustee or belongs to Promoter/Sponsor/Trustee Group	
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	
	ii. PAN of the immediate relative of DP	
	<b>C. Details of transaction(s)</b>	
	i. Name of the scrip/scheme	
	ii. No of shares/units traded and value (Rs.) (Date- wise)	
	<b>D. In case value of trade(s) is more than Rs.15 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP of AMC, trustee and their immediate relatives under regulation 5(E)(2) of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) by asset management company to stock exchanges under regulation 5(E)(3) of SEBI (PIT) Regulations, 2015	
4	Details of violations observed under Code of Conduct	

5	Action taken by asset management company/ Intermediary/ Fiduciary																							
6	Reasons recorded in writing for taking action stated above																							
7	Details of the previous instances of violations, if any, since																							
8	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)</p> <p>ii. Details of transfer/payment</p> <p>In case of Online:</p> <table border="1"> <thead> <tr> <th>Particulars Details</th> <th>Particulars Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td></td> </tr> <tr> <td>Bank Name, branch and</td> <td></td> </tr> <tr> <td>Account number</td> <td></td> </tr> <tr> <td>UTR/Transaction reference</td> <td></td> </tr> <tr> <td>Number</td> <td></td> </tr> </tbody> </table> <p>In case of Demand Draft (DD):</p> <table border="1"> <thead> <tr> <th>Particulars Details</th> <th>Particulars Details</th> </tr> </thead> <tbody> <tr> <td>Bank Name and branch</td> <td></td> </tr> <tr> <td>DD Number</td> <td></td> </tr> <tr> <td>DD date</td> <td></td> </tr> <tr> <td>DD amount (in Rs.)</td> <td></td> </tr> </tbody> </table>		Particulars Details	Particulars Details	Name of the transferor		Bank Name, branch and		Account number		UTR/Transaction reference		Number		Particulars Details	Particulars Details	Bank Name and branch		DD Number		DD date		DD amount (in Rs.)	
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DD date																								
DD amount (in Rs.)																								
9	Any other relevant information																							

Yours faithfully,

**Date and Place**

**Name and Signature of Compliance Officer**

**PAN:**

**Email ID:**