

**June 2, 2023**

To

**BSE Limited,**

Listing Department, P J Towers,  
Dalal Street,  
Mumbai – 400 001.

**Scrip code: 540679**

*Through: BSE Listing Center*

**National Stock Exchange of India Limited,**

Listing Department, "Exchange Plaza",  
Bandra-Kurla Complex, Bandra (E),  
Mumbai - 400 051.

**Trading Symbol: SMSLIFE**

*Through: NEAPS Portal*

**SUB: REPORTING OF VIOLATION RELATED TO INSIDER TRADING CODE**

**Ref: Clause 13 of Schedule B & Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations  
2015 read along with SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.**

Dear Sir/Madam,

With reference to the above-cited subject, please find enclosed herewith a Report of violations related to the Insider Trading Code and Code of Conduct adopted by the Company, by the designated persons including appropriate action taken after recording reasons in writing, by the Company against the Designated Person.

Kindly take the same on record and suitably disseminate it to all concerned

Thanking You,

For SMS Lifesciences India Limited

  
**Trupti Ranjan Mohanty**  
Company Secretary



[Enclosed: Report on PIT violation]

**REPORT BY SMS LIFESCIENCES INDIA LIMITED FOR VIOLATIONS RELATED TO CODE OF CONDUCT  
UNDER SEBI (PROHIBITION OF INSIDER TRADING) REGULATIONS, 2015.**

[Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulation, 2015]

Sr no.	Particulars	Details						
1.	Name of the listed company	SMS Lifesciences India Limited						
2.	<p><i>Please tick appropriate checkbox</i></p> <p>Reporting in capacity of:</p> <table border="1"> <tr> <td><input checked="" type="checkbox"/></td> <td>Listed Company</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Intermediary</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Fiduciary</td> </tr> </table>	<input checked="" type="checkbox"/>	Listed Company	<input type="checkbox"/>	Intermediary	<input type="checkbox"/>	Fiduciary	Listed Company
<input checked="" type="checkbox"/>	Listed Company							
<input type="checkbox"/>	Intermediary							
<input type="checkbox"/>	Fiduciary							
3.	<p><b>A. Details of Designated Person (DP)</b></p> <p>i) Name of the DP</p> <p>ii) PAN of the DP</p> <p>iii) Designation of DP</p> <p>iv) Functional Role of DP</p> <p>v) Whether DP is Promoter or belongs to Promoter Group</p> <p><b>B. If Reporting is for immediate relative of DP</b></p> <p>i) Name of</p>	<p>Mr. Lakshminarayana Somisetty</p> <p>ATQPS7397P</p> <p>General Manager</p> <p>Production Head</p> <p>No</p>						



	ii) Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	Not Applicable
4.	Details of violations observed under Code of Conduct	Transacted during the 'Trading window closure' period is considered to be a violation of Clause 4 of Schedule B of SEBI (Prohibition of Insider Trading) Regulation, 2015.
5.	Action taken by Listed company	Caution has been issued on 17.05.2023 to Mr. Somisetty in order to cease & desist from trading during the trading window closure period and adhere to all the applicable provisions of the Insider Trading Code.  He has been further instructed that in case of any subsequent violation, stricter action(s) would be taken by the Company.
6.	Reasons recorded in writing for taking action stated above	Based on our findings and the undertaking dated 20.05.2023 received from the DP, it was noted that the said violation was not intentional and considering that it was 1 <sup>st</sup> time instance on the part of the DP. A cautionary warning letter shall suffice.  Further, the aforesaid details were placed before the Board in the meeting held on 29.05.2023.



		<p>Board took note of the following:</p> <ul style="list-style-type: none"> <li>✓ He was not in possession of any kind of UPSI.</li> <li>✓ This is a one-time mistake.</li> <li>✓ Traded merely due to oversightness.</li> </ul> <p>Hence, the Company comes to a conclusion that the aforesaid violation was mere negligence and there was no malafide intention on the part of the DP.</p> <p>However, the DP has submitted a written undertaking that he will be extra-cautious while executing transactions in the future and will ensure compliance of Code of Conduct and SEBI (Prohibition of Insider Trading) Regulations, 2015.</p>
7.	Details of the previous instances of violations, if any, since last financial year	Nil
8.	If any amount collected for Code of Conduct violation(s)	Nil
9.	Any other relevant information	Nil

**For SMS Lifesciences India Limited**

  
**Trupti Ranjan Mohanty**  
 Compliance officer



**PAN** : ATMPM2452P  
**Email id** : cs@smslife.in  
**Date** : June 2, 2023  
**Place** : Hyderabad

[Enclosed: undertaking received from Designated person]

## UNDERTAKING

I, **Mr. Lakshminarayana Somisetty**, resident of Flat No 504 Chatwal Residency, Annapoorna Enclave, Chanda Nagar, Hyderabad - 500050, being Designated Person as per the Insider Trading Code of SMS Lifesciences India Limited (**Company**), hereby declare and undertake that:

- I have traded in the securities of the Company during the window closure period due to negligence and with no malafide intentions.
- I hereby undertake that I will be extra-cautious in the future while trading in the securities of the Company.
- I understand that in case, the violation repeats then I shall be liable for monetary penalty as may be levied by the Board, the liability shall be in addition to the penalty levied by SEBI.

Kindly note that I was having no access to any kind of unpublished price-sensitive information while trading in the securities of the Company and this one-time mistake happened due to mere oversightedness.

Thanking you.

  
**Lakshminarayana Somisetty**

Place: Hyderabad

Date: 20/05/2023

**Enclosed:** format for disclosure of Transaction.

**Internal use:**

Recd. Date: 25 MAY 2023

Time:

For SMS Lifesciences India Limited  
Sign:

  
Company Secretary

20/05/2023

To

The Compliance Officer,

**SMS Lifesciences India Limited,**

Plot No: 19-III, Road No: 71, Jubilee Hills,

Opp. Bharatiya Vidya Bhavan Public School,

Hyderabad - 500034, Telangana State, India.

**CIN: L74930TG2006PLC050223**

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