# )G N A AAA, AW AN A A 792<sup>1</sup>1N 121 1 911A A A2 A5 AG A JAC AC A A n y AN nc AN A4511172 A AMA A29 A 1 2A Α A J C A A A N n c A/511/112A A A A/N n AAAA A9A AÎAfBA A Ay AC AfBA A, c AfBA A A A127A), CAA AAAWAnn AfMA AC AfMA AfMAC fbA Af A C A A w Af b n "A) Af b A A A Af A A A A A A AAAAw cAAA cAffaA AA<u>fb</u>AA An AAc Aw AAn AfBa A9) AfBa ACA A A A A C W A A Afb fb A

(formerly known as WIP (India) Private Limited),

) AAA AAAwn AN AfBA

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| Code of Conduct for Prohibition of Insider Trading – | Code Ref No.  |         |
|--|---------------|---------|
| Tower Infrastructure Trust                           | Code Owner    |         |
|  |               |         |
|  |               |         |
|  | Date of Issue | Version |
|  |               |         |

**Tower Infrastructure Trust** 

**Code of Conduct for Prohibition of Insider Trading** 

| 0 |  |
|---|--|
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|   |  |
|   |  |

**Preamble** 1. 0 0 0 0 0 0 0 0 Objective of the Code 2. 0 0 0 0 0 0 3. **Applicability Relevant Parties** 0 **Definitions** 4. "Applicable Law" 0

"Assets"

| "Board"              |   |   |   |  |   |   |
|----------------------|---|---|---|--|---|---|
| "Brookfield Group"   |   |   |   |  |   |   |
| "Code"               |   | 0 |   |  | 0 |   |
| "Compliance Officer" |   |   | 0 |  |   |   |
| 0                    | 0 |   |   |  |   | 0 |
| "Connected Person"   |   |   |   |  |   |   |
| O<br>U               |   |   |   |  |   |   |

| 0                                |     | 0 |   |   |   |     |
|----------------------------------|-----|---|---|---|---|-----|
| "Designated Persons"             |     |   |   |   | • |     |
| 0                                |     |   | 0 |   | 0 |     |
|                                  | 0   |   |   |   | 0 | 0 0 |
| 0                                | 0   |   |   | 0 |   |     |
| 0                                |     |   |   |   |   |     |
| (                                | 0   |   |   |   |   |     |
| 0 0                              |     | 0 |   |   |   |     |
| "Director"                       |     |   |   |   |   |     |
| "Generally available information | on" |   |   |   |   |     |
| "Immediate relative"             |     |   |   |   |   |     |
| <b>"Insider"</b> O               |     |   | 0 |   |   |     |
|                                  |     |   | ( | ) |   |     |
| "Investment Manager" U O         | 0   |   |   |   | 0 |     |
| "InvITs"                         |     |   |   |   |   |     |

| "Key Managerial Person"              |        |   |
|--------------------------------------|--------|---|
| "Legitimate Purpose"                 | O      |   |
|                                      |        |   |
| "Members"                            |        |   |
| "SEBI PIT Regulations" "Regulations" | 0      |   |
| "Tower InvIT Committee"              |        |   |
| SEBI                                 |        |   |
| "SEBI Act"                           |        |   |
| "SEBI InvIT Regulations"             |        |   |
| "Securities"                         |        |   |
| "Securities laws"                    |        |   |
| "Specified Persons" O                | O<br>O | 0 |
| Sponsor Group                        |        |   |
| SPVs Subsidiary Companies"           | 0      | 0 |

| Stock Exchange(s)           |           |         |       |   |   |   |  |
|-----------------------------|-----------|---------|-------|---|---|---|--|
| "Takeover regulations"      |           |         |       |   |   |   |  |
| "Trading"                   |           |         |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |
| "Trading Day"               |           |         |       |   |   |   |  |
| "Trading Window"            |           |         |       |   |   |   |  |
| "Trust"                     |           |         |       |   |   |   |  |
| "Unpublished Price Sensitiv | e Informa | tion/ l | JPSI" |   |   |   |  |
|                             |           |         |       |   |   |   |  |
|                             |           |         |       |   |   | 0 |  |
|                             |           |         |       |   | 0 | U |  |
|                             | 0         |         | 0     | 0 |   |   |  |
|                             |           |         |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |
|                             |           | 0       |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |
| 0                           |           |         |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |
|                             |           |         |       |   |   |   |  |

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## 5. <u>Duties of the Compliance Officer</u>

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## 7. <u>Preservation of UPSI</u>

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### 8. <u>Institutional Mechanism for prevention of insider trading</u>

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### 9. <u>Dealing in case of suspected leak or leak of UPSI</u>

Inquiry for leakage of UPSI: O

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Process for inquiry: O O

**Powers of investigating officer:** O

#### 10. Prohibition on communicating or procuring UPSI

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Takeover Regulations

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# 11. Principles of Fair Disclosure for purposes of Code of Practices and Procedures for Fair Disclosure of UPSI

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#### 12. Policy for determination of Legitimate Purpose

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O Legitimate Purpose Insider
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#### 13. Trading when in possession of unpublished price sensitive information

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O Prohibition on communicating or procuring UPSI

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O O Prohibition on communicating or procuring UPSI

14. <u>Trading by Designated Persons</u>

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15. Pre-clearance of Trades

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Annexure I

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Annexure II

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16. Trading Plans

O "Trading Plan"
Annexure III

|     |       | 0                     |   |             |                    |       |   |   |
|-----|-------|-----------------------|---|-------------|--------------------|-------|---|---|
|     |       | O                     |   |             |                    |       |   |   |
|     |       |                       |   | 0           |                    |       |   |   |
|     |       | Provided that         |   | 0           |                    |       |   | 0 |
|     |       |                       |   |             |                    |       |   | C |
|     |       |                       |   |             |                    |       |   | C |
|     |       |                       | 0 |             |                    |       |   |   |
|     |       | 0                     |   |             |                    |       |   |   |
|     |       | 0                     |   |             |                    |       |   |   |
|     |       | O                     |   |             |                    | 0     |   |   |
| 17. | Repoi | rting requirements    |   |             |                    |       |   |   |
|     |       | 0                     |   |             |                    |       |   |   |
|     |       |                       |   |             |                    |       |   |   |
|     |       |                       |   |             | O<br><b>Annexu</b> | re IV |   |   |
|     | 17.3  | Initial Disclosures   |   |             |                    |       |   |   |
|     |       |                       |   |             |                    |       | 0 |   |
|     |       |                       |   |             |                    |       |   |   |
|     |       |                       |   |             | Annexure \         | /     |   |   |
|     | 17.4  | Continual Disclosures |   |             |                    |       |   |   |
|     |       |                       |   |             | C                  | )     | 0 |   |
|     |       | 0                     |   | Annexure VI |                    |       |   |   |
|     |       |                       |   |             |                    |       |   |   |

|     | 0                            |                    |         |   |   | Annexure VII |   |
|-----|------------------------------|--------------------|---------|---|---|--------------|---|
|     | G                            |                    |         |   |   |              |   |
|     |                              |                    |         |   |   |              |   |
|     | 0                            |                    |         | 0 |   |              |   |
|     | 0                            |                    |         |   |   |              |   |
|     |                              |                    |         |   |   | 0            |   |
|     |                              |                    |         |   |   |              |   |
|     | Material financial relations | nıp                |         |   | 0 |              | 0 |
|     |                              |                    |         |   |   |              | 0 |
| 18. | Dissemination of Price Sensi | tive Information   |         |   |   |              |   |
|     |                              |                    | 0       |   |   |              |   |
|     |                              | 0                  |         |   |   |              |   |
|     |                              |                    |         |   |   |              |   |
|     |                              |                    |         |   |   |              |   |
|     |                              |                    |         |   |   |              |   |
|     |                              | 0                  |         |   |   |              |   |
|     |                              |                    |         |   |   |              |   |
| 19. | Procedure and Penalty for co | ontravention of th | is Code |   |   |              |   |
|     |                              | C                  | )       |   |   |              |   |
|     |                              |                    |         | 0 |   |              |   |

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20. Protection against retaliation and victimisation

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21. GeneralOO

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22. Review and amendment

#### **APPLICATION FOR PRE - CLEARANCE OF TRADING**

Date:

| To,<br>The Compliance Officer                           | 0               |                   |                      |        |
|---|-----------------|-------------------|----------------------|--------|
| 0   |                 | 0                 |                      |        |
| 0   | 0               | 0                 |                      | 0      |
| Details of Designated Person                            | า               |                   |                      |        |
|   |                 |                   |                      |        |
| 0   |                 |                   |                      |        |
|   |                 |                   |                      |        |
|   |                 |                   |                      |        |
| Duncles was a cought for                                |                 |                   |                      |        |
| Preclearance sought for  If pre-clearance sought for In | nmediate Relat  | ive. then         |                      |        |
| if pre clearance sought for in                          | mrediate nerati | ive, enen         |                      |        |
|   |                 |                   |                      |        |
| 0   | 16/1            |                   |                      |        |
| Details of Security held by se                          | elt/ Immediate  | Relative for whom | the pre-clearance is | sought |
|   |                 |                   |                      |        |
|   |                 |                   |                      |        |
|   |                 |                   |                      |        |
| Details of Proposed Transact                            | tion            |                   |                      |        |
| 0   |                 |                   | 0                    |        |
| D : 11 C: 1 .:C: 1                                      |                 |                   |                      |        |
| Details of identified account                           |                 |                   |                      |        |
| 0   |                 |                   |                      |        |
| 0   |                 |                   |                      |        |
|   |                 |                   |                      |        |
| Details of last trade, if any                           |                 |                   |                      |        |
|   |                 |                   |                      |        |
| U   |                 |                   |                      |        |
| 0   |                 |                   |                      |        |
|   |                 |                   |                      |        |

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Date:

Signature: Signature:

Name:

Designation:

Please provide all the information. Incomplete forms will not be accepted.

| PCO No. | Application received date | Approval<br>Date | Approval<br>Granted for | Approval granted for | Pre-clearance<br>valid upto | Compliance<br>Officer's<br>signature |
|---------|---------------------------|------------------|-------------------------|----------------------|-----------------------------|--------------------------------------|
|         |                           |                  | 0                       |                      |                             |                                      |

#### FORM OF DISCLOSURE OF TRANSACTIONS EXECUTED/NOT EXECUTUED

(To be furnished within 2 Trading Days of transaction/dealing in Securities of the Trust or if the transaction is not executed, within 2 Trading days of validity of pre-clearance period)

| 0   |   |  |  |  |  |  |  |
|---|---|--|--|--|--|--|--|
|   |   |  |  |  |  |  |  |
| 0   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
| If the trade was effected in the name of Immediate Relative |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
| 0   |   |  |  |  |  |  |  |
| Details of Pre-clearance approved                           |   |  |  |  |  |  |  |
|   | 0 |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
| 0   |   |  |  |  |  |  |  |
| Details of Transaction executed/ not executed               |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
| 0   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
| No. of Securities held prior to the date of transaction     |   |  |  |  |  |  |  |
| 0   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |
|   |   |  |  |  |  |  |  |

#### **APPLICATION FOR TRADING PLAN**

| Dat        | e:        |   |   |   |                        |
|------------|-----------|---|---|---|------------------------|
| To,<br>The | Compliand | ce <b>Officer</b><br>O                                |   |   |                        |
|            |           |   | O   |   |                        |
|            |           |   |   |   |                        |
|            | Sr. No.   | Nature of transaction<br>(Sale/Purchase/Subscription) | Date of transaction/period/interval for transaction | Value of<br>trade/ No. of<br>securities<br>transacted | Conditions<br>/Remarks |
|            |           |   |   |   |                        |
| Und        | ertaking: |   |   |   |                        |
|            | 0         |   | 0   |   |                        |
|            |           |   | 0   |   |                        |
|            |           |   |   |   |                        |
| Sign       | ature:    |   |   |   |                        |
| Date       | e:        |   |   |   |                        |

| Application recd. date | Approval Date | Approval No. | Compliance signature | Officer's |
|------------------------|---------------|--------------|----------------------|-----------|
|                        |               |              |                      |           |

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# FORM D SEBI (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7(3) – Transactions by Other connected persons as identified by the Investment Manager]

#### Details of trading in securities by other connected persons as identified by the Investment Manager

| Name, PAN, CIN/DIN, & address with contact nos. of other connecte | Conne<br>ct ion<br>with<br>Trust | Securities he prior to acquisition / disposal   |                                       | Securities ad  | equire | ed/Disp   | osed   | Securities he acquisition/  | -                                    | Date of allotmadvice acquise n of shares of Security specific spec | nent<br>e/<br>sitio<br>s/<br>sal | Date of intimatio n to the Investme nt Manager | Mode of acquisition / disposal (on market/publi c/ rights/ preferential offer / off market/ Inter-se transfer, | Exchang<br>e on<br>which<br>the<br>trade<br>was<br>execute<br>d |
|---|----------------------------------|---|---------------------------------------|--|--------|-----------|--|---|--------------------------------------|--|----------------------------------|--|--|---|
| d<br>persons<br>as<br>identifie<br>d by the<br>company            |                                  | Type of security (For eg. – Units, Warrants, Converti ble Debentur es, Rights entitlemen t, etc.) | No.<br>and<br>% of<br>h<br>oldin<br>g | Type of security (For eg. Units, Warran ts, Convert ible Debent ures, Rights entitlemen t, etc.) | N<br>o | Valu<br>e | Transactio n Type (Purchase/ Sale/ Pledge / Revocatio n/ Invocation / Others – Please specify) | Type of security (For eg. – Units, Warrants, Converti ble Debenture s, Rights entitlemen t, etc.) | No. and<br>% of<br>sharehol<br>di ng | Fro<br>m   | То                               |  | ESOPs etc.)  |   |
|   |                                  |   |                                       |  |        |           |  |   |                                      |  |                                  |  |  |   |

**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

#### Details of trading in derivatives on the securities of the Trust by other connected persons as identified by the Investment Manager

|                  | Exchange on which the trade was |                   |  |   |  |          |  |
|------------------|---------------------------------|-------------------|--|---|--|----------|--|
| Type of contract | Contract specifications         | E                 | Buy                                    | Sell  |  | executed |  |
|                  |                                 | Notional<br>Value | Number of units (contracts * lot size) | Notional Value  Number of  units (contracts * lot size) |  |          |  |
|                  |                                 |                   |  |   |  |          |  |
|                  |                                 |                   |  |   |  |          |  |
|                  |                                 |                   |  |   |  |          |  |

|   | 1 |  |  |  |  |  |  |  |  |  |  |  |  |
|---|---|--|--|--|--|--|--|--|--|--|--|--|--|
|   |   |  |  |  |  |  |  |  |  |  |  |  |  |
| Note: In case of Options, notional value shall be calculated based on Premium plus strike price of options. |   |  |  |  |  |  |  |  |  |  |  |  |  |
| Name:   |   |  |  |  |  |  |  |  |  |  |  |  |  |
| Signature:  |   |  |  |  |  |  |  |  |  |  |  |  |  |
| Date:<br>Place:   |   |  |  |  |  |  |  |  |  |  |  |  |  |

#### **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/ Sponsor/Member of the Sponsor group]

Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director of the Investment Manager or the SPVs or upon becoming a Sponsor or member of Sponsor Group of the Trust and each of their Immediate Relatives and other such persons as mentioned in Regulation 6(2)

| Name, PAN, CIN/DIN & address with contact nos. | Category of Person<br>(KMP/ Director or<br>Sponsor or member of<br>the Sponsor group / | Date of Appointment of KMP/ Director OR date of becoming Sponsor / member of the Sponsor | Securities held at the time of a KMP/ Director or upon becomin member of the Sponsor group | % of Shareholding |     |
|--|--|--|--|-------------------|-----|
|  | Immediate relative to / Others etc.)   | group  | Type of securities (For eg. – Units, , 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.

| Name & Signature: |  |
|-------------------|--|
| Designation:      |  |
| Place:            |  |
| Date:             |  |

# FORM C SEBI (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7 (2) read with Regulation 6(2) – Continual disclosure]

Details of change in holding of Securities of the Sponsor, Member of the Sponsor Group, Designated Person or Director of the SPV, Investment Manager and immediate relatives of such persons and other such persons as mentioned in Regulation 6(2):

| Name,   | Category  | Securities he | eld      | Securities ac | quir | ed/Disp | osed       |              | •           |        | of    | Date of   | Mode of       | Exchan  |
|---------|-----------|---------------|----------|---------------|------|---------|------------|--------------|-------------|--------|-------|-----------|---------------|---------|
| PAN,    | of Person | prior to acqu | uisition |               |      |         |            | acquisition/ | disposal    | allotn | nen   | intimatio | acquisition / | ge on   |
| CIN/DI  | (Sponsor  | / disposal    |          |               |      |         |            |              |             | t advi | -     | n to      | disposal (on  | which   |
| N, &    | s/        |               |          |               |      |         |            |              |             | acqui  | sitio | Investme  | market/publ   | the     |
| addres  | member    |               |          |               |      |         |            |              |             | n of   |       | nt        | ic/ rights/   | trade   |
| s with  | of the    |               |          |               |      |         |            |              |             | secur  | ities | Manager   | preferential  | was     |
| contact | Sponsor   |               |          |               |      |         |            |              |             | / disp | osal  |           | offer / off   | execute |
| nos     | group/    |               |          |               |      |         |            |              |             | of     |       |           | market/       |         |
|         | designat  |               |          |               |      |         |            |              |             | Secur  | ities |           | Inter-se      |         |
|         | ed        |               |          |               |      |         |            |              |             | , spec | ify   |           | transfer,     |         |
|         | person/   | Type of       | No.      | Type of       | N    | Valu    | Transact   | Type of      | No. and %   | Fro    |       |           | ESOPs etc.)   |         |
|         | Directors | security      | and %    | security      | 0    | е       | ion Type   | security     | of          | m      | То    |           |               |         |
|         | /         | (For eg. –    | of       | (For eg. –    |      |         | (purchase  | (For eg. –   | shareholdin |        |       |           |               |         |
|         | Immedia   | Units, ,      | holdin   | Units,        |      |         | / Sale/    | Units,       | g           |        |       |           |               |         |
|         | te        | Converti      | g        | Warrants,     |      |         | Pledge /   | Convertible  |             |        |       |           |               |         |
|         | relative  | ble           |          | Convertibl    |      |         | Revocatio  | Debentures   | ,           |        |       |           |               |         |
|         | to /      | Debentur      |          | е             |      |         | n/         | Rights       |             |        |       |           |               |         |
|         | others    | es, Rights    |          | Debenture     |      |         | Invocatio  | entitlement  |             |        |       |           |               |         |
|         | etc.)     | entitlemen    |          | s, Rights     |      |         | n/ Others- | s etc.)      |             |        |       |           |               |         |
|         |           | ts etc.)      |          | entitlemen    |      |         | please     |              |             |        |       |           |               |         |
|         |           |               |          | ts etc.)      |      |         | specify)   |              |             |        |       |           |               |         |
|         |           |               |          |               |      |         |            |              |             |        |       |           |               |         |
|         |           |               |          |               |      |         |            |              |             |        |       |           |               |         |
|         |           |               |          |               |      |         |            |              |             |        |       |           |               |         |
|         |           |               |          |               |      |         |            |              |             |        |       |           |               |         |

**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.

Details of trading in derivatives on the securities of the company by Sponsor, member of the sponsor group, designated person or Director of a SPV or the Investment Manager and immediate relatives of such persons and other such persons as mentioned in Regulation 6(2):

|                  | Trading in derivatives (Specify type of contract, Futures or Options etc) |          |             |                |            |          |  |  |  |  |  |
|------------------|---|----------|-------------|----------------|------------|----------|--|--|--|--|--|
| Type of contract | Contract specifications   | Buy      |             | Sell           |            | executed |  |  |  |  |  |
|                  |   | Notional | Number of   | Notional Value | Number of  |          |  |  |  |  |  |
|                  |   | Value    | Securities  |                | Securities |          |  |  |  |  |  |
|                  |   |          | (contracts  | (contracts *   |            |          |  |  |  |  |  |
|                  |   |          | * lot size) |                | lot size)  |          |  |  |  |  |  |
|                  |   |          |             |                |            |          |  |  |  |  |  |
|                  |   |          |             |                |            |          |  |  |  |  |  |
|                  |   |          |             |                |            |          |  |  |  |  |  |

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

| Name & Signature: |  |
|-------------------|--|
| Designation:      |  |
| Date:             |  |
| Place:            |  |

#### **ANNUAL DISCLOSURE FORM**

(To be furnished before April 30 each year for the previous year)

|        | Name                                      |                  |  |                 |                       |                       |  |  |
|--------|---|------------------|--|-----------------|-----------------------|-----------------------|--|--|
|        | PAN                                       |                  |  |                 |                       |                       |  |  |
|        | (in case of PAN is no                     | t available, an  |  |                 |                       |                       |  |  |
|        | authorized by law)                        |                  |  |                 |                       |                       |  |  |
|        | Designation                               |                  |  |                 |                       |                       |  |  |
|        | Location                                  |                  |  |                 |                       |                       |  |  |
|        | Contact Nos.                              |                  |  |                 |                       |                       |  |  |
|        | Email Id                                  |                  |  |                 |                       |                       |  |  |
|        | <b>Educational Institut</b>               | ion of Graduat   | tion                                   |                 |                       |                       |  |  |
|        | Details of Past Emp                       | loyment          |  |                 |                       |                       |  |  |
|        | (Name of the past e                       | mployer/ orga    |  |                 |                       |                       |  |  |
|        | Date of declaration                       |                  |  |                 |                       |                       |  |  |
| 10     | Details of Securities held in the Trust   |                  |  |                 |                       |                       |  |  |
| a.     | Held by the Designo                       | ited Person      |  |                 |                       |                       |  |  |
| No.    | of Securities                             | Type of          | Folio No(s), if held in                | physical form:  | If held in demat form |                       |  |  |
|        |   | Security         |  |                 | DP ID                 | Client ID             |  |  |
|        |   |                  |  |                 |                       |                       |  |  |
|        |   |                  |  |                 |                       |                       |  |  |
|        | Held by the Immedi                        | ate Relative /   | person with whom Des                   | signated Person | shares Mater          | ial Financial         |  |  |
|        | Relationship                              |                  |  |                 |                       |                       |  |  |
| Nan    | ne of Immediate Rela                      | tive             |  |                 |                       |                       |  |  |
| Rela   | tionship                                  |                  |  |                 |                       |                       |  |  |
| PAN    | 1   |                  |  |                 |                       |                       |  |  |
| (in c  |   |                  |  |                 |                       |                       |  |  |
| (,,, c | ase of PAN is not avai                    | ilable, any othe | er identifier                          |                 |                       |                       |  |  |
| •      | ase of PAN is not avai<br>porized by law) | ilable, any othe | er identifier                          |                 |                       |                       |  |  |
| auth   | •   | ilable, any othe | er identifier  Folio No(s), if held in | physical form:  | If held in de         | mat form              |  |  |
| auth   | orized by law)                            | . ,              | _                                      | physical form:  | If held in de         | mat form<br>Client ID |  |  |
| auth   | orized by law)                            | Type of          | _                                      | physical form:  | <u> </u>              |                       |  |  |

#### Notes:

- Immediate Relative includes spouse, parent, sibling and their children or of the spouse, any of whom is either dependent financially on them, or consults them in taking decisions relating to Trading in Securities.
- 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 during the immediately preceding 12 months, equivalent to at
  least 25% of such payer's annual income but shall exclude relationship in which payment is based on
  arm's length transaction