



November 07, 2024

BSE Ltd, Corporate Relationship Department, Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400 001 Scrip Code: 544057	National Stock Exchange of India Ltd. Listing Department, Exchange Plaza, Bandra-Kurla Complex, Bandra (East), Mumbai- 400 051 Symbol: HAPPYFORGE
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Dear Ma'am/Sir

Sub: Reporting of violation under SEBI (Prohibition of Insider Trading) Regulations, 2015

Please see enclosed report in the Annexure-A attached on the violation under SEBI (Prohibition of Insider Trading) Regulations, 2015 relating to the Company's Code of Conduct for Insider Trading to regulate, monitor and report trading by insiders, by designated persons and their immediate relatives, in the format prescribed by SEBI vide Circular No. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.

Kindly take the above information on record.

Thanking You

For Happy Forgings Limited

Bindu Garg
Company Secretary & Compliance Officer
M.N.: F6997
Happy Forgings Limited
B-XXIX-2254/1, Kanganwal Road,
P O Jugiana, Ludhiana- 141120

Regd Office :



+91 161 251 0421

+91 161 251 0422



info@happyforgingsltd.com

www.happyforgingsltd.com



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CIN L28910PB1979PLC004008

India – 141120



Annexure - A

Report by Happy Forgings Limited for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015

Sr. No.	Particulars	Details
1	Name of the listed company/ Intermediary/Fiduciary	Happy Forgings Limited
2	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3	A. Details of Designated Person (DP)	
	i. Name of the DP	Ms. Sudesh Kumari Agarwal
	ii. PAN of the DP	
	iii. Designation of DP	NA
	iv. Functional Role of DP	No functional role in the Company
	v. Whether DP is promoter or part of the Promoter group	Yes
	B. If Reporting is for immediate relative of DP	
	i. Name of the immediate relative of DP	NA
	ii. PAN of the immediate relative of DP	NA
	C. Details of transaction(s)	
	i. Name of the scrip	Equity Shares of Happy Forgings Limited (Scrip Code: 540557 / Trading Symbol: HAPPYFORGE)
	ii. No of shares traded and value (Rs.) (Date- wise)	On June 12, 2024: 10 Equity shares were bought for ₹ 11,650

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		<p>On June 18, 2024:</p> <p>15 Equity shares were bought for ₹ 17956.05</p> <p>On June 20, 2024:</p> <p>60 Equity shares were bought for ₹ 60441.25</p> <p>On August 29, 2024:</p> <p>75 Equity shares were sold for ₹ 88650</p>
	D. In case value of trade(s) is more than Rs. 10 Lacs in a calendar quarter	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	NA
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	NA
4	Details of violations observed under Code of Conduct	Equity shares were sold executing contra trade.
5	Action taken by Listed company/ Intermediary/ Fiduciary	Since the transaction was at a loss and was done out of negligence for the first time, the Audit Committee has issued a warning (without any penalty)
6	Reasons recorded in writing for taking action stated above	Since there was no profit in the transaction and it was for the first time done negligently , so the committee did not levy any penalty and closed with a warning.
7	Details of the previous instances of violations, if any, since last financial year	NA

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8	If any amount collected for the Code of Conduct violation(s)																							
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	NA																						
	ii. Details of transfer/payment: In case of Online: <table border="1"><thead><tr><th>Particulars</th><th>Details</th></tr></thead><tbody><tr><td>Name of the transferor</td><td></td></tr><tr><td>Bank Name, branch and Account number</td><td></td></tr><tr><td>UTR/Transaction reference Number</td><td></td></tr><tr><td>Transaction date</td><td></td></tr><tr><td>Transaction Amount (in Rs.)</td><td></td></tr></tbody></table> In case of Demand Draft (DD): <table border="1"><thead><tr><th>Particulars</th><th>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	Name of the transferor		Bank Name, branch and Account number		UTR/Transaction reference Number		Transaction date		Transaction Amount (in Rs.)		Particulars	Details	Bank Name and branch		DD Number		DD date		DD amount (in Rs.)		NA
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9	Any other relevant information	NA																						

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