

Registered Office: 2nd floor, Muthoot Chambers, Opp. Saritha Theatre Complex, Banerji Road, Ernakulam - 682 018 Kerala, India. CIN: L65910KL1997PLC 011300

Phone: +91 484 2396478, 2394712 Fax: +91 484 2396506, 2397399 mails@muthootgroup.com www.muthootgroup.com

Ref: SEC/MFL/SE/2021/3761

February 11, 2021

National Stock Exchange of India Ltd.

Exchange Plaza Plot no. C/1, Block G, Bandra- Kurla Complex, Bandra (E), Mumbai - 400 051 Symbol: MUTHOOTFIN **BSE** Limited,

Phiroze Jeejeebhoy Towers Dalal Street Mumbai - 400 001 Scrip Code: 533398

Dear Sir/Madam,

Sub: Intimation under Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015.

We are forwarding the report on the instances of violations of code of conduct adopted by Muthoot Finance Limited under Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015 by certain Designated Persons of the Company.

We request you to take the same on record.

Thanking You,

For Muthoot Finance Limited

Rajesh A

Company Secretary



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

S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	 Listed Company Intermediary Fiduciary 	Listed Company
	A. Details of Designated Person (DP)	
	i. Name of the DP	Renish Joseph
	ii. PAN of the DP	AJAPJ8177C
	iii. Designation of DP	Senior Project Engineer
	iv. Functional role of DP	Senior Project Engineer -
		Accounts & Taxation
	v. Whether DP is Promoter or belongs to	No
	Promoter group	
	B. If Reporting is for immediate relative of DP	No
	i. Name of the immediate relative of DP	
	ii. PAN of the immediate relative of DP	
	C. Details of the transaction(s)	
2	i. Name of the Scrip	Muthoot Finance Limited
3.	ii. No. of shares traded and value (Rs.)	Sold 40 shares @ 1253.70 per
	(Date-wise)	share on 04/01/2021.
	D. In case value of trade(s) is more than Rs.10 lacs	
	in a calendar quarter	274
	i. Date of intimation of trade(s) by	NA
	concerned	
	DP/Director/Promoter/Promoter group to Company under regulation 7 of SEBI	
	(PIT) Regulations, 2015.	
	ii. Date of intimation of trade(s) by	NA
	Company to Stock Exchanges under	INA
	regulation 7 of SEBI (PIT) Regulations,	
	2015.	
	2010.	
L	1	



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4.	Details of violations observed under Code of Conduct	Trading on shares of the
		Company during the window
		closure period.
5.	Action taken by Listed	Warning Letter issued as per the
	company/Intermediary/Fiduciary	Insider Code of Conduct of the
		Company under Regulation 9 of
		SEBI (PIT) Regulations, 2015.
	Reasons recorded in writing for taking action stated	Being the first-time offence, a
	above	warning letter was issued as per
6.		the Insider Code of Conduct
		under regulation 9 of the SEBI
		(PIT) Regulations, 2015.
	Details of the previous instances of violations if any	The efficiency of the state of
7.	since last financial year	First Time Violation.
	If any amount collected for Code of Conduct	
	violation(s)	No
	i. Mode of transfer to SEBI – IEPF	
	(Online/Demand Draft)	
	ii. Details of transfer/payment	
	In case of online:	
	Name of the transferor	
	Bank Name, Branch and Account number	NA
	UTR/Transaction reference Number	
8.	Transaction date	
	Transaction Amount (in Rs.)	
	In case of Demand Draft (DD)	
	Bank Name and branch	
	DD Number	NA
	DD Date	
	DD Amount (in Rs.)	
9.	Any other relevant information	No
٦٠.	They office relevant information	110

Date : 11.02.2021 Place : Kochi Name of Compliance Officer : Rajesh A

Signature of Compliance Officer

PAN : AJPPA8277P



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S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	 Listed Company Intermediary Fiduciary 	Listed Company
	A. Details of Designated Person (DP)	
	i. Name of the DP	Sivaramakrishnan
	ii. PAN of the DP	BUYPS7040D
	iii. Designation of DP	Secretary to ED
	iv. Functional role of DP	Secretary to ED – Director's Secretariat
	v. Whether DP is Promoter or belongs to Promoter group	No
3.	 B. If Reporting is for immediate relative of DP Name of the immediate relative of DP PAN of the immediate relative of DP C. Details of the transaction(s) Name of the Scrip No. of shares traded and value (Rs.) (Date-wise) D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter Date of intimation of trade(s) by concerned DP/Director/Promoter/Promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015. Date of intimation of trade(s) by Company to Stock Exchanges under regulation 7 of SEBI (PIT) Regulations, 2015. 	Muthoot Finance Limited Sold 18 shares @ 1136.20 per share on 27/01/2021. NA NA



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4.	Details of violations observed under Code of Conduct	Trading on shares of the
		Company during the window
_		closure period.
5.	Action taken by Listed	Warning Letter issued as per the
	company/Intermediary/Fiduciary	Insider Code of Conduct of the
		Company under Regulation 9 of
		SEBI (PIT) Regulations, 2015.
	Reasons recorded in writing for taking action stated	Being the first-time offence, a
	above	warning letter was issued as per
6.		the Insider Code of Conduct
		under regulation 9 of the SEBI
	Details of the assessment instances of six-latings if any	(PIT) Regulations, 2015.
7	Details of the previous instances of violations if any	First Time Violation.
7.	since last financial year	FIRST TIME VIOLATION.
	If any amount collected for Code of Conduct violation(s)	No
	i. Mode of transfer to SEBI – IEPF	NO
	(Online/Demand Draft)	
	ii. Details of transfer/payment	
	ii. Details of transfer, payment	
	In case of online:	
	Name of the transferor	
	Bank Name, Branch and Account number	NA
	UTR/Transaction reference Number	
8.	Transaction date	
	Transaction Amount (in Rs.)	
	In case of Demand Draft (DD)	
	Bank Name and branch	
	DD Number	NA
	DD Date	
	DD Amount (in Rs.)	
9.	Any other relevant information	No

Date : 11.02.2021 Place : Kochi Name of Compliance Officer : Rajesh A

Signature of Compliance Officer

PAN : AJPPA8277P



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

S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	1. Listed Company	Listed Company
	2. Intermediary	
	3. Fiduciary	
	A. Details of Designated Person (DP)	
	i. Name of the DP	Raj Philip
	ii. PAN of the DP	BNPPP2656A
	iii. Designation of DP	Secretary to Whole Time
	O O	Director
	iv. Functional role of DP	Secretary to Whole Time
		Director - Director Secretariat
	v. Whether DP is Promoter or belongs to	No
	Promoter group	
	B. If Reporting is for immediate relative of DP	No
	i. Name of the immediate relative of DP	
	ii. PAN of the immediate relative of DP	
0	C. Details of the transaction(s)	
3.	i. Name of the Scrip	Muthoot Finance Limited
	ii. No. of shares traded and value (Rs.)	1. Sold 185 shares @
	(Date-wise)	1275.00 per share on
		05/01/2021.
		2. Purchased 100 shares @
	D. In case value of trade(s) is more than Rs.10 lacs	1203.60 on 15/01/2021
	in a calendar quarter	
	i. Date of intimation of trade(s) by	NA
	concerned	
	DP/Director/Promoter/Promoter group	
	to Company under regulation 7 of SEBI	
	(PIT) Regulations, 2015.	
	ii. Date of intimation of trade(s) by	NA
	Company to Stock Exchanges under	
	regulation 7 of SEBI (PIT) Regulations,	
	2015.	



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4.	Details of violations observed under Code of Conduct	Trading on shares of the Company during the window
		closure period and Contra
		Trade.
5.	Action taken by Listed	Warning Letter issued as per the
	company/Intermediary/Fiduciary	Insider Code of Conduct of the
		Company under Regulation 9 of
		SEBI (PIT) Regulations, 2015.
	Reasons recorded in writing for taking action stated	Being the first-time offence, a
	above	warning letter was issued as per
6.		the Insider Code of Conduct
		under regulation 9 of the SEBI (PIT) Regulations, 2015.
	Details of the previous instances of violations if any	(111) Regulations, 2015.
7.	since last financial year	First Time Violation.
	If any amount collected for Code of Conduct	
	violation(s)	No
	i. Mode of transfer to SEBI – IEPF	
	(Online/Demand Draft)	
	ii. Details of transfer/payment	
	In case of online:	
	Name of the transferor	
	Bank Name, Branch and Account number	NA
	UTR/Transaction reference Number	
8.	Transaction date	
	Transaction Amount (in Rs.)	
	In case of Demand Draft (DD)	
	Bank Name and branch	
	DD Number	NA
	DD Date	
	DD Amount (in Rs.)	
9.	Any other relevant information	No

Date : 11.02.2021 Place : Kochi Name of Compliance Officer : Rajesh A

Signature of Compliance Officer :

PAN : AJPPA8277P



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S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	 Listed Company Intermediary Fiduciary 	Listed Company
	A. Details of Designated Person (DP)	
	i. Name of the DP	Baiju Krishnan
	ii. PAN of the DP	BQJPK9528D
	iii. Designation of DP	Secretary to Whole Time Director
	iv. Functional role of DP	Secretary to Whole Time Director – Director Secretariat
	v. Whether DP is Promoter or belongs to Promoter group	No
3.	 B. If Reporting is for immediate relative of DP Name of the immediate relative of DP PAN of the immediate relative of DP C. Details of the transaction(s) Name of the Scrip No. of shares traded and value (Rs.) (Date-wise) 	Muthoot Finance Limited 1. Sold 75 shares @ 1275.15 per share on 05/01/2021. 2. Sold 25 shares @ 1296.75 per share on 06/01/2021. 3. Sold 25 shares @ 1278.29 per share on 07/01/2021 4. Purchased 50 shares @ 1258.13 per share on 11/01/2021. 5. Purchased 150 shares @ 1244.28 per share on 13/01/2021. 6. Purchased 50 shares @ 1204.00 per share on 15/01/2021.



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		7. Purchased 50 shares @ 1173.92 per share on 18/01/2021.
	 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. ii. Date of intimation of trade(s) by Company to Stock Exchanges under regulation 7 of SEBI (PIT) Regulations, 2015. 	NA NA
4.	Details of violations observed under Code of Conduct	Trading on shares of the Company during the window closure period and Contra Trade.
5.	Action taken by Listed company/Intermediary/Fiduciary	Warning Letter issued as per the Insider Code of Conduct of the Company under Regulation 9 of SEBI (PIT) Regulations, 2015.
6.	Reasons recorded in writing for taking action stated above	Being the first-time offence, a warning letter was issued as per the Insider Code of Conduct under regulation 9 of the SEBI (PIT) Regulations, 2015.
7.	Details of the previous instances of violations if any since last financial year If any amount collected for Code of Conduct	First Time Violation.
	violation(s) i. Mode of transfer to SEBI – IEPF (Online/Demand Draft) ii. Details of transfer/payment	No
8.	In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)	NA



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	In case of Demand Draft (DD) Bank Name and branch DD Number DD Date DD Amount (in Rs.)	NA
9.	Any other relevant information	No

Date : 11.02.2021 Place : Kochi Name of Compliance Officer : Rajesh A

Signature of Compliance Officer

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S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	 Listed Company Intermediary Fiduciary 	Listed Company
	A. Details of Designated Person (DP)	
	i. Name of the DP	K.N.C Nair
	ii. PAN of the DP	ABQPN6005K
	iii. Designation of DP	Senior General Manager
	iv. Functional role of DP	Senior General Manager - IT
		Department
	v. Whether DP is Promoter or belongs to Promoter group	No
3.	B. If Reporting is for immediate relative of DP i. Name of the immediate relative of DP ii. PAN of the immediate relative of DP C. Details of the transaction(s) i. Name of the Scrip ii. No. of shares traded and value (Rs.) (Date-wise)	Muthoot Finance Limited 1. Sold 20 shares @ 1250.73 per share on 04/01/2021. 2. Sold 110 shares @ 1273.62 per share on 05/01/2021. 3. Sold 10 shares @ 1287.13 per share on 08/01/2021. 4. Purchased 180 shares @ 1220.00 per share on 15/01/2021.
	 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



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	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	Trading on shares of the Company during the window closure period and Contra Trade.
5.	Action taken by Listed company/Intermediary/Fiduciary	Warning Letter issued as per the Insider Code of Conduct of the Company under Regulation 9 of SEBI (PIT) Regulations, 2015.
6.	Reasons recorded in writing for taking action stated above	Being the first-time offence, a warning letter was issued as per the Insider Code of Conduct under regulation 9 of the SEBI (PIT) Regulations, 2015.
7.	Details of the previous instances of violations if any since last financial year	First Time Violation.
	If any amount collected for Code of Conduct violation(s) i. Mode of transfer to SEBI – IEPF (Online/Demand Draft) ii. Details of transfer/payment	No
8.	In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)	NA
	In case of Demand Draft (DD) Bank Name and branch DD Number DD Date DD Amount (in Rs.)	NA
9.	Any other relevant information	No

Date : 11.02.2021
Place : Kochi
Name of Compliance Officer : Rajesh A

Signature of Compliance Officer

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S.No.	Particulars	Details
1.	Name of the Listed Company/Intermediary/Fiduciary	Muthoot Finance Limited
	Reporting in Capacity of:	
2.	 Listed Company Intermediary Fiduciary 	Listed Company
	A. Details of Designated Person (DP)	
	i. Name of the DP	Kailash Chandra Das
	ii. PAN of the DP	BLJPD6397Q
	iii. Designation of DP	Product Manager
	iv. Functional role of DP	Product Manager - Business
		Performance
	v. Whether DP is Promoter or belongs to Promoter group	No
3.	 B. If Reporting is for immediate relative of DP Name of the immediate relative of DP PAN of the immediate relative of DP C. Details of the transaction(s) Name of the Scrip No. of shares traded and value (Rs.) (Date-wise) 	Muthoot Finance Limited 1. Sold 100 shares @
	 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 	NA



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	to Company under regulation 7 of SEBI	
	(PIT) Regulations, 2015.	
	ii. Date of intimation of trade(s) by	
	Company to Stock Exchanges under	NA
	regulation 7 of SEBI (PIT) Regulations,	
	2015.	
4.	Details of violations observed under Code of Conduct	Trading on shares of the
		Company during the window
		closure period and Contra
		Trade.
5.	Action taken by Listed company/Intermediary/Fiduciary	Warning Letter issued as per the
		Insider Code of Conduct of the
		Company under Regulation 9 of
		SEBI (PIT) Regulations, 2015.
	Reasons recorded in writing for taking action stated above	Being the first-time offence, a
		warning letter was issued as per the
6.		Insider Code of Conduct under
		regulation 9 of the SEBI (PIT)
	Details of the granicus instances of violations if any since last	Regulations, 2015.
7.	Details of the previous instances of violations if any since last financial year	First Time Violation.
/.	If any amount collected for Code of Conduct violation(s)	That time violation.
	i. Mode of transfer to SEBI – IEPF	No
	(Online/Demand Draft)	110
	ii. Details of transfer/payment	
	ii. Betails of transfer, payment	
	In case of online:	
	Name of the transferor	
	Bank Name, Branch and Account number	
	UTR/Transaction reference Number	NA
	Transaction date	
8.	Transaction Amount (in Rs.)	
	In case of Demand Draft (DD)	
	Bank Name and branch	
	DD Number	
	DD Date	NA
	DD Amount (in Rs.)	
9.	Any other relevant information	No
Date	· 11 02 2021	- 1-

Date : 11.02.2021
Place : Kochi
Name of Compliance Officer : Rajesh A

Signature of Compliance Officer

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