

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

Report by Muthoot Finance 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) Regulations, 2015

S.No.	Particulars	Details
1.	Name of the Listed Company/ Intermediary / Fiduciary	Muthoot Finance Limited
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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 Promoter group	No
	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)	
i. Name of the Scrip	Muthoot Finance Limited	
ii. No. of shares traded and value (Rs.) (Date-wise)	Sold 40 shares @ 1253.70 per share on 04/01/2021.	
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	
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.
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.
8.	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI - IEPF (Online/Demand Draft)</p> <p>ii. Details of transfer/payment</p> <p>In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)</p> <p>In case of Demand Draft (DD) Bank Name and branch DD Number DD Date DD Amount (in Rs.)</p>	<p>No</p> <p>NA</p> <p>NA</p>
9.	Any other relevant information	No

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

Signature of Compliance Officer :



PAN : AJPPA8277P
Email ID : rajesh.warrier@muthootgroup.com

Report by Muthoot Finance 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) Regulations, 2015

S.No.	Particulars	Details
1.	Name of the Listed Company/ Intermediary / Fiduciary	Muthoot Finance Limited
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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
	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)	
i. Name of the Scrip	Muthoot Finance Limited	
ii. No. of shares traded and value (Rs.) (Date-wise)	Sold 18 shares @ 1136.20 per share on 27/01/2021.	
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	
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.
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.
8.	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI - IEPF (Online/Demand Draft)</p> <p>ii. Details of transfer/payment</p> <p>In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)</p> <p>In case of Demand Draft (DD) Bank Name and branch DD Number DD Date DD Amount (in Rs.)</p>	<p>No</p> <p>NA</p> <p>NA</p>
9.	Any other relevant information	No

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

Signature of Compliance Officer :



PAN : AJPPA8277P
Email ID : rajesh.warrier@muthootgroup.com

Report by Muthoot Finance 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) Regulations, 2015

S.No.	Particulars	Details
1.	Name of the Listed Company/ Intermediary / Fiduciary	Muthoot Finance Limited
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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 Director
	iv. Functional role of DP	Secretary to Whole Time Director - Director Secretariat
	v. Whether DP is Promoter or belongs to Promoter group	No
	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)	
i. Name of the Scrip	Muthoot Finance Limited	
ii. No. of shares traded and value (Rs.) (Date-wise)	1. Sold 185 shares @ 1275.00 per share on 05/01/2021. 2. Purchased 100 shares @ 1203.60 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	
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.
8.	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI - IEPF (Online/Demand Draft)</p> <p>ii. Details of transfer/ payment</p> <p>In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)</p> <p>In case of Demand Draft (DD) Bank Name and branch DD Number DD Date DD Amount (in Rs.)</p>	<p>No</p> <p>NA</p> <p>NA</p>
9.	Any other relevant information	No

Date : 11.02.2021

Place : Kochi

Name of Compliance Officer : Rajesh A

Signature of Compliance Officer :



PAN : AJPPA8277P

Email ID : rajesh.warrier@muthootgroup.com

Report by Muthoot Finance 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) Regulations, 2015

S.No.	Particulars	Details
1.	Name of the Listed Company/ Intermediary / Fiduciary	Muthoot Finance Limited
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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
	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	No
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 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.	

	<p>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</p> <p>i. Date of intimation of trade(s) by concerned DP/Director/Promoter/Promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015.</p> <p>ii. Date of intimation of trade(s) by Company to Stock Exchanges under regulation 7 of SEBI (PIT) Regulations, 2015.</p>	<p>7. Purchased 50 shares @ 1173.92 per share on 18/01/2021.</p> <p>NA</p> <p>NA</p>
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.
8.	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI - IEPF (Online/Demand Draft)</p> <p>ii. Details of transfer/payment</p> <p>In case of online: Name of the transferor Bank Name, Branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.)</p>	<p>No</p> <p>NA</p>

	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 : 

PAN : AJPPA8277P
Email ID : rajesh.warrier@muthootgroup.com


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S.No.	Particulars	Details
1.	Name of the Listed Company/ Intermediary / Fiduciary	Muthoot Finance Limited
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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
	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	No
	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

	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.
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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
2.	Reporting in Capacity of: 1. Listed Company 2. Intermediary 3. Fiduciary	Listed Company
3.	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
	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)	
i. Name of the Scrip	Muthoot Finance Limited	
ii. No. of shares traded and value (Rs.) (Date-wise)	1. Sold 100 shares @ 1262.00 per share on 04/01/2021. 2. Purchased 100 shares @ 1177.65 per share on 18/01/2021. 3. Sold 100 shares @ 1183 per share on 18/01/2021. 4. Purchased 100 shares @ 1193.75 per share on 21/01/2021	
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	NA	

	<p>ii. 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.</p>	NA
4.	Details of violations observed under Code of Conduct	Trading on shares of the Company during the window closure period and Contra Trade.
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Date : 11.02.2021

Place : Kochi

Name of Compliance Officer : Rajesh A

Signature of Compliance Officer :

PAN : AJPPA8277P

Email ID : rajesh.warrier@muthootgroup.com