



MANAPPURAM[®] FINANCE LIMITED

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Ref: Sec/SE/273/20-21
27th August 2020

BSE Limited Phiroze Jeejeebhoy Towers Dalal Street Mumbai- 400001 Scrip Code: 531213	National Stock Exchange of India Limited 5th Floor, Exchange Plaza Bandra (East) Mumbai – 400 051 Scrip Code: MANAPPURAM
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Dear Sir/Madam,

We are attaching herewith report for the violations related to the code of conduct under SEBI (PIT) Regulations, 2015, in the latest format prescribed by SEBI

Request you to kindly take the same on your record.

Thanking you.

Yours Faithfully,

For Manappuram Finance Limited

Manojkumar V.R
Company Secretary

India's First Listed and Highest Credit Rated Gold Loan Company

Registered & Corporate Office : (CIN-L65910KL1992PLC006623) IV/470A (old) W638A(New), Manappuram House, Valapad, Thrissur, Kerala - 680 567, India
Tel : 0487 - 3050100, 3050108 Fax : 0487 - 2399298 E mail : mail@manappuram.com Website : www.manappuram.com



Report by (Name of the listed company/ Intermediary/Fiduciary) 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

Sr No	Particulars	Details
1	Name of the listed company/ Intermediary/Fiduciary	Manappuram Finance Limited
2	Please tick appropriate checkbox Reporting in capacity of : <input checked="" 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	Mr. Shrineel Goswami
	ii PAN of the DP	APJPG8474N
	iii Designation of DP	Sr. Manager
	iv Functional Role of DP	Sr. Manager at RM/ARM Office(Audit), Kadugondanahalli, Bangalore.
	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	NA
	ii. PAN of the immediate relative of DP	NA
	C. Details of transaction(s)	
i. Name of the scrip	Manappuram Finance Limited	
ii. No of NCD (Debentures) traded and value (Rs.) (Date- wise)	Sold 10 NCDs @ 1022.35 per NCD on 17/07/2020	
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 NCDs of the Company during the window

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		closure period
5	Action taken by Listed company/ Intermediary/ Fiduciary	Warning letter was Issued as per the code 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 code under regulation 9 of SEBI(PIT) Regulations,2015
7	Details of the previous instances of violations, if any, since last financial year	First Time Violation
8	If any amount collected for Code of Conduct violation(s) i. Mode of transfer to SEBI - IPEF (Online/Demand Draft) ii. Details of transfer/payment <u>In case of online:</u> Name of the transferor Bank Name, branch and Account number UTR/Transaction reference Number Transaction date Transaction Amount (in Rs.) <u>In case of Demand Draft (DD)</u> Bank Name and branch DD Number DD date DD amount (in Rs.)	No
9	Any other relevant information	No

Date : 27.08.2020
Place : Valapad
Name of Compliance Officer : Manoj Kumar V.R.

Signature of Compliance Officer

PAN : AIHPM3138Q
Email ID : cosecretary@manappuram.com

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Report by (Name of the listed company/ Intermediary/Fiduciary) 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

Sr No	Particulars	Details
1	Name of the listed company/ Intermediary/Fiduciary	Manappuram Finance Limited
2	Please tick appropriate checkbox Reporting in capacity of : <input checked="" 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	Mr. Praveen Kumar Sharma
	ii PAN of the DP	DDCPS6673H
	iii Designation of DP	Sr. Manager
	iv Functional Role of DP	Sr. Manager at RM/ARM Office(Audit), Thanchavur.
	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	NA
	ii. PAN of the immediate relative of DP	NA
	C. Details of transaction(s)	
i. Name of the scrip	Manappuram Finance Limited	
ii. No of shares traded and value (Rs.) (Date-wise)	Bought 20 Shares @ Rs. 182.90 per share and sold 10 shares @ Rs. 185 per share.	
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	1. Contra Trade and

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	Conduct	2. Trading on shares of the Company during the window closure period
5	Action taken by Listed company/ Intermediary/ Fiduciary	<ol style="list-style-type: none"> 1. Profit of Rs. 21/- made from Contra Trade by DP was credited to Investor Protection and Education Fund Account of SEBI and 2. a Warning letter was Issued as per the code under Regulation 9 of SEBI(PIT)Regulations, 2015 for trading during Windows closure.
6	Reasons recorded in writing for taking action stated above	<ol style="list-style-type: none"> 1. Profit made from Contra Trade by the DP was credited to the Investor Protection and Education Fund Account of SEBI. 2. Being the first time offence, a Warning Letter was issued as per the code under regulation 9 of SEBI(PIT) Regulations,2015
7	Details of the previous instances of violations, if any, since last financial year	First Time Violation
8	If any amount collected for Code of Conduct violation(s) i. Mode of transfer to SEBI - IPEF (Online/Demand Draft) ii. Details of transfer/payment	Yes. Online
	<u>In case of online:</u>	
	Name of the transferor	Praveen Kumar Sharma,
	Bank Name, branch and Account number	Axis Bank, Kota Branch and 912010035389595.
	UTR/Transaction reference Number	AXMB202388450340
	Transaction date	25/08/2020
	Transaction Amount (in Rs.)	Rs. 21/- only



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	<u>In case of Demand Draft (DD)</u> Bank Name and branch DD Number DD date DD amount (in Rs.)	NA
9	Any other relevant information	No

Date : 27.08.2020
Place : Valapad
Name of Compliance Officer : Manoj Kumar V.R.

Signature of Compliance Officer

PAN : AIHPM3138Q
Email ID : cosecretary@manappuram.com

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