

Advik Capital Limited

(Formerly known as Advik Industries Limited)

CIN : L65100DL1985PLC022505

Regd. Office: Advik House, Plot No.84, Khasra No. 143/84

Extended Lal Dora 100 Ft. Road, Kanjhawala, New Delhi-110081

E-mail: info@advikgroup.com | Tel: + 91-11-25952595

Fax: +91-11-25952525 | Help Line: +91-9136311500

www.advikgroup.com



March 30, 2023

To,

BSE Limited

25th Floor, PJ Towers

Dalal Street,

Mumbai-400 001

BSE Scrip Code: 539773

Sub: Reporting to Stock Exchanges regarding violations under Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 relating to the Code of Conduct (CoC).

Respected Sir/Ma'am,

We wish to inform you that we came to know that Mr. Madhur Bansal (former Whole Time Director and CFO of the Company), has done violation under SEBI (PIT) Regulations, 2015 relating to the Code of Conduct (CoC).

Further, we would like to inform you that our Audit Committee and Board of Directors has discussed about the matter and concluded with reference to the Code of Conduct of the company that Mr. Madhur Bansal who was appointed as Whole Time Director & CFO of the company dated 07/04/2022 and has resigned on 30/06/2022, traded the securities i.e., 5,000 shares @ Rs. 6.01 during the trading window period dated 21/04/2022, and the securities were so purchased on 28/09/2021 i.e., 5000 shares @ Rs. 3.78 (during that time he was not holding the position of whole-time director and CFO), which is in contravention of provisions of Para 4 of Schedule B, read with Regulation 9(1) and (2) of SEBI (PIT) Regulations 2015, and penalized for Rs. 11,500 as penalty for the said violation which is approximate to the profit he has earned.

Board of directors have received the clarification letter on 27/03/2023 from Mr. Madhur Bansal and also received a sum of Rs. 11,500/- as penalty (in respect of the violation of Trading Window) and the said amount has been credited to the IPEF on 28/03/2023 by online mode in favour of the Board (i.e., SEBI – IPEF), as per Regulation 4(2) of SEBI (Investor Protection and Education Fund) Regulations,2009.

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Please find attached herewith the report in a prescribed format in terms of the SEBI Circular No. **SEBI/HO/ISD/ISD/CIR/P/2020/135, dated July 23, 2020, as Annexure A.**

Request you to kindly take the above on record.

Thanking You,

Yours faithfully,

for Advik Capital Limited

Deepika Mishra
Company Secretary & Compliance Officer

Annexure A

**Report by Advik Capital 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	Advik Capital 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	<p>A. Details of Designated Person (DP)</p> <p>i. Name of the DP</p> <p>ii. PAN of the DP</p> <p>iii. Designation of DP</p> <p>iv. Functional Role of DP</p> <p>v. Whether DP is Promoter or belongs to Promoter Group</p> <p>B. If Reporting is for immediate relative of DP</p> <p>i. Name of the immediate relative of DP</p> <p>ii. PAN of the immediate relative of DP</p> <p>C. Details of transaction(s)</p> <p>i. Name of the scrip</p> <p>ii. No of shares traded and value (Rs.) (Date- wise)</p>	<p>Mr. Madhur Bansal</p> <p>BLHPB7356R</p> <p>Former Whole Time Director and CFO</p> <p>Finance Department</p> <p>NA</p> <p>NA</p> <p>NA</p> <p>Equity Shares of Advik Capital Limited</p> <p>Purchase of 5000 Equity Shares @ Rs. 3.78 on September 2021 and Selling of the same @ Rs. 6.01 on April 21, 2022</p>

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Sr. No.	Particulars	Details
	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 of the securities during window closure period
5	Action taken by Listed company/ Intermediary/ Fiduciary	Penalized for Rs. 11,500/- (equal to profit round of in multiple of 500)
6	Reasons recorded in writing for taking action stated above	Inadvertently, he sold the shares without any mala-fide intentions during window closure period
7	Details of the previous instances of violations, if any, since last financial year	NA
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online Mode
	ii. Details of transfer/payment	
	In case of Online:	
	Particulars	Details
	Name of the transferor	Advik Capital Limited
	Bank Name, branch and Account number	Axis Bank, ROSHANARA ROAD DEL DL,

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		920020069864187																	
	UTR/Transaction reference Number	AXIC230874090661 (NEFT)																	
	Transaction date	March 28, 2023																	
	Transaction Amount (in Rs.)	11,500/-																	
9	Any other relevant information	<u>Details of transferee:</u> <table border="1"><tr><td>Name of Beneficiary</td><td>(SEBI – IPEF)</td></tr><tr><td>Bank Name</td><td>Bank of India</td></tr><tr><td>Bank Branch</td><td>Bandra Kurla Complex (BKC)</td></tr><tr><td>Account Number</td><td>012210210000008</td></tr><tr><td>IFSC Code</td><td>BKID0000122</td></tr><tr><td>Amount</td><td>Rs. 11,500/-</td></tr><tr><td>UTR No.</td><td>AXIC230874090661 (NEFT)</td></tr><tr><td>Date of Payment</td><td>March 28, 2023</td></tr></table>	Name of Beneficiary	(SEBI – IPEF)	Bank Name	Bank of India	Bank Branch	Bandra Kurla Complex (BKC)	Account Number	012210210000008	IFSC Code	BKID0000122	Amount	Rs. 11,500/-	UTR No.	AXIC230874090661 (NEFT)	Date of Payment	March 28, 2023	
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Date of Payment	March 28, 2023																		

Yours faithfully,

Date: March 30, 2023

Place: Delhi

Deepika Mishra
PAN: ECZPM4298B
advikca.fvl@gmail.com