



# UTTAM SUGAR MILLS LIMITED

Corporate Office : A-2E, III Floor, CMA Tower, Sector-24, NOIDA-201 301 Uttar Pradesh, India  
Telephone : 0120-4525000 E-mail : uttamsugarnoida@uttamsugar.com

Date: 31.10.2022

**National Stock Exchange of India Ltd.  
Listing Department**  
"Exchange Plaza", Bandra-Kurla Complex,  
Bandra (E), Mumbai - 400 051

Ref. :- Symbol - UTTAMSUGAR

**B.S.E. Limited  
Listing Department**  
P.J. Towers,  
Dalal Street,  
Fort, Mumbai - 400 001  
Ref. - Scrip Code - 532729

Dear Sir/Madam,


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

We are writing in reference to the Companies Code of Conduct to Regulate, Monitor and Report trading by Designated Persons and their Immediate Relatives read with Schedule B and Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations, 2015.

Please find enclosed herewith a report related to the violation of Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015 by a Designated Person (Promoter Group), in the format prescribed by SEBI Circular SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.

You are requested to take the same on record.

Yours faithfully,  
For Uttam Sugar Mills Ltd.

  
(Rajesh Garg)



Joint Company Secretary & Compliance Officer

(FCS-5841)

Encl : as above

**Report by Uttam Sugar Mills Limited for violation related to Code of Conduct under SEBI  
(Prohibition of Insider Trading) Regulation, 2015  
Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulation, 2015**

S. No.	Particulars	Details
1.	Name of the Listed Company	Uttam Sugar Mills Limited
2.	Please tick the appropriate checkbox Reporting in capacity of: <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of DP	Mrs. Ranjana Chopra
	ii. PAN of DP	AAFPC2296R
	iii. Designation of DP	Promoter Group
	iv. Functional role of DP	-
	v. Whether DP is Promoter or belongs to Promoter Group	Yes
	<b>B. Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	NA
	ii. PAN of the immediate relative of DP	NA
	<b>C. Details of transaction(s)</b>	
	i. Name of the Scrip	Uttam Sugar Mills Limited BSE : 532729 NSE : UTTAMSUGAR
	ii. No. of shares traded and value (Rs.) (Date-wise)	<b><u>Date: October 17, 2022</u></b> Purchased 2 Equity Shares for Rs. 517.50  <b><u>Date: October 18, 2022</u></b> Sold 1 Equity Share for Rs. 255.60
	<b>D. In case the value of trade(s) is more than Rs. 10 lakhs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP / director / promoter / promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	27.10.2022
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	31.10.2022	
4.	Details of violations observed under Code of	- Trading during closure of Trading Window

	Conduct	- Contra Trade - Delay Intimation to Company								
5.	Action taken by Listed Company	Action is pending and the same shall be intimated to the exchanges once decided.								
6.	Reasons recorded in writing for taking action stated above	Violation of SEBI insider Trading Regulations.								
7.	Details of the previous instances of violations, if any, since last financial year	N.A.								
8.	If any amount collected for Code of Conduct violation(s)	N.A.								
	i. Mode of transfer to SEBI - IPEF (Online/ Demand Draft)	N.A.								
	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 rowspan="5">N.A.</td> </tr> <tr> <td>Bank Name, branch and Account number</td> </tr> <tr> <td>UTR/Transaction reference Number</td> </tr> <tr> <td>Transaction date</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> </tr> </tbody> </table>	Particulars	Details	Name of the transferor	N.A.	Bank Name, branch and Account number	UTR/Transaction reference Number	Transaction date	Transaction Amount (in Rs.)	
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9.	Any other relevant information	N.A.								

Yours faithfully,

For Uttam Sugar Mills Ltd.

  
(Rajesh Garg)

Joint Company Secretary & Compliance Officer

(FCS - 5841)



Date : 31.10.2022

Place : Noida