



SEC/FILING/BSE-NSE/23-24/68A-B

September 08, 2023

BSE Limited
P. J. Towers,
Dalal Street, Fort,
Mumbai – 400 001.
Scrip Code: 511218

National Stock Exchange of India Limited
Listing Department
Exchange Plaza, 5th Floor,
Plot no. C/1, G- Block,
Bandra - Kurla Complex,
Mumbai – 400051.
NSE Symbol: SHRIRAMFIN

Dear Sirs,

Sub: Reporting of violations of the Company's Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015

In terms of the SEBI Circular No. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020, we are enclosing herewith the reports related to the violation of Company's Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015 by certain Designated Persons/employees in the format prescribed by SEBI.

Kindly take the above information on record

Thanking you,

Yours faithfully,
for Shriram Finance Limited

U Balasundararao
Company Secretary and Compliance Officer
Encl : A/a

Shriram Finance Limited

(Formerly known as Shriram Transport Finance Company Limited)

Corporate Office : Wockhardt Towers, Level - III, West Wing, C-2, G-Block, Bandra - Kurla Complex, Bandra (E), Mumbai - 400 051, Maharashtra. Ph: +91 22 4095 9595

Registered Office: Sri Towers, Plot No.14A, South Phase, Industrial Estate, Guindy, Chennai - 600 032. Tamil Nadu, India. Ph: +91 44 4852 4666

Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

Annexure A
I) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed Company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Agnew Chacko
	ii. PAN of DP/employee	AIVPA1346E
	iii. Designation of DP/employee	President
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to development of Retail Products across few regions of the country.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for Immediate relative of DP/Employee	
	i. Name of the Immediate relative of DP/employee	Not Applicable
	ii. PAN of the	Not Applicable

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	immediate relative of DP/employee	
C. Details of transaction(s)		
	i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)
	ii. No of shares traded and value (Rs.) (Date- wise)	March 16, 2023: Purchased 200 Equity shares for Rs. 2,49,840/- June 19, 2023: Sold 500 Equity shares for Rs. 7,34,940/- June 21, 2023: Sold 800 Equity shares for Rs. 13,83,944/- June 22, 2023: Sold 100 Equity shares for Rs. 1,75,899/- July 05, 2023: Sold 200 Equity shares for Rs. 3,63,738/-
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
	i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	No intimation of trades was given by DP/employee to the Company.
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.
4	Details of violations observed under Code of Conduct	<ol style="list-style-type: none"> 1. No pre-clearance of trades was taken by the said DP/employee from the Company for entering into trades in shares of the Company exceeding Rs.10 lakhs in a calendar quarter. 2. No intimation of the trades in shares of the Company was given to the Company by the said DP/employee. 3. Execution of certain Contra Trades in shares of the Company by the said DP/employee. 4. Certain trades in shares of the Company were done by said DP/employee during trading window closure period.

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5	Action taken by Listed Company	The Company sought clarification from Mr. Agnew Chacko on the violation and levied penalty for technical violation of the Company's Code of Conduct followed by a Warning Letter. The said DP/employee was instructed to deposit the entire amount of profit (100%) on trading in shares of the Company amounting to Rs. 44,136/- plus penalty of Rs. 25,000/- for technical violation (total amount of penalty Rs. 69,136/-) either with the Company or to SEBI through online payment for credit to Investor Protection and Education Fund (IPEF).
6	Reasons recorded in writing for taking action stated above	<p>The entire 100% profit on trades in shares of the Company done in violation of Company's Code of Conduct has been disgorged for credit to IPEF.</p> <p>The amount for technical violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional 2. first instance of violation of the Code by the DP/employee 3. his failure to obtain preclearance for the above trades was inadvertent and he had no malafide intention of violating the code.
7	Details of the previous instances of violations, if any, since last financial Year	None
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 69,136/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).

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ii. Details of transfer/payment In case of Online:

Particulars	Details
Name of the transferor	Mr. Agnew Chacko
Bank Name, branch and Account number	HSBC Bank Account No.: 071259352006
UTR/Transaction Reference Number	798038X9270467
Transaction date	September 06, 2023
Transaction Amount (in Rs.)	Rs. 69,136/-

In case of Demand Draft (DD):

Particulars	Details
Bank Name and branch	Not Applicable
DD Number	
DD date	
DD amount (in Rs.)	

9	Any other relevant Information	Not Applicable
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Annexure A
II) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed Company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Arun Chugh
	ii. PAN of DP/employee	AHOPC4632R
	iii. Designation of DP/employee	Deputy General Manager
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to Recovery of dues from the Retail Customers across few states of the country.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the	Not Applicable

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	immediate relative of DP/employee	
C. Details of transaction(s)		
	i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)
	ii. No of shares traded and value (Rs.) (Date- wise)	July 03, 2023: Purchased 617 Equity shares for Rs. 10,82,033/- and Sold 617 Equity shares for Rs. 10,83,569/- July 04, 2023: Purchased 910 Equity shares for Rs. 16,06,905/- and Sold 910 Equity shares for Rs. 16,09,417/- July 05, 2023: Purchased 630 Equity shares for Rs. 11,32,022/- and Sold 630 Equity shares for Rs. 11,40,105/- July 06, 2023: Purchased 787 Equity shares for Rs. 14,02,316/- and Sold 787 Equity shares for Rs. 14,01,348/- July 07, 2023: Purchased 360 Equity shares for Rs. 6,27,520/- and Sold 360 Equity shares for Rs. 6,18,127/-
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
	i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	No intimation of trades was given by DP/employee to the Company.
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.

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4	Details of violations observed under Code of Conduct	<ol style="list-style-type: none"> 1. No pre-clearance of trades was taken by the said DP/employee from the Company for entering into trades in shares of the Company exceeding Rs.10 lakhs in a calendar quarter. 2. No intimation of the trades in shares of the Company was given to the Company by the said DP/employee. 3. Execution of certain Contra Trades in shares of the Company by the said DP/employee. 4. Certain trades in shares of the Company were done by said DP/employee during trading window closure period.
5	Action taken by Listed Company	<p>The Company sought clarification from Mr. Arun Chugh on the violation and levied penalty for technical violation of the Company's Code of Conduct followed by a Warning Letter. The said DP/employee was instructed to deposit the entire amount of profit (100%) on trading in shares of the Company amounting to Rs. 12,131/- plus penalty of Rs. 25,000/- for technical violation (total amount of penalty Rs. 37,131/-) either with the Company or to SEBI through online payment for credit to Investor Protection and Education Fund (IPEF).</p>
6	Reasons recorded in writing for taking action stated above	<p>The entire 100% profit on trades in shares of the Company done in violation of Company's Code of Conduct has been disgorged for credit to IPEF.</p> <p>The amount for technical violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is due to lack of knowledge. 2. first instance of violation of the Code by the DP/employee. 3. his failure to obtain preclearance for the above trades was inadvertent and he had no malafide intention of violating the code.
7	Details of the previous instances of violations, if any, since last financial Year	None

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8	If any amount collected for Code of Conduct violation(s)													
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 37,131/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).												
	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>Mr. Arun Chugh</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td>Axis Bank Limited Account No.: 910010049000794</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>3250110790763</td> </tr> <tr> <td>Transaction date</td> <td>September 08, 2023</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td>Rs. 37,131/-</td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor	Mr. Arun Chugh	Bank Name, branch and Account number	Axis Bank Limited Account No.: 910010049000794	UTR/Transaction reference Number	3250110790763	Transaction date	September 08, 2023	Transaction Amount (in Rs.)	Rs. 37,131/-
Particulars	Details													
Name of the transferor	Mr. Arun Chugh													
Bank Name, branch and Account number	Axis Bank Limited Account No.: 910010049000794													
UTR/Transaction reference Number	3250110790763													
Transaction date	September 08, 2023													
Transaction Amount (in Rs.)	Rs. 37,131/-													
	In case of Demand Draft (DD):													
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Particulars	Details													
Bank Name and branch	Not Applicable													
DD Number														
DD date														
DD amount (in Rs.)														
9	Any other relevant information	Not Applicable												

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Annexure A
III) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Inder Pal Singh Sodhi
	ii. PAN of DP/employee	ACLPS0893E
	iii. Designation of DP/employee	Senior Vice President
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to development of Retail products across few regions of the country.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee	Not Applicable

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C. Details of transaction(s)		
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)	
ii. No of shares traded and value (Rs.) (Date- wise)	April 05, 2023: Sold 100 Equity shares for Rs. 1,28,895/- April 20, 2023: Sold 100 Equity shares for Rs. 1,33,820/- April 21, 2023: Sold 100 Equity shares for Rs. 1,34,455/-	
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable	
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.	
4	Details of violations observed under Code of Conduct	Certain trades in shares of the Company were done by said DP/employee during trading window closure period.
5	Action taken by Listed Company	The Company sought clarification from Mr. Inder Pal Singh Sodhi on violation and levied penalty of Rs. 10,000 for violation of the Company's Code of Conduct followed by a Warning Letter.

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6	Reasons recorded in writing for taking action stated above	<p>The amount for violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional. 2. first instance of violation of the Code by the DP/employee. 																			
7	Details of the previous instances of violations, if any, since last financial Year	None																			
8	<p>If any amount collected for Code of Conduct violation(s)</p> <p>i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)</p>	<p>Online Payment: The DP/employee has paid Rs. 10,000/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).</p>																			
<p>ii. Details of transfer/payment In case of Online:</p> <table border="1" data-bbox="272 995 1346 1436"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td>Mr. Inder Pal Singh Sodhi</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td>HDFC Bank Account No.: 50100116129987</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>000000000084</td> </tr> <tr> <td>Transaction date</td> <td>September 05, 2023</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td>Rs. 10,000/-</td> </tr> </tbody> </table> <p>In case of Demand Draft (DD):</p> <table border="1" data-bbox="272 1535 1346 1745"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Bank Name and branch</td> <td rowspan="4">Not Applicable</td> </tr> <tr> <td>DD Number</td> </tr> <tr> <td>DD date</td> </tr> <tr> <td>DD amount (in Rs.)</td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor	Mr. Inder Pal Singh Sodhi	Bank Name, branch and Account number	HDFC Bank Account No.: 50100116129987	UTR/Transaction reference Number	000000000084	Transaction date	September 05, 2023	Transaction Amount (in Rs.)	Rs. 10,000/-	Particulars	Details	Bank Name and branch	Not Applicable	DD Number	DD date	DD amount (in Rs.)	
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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	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Jignesh Shah
	ii. PAN of DP/employee	ADIPS2563D
	iii. Designation of DP/employee	Vice President
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to Management of Retail products for the State of Gujarat.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee	Not Applicable

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i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)	
ii. No of shares traded and value (Rs.) (Date- wise)	April 20, 2023: Sold 500 Equity shares for Rs. 6,82,350/-	
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable	
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.	
4	Details of violations observed under Code of Conduct	The single transaction in shares of the Company was done by said DP/employee during trading window closure period.
5	Action taken by Listed Company	The Company sought clarification from Mr. Jignesh Shah on violation and levied penalty of Rs. 10,000 for violation of the Company's Code of Conduct followed by a Warning Letter.

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8	If any amount collected for Code of Conduct violation(s)																				
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 10,000/- for violations of the Company's Code of Conduct) to the credit of IPEF as per details given below in point 8(ii).																			
	<p>ii. Details of transfer/payment In case of Online:</p> <table border="1" data-bbox="337 978 1409 1415"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td>Mr. Jignesh Shah</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td>Axis Bank Limited Account No.: 003010101216884</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>IMPS/P2A/324715241668/SEBII/B ANKOFI/X000008/</td> </tr> <tr> <td>Transaction date</td> <td>September 04, 2023</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td>Rs. 10,000/-</td> </tr> </tbody> </table> <p>In case of Demand Draft (DD):</p> <table border="1" data-bbox="337 1535 1409 1738"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Bank Name and branch</td> <td rowspan="4">Not Applicable</td> </tr> <tr> <td>DD Number</td> </tr> <tr> <td>DD date</td> </tr> <tr> <td>DD amount (in Rs.)</td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor	Mr. Jignesh Shah	Bank Name, branch and Account number	Axis Bank Limited Account No.: 003010101216884	UTR/Transaction reference Number	IMPS/P2A/324715241668/SEBII/B ANKOFI/X000008/	Transaction date	September 04, 2023	Transaction Amount (in Rs.)	Rs. 10,000/-	Particulars	Details	Bank Name and branch	Not Applicable	DD Number	DD date	DD amount (in Rs.)
Particulars	Details																				
Name of the transferor	Mr. Jignesh Shah																				
Bank Name, branch and Account number	Axis Bank Limited Account No.: 003010101216884																				
UTR/Transaction reference Number	IMPS/P2A/324715241668/SEBII/B ANKOFI/X000008/																				
Transaction date	September 04, 2023																				
Transaction Amount (in Rs.)	Rs. 10,000/-																				
Particulars	Details																				
Bank Name and branch	Not Applicable																				
DD Number																					
DD date																					
DD amount (in Rs.)																					
9	Any other relevant Information	Not Applicable																			

Shriram Finance Limited
(Formerly known as Shriram Transport Finance Company Limited)
Corporate Office : Wockhardt Towers, Level - III, West Wing, C-2, G-Block, Bandra - Kurla Complex, Bandra (E), Mumbai - 400 051, Maharashtra. Ph: +91 22 4095 9595

Registered Office: Sri Towers, Plot No.14A, South Phase, Industrial Estate, Guindy, Chennai - 600 032. Tamil Nadu, India. Ph: +91 44 4852 4666

Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

Annexure A
V) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Karthikeyan Mahalingam
	ii. PAN of DP/employee	AHCPK2249L
	iii. Designation of DP/employee	Senior Vice President
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to development of Software application and co-ordination.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee	Not Applicable

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

C. Details of transaction(s)		
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)	
ii. No of shares traded and value (Rs.) (Date- wise)	February 06, 2023: Purchased 35 Equity shares for Rs. 44,952/- and Sold 800 Equity shares for Rs. 10,32,624/-	
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Certain Contra Trades were executed by the said DP/employee.	
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.	
4	Details of violations observed under Code of Conduct	Certain Contra Trades were executed in shares of the Company by the said DP/employee.
5	Action taken by Listed Company	The Company sought clarification from Mr. Karthikeyan Mahalingam on violation and instructed the DP to deposit the entire amount of profit (100%) on trading in shares of the Company amounting to Rs. 235/- either with the Company or to SEBI through online payment for credit to Investor Protection and Education Fund (IPEF) followed by a Warning Letter.

Shriram Finance Limited

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6	Reasons recorded in writing for taking action stated above	<p>The entire 100% profit on trades in shares of the Company done in violation of Company's Code of Conduct has been disgorged for credit to IPEF.</p> <p>The amount for violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional. 2. first instance of violation of the Code by the DP/employee.
7	Details of the previous instances of violations, if any, since last financial Year	None
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 235/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

ii. Details of transfer/payment In case of Online:

Particulars	Details
Name of the transferor	Mr. Karthikeyan Mahalingam
Bank Name, branch and Account number	HDFC BANK Account No.: 01111050009894
UTR/Transaction reference Number	324816944277
Transaction date	September 05, 2023
Transaction Amount (in Rs.)	Rs. 235/-

In case of Demand Draft (DD):

Particulars	Details
Bank Name and branch	Not Applicable
DD Number	
DD date	
DD amount (in Rs.)	

9	Any other relevant information	Not Applicable
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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

Annexure A
VI) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Niranjana Rao
	ii. PAN of DP/employee	ABFPV7366L
	iii. Designation of DP/employee	Executive Director
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to Product Development.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee	Not Applicable

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

C. Details of transaction(s)	
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)
ii. No of shares traded and value (Rs.) (Date- wise)	<p>December 09, 2022: Purchased 200 Equity shares for Rs. 2,69,820/-</p> <p>December 15, 2022: Purchased 500 Equity shares for Rs. 6,94,400/-</p> <p>December 28, 2022: Purchased 300 Equity shares for Rs. 4,09,500/-</p> <p>December 29, 2022: Purchased 298 Equity shares for Rs. 3,87,254/-</p> <p>January 02, 2023: Purchased 9 Equity shares for Rs. 12,420/-</p> <p>March 13, 2023: Sold 300 Equity shares for Rs. 3,80,685/-</p> <p>March 27, 2023: Sold 1007 Equity shares for Rs. 12,34,532/-</p> <p>May 02, 2023: Sold 2000 Equity shares for Rs. 26,54,460/-</p> <p>May 03, 2023: Sold 1000 Equity shares for Rs. 13,26,380/-</p> <p>May 04, 2023: Sold 875 Equity shares for Rs. 11,52,506/-</p> <p>May 17, 2023: Sold 1000 Equity shares for Rs. 13,40,640/-</p> <p>May 23 2023: Sold 1820 Equity shares for Rs. 24,51,743/-</p> <p>June 09, 2023: Sold 500 Equity shares for Rs. 7,14,709/-</p> <p>June 09, 2023: Sold 500 Equity shares for Rs. 7,32,232/-</p>
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	No intimation of trades was given by DP/employee to the Company.
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

4	Details of violations observed under Code of Conduct	<ol style="list-style-type: none"> 1. No pre-clearance of trades was taken by the said DP/employee from the Company for entering into trades in shares of the Company exceeding Rs.10 lakhs in a calendar quarter. 2. No intimation of the trades in shares of the Company was given to the Company by the said DP/employee. 3. Execution of certain Contra Trades in shares of the Company by the said DP/employee. 4. Certain trades in shares of the Company were done by said DP/employee during trading window closure period.
5	Action taken by Listed Company	The Company sought clarification from Mr. Niranjana Rao on the violation and levied penalty for technical violation of the Company's Code of Conduct to be deposited either with the Company or to SEBI through online payment for credit to Investor Protection and Education Fund (IPEF) followed by Warning Letter. As he has incurred loss in the Contra transactions, the disgorgement of profit does not arise.
6	Reasons recorded in writing for taking action stated above	<p>The amount of penalty of Rs. 25,000/- for technical violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional. 2. first instance of violation of the Code by the DP/employee. 3. his failure to obtain preclearance for the above trades was inadvertent and he had no malafide intention of violating the code.
7	Details of the previous instances of violations, if any, since last financial year	None
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 25,000/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

ii. Details of transfer/payment In case of Online:

Particulars	Details
Name of the transferor	Mr. Niranjana Rao
Bank Name, branch and Account number	Axis Bank Account No.: 068010100136099
UTR/Transaction reference Number	AXOMB32482290018
Transaction date	September 05, 2023
Transaction Amount (in Rs.)	Rs. 25,000/-

In case of Demand Draft (DD):

Particulars	Details
Bank Name and branch	Not Applicable
DD Number	
DD date	
DD amount (in Rs.)	

9	Any other relevant information	Not Applicable
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Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

Annexure A
VII) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Prasad V
	ii. PAN of DP/employee	AANPV3937E
	iii. Designation of DP/employee	Executive Director
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to Development of Business for Retail Insurance product.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee	Not Applicable

Shriram Finance Limited

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Registered Office: Sri Towers, Plot No.14A, South Phase, Industrial Estate, Guindy, Chennai - 600 032. Tamil Nadu, India. Ph: +91 44 4852 4666

Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

C. Details of transaction(s)	
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)
ii. No of shares traded and value (Rs.) (Date- wise)	March 09, 2023: Sold 1500 Equity shares for Rs. 19,56,105/- March 31, 2023: Sold 1000 Equity shares for Rs. 12,78,440/- June 12, 2023: Sold 1000 Equity shares for Rs. 14,47,280/- June 13, 2023: Purchased 1000 Equity shares for Rs. 14,44,810/- June 19, 2023: Sold 2000 Equity shares for Rs. 29,59,940/- June 20, 2023: Sold 2050 Equity shares for Rs. 30,62,359/-
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	No intimation of trades was given by DP/employee to the Company.
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.
4	<p>Details of violations observed under Code of Conduct</p> <ol style="list-style-type: none"> 1. No pre-clearance of trades was taken by the said DP/employee from the Company for entering into trades in shares of the Company exceeding Rs.10 lakhs in a calendar quarter. 2. No intimation of the trades in shares of the Company was given to the Company by the said DP/employee. 3. Execution of certain Contra Trades in shares of the Company by the said DP/employee.

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5	Action taken by Listed Company	The Company sought clarification from Mr. Prasad V on the violation and levied penalty for technical violation of the Company's Code of Conduct followed by a Warning Letter. The said DP/employee was instructed to deposit the entire amount of profit (100%) on trading in shares of the Company amounting to Rs. 35,160/- plus penalty of Rs. 10,000/- for technical violation (total amount of penalty Rs. 45,160/-)
6	Reasons recorded in writing for taking action stated above	<p>The entire 100% profit on trades in shares of the Company done in violation of Company's Code of Conduct has been disgorged for credit to IPEF.</p> <p>The amount for technical violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional. 2. first instance of violation of the Code by the DP/employee. 3. his failure to obtain preclearance for the above trades was inadvertent and he had no malafide intention of violating the code.
7	Details of the previous instances of violations, if any, since last financial year	None
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment. The DP/employee has paid Rs. 45,160/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).

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ii. Details of transfer/payment In case of Online:

Particulars	Details
Name of the transferor	Mr. Prasad V.
Bank Name, branch and Account number	HDFC Bank Account No. 03861050009153
UTR/Transaction reference Number	N251232632642003
Transaction date	September 08, 2023
Transaction Amount (in Rs.)	45,160/-

In case of Demand Draft (DD):

Particulars	Details
Bank Name and branch	Not Applicable
DD Number	
DD date	
DD amount (in Rs.)	

9	Any other relevant information	Not Applicable
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Annexure A
VIII) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Rajan Sharma
	ii. PAN of DP/employee	AUUPS0420J
	iii. Designation of DP/employee	Deputy General Manager
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to Management of Retail products for the State of Punjab.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee.	Not Applicable

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

C. Details of transaction(s)		
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)	
ii. No of shares traded and value (Rs.) (Date- wise)	April 03, 2023: Sold 50 Equity shares for Rs. 63,930/-	
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter		
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable	
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.	
4	Details of violations observed under Code of Conduct	Certain trades in shares of the Company were done by said DP/employee during trading window closure period.
5	Action taken by Listed Company	The Company sought clarification from Mr. Rajan Sharma on violation and levied penalty of Rs. 10,000 for violation of the Company's Code of Conduct followed by a Warning Letter.

Shriram Finance Limited

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Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

6	Reasons recorded in writing for taking action stated above	The amount of penalty of Rs. 10,000/- for violation is determined considering the following submissions made by the DP/employee that: <ol style="list-style-type: none"> he had no intention to breach the Code of Conduct and the violation is unintentional. first instance of violation of the Code by the DP/employee. 												
7	Details of the previous instances of violations, if any, since last financial Year	None												
8	If any amount collected for Code of Conduct violation(s)													
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment: The DP/employee has paid Rs. 10,000/- for violations of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).												
	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>Mr. Rajan Sharma</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td>ICICI Bank - Account No.: 008201008725</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>324311000108</td> </tr> <tr> <td>Transaction date</td> <td>31-08-2023</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td>10,000/-</td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor	Mr. Rajan Sharma	Bank Name, branch and Account number	ICICI Bank - Account No.: 008201008725	UTR/Transaction reference Number	324311000108	Transaction date	31-08-2023	Transaction Amount (in Rs.)	10,000/-
Particulars	Details													
Name of the transferor	Mr. Rajan Sharma													
Bank Name, branch and Account number	ICICI Bank - Account No.: 008201008725													
UTR/Transaction reference Number	324311000108													
Transaction date	31-08-2023													
Transaction Amount (in Rs.)	10,000/-													
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Particulars	Details													
Bank Name and branch	Not Applicable													
DD Number														
DD date														
DD amount (in Rs.)														
9	Any other relevant Information	Not Applicable												

Shriram Finance Limited

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Registered Office: Sri Towers, Plot No.14A, South Phase, Industrial Estate, Guindy, Chennai - 600 032. Tamil Nadu, India. Ph: +91 44 4852 4666

Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

IX) Report by Shriram 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

Sr. No.	Particulars	Details
1	Name of the listed Company	Shriram Finance 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 (listed on BSE Limited and National Stock Exchange of India Limited)
3	A. Details of Designated Person (DP)/Employee	
	i. Name of DP/employee	Mr. Sundararajan S.
	ii. PAN of DP/employee	BQRPS5907G
	iii. Designation of DP/employee	General Manager
	iv. Functional role of DP/employee	The functional role of the above DP / employee pertains to handling Corporate Accounts.
	v. Whether DP/employee is Promoter or belongs to Promoter Group	No
	B. Reporting is for immediate relative of DP/Employee	
	i. Name of the immediate relative of DP/employee	Not Applicable
	ii. PAN of the immediate relative of DP/employee.	Not Applicable

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C. Details of transaction(s)	
i. Name of the Scrip	Shriram Finance Limited Scrip Code: 511218 (BSE) SHRIRAMFIN (NSE)
ii. No of shares traded and value (Rs.) (Date- wise)	December 29, 2022: Purchased 73 Equity shares for Rs. 94,722/- December 30, 2022: Sold 73 Equity shares for Rs. 1,00,777/- June 13, 2023: Sold 1900 Equity shares for Rs. 27,61,899/- Futures and Options trades are as under: - In the Month of June 2023, the DP/employee has purchased 3000 Equity shares for Rs. 23,670/- and sold 3000 Equity shares for Rs. 39,870/-
D. In case the value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
i. Date of intimation of trade(s) by concerned DP/ employee director/ promoter/ promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	No intimation of trades was given by DP/employee to the Company.
ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable in view of SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2021/617 dated August 13,2021.
4 Details of violations observed under Code of Conduct	<ol style="list-style-type: none"> 1. No pre-clearance of trades was taken by the said DP/employee from the Company for entering into trades in shares of the Company exceeding Rs.10 lakhs in a calendar quarter. 2. No intimation of the trades in shares of the Company was given to the Company by the said DP/employee. 3. Execution of certain Contra Trades in shares of the Company by the said DP/employee.

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5	Action taken by Listed Company	The Company sought clarification from Mr. Sundararajan S on the violation and levied penalty for technical violation of the Company's Code of Conduct followed by a Warning Letter. The said DP/employee was instructed to deposit the entire amount of profit (100%) on trading in shares of the Company amounting to Rs. 22,254/- plus penalty of Rs. 10,000/- for technical violation (total amount of penalty Rs. 32,254/-)
6	Reasons recorded in writing for taking action stated above	<p>The entire 100% profit on trades executed in the Company in violation of Company's Code of Conduct has been disgorged for credit to IPEF.</p> <p>The amount for technical violation is determined considering the following submissions made by the DP/employee that:</p> <ol style="list-style-type: none"> 1. he had no intention to breach the Code of Conduct and the violation is unintentional. 2. first instance of violation of the Code by the DP/employee. 3. his failure to obtain preclearance for the above trades was inadvertent and he had no malafide intention of violating the code.
7	Details of the previous instances of violations, if any, since last financial year	None
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI-IPEF (Online / Demand Draft)	Online Payment: The DP/employee has paid Rs. 32,254/- for violation of the Company's Code of Conduct to the credit of IPEF as per details given below in point 8(ii).

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ii. Details of transfer/payment In case of Online:

Particulars	Details
Name of the transferor	Mr. Sundararajan S.
Bank Name, branch and Account number	HDFC Bank Account No.: 02321140013240
UTR/Transaction reference Number	324816179019
Transaction date	September 05, 2023
Transaction Amount (in Rs.)	Rs. 32,254/-

In case of Demand Draft (DD):

Particulars	Details
Bank Name and branch	Not Applicable
DD Number	
DD date	
DD amount (in Rs.)	

9	Any other relevant information	Not Applicable
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