

May 27, 2022

The Department of Corporate Services - CRD
BSE Limited
Pheeroze Jeejeebhoy Towers
Dalal Street, Fort
Mumbai - 400 001

The Secretary
National Stock Exchange of India Limited
Exchange Plaza, 5th Floor
Plot No- 'C Block, G Block
Bandra-Kurla Complex, Bandra (East)
Mumbai 400 051

Scrip Code: 531595

Scrip Code: CGCL

Sub: Capri Global Capital Limited - Reporting under SEBI (Prohibition of Insider Trading) Regulations, 2015

Dear Sir / Madam,

The details of violation of the Company's Code of internal procedures and conduct for Regulating, Monitoring and Reporting of Trading by Insiders (The Code) formulated under the SEBI (Prohibition of Insider Trading) Regulations, 2015 (SEBI PIT Regulations) by Designated Person ("DP") along with the action taken by the Company thereon is enclosed as "Annexure A".

This disclosure is being made in terms of the SEBI PIT Regulations, applicable SEBI and Stock Exchange Circular(s).

Please take the above disclosure on record.

Thanking you,

Yours faithfully,

for **Capri Global Capital Limited**

Yashesh Bhatt
Company Secretary
Membership No. - ACS 20491

Capri Global Capital Limited

Registered Office:

CIN: L65921MH1994PLC173469 Regd. Off: 502, Tower A, Peninsula Business Park, Lower Parel, Mumbai – 400013.

☎ +9122 4088 8100/4354 8200 ✉ contact@capriglobal.in 🌐 www.capriglobal.in

Annexure A

Report by Capri Global Capital Limited for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.

[For listed companies: Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulations, 2015

[For Intermediaries/ Fiduciaries: Schedule C read with Regulation 9(1) and 9(2) of SEBI (Prohibition of Insider Trading) Regulations, 2015]

Sr. No.	Particulars	Details
1	Name of the listed company/ Intermediary/Fiduciary	Capri Global 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	
3	A. Details of Designated Person (DP)	
	i. Name of the DP	Mr. Raviraj Jain
	ii. PAN of the DP	AQGPJ0785M
	iii. Designation of DP	Product Manager
	iv. Functional Role of DP	Technology
	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	N.A.
	ii. PAN of the immediate relative of DP	N.A.
	C. Details of transaction(s)	
	i. Name of the scrip	Capri Global Capital Limited
	ii. No of shares traded and value (Rs.) (Date- wise)	30 Equity Shares purchased on April 1, 2022, for total value of Rs. 18,705.90/-
	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	N.A.
ii. Date of intimation of trade(s) by Company to Stock Exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	N.A.	
4	Details of violations observed under Code of Conduct	Trading during the window closure period
5	Action taken by Listed company/ Intermediary/ Fiduciary	Penalty of Rs. 5000/- imposed on the DP

Sr. No.	Particulars	Details	
6	Reasons recorded in writing for taking action stated above	The aforesaid action was taken after taking into account the following factors: 1. The quantum of shares involved; 2. Purchase of shares during window closure period.	
7	Details of the previous instances of violations, if any, since last financial year	N.A. (first time offence)	
8	If any amount collected for Code of Conduct violation(s)		
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online	
	ii. Details of transfer/payment In case of Online:	Particulars	Details
		Name of the transferor	Raviraj Jain
		Bank Name, branch and Account number	Bank: Ujjivan Small Finance Bank Branch: Koramangala Account Number: 110211050051540
		UTR/Transaction reference Number	213666074949
		Transaction date	16.05.2022
Transaction Amount (in Rs.)	Rs. 5000/-		
9	Any other relevant information	None	

Yours faithfully,
for **Capri Global Capital Limited**

(Yashesh Bhatt)
Company Secretary
PAN: AFLPB5264R
E-mail ID: Yashesh.Bhatt@capriglobal.in, secretarial@capriglobal.in

Place: Mumbai
Date: May 27, 2022

Encl.: As above

Report to Director of the Stock Exchange (or person acting in his/her stead) in compliance with Section 302A of the Securities and Futures Ordinance (Chapter 295) of the Securities and Futures Commission, Hong Kong, in respect of the company's compliance with the provisions of Section 302A of the Securities and Futures Ordinance, 2015 - Cap 295: Global Capital Limited																																									
For those companies which are listed with Regulator's (i.e. SFC) approval of tender, tender																																									
Section 302A of the Securities and Futures Ordinance, 2015																																									
1. Name of the listed company / intermediary / fiduciary	2. Name of the listed company / intermediary / fiduciary	3. Name of the listed company / intermediary / fiduciary	4. Name of the listed company / intermediary / fiduciary	5. Name of the listed company / intermediary / fiduciary	6. Name of the listed company / intermediary / fiduciary	7. Name of the listed company / intermediary / fiduciary	8. Name of the listed company / intermediary / fiduciary	9. Name of the listed company / intermediary / fiduciary	10. Name of the listed company / intermediary / fiduciary	11. Name of the listed company / intermediary / fiduciary	12. Name of the listed company / intermediary / fiduciary	13. Name of the listed company / intermediary / fiduciary	14. Name of the listed company / intermediary / fiduciary	15. Name of the listed company / intermediary / fiduciary	16. Name of the listed company / intermediary / fiduciary	17. Name of the listed company / intermediary / fiduciary	18. Name of the listed company / intermediary / fiduciary	19. Name of the listed company / intermediary / fiduciary	20. Name of the listed company / intermediary / fiduciary	21. Name of the listed company / intermediary / fiduciary																					
Capricorn Capital Limited	Listed Company	Mr. Asher Rappaport	002920147	Business Development	Business	No	N.A.	N.A.	Capricorn Capital Limited	2000 Equity Shares bought on March 21, 2022, for total value of \$4,120,000.00	N.A.	N.A.	Order Transaction	Priority of \$1,000,000.00 in the OP	The intended action was taken after taking into account the following factors: 1. The quarter of shares involved; 2. The quarter of shares involved; 3. The quarter of shares involved; 4. The quarter of shares involved; 5. The quarter of shares involved; 6. The quarter of shares involved; 7. The quarter of shares involved; 8. The quarter of shares involved; 9. The quarter of shares involved; 10. The quarter of shares involved; 11. The quarter of shares involved; 12. The quarter of shares involved; 13. The quarter of shares involved; 14. The quarter of shares involved; 15. The quarter of shares involved; 16. The quarter of shares involved; 17. The quarter of shares involved; 18. The quarter of shares involved; 19. The quarter of shares involved; 20. The quarter of shares involved; 21. The quarter of shares involved;	Order	Other Rappaport	1. Bank: HSBC Bank Limited - Hong Kong Account Number: 0451800000002 2. Bank: Yes Bank Branch: New York Account Number: 00018170000114	1. 03/21/2022 19:41:17:412 2. 03/21/2022 18:00:00:000	1. \$4,120,000.00 2. \$4,120,000.00	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	27/05/2022	Member	Yashwanth	011962248	compliance@capricorn.com.hk						
Capricorn Capital Limited	Listed Company	Mr. Ravi Singh	002920147	Product Manager	Technology	No	N.A.	N.A.	Capricorn Capital Limited	2000 Equity Shares bought on April 1, 2022, for total value of \$4,120,000.00	N.A.	N.A.	Trading during the window closure period	Priority of \$1,000,000.00 in the OP	The intended action was taken after taking into account the following factors: 1. The quarter of shares involved; 2. The quarter of shares involved; 3. The quarter of shares involved; 4. The quarter of shares involved; 5. The quarter of shares involved; 6. The quarter of shares involved; 7. The quarter of shares involved; 8. The quarter of shares involved; 9. The quarter of shares involved; 10. The quarter of shares involved; 11. The quarter of shares involved; 12. The quarter of shares involved; 13. The quarter of shares involved; 14. The quarter of shares involved; 15. The quarter of shares involved; 16. The quarter of shares involved; 17. The quarter of shares involved; 18. The quarter of shares involved; 19. The quarter of shares involved; 20. The quarter of shares involved; 21. The quarter of shares involved;	Order	Trading team	Bank: HSBC Bank Limited - Hong Kong Branch: New York Account Number: 1101161000114	11/04/2022	\$400	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	27/05/2022	Member	Yashwanth	011962248	compliance@capricorn.com.hk					
Capricorn Capital Limited	Listed Company	Mr. Sush Rameshwar Reddy	002920147	Senior Executive	Finance and Accounts	No	N.A.	N.A.	Capricorn Capital Limited	2000 Equity Shares bought on April 1, 2022, for total value of \$4,120,000.00	N.A.	N.A.	Trading during the window closure period	Refer to comment for OP issued	The intended action was taken after taking into account the following factors: 1. The quarter of shares involved; 2. The quarter of shares involved; 3. The quarter of shares involved; 4. The quarter of shares involved; 5. The quarter of shares involved; 6. The quarter of shares involved; 7. The quarter of shares involved; 8. The quarter of shares involved; 9. The quarter of shares involved; 10. The quarter of shares involved; 11. The quarter of shares involved; 12. The quarter of shares involved; 13. The quarter of shares involved; 14. The quarter of shares involved; 15. The quarter of shares involved; 16. The quarter of shares involved; 17. The quarter of shares involved; 18. The quarter of shares involved; 19. The quarter of shares involved; 20. The quarter of shares involved; 21. The quarter of shares involved;	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	27/05/2022	Member	Yashwanth	011962248	compliance@capricorn.com.hk