



# Onelife Capital Advisors Limited

CIN: L74140MH2007PLC173660

Tel no.: 022-25833206 Fax: 022- 41842228 Email id: cs@onelifecapital.in, Web: www.onelifecapital.in

30<sup>th</sup> May, 2019

To

BSE Limited

Department of Corporate Services

Phiroze Jeejeebhoy Towers

Dalal Street, Fort,

Mumbai- 400 001

Scrip Code: 533632

National Stock Exchange of India Ltd

Exchange Plaza

Bandra- Kurla Complex

Bandra, Mumbai- 400 051

Symbol: ONELIFECAP

Dear Sir/Madam,

**Sub : Intimation of Amendments to the Company's Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information**

In compliance with the Securities and Exchange Board of India (Prohibition of Insider Trading) (Amendment) Regulations, 2018, we hereby inform you that the Company has made a Policy for determination of Legitimate Purpose as a part of the Company's Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information ("Code of Fair Disclosure") formulated under Regulation 8 of the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015.

In compliance with Regulation 8(2) of the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, the amended Code of Fair Disclosure is enclosed herewith.

The amended Code of Fair Disclosure is effective 1<sup>st</sup> April 2019 and the same is also being uploaded on the website of the Company at <http://www.onelifecapital.in>

Kindly take the same on record

Thanking You,

Yours Faithfully,

For Onelife Capital Advisors Limited

Aditi Mahamunkar

Company Secretary & Compliance Officer



Encl: As above



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## ONELIFE CAPITAL ADVISORS LIMITED

### CODE OF PRACTICES AND PROCEDURES FOR FAIR DISCLOSURE OF UNPUBLISHED PRICE SENSITIVE INFORMATION ("UPSI")

[Under Regulation 8(1) of SEBI (Prohibition of Insider Trading) Regulations,  
2015 as amended from time to time]

This code shall come into effect from April 1, 2019





## INTRODUCTION

Insider Trading is dealing (buying and/ or selling) in the securities of the Company, by any connected or deemed to be connected persons while in possession of any un-published price sensitive information, in breach of a fiduciary duty or other relationship of a trust and confidence, to gain personal benefit out of such dealing.

The Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 (hereinafter referred to as "the Regulations") replaced the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992 w.e.f. 15th May, 2015. The Regulations requires every listed company to formulate and publish on its official website, a code of practices and procedures for fair disclosure of unpublished price sensitive information that it would follow in order to adhere to each of the principles set out in Schedule A to these Regulations.

In Compliance with the said requirements, the Company has introduced a Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information ("UPSI") (hereinafter referred to as the "Code").

This Code was revised by the Board of Directors of the Company at its meeting held on 29<sup>th</sup> May, 2019 pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) (Amendment) Regulations, 2018 and Securities and Exchange Board of India (Prohibition of Insider Trading) (Amendment) Regulations, 2019 and shall be effective w.e.f 1<sup>st</sup> April, 2019.

### 1. Preamble

This Code has been framed in pursuance to the SEBI (Prohibition of Insider Trading) Regulation, 2015 as amended from time to time ("Regulations") and the purpose of this code is to ensure timely and adequate disclosure of Unpublished Price Sensitive Information.

### 2. Code of Fair Disclosure

Onelife Capital Advisors Limited ("OCAL" or "Company") has formulated this Code called "Code of Practices and Procedures for Fair Disclosures of Unpublished Price Sensitive Information" (the "Fair Disclosure Code") to ensure timely and adequate disclosure of unpublished price sensitive information which would impact the price of the Company's securities and to maintain the uniformity, transparency and fairness in dealing with all stakeholders and in ensuring adherence to applicable laws and regulations. Further, the Company endeavors to preserve the confidentiality of unpublished price sensitive information and to prevent misuse of such information.



### 3. Definitions

"Board" means the Securities and Exchange Board of India.

"Chief Investor Relations Officer" (CIRO) means the Compliance Officer of the Company

"Company" means 'Onelife Capital Advisors Limited.

"Compliance Officer" for the purpose of these regulations means the Company Secretary of the Company. In absence of the Company Secretary the Board of Directors may authorize such other officer of the Company to discharge the duties of Compliance Officer under the regulations.

"Unpublished Price Sensitive Information" or "UPSI" any information relating to the Company or its securities, directly or indirectly, that is not generally available which upon becoming generally available, is likely to materially affect the price of the securities and shall, ordinarily including but not restricted to, information relating to the following:

- (i) financial results;
- (ii) dividends;
- (iii) change in capital structure;
- (iv) mergers, de-mergers, acquisitions, delistings, disposals and expansion of business and such other transactions; and
- (v) changes in key managerial personnel

Words not defined in this Fair Disclosure Code shall have the meaning ascribed to them in the Regulations.





#### 4. Principles of Fair Disclosure

- I. The Company will make prompt public disclosure of UPSI that would impact price discovery no sooner than credible and concrete information comes into being in order to make such information generally available.
- II. The Company will make, uniform and universal dissemination of UPSI to avoid selective disclosure.
- III. The Compliance Officer of the Company shall act as the Chief Investor Relations Officer ("CIRO") to deal with dissemination of information and disclosure of UPSI.
- IV. The Company will make prompt dissemination of UPSI that gets disclosed selectively, inadvertently or otherwise to make such information generally available.
- V. The Company will provide appropriate and fair response to queries on news reports and requests for verification of market rumors by regulatory authorities.
- VI. The Company will ensure that information, if shared, with analysts and research personnel are not UPSI.
- VII. The Company will develop best practices to make transcripts or records of proceedings of meetings with analysts and other investor relations conferences on the official website to ensure official confirmation and documentation of disclosures made.
- VIII. The Company will handle all UPSI on a need-to-know basis.



5. Sharing of UPSI for legitimate purpose

The UPSI shall be shared by any person(s) authorized by the Board of Directors or CIRO of the Company in this behalf, only in furtherance of legitimate purpose(s) on need-to-know basis, which shall include the following;

- (i) Sharing of UPSI in the ordinary course of business by any Insider, Employee, Designated Person or by any authorized person with existing or proposed partners, collaborators, lenders, customers, suppliers, merchant bankers, legal advisors, auditors, insolvency professionals or other advisors or consultants.
- (ii) The information shall be shared with any person on 'need to know' basis.
- (iii) Sharing of UPSI where such communication is in furtherance of performance of duty (ies) and in discharge of legal obligation(s);

Provided that such sharing should not be carried out to evade or circumvent the prohibitions of the SEBI Insider Trading Regulations.

6. Issue of Notice to the recipient of UPSI

Any person in receipt of unpublished price sensitive information pursuant to a "legitimate purpose" shall be considered an "insider" for purposes of this Code and due notice shall be given to such persons;

- (i) To make such person aware that the information shared is or would be UPSI.
- (ii) To make such person aware of the duties and responsibilities attached to the receipt of such UPSI and the liability attached to misuse or unwarranted use of such UPSI.
- (iii) To instruct such person to maintain confidentiality of such UPSI in compliance with these regulations.





7. Digital Database of recipient of UPSI

The CIRO shall be responsible to maintain a structured digital database of such persons or entities as the case may be with whom the information is shared, which shall contain the following information;

- (i) Name of such recipient of UPSI;
- (ii) Name of the Organization or entity to whom the recipient represent;
- (iii) Postal Address and E-mail ID of such recipient; and
- (iv) Permanent Account Number (PAN) or any other identifier authorized by law, if PAN is not available.

The CIRO shall also be responsible to ensure that such databases shall be maintained with adequate internal controls and checks such as time stamping and audit trials to ensure non-tampering of such database.

8. Amendment

The Board shall have the power to amend any of the provisions of the Fair Disclosure Code, substitute any of the provisions with a new provision or replace this Fair Disclosure Code entirely with a new Fair Disclosure Code.

