

FORM A

Ameasure - A

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

[Regulation 7 (1) (a) read with Regulation 6 (2)]

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

Details of Securities held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)

Name, PAN No., CIN/DIN & address with contact nos.	Category of Person (Promoters/ KMP / Directors/Immediate relatives/others etc)	Securities held as on the date of regulation coming into force		% of Shareholding	Open Interest of the Future contracts held as on the date of regulation coming into force		Open Interest of the Option Contracts held as on the date of regulation coming into force	
		Type of security (For eg. - Shares, Warrants, Convertible Debentures etc.)	No.		Number of units (contracts * lot size)	Notional value in Rupee terms	Number of units (contracts * lot size)	Notional value in Rupee terms
1		2	3	4	5	6	7	

Note: "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Signature: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**FORM B**

**Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015**

[Regulation 7 (1) (b) read with Regulation 6(2)]

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

**Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).**

1	2	3	4	5	5	6	7	
Name, PAN No., CIN/DIN & Address with contact nos.	Category of Person (Promoters/ KMP / Directors/immediate relatives/others etc.)	Date of appointment of Director /KMP OR Date of becoming Promoter	Securities held at the time of becoming Promoter/appointment of Director/KMP	Type of security (For eg. - Shares, Warrants, Convertible Debentures etc.)	No.	% of Shareholding	Open Interest of the Future contracts held at the time of becoming Promoter/appointme nt of Director/KMP	Open Interest of the Option Contracts held at the time of becoming Promoter/appointme nt of Director/KMP
					Number of units (contracts * lot size)	Notional value in Rupee terms	Number of units (contracts * lot size)	Notional value in Rupee terms

*Note: "Securities" shall have the meaning as defined under regulation 2(1)(f) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Signature: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

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Annexure - B

FORM C

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

[Regulation 7 (2) read with Regulation 6(2)]

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

Details of change in holding of Securities of Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).

1	2	3	4	5	6	7	8	9	10	11	12	13			14	15	16	17
												Type of security (For eg. - Shares, Warrants, Convertible Debenture etc.)	No.	Type of security (For eg. - Shares, Warrants, Convertible Debenture etc.)				
												Buy		Sell				

Note: "Securities" shall have the meaning as defined under regulation 2(i)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Signature: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

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Annexure - 5

Form D (Indicative format)

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

Regulation 7(3) - Transactions by Other connected persons as identified by the company

Name, PAN No., CIN/DIN & address of connected persons, as identified by the company with contact nos.	Connecti on with company)	Securities held prior to acquisition/disposal	Type of security (For eg. - Shares, Warrants, Convertible Debenture s etc.)	No.	Type of security (For eg. - Shares, Warrants, Convertible Debenture s etc.)	No.	% of shareholding	Pre transa ction	Post transa ction	Date of allotment/ advice/ acquisition of shares/ sale of shares specify	From To	Date of intimatio n to company	Mode of acquisition (market purchase/pub lic/ rights/ preferential offer / off market/ inter-se transfer etc.)	Trading in derivatives (Specify type of contract, Futures or Options etc)				Exchange on which the trade was executed
														Buy	Sell	Value	Number of units (contracts * lot size)	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17		

Note: "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Name:

Signature:

Date:

Place:

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**Annexure - E**

**DUNCANS INDUSTRIES LTD.**

**SPECIMEN OF APPLICATION FOR PRE-DEALING APPROVAL**

Date :

To  
The Compliance Officer,  
Duncans Industries Ltd.  
Kolkata

Dear Sir/Madam,

**Application for Pre-dealing approval in securities of the Company**

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the company's Code of Conduct for Prevention of Insider Trading, I seek approval for purchase / sale / subscription of \_\_\_\_\_ equity shares of the Company as per details given below :

1.	Name of the applicant		
2.	Designation		
3.	Number of securities held as on date		
4.	Folio No./DP ID/Client ID No.		
5.	The proposal is for		(a) Purchase of securities
			(b) Subscription to securities
			(c) Sale of securities
6.	Proposed date of dealing in securities		
7.	Estimated number of securities proposed to be acquired/subscribed/sold		
8.	Price at which the transaction is proposed		
9.	Current market price (as on date of application)		
10.	Whether the proposed transaction will be through stock exchange or off-market deal		
11.	Folio No./DP ID/Client ID No. whether the securities will be credited/debited		

I enclose herewith the form of Undertaking signed by me.

Yours faithfully,

( Signature )

**Annexure – F**

**DUNCANS INDUSTRIES LTD.**

**FORMAT OF UNDERTAKING TO BE ACCOMPANIED WITH THE  
APPLICATION FOR PRE-CLEARANCE**

**UNDERTAKING**

To  
The Compliance Officer,  
Duncans Industries Ltd.  
Kolkata

I, \_\_\_\_\_ of the Company residing at \_\_\_\_\_, am desirous of dealing in \_\_\_\_\_ \* shares of the Company as mentioned in my application dated \_\_\_\_\_ for pre-clearance of the transaction.

I further declare that I am not in possession of or otherwise privy to any unpublished Price Sensitive Information (as defined in the Company's Code of Conduct for prevention of Insider Trading (the Code) up to the time of signing this Undertaking.

In the event that I have access to or received any information that could be construed as "Price Sensitive Information" as defined in the Code, after the signing of this undertaking but before executing the transaction for which approval is sought, I shall inform the Compliance Officer of the same and shall completely refrain from dealing in the securities of the Company until such information becomes public. I declare that I have not contravened the provisions of the Code as notified by the Company from time to time.

I undertake to submit the necessary report **within two trading days of execution** of the transaction in **Form -C** / a 'Nil' report if the transaction is not undertaken.

If approval is granted, I shall execute the **deal within 7 trading days** of the receipt of approval failing which I shall seek pre-clearance.

I declare that I have made full and true disclosure in the matter.

Signature : \_\_\_\_\_

Date :

- Indicate number of shares

**Annexure – G**

**DUNCANS INDUSTRIES LTD.  
FORMAT FOR PRE-CLEARANCE ORDER**

To,

Name : \_\_\_\_\_

Designation : \_\_\_\_\_

Place : \_\_\_\_\_

This is to inform you that your request for dealing in \_\_\_\_\_ (nos.) shares of the Company as mentioned in your application dated \_\_\_\_\_ is approved. Please note that the said transaction must be completed on or before \_\_\_\_\_ (date) that is within 7 trading days from today.

In case you do not execute the approved transaction/deal on or before the aforesaid date you would have to seek fresh pre-clearance before executing any transaction/deal in the securities of the Company. Further, you are required to file the details of the executed transactions **in the attached Form - C within 2 trading days from the date of transaction** /deal. In case the transaction is not undertaken a 'Nil' report shall be necessary.

Yours faithfully,

DUNCANS INDUSTRIES LTD.

COMPLIANCE OFFICER

Date :