

**Ref No:** 89/ 2022-23

**Dated:** March 03, 2023

**BSE Limited**

**Department of Corporate Services**

Phiroze Jeejeebhoy Towers

Dalal Street, Mumbai – 400 001

Scrip Code: **543415**

Scrip ID: **ANANDRATHI**

**National Stock Exchange of India Limited**

**Listing Department**

Exchange Plaza, C-1, Block G, Bandra Kurla

Complex, Bandra (East), Mumbai - 400 051

Trading Symbol: **ANANDRATHI**

**Sub: Reporting of violation related to the Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015**

Dear Sir/Madam,

In terms of the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Conduct for Prevention of Insider Trading, we are submitting the details of the transaction carried out by one of the Designated Person of the Company in the prescribed format for your information & records please.

Thanking you,

For **Anand Rathi Wealth Limited**



Nitesh Tanwar

Company Secretary and Compliance Officer

M. No. FCS-10181

Place: Mumbai



## Reporting by Anand Rathi Wealth Limited for violations related to Code of Conduct under SEBI (PIT) Regulations, 2015

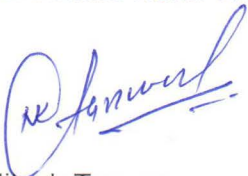
S. No	Particulars	Details
1	Name of the listed entity	Anand Rathi Wealth Limited
2	Please tick the appropriate box Reporting in the capacity of : ✓ Listed entity Intermediary Fiduciary	Listed in BSE & NSE
3	Name of the Designated person	Ms. Chintika Girish Shah
4	PAN of DP	DAVPS8643R
5	Designation of DP	Senior Relationship Manager
6	Functional role	Account manager and reporting to Deputy CEO
7	Whether DP is a promoter or belongs to promoter group	No
8	If Reporting is for immediate relative of DP	No
9	Transaction details	
	a) Name of the scrip	Anand Rathi Wealth Limited
	b) No. of shares traded and value in Rs	1. Sold 100 equity shares amounting to Rs. 73,524/- on 05 <sup>th</sup> January, 2023; 2. Sold 50 equity shares amounting to Rs. 38,211/- on 13 <sup>th</sup> January, 2023; 3. Sold 50 equity shares amounting to Rs. 39,410/- on 16 <sup>th</sup> January, 2023; 4. Sold 50 equity shares amounting to Rs. 40,958/- on 09 <sup>th</sup> February, 2023
10	In case value of trade is more than Rs.10 lacs in a calendar quarter	No
11	Details of violations observed under Code of Conduct	Indulged in contra trades within the period of 6 months
12	Action taken by the listed entity	After giving an opportunity of being heard, issued warning letter advising her to ensure strict compliance of the Code in future. Profits from the trade remitted by the Designated Person to SEBI IEPF Account.





13	Reasons recorded in writing for taking action as stated above	Explanations were sought from Ms. Chintika Girish Shah and after considering the fact that she was on Maternity leave and she was not in access of official email communications from the company stating that she is not allowed to enter into contra trades. Accordingly, she had inadvertently entered into contra trades and after receiving assurance that she will ensure strict compliance of the Code in future. Also since the quantity traded is marginal and this is the first time a violation warning letter was issued.
14	Details of previous instances of violations, if any	No previous violations
15	If any amount collected for Code of Conduct violation(s)	
	Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online
	Name of the transferor	Ms. Chintika Girish Shah
	Bank Name	ICICI Bank
	Branch	Kandivali West, Mumbai
	Account number	055501543437
	UTR/Transaction reference Number	306216843287
	Transaction date	03/03/2023
	Transaction Amount (in Rs.)	Rs. 17,085/-
16	Any other relevant information	Nil

For **Anand Rathi Wealth Limited**




Nitesh Tanwar  
Company Secretary and Compliance Officer  
PAN: AOBPT6200Q  
Email: csarwsl@rathi.com  
Date: 03/03/2023  
Place: Mumbai