



इंडियन रेलवे कैंटरिंग एण्ड टूरिज्म कॉरपोरेशन लिमिटेड
(भारत सरकार का उद्यम-मिनी रत्न)
INDIAN RAILWAY CATERING AND TOURISM CORPORATION LTD.
(A Govt. of India Enterprise-Mini Ratna)

"CIN-L74899DL1999GOI101707" E-mail : info@irctc.com Website : www.irctc.com

No. 2019/IRCTC/CS/PIT/355

Date: 13.03.2020

Office Order No: 9

Sub: Standardizing Reporting of violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.

Ref: OFFICE ORDER/CIRCULARS ISSUED VIDE BULK EMAILS DATED 11.10.2019, 14.10.2019, 30.10.2019, 30.12.2019, 05.02.2020, 28.02.2020, 02.03.2020 & 06.03.2020.

1. In pursuance of SEBI (Prohibition of Insider Trading) Regulations, 2015 as amended up to date, IRCTC has formulated a Code called "The IRCTC Code of Conduct for Regulating & Reporting Trading by Designated Persons & their Immediate Relatives".

2. This code has been framed with an aim that designated persons of the Company and their immediate relatives shall not derive any benefit or assist others to derive any benefit from the access to and possession of Unpublished Price Sensitive Information about the Company which is not in the public domain and thus constitutes insider information. This has become effective from the date of listing of IRCTC's shares on the stock exchanges viz. BSE and NSE. The same is posted at the website of the Company the website with web link <https://irctc.com/assets/images/IRCTC%20CODE%20OF%20CONDUCT%20FOR%20REGULATING%20&%20REPORTING%20TRADING%20BY%20DESIGNATED%20PERSONS%20&%20THEIR%20IMMEDIATE%20RELATIVES.pdf>. Any person desirous to know the details of the regulations / code may visit the website and keep themselves about aware about the provisions of the Code. This advice has been issued to all the



3. In connection to the above, SEBI vide its Circular no. SEBI/HO/ISD/CIR/P/2019/82 dated July 19, 2019 (enclosed), standardized the reporting of violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015. In accordance with the above said circular, all listed companies, intermediaries and fiduciaries shall:

- a. Report such violations by the designated persons and immediate relatives of designated persons in the standardized format to SEBI, as placed at **Annexure A of enclosed circular.**
- b. Maintain a database of the violation of code of conduct by designated persons and immediate relatives of designated persons that would entail initiation of appropriate action against them.

The Office Order is being issued for information of all the designated employees.

**For and behalf of Indian Railway
Catering and Tourism Corporation Limited**



(Suman Kalra)
**Company Secretary & Compliance Officer &
Chief Investor Relation Officer**

Copy to: All Employees of IRCTC

For Information of CMD/Directors/CVO



CIRCULAR

SEBI/HO/ISD/ISD/CIR/P/2019/82

July 19, 2019

To

1. All Listed Companies through the Stock Exchanges
2. All Intermediaries registered with SEBI under Section 12 of the SEBI Act, 1992
3. Fiduciaries as per SEBI (Prohibition of Insider Trading) Regulations, 2015

Dear Sir/ Madam,

Sub: Standardizing Reporting of violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.

1. In terms of Regulation 9(1) and 9(2) of SEBI (Prohibition of Insider Trading) Regulations, 2015 (*the Regulations*), the Board of Directors of every listed company and the Board of Directors or head(s) of the organization of every intermediary and fiduciary are required to formulate a Code of Conduct for designated persons and their immediate relatives and monitor its compliance and promptly inform SEBI about any violations of the Code of Conduct in accordance with Clause 13 of Schedule B (in case of a listed company) or Clause 11 of Schedule C (in case of an intermediary or fiduciary) of the Regulations as applicable.
2. In compliance with the above requirement, SEBI has been receiving various references from listed companies regarding violations related to Code of Conduct under the Regulations. Many of such references provide incomplete or inadequate details about the nature of violation, designation and functional role of designated persons who have committed the violation, frequency of such violations in the past, the actions taken and reasons thereof etc. Such information is crucial for examining the reported violations and taking any further necessary action, if required.
3. Since listed companies, intermediaries and fiduciaries are empowered to take action against the designated person for violations of the respective Code of Conduct in accordance with Clause 12 of Schedule B (in case of a listed company) and Clause 10 of Schedule C (in case of an intermediary or fiduciary) of the Regulations, the

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सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बान्द्रा कुर्ला कॉम्प्लेक्स, बान्द्रा (पूर्व), मुंबई - 400 051.

दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर. एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in

SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051.

Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in



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**Securities and Exchange
Board of India**

aforesaid entities shall ensure that appropriate action is taken whenever such violations are observed after recording reasons in writing.

4. With an objective to standardize the process relating to dealing with such violations of the Code of Conduct, all listed companies, intermediaries and fiduciaries shall:
 - a. Report such violations by the designated persons and immediate relatives of designated persons in the standardized format to SEBI, as placed at Annexure A.
 - b. Maintain a database of the violation of code of conduct by designated persons and immediate relatives of designated persons that would entail initiation of appropriate action against them.
5. The provisions of this circular shall come into effect from the date of the circular.
6. This circular is issued in exercise of the powers conferred under Section 11(1) of the Securities and Exchange Board of India Act 1992 read with regulations 4(3) and 11 of the Regulations and to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.
7. This circular is available on SEBI website at www.sebi.gov.in under the category "Circulars".

Yours faithfully,

Deepti Agrawal
Deputy General Manager
Tel.No : 26449616
Email id : deeptiv@sebi.gov.in

Encl: as above



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Annexure A

Report by (Name of the listed company/ Intermediary/Fiduciary) for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.

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

For Intermediary/ Fiduciary: 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	
2	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	
3	Name of the Designated Person (DP) Name of the immediate relative of DP if reporting is for immediate relative.	
4	PAN of the DP PAN of the immediate relative of DP if reporting is for immediate relative.	
5	Designation of DP	
6	Functional Role of DP	
7	Whether DP is Promoter /Promoter Group/holding CXO level position (e.g. CEO, CFO, CTO etc.)	
8	Transaction details	
	a) Name of the scrip	
	b) No of shares traded (which includes pledge) and value (Rs) (Date- wise)	
9	In case value of trade(s) is more than Rs 10 lacs in a calendar quarter - a) Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company	



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	under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	
	b) Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	
10	Details of violations observed under SEBI (Prohibition of Insider Trading) Regulations, 2015	
11	Action taken by Listed company/ Intermediary/ Fiduciary	
12	Reasons recorded in writing for taking action stated above	
13	Details of the previous instances of violations, if any, since last financial year	
14	Any other relevant information	

Yours faithfully,

Date and Place

Name and signature of Compliance Officer

PAN:

Email id :

Mobile Number :