

## **Prohibition of Insider Trading with Chapter IIA**

1. PIT Basics
  - 1.1. What is Insider Trading?
  - 1.2. Whom does the Insider Trading Guidelines Apply to?
  - 1.3. Important Terminologies Pertaining to Insider Trading
    - 1.3.1. Connected Person
    - 1.3.2. Unpublished Price Sensitive Information (UPSI)
    - 1.3.3. Insider
    - 1.3.4. Quick Check
2. PIT Regulations 2015 - Important Provisions
  - 2.1. Restriction on Communication of UPSI
    - 2.1.1. Quick Check
  - 2.2. Structured Digital Database
  - 2.3. Trading When in Possession of UPSI
    - 2.3.1. Quick Check
  - 2.4. Trading Plan
    - 2.4.1. Timelines Regarding Trading Plan
    - 2.4.2. Trading Plan Contents
    - 2.4.3. Approval of Trading Plan
    - 2.4.4. Quick Checks
  - 2.5. Disclosure
3. PIT Regulations 2015- Code of Fair Disclosure & Conduct
  - 3.1. Whom is the Code Applicable to?
    - 3.1.1. Definition of Designated Person (DP)
    - 3.1.2. Quick Check
  - 3.2. Trading by DP
    - 3.2.1. Trading Window
    - 3.2.2. Pre-clearance
    - 3.2.3. Contra Trade
    - 3.2.4. Disclosure
4. PIT Regulations 2015-Other Important Provisions
  - 4.1. Institutional Mechanism for Prevention of Insider Trading
  - 4.2. Inquiry in case of leak of unpublished price sensitive information
  - 4.3. Reporting Mechanism
  - 4.4. Penalties for violation of PIT Regulations
  - 4.5. Protection against retaliation and victimization
  - 4.6. Reward Mechanism

## 5. PIT Regulations-Chapter IIA (Applicable in case of MF Units)

5.1 Definition of Connected Person

5.2 UPSI

5.3 Restriction on Communication of UPSI

5.4 Structured Digital Database

5.5 Trading When in Possession of UPSI

5.6 Disclosure

5.7 Code of Fair Disclosure & Conduct

5.8 Institutional Mechanism for Prevention of Insider Trading

5.9 Inquiry in case of leak of unpublished price-sensitive information

## 6. Summary

## 7. Final Assessment