

## 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 Unpublished Price Sensitive Information (UPSI)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 Inquiry in case of leak of unpublished price sensitive information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- 5.9 Inquiry in case of leak of unpublished price-sensitive information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