

Prohibition of Insider Trading for AMCs

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 Unpublished Price Sensitive Information (UPSI)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 -Scenario based

2. PIT Regulations 2015 - Important Provisions

2.1. Restriction on Communication of UPSI

2.2. Structured Digital Database

2.3. Trading When in Possession of UPSI

2.4. Quick Check

3. Trading Plan

4. Disclosures in case of AMCs

5. Code of Fair Disclosure and Conduct

6. Trading by DP- Key Considerations

6.1. Closure Window

6.2. Pre-clearance

6.3. Contra-trade

6.4. Disclosures

7. Institutional Mechanism for Prevention of Insider Trading (PIT) for AMCs
8. Inquiry in case of leak of UPSI
9. Final Assessment of 10 questions