

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 Unpublished Price Sensitive Information (UPSI)**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