

Ref No: 63/2022-23

Dated: October 18, 2022

BSE Limited
Department of Corporate Services
Phiroze Jeejeebhoy Towers
Dalal Street, Mumbai – 400 001
Script Code: **543415**

National Stock Exchange of India Limited
Listing Department
Exchange Plaza, C-1, Block G, Bandra Kurla Complex,
Bandra (East), Mumbai - 400 051
Trading Symbol: **ANANDRATHI**

Sub: Reporting of violation related to the Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015

Dear Sir/Madam,

In terms of the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Company's Code of Conduct for Prevention of Insider Trading, we are submitting the details of the transaction carried out by one of the Designated Person of the Company in the prescribed format for your information & records please.

Thanking you,

For Anand Rathi Wealth Limited

NITESH
by NITESH
TANWAR
Date: 2022.10.18
17:39:57 +05'30'

Nitesh Tanwar

Company Secretary and Compliance Officer



Reporting of Code of Conduct Violations under SEBI (PIT) Regulations, 2015

S. No	Particulars	Details
1	Name of the listed entity	Anand Rathi Wealth Limited
2	Please tick the appropriate box Reporting in the capacity of : ☒ Listed entity ☐ Intermediary ☐ Fiduciary	Listed in BSE & NSE
3	Name of the Designated person	Mr. Swapan Chakraborty
4	PAN of DP	AGNPC5233G
5	Designation of DP	Unit Head – Pune Region
6	Functional role	Branch Head
7	Whether DP is a promoter or belongs to promoter group	No
8	If Reporting is for immediate relative of DP	No
9	Transaction details	
	a) Name of the script	Anand Rathi Wealth Limited
	b) No. of shares traded and value in Rs	Pledged 10,000 equity shares on October 10, 2022
10	In case value of trade is more than Rs.10 lacs in a calendar quarter	Yes
11	Details of violations observed under Code of Conduct	Shares Pledged during Trading window closure period.
12	Action taken by the listed entity	After giving an opportunity of being heard, issued warning letter advising him to ensure strict compliance of the Code in future.
13	Reasons recorded in writing for taking action as stated above	Explanation was sought from Mr. Swapan Chakraborty. Considering his response that the Pledging has been inadvertently done by him and assurance that he will ensure strict compliance of the Code in future.
14	Details of previous instances of violations, if any	No previous violations
15	If any amount collected for Code of Conduct violation(s)	NA
	Mode of transfer to SEBI - IPEF (Online/Demand Draft)	-
	Name of the transferor	-



	Bank Name	-
	Branch	-
	Account number	-
	UTR/Transaction reference Number	-
	Transaction date	-
	Transaction Amount (in Rs.)	-
16	Any other relevant information	Nil

For Anand Rathi Wealth Limited

NITESH Digitally signed
by NITESH
TANWAR
Date:
R 2022.10.18
17:40:38 +05'30'



Nitesh Tanwar
Company Secretary and Compliance Officer
Email: csarwsl@rathi.com

Date: 18/10/2022

Place: Mumbai