

11 June 2021



To Corporate Relations Department BSE Limited 1 st Floor, New Trading Ring Rotunda Building, P J Tower Dalal Street Mumbai 400 001 BSE Code: 532978	To Corporate Listing Department National Stock Exchange of India Ltd. Exchange Plaza, 5 th Floor Plot No.C-1, G Block Bandra-Kurla Complex Bandra (East), Mumbai 400 051 NSE Code: BAJAJFINSV
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Subject: Reporting of contravention of the Company's Code of Conduct to Regulate, Monitor and Report Trading by Designated Persons

Dear Sirs/Madam,

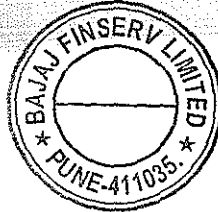
Pursuant to clause 13 of Schedule B of SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended, we hereby submit details of violations of the Company's Code of Conduct by a Designated Person of the Company.

The details of the same are enclosed as **Annexure A** in the format prescribed by SEBI vide its circular dated 23 July 2020.

Thanking you,

Yours faithfully,
For Bajaj Finserv Limited

Sonal R Tiwari
Company Secretary & Compliance Officer

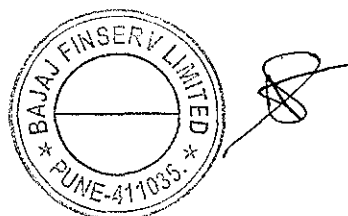


Encl: as above.

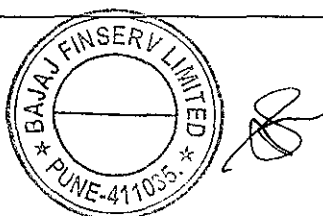
**Report by Bajaj Finserv Limited for violations related to Code of Conduct
under SEBI (Prohibition of Insider Trading) Regulations, 2015.**

[Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulations,
2015.]

Sr. No.	Particulars	Details
1	Name of the listed company	Bajaj Finserv Limited
2	Please tick appropriate checkbox Reporting in capacity of: ☒ Listed Company ☐ Intermediary ☐ Fiduciary	Listed Company
3	A. Details of Designated Person (DP)	
	i. Name of the Designated Person (DP)	Anil PM
	ii. PAN of the DP	ACVPA8319D
	iii. Designation of DP	Chief-Legal & Compliance Officer of Bajaj Allianz Life Insurance Company Limited, subsidiary of Bajaj Finserv Limited.
	iv. Functional Role of DP	Legal & Compliance
	v. Whether DP is Promoter /Promoter Group/holding CXO level position (e.g. CEO, CFO, CTO etc.)	No
	B. If Reporting is for immediate relative of DP	
	i. Name of the immediate relative of DP	NA
	ii. PAN of the immediate relative of DP	NA
	C. Details of transaction(s)	
	i. Name of the scrip	BAJAJ FINSERV LTD BSE Code- 532978 NSE Code- BAJAJFINSV
	ii. Number of shares traded (which includes pledge) and value (Rs.) (Date-wise)	Sale of 200 ESOP equity shares on 1 June 2021. Value was Rs. 23,76,000.



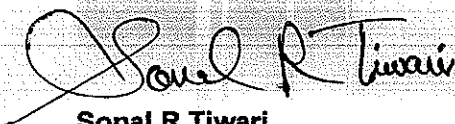
Sr. No.	Particulars	Details
	D. In case value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
	i. Date of intimation of trade(s) by concerned DP / director / promoter / promoter group to Company under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	3 June 2021
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	7 June 2021
4	Details of violations observed under SEBI (Prohibition of Insider Trading) Regulations, 2015	He has inadvertently not obtained pre-clearance approval before sale of 200 ESOP equity shares on 1 June 2021 resulting in violation of Insider Trading Code of the Company.
5	Action taken by Listed company/ ~~Intermediary~~ /Fiduciary	A penalty of Rs. 20,000/- has been levied on Shri Anil P M by the Company as per the Penalty Structure approved by the Board of Directors of the Company. A strict warning letter has also been issued to him.
6	Reasons recorded in writing for taking action stated above	Action has been taken for the said violation in accordance with the Penalty Structure under the Insider Trading Code of the Company, approved by the Board of Directors.
7	Details of the previous instances of violations, if any, since last financial year	On 27 November 2020, Shri Anil PM sold 360 ESOP equity shares which exceeded threshold limit of ₹ 10 Lakh and which required pre-clearance from Bajaj Finserv Ltd. Value was Rs. 32,02,211/-. A penalty of Rs. 10,000 was levied on Shri Anil PM by the Company as per the penalty matrix approved by the Board of Directors of the Company.



Sr. No.	Particulars	Details												
8	If any amount collected for Code of Conduct violation(s)													
	i) Mode of transfer to SEBI - IPEF (Online Transfer)													
	ii) Details of transfer/online payment													
	<table><tr><th>Particulars</th><th>Details</th></tr><tr><td>Name of the transferor</td><td>Bajaj Finserv Limited</td></tr><tr><td>Bank Name, branch and Account number</td><td>Name: Citibank NA Branch: Fort A/c No.: 0016833002</td></tr><tr><td>UTR/Transaction reference Number</td><td>CITIN21187036528</td></tr><tr><td>Transaction date</td><td>10 June 2021</td></tr><tr><td>Transaction Amount (in Rs.)</td><td>Rs.20,000/- (Rupees Twenty Thousand Only)</td></tr></table>	Particulars	Details	Name of the transferor	Bajaj Finserv Limited	Bank Name, branch and Account number	Name: Citibank NA Branch: Fort A/c No.: 0016833002	UTR/Transaction reference Number	CITIN21187036528	Transaction date	10 June 2021	Transaction Amount (in Rs.)	Rs.20,000/- (Rupees Twenty Thousand Only)	
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Transaction date	10 June 2021													
Transaction Amount (in Rs.)	Rs.20,000/- (Rupees Twenty Thousand Only)													
9	Any other relevant information	It was inadvertent error												

Yours faithfully,

For Bajaj Finserv Limited





Sonal R Tiwari

Company Secretary & Compliance Officer

PAN: AFLPT9099L

Email id: sonal.tiwari@bajajfinserv.in

Mobile Number: 9890500576

Date: 11 June 2021

Place: Pune