

August 12, 2022

To
Listing Department
BSE Limited
Phiroze Jeejeebhoy Towers,
Dalal Street, Fort, Mumbai – 400 001
Scrip Code : 509079

To
Listing Department
National Stock Exchange of India Limited
Exchange Plaza, Bandra Kurla Complex,
Bandra (E), Mumbai – 400 051
Scrip Symbol : GUFICBIO

Dear Sir/Madam,

Sub.: Reporting of violations related to the Code of Conduct (CoC) under Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

Ref.: SEBI Circular No. SEBI/HO/ISD/CIR/P/2020/135 dated July 23, 2020

With reference to the above, please find enclosed herewith report on violations under SEBI (Prohibition of Insider Trading) Regulations, 2015 relating to the Code of Conduct by one of the Designated Person in the prescribed form “Annexure-A”.

Kindly take the same on record.

Thanking you,
Yours faithfully,

For Gufic Biosciences Limited



Ami Shah
Company Secretary & Compliance Officer
Membership No.: A39579



Encl.: As above

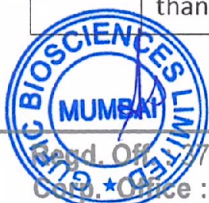
Annexure – A

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

*[For listed companies: Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading)
Regulations, 2015]*

*For Intermediaries/ Fiduciaries: Schedule C read with Regulation 9(1) and 9(2) of SEBI (Prohibition of
Insider Trading) Regulations, 2015]*

Sr. No.	Particulars	Details
1.	Name of Listed Company/ ~~Intermediary/Fiduciary~~	Gufic Biosciences Limited
2	<i>Please tick appropriate checkbox</i> Reporting in capacity of : ☒ Listed Company ☐ Intermediary ☐ Fiduciary	Listed Company
3	A. Details of Designated Person (DP)	
	i. Name of the DP	Mrs. Kshama V
	ii. PAN of the DP	ACTPC4351K
	iii. Designation of DP	NA
	iv. Functional Role of DP	NA
	v. Whether DP is Promoter or belongs to Promoter Group	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	BSE Scrip Code – 509079 NSE Scrip Symbol - GUFICBIO
	ii. No of shares traded and value (Rs.) (Date-wise)	1. On 07.04.2022 – 200 equity shares at Rs. 51,456/- 2. On 04.05.2022 – 200 equity shares at Rs. 50,590.95/- 3. On 05.05.2022 – 100 equity shares at Rs. 25,024.50/-
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter – The value is less than Rs. 10.00 lakhs, hence not applicable	



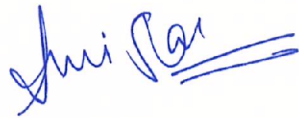
Sr. No.	Particulars	Details
	i. Date of intimation of trade(s) by concerned DP/Director/promoter/promoter group to Company under Regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable as the traded value is less than Rs. 10.00 lakhs
	ii. Date of intimation of trade(s) by Company to stock exchanges under Regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable as the traded value is less than Rs. 10.00 lakhs
4	Details of violations observed under Code of Conduct	Bought equity shares of the Company during the period when the trading window was closed for Designated Persons and their immediate relatives.
5	Action taken by Listed Company/ ~~Intermediary/Fiduciary~~	On the recommendation of the Audit Committee, the Board of Directors at its Meeting held on August 11, 2022 decided to levy a lump sum penalty of Rs. 10,000/- to the DP along with the warning letter for strictly adhering and complying with the Code of Internal Procedures and Conduct for Regulating, Monitoring and Reporting of Trading by Designated Persons and Immediate Relatives of Designated Persons of the Company ("Company's Code") and SEBI (Prohibition of Insider Trading) Regulations, 2015 ("SEBI PIT Regulations") and not to indulge in trading of securities of the Company during closure of trading window and thereafter, without prior intimation.
6	Reasons recorded in writing for taking action stated above	To avoid the violation of Company's Code and SEBI PIT Regulations in future.
7	Details of the previous instances of violations, if any, since last financial year	NA
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online



ii. Details of transfer/payment	
In case of Online:	
Particulars	Details
Name of the transferor	Kshama Vipul
Bank Name, branch and Account number	Bank Name: HDFC Bank Branch: JVPD Mumbai 400 056 Account No.: 03211000018590
UTR/Transaction reference Number	BKID0000122
Transaction date	August 12, 2022
Transaction Amount (in Rs.)	Rs. 10,000/-
In case of Demand Draft (DD): NA	
Particulars	Details
Bank Name and branch	-
DD Number	-
DD date	-
DD amount (in Rs.)	-
9	Any other relevant information -

Yours faithfully,

For Gufic Biosciences Limited



Ami Shah

Company Secretary & Compliance Officer

Membership No.: A39579

PAN: CVIPS3032F

Email id: mgr_legal@guficbio.com



Date: August 12, 2022

Place: Mumbai