एस सी आई
SCI
A Navratna Company
ISO 9001:2008

भारतीय नौवहन निगम लिमिटेड
(भारत सरकार का उद्यम)
पंजीकृत कार्यालय: शिपिंग हाउस, 245 मादाम कामा रोड, मुंबई - 400 021.
फोन: 91-22-2202 6666, 2277 2000 फैक्स: 91-22-2202 6905 वेबसाइट: www.shipindia.com

स्वच्छ भारत
एक कदम स्वच्छता की ओर

The Shipping Corporation Of India Ltd.
(A GOVERNMENT OF INDIA ENTERPRISE)
Regd. Office: Shipping House, 245, Madame Cama Road, Mumbai-400 021. Ph: 91-22 2202 6666, 2277 2000
Fax: 91-22 22026905 • Website: www.shipindia.com
सीआईएन/CIN-L63030MH1950GOI008033

Ref.No.: A10-SEC- BD-808 08.04.2019

To,

Corporate Relationship Department, **Bombay Stock Exchange Ltd,** 1st Floor, New Trading Ring, Rotunda Building, P.J. towers, Dalal Street, Fort, Mumbai – 400 001	The Manager, Listing Department, **The National Stock Exchange of India Ltd.,** 'Exchange Plaza' Bandra-Kurla Complex, Bandra (East) MUMBAI - 400 051.

Dear Sir,

Intimation under Regulation 8(2) of The SEBI (Prohibition of Insider Trading) Regulations, 2015 and Compliance with Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

In accordance with the provisions of Regulation 8(2) of the SEBI (Prohibition of Insider Trading) Regulations, 2015 and Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and SEBI Listing Obligations and Disclosure Requirements) (Amendment) Regulations, 2018 we hereby inform that:

The Board of Directors of the company vide Circular Resolution have amended and approved the SCI Code of Conduct for Prohibition of Insider Trading which inter-alia includes amendment in Trading Window closure period and SCI Policy and procedure for inquiry in case of leak or suspected leak of Unpublished Price Sensitive Information (UPSI). Henceforth, the Trading window closure period will be from 1st day of each Quarter till 48 hours after declaration of financial results.

The revised code shall be effective from April 01, 2019.

The SCI Code of Conduct for Prohibition of Insider Trading is available on the Company website http://www.shipindia.com/

This is for your information and records.

Thanking You,

Yours faithfully,

कृते भारतीय नौवहन निगम लिमिटेड
For THE SHIPPING CORPORATION OF INDIA LTD.

दिपांकर हालदार/DIPANKAR HALDAR
कार्यकारी निदेशक (विधिक मामले) एवं कंपनी सचिव
Executive Director (Legal Affairs) & Company Secretary



THE SHIPPING CORPORATION OF INDIA LTD

SCI CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING

A. BACKGROUND:

1. The Shipping Corporation of India Ltd. (hereinafter referred to as "the Company/SCI") believes in the conduct of its affairs in a fair and transparent manner by adopting highest standards of professionalism, honesty, integrity and ethical behaviour.

2. The SEBI (Prohibition of Insider Trading) Regulations, 2015 ["the Regulations"] and amendments thereto , have laid down a framework for prohibition of insider trading in securities and requires a Code for Fair Disclosure and Conduct ('the Code") be laid down by the listed companies to prevent such insider trading. Accordingly, the Company has formulated the following guidelines which shall serve as the Code to prohibit insider trading.

All capitalized terms used and not defined herein, shall bear the meaning as defined under the Regulations, The SEBI Act, 1992, the Companies Act 2013 and the SEBI (LODR) Regulations, 2015, SEBI (SAST) Regulations,2011 and any other statute governing the said term.

B. APPLICABILITY

3. This policy shall apply to all Designated Persons and Immediate Relatives of Designated Persons and any other person in possession of or having access to Unpublished Price Sensitive Information ("UPSI") including Connected Persons as defined under the Regulations.

C. THE CODE:

4. Compliance Officer

The Company Secretary or any other senior officer designated by the Board, shall be the Compliance Officer cum Chief Investor Relation Officer for the purpose implementation of the Code and other requirements under the Regulations. The Compliance Officer shall report to the Board of Directors and shall provide report to Chairman- Audit Committee on annual basis.

Designated Persons

5. The Designated Persons shall include the following:

a. All Directors, including Chairman & Managing Director, whole-time Directors and non-Executive Directors, including Government Directors.

b. Executive Directors / General Managers

c. Deputy General Managers

d. All employees in the Finance & Accounts Department, Board Secretariat, PR Department, ISM Department, Planning & MIS Department, IT Staff and any other employees identified as "Designated Employees" by any of the Directors of SCI.
e. Employees of Fiduciaries and Intermediaries of SCI identified so by the management of the said Fiduciary / Intermediary
e. Officers dealing with budgeting/monitoring of results in the Profit Centres.
f. All employees in the Secretariats of Chairman & Managing Director, whole-time Directors and Executive Directors /General Managers.
g. All promoters of SCI and promoters who are individuals
h. Employees of material subsidiaries of SCI designated on the basis of their functional role or access to UPSI in the organization by the board of directors;
i. Chief Executive Officer and employees upto two levels below Chief Executive Officer of such Intermediary, Fiduciary and its material subsidiaries irrespective of their functional role in the company or ability to have access to UPSI;
j. An Insider who is a Connected Person as per the definition under the Code or a person having access to UPSI.

Fiduciaries

6. Fiduciary means any person having fiduciary relation with the company, including but not limited to auditors, accountancy firms, law firms, analysts, consultants etc., assisting or advising the company.

Legitimate Purpose

7. "Legitimate purpose" shall include sharing of information with partners, analysts, collaborators, lenders, customers, suppliers, banks, merchant bankers, legal advisors, registrar and/or share transfer agent, husbanding / marketing agents, manning agents, advertising/ publication agency, auditors, insolvency professionals or other advisors or consultants or any other individual or entity.

provided that such sharing of UPSI in the ordinary course of business by an Insider is for performance of official duties and/ or discharge of legal obligations in connection with performance of official duties and also, the sharing has not been carried out to evade or circumvent the Code or the Regulations.

Unpublished Price Sensitive Information (UPSI)

8. It means any information, relating to SCI or its securities, directly or indirectly, that is not generally available which upon being generally available, is likely to affect the price of the securities and shall, ordinarily but not restricted to, information relating to the following:
a. Financial Results (Audited as well as unaudited) and Financial Statements as defined under the Companies Act, 2013.
b. Declaration of dividends (interim and final).
c. Any change in Capital Structure

d. Any major expansion plans or execution of new projects. For the purpose of this clause, major expansion plans shall mean "increase in DWT by 20% or more".
e. Amalgamation, merger, demerger, acquisition, takeovers, delisting and buy-back.
f. Disposal of whole or substantially the whole of the undertaking to the extent of 20% or more of the net worth or 20% or more of the total income of the Company or 20% or more of the value of the undertaking, during the previous financial year, whichever is less. [The limit has been set based on the definition in section 180(1)(a) of the Companies Act 2013.] This shall exclude mortgages.
g. Any changes in policies, plans or operations of the Company which will have effect on net worth to the extent of 20% or more.
h. Changes in Key Managerial Personnel.
i. Any other matter as may be prescribed under the Listing Regulations and/or Corporate Law to be price sensitive, from time to time

Protection of 'Price Sensitive Information'

9. All information shall be handled within the organisation on a NEED-TO-KNOW basis and no UPSI shall be communicated to any person except in furtherance of the Legitimate Purposes.

10. The UPSI shall be disclosed only with approval from the Chairman & Managing Director of SCI or any Whole time Director of SCI or Compliance Officer under the Code or any other officer nominated by the Chairman & Managing Director of SCI for this purpose.

11. It shall be duty of each Designated Person to ensure that no UPSI is provided to any person/entity without necessary clearance in writing from the competent authority. The Designated Person shall maintain confidentiality of UPSI in their possession. They shall not pass on such information directly or indirectly, to any person or entity, for any purpose except for Legitimate Purposes.

12. If Insider commits breach or accidentally crosses Chinese wall in respect of UPSI, it shall be reported to the Compliance Officer and immediate action shall be initiated by the Compliance Officer to stop such information from being misused.

13. The Company shall have a right to issue notice to any person/ entity identified as Insider to maintain confidentiality of UPSI in his possession or deemed to be in his possession or expected to be in possession in near future.

14. The Compliance Officer may demand justifications from any person/ entity passing on UPSI directly or indirectly as well intentionally or accidentally. The justifications/ reasons provided by such persons/ entities shall be submitted to the Board for its information.

15. In the event any person related to the Company is in knowledge of or gets hold of any UPSI without 'Need to Know Basis', he shall immediately report such

incident to the Compliance Officer. The Compliance Officer shall immediately inform the Chairman & Managing Director about such incident and shall take all such steps to either protect further leakage of such UPSI or make such UPSI generally available, as may be decided by the Chairman & Managing Director in each case.

16. It shall be the duty of the relevant Designated Persons to ensure that all documents and files containing confidential information of the Company is kept secured at all times. The IT department shall ensure that all information stored in electronic mode shall also be made secured through the use of anti-theft software and necessary encoded security protection.

Communication and Procurement of Price Sensitive Information

17. The Compliance Officer and the Designated Persons shall ensure the following:

I. There is prompt public disclosure of UPSI in order to make such information generally available.
II. There is uniform and universal dissemination of UPSI to avoid selective disclosure.
III. There shall be prompt dissemination of UPSI that gets disclosed selectively, inadvertently or otherwise to make such information generally available.
IV. Appropriate and fair response to queries on news reports and requests for verification of market rumours by regulatory authorities is provided.
V. Ensuring that information shared with analysts and research personnel is not UPSI.
VI. Transcripts or records of proceedings of meetings with analysts and other investor relation conferences will be on the company website to ensure official confirmation and documentation of disclosures made.
VII. The individuals and other entities shall be brought 'inside' on sensitive transactions only on need to know basis and if need be, only after signing confidentiality agreement. They would be made aware of the duties and responsibilities attached to the receipt of UPSI and the liability that attaches to misuse or unwarranted use of such information.
VIII. UPSI shall be communicated, provided, allowed access to or procured, in connection with a transaction that would: -
    a) entail an obligation to make an open offer under the takeover regulations where the Board of Directors of SCI are of informed opinion that sharing of such information is in the best interests of the company;
    b) not attract the obligation to make an open offer under the takeover regulations but where the Board of Directors of SCI are of informed opinion that sharing of such information is in the best interests of the company and the information that constitute UPSI is disseminated to be made generally

available at least two trading days prior to the proposed transaction being effected in such form as the board of directors may determine to be adequate and fair to cover all relevant and material facts.

IX. The P&A department shall ensure that a structured digital database shall be maintained containing the names of Designated Persons, along with the Permanent Account Number or any other identifier authorized by law where Permanent Account Number is not available. Such databases shall be maintained with adequate internal controls and checks such as time stamping and audit trails to ensure non-tampering of the database.

X. Designated Persons shall be required to disclose names and Permanent Account Number or any other identifier authorized by law of the following persons to the Company on an annual basis and as and when the information changes:

a) Immediate Relatives

b) persons with whom such Designated Person(s) shares a material financial relationship, which means where one person is a recipient of any kind of payment such as by way of a loan or gift during the immediately preceding twelve months, equivalent to at least 25% of such payer's annual income but shall exclude relationships in which the payment is based on arm's length transactions.

c) Phone, mobile and cell numbers which are used by them

d) The names of educational institutions from which Designated Persons have graduated and names of their past employers shall also be disclosed on one time basis.

Institutional Mechanism for Prevention of Insider Trading

18. The Chairman & Managing Director of SCI or any other officer authorised by him and Intermediaries or Fiduciaries of SCI shall ensure adequate and effective system of internal controls to comply with the requirements given in the regulations to prevent insider trading.

19. The internal controls shall include the following:

(a) All employees who have access to UPSI are identified as designated employee;

(b) All the UPSI shall be identified and its confidentiality shall be maintained as per the requirements of the regulations;

(c) Adequate restrictions shall be placed on communication or procurement of UPSI as required by the regulations;

(d) Lists of all employees and other persons with whom UPSI is shared on Need to Know basis, shall be maintained and confidentiality agreements shall be signed or notice shall be served to all such employees and persons;

(e) Periodic process review to evaluate effectiveness of such internal controls.

(f) All other relevant requirements specified under the Regulations shall be complied with on timely basis.

20. A report confirming compliance with the para 17, 18 and 19 shall be submitted to The Board of Directors of SCI on annual basis through the Audit committee of the Board of SCI. The said Committee shall verify that the systems for internal control are adequate and are operating effectively.

21. SCI POLICY AND PROCEDURE FOR INQUIRY IN CASE OF LEAK OR SUSPECTED LEAK OF UNPLUBLISHED PRICE SENSITIVE INFORMATION

I. The Chairman & Managing Director shall within 7 (seven) working days from the date of receipt information regarding leak of UPSI or suspected leak of UPSI, shall proceed to investigate the matter and for such purpose he may consult such person, whether internal or otherwise or obtain such external assistance or opinion as he may deem fit. During the course of such investigation, Chairman & Managing Director may call for additional documents, representations, etc.

II. If an inquiry has been initiated, the relevant Intermediaries and Fiduciaries shall co-operate with SCI in connection with such inquiry conducted by it.

III. On completion of the preliminary investigation, CMD shall refer the matter to the Chairman of the Audit Committee. After considering the matter, the Audit Committee shall put forward its recommendation to the Board.

IV. The Board, on receipt of such recommendation and after due review, if forms an opinion that there is a leak of UPSI, then it will order for necessary disciplinary proceedings under the CDA Rules which will be in addition to the penal provisions stated under the SEBI (Prohibition of Insider Trading) (Amendment) Regulations, 2015 as amended from time to time and any other statutory enactments, as applicable.

V. This policy shall not in any way exclude any referrals, complaints, measures, actions, etc. which can be instituted under the existing Whistle Blower Policy of SCI.

Trading in securities

22. While trading in securities, all Designated Persons and Immediate Relatives of Designated Persons shall be governed by the Code and they shall also be subject to compliance with the Regulations.

23. No Designated Person shall trade in the securities of the Company while in the possession of UPSI except under the circumstances provided under the Regulations.

24. The trading undertaken by the Designated Persons shall be routed through a notional Trading Window ("Trading Window") which has been created to monitor the trading done by them. It is only when such Trading Window is open, will the Designated Persons or class of Designated Persons be allowed to carry on trade in the security of the Company. However, the Trading Window shall be closed when the Compliance Officer determines that a Designated Persons can reasonably be expected to have possession of UPSI. Such closure shall be imposed in relation to such securities to which such UPSI relates. The Designated Persons and their Immediate Relatives shall not trade in securities when the Trading Window is closed.

25. The Trading Window shall also be closed for the following events:

Closing of Trading Window for financial results

a. From 1st April upto Forty Eight hours after the declaration of the annual financial results (and dividend, if any) to the Stock Exchanges.
b. From 1st July upto Forty Eight hours after the declaration of the first quarter financial results to the Stock Exchanges.
c. From 1st October upto Forty Eight hours after the declaration of the second quarter financial results to the Stock Exchanges.
d. From 1st January upto Forty Eight hours after the declaration of the third quarter financial results to the Stock Exchanges.
e. From the date of intimation / instruction received from the Ministry of Shipping w.r.t. declaration of interim dividend or from 7 days before the date of the Board meeting wherein the Interim Dividend is being considered upto Forty Eight hours after the cut-off date/ record date for payment of such Interim Dividend.

26. The timing for re-opening of the Trading Window shall be determined by the Compliance Officer taking into account various factors including the UPSI in question becoming generally available and being capable of assimilation by the market, which in any event shall not be earlier than forty eight hours after the information becomes generally available.

27. Every Designated Person (including his Immediate relative) shall - (i) execute trades in the securities of SCI subject to the compliance of the Code (ii) trade only when Trading Window is open and (iii) trade in the securities of SCI only after pre-clearance from the Compliance officer, for a single transaction or a series of transactions over any calendar quarter, if the quantity involved in the proposed trades (buy/sell) is 10 or more SCI's securities or if the value of the said trade(s) is in excess of Rs. 10,000 (Rupees Ten Thousand). An application for seeking pre-clearance trade should be submitted in Form A-1

28. Prior to approving any trades, the Compliance Officer shall be entitled to seek declarations to the effect that the applicant for pre-clearance is not in possession of any UPSI. He shall also have regard to whether any such declaration is reasonably capable of being rendered inaccurate. Pre-clearance of trades shall not be required for a trade executed as per an approved trading plan. The trading window norms and restrictions on contra trade shall not be applicable for trades carried out in accordance with an approved trading plan.

29. The Compliance Officer shall place before the Chairman & Managing Director on a monthly basis all the details of the dealing in the securities by Designated Persons of the Company (including 'Nil' report, if any) and the accompanying documents that such person had executed under the pre-dealing procedure as envisaged in this code.

30. Within seven trading days, within which trades that have been pre-cleared, have to be executed, failing which fresh pre-clearance would be needed for the trades to be executed.

31. For six months, Designated Persons who were permitted to trade through pre-clearance, shall not execute a contra trade. The Compliance Officer shall have the power to grant relaxation from strict application of this restriction for reasons to be recorded in writing provided that such relaxation does not violate the Regulations. Should a contra trade be executed, inadvertently or otherwise, in violation of such a restriction, the profits from such trade shall be liable to be disgorged for remittance to SEBI for credit to the Investor Protection and Education Fund administered by SEBI under the SEBI Act, 1992. However, this shall not be applicable for trades pursuant to exercise of stock options.

32. The Formats w.r.t various compliances under this Code are annexed at the end.

Initial Disclosures

33. Every promoter, member of promoter group, key managerial personnel and director of the Company shall disclose his holding of securities of the company as on the date of the adoption of this Code by the Board of Directors in **Form A**.

34. Every person on appointment as a key managerial personnel or a director of the Company or upon becoming a promoter or member of the promoter group shall disclose his holding of securities of the Company as on the date of appointment or becoming a promoter, to the Company within seven days of such appointment or becoming a promoter in **Form B**.

Continual Disclosures

35. Every promoter, member of the promoter group, designated person and director of the Company shall disclose to the Company in **Form C**, the number of such securities acquired or disposed of within two trading days of such transaction if the value of the securities traded, whether in one transaction or a series of transactions over any calendar quarter, aggregates to a traded value in excess of ten lakh rupees or such other value as may be specified.

36. The Company shall notify the particulars of such trading to the stock exchange on which the securities are listed within two trading days of receipt of the disclosure or from becoming aware of such information.

Disclosures by other Connected Persons

37. The Connected Person shall make disclosure in **Form D** of trading of SCI securities as well as his/ her / its holdings on quarterly basis till he/ she/ it has access to the UPSI. The disclosure can be discontinued on such UPSI becoming generally available.

Periodical Disclosure

38. Periodicity of reporting of the transactions in securities shall be on a quarterly basis in **Form E**, which would also include the cases where pre-clearance is also required. The Designated Persons shall submit his/her report within 15 days from the close of the previous quarter.

Annual Disclosure

39. Annual disclosure of number of shares and other securities held as on 31st March, including details of purchase/sale of shares and other securities during the financial year shall be made within 30 days from the close of each financial year by the Designated Persons in **Form F**.

40. The Compliance Officer shall maintain the records of all the declarations given in the appropriate form for a minimum period of three years.

Reporting of Violations

41. Compliance Officer shall promptly inform SEBI regarding violation of the Regulations.

Restriction on Communication and Trading by Insiders

42. The provisions of the Regulations shall be applicable w.r.t restrictions on Dealing with UPSI and Unauthorised use of UPSI.

Amendment Clause

43. The following amendments in the Code shall be carried out with approval from Chairman & Managing Director:

The amendments to the Code necessitated due to

(i) amendments to The SEBI Act, 1992, the SEBI (Listing Obligations & Disclosure Requirements), 2015, SEBI (Prohibition of Insider Trading) Regulations, 2015, the Companies Act 2013, SEBI (Substantial Acquisition of Shares and Takeover) Regulation,2011 or any other statutory legislations or

(ii) changes in the nomenclature of designations of the employees or directors of SCI

Provided the Board is kept informed about the said amendment at the first Board Meeting held after such amendment.

44. Any amendment for the reasons other than those mentioned above shall need approval by the Board of Directors.

PENALTY FOR CONTRAVENTION OF CODE OF CONDUCT

45. Any employee/officer/director who trades in securities or communicates any information for trading in securities, in contravention of this Code of Conduct would be penalized and appropriate action against her/him would be taken by the Company. The employees/officers/directors of the Company who violate the Code of Conduct shall also be liable to disciplinary action by the Company, which may include wage freeze, suspension, recovery, clawback, ineligibility for future participation in employee stock option plans, etc.

The action taken by the Company against the employee shall not preclude SEBI from taking any action, as it may deem fit, in case of violation of SEBI (Prohibition of Insider Trading) Regulations, 2015 as amended from time to time.

By Order of the Board
Chairman & Managing Director
Date: 05.04.2019
Place: Mumbai.

Form A-1
Application for Pre-clearance

To
The Compliance Officer
The Shipping Corporation of India Ltd.
'Shipping House', 245,
Madame Cama Road,
Mumbai-400 021

Dear Sir,

Sub: Application for seeking Pre Clearance to trade in the shares of SCI

I/ We, [*Details of the Designated Person including how they are covered under the definition of Designated Person*] hereby apply for clearance to undertake the proposed trade in the Shares of SCI as per details mentioned hereunder:

Number of Shares held in SCI (A)	Number of Shares of SCI proposed to be sold (B)	Nature of Shares to be acquired– Equity/ Preference	Number of Shares of SCI proposed to be acquired (C)	Balance Holding (A)+ (C)-(B)	Nature of Transaction (open market/ out of open Market/ Subscription)	Price

Name of Depository participant & DP ID No. through whom shares are proposed to be Debited/Credited:	
Client ID No.:	
Folio No in case the shares are in Physical Form	
PAN (In case of Immediate Relative)	

** Kindly also provide the details of Derivatives of SCI shares to be traded.*

DECLARATION

I/We hereby declare and confirm that:

i. I/We, am/are not in possession of any unpublished price sensitive information in relation to the proposed trade whose details have been mentioned herein. I/We agree to comply with the Code of Conduct for Insider Trading as specified and formulated by The Shipping Corporation of India Limited (SCI) from time to time.

ii. In the event that I/we gain access to or receive any unpublished price sensitive information, after providing the declaration herein but before executing the transaction for which clearance is sought, I/we undertake to immediately inform the Company Secretary of SCI of the same and shall completely refrain from dealing in the securities of SCI in any form including the proposed trade until such information becomes public;

iii. I/ We shall execute the proposed trade of shares within 7 days of the clearance provided herein, failing which I/we shall be required to apply again for the clearance.

iv. I/We shall hold shares of SCI for a minimum period of six months from the date of acquisition herein.

I/We further agree to abide by the directions of SCI and shall be responsible for all such wrongful acts including such penalties as may be so imposed by SCI in this regard.

Signature: _____

Name:

Only For SCI employees

Designation :
Division/Department :
E.C. No. :

FOR OFFICE USE

Pre Clearance Granted/ Not Granted

COMPLIANCE OFFICER

FORM A

SEBI (Prohibition of Insider Trading) Regulations, 2015

[Regulation 7 (1) (a) read with Regulation 6 (2) – Initial disclosure to the company]

Name of the company: _____

ISIN of the company: _____

Details of Securities held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)

Name, PAN No., CIN/DIN & Address with contact nos.	Category of Person (Promoters/ KMP / Directors/Immediate Relatives/others etc.)	Securities held as on the date of regulation coming into force		% of Shareholding
		Type of security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No.	

Note: *"Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Details of Open Interest (OI) in derivatives of the company held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Open Interest of the Future contracts held on the date of regulation coming into force			Open Interest of the Option Contracts held as on the date of regulation coming into force		
Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee Terms

Signature: _____

Name:

Only For SCI employees

Designation :

Division/Department :

E.C. No. :

FORM B

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

[Regulation 7 (1) (b) read with Regulation 6(2) - Disclosure on becoming a Director/ KMP/Promoter]

Name of the company: _____

ISIN of the company: _____

Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Name, PAN No., CIN/DIN & Address with contact nos.	Category of Person (Promoters/ KMP / Directors/Immediate Relatives/others etc.)	Date of appointment of Director /KMP OR Date of becoming Promoter	Securities held at the time of becoming Promoter / appointment of Director/KMP		% of Shareholding
			Type of security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No.	

Note: *"Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Details of Open Interest (OI) in derivatives of the company held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Open Interest of the Future contracts held at the time of becoming Promoter / appointment of Director/KMP			Open Interest of the Option Contracts held at the time of becoming Promoter/appointment of Director/KMP		
Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee Terms

Signature: _____

Name:

Only For SCI employees

Designation :

Division/Department :

E.C. No. :

FORM C

SEBI (Prohibition of Insider Trading) Regulations, 2015

[Regulation 7(2) read with Regulation 6(2) – Continual disclosure]

Name of the company:_____

ISIN of the company: _____

Details of change in holding of Securities of Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).

Name, PAN, CIN/DIN, & address with contact nos.	Category of Person (Promoters/ KMP / Directors/immediate relative to/others etc.)	Securities held prior to acquisition/disposal		Securities acquired/Disposed				Securities held post acquisition/disposal		Date of allotment advice/ acquisition of shares/ sale of shares specify		Date of intimation to company	Mode of acquisition / disposal (on market/public/ rights/ preferential offer / off market/ Inter-se transfer, ESOPs etc.)
		Type of security (For eg. –Shares, Warrants, Convertible Debentures etc.)	No. and % of shareholding	Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No.	Value	Transaction Type (Buy/ Sale/ Pledge / Revoke/ Invoke)	Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No. and % of shareholding	From	To		

Note: *"Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Details of trading in derivatives of the company by Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).

Trading in derivatives (Specify type of contract, Futures or Options etc)						Exchange on which the trade was executed
Type of contract	Contract specifications	Buy		Sell		
		Notional Value	Number of units (contracts * lot size)	Notional Value	Number of units (contracts * lot size)	

Note: *In case of Options, notional value shall be calculated based on Premium plus strike price of options.*

Signature :

_____

Name :

Only For SCI employees

Designation :
Division/Department :
E.C. No. :

FORM D

SEBI (Prohibition of Insider Trading) Regulations, 2015

Regulation 7(3) – Transactions by Other connected persons as identified by the company Details

of trading in securities by other connected persons as identified by the company

Name, PAN, CIN/DIN, & address with contact nos. of other connected persons as identified by the company	Connection with company	Securities held prior to acquisition/disposal		Securities acquired/Disposed				Securities held post acquisition/disposal		Date of allotment advice/ acquisition of shares/ sale of shares specify		Date of intimation to company	Mode of acquisition/disposal (on market/public/ rights/ Preferential offer / off market/Inter-se transfer, ESOPs etc.)
		Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No. and % of shareholding	Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No.	Value	Transaction Type (Buy/ Sale/ Pledge / Revoke /Invoke)	Type of security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No. and % of shareholding	From	To		

Note: *"Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Details of trading in derivatives by other connected persons as identified by the company

Trading in derivatives (Specify type of contract, Futures or Options etc)						Exchange on which the trade was executed
Type of Contract	Contract specifications	Buy		Sell		
		Notional Value	Number of units (contracts * lot size)	Notional Value	Number of units (contracts * lot size)	

Note: *In case of Options, notional value shall be calculated based on premium plus strike price of options.*

Signature : _____

Name :

Only For SCI employees

Designation :

Division/Department :

E.C. No. :

FORM E

Date :

To,

Shri Dipankar Haldar
Compliance Officer
The Shipping Corporation of India Ltd.
Board Secretariat, Shipping House
245, Madam Cama Road, Mumbai - 400 021.

1. PERIODIC STATEMENT OF SCI's SHAREHOLDINGS OF DESIGNATED PERSONS

Sr No.	Name	Designation	Department	No. of shares held at the start of 1st/2nd/3rd/4th Quarter	No. of Shares bought during the Quarter	No. of Shares sold during the Quarter	No. of Shares held at the end of 1st/2nd/3rd/4th Quarter	Folio No./ DP ID / Client ID

II. PERIODIC STATEMENT FOR DETAILS OF SHARES HELD BY DEPENDENT FAMILY MEMBERS OF DESIGNATED PERSONS

Sr No.	Name	Relationship	No. of shares held at the start of 1st/2nd/3rd/4th Quarter	No. of shares bought during the Quarter	No. of Shares sold during the Quarter	No. of Shares held at the end of 1st/2nd/3rd/4th Quarter	Folio No / DP ID/ Client ID

DECLARATION

I/We declare that I/We have complied with the requirement of the minimum holding period of 30 days with respect of the shares sold.

Signature : _____

Name :

Only For SCI employees

Designation :
Division/Department :
E.C. No. :

Notes:

1. This disclosure is to be made on a quarterly basis i.e. within 15 days from the close of the previous quarter.

2. 1st, 2nd, 3rd and 4th quarter would be as under:

   1st Quarter - 1st April to 30th June.

   2nd Quarter - 1st July to 30th Sept.

   3rd Quarter - 1st Oct. to 31st Dec.

   4th Quarter - 1st Jan. to 31st March

FORM F

To,
Shri Dipankar Haldar
Compliance Officer,
The Shipping Corporation of India Ltd.,
Board Secretariat, Shipping House
245, Madam Cama Road, Mumbai - 400 021.

I. ANNUAL STATEMENT OF SCI's SHAREHOLDINGS OF DESIGNATED PERSONS

Sr No.	Name	Designation	Department	No. of Shares Held on 1st April _____	No. of Shares Bought During the year	No. of Shares Sold During the year	No. of Shares held on 31st March _____	Folio No./ DP ID/ Client ID

II. ANNUAL STATEMENT FOR DETAILS OF SHARES HELD BY DEPENDENT FAMILY MEMBERS OF DESIGNATED PERSONS

Sr No.	Name of Relative	Relationship	No. of Shares Held on 1st April _____	No. of Shares Bought During the year	No. of Shares Sold During the year	No. of Shares held on 31st March _____	Folio No./ DP ID/ Client ID

DECLARATION

I/We declare that the shares sold have been held by me/us for atleast 30 days.

I/We further declare that the above disclosure is true and correct and in accordance with periodic and previous disclosures given to the company.

Signature : _____

Name :

Only For SCI employees

Designation :
Division/Department :
E.C. No. :

Place:
Date:

FORM G

THE SHIPPING CORPORATION OF INDIA LIMITED

SCI CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING

ACKNOWLEDGEMENT FORM

I_____, have received and read **SCI CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING ("this Code").** I have understood the provisions and policies contained in this Code and I agree to comply with this Code.

Signature :

Name :

Designation (Only for SCI Employees) :

Date :

Place :

FORM H

THE SHIPPING CORPORATION OF INDIA LIMITED

SCI CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING

ANNUAL COMPLIANCE REPORT*

I_____ do hereby solemnly affirm to the best of my knowledge and belief that I have fully complied with the provisions of the **SCI CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING** during the financial year ending 31st March, _____.

Signature :

Name :

Designation (Only for SCI Employees) :

Date :

Place :