**Form - 1**

**SPECIMEN OF APPLICATION FOR PRE-CLEARANCE OF TRADING IN SECURITIES**

Date:

To,

The Compliance Officer,

**KDDL Ltd.**

Plot No 3, Sector-III,

Parwanoo - 173220,(H.P.)

**Subject: Application for Pre-Clearance approval in securities of the Company**

Dear Sir,

Pursuant to the SEBI (prohibition of Insider Trading) Regulations, 2015 and the Company’s Code of Conduct for Prevention of Insider Trading, I seek approval to purchase / sale / subscription of \_\_\_\_\_\_\_\_\_ equity shares of the Company as per details given below:

1. Name of the applicant

2. Designation

3. Number of securities held as on date

4. Folio No. / DP ID / Client ID No.)

5. The proposal is for:

(a) Purchase of securities

(b) Subscription to securities

(c) Sale of securities

6. Proposed date of dealing in securities

7. Estimated number of securities proposed to be acquired/subscribed/sold

8. Whether the proposed transaction is in the name of Self or in the name

Dependent Family Member

9. Name of the Dependent/relationship if the transaction is in the name of the dependent

10. Price at which the transaction is proposed

11. Current market price (as on date of application)

12. Whether the proposed transaction will be through stock exchange or off-market deal

13. Folio No. / DP ID / Client ID No. where the securities will be credited / debited

I enclose herewith the form of Undertaking signed by me.

Yours faithfully,

(Signature of Designated person/KMP)

Pan No.:

Address:

CIN/DIN No.:

Encl: Form of Undertaking

**FORMAT OF UNDERTAKING TO BE ACCOMPANIED WITH THE APPLICATION FOR PRE-CLEARANCE**

Date:

To,

The Compliance Officer,

**KDDL Ltd.**

Plot No 3, Sector-III,

Parwanoo - 173220,(H.P.)

Dear Sir,

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(Name) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(Designation) of the Company residing at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, am desirous of dealing in \_\_\_\_\_\_\_\_\_\_\_\_ \* shares of the Company as mentioned in my application dated \_\_\_\_\_\_\_\_\_\_\_ for pre-clearance of the transaction.

I further declare that I am not in possession of or otherwise privy to any unpublished Price Sensitive Information (as defined in the Company’s Code of Conduct for prevention of Insider Trading (the Code) up to the time of signing this Undertaking.

In the event that I have access to or received any information that could be construed as “Price Sensitive Information” as defined in the Code, after the signing of this undertaking but before executing the transaction for which approval is sought, I shall inform the Compliance Officer of the same and shall completely refrain from dealing in the securities of the Company until such information becomes public.

I declare that I have not contravened the provisions of the Code as notified by the Company from time to time or any regulations of the SEBI (Prohibition of Insider Trading) Regulations, 2015.

I undertake to submit the necessary report within four days of execution of the transaction / a ‘Nil’ report if the transaction is not undertaken.

If approval is granted, I shall execute the deal within 7 days of the receipt of approval failing which I shall seek pre-clearance again.

I declare that I have made full and true disclosure in this regard to the best of my knowledge and belief.

Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_

\* Indicate number of shares

**Form-2**

**(0n letter head of the Company)**

To,

Name : \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Designation : \_\_\_\_\_\_\_\_\_

Place : \_\_\_\_\_\_\_\_\_\_\_\_\_\_

This is to inform you that your request for dealing in \_\_\_\_\_\_\_\_\_\_\_\_\_ (nos) shares of the Company as mentioned in your application dated \_\_\_\_\_\_\_\_\_\_\_\_is approved. Please note that the said transaction must be completed on or before \_\_\_\_\_\_\_\_\_ (date) that is within 7 days from today.

In case you do not execute the approved transaction /deal on or before the aforesaid date you would have to seek fresh pre-clearance before executing any transaction/deal in the securities of the Company. Further, you are required to file the details of the executed transactions in the attached format within 4 days from the date of transaction/deal. In case the transaction is not undertaken a ‘Nil’ report shall be necessary.

Yours truly,

**For KDDL Limited.**

**COMPLIANCE OFFICER**

Encl: Format for submission of details of transaction

**Form-3**

**FORMAT FOR DISCLOSURE OF TRANSACTIONS**

*(To be submitted within 4 days of transaction / dealing in securities of the Company)*

To,

The Compliance Officer,

**KDDL Ltd.**

Plot No 3,Sector-III,

Parwanoo - 173220,(H.P.)

Dear Sir,

I hereby inform that I

• have not bought / sold/ subscribed any securities of the Company

• have bought/sold/subscribed to \_\_\_\_\_\_\_\_ securities as mentioned below on \_\_\_\_ (date)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of holder | No. of securities dealt with | Bought/sold/subscribed | DP ID/Client ID / Folio No | Price (Rs.) |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

In connection with the aforesaid transaction(s), I hereby undertake to preserve, for a period of 3 years and produce to the Compliance officer / SEBI any of the following documents:

1. Broker’s contract note.

2. Proof of payment to/from brokers.

3. Extract of bank passbook/statement (to be submitted in case of demat transactions).

4. Copy of Delivery instruction slip (applicable in case of sale transaction).

I agree to hold the above securities for a minimum period of six months. In case there is any urgent need to sell these securities within the said period, I shall approach the Compliance Officer for necessary approval. (*applicable in case of purchase / subscription*).

I declare that the above information is correct and that no provisions of the Company’s Code and/or applicable laws/SEBI (Prohibition of Insider Trading) Regulations, 2015 have been contravened for effecting the above said transactions(s).

Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name :

Designation: