

# UNO METALS LTD.

CIN-L27209 WB 1984 PLC O38126

1<sup>st</sup> Floor, 37A Southern Avenue, Kolkata-700 029  
(Renamed as Dr. Meghnad Saha Sarani)

Ph : +91 8017520040, 033 24197542

fax : 033 22308981

email : uno@investingjoy.com

website: www.investingjoy.com

## CODE OF CONDUCT FOR PREVENTION OF INSIDER TRADING

With effect from 15-5-2015

Approved by the Board on 28-5-2015 under compliance with respect to

## SEBI (PROHIBITION OF INSIDER TRADING) REGULATIONS, 2015

The compliance officer, appointed by the board shall report to the board of directors and in particular, shall provide reports to the Chairman of the Audit Committee or to the Chairman of the board of directors at such frequency as may be stipulated by the board of directors Mr. Rajesh Goenka – Director is approved by the board to act as the Compliance Officer.

All information shall be handled within the organization on a need-to-know basis and no unpublished price sensitive information shall be communicated to any person except in furtherance of the insider's legitimate purposes, performance of duties or discharge of his legal obligations.

Employees and connected persons designated on the basis of their functional role in the ("designated person") organization shall be governed by an internal code of conduct governing dealing in securities. The board of directors shall in consultation with the compliance officer specify the designated persons to be covered by such code on the basis of their role and function in the organization. Due regard shall be to the access that such role and function would provide to unpublished price sensitive information in addition to seniority and professional designation.

Designated persons may execute trades subject to compliance with these regulations. Towards this end, a notional trading window shall be used as an instrument of monitoring trading by the designated persons. The trading window shall be closed when the compliance officer determines that a designated person or class of designated persons can reasonably be expected to have possession of unpublished price sensitive information. Such closure shall be imposed in relation to such securities to which such unpublished price sensitive information relates. Designated persons and their immediate relatives shall not trade in securities when the trading window is closed

The timing for re-opening of the trading window shall be determined by the compliance officer taking into account various factors including the unpublished price sensitive information 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. The trading window shall also be applicable to any person having contractual or fiduciary relation with the company, such as auditors, accountancy firms, law firms, analysts, consultants etc., assisting or advising the company.

When the trading window is open, trading by designated persons shall be subject to pre-clearance by the compliance officer, if the value of the proposed trades is above such thresholds as the board of directors may stipulate from time to time and the threshold as fixed and approved by the board at present is 20,000 equity shares or Rs 10 lacs or 1% of the share capital of the Company, whichever is less. No designated person shall apply for pre-clearance of any proposed trade if such designated person is in possession of unpublished price sensitive information even if the trading window is not closed.

For UNO METALS LTD.



Director

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The compliance officer shall confidentially maintain a list of such securities as a "restricted list" which shall be used as the basis for approving or rejecting applications for preclearance of trades.

Prior to approving any trades, the compliance officer shall be entitled to seek declarations (as per format) to the effect that the applicant for pre-clearance is not in possession of any unpublished price sensitive information. He shall also have regard to whether any such declaration is reasonably capable of being rendered inaccurate.

Trade pre cleared has to be executed within 7 trading by the designated person, failing which fresh pre-clearance would be needed for the trades to be executed.

A designated person who is permitted to trade shall not execute a contra trade within a period of 6 months from the date of an event. The compliance officer may be empowered to grant relaxation from strict application of such restriction for reasons to be recorded in writing provided that such relaxation does not violate these 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 the Board for credit to the Investor Protection and Education Fund administered by the Board under the Act.

The Company has adopted such formats with the consent of the board of directors for making applications for pre-clearance, reporting of trades executed, reporting of decisions not to trade after securing pre-clearance, recording of reasons for such decisions and for reporting level of holdings in securities at such intervals as may be determined as being necessary to monitor compliance with these regulations.

Without prejudice to the power of the Board under the Act, the code of conduct shall stipulate the sanctions and disciplinary actions, including wage freeze, suspension etc., that may be imposed, by the persons required to formulate a code of conduct under sub-regulation (1) and sub-regulation (2) of regulation 9, for the contravention of the code of conduct.

The code of conduct shall specify that in case it is observed by the persons required to formulate a code of conduct under sub-regulation (1) and sub-regulation (2) of regulation 9, that there has been a violation of these regulations, they shall inform the Board promptly.

For UNO METALS LTD.



Director

# UNO METALS LIMITED

## ANNEXURE 1

### SPECIMEN OF APPLICATION FOR PRE-DEALING APPROVAL

Date:

To  
The Compliance Officer,  
UNO METALS LTD  
Kolkata

Dear Sir/Madam,

**Application for Pre-dealing approval in securities of the Company**

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.  | Price at which the transaction is proposed  |  |                                |
| 9.  | Current market price (as on date of application)                                    |  |                                |
| 10. | Whether the proposed transaction will be through stock exchange or off-market deal  |  |                                |
| 11. | Folio No. / DP ID / Client ID No. whether the securities will be credited / debited |  |                                |

I enclose herewith the form of Undertaking signed by me.

Yours faithfully,

(Signature of Employee)

# UNO METALS LIMITED

## ANNEXURE 2

### FORMAT OF UNDERTAKING TO BE ACCOMPANIED WITH THE

### APPLICATION FOR PRE-CLEARANCE

#### UNDERTAKING

To  
Uno Metals Limited  
Kolkata

I, \_\_\_\_\_, \_\_\_\_\_ 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.

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.

I declare that I have made full and true disclosure in the matter.

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

Date:

\*Indicate number of shares

**UNO METALS LIMITED**

**ANNEXURE 3**

**FORMAT FOR PRE-CLEARANCE ORDER**

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 2 days from the date of transaction/deal. In case the transaction is not undertaken a 'Nil' report shall be necessary.

Yours faithfully,

**UNO METALS LIMITED**

**COMPLIANCE OFFICER**

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

**Encl: Format for submission of details of transaction.**

# UNO METALS LIMITED

## ANNEXURE 4

### FORMAT FOR DISCLOSURE OF TRANSACTIONS

(To be submitted within 2 days of transaction/dealing in securities of the Company)

To  
The Compliance Officer,  
Uno Metals Limited  
Kolkata

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/<br>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/regulations have been contravened for effecting the above said transactions(s).

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

Name:

Designation:

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

# UNO METALS LIMITED

## ANNEXURE 5

### FORMAT FOR INITIAL DISCLOSURE OF SECURITIES

The Compliance Officer,  
Uno Metals Limited  
Kolkata

I, \_\_\_\_\_, in my capacity as \_\_\_\_\_ of the Company hereby submit the following details of securities held in the Company as on \_\_\_\_\_ (date of becoming Specified Person).

#### I. Details of securities held by me:

| Type of Securities | No. of Securities held | Folio No. | Beneficiary A/c Client ID |
|--------------------|------------------------|-----------|---------------------------|
|                    |                        |           |                           |

#### II Details of dependent(s):

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992 and the Company's Code of Procedures and Conduct for Prevention of Insider Trading, I hereby declare that I have the following dependents:

| Sr. No. | Name of the dependent | Relation with Director/Officer/ Designated Employee |
|---------|-----------------------|---|
|         |                       |   |
|         |                       |   |

#### III Details of securities held by dependent(s):

| Name of Relative | Relationship | Type of Securities | No. of Securities held | Folio No. | Beneficiary A/c Client ID |
|------------------|--------------|--------------------|------------------------|-----------|---------------------------|
|                  |              |                    |                        |           |                           |

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

Date:

# UNO METALS LIMITED

## ANNEXURE 6

### DISCLOSURE OF CHANGE IN SHAREHOLDING

The Compliance Officer,

UNO METALS LTD  
Kolkata

I, \_\_\_\_\_, in my capacity as \_\_\_\_\_ of the Company hereby submit the following details of change in holding of securities of the Company:

| Name, PAN No. & Address of shareholder | No. of Securities Held before the transaction | Receipt of Allotment Advice/ Acquisition of / sale of securities | Nature of transaction & quantity |      |        | Trading Member Through Whom the Trade was Executed with SEBI Registration No. of the TM | Exchange On which The trade Was executed |
|--|---|--|----------------------------------|------|--------|---|--|
|  |   |  | Purchase                         | Sale | Others |   |  |
|  |   |  |                                  |      |        |   |  |
|  |   |  |                                  |      |        |   |  |

I/We declare that I/We have complied with the requirement of the minimum holding period of six months with respect to the securities purchased/sold.

I hereby declare that the above details are true, correct and complete in all respects.

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

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