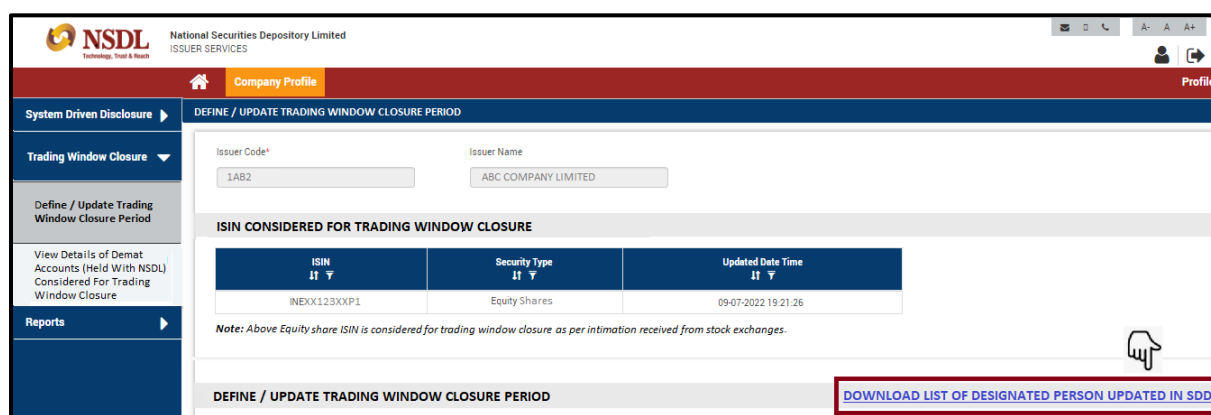


Annexure to NSDL Circular No.: NSDL/CIR/III/31/2022
Operational guideline for defining / updating the ‘Trading Window Closure Period’ i.e. ‘Commencement Date’ and ‘End Date’.
1. Review of Designated Persons list as available on Issuer Portal:

As per SEBI circular dated August 05, 2022, Designated Depository (DD) appointed by the listed company/Issuers shall auto-populate PAN and name of the Designated Persons (DPs) as per the last updated information under system-driven disclosure (SDD) uploaded by the Issuer with DD.

Accordingly, Listed Issuer after log-in to NSDL Issuer Portal, shall review the list of existing designated persons updated in NSDL Issuer portal under SDD by clicking on “*Company Profile*” → “*Trading Window Closure*” → “*Define / Update Trading Window Closure Period*” as exhibited below and review/download the list of existing Designated Persons updated by Issuer on NSDL Issuer Portal (<https://issuer.nsd.com/>):



ISIN	Security Type	Updated Date Time
INE00123XXP1	Equity Shares	09-07-2022 19:21:26

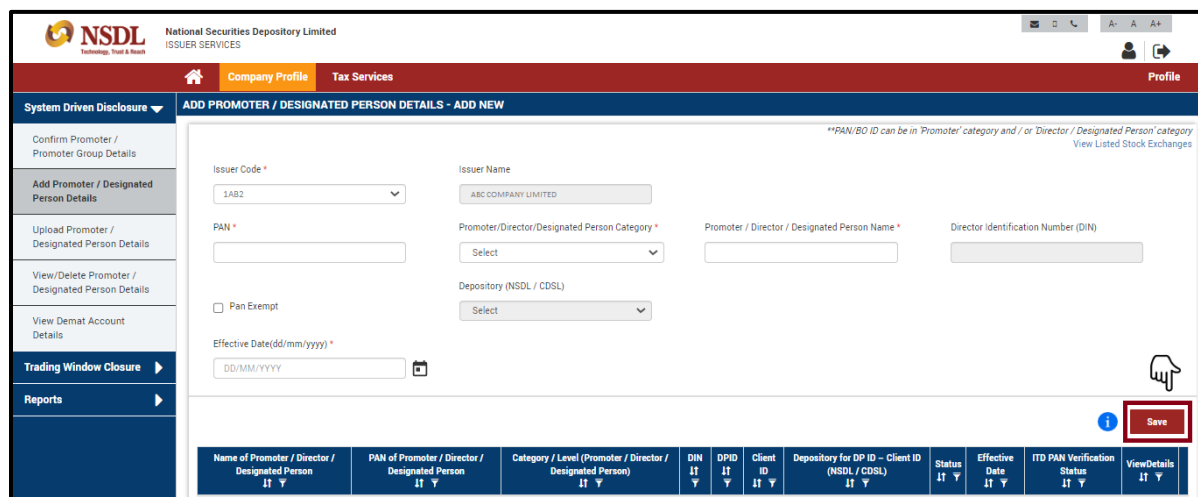
Note: Above Equity share ISIN is considered for trading window closure as per intimation received from stock exchanges.

DOWNLOAD LIST OF DESIGNATED PERSON UPDATED IN SDD

2. Addition/deletion of Designated Persons (DPs):

Addition/deletion of designated persons (DP) as authorised by the compliance officer of the Issuer may be updated as follows:

- i. **Addition of DPs under SDD:** To add new DP (in list of existing DPs), user shall click on “*Company Profile*” → “*System Driven Disclosure*” → “*Add promoter / Designated Person Details*” tab and “Add” the DP as exhibited below:



System Driven Disclosure **ADD PROMOTER / DESIGNATED PERSON DETAILS - ADD NEW**

**PAN/BO ID can be in 'Promoter' category and / or 'Director / Designated Person' category
View Listed Stock Exchanges

Issuer Code * Issuer Name

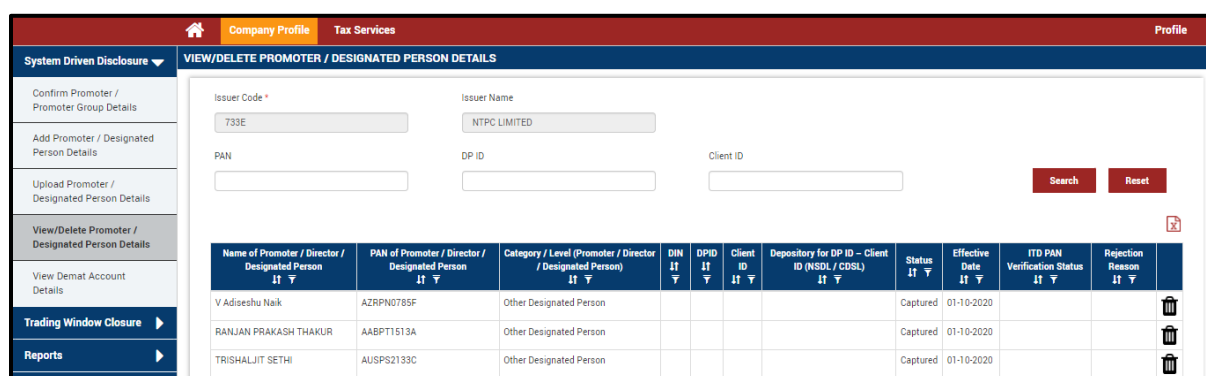
PAN * Promoter/Director/Designated Person Category * Promoter / Director / Designated Person Name * Director Identification Number (DIN)

☐ Pan Exempt

Effective Date(dd/mm/yyyy) *

Name of Promoter / Director / Designated Person	PAN of Promoter / Director / Designated Person	Category / Level (Promoter / Director / Designated Person)	DIN	DPID	Client ID	Depository for DP ID - Client ID (NSDL / CDSL)	Status	Effective Date	ITD PAN Verification Status	ViewDetails
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- ii. **Deletion of Designated Persons (DP) under SDD:** To delete the existing DP (from list of existing DPs), user will have to click on “Company Profile” → “System Driven Disclosure” → “View / delete Promoter / Designated Person Details” and “Delete” as exhibited below:



System Driven Disclosure **VIEW/DELETE PROMOTER / DESIGNATED PERSON DETAILS**

Issuer Code * Issuer Name

PAN DP ID Client ID

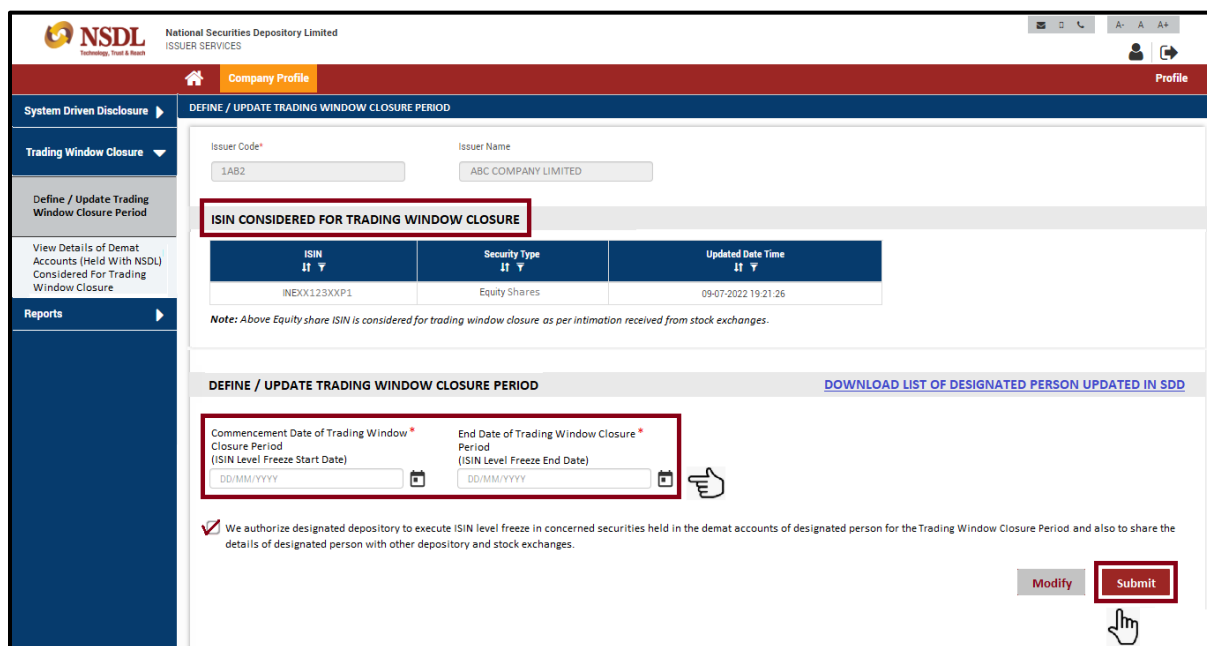
Name of Promoter / Director / Designated Person	PAN of Promoter / Director / Designated Person	Category / Level (Promoter / Director / Designated Person)	DIN	DPID	Client ID	Depository for DP ID - Client ID (NSDL / CDSL)	Status	Effective Date	ITD PAN Verification Status	Rejection Reason
V Adishu Naik	AZRPN0785F	Other Designated Person					Captured	01-10-2020		
RANJAN PRAKASH THAKUR	AABPT1513A	Other Designated Person					Captured	01-10-2020		
TRISHALJIT SETHI	AUSPS2133C	Other Designated Person					Captured	01-10-2020		

3. Setting up ‘Trading Window Closure Period’:

i. Initiation of trading window closure period for a quarter :

User shall,

- Click on “Company Profile” → “Trading Window Closure” → “Define / Update Trading Window Closure Period”.
- Provide ‘Commencement date’ and ‘End date’ of trading window closure period for Designated Persons by clicking on ‘Calendar’ icon and click “Submit” as exhibited below.
- Upon submission of request a message “Your request for trading window closure of designated persons has been successfully accepted” will be displayed on the screen.
- Based on trading window closure period details provided by the issuer, depositories shall initiate freeze on concerned ISIN in the demat account(s) of Designated Persons held with Depositories which were identified against the PAN of Designated Persons across holders (i.e. sole/Joint Holder) on T-Day (i.e., commencement date of trading window closure period provided by the Issuer).



NSDL National Securities Depository Limited
ISSUER SERVICES

Company Profile Profile

System Driven Disclosure **Trading Window Closure**

Define / Update Trading Window Closure Period

Issuer Code* 1AB2 Issuer Name ABC COMPANY LIMITED

ISIN CONSIDERED FOR TRADING WINDOW CLOSURE

ISIN IT Y	Security Type IT Y	Updated Date Time IT Y
INEXK123XXP1	Equity Shares	09-07-2022 19:21:26

Note: Above Equity share ISIN is considered for trading window closure as per intimation received from stock exchanges.

DEFINE / UPDATE TRADING WINDOW CLOSURE PERIOD [DOWNLOAD LIST OF DESIGNATED PERSON UPDATED IN SDD](#)

Commencement Date of Trading Window Closure Period (ISIN Level Freeze Start Date) DD/MM/YYYY

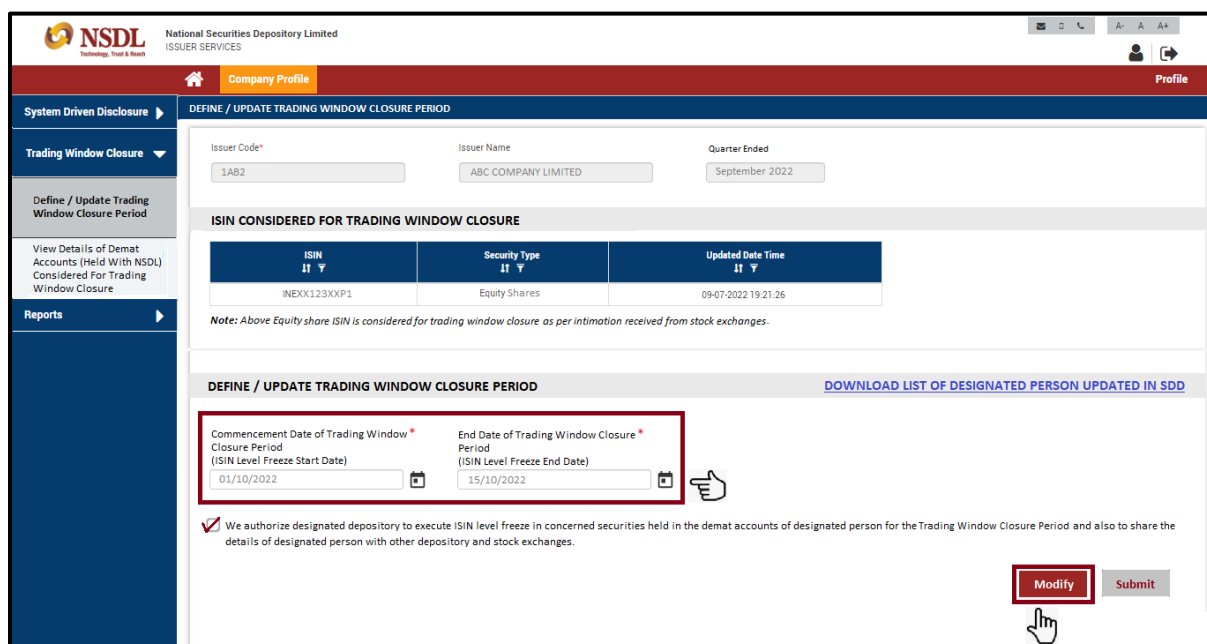
End Date of Trading Window Closure Period (ISIN Level Freeze End Date) DD/MM/YYYY

☒ We authorize designated depository to execute ISIN level freeze in concerned securities held in the demat accounts of designated person for the Trading Window Closure Period and also to share the details of designated person with other depository and stock exchanges.

[Modify](#) [Submit](#)

ii. Pre-ponement / postponement of trading window closure end date (already initiated for a quarter):

If required, Issuer's may prepone/postpone the trading window closure period end date provided earlier on NSDL Issuer portal by clicking on "Company Profile" → "Trading Window Closure" → "Define / Update Trading Window Closure Period" and click on "Modify" as exhibited below. Upon clicking on "Modify" button, the trading window closure "End date" will be enabled for modification.



NSDL National Securities Depository Limited
ISSUER SERVICES

Company Profile Profile

System Driven Disclosure **Trading Window Closure**

Define / Update Trading Window Closure Period

Issuer Code* 1AB2 Issuer Name ABC COMPANY LIMITED Quarter Ended September 2022

ISIN CONSIDERED FOR TRADING WINDOW CLOSURE

ISIN IT Y	Security Type IT Y	Updated Date Time IT Y
INEXK123XXP1	Equity Shares	09-07-2022 19:21:26

Note: Above Equity share ISIN is considered for trading window closure as per intimation received from stock exchanges.

DEFINE / UPDATE TRADING WINDOW CLOSURE PERIOD [DOWNLOAD LIST OF DESIGNATED PERSON UPDATED IN SDD](#)

Commencement Date of Trading Window Closure Period (ISIN Level Freeze Start Date) 01/10/2022

End Date of Trading Window Closure Period (ISIN Level Freeze End Date) 15/10/2022

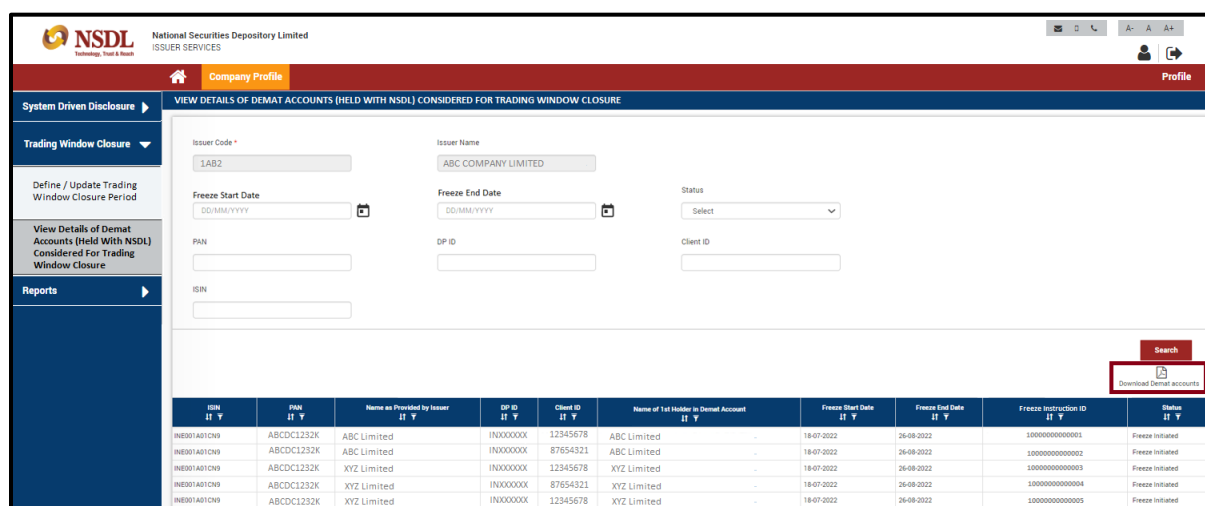
☒ We authorize designated depository to execute ISIN level freeze in concerned securities held in the demat accounts of designated person for the Trading Window Closure Period and also to share the details of designated person with other depository and stock exchanges.

[Modify](#) [Submit](#)

4. Report on list of Demat accounts (held with Participants of NSDL) of Designated Persons where the ISIN level freeze imposed based on trading window closure period provided by Issuer:

Once the trading window closure period is initiated by Issuer by following the procedure mentioned at point no.3 above, Issuers will be able to view/download the details of Demat accounts (held with Participants of NSDL) considered for security (ISIN) level freeze during trading window closure period along with status (*i.e. Freeze Captured, Freeze Initiated, Unfreeze Initiated and Unfrozen*) on Issuer portal. This report shall be available with effect from one trading day prior to the commencement of trading window closure date (T-1 day).

Issuers should view/download the aforesaid report available at “Company Profile” → “Trading Window Closure” → “View Details of Demat Accounts held with NSDL considered for Trading Window Closure Period” tab as exhibited below:



ISIN IT Y	PAN IT Y	Name as Provided by Issuer IT Y	DP ID IT Y	Client ID IT Y	Name of 1st Holder in Demat Account IT Y	Freeze Start Date IT Y	Freeze End Date IT Y	Freeze Instruction ID IT Y	Status IT Y
INE01A01CN9	ABCD1232K	ABC Limited	IN000000X	12345678	ABC Limited	18-07-2022	26-08-2022	1000000000000001	Freeze Initiated
INE01A01CN9	ABCD1232K	ABC Limited	IN000000X	87654321	ABC Limited	18-07-2022	26-08-2022	1000000000000002	Freeze Initiated
INE01A01CN9	ABCD1232K	XYZ Limited	IN000000X	12345678	XYZ Limited	18-07-2022	26-08-2022	1000000000000003	Freeze Initiated
INE01A01CN9	ABCD1232K	XYZ Limited	IN000000X	87654321	XYZ Limited	18-07-2022	26-08-2022	1000000000000004	Freeze Initiated
INE01A01CN9	ABCD1232K	XYZ Limited	IN000000X	12345678	XYZ Limited	18-07-2022	26-08-2022	1000000000000005	Freeze Initiated

Issuers are advised to intimate Designated Persons regarding the trading window closure period and freezing of concerned ISIN in their demat account(s).

5. Other features

In respect of following exceptional handling, Issuer is advised to provide details in enclosed formats to email id: monitoring@nsdl.co.in with subject of email as “View/modify/define trading window closure period for DP” to NSDL (i.e., the designated depository appointed by Issuer) two days prior (T-2) to the effective date as specified in aforesaid SEBI circular:

- i. Exemption for trading window closure period to specific Designated Person upon deletion/removal as designated person (format enclosed as **Annexure-A**).

- ii. Exemption for trading window closure period to a Designated Person for a specified dates authorized by compliance officer of the Issuer (format enclosed as **Annexure-B**).
- iii. Details pertaining to defining trading window closure period for newly added Designated Persons and need to be included for freezing (format enclosed as **Annexure-C**).

Please note that these features will be enabled on NSDL Issuer Portal which will be notified to Issuers separately.

Annexure A

Format for request to NSDL for exemption for trading window closure period to specific Designated Person (DP) upon deletion/removal as Designated Person.

Mail To: monitoring@nsdl.co.in

Dear Sir/Madam,

Subject: - *“View/modify/define trading window closure period for DP”*

I / We hereby request NSDL for deletion/removal of the Designated Person (DPs) as mentioned in the table below from the “Trading Window Closure Period”.

ISSUE R CODE	ISSUE R NAME	ISI N	PAN OF DESIGNAT ED PERSON	D P ID	CLIE N T ID	NAME OF DESIGNAT ED PERSON	DATE OF REMOV AL IN SDD	REVISED TRADING WINDOW CLOSURE END DATE	REASO N

I/ We declare that I/We am/are authorised on behalf < **Name of Company** > to delete/ remove the aforesaid DP(s) from the “Trading Window Closure Period”. And further declare that the information provided in the aforesaid table is true and have obtained necessary approval for the same.

Yours faithfully,
 For (Name of the Company)
 Name:
 Designation:
 Contact No:

Reference Note for Issuer:

It may be noted that the Issuers will have to provide the aforesaid request(s) atleast 2 trading days in advance (T-2) to NSDL. E.g., if Issuer intent to make any request [as mentioned at point no.5 (i) to (iii) above] on October 13, 2022, then Issuer need to give request to NSDL on October 11, 2022. Based on request from Issuer, the requested change for Designated Person shall be affected on October 13, 2022.

Annexure B

Request format to NSDL for Exemption from trading window closure period to a designated person for a specified dates authorized by compliance officer of the Issuer.

Mail To: monitoring@nsdl.co.in

Dear Sir/Madam,

Subject: - *“View/modify/define trading window closure period for DP”*

I / We hereby request NSDL for exemption from trading window closure period to the Designated Person (DPs) as mentioned in the table below from the “Trading Window Closure Period”.

ISSUE R CODE	ISSUE R NAME	ISI N	PAN OF DESIGNAT ED PERSON	D P ID	CLIE NT ID	NAME OF DESIGNAT ED PERSON	TRADING WINDOW EXEMPTI ON START DATE	TRADING WINDOW EXEMPTI ON END DATE	REAS ON

I/ We declare that I/We am/are authorised on behalf < **Name of Company** > to exempt form the trading window closure period to the aforesaid DP(s) from the “Trading Window Closure Period”. And further declare that the information provided in the aforesaid table is true and have obtained necessary approval for the same.

Yours faithfully,
 For (Name of the Company)
 Name:
 Designation:
 Contact No:

Reference Note for Issuer:

It may be noted that the Issuers will have to provide the aforesaid request(s) atleast 2 trading days in advance (T-2) to NSDL. E.g., if Issuer intent to make any request [as mentioned at point no.5 (i) to (iii) above] on October 13, 2022, then Issuer need to give request to NSDL on October 11, 2022. Based on request from Issuer, the requested change for Designated Person shall be affected on October 13, 2022.

Annexure C

Request format to NSDL for providing details of defining trading window closure period for newly added Designated Persons and need to be included for freezing.

Mail To: monitoring@nsdl.co.in

Dear Sir/Madam,

Subject: - *“View/modify/define trading window closure period for DP”*

I / We hereby request NSDL for defining trading window closure period for newly added Designated Person (DPs) and need to be included for freezing as mentioned in the table below from the “Trading Window Closure Period”.

ISSU ER CODE	ISSU ER NAM E	ISI N	PAN OF DESIGNAT ED PERSON	D P ID	CLIE NT ID	NAME OF DESIGNAT ED PERSON	DATE OF ADDITI ON IN SDD	COMMENCEM ENT DATE OF TRADING WINDOW CLOSURE PERIOD	END DATE OF TRADIN G WINDO W CLOSU RE PERIOD

I/ We declare that I/We am/are authorised on behalf < **Name of Company** > to defining trading window closure period for newly added aforesaid DP(s) from the “Trading Window Closure Period”. And further declare that the information provided in the aforesaid table is true and have obtained necessary approval for the same.

Yours faithfully,
 For (Name of the Company)
 Name:
 Designation:
 Contact No:

Reference Note for Issuer:

It may be noted that the Issuers will have to provide the aforesaid request(s) atleast 2 trading days in advance (T-2) to NSDL. E.g., if Issuer intent to make any request [as mentioned at point no.5 (i) to (iii) above] on October 13, 2022, then Issuer need to give request to NSDL on October 11, 2022. Based on request from Issuer, the requested change for Designated Person shall be affected on October 13, 2022.
