

## CANARA BANK CODE OF CONDUCT FOR PROHIBITION OF INSIDER TRADING

1. This Code of Conduct shall be known as "**Canara Bank Code of Conduct for Prohibition of Insider Trading**" hereinafter referred to as the "**Code of Conduct**".
2. This Code of Conduct has been made pursuant to Regulations 8 (1) and 9 (1) of the SEBI (Prohibition of Insider Trading) Regulations, 2015 (the Regulations) as amended and may be modified by the Board of Directors of the Bank from time to time, without diluting the provisions of this Code in any manner.

### 3. **Definitions -**

For the purpose of this Code of Conduct –

- (a) "**Act**" means the Securities and Exchange Board of India Act, 1992 (15 of 1992);
- (b) "**Stock Exchange**" means a stock exchange which is recognized by the Central Government or SEBI under Section 4 of Securities Contracts (Regulation) Act, 1956 (42 of 1956);
- (c) "**Regulations**" means the SEBI (Prohibition of Insider Trading) Regulations, 2015.
- (d) "**Bank**" means Canara Bank
- (e) "**Board of Directors**" means – the Board of Directors of Canara Bank
- (f) "**Compliance Officer**" means - The Senior Officer designated by the Board of Directors of the Bank for the purpose of these Regulations from time to time. The Compliance officer will be financially literate and capable of appreciating requirements for legal and regulatory compliance under the Regulations and cast with the responsibilities for compliance as prescribed under the Regulations.

The Executive overseeing the functions of Secretarial Department, RBS & Compliance Wing of Head Office will be the Compliance Officer under the Regulations.

- (g) "**Connected Person**" means –
  - i. any person who is or has during the six months prior to the concerned act been associated with the Bank, directly or indirectly, in any capacity including by reason of frequent communication with the officers or by being in any contractual, fiduciary or employment relationship or by being a Director, Officer or an employee of the Bank or holds any position including a professional or business relationship between himself and the Bank whether temporary or permanent, that

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru

allows such person, directly or indirectly, access to Unpublished Price Sensitive Information (UPSI) or is reasonably expected to allow such access.

- ii. Further, the persons falling within the following categories shall be deemed to be connected persons unless the contrary is established:
- a) an immediate relative of connected person as defined above; or
  - b) a holding company or associate company or subsidiary company; or
  - c) an intermediary as specified in Section 12 of the Act or an employee or director thereof;
  - d) an investment company, trustee company, asset management company or an employee or director thereof; or
  - e) a member of board of trustees of a mutual fund or a member of the board of directors of the asset management company of a mutual fund or is an employee thereof; or
  - f) a concern, firm, trust, HUF, company or association of persons wherein a director of the Bank or his immediate relative, has more than ten percent of the holding or interest;
  - g) and all others as listed in the Regulation 2(d) (ii) of the SEBI (Prohibition of Insider Trading) Regulations, 2015 (as amended).

(h) **"Generally available information"** means – information that is accessible to the public on a non-discriminatory basis.

(i) **"Designated Person"** means -

1. Board of Directors of the Bank including the Chairman, Managing Director & CEO and Executive Director/s of the Bank and its material subsidiaries;
2. A) All Chief General Managers, General Managers and Deputy General Managers of the Bank either in the Bank or deputed to its material subsidiaries (Top Executive Grade of the Bank – Scale VI, VII & VIII);  
B) All Executives working in Head Office;  
C) Company Secretary of the Bank and Company Secretary of its material subsidiaries;
3. Staff Members of –
  - a) Integrated Treasury of Treasury Wing
  - b) Balance Sheet & Central A/C's Section, F M & S Wing, HO
  - c) Capital Planning Section, FM & S Wing
  - d) Business Planning Section, ER Section and Profit Planning Section of S P & D Wing, HO
  - e) Secretarial Department, RBS & Compliance Wing, HO
  - f) Secretariats of –
    - i) Board of the Bank
    - ii) Chairman
    - iii) Managing Director & CEO

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru

- iv) Executive Director/s
- v) All Chief General Managers, General Managers and Deputy General Managers of the Bank and or deputed to its material subsidiaries (Top Executive Grade of the Bank – Scale VI, VII & VIII)

4. Network Communications Group & Facilities Management Section, DIT Wing

5. Members of any Committee for public / rights issue and staff members of issue team will be designated employees from the time they become members of the Committee till a period of 30 days from the date of allotment of shares / securities.

(j) **“Material Subsidiaries”** means -

A subsidiary, whose income or net worth exceeds ten percent of the consolidated income or net worth respectively, of the listed entity and its subsidiaries in the immediately preceding accounting year or as may be prescribed in SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 from time to time.

(k) **“Immediate Relative”** means -

A spouse of a person, and includes parent, sibling, and child of such person or of the spouse, any of whom is either dependent financially on such person, or consults such person in taking decisions relating to trading in securities.

(l) **“Informant”** means – An individual(s), who voluntarily submits to SEBI a Voluntary Information Disclosure Form relating to an alleged violation of insider trading laws that has occurred, is occurring or has a reasonable belief that it is about to occur, in a manner provided under the Regulations, regardless of whether such individual(s) satisfies the requirements, procedures and conditions to qualify for a reward;

(m) **“Insider”** means any person who is:

- a connected person; or
- in possession of or having access to Unpublished Price Sensitive Information;
- person who has unpublished price sensitive information pursuant to a legitimate purpose.

(n) **“Key Managerial Personnel (KMP)”** those persons who have the authority and responsibility for planning, directing and controlling the activities of the Bank. As per the RBI guidelines, Whole-time Directors i.e., Managing Director & CEO and Executive Director/s are considered as Key Managerial Personnel (KMP).

(o) **“Promoter”** shall have the meaning as assigned to it under the SEBI(ICDR) Regulations, 2018 or any modification thereof;

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru

- (p) **"Promoter Group"** shall have the meaning assigned to it under the SEBI (ICDR) Regulations, 2018 or any modification thereof;
- (q) **"Securities"** - shall have the meaning as assigned to it under the SCRA, 1956 (42 of 1956) or any modification thereof except units of a mutual fund;
- (r) **"Takeover Regulations"** – means the SEBI(SAST) Regulations, 2011 and any amendments thereto;
- (s) **"Trading"** means and includes subscribing, buying, selling, dealing or agreeing to subscribe, buy, sell, deal in any securities, and "trade" shall be construed accordingly;
- (t) **"Trading Day"** means a day on which the recognized stock exchanges are open for trading;
- (u) **"Trading Window"** - means a trading period for trading in Bank's shares as specified by the Bank from time to time.
- (v) **"Unpublished Price Sensitive Information (UPS I)"** means any information, relating to the Bank or its securities, directly or indirectly, that is not generally available which upon becoming generally available, is likely to materially affect the price of the securities and shall, ordinarily including but not restricted to, information relating to the following :-
- i) financial results;
  - ii) dividends;
  - iii) change in capital structure;
  - iv) mergers, de-mergers, acquisitions, delistings, disposals and expansion of business and such other transactions;
  - v) changes in key managerial personnel;

**All other words and phrases will have the same meaning as defined under the Regulations as also under the SEBI Act**

- (w) **"Material Financial Relationship"** means a relationship in which one person is a recipient of any kind of payment such as by way of a loan or gift from a Designated Person during the immediately preceding twelve months, equivalent to at least 25% of the annual income of such Designated Person but shall exclude relationships in which the payment is based on arm's length transactions.

- (4) This Code of Conduct will be applicable to all "Designated Persons and immediate relatives of Designated Persons" as defined in Clause (3)(i).

#### **(5) MECHANISM FOR PREVENTION OF INSIDER TRADING**

1. No Insider shall communicate, provide, or allow access to any unpublished price sensitive information, relating to the Bank or securities listed or proposed to be listed, to any person including other insiders except where such communication

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru  
is in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.

2. Legitimate Purpose shall include sharing of unpublished price sensitive information in ordinary course of business by an insider with Government of India, Reserve Bank of India, customers, merchant bankers, legal advisers, auditors, insolvency professionals or other advisors or consultants.
3. **The Policy on determination of legitimate purposes forms part of this Code and is annexed as ANNEXURE 1**
4. No person shall procure from or cause the communication by any insider of unpublished price sensitive information, relating to the Bank or securities listed or proposed to be listed, except in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.
5. The Bank shall maintain a data base containing the names of persons or entities as the case may be with whom information is shared under this regulation along with the Permanent Account Number (PAN) or any other identifier authorized by law where PAN is not available.
6. An UPSI may be communicated, provided, allowed access to or procured, in connection with a transaction that would:-
  - i) entail an obligation to make an open offer under the Takeover Regulations where the Board of Directors of the Bank is of informed opinion that sharing of such information is in the best interests of the Bank;
  - ii) not attract the obligation to make an open offer under the Takeover Regulations but where the Board of Directors of the Bank is of informed opinion that sharing of such information is in the best interests of the Bank 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
7. No Insider shall trade in securities of the Bank when in possession of UPSI. If any Insider in possession of UPSI trades in securities, such trades would be presumed to have been motivated by the knowledge and awareness of such information in possession.
8. The Designated Persons and their immediate relatives shall be subject to Trading restrictions in the following manner –

**(A) Trading Window**

The Trading Window shall be closed in the following instances: -

- From the end of every quarter till 48 hours after the declaration of the financial results.
- When the Compliance Officer determines that a Designated Person or class of 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.
- Before 10 days or as may be decided by the Compliance Officer in this regard of the happening of the following and shall remain closed up to 48 hours after the publication of the information relating to the following:
  - i) dividends;
  - ii) change in capital structure;
  - iii) mergers, de-mergers, acquisitions, de-listings, disposals and expansion of business and such other transactions;

In addition to the above periods, Trading Window may be closed during such time or from time to time as deem fit as decided by the Compliance Officer.

Notwithstanding the aforesaid, recipient of any UPSI, especially during the time when it remains as such, is expected to abide by the provisions of the Regulations as well as this Code. Hence, the Trading Window will be deemed closed for such Designated Persons for each and every transaction until the disclosure is made. The onus will be on the recipient of such UPSI to comply with the requirements and not trade in the securities of the Bank to avoid violation of any provision of the law. The Bank will not communicate specific Trading Window closure. Therefore, the recipient of such information should himself/herself be alert and act diligently to ensure compliance with the necessary regulations. It is suggested that anybody who receives UPSI should not trade in the securities of the Bank until the information becomes available to the general public.

**(B) Restriction on Trading –**

Designated Persons and their immediate relatives shall not trade in securities when the Trading Window is closed.

Trading Window shall also be applicable to any person having contractual or fiduciary relation with the Bank, such as auditors, accountancy firms, law firms, analysts, consultants etc., assisting or advising the Bank.

**(C) Pre-clearance of Trades**

Designated Persons intending to trade in the equity shares of the Bank exceeding the threshold limit of 1,000 equity shares per transaction and also for dealings by the Designated Persons (including the holdings of their immediate relatives) whose

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru  
outstanding total holding exceeds 5000 equity shares will need to comply with the following: -

- a. Make an application cum undertaking in the prescribed form for Pre-clearance of the transaction (**Appendix - 1 - Form E**).
- b. After receipt of clearance, carry out the transaction.
- c. Execute the order in respect of the shares of within seven trading days of approval of pre-clearance failing which it will have to be cleared again.
- d. The Designated Persons who buy or sell the securities of the Bank shall not enter into an opposite transaction i.e., sell or buy the securities during the next six months following the prior transaction.
- e. The Designated Persons shall not take positions in derivative transactions in the securities of the Bank at any time.
- f. In case of personal emergency, the compliance officer may waive the holding period of 6 months after recording his reasons in this regard. (**Appendix - 2**) The aforesaid clauses shall not be applicable for trades made pursuant to exercise of stock options.

## **9. DISCLOSURE REQUIREMENT UNDER THE REGULATIONS:**

### **9.1 Initial Disclosures: (Appendix 3 - Form A)**

- 9.1.1** The Promoter, member of promoter group, Key Managerial Personnel and Designated Persons of the Bank shall disclose their holdings of shares of the Bank as on 15<sup>th</sup> May 2015 to the Bank within 30 days of these regulations taking effect;
- 9.1.2** Any person on appointment as a Key Managerial Personnel or a Director of the Bank or upon becoming a promoter or member of promoter group shall disclose to the Bank the number of securities held by him and position taken in derivatives of such securities by such person, his immediate relatives in the Bank within 7 days of such appointment.

### **9.2 Continual Disclosure: (Appendix 4 - Form C)**

- 9.2.1** The promoter, member of the promoter group and designated person of the Bank shall disclose to the Bank, the number of such securities acquired or disposed of within 2 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 Rupees 10 Lac or such other valued as may be specified;
- 9.2.2** The Bank shall notify the disclosure received under Clause 9.2.1 to the stock exchange on which the equity shares are listed within 2 trading days of receipt of the disclosure or from becoming aware of such information.

### 9.3 Disclosures by other Connected Persons:

The Bank may at its discretion require any other connected person or class of connected persons to make disclosures of holdings and trading in securities of the Bank in such form and at such frequency as may be determined by the Bank in order to monitor compliance with the Regulations.

### 9.4 Periodical Disclosure: (Appendix 5 - Form B)

Designated Persons of the Bank shall disclose to the Bank as on 30<sup>th</sup> September every year the details of securities transacted by him and his immediate relatives during the period on or before 31<sup>st</sup> October every year.

### 9.5 Annual Disclosure: (Appendix 6 - Form D)

All Designated Persons of the Bank shall disclose names and PAN 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 shares a material financial relationship
- c. Phone, mobile and cell numbers which are used by them

The Designated Person along with the above disclosure shall also submit to the Bank annual statement of all holdings in securities held by him/her and his/her immediate relatives as at 31<sup>st</sup> March of every year on or before 30<sup>th</sup> April of that year.

## 10. CODE OF FAIR DISCLOSURE OF UNPUBLISHED PRICE SENSITIVE INFORMATION:

The Bank shall ensure:

- prompt public disclosure of UPSI that would impact price discovery no sooner than credible and concrete information comes into being in order to make such information generally available;
- uniform and universal dissemination of UPSI to avoid selective disclosure; prompt dissemination of unpublished price sensitive information that gets disclosed selectively, inadvertently or otherwise to make such information generally available;
- appropriate and fair response to queries on news reports and requests for verification of market rumours by regulatory authorities;
- that the information shared with analysts and research personnel is not UPSI;
- handling of UPSI only on a need-to-know basis;



Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru

- that the Compliance Officer of the Bank will deal with the dissemination of information and disclosure of UPSI;

The Compliance Officer shall provide reports to the Audit Committee of the Board at least once in a year to review compliance with the provisions of these Regulations and to verify the adequacy/effectiveness of the systems for internal controls.

## **11. POLICY FOR INQUIRY IN CASE OF VIOLATION OF CODE OF CONDUCT**

### **I. REPORTING OF VIOLATIONS:-**

- i. The employees/stakeholders shall report instances of leak of UPSI, if any, to the Bank as per the reporting procedure laid down in the Whistle Blower Policy of the Bank. The employees or an informant may also report any violations of insider trading laws to the office of Informant Protection of SEBI as per the procedure laid down in SEBI (Prohibition of Insider Trading) Regulations, 2015 (updated from time to time).
- ii. The Bank shall report violation of Code of Conduct by the designated persons or immediate relatives of designated persons in the standardized format to SEBI (Appendix-7).

The Bank shall also maintain a database of the violation of code of conduct by designated persons & immediate relatives of designated persons that would entail initiation of appropriate action against them.

### **II. PENALTY/PUNISHMENT**

The Bank has approved policy for conducting inquiry in relation to misconduct by the employees as per the Human Resource (HR) Policy & Service regulations of the Bank. The leak / suspected leak of UPSI will be treated as misconduct and the same policy and procedures shall be applicable to the said leakage/suspected leakage of information, in due consultation with the HR wing. In addition to the action which may be taken by the Bank, the persons violating the Regulations will also be subject to action by SEBI as per SEBI Act.

### **III. PROTECTION AGAINST RETALIATION AND VICTIMISATION**

The Bank provides suitable protection against any discharge, termination, demotion, suspension, threats, harassment, directly or indirectly or discrimination against any employee who files a Voluntary Information Disclosure Form, irrespective of whether the information is considered or rejected by SEBI or he or she is eligible for a Reward under these regulations, by reason of:

- (i) filing a Voluntary Information Disclosure Form under these regulations;
- (ii) testifying in, participating in, or otherwise assisting or aiding the Board (SEBI) in any investigation, inquiry, audit, examination or proceeding instituted or about

Secretarial Department, RBS & Compliance Wing, Head Office, Bengaluru  
to be instituted for an alleged violation of insider trading laws or in any manner  
aiding the enforcement action taken by the Board(SEBI); or  
(iii) breaching any confidentiality agreement or provisions of any terms and  
conditions of employment or engagement solely to prevent any employee from  
cooperating with the Board (SEBI) in any manner.

## **ANNEXURE – I**

### **POLICY ON DETERMINATION OF LEGITIMATE PURPOSES**

This policy is part of the “Canara Bank Code of Conduct for Prohibition of Insider Trading” (CODE) is formulated in compliance to the Regulation 3(2A) of the SEBI (Prohibition and Insider Trading) Regulations, 2015.

The Code restricts the communication of UPSI relating to the Bank or securities listed or proposed to be listed to any other person including other insider except where such communication is made in furtherance of legitimate purposes.

The term “legitimate purposes” has been explained in the CODE. However for detailed understanding, the following points shall be considered to determine the legitimate purposes:

- The UPSI shall be shared with other employees/colleagues/other departments/ Wings only when the non-sharing of such information will hamper the performance of duties.
- The UPSI can be shared with Government of India, Reserve Bank of India, statutory bodies/ regulators etc., when statutorily mandated and with merchant bankers, legal advisors, auditors, insolvency professionals or other advisors or consultants in ordinary course of business for specific performance of their duties or discharge of their legal obligations. The employee/insider who intends to share shall, as and when applicable ensure that a confidentiality / non- disclosure agreement is signed before sharing such information

When UPSI is required to be shared in the ordinary course of business, a due notice needs to be given to the recipient to maintain secrecy of such shared information

- The sharing of UPSI shall not be carried out to evade or circumvent the prohibition of these regulations.

**APPENDIX 1**

**APPLICATION FOR PRE-CLEARANCE**

TO

The Compliance Officer  
Canara Bank  
Secretarial Department  
RBS & Compliance Wing  
Head Office, Bangalore-2.

From

Name ::

Designation ::

Department ::

Through Section Head / DM / AGM /DGM

With reference to the Canara bank Code of Conduct for Prohibition of Insider Trading, I seek your approval to subscribe to / agree to subscribe to / purchase / sell / deal as an agent / principal in..... (no.s) securities of the Bank.

The Statement of shareholding/securities in Form E as on .....and Undertaking in the prescribed format are enclosed for your perusal in this connection.

Date::

SIGNATURE

**APPENDIX 1  
FORM E**

To ::

The Compliance Officer  
Canara Bank  
Secretarial Department  
RBS & Compliance Wing  
Head Office, Bangalore-2.

**STATEMENT OF HOLDING AT THE TIME OF PRE-CLEARANCE**

**I. DETAILS OF SHAREHOLDING / SECURITIES OF DIRECTOR / DESIGNATED PERSONS HELD IN THEIR OWN NAME**

Name	Designation	Department	No of Shares held (with Folio/ DPID/Client ID)	Nature of transaction for which Approval is sought	No of Shares to be dealt

**II. DETAILS OF SHARES HELD BY IMMEDIATE RELATIVES**

Name	Relationship	No. of Shares held (with Folio/DPID/Client ID)	Nature of transaction for which Approval is Sought	No. of Shares to be dealt

I / We hereby declare that the shares to be sold have been held by me / us for a minimum period of 6 months.

Signature

**APPENDIX 1**

**UNDERTAKING TO BE SUBMITTED ALONG WITH THE APPLICATION FOR PRE-CLEARANCE**

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

As required by the Canara Bank code of conduct for prohibition of insider trading, I hereby state that –

- (a) I have neither access to nor do I have any information that could be construed as "Unpublished Price Sensitive Information" as defined in the Code upto the time of signing this undertaking;
- (b) In the event that I have access to or received any information that could be construed as "Unpublished Price Sensitive Information" as defined in the Code upto the time of 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 shares of the Bank until such information becomes public;
- (c) I have not contravened the provisions of the Code of Conduct for Prohibition of Insider Trading as notified by the Bank from time to time;
- (d) I have made full and true disclosure in the matter.

Date :

Signature:

- Indicate number of shares / securities

**APPENDIX 1**  
**PRE-CLEARANCE ORDER**

This is to inform you that your request for dealing in .....(nos) shares / securities of the Bank 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.

Date ::

For Canara Bank

Compliance Officer

.....

**APPENDIX I**  
**CONFIRMATION OF DEAL**

To ::

The Compliance Officer  
Canara Bank  
Secretarial Department  
RBS & Compliance Wing  
Head Office

I confirm that the share dealing for which approval was granted on was completed on .....by purchasing / selling .....(nos) equity shares/securities of the Bank.

Date :

Signature



**APPENDIX 2**

**APPLICATION FOR WAIVER OF MINIMUM HOLDING PERIOD**

To :

The Compliance Officer  
Canara Bank  
Secretarial Department  
RBS & Compliance Wing  
Head Office, Bangalore-2.

Through Section Head / DM / AGM / DGM

Date::

Dear Sir,

I request you to grant me waiver of the minimum holding period of 6 months as required under the Canara Bank Code for Prohibition of Insider Trading with respect to .....Shares/securities of the Bank held by me / .....(name of immediate relative) singly / jointly acquired by me on .....(Date ). I desire to deal in the said shares on account of .....(give reasons).

Thanking you,

Yours faithfully,

Name :

Designation :

Department :

**APPENDIX 3**

**FORM A**

**FORM FOR INITIAL DISCLOSURE OF DETAILS OF SHARES HELD BY PROMOTER / DIRECTORS / DESIGNATED PERSONS**

ISIN: IN476A01014

Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter or member of the promoter group and immediate relatives of such persons and by other such persons as mentioned in Clause 9.

Name, PAN, CIN/DIN & Address with contact nos.	Category of Person (KMP/ Director or Promoter or member of the promoter group/ Immediate Relative to/others, etc.)	Date of appointment of KMP/Director / OR Date of becoming Promoter/ member of the promoter group	Securities held at the time of appointment of KMP/Director or upon becoming Promoter or member of the promoter group		% of Shareholding
			Type of securities (For eg. – Shares, Warrants, Convertible Debentures, Rights entitlements, 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 on the securities of the Bank held on appointment of KMP or Director or upon becoming a Promoter or member of the promoter group and immediate relatives of such persons and by other such persons as mentioned in Clause 9.

Open Interest of the Future contracts held at the time of appointment of Director/KMP or upon becoming Promoter/member of the promoter group			Open Interest of the Option Contracts held at the time of appointment of Director/KMP or upon becoming Promoter/member of the promoter group		
Contract specifications	Number of units (contracts	Notional value in Rupee terms	Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms

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

Name & Signature:

Designation:

Date:

Place:

**APPENDIX 4**  
**FORM C**  
**FORM FOR CONTINUAL DISCLOSURE BY PROMOTER/ DESIGNTED PERSONS / DIRECTORS**

Details of change in holding of Securities of Promoter, Member of the Promoter Group, Designated Person or Director and immediate relatives of such persons and other such persons as mentioned in Clause 9

Name, PAN, CIN/DIN, & address with contact nos.	Category of Person (Promoter/ member of the promoter group/ designated person/ Director s/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/ disposal of shares, specify		Date of intimati on to	Mode of acquisition /disposal (on market/ public/ rights/ preferential offer/ off market/ Inter-se transfer, ESOPs, etc.)	Exchang e on which the trade was executed
		Type of securities (For eg. – Shares, Warrants, Convertible, Debentures, Rights entitlement, etc.)	No. and % of share holding	Type of securities (For eg. – Shares, Warrants, Convertible, Debentures, Rights entitlement, etc.)	No.	Value	Transaction Type (Purchase/sale Pledge/ Revocation /Invocation / Others please specify)	Type of securities (For eg. – Shares, Warrants , Convertible Debentures, Rights entitlement, etc.)	No. and % of sharholding	From	To			

**Note:**

- (i) “Securities” shall have the meaning as defined under Clause 3(q) of the code**
- (ii) Value of transaction excludes taxes/brokerage/any other charges**

**Details of trading in derivatives on the securities of the Bank by Promoter, member of the promoter group designated person or Director and immediate relatives of such persons and other such persons as mentioned in Clause 9.**

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.**

**Name & Signature:**

**Designation:**

**Date:**

**Place:**

**APPENDIX 5**

**FORM B**

**FORM FOR PERIODICAL DISCLOSURE BY DIRECTORS / DESIGNATED PERSONS**

To: The Compliance Officer  
 CANARA BANK  
 Secretarial Department,  
 RBS & Compliance Wing  
 BANGALORE

DATE :

**I PERIODIC STATEMENT OF SHAREHOLDINGS OF DIRECTORS/DESIGNATED PERSONS:**

NAME	Designation	No. of Shares / Securities held on 1st April	No of Shares / securities bought during the Half year	No of shares / securities sold during the Half year	No of shares / securities held on 30 <sup>th</sup> Sept	Folio No/ DPID / CLID

**II DETAILS OF SHARES HELD BY IMMEDIATE RELATIVES:**

Name of Relative	Relationship	No of shares / securities held on 1st April	No. of shares / securities bought during the Half year	No of shares / securities sold during the Half year	No. of Shares held on 30 <sup>th</sup> Sept	Folio No/ DPID / CLID

I/We declare that I/We have complied with the requirement of the minimum Holding period of 6 months with respect of the shares sold.

Name & Signature:

Designation:

Date:

Place:

**APPENDIX 6**  
**FORM D**  
**FORM OF ANNUAL DISCLOSURE BY DIRECTORS/DESIGNATED PERSONS**

To: The Compliance Officer  
 CANARA BANK  
 Secretarial Department,  
 RBS & Compliance Wing  
 HO: BANGALORE

DATE :

**ANNUAL DISCLOSURE**

1	Name			
2	Designation			
3	Staff Number			
4	Wing/Section Details			
5	Qualification			
6	Educational Institution where the person graduated			
7	Past Employer			
8	Immediate Relatives	Name	Relation	Phone/Mobile Number
9	Persons with whom the Designated Person shares a material financial relationship	Name	Phone/Mobile Number	

**I STATEMENT OF SHAREHOLDINGS /SECURITIES OF DIRECTORS / DESIGNATED PERSONS:**

Name	Designation	No. of Shares /securities held on 1st April	No of Shares /securities bought during the year	No of shares /securities sold during the year	No of shares /securities held on 31 <sup>st</sup> March	Folio no./ DP ID/ Client ID

**II DETAILS OF SHARES HELD BY IMMEDIATE RELATIVES:**

Name of Relative	Relationship	No of shares /securities held on 1st April	No. of shares /securities bought during the year	No of shares / securities sold during the year	No. of Shares / securities held on 31 <sup>st</sup> March	Folio No./ DP ID/ Client ID

I/We declare that the shares sold have been held by me/us for 6 months.

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

Name & Signature:

Designation:

Date:

Place:



**APPENDIX 7**

**Report by (Name of the listed company/ Intermediary/Fiduciary) for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.**

SNo.	Particulars	Details
1	<b>Name of the listed company/ Intermediary/Fiduciary</b>	
2	<b>Please tick appropriate checkbox</b> <b>Reporting in capacity of:</b> <input type="checkbox"/> <b>Listed Company</b> <input type="checkbox"/> <b>Intermediary</b> <input type="checkbox"/> <b>Fiduciary</b>	
3	<b>Name of the Designated Person (DP)</b> <b>Name of the immediate relative of DP if reporting is for immediate relative.</b>	
4	<b>PAN of the DP</b> <b>PAN of the immediate relative of DP if reporting is for immediate relative.</b>	
5	<b>Designation of DP</b>	
6	<b>Functional Role of DP</b>	
7	<b>Whether DP is Promoter /Promoter Group/holding CXO level position (e.g. CEO, CFO, CTO etc.)</b>	
8	<b>Transaction details</b> a) <span style="float: right;"><b>Name of the scrip</b></span> b) <b>No of shares traded (which includes pledge) and value(Rs) (Date- wise)</b>	
9	<b>In case value of trade(s) is more than Rs 10 lacs in a calendar quarter -</b> a) <b>Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI Trading) Regulations, 2015</b>  b) <b>Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015</b>	
10	<b>Details of violations observed under SEBI (Prohibition of Insider Trading) Regulations, 2015</b>	
11	<b>Action taken by Listed company/ Intermediary/ Fiduciary</b>	

<b>12</b>	<b>Reasons recorded in writing for taking action stated above</b>	
<b>13</b>	<b>Details of the previous instances of violations, if any, since last financial year</b>	
<b>14</b>	<b>Any other relevant information</b>	

Yours faithfully,

Date and Place:

Name and signature of Compliance Officer

PAN:

Email id :

mobile number :