



# Axel Polymers Limited

**Regd. Office & Works** : 309, Mokshi, Sankarda-Savli Road, Tal. Savli  
Dist. Vadodara - 391780, India. • **Telefax** : +91-2667-244395, 244439  
info@axelindia.com • www.axelindia.com • **CIN** : L 25200GJ1992PLC017678

## **AXEL POLYMERS CODE OF CONDUCT TO REGULATE, MONITOR AND REPORT TRADING BY INSIDERS**

**Effective from 01.02.2016**



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## Code of Conduct for Prevention of Insider Trading

This Code of Conduct may be known as "AXEL POLYMERS Code of Conduct for Prohibition of Insider Trading" (herein after referred to as the "Code of Conduct").

This code has been made pursuant to Regulation 8 & 9 of the SEBI (Prohibition of Insider Trading) Regulation, 2015 as amended from time to time and may be modified by the Board of Directors of the Company from time to time.

This Code has been designed to enhance the Standards of Governance and to comply with the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations 2015 made effective from 06.08.2015

### I. DEFINITIONS

1. **“Act”** means the Securities & Exchange Board of India Act, 1992 as may be amended from time to time.
2. **“Board”** means Board of Directors of the Company, Axel Polymers Limited.
3. **“Code”** means this Code of Conduct for Prevention of Insider Trading including modifications made thereto from time-to-time.
4. **“Company”** means Axel Polymers Limited.
5. **“Compliance Officer”** shall mean Company Secretary of the Company.
6. **“Connected Person”** means –
  - (i) Any person who is or has during the six months prior to the concerned act been associated with a company, directly or indirectly, in any capacity including by reason of frequent communication with its officers or by being in any contractual, fiduciary or employment relationship or by being a director, officer or an employee of the company or holds any position including a professional or business relationship between himself and the company whether temporary or permanent, that allows such person, directly or indirectly, access to unpublished price sensitive information or is reasonably expected to allow such access.
  - (ii) Without prejudice to the generality of the foregoing, 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 persons specified in clause (i); 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; or
    - (d) An investment company, trustee company, asset management company or an employee or director thereof; or
    - (e) An official of a stock exchange or of clearing house or corporation; or
    - (f) 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



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- (g) A member of the board of directors or an employee, of a public financial institution as defined in section 2 (72) of the Companies Act, 2013; or
  - (h) An official or an employee of a self-regulatory organization recognized or authorized by the Board; or
  - (i) A banker of the company; or
  - (j) A concern, firm, trust, Hindu undivided family, company or association of persons wherein a director of a company or his immediate relative or banker of the company, has more than ten per cent. of the holding or interest;
7. **“Designated Person”** means –
- (i) All Directors whether Executive, Non-executive or Independent;
  - (ii) Chief Executive Officer (CEO), Chief Financial Officer (CFO) and Company Secretary (CS);
  - (iii) All employees of Manager cadre and above in Finance, Accounts and Secretarial Department;
  - (iv) All employees of General Manager cadre and above in all other Departments of the Company;
  - (v) Such other employees as may be determined by the Company from time-to-time.
8. **"Generally available information"** means information that is accessible to the public on a non-discriminatory basis;
9. **“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;
10. **“Insider”** means any person who is;
- i) a connected person; or
  - ii) in possession of or having access to unpublished price sensitive information;
11. **"Promoter"** shall have the meaning assigned to it under the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009 or any modification thereof;
12. **“Regulation”** means Securities and Exchange Board of India (Prohibition of Insider Trading), Regulations 2015 as amended from time to time.
13. **"Securities"** shall have the meaning assigned to it under the Securities Contracts (Regulation) Act, 1956 (42 of 1956) or any modification thereof except units of a mutual fund;
14. **"Specified"** means specified by the Board in writing;
15. **“Takeover regulations”** means the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011 and any amendments thereto;
16. **"Trading"** means and includes subscribing, buying, selling, dealing, or agreeing to



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subscribe, buy, sell, deal in any securities, and "trade" shall be construed accordingly;

17. **"Trading day"** means a day on which the recognized Stock Exchanges are open for trading;
18. **"Trading Window"** means the period during which, trading in the Company's shares by insiders shall be permissible.
19. **"Unpublished price sensitive information"** means any information, relating to a company 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; and
  - (vi) Material events in accordance with the listing agreement.

## II. INTERPRETATION

- 1) Words and expressions used and not defined in these regulations but defined in the Securities and Exchange Board of India Act, 1992 (15 of 1992), the Securities Contracts (Regulation) Act, 1956 (42 of 1956), the Depositories Act, 1996 (22 of 1996) or the Companies Act, 2013 (18 of 2013) and rules and regulations made thereunder shall have the meanings respectively assigned to them in those legislation.

This Code can be modified/amended/alterd only by Board of Directors of the Company. But in case of any statutory modification or amendment or alteration of the provisions of Securities and Exchange Board of India (Prohibition of Insider Trading), Regulations 2015, the newly modified/amended/alterd provisions of the Regulation shall be deemed to be implemented in the Code immediately with effect from the date of the statutory notification for modification or amendment or alteration etc.

The amended code should be placed before the Board of Directors of the Company in the Board Meeting held immediately after the date of statutory notification for modification/amendment/alteration etc of the Regulation for noting.

## III. APPLICABILITY

This Code shall be applicable to all the Directors/Officers/Designated employees, present and future.

## IV. CODE

### 1.0 Compliance Officer

- 1.1 The Company Secretary of the Company shall be the Compliance Officer for the purpose of this Code of Conduct.
- 1.2 The Compliance officer shall be responsible for compliance of policies, procedures, maintenance of records, monitoring adherence to the rules for the preservation of



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unpublished price sensitive information, monitoring of trades and the implementation of the codes specified in these regulations under the overall supervision of the board of directors of the listed company or the head of an organization, as the case may be;

- 1.3 The compliance officer shall maintain a record of the insiders and any changes made in the list of insiders.
- 1.4 The compliance officer shall assist all the employees in addressing any clarifications regarding the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 as amended from time to time and the company's code of conduct.
- 1.5 The Compliance Officer shall report to the Board of the Company.
- 1.6 The Company Secretary shall hold the position of the Compliance Officer so long he/she remains the Company Secretary. In event of the office of the Company Secretary falling vacant till such time Managing Director shall act as a compliance officer of the Company.

## **2.0 Preservation of Confidentiality of UPSI / Confidential Information**

- 2.1 Insiders and their immediate relatives shall not communicate, provide, or allow access to any unpublished price sensitive information, relating to a company or securities listed or proposed to be listed, to any person including other insiders except where such communication is in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.
- 2.2 Price Sensitive Information is to be handled on a "need to know" basis, i.e., No 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..
- 2.3 No person shall procure from or cause the communication by any insider of unpublished price sensitive information, relating to a company or securities listed or proposed to be listed, except in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.
- 2.4 Notwithstanding anything contained in this regulation, an unpublished price sensitive information may be communicated, provided, allowed access to or procured, in connection with a transaction that would:
  - 2.4.1 entail an obligation to make an open offer under the takeover regulations where the board of directors of the company is of informed opinion that the proposed transaction is in the best interests of the company;
  - 2.4.2 not attract the obligation to make an open offer under the takeover regulations but where the board of directors of the company is of informed opinion that the proposed transaction is in the best interests of the company and the information that constitute unpublished price sensitive information 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.
- 2.5 All information shall be handled within the Company on a need-to-know basis and no UPSI shall be communicated to any person except in furtherance of the insider's legitimate



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purposes, performance of duties or discharge of his legal obligations.

- 2.6** To prevent the misuse of UPSI, the Company has adopted a Chinese Wall policy which separates those departments which routinely have access to UPSI, considered as inside areas from those departments which deal with

Sale/Marketing or other departments providing support services, considered as public areas.

As per the said policy:

2.6.1 The Employees in inside areas are not allowed to communicate any UPSI to anyone in the public areas.

2.6.2 The employees in inside area may be physically separated from the employees in public areas.

2.6.3 The demarcation of various departments as inside area shall be determined by the Compliance Officer in the consultation with the Board.

2.6.4 Only in exceptional circumstances, employees from the public areas are brought over the wall and given UPSI on the basis of need to know criteria under intimation to the Compliance Officer.

- 2.7** Confidential Information/UPSI shall be kept with adequate security.

## **3.0 Trading Plan**

- 3.1** An insider shall be entitled, at his option, to formulate a trading plan for dealing in securities of the Company and present it to the Compliance Officer for approval and public disclosure pursuant to which trades may be carried out with such plan.

Such trading plan shall:

- (i) not entail commencement of trading on behalf of the Insider earlier than six months from the public disclosure of the plan;
- (ii) not entail trading for the period between the twentieth trading day prior to the last day of any financial period for which results are required to be announced by the issuer of the securities and the second trading day after the disclosure of such financial results;
- (iii) entail trading for a period of not less than twelve months;
- (iv) not entail overlap of any period for which another trading plan is already in existence;
- (v) set out either the value of trades to be effected or the number of securities to be traded along with the nature of the trade and the intervals at, or dates on which such trades shall be effected; and
- (vi) not entail trading in securities for market abuse



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- 3.2** The Compliance Officer shall review such trading plan to assess whether the plan would have any potential for violation of these regulations and shall be entitled to seek such express undertakings as may be necessary to enable such assessment and to approve and monitor the implementation of the plan.
- 3.3** The trading plan once approved shall be irrevocable and the Insider shall mandatorily have to implement the plan, without being entitled to either deviate from it or to execute any trade in the securities outside the scope of the trading plan.  
However, the implementation of the trading plan shall not be commenced,  
if any UPSI in possession of the Insider at the time of formulation of the plan has not become generally available at the time of the commencement of implementation and in such event the Compliance Officer shall confirm that the commencement ought to be deferred until such UPSI becomes generally available information so as to avoid a violation of sub-regulation (1) of regulation 4.
- 3.4** Upon approval of the trading plan, the Compliance Officer shall notify the plan to the stock exchanges on which the securities are listed.
- 3.5** Other than the period(s) for which the Trading Window is closed as prescribed hereunder, the same shall remain open for trading in the securities of the Company.

Unless otherwise specified by the Compliance Officer, the Trading Window for trading in the securities of the Company shall be closed for the Designated persons when the Compliance Officer determines that a designated person or class of designated persons are reasonably expected to have UPSI, including for the following purpose-

- a. Declaration of financial results,
- b. Declaration of dividends
- c. Change in capital structure,
- d. Mergers, de-mergers, acquisitions, delistings, disposals and expansion of business and such other transactions,
- e. Change in key managerial personnel, and
- f. Material events in accordance with the listing agreement.

In respect of declaration of financial results, the trading window shall remain closed from a date that is 7 days prior to the date on which such results are to be approved.

The trading window shall be opened 48(Forty eight) hours after the information referred to above becomes generally available.

All the designated persons shall strictly conduct all their trading in the securities of the Company only when the trading window is open and no designated person or their immediate relatives shall trade in the securities of the Company during the period the trading window is closed or during any other similar period as may be specified by the Compliance Officer from time to time.



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## 4.0 Prevention of misuse of "Price Sensitive Information".

4.1 All directors/officers and designated employees of the company shall be subject to trading restrictions as enumerated below.

### 4.2 Trading Window

4.2.1 The trading window shall be closed 7 days prior to UPSI is unpublished.

4.2.2 During closure of trading window, Designated Persons shall not trade in the securities of the Company.

4.2.3 After taking into account various factors including UPSI in question becoming generally available and being capable of assimilation by the market, the Compliance Officer shall determine timing of re-opening of the trading window however in any event it shall be forty-eight hours after the information becomes generally available.

4.2.4 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.

4.2.6 All directors/officers/designated employees of the company shall conduct all their dealings in the securities of the Company only when the trading window is open and shall not deal in any transaction involving the purchase or sale of the company's securities during the periods when trading window is closed or during any other period as may be specified by the Company from time to time.

## 5.0 Pre-clearance of trades

5.1 When the trading window is open, any Designated Person shall trade in Securities of the Company subject to pre-clearance by the Compliance Officer if the value of the proposed trades is above Rs.10 crore. However, no Designated Person shall be entitled for pre-clearance of any proposed trade if such Designated Person is in possession of UPSI even if the trading window is not closed.

5.2 Designated Person who proposes to execute trade in Securities of the Company shall submit an application duly filled and signed to the Compliance Officer. The format of application is annexed as Annexure "A".

5.3 Prior to approving any trades, the Compliance Officer shall 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.

5.4 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 pre-clearance of trades.





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- 5.5** The Compliance Officer shall approve/reject pre-clearance application within four days in Annexure "B".
- 5.6** Designated Person shall execute pre-cleared trade within seven trading days from approval and shall report his trade details to Compliance Officer in Annexure "C" within 2 trading days from the trade. In case non-trading, Designated Person shall report his decision of non-trading along with reasons to Compliance Officer in Annexure "C".
- 5.7** In case of failure in executing trade within seven trading days, Designated Person shall be required to take fresh pre-clearance for the trades to be executed in Annexure "A".
- 5.8** Designated Person who is permitted to trade shall not execute a contra trade within next six months from previous transaction. The Compliance Officer is empowered to grant relaxation from strict application of such restriction for reasons to be recorded in writing without violating the Regulations. If contra trade is 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 Securities and Exchange Board of India for credit to the Investor Protection and Education Fund.

## **6.0 Disclosure by Certain Persons**

### **6.1 Initial Disclosure**

- 6.1.1** Every person on appointment as a key managerial personnel or a director of the Company or upon becoming a promoter shall disclose his holding of Securities as on the date of appointment or becoming a promoter, to the Company within seven days of such appointment or becoming a promoter in Annexure-"D"

### **6.2 Continual Disclosure**

- 6.2.1** Every Promoter, Director and Designated Person of the Company shall disclose to the Company 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 Rs.10 lacs.
- 6.2.2** The company shall notify the particulars of such trading to the stock exchange on which the securities are listed within two working days of receipt of the disclosure or from becoming aware of such information.

## **7.0 Penalty for contravention of Code of Conduct**

- 7.1** Any Designated Person who contravenes the Code of Conduct shall be penalized and shall also be subject to disciplinary action by the Company, which may include wage freeze, suspension etc.
- 7.2** The Company shall promptly inform Securities and Exchange Board of India regarding any violation of the Code of Conduct.
- 7.3** The action by the company shall not preclude SEBI from taking any action in case of



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violation of SEBI (Prohibition of Insider Trading) Regulations, 2015.

## **V. GENERAL**

Employees are advised to pursue the Code and Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 as amended from time to time, carefully and acquaint themselves with all the provisions contained therein. The Compliance Officer will be available for clarification / assistance that may be necessary.

For Axel Polymers Limited,

A.B. Bodhanwala  
Managing Director  
DIN: 00421362



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## Annexure "A" Application cum Undertaking for Pre-clearance

Date:

To,  
The Compliance Officer,  
Axel Polymers Limited.  
Mokshi.

### Sub: Application for Pre-dealing in Securities of the Company

Dear Sir / Madam,

With reference to Axel Polymers Code of Conduct to Regulate, Monitor and Report Trading by Insiders, I \_\_\_\_\_, \_\_\_\_\_ (Designation & Dept.) of the Company, would like to purchase / sale \_\_\_\_\_ equity shares of the Company as per details given below:

Sr. No.	Particulars	
1	No. of Securities held as on application date	
2	DP & Client ID / Folio No.	
3	No./Value of Securities to be purchased / sold	
4	Name of person who proposed to trade	

I hereby declare that I am not in possession of any UPSI.

In the event that I have access to or received any UPSI, after the signing of this application but before executing trade for which approval is sought, I shall inform the Compliance Officer about the same and shall completely refrain from dealing in the Securities until such UPSI becomes publicly available. Thereafter I will submit fresh application for executing a trade.

I also hereby declare that I have not contravened any provision of the Code of Conduct.

Further I undertake to submit report on trade within 2 days from date of execution of trade or submit a 'Nil' report if no trade was executed.

After approval, I shall execute a trade within 7 trading days from of the receipt of approval trade failing which I shall seek pre-clearance again.

Your Faithfully,

Signature: \_\_\_\_\_  
(Name of Employee)



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## Annexure "B"

### Approval/Rejection of Pre- Clearance

Date:

To,

Name:

Designation:

#### **Sub: Approval / Rejection of Pre- Clearance**

Dear Sir / Madam,

With reference to your Application cum Undertaking for Pre-clearance dated\_\_\_\_\_, we would like to inform you that your application to purchase/sale \_\_\_\_\_equity shares of the Company is hereby approved/rejected. Now, you can execute your trade within 7 trading days i.e.\_\_\_\_\_. Further, you are required to submit a report your trade details within two trading days from trade. Or In case, no trade was executed, you are required to submit a 'Nil' report.

In case, you do not execute a trade before \_\_\_\_\_, you shall submit a fresh pre-clearance application before executing any transaction in the Securities of the Company.

Thanking You,

Yours faithfully,  
FOR AXEL POLYMERS LIMITED

**Compliance Officer**



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## Annexure "C" Reporting of Trade / Transaction

To,  
The Compliance Officer,  
Axel Polymers Limited  
Mokshi.

### Sub: Reporting of Trade / Transaction

Dear Sir / Madam,

According to approval of pre-clearance dated \_\_\_\_\_, I have executed a trade / transaction on \_\_\_\_\_ (date). The detail of said trade / transaction is as under:

Name of holder	No. of Securities purchased / sold	Average Gross Price per Securities (in Rs.)	DP ID & Client ID / Folio No.

Further I enclose herewith copy of Contract Note for your ready reference.

I declare that the above information is correct and that no provision of the Code of Conduct has been violated while executing aforesaid trade / transaction.

I also declare that I have complied with the requirements of minimum period of 6 months for entering into an opposite transactions in respect of said Securities.

Or

According to approval of pre-clearance dated \_\_\_\_\_, I have not executed a trade / transaction due to \_\_\_\_\_ (reason of non-trading).

I will take fresh pre-clearance for trades as and when I propose to trade in Securities of the Company.

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

Name:  
Designation:



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## Annexure "D" Initial Disclosure of Securities

To,  
The Compliance Officer  
Axel Polymers Limited  
Mokshi.

Dear Sir/Madam,

### Sub: Initial Disclosure of Securities

Dear Sir/Madam,

Pursuant to Axel Polymers Code of Conduct to Regulate, Monitor and Report Trading by Insiders, I, \_\_\_\_\_, \_\_\_\_\_ (Designation & Dept.) of the Company hereby submit the following details of securities held in the Company \_\_\_\_\_ being date of Regulations taking effect.

Name	Relationship	DP & Client ID / Folio No.	No. of Share
Self			
Other Relatives, relation-wise			

Date:	Signature:
	Name:
	Designation:

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