



# South Eastern Coalfields Limited

(A MINIRATNA PSU)

CIN: U10102CT1985GOI003161

Regd. Office: SEEPAT ROAD, BILASPUR (CG) 495 006

## CORPORATE AFFAIRS DEPARTMENT

Phone: 07752-246340 Fax: 07752-246412, 427121 Cell: 09425531303

Website: www.secl.gov.in E-mail: compsecy@secl.gov.in

Ref. No. SECL/BSP/CAD/15-16/ 250

Date: 10/11/2015

All CGMs/General Managers of Areas  
All CGMs/General Managers/HODs of Headquarters.

**Sub: 'Code of Internal Procedures and conduct for prevention of Insider Trading in securities of Coal India Ltd.' and 'Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information' under the SEBI (Prohibition of Insider Trading) Regulations, 2015.**

Dear Sir,

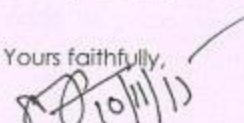
The Securities and Exchange Board of India (SEBI) has notified the new SEBI (Prohibition of Insider Trading) Regulations, 2015 replacing the earlier regulations dating 23 years back, which is effective from 15.05.2015. Accordingly, CIL has prepared the 'Code of Internal Procedures and conduct for prevention of Insider Trading in securities of Coal India Limited' and 'Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information' and same has been approved by CIL Board at its 314<sup>th</sup> Meeting held on 12.05.2015. The said Code is available on the websites of CIL (Info Bank> Circulars) & SECL. We had issued a letter vide no. SECL/BSP/CAD/15-16/73 dtd. 27.05.2015 and advised to comply the code, with its wide circulation.

Under the above code, Company Secretary, CIL, is the Compliance Officer and Chairman, CIL is the Reporting Officer. The Compliance Officer, CIL vide letter No. CIL:XI(D):04161:2015:11378 Dt. 06.11.2015 has communicated that the CIL Board has approved the Revised Forms VII to X at its 321<sup>st</sup> Meeting held on 15.10.2015. A copy of the letter No. 11378 Dt. 06.11.2015 along with Revised Forms is enclosed.

**Strict compliance of the above Code is mandatory for all the designated employees and any violation of the same is punishable with imprisonment for a maximum period of 10 years or with fine which may extend to ₹ 25 Crores or with both.**

You are therefore, requested to obtain and submit to this office necessary details from Designated persons in the Revised Forms henceforth.

Yours faithfully,

  
COMPANY SECRETARY

Enclosures: As above.

CC. to : CMD/ D(F)/ D(T)O/ D(P)/ CVO

- CC. to: 1. Dy. General Manager(System)-HOD/SECL - With request to upload the **Revised Forms VII, VIII, IX & X** on SECL Website as replacement of the earlier Forms.  
2. GM(EE) -HOD/SECL - With request to henceforth get the **Revised Form-VIII (Disclosure on becoming a Designated person)** signed by designated persons as per Clause 2.7 of the code (whether fresh joining or upon transfer/promotion), with original being sent to this Department.



Coal India Limited

A MAHARATNA COMPANY

Registered Office:- Coal Bhawan, Core-2, 3rd Floor,  
Premises No.04 MAR, Plot No.AF-III,  
Action Area-IA, New Town, Rajarhat, Kolkata 700156.

PHONE: 033 - 23246526, GRAM: COALINDIA.

FAX:033 - 23246510

Email - mviswanathan2.cil@coalindia.in

WEBSITE:www.coalindia.in

CIN - L23109WB1973G01028844

Ref No. CIL:XI(D):04161:2015: 11378.

Dated 6<sup>th</sup> November'2015

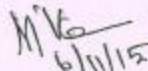
To  
Company Secretary,  
BCCL/ ECL/ CCL/ CMPDIL/  
SECL/ NCL/ MCL/ WCL.

**Sub:- Code of Internal Procedures and Conduct for prevention of Insider Trading and Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information under the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015.**

Dear Sir,

In 314th CIL Board meeting held on 12th May'2015 Board had approved the Code. We had issued a letter No.CIL:XI(D):04161:2015:10288 dated 19<sup>th</sup> May'2015 and advised to maintain proper records and monitor the implementation of the Code at your Subsidiary Company. In 321st CIL Board meeting held on 15th October'2015 revised Forms VII to X had been approved and we have sent the same to you vide our letter No.CIL:XI(D):04112:2015:11357 dated 5th November'2015. You are advised to upload the Code and revised Formats in your company's website, if the same is not uploaded till date. You are also requested to obtain necessary details from Designated persons and monitor proper implementation of the code at your subsidiary.

Yours faithfully,

  
(M. Viswanathan)  
Company Secretary

## FORM A

SEBI (Prohibition of Insider Trading) Regulations, 2015  
[Regulation 7 (1) (a) read with Regulation 6 (2) - Initial disclosure to the company]

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

Details of Securities held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)

Name, PAN, CIN/DIN & address with contact nos.	Category of Person (Promoters/ KMP / Directors/immediate relative to/others etc)	Securities held as on the date of regulation coming into force		% of Shareholding
		Type of security (For eg. - Shares, Warrants, Convertible Debentures etc.)	No.	
1	2	3	4	5

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 of the company held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)

Open Interest of the Future contracts held as on the date of regulation coming into force			Open Interest of the Option Contracts held as on the date of regulation coming into force		
Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	Contract Specifications	Number of units (contracts * lot size)	Notional value in Rupee terms
6	7	8	9	10	11

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

Name & Signature: \_\_\_\_\_

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

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

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

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**SEBI (Prohibition of Insider Trading) Regulations, 2015**  
**[Regulation 7 (1) (b) read with Regulation 6(2) – Disclosure on becoming a**  
**director/KMP/Promoter]**

Name of the company: \_\_\_\_\_

ISIN of the company: \_\_\_\_\_

Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Name, PAN, CIN/DIN & Address with contact nos.	Category of Person (Promoters/ KMP / Directors/ immediate relative to/others etc.)	Date of appointment of Director /KMP OR Date of becoming Promoter	Securities held at the time of becoming Promoter/appointment of Director/KMP		% of Shareholding
			Type of security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No.	
1	2	3	4	5	6

*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 of the company held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Open Interest of the Future contracts held at the time of becoming Promoter/appointment of Director/KMP			Open Interest of the Option Contracts held at the time of becoming Promoter/appointment of Director/KMP		
Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms	Contract specifications	Number of units (contracts * lot size)	Notional value in Rupee terms
7	8	9	10	11	12

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

Name & Signature: \_\_\_\_\_

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

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

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

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# FORM - IX

## FORM C

SEBI (Prohibition of Insider Trading) Regulations, 2015  
[Regulation 7 (2) read with Regulation 6(2) - Continual disclosure]

FORM

Name of the company: \_\_\_\_\_  
ISIN of the company: \_\_\_\_\_

**Details of change in holding of Securities of Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).**

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Name, PAN, CIN/DIN, Person & address (Promoter/ Directors/ KMP / s/relative to/other s etc.)	Category of person	Securities held prior to acquisition/disposal		Securities acquired/Disposed		Securities held post acquisition/disposal		Date of allotment		Date of acquisition / disposal (on market/public rights/ preferential offer / off transfer, ESOPs etc.)			
		Type of security (For eg. - Shares, Warrants etc.)	No. and % of security (For eg. - Shares, Warrants etc.)	Value	Transaction Type (Buy/Sale/Pledge/Revoke/Invoice)	Type of security (For eg. - Shares, Warrants, Convertible Debentures etc.)	No. and % of security (For eg. - Shares, Warrants, Convertible Debentures etc.)	From	To				

*Note: "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.*

Details of trading in derivatives of the company by Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2).

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)	
15	16	17	18	19	20	21

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

Name & Signature:

Designation:

Date:

Place:

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FORM-X

FORM D (indicative format)

Form EO

SEBI (Prohibition of Insider Trading) Regulations, 2015  
Regulation 7(3) - Transactions by Other connected persons as identified by the company

Details of trading in securities by other connected persons as identified by the company

1	2	3	4	5	6	7	8	9	10	11		12	13	14
										From	To			
Name, PAN, CIN/DIN, & address of contact nos. of other persons connected as identified by the company	Company with whom securities held post acquisition/disposal	Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No. and % of security (For eg. Shares, Warrants, Convertible Debentures etc.)	Value	Transaction Type (Buy/Sale/Pledge/Revoke etc.)	Type of security (For eg. Shares, Warrants, Convertible Debentures etc.)	No. and % of shareholding	Date of allotment of shares/ acquisition of shares/ sale of shares specify				Date of intimation to company	Mode of acquisition/disposal (on market/public rights/ Preferential offer/off market/Inter-se transfer, ESOPs etc.)	

Note: "Securities" shall have the meaning as defined under regulation 2(1)(f) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Details of trading in derivatives by other connected persons as identified by the company

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)	
15	16	17	18	19	20	21

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

Name:

Signature:

Place:

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