## Board Secretariat

Ref:-JKB/BS/F3652/2023/282 Date: 27<sup>th</sup> February, 2023

National Stock Exchange of India Limited Exchange Plaza 5th Floor Plot No. C/1 G-Block Bandra Kurla Complex Bandra (E) Mumbai - 400 051 Symbol: J&KBANK

The BSE Limited Phiroze Jeejeebhoy Towers Dalal street Mumbai - 400 001 Scrip Code: 532209

# SUB:- REGULATION 9 OF SEBI (PROHIBITION OF INSIDER TRADING) REGULATIONS, 2015

Dear Sirs,

Pursuant to Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015, we are enclosing herewith an instance of violation of code of conduct on account of dealing in shares of Bank during window closure period.

This is for your information.

Thanking you

Yours faithfully For Jammu and Kashmir Bank Limited

(Mohammad Shafi Mir) **Company Secretary** 

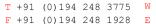




## Board Secretariat

# Report by Jammu and Kashmir Bank Limited for violation related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.

S No.	Particulars	Details
1	Name of the listed company/ Intermediary/Fiduciary	Jammu and Kashmir Bank Limited
2	Please tick appropriate checkbox Reporting in capacity of : Listed Company Intermediary Fiduciary	Listed Company
3	A. Details of Designated Person (DP)	
	i. Name of the DP	Gagan Sharma
	ii. PAN of the DP	CHWPS3193K
	iii. Designation of DP	Manager, Treasury Operations
	iv. Functional Role of DP	Maintenance of SLR and CRR threshold limits
	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of DP	
	i. Name of the immediate relative of DP	Sonika Devi
	ii. PAN of the immediate relative of DP	AYPPD8784R
	C. Details of transaction(s)	
	i. Name of the scrip	NSE Symbol: J&KBANK BSE Scrip Code: 532209
	ii. No of shares traded and value (Rs.) (Date- wise)	<ul> <li>i. 355 shares (face value Re. 1) Traded Value Rs. 20,520.00 Date: January 03, 2023</li> <li>ii. 11 shares (face value Re. 1) Traded Value Rs. 616.55 Date: January 04, 2023</li> <li>iii. 20 shares (face value Re. 1) Traded Value Rs. 1,118.00 Date: January 05, 2023</li> <li>iv. 17 shares (face value Re. 1) Traded Value Rs. 935.00 Date: January 06, 2023</li> <li>v. 55 shares (face value Re. 1) Traded Value Rs. 3,011.25 Date: January 10, 2023</li> </ul>





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S No.	Particulars	Details
	D. In case value of trade(s) is more than Rs.10 lacs in a c	alendar quarter
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable
4	Details of violations observed under Code of Conduct	Dealing in shares of Bank during window closure period
5	Action taken by Listed company	Caution letter issued
6	Reasons recorded in writing for taking action stated above	The connected person has her own sources of funds that are being utilized for share trading. Further, on studying the trades made by the Connected Person of the Designated Employee, all the trades made are miniscule and from the nature of trades executed, it seems that the connected person is learning the ins and outs of share trading. Further, no Unpublished Price Sensitive Information has been shared by the Designated Employee and accordingly only a caution letter has been issued wherein a counselling session shall be held for the Designated Employee to ensure that no such incident is repeated.
7	Details of the previous instances of violations, if any, since last financial year	Nil
8	If any amount collected for Code of Conduct violation(s)	
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Not Applicable

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S No.	Particulars		Details
	ii. Details of transfer/payment		
	In case of Online:		
	Particulars	Details	
	Name of the transferor		
	Bank Name, branch and		
	Account number		
	UTR/Transaction reference		
	Number		
	Transaction date		
	Transaction Amount (in Rs.)		Not Applicable
	In case of Demand Draft (DD):		
	Particulars	Details	
	Bank Name and branch		
	DD Number		
	DD date		
	DD amount (in Rs.)		

Yours faithfully,

# Sd/-Mohammad Shafi Mir **Compliance Officer**

PAN: ALKPM5652R Email ID: <a href="mailto:shafi.mir@jkbmail.com">shafi.mir@jkbmail.com</a>

Date: Srinagar Place: February 27, 2023