

**APPLICATION FOR PRE-CLEARANCE**

DATE:

The Compliance Officer  
Honda Siel Power Products Limited  
Plot No. 5, Sector 41 (Kasna)  
Greater Noida, UP-201306.

Dear Sir,

With reference to the Code of Conduct under the SEBI (Prohibition of Insider Trading) Regulations 1992 of the Company I seek your approval to subscribe to/agree to subscribe to/purchases/sell, deal as an agent/principal in \_\_\_\_ (Nos.) equity shares of the Company.

The statement of shareholding in the prescribed Form as on \_\_\_\_\_ and Undertaking are enclosed for your perusal in this connection.

Signature \_\_\_\_\_  
Name :  
Designation:  
Department:

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**PRE-CLEARANCE ORDER**

This is to inform you that your request for dealing in \_\_\_\_\_ (nos.) shares of the Company as mentioned in your above-mentioned application is approved. Please note that the said transaction must be completed on or before \_\_\_\_\_ (date) that is within 7 days from today.

Date:

For Honda Siel Power Products Limited

Compliance Officer

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## APPLICATION FOR PRE-DEALING APPROVAL

Date:

The Company Secretary  
Honda Siel Power Products Limited  
Plot No. 5, Sector 41 (Kasna)  
Greater Noida, UP-201306.

<b>Internal use</b>
Recd. Date & Time:
Sign:

Dear Sir/Madam,

**Application for pre-dealing approval in securities of the Company.**

Pursuant to the SEBI (Prohibition of Insider Trading), Regulations 1992 and the Company's Code of Conduct for Prevention of Insider Trading, I seek approval for purchase/sale/subscription of the \_\_\_\_\_ securities (give description) of the Company as per the details given below:

Name : \_\_\_\_\_

**State whether**
 Director     Officer     Designated Employee

EMPL NO. _____	DESIGNATION _____
DEPARTMENT _____	LOCATION _____

Nature of Transaction (Buy/ Sell/ Subscribe)	*Name of proposed Buyer/ Seller	No. of securities	**Date of purchase/ allotment	*** Previous approval no. and date for purchase/ allotment	DP/BEN ID of the account/ folio No. where the securities will be credited/ debited	No. of Securities held in such Account/ Folio No.
					DP ID _____ BEN ID _____ Folio No. _____	

\*Applicable for off market transaction

\*\*Applicable only if the application in respect of sale of Securities

\*\*\* Applicable only if the application is in respect of sale of Securities for which an earlier purchase sanction was granted by the Compliance Officer.

I enclose herewith the form of Undertaking signed by me.

Yours faithfully,

\_\_\_\_\_  
(Signature of Employee)

**UNDERTAKING TO BE ACCOMPANIED WITH THE APPLICATION FOR PRE-CLEARANCE**

Date:

The Compliance Officer  
Honda Siel Power Products Limited  
Plot No. 5, Sector 41 (Kasna)  
Greater Noida, UP-201306.

I \_\_\_\_\_ resident of \_\_\_\_\_, hereby declare that I am Director/  
Officer/Employee of Honda Siel Power Products Limited.

I further declare that I am not in possession of or otherwise privy to any unpublished Price Sensitive Information [as defined in the Company's Code of Conduct for prevention of Insider Trading] (the Code) upto the time of signing this Undertaking.

In case I have access to or I receive any Price Sensitive Information after signing this Undertaking but before execution of the transaction, I shall inform the Compliance Officer of the change in my position and I would completely refrain from dealing the Securities of the Company till the time such Price Sensitive Information becomes public.

I declare that I have not contravened the Code as notified by the Company from time to time.

I undertake to submit the necessary report within two days of execution of the transaction / a 'NIL' report if the transaction is not undertaken.

I am aware that, I shall be liable to face penal consequences as set forth in the Code including disciplinary action under the Code of the Company, in case the above declarations are found to be misleading or incorrect at any time.

I hereby agree to indemnify and keep the Company and its Directors indemnified from and against all and any penalties / fines that may be imposed on them by the Securities and Exchange Board of India and/or any other statutory authorities as a result of violation by me of the SEBI (Prohibition of Insider Trading) Regulations 1992 and the Code prescribed by the Company.

I declare that I have made full and true disclosure in the matter.

Signature \_\_\_\_\_



**APPLICATION FOR WAIVER OF MINIMUM HOLDING PERIOD**

Date:

The Compliance Officer  
Honda Siel Power Products Limited  
Plot No. 5, Sector 41 (Kasna)  
Greater Noida, UP-201306.

Dear Sir,

I request you to grant me waiver of the minimum holding period as required under the Code of Conduct under the SEBI (Prohibition of Insider Trading) Regulations, 1992 with respect to \_\_\_\_\_ shares of the Company held by me/ \_\_\_\_\_ (name of the 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,

(SIGNATURE)

NAME :

DESIGNATION :

DEPARTMENT :

**ANNEXURE – VI**

**FORM FOR CONFIRMATION OF DEAL**

Date:

The Compliance Officer  
Honda Siel Power Products Limited  
Plot No. 5, Sector 41 (Kasna)  
Greater Noida, UP-201306.

Dear Sir,

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

(Signature)

**Annexure - VII**

**Details of acquisition of 5% or more shares in the Company**

**FORM A**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992  
(Pursuant to Regulation 13 (1) and (6))

**Regulation 13(1) - Details of acquisition of 5% or more shares in a listed company**

Name, PAN No. & address of shareholder with telephone number	Shareholding prior to acquisition	No. and percentage of shares/voting rights acquired	Date of receipt of allotment/ advice. Date of acquisition (specify)	Date of intimation to Company	Mode of acquisition (market purchase/ public /rights/ preferential offer etc.)	Shareholding subsequent to acquisition	Trading member through whom the trade was executed with SEBI Registration No. of the TM	Exchange on which the trade was executed	Buy Quantity	Buy Value

**Annexure - VIII**

**(Initial Disclosure) For Initial Disclosure of shareholding details in the company by Directors & officers**

**FORM B**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992  
(Pursuant to Regulation 13 (2) and (6))

**Details of shares held or positions taken in derivatives by Director or officer of a listed company and his dependents**

Name, PAN No. & Address of Director/Officer	Date of assuming office of Director / Officer	No. & % of shares/voting rights held at the time of becoming Director / Officer	Date of intimation to company	Mode of acquisition (market purchase / public / rights / preferential offer etc.)	Trading member through whom the trade was executed with SEBI Registration No. of the TM	Exchange on which the trade was executed	Buy quantity	Buy value

**Annexure - IX**

**FORM C**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992

*(Pursuant to Regulation 13 (3) and (6))*

**Details of change in shareholding in respect of persons holding more than 5% shares in a listed company**

Name, PAN No. & address of shareholders	Shareholding prior to acquisition/sale	No. & % of shares/voting rights acquired/sold	Receipt of allotment advice / acquisition of shares/sale of shares specifically	Date of intimation to company	Mode of acquisition (market purchase/public rights/preferential offer etc.)	No. & % of shares/voting rights post acquisition / sale	Trading member through whom the trade was executed with SEBI Registration No. of the TM	Exchange on which the trade was executed	Buy quantity	Buy Value	Sell Quantity	Sell Value

**For Continual Disclosure by Directors & Officers****FORM D**

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992

*(Pursuant to Regulation 13 (4) and (6))***Details of change in shareholding by Director or Officer of a Listed Company and his dependents**

Name, PAN No. & Address of Director / Officer	No. & % of shares/vot ing rights held by the Director/ Officer	Date of receipt of allotment advice / acquisiti on / sale of shares / voting rights	Date of inti mati on to com pany	Mode of acquisitio n (market purchase /public /rights /preferenti al offier etc.)	No. & % of shares/post acquisition /voting rights sale	Trading member through whom the trade was executed with SEBI Registratio n no. of the TM	Exchange on which the trade was executed	Buy quantit y	Buy value	Sell quantit y	Sell value