

HI-KLASS TRADING & INVESTMENT LTD.

Regd. Off. :24, Veer Nariman Road, Rehman Building, 2nd Floor, Office No.15, Fort, Mumbai – 400 001.

Tel.: 2287 4084, 2287 4085 * Email : info@hiklass.co.in

CIN-L51900MH1992PLCO66262

ANNEXURE-1

To,
The Compliance Officer,
Hi-Klass Trading and Investment Limited
Office No. 15, Rehman Building, 2nd Floor
Veer Nariman Road
Mumbai-400 001

Dear Sir/ Madam,

Application for Pre-dealing approval in securities of the Company ((prohibition of Insider Trading) Regulations, 2015 I and/ or my dependents family members propose to trade in securities of the Company as under:-

Sl. No.	Particulars	
1.	Name of the applicant	
2.	Designation	
3.	Employee Pay Roll	
4.	Name of the Dependent family member (applicable if they intend to trade in the securities)	
5.	Number and value of securities in the Company held as on date (with folio/ DP ID/ Client ID No.)	
6.	Mode in which the securities are held	
7.	Nature of proposed dealing: (a) Acquisition in the open Market (b) Subscription to the securities (c) Sale of securities	
8.	Proposed date of dealing in securities	
9.	Estimated number of securities proposed to be acquired / subscribed / sold	
10.	Price at which the transaction is proposed	
11.	Current market price (as on the date of application)	
12.	Whether the proposed transaction will be through stock exchange or off market deal	
13.	Proposed mode of dealing in securities : Physical / Dematerialized	
14.	If securities are held / proposed to be dealt in dematerialized form then: <ul style="list-style-type: none">Name of the DepositoryDP ID NumberClient ID number	

In relation to the above dealing, I undertake that:

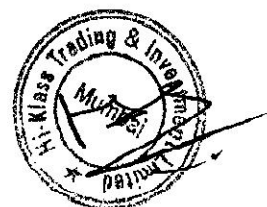
I hereby declare that orders in respect of securities of the Company will be executed within one week after the approval of pre-clearance is given failing which I undertake to obtain pre-clearance for the transaction again.

Signature

Name:

Designation:

Address:



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ANNEXURE-2

To,
The Compliance Officer,
Hi-Klass Trading and Investment Limited
Office No. 15, Rehman Building, 2nd Floor
Veer Nariman Road
Mumbai-400 001

UNDERTAKING FROM A DESIGNATED EMPLOYEE

I, do hereby undertake that I have read, understood and updated myself from time to time with all the Regulations mentioned in the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992.

I further undertake:

- i. That I do not have any access or have not received any "Price Sensitive Information" upto the time of signing this undertaking.
- ii. That in case I have access to or receive "Price Sensitive Information" after the signing of the undertaking but before the execution of the transaction I shall inform the Compliance officer of the change in the position and that I would completely refrain from dealing in the securities of the Company till the time such information becomes public.
- iii. That I have not contravened the Company's Code for prevention of insider trading as notified by the Company from time to time.
- iv. That I have made a full and true disclosure in the matter.

Signature

Name:

Designation:

Address:



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ANNEXURE-3

(See clause 4.1 of the Code)

LETTER CONVEYING PRE - CLEARANCE APPROVAL

Date:

To

Mr./Mrs./Miss _____

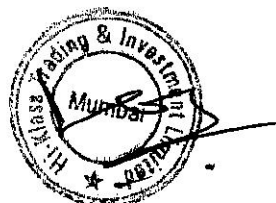
Dear Sir/ Madam,

Please refer to your application dated.....for dealing in the securities of M/s. Hi-Klass Trading and Investment Limited. Your request has been considered by the Competent Authority and the decision is conveyed to you as under:

Sl. No.	Particulars	
1.	Number & Name of securities held	
2.	Nature of transaction for which approval is sought (Purchase / Sale)	
3.	Number & Name of securities to be dealt	
4.	Approval accorded / not accorded	

For Hi-Klass Trading and Investment Limited

(Compliance Officer)



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ANNEXURE 4

Format for Disclosure of Transaction

(To be submitted within 2 days of transaction / dealing in securities of the Company)

Date:

To,
The Compliance Officer,
Hi-Klass Trading and Investment Limited
Office No. 15, Rehman Building, 2nd Floor
Veer Nariman Road
Mumbai-400 001

Dear Sir/Madam,

Details of Transaction

Ref: Your approval letter dated _____ (in case of pre-approved transaction)

I hereby inform you that I/my

- have not bought/sold/subscribed any securities of the Company.
- have bought/sold/subscribed to the Securities (give description) as mentioned below on ____
(insert date)

Name of Holder	First/Joint Holder	No. of Securities dealt with	Brought/Sold /Subscribed	DP ID/Client ID (electronic form) Folio no. for physical where the Securities will be debited or credited	Price (Rs.)

In connection with the aforesaid transaction (s), I hereby undertake to preserve, for a period of 3 (three) years and produce to the Compliance Officer/SEBI any of the following documents:

1. Broker's contract note
2. Proof of payment to/from the brokers
3. Extract of bank passbook/statement (to be submitted in case of demat transaction)
4. Copy of delivery instruction slips (applicable in case of sell transaction)

I declare that the above information is correct and that no provisions of the Company's Insider Trading Code and/or applicable laws regulations have been contravened for effecting the above said transaction (s).



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I agree not to buy/sell the Securities for a period of six months from the date of the aforesaid transaction (applicable in case of purchase/sell transaction by Specified persons only).

I agree to hold the above Securities for a period of 30 days from the date of allotment (applicable in case of subscription in the primary market (initial public offer) by Specified Persons only).

I agree to hold the above Securities for a minimum period of 30 days. In case there is any urgent need to sell these Securities within the said period, I shall approach the Company (Compliance officer) for necessary approval. (Applicable in case of purchase/subscription)

Yours faithfully,

Signature:

Name:

Designation:



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ANNEXURE 5

FORMAT FOR INITIAL DISCLOSURE OF SECURITIES

Date:

To,
The Compliance Officer,
Hi-Klass Trading and Investment Limited
Office No. 15, Rehman Building, 2nd Floor
Veer Nariman Road
Mumbai-400 001

I, _____, in my capacity as _____ of the Company hereby submit the following details of securities held in the Company as on _____ (date of becoming Specified Person).

I. Details of securities held by me:

Type of Securities	No. of securities held	Folio No	Beneficiary A/c Client ID

II. Details of dependent(s):

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992 and the Company's Code of Procedures and Conduct for Prevention of Insider Trading, I hereby declare that i have the following dependents:

Sr. No.	Name of the dependent	Relation with Director/ Officer / Designated Employee

III. Details of securities held by dependent(s):

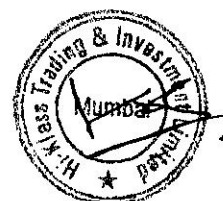
Name of Relative	Relationship	Type of securities	No. of Securities held	Folio No.	Beneficiary A/c Client ID

Signature

Name:

Designation:

Address:



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ANNEXURE 6

DISCLOSURE OF CHANGE IN SHAREHOLDING

Date:

To,
The Compliance Officer,
Hi-Klass Trading and Investment Limited
Office No. 15, Rehman Building, 2nd Floor
Veer Nariman Road
Mumbai-400 001

I, _____, in my capacity as _____ of the Company hereby submit the following details of change in holding of securities of the Company:

Name, PAN No. & address of shareholder	No. of securities held before the transaction	Receipt of allotment advice/ acquisition of /sale of securities	Nature of transaction & quantity			Trading member through whom the trade was executed with SEBI Registration No. of the TM	Exchange on which the trade was executed
			Purchase	Sale	Others		

Details of change in securities held by dependent family members:

Name, PAN No. & address of shareholder and relationship	No. of securities held before the transaction	Receipt of allotment advice/ acquisition of /sale of securities	Nature of transaction & quantity			Trading member through whom the trade was executed with SEBI Registration No. of the TM	Exchange on which the trade was executed
			Purchase	Sale	Others		

I/We declare that I/We have complied with the requirement of the minimum holding period of six months with respect to the securities purchased/sold.

I hereby declare that the above details are true, correct and complete in all respects.

Signature

Name:

Designation:

Address:

