

(As on 28.5.2023)

POLICY AND PROCEDURE FOR INQUIRY IN CASE OF LEAKAGE OF UNPUBLISHED PRICE SENSITIVE INFORMATION (“UPSI”)

PREFACE

Pursuant to Regulation 9A of the SEBI (Prohibition of Insider Trading) Regulations, 2015, including any amendments thereto, the Company is required to formulate written policies and procedures for inquiry in case of leak of Unpublished Price Sensitive Information (“UPSI”) or suspected leak of UPSI duly approved by board of directors of the Company and accordingly initiate appropriate inquiries on becoming aware of leak of UPSI or suspected leak of UPSI and inform the Securities and Exchange Board of India (“SEBI”) promptly of such leaks, inquiries and results of such inquiries.

The Company, accordingly, formulated this policy and also has a separate whistle-blower policy to enable employees to report instances of leak of unpublished price sensitive information.

PROCEDURE FOR INQUIRY

1. The Company on becoming aware of leak of UPSI or suspected leak of UPSI should take necessary steps, as may be necessary, or may refer the matter or any issue(s) arising there from to any competent forum, professional experts, and/or legal counsels, whether internal or external, for requisite review, analysis, investigation and consequent guidance / opinion / advise, if any, so as to take an effective, rational and unbiased redressal measure with regard to such matter and/or issue(s) arising therefrom.
2. (i) On becoming aware of leak of UPSI or suspected leak of UPSI, the Compliance Officer shall ensure that the such instance shall be intimated to the Stock Exchanges in the format annexed herewith as **Annexure I**.

(ii) The Compliance Officer shall ensure that the report of such actual or suspected leak of UPSI, preliminary enquiry therein and results thereof shall be promptly disclosed to the SEBI and the Stock Exchanges in the format annexed herewith as **Annexure II**.
3. The Accused/Offender shall have the right to be heard and adequate time and opportunity to be provided to represent his/her part in the matter.
4. On completion of investigation, the Whistle Blower Officer or other person, as may be authorized in this regard, shall have the right to take action as per the Company’s Whistle Blower Policy against the Offender. Such decision shall be final and binding on all concerned parties including the Company.
5. The Accused/Offender shall have the right to be informed of the outcome of the investigation and shall be so informed in writing by the Company after the completion of the inquiry/ investigation process.
6. The report of the investigation carried out and the result thereof shall be reported to the Board of Directors of the Company at its next meeting.

Annexure I

Format for Intimation of actual or suspected leak of Unpublished Price Sensitive Information to the Stock Exchanges

Date:

The Bombay Stock Exchange Limited (Scrip Code: 538902) Floor 25, P.J. Towers, Dalal Street, Mumbai - 400001	The National Stock Exchange of India Limited (Symbol: DTIL) Exchange Plaza Plot No: C/1, G Block Bandra – Kurla Complex, Bandra (E) Mumbai – 400 051
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Dear Sir / Madam,

Sub: Intimation of actual or suspected leak of Unpublished Price Sensitive Information pursuant to Regulation 30(1) of SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015

Pursuant to Regulation 30(1) of SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015, please note the following details of actual or suspected leak of Unpublished Price Sensitive Information, as received by Company;

Name of Accused, if known	
Name of Organization	
Designation	
Nature of Information	

This is for your information and record.

Thanking You.

Yours faithfully,
For Dhunseri Tea & Industries Limited

Director /Company Secretary

Annexure- II

Format for Reporting actual or suspected leak of Unpublished Price Sensitive Information

- (1) Securities and Exchange Board of India
Plot No. C 4-A, G Block,
Near Bank of India, Bandra Kurla Complex,
Bandra East, Mumbai – 400 051

- (2) The Bombay Stock Exchange Limited
(Scrip Code: 538902)
Floor 25, P.J. Towers,
Dalal Street,
Mumbai - 400001

- (3) The National Stock Exchange of India Limited
(Symbol: DTIL)
Exchange Plaza
Plot No: C/1, G Block
Bandra – Kurla Complex, Bandra (E)
Mumbai – 400 051

Dear Sir / Madam,

Sub: Report of actual or suspected leak of UPSI pursuant to regulation 9A(5) of SEBI (Prohibition of Insider Trading) Regulation, 2015

Pursuant to Regulation 9A(5) of SEBI (Prohibition of Insider Trading) Regulation, 2015, the following is the report of actual or suspected leak of Unpublished Price Sensitive Information received by the Company:

Name of Offender, if known	
Name of Organization	
Designation	
Nature of Information	
Decision taken by the Company	
Disciplinary Action taken by the Company	

This is for your information and record.

Thanking You.

Yours faithfully,
For Dhunseri Tea & Industries Limited

Director /Company Secretary