

Online Workshop on Insider Trading Framework for Mutual Funds:

Several actionable for Asset Management
Companies and fiduciaries/ intermediaries
associated with Mutual Funds

By Vinod Kothari & Company



8th December 2022, Thursday
4:30 p.m. to 6:30 p.m.



For registrations:
[click here](#)



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Mode: Through Zoom



INR 4000, plus GST per
participant

Link: <https://rzp.io/l/Tqjn8VJy>

Why this workshop?

SEBI has notified [SEBI \(Prohibition of Insider Trading\) \(Amendment\) Regulations, 2022](#) on November 24, 2022, thereby bringing in Mutual Funds units under the ambit of insider trading regulations.

Earlier, SEBI regulated the investment / trading in securities by employees and Board members of AMC(s) and Trustees of Mutual Funds through various circulars which provided for a prohibition in dealing while in possession of UPSI & disclosure requirement.

With this amendment, the Board, Audit Committee, MD & CEO of the AMC have greater roles and responsibilities. An entire framework needs to be followed by AMCs with respect to communication, sharing, controls, internal reporting etc. The broad actionable includes:

1. **Framing of codes and policies;**
2. **Determining manner of bringing people inside;**
3. **Maintenance of Structured Digital Database;**
4. **Review of internal control systems**
5. **Additional disclosure requirements**

While the amendment is yet to come into effect, it will surely increase the compliance burden of the AMCs. There may be several queries on the implementation front.

We intend to discuss the amendment threadbare and address the queries to enable AMCs ensure smooth transition.

Faculty



Vinita Nair

Senior Partner
Vinod Kothari & Company

Our resources on the topic:

1. [Mutual Fund units now under the net of insider trading regulations](#)
2. [FAQs on Insider Trading Framework for Mutual Funds](#)
3. [FAQs on Structured Digital Database](#)
4. [PIT Resource Centre](#)

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