

Workshop on
**Recent regulatory developments
for listed entities - critical changes
under LODR and PIT Regulations**

By Vinod Kothari and Company



18th October, 2023, Wednesday
2:30 p.m. to 6:00 p.m.



For registrations [Click here](#)



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Mode: Through Zoom



INR 4500, plus GST per participant



Early bird discount available till
10th October, 2023

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Coverage during workshop

• Under LODR

1. Disclosure of events/information (Reg. 30 read with Schedule III)

- Revised materiality thresholds, verification of market rumors, amended materiality policy, periodicity of disclosures (revised timelines to disclose)
- Guidance on disclosures of certain items like fraud, regulatory actions, agreements impacting listed entities

2. Obligations in connection with SMPs

- Meaning and inclusions and exclusions in the definition, approvals required for appointment
- Disclosure requirement by companies (event based and annual)

• Under PIT Regulations

1. Evolution of current definition of UPSI in view of the recent CP

2. Understanding the basic actionable under the PIT Framework

- Identification of Designated Person (DPs), closure of Trading Window, selective TW closure, stages of closure, contra -trade restrictions (incl. manner of calculation)
- Obligations of Compliance officer

3. Structured Digital Database (SDD)

- Meaning of SDD, manner of maintaining SDD, point at which entry in SDD is required, point at which disclosure requirements trigger, consequences of not maintaining SDD, recent practical cases where regulators pointed concerns/ lapses under SDD maintenance

4. Pan freezing on trading window closure (TWC)

- Applicability, timeline, PAN freeze - TWC only while declaration of financial results



Faculty

Ms. Pammy Jaiswal
Partner

Vinod Kothari and Company

Why this workshop?

Considering the fact that SEBI has brought several regulatory developments under the SEBI Listing Regulations for listed companies, like the disclosure of material events and information under Reg 30 read with Sch III, discussion on the definition of Unpublished Price Sensitive Information (UPSI) and the proposed changes therein, it is imperative to be aware and be prepared for smooth implementation of the same. In fact, most of the changes are also in the nature that would require listed entities to be aware of which regulatory actions will require disclosure and at what stage.

The workshop will take the audience through some of the critical actionables in connection with the SEBI LODR and PIT Regulations as well as discuss some of the recent actions / concerns taken by the regulators on alleged instances of non compliance.