

Vinod Kothari and Company

Self-paced Certificate Course on

Insider Trading for Compliance Officers

Bundled with Intricacies of Reg 30 of LODR



Run-time: 10-12 hours approx



16 episodes



Access to episodes at your convenience



Valid for 30 days from grant of access to episodes



Optional One Time Q&A Session (valid for 30 days from registration)



Mandatory Evaluation Test



Certificates upon completion

Rs. 15,000/- + GST per participant

Click [here](#) to register your interest

Why this Course?

Insider Trading Regulations are probably one of the most stringent regulations under securities laws. Alongside the primary rule of “no insider trading”, directly or indirectly, various compliances apply to both sharing of information and trading in securities. Non-compliance leads to strict enforcement actions, including hefty penalties and disgorgement of profits primarily due to lack of internal controls and sensitisation. The responsibilities of adopting internal control systems, ensuring proper implementation, monitoring and taking action upon breach of requirements is housed with different responsibility centres but the compliance officer acting as the fulcrum for the overall implementation and supervision of the compliances therein.

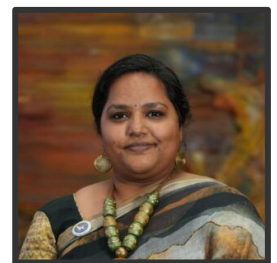
In recent times, with new amendments, and the ever changing systems with the regulators, the role of the compliance officer has evolved into a more encompassing multifold responsibility. Granting trading approvals, monitoring trades for contra trade violations, sensitising the insiders, ensuring dissemination of UPSI, appropriate reporting in SDD, appropriate filings on the Stock Exchange - the burden of all these responsibilities lies with the compliance officer.

Our course is designed primarily for Compliance Officers from a holistic perspective- assisting them to navigate the labyrinth of legal complexities; resulting in a continued compliance status for the listed entity.

Faculty



Vinod Kothari
Managing Partner



Vinita Nair
Joint Managing Partner



Pammy Jaiswal
Partner



Payal Agarwal
Partner

Coverage

1. Fundamentals of Insider Trading
2. Meaning of Unpublished Price Sensitive Information (UPSI)
3. Designated Persons
4. Connected Persons
5. Insider: meaning and obligations
6. Dealing with UPSI
7. Maintenance of Structured Digital Database
8. Roles and responsibilities of functionaries
9. Code of Conduct to regulate, monitor and report trades by DPs and their immediate relatives
10. Meeting with analysts, investors
11. Regulatory policies and Internal framework
12. Trading controls, Exceptions and Pre-clearance
13. Trading window closure and freezing of PAN
14. Contra trade restrictions
15. Disclosures, Reporting and Record keeping
16. Applicability on fiduciaries

For more details, contact:

Connect with us

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