

# Workshop on Insider Trading Regulations for Compliance Officers

## Why this Workshop?

- Incidents of summons and penalties for Compliance officers have increased. More than the monetary impact is the huge reputational risk, both for the professional and for the company.
- Integrity of information systems, prompt information flows and SDD records become key.
- Prohibition of insider trading is all about sensitisation – the compliance team has to be vigilant, and the designated persons have to be constantly sensitised. Violations are mostly out of negligence, than intent

## Why Bengaluru?

- Several IPOs in the recent past from the Southern region.

## Course Outline

- ❖ Identification of UPSI and its link with material events under Reg 30
- ❖ Designated Persons, Connected Persons and their Obligations
- ❖ Safeguards to be followed for sharing of UPSI
- ❖ Structured Digital Database
- ❖ Controls on trading by Designated Persons
- ❖ Contra-trade restrictions
- ❖ Focus on pledge, ESOPs and derivatives
- ❖ Violations under PIT and consequences of violations

### Our resources:

- [The fine line between gossip and truth: conflicting rulings on price sensitive information disclosure](#)
- [Failure to disclose price sensitive information: SC upholds penalties](#)
- [Defining Duty: Extent of Liability of a Compliance Officer under Insider Trading Regulations](#)
- [Insider Trading Concerns in Derivatives trades by Designated Persons](#)
- [Insider Trading Safeguards: Sensitising Fiduciaries](#)

## Faculty



**Vinod Kothari**  
Managing Partner,  
VKCo



*Vinod Kothari is internationally recognized as an author, trainer and consultant on specialized various subjects and lectures all over the world. He regularly takes in-house as well as public workshops on several subjects including on insider trading compliances, related party transactions framework, familiarisation programme for directors and SMP etc.*

**June 26, 2026 | 3:00 - 6:00 pm |**

**Venue: BHIVE Workspace MG Road (Near Trinity Metro Station)**

The workshop is intended for senior corporate professionals of listed or to be listed entities.



Register here: [Click here](#)



**Rs. 10,000/- plus applicable taxes**



For any queries, reach out:

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