

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: ClayWorks Opus, Campbell Rd, Austin Town, Bengaluru

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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