

**COAL INDIA LIMITED
KOLKATA**

FORM-I

REGISTER OF PERIODS OF CLOSURE OF TRADING WINDOW

Sl. No.	Purpose for which Trading Window closed	Startdate of closure of Trading Window	Date of opening Trading Window	Date of notifying closure/opening of Trading Window	Remarks

Note: Capitalized terms used in this Form-I, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-II

**APPLICATION FOR PRE-CLEARANCE OF TRADING IN SECURITIES OF THE
COMPANY**

To
The Compliance Officer
COAL INDIA LIMITED
10 N.S.ROAD
KOLKATA – 700 001

Dear Sir,

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended, and the Company's Code of Internal Procedures and Conduct for Prevention of Insider in Securities ("Code"), I seek approval for purchase/ sale/subscription of the Securities of the Company (give description) as per the details given below:

Name, Designation & Emp. No.:

Department:

Date of becoming the Designated Person:

Sl.No.	No. of Securities held (including the Securities held by Immediate Relative as on the date of application)	Folio No. / DP ID & Client ID	Nature of new transaction for which approval is sought	Estimated number of Securities to be dealt
1	2	3	4	5

Estimated consideration value	Whether proposed transaction under self name or by Immediate Relative	Name of Immediate Relative, if transaction is made by Immediate Relative	Date of purchase / allotment	Previous approval no. and date of purchase/ allotment
6	7	8	9	10

UNDERTAKING

In this connection I solemnly confirm and declare that:

- a) I do not have access and/or have not received any “Unpublished Price Sensitive Information” up to the time of signing the undertaking;
- b) in case I have access to or receive Unpublished Price Sensitive Information after the signing of the undertaking but before the execution of the transaction, I shall inform the Compliance Officer of any change in my position and that I shall refrain from Trading till the time such information becomes accessible to public on a non-discriminatory basis;
- c) I have not contravened the provisions contained in this Code and in the Code of Practices and Procedures for Fair Disclosure of Unpublished Price Sensitive Information as notified by the company from time to time.
- d) I shall hold the Securities of the Company for a minimum holding period as specified under Clause 8.6 of this Code.
- e) I undertake to submit the necessary report within 2 (two) working days of execution of the transaction/ a “Nil” report, after the expiry of 1 (one) week from the date of the pre-clearance approval, if the transaction is not undertaken.
- f) I am aware that, I shall be liable to face penal consequences as set forth in this Code including disciplinary action under this Code, in case the above declarations are found to be misleading or incorrect at any time.
- g) I hereby undertake not to transact in Securities of the Company in the sanctioned period in case Trading Window is declared closed subsequently during such sanctioned period.
- h) I hereby made a full and true disclosure in the matter.

Pre-clearance may kindly be accorded in terms of provisions of this Code.

Capitalized terms used herein, unless defined herein, shall have the same meaning assigned to them in this Code.

Date
Place....

Signature
Name & Designation....

FOR OFFICE USE

Serial number of the application received:

Date & time of receipt of the application:

Date & time of communication of the pre-clearance or otherwise:

Reasons for not giving pre-clearance:

Signature of the Compliance Officer/ Authorised Officer

**COAL INDIA LIMITED
KOLKATA**

FORM-III

LETTER OF INTIMATION OF PRE-CLEARANCE

Name...
Employee No....
Designation.....

Dear Sir,

With reference to your above application seeking approval for undertaking certain transactions in Securities of the Company detailed therein, please be informed that you are hereby authorised/ not authorised to undertake the transaction(s) as detailed in your said application. Kindly note that in terms of the Code of Internal Procedures and Conduct for Prevention of Insider Trading ("Code") of the Company, the above mentioned transaction is to be completed within 7 (seven) days from the date of this letter granting the pre-clearance.

This approval is being issued to you based on the various declarations, representations and warranties made by you in your said application. This approval letter is valid till _____ (i.e. for 1 (one) week). If you do not execute the approved transaction/ Trade on or before this date you would have to seek fresh pre-clearance approval before executing any transaction in the Securities of the Company/ Trading. Further, you are required to file the details of the executed transactions in the attached format within 2(two)working days from the date of execution of such transaction/ Trading. In case the transaction is not undertaken, you shall submit a "Nil" report after the expiry of 1 (one) week from the date of this approval.

Kindly also note that the Securities of the Company transacted pursuant to this approval shall be held for a minimum holding period as specified under Clause 8.6 of this Code. This approval will automatically stand withdrawn if subsequently the Trading Window is declared closed involving the period for which such approval has been granted by this letter.

For & on behalf of

COAL INDIA LIMITED

Compliance Officer/ Authorised Officer

Note: Capitalized terms used in this Form-III, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-IV

REGISTER FOR PRE-CLEARANCE OF TRADING

Sl. No.	Name and designation	Date of application	Date and time of receipt of application	Nature of transaction	No. of Securities and consideration value	Name of Immediate Relative, if any, transaction in name of such Immediate Relative
1	2	3	4	5	6	7

Date of communication of clearance by the Compliance Officer	Reason for non-clearance, if not cleared	Number of Securities actually traded if intimated	Remarks
8	9	10	11

Note: Capitalized terms used in this Form-IV, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-V

FORMAT FOR DISCLOSURE OF PRE-APPROVED TRANSACTIONS

(To be submitted within 2 (two) working days of transaction in the Securities of the Company/ Trading)

Date: _____

To
The Compliance Officer
COAL INDIA LIMITED
10 N.S.ROAD
KOLKATA – 700 001

Dear Sir,

DETAILS OF PRE-APPROVED TRANSACTION

Ref: Your Approval letter No. _____ dated _____

I hereby inform you that I

- have not bought/sold/subscribed any Securities of the Company
- have bought/sold/subscribed to the _____ Securities of the Company (give description) as mentioned below on _____ (insert date)

Name of holder	First of joint holder	No. of Securities dealt with	Bought/sold/subscribe	DP ID/ Client ID (electronic form) or Folio No. for physical where the Securities will be debited or credited	Price

In connection with the aforesaid transaction(s), I hereby undertake to preserve, for a period of 5 (five) years and produce to the Compliance Officer/SEBI any of the following documents:

1. Broker's contract note
2. Proof of payment to/ from brokers
3. Extract of bank passbook/statement (to be submitted in case of demat transactions).
4. Copy of delivery instruction slip (applicable in case of sale transaction)

I declare that the above information is correct and that no provisions of the Company's Code of Internal Procedures and Conduct for Prevention of Insider Trading in Securities

("Code")and/or applicable laws/ regulations have been contravened for effecting the above said transaction(s).

I agree to hold the above Securities of the Company for minimum holding period as specified under Clause 8.6 of this Code. In case there is any urgent need to sell these Securities of the Company within the said minimum period of holding, I shall approach the Company (Compliance Officer) for necessary approval (applicable in case of purchase / subscription).

Yours truly,

Signature: _____

Name: _____

Emp No.: _____

Dept/Div.

- Strike out whichever is not applicable.

Note: Capitalized terms used in this Form-V, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-VI

REGISTER FOR WAIVER OF RESTRICTION ON "HOLDING PERIOD"

Sl.No	Name	Designation	Department	Name of the Immediate Relative, if the securities held in the name of the Immediate Relative	No. of Securities	Consideration value	Reason of waiver	Date of waiver	Remarks
1	2	3	4	5	6	7	8	9	10

Note: Capitalized terms used in this Form-VI, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-VII

**PROFORMA FOR INITIAL DISCLOSURE OF DETAILS OF SECURITIES OF THE
COMPANY HELD BY THE DESIGNATED PERSONS AND SUCH OTHER
PERSONS AS MENTIONED IN REGULATION 6 (2) OF SEBI (PROHIBITION OF
INSIDER TRADING) REGULATION, 2015**

TO
The Compliance Officer
COAL INDIA LIMITED
10 N.S.Road
Kolkata – 700 001

Dear Sir,

I, a Designated Person furnish below the details of the Securities of the Company as an in my self name and/or in the name(s) of my Immediate Relatives in terms of regulation 7(1)(a) read with regulation 6(2) of SEBI (Prohibition of Insider Trading) Regulation, 2015, as amended, and Clause 9.1 of the Code of Internal Procedures and Conduct for Prevention of Insider Trading in Securities.

Name of the company:

ISIN of the company:

Date of becoming Designated Person of the Company:

Name, PAN No., CIN/DIN & address with contact Nos.	Category of person (Designated Persons/ Immediate Relatives etc.)	Securities held as on the date of Regulations coming into force		% of Shareholding	Open Interest of the Future contracts held as on the date of Regulations coming into force		Open Interest of the Option Contracts held as on the date of Regulations coming into force	
		Type of Security (for eg. – shares, warrants, convertible debentures etc.)	No.		Number of units (contracts lot size)	Notional value in Rupees	Number of units (contracts lot size)	Notional value in Rupees
1	2	3	4	5	6		7	

Signature:

Designation:

Date:

Place:

Note: Capitalized terms used in this Form-VII, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-VIII

**PROFORMA FOR DISCLOSURE OF DETAILS OF SECURITIES OF THE
COMPANY HELD BY THE DESIGNATED PERSON AS ON THE DATE OF
BECOMING DESIGNATED PERSONS.**

TO
The Compliance Officer
COAL INDIA LIMITED
10 N.S.Road
Kolkata – 700 001

Dear Sir,

I, a Designated Person furnish below the details of the Securities of the Company as an in my self name and/or in the name(s) of my Immediate Relatives in terms of regulation 7(1)(b) read with regulation 6 (2) of SEBI (Prohibition of Insider Trading) Regulation, 2015 as amended, and Clause 9.1 of the Code of Internal Procedures and Conduct for Prevention of Insider Trading in Securities.

Name of the company:

ISIN of the company:

Details of Securities of the Company held as on the date of becoming a Designated Person:

Name, PAN No., CIN/ DIN & Address with contact Nos.	Category of person (Designated Persons/ Immediate Relatives)	Date of becoming Designated Person	Securities held at the time of becoming Designated Person		% of Shareholding	Open Interest of the Future contracts held at the time of becoming Designated Person		Open Interest of the Option contracts held at the time of becoming a Designated Person	
			Type of security (Foreg. – shares, warrants, convertible debentures etc.)	No.		Number of units (contracts lotsize)	Notional value in Rupee terms	Number of units (contracts lotsize)	Notional value in Rupee terms
1	2	3	4		5	6		7	

Signature:

Designation:

Date:

Place:

Note: Capitalized terms used in this Form-VIII, unless defined herein, shall have the same meaning assigned to them in this Code.

COAL INDIA LIMITED
KOLKATA
FORM-IX

**PROFORMA FOR DISCLOSURE OF CHANGE IN HOLDING OF SECURITIES OF THE COMPANY TO BE
SUBMITTED BY THE DESIGNATED PERSONS.**

TO
The Compliance Officer
COAL INDIA LIMITED
10 N.S.Road
Kolkata – 700 001

Dear Sir,

I , a Designated Person furnish below the details of the transactions of my own / Immediate Relatives in the Securities of the Company during the period from to in terms of regulation 7(2) read with regulation 6 (2) of SEBI (Prohibition of Insider Trading) Regulation, 2015, as amended and Clause 9.1 of the Code of Internal Procedures and Conduct for Prevention of Insider Trading in Securities.

Name of the company:

ISIN of the company:

Name, Designation & Emp. No.:

Department:

Date of becoming the Designated Person of the Company:

Details of any change in holding of Securities of the Designated Persons and/or Immediate Relatives as per regulation 6 (2) of the Regulations

Name, PAN No., CIN/DIN, & address of Designated Person with contact Nos.	Category of person (Designated Persons/Im Relatives)	Securities held prior to acquisition / disposal		Securities acquired / disposed		% of shareholding	Date of allotment / acquisition of shares / sale of shares specify	Date of intimation to Company	Mode of acquisition (market purchase / public rights / preferential offer / off market / inter-se transfer etc.)	Trading in derivatives (Specify type of contract, Futures or Option etc.)				Exchange on which the trade was executed		
		Type of Security (foreg. - shares, warrants, convertible debenture etc.)	No.	Type of Security (foreg. - shares, warrants, convertible debenture etc.)	No.					Pre transaction	Post transaction	From	To		Buy	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17

1. I declare that I have complied with the requirement of minimum holding period as specified under Clause 8.6 of this Code.

Signature: _____

Designation: _____

Date: _____

Place:

Note: Capitalized terms used in this Form-IX, unless defined herein, shall have the same meaning assigned to them in this Code.

Persons, as identified by the Company with contact Nos.	2	Type of security (Foreign shares, warrants, convertible debentures etc.)	No.	Type of Security (Foreign shares, warrants, convertible debenture etc.)	No.	Pre transaction	Post transaction	From	To	preferential offer/ off market/ inter-sc transfer etc.)	Buy		Sell					
											Value	Number of units (contracts lot size)	Value	Number of units (contracts lot size)				
1			3		4	5	6	7	8	9	10	11	12	13	14	15	16	17

Name:

Signature:

Date:

Place:

Note: Capitalized terms used in this Form-X, unless defined herein, shall have the same meaning assigned to them in this Code.

1. I declare that I have complied with the requirement of minimum holding period as specified under Clause 8.6 of the Code.

Signature:

Date:

Place:

Note: Capitalized terms used in this Form-XI, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM-XII

**REGISTER OF DISCLOSURE OF SECURITIES OF THE COMPANY BY
DESIGNATED PERSONS AND SUCH CONNECTED PERSONS AS IDENTIFIED
BY THE COMPANY**

Name, Designation & Emp. No. of Designated Person/ Name of Connected Person:

Department (if applicable):

Date of becoming the Designated Person/Connected Person:

Initial Disclosure					
	Date of receipt of information	Number of Securities	Date of acquisition	Consideration value	Name of the Immediate Relative if Securities held in the name of Immediate Relative
1	2	3	4	5	6

Change in holding					
	Date of receipt of information	Number of Securities	Date of acquisition	Consideration value	Name of the Immediate Relative if Securities held in the name of Immediate Relative
7	8	9	10	11	12

Year of Disclosure				
Date of receipt of information	Number of Securities	Aggregate value	Name of the Immediate Relative if Securities held in the name of Immediate Relative	Remarks
13	14	15	16	17

Note: Capitalized terms used in this Form-XII, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA****FORM-XIII****REGISTER OF ALL THE DESIGNATED PERSONS**

Sl. No.	Name	Designation	Department	Emp. No.	Date of joining of the Company

Date of becoming Designated Person	Date of cessation as Designated Person	DP BEN ID or Folio No.	Remarks

Note: Capitalized terms used in this Form-XIII, unless defined herein, shall have the same meaning assigned to them in this Code.

**COAL INDIA LIMITED
KOLKATA**

FORM- XIV

APPLICATION FOR APPROVAL OF TRADING PLAN BY DESIGNATED PERSON

TO
The Compliance Officer
COAL INDIA LIMITED
10 N.S.Road
Kolkata – 700 001

Dear Sir,

I, Shri / Smt., a Designated Person of Coal India Limited intends to Trade in the Securities of Coal India Limited for the financial year as per details given below:

Name	
Emp. Code, if any	
Designation	
Department	
PAN	
Email id	

Details of proposed Trading Plan in Securities of Coal India Limited:

Name	Relation-ship	Opening balance as on 01.04.	Trading Plan details			Closing balance as on 31.03.....	DP Id. / Client Id. or Folio No.
			Date	Transaction (Buy / Sell)	Quantity		

UNDERTAKING

I understand that public disclosure of the above mentioned Trading Plan would be made by Coal India Limited by notification to the relevant stock exchange. I further declare as under:

1. The Trading Plan submitted is irrevocable and I shall mandatorily implement the Trading Plan, without being entitled to either deviate from it or to execute any Trade outside the scope of the Trading Plan.
2. I shall not entail commencement of Trading earlier than 6 (six) months from the public disclosure of the Trading Plan;
3. I shall not entail Trading for the period between the twentieth Trading Day prior to the last day of any financial period for which results are required to be announced by the Coal India Limited and the second Trading Day after the declaration of such financial results;
4. The Trading Plan submitted by me does not entail overlap of any period for which another Trading Plan submitted by me is already in existence;
5. I shall not entail Trading for market abuse.
6. I shall not commence with implementation of the Trading Plan if any Unpublished Price Sensitive Information is in my possession at the time of formulation of the Trading Plan and the same not become accessible to the public on a non-discriminatory basis at the time of implementation of such Trading Plan.

Date :

Signature :

Place :

Note: Capitalized terms used in this Form-XIV, unless defined herein, shall have the same meaning assigned to them in this Code.