



CORPORATION BANK

CORPORATION BANK CODE OF CONDUCT FOR PREVENTION OF INSIDER TRADING

Sl. No.	REVISED POLICY
1.	This Code of Conduct may be known as “ Corporation Bank Code of Conduct for Prevention of Insider Trading ”, hereinafter referred to as the “Code of Conduct”, which shall come into effect from 15/05/2015 including modifications made thereto from time-to-time, approved by the Board of Directors of the Bank vide Minute No. 31 dated 8 th March 2016.
2.	This Code of Conduct has been made pursuant to Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations, 2015 and may be modified by the Board of Directors of the Bank from time to time.
3.	Definitions:-
	For the purpose of this Code of Conduct:-
a.	“ Act ” means the Securities and Exchange Board of India Act, 1992 (15 of 1992)
b.	“ Bank ” means Corporation Bank, having its Head/ Corporate Office at Mangalore
c.	“ Board ” means the Board of Directors of Corporation Bank
d.	“ Compliance Officer ” means the Officer of the Bank designated so and reporting to the board and who is financially literate and is capable of appreciating requirements for legal and regulatory compliance under the Regulations and who shall be responsible for compliance of policies, procedures, maintenance of records, monitoring adherence to the rules for the preservation of unpublished price sensitive information, monitoring of trades and the implementation of the code of conduct under the overall supervision of the board.
e.	“ Connected Person ” means connected person as defined under Rule 2 (d) of the Regulations;



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f.	<p>“Designated Employee” means</p> <ul style="list-style-type: none"> i. All General Managers of the Bank. ii. All Executives and employees working in Financial & Risk Management Division, Chairman’s Secretariat, Managing Director & Chief Executive Officer’s Secretariat, Executive Director’s Secretariat, Board Secretariat, GM (FRMD) Secretariat, Investor Services Department , Core Division, Vigilance Division, at the Corporate Office and PROs of the Bank. iii. Any other Employee as may be designated by the Compliance Officer in consultation with the Chairman or Managing Director & Chief Executive Officer of the Bank considering the objectives of the Code of Conduct..
g.	<p>“Director” means Directors on the Board of the Bank including the Chairman, Managing Director & Chief Executive Officer and Executive Director(s).</p>
h.	<p>“Generally available information” means information that is accessible to the public on a non-discriminatory basis.</p>
i.	<p>“Immediate relative” means a spouse of a person, and includes parent, sibling, and child of such person or of the spouse, any of whom is either dependent financially on such person, or consults such person in taking decisions relating to trading in securities.</p>
j.	<p>“insider” means any person who is:</p> <ul style="list-style-type: none"> i) a connected person; or ii) in possession of or having access to unpublished price sensitive information;
k.	<p>“Insider Trading” is the subscribing, buying or selling or dealing in the securities of a listed Company by an Insider.</p>
l.	<p>“Officer” includes any Director or Company Secretary or any person in accordance with whose directions or instructions the Board of Directors of the Bank or any one or more of the Directors is or are accustomed to act including Statutory Central Auditors.</p>
m.	<p>“Regulations” means the Securities and Exchange Board of India Prohibition of Insider Trading) Regulations, 2015;</p>



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n.	<p>“Securities” includes:</p> <p>(i) Equity Shares, Preference Shares, securities, scrips, bonds, debentures, debenture stock or other marketable securities of a like nature, and</p> <p>(ii) such other instruments recognized as securities and issued by the Bank from time-to-time, but shall not include any kind of derivatives in the Securities of the Bank.</p>
o.	<p>“Specified Persons” the Directors, the Officers and the Designated Employees are collectively referred to as Specified Persons.</p>
p.	<p>“Trading” means and include subscribing, buying, selling, dealing or agreeing to subscribe, buy, sell, deal in any securities and ‘trade’ shall be construed accordingly.</p>
q.	<p>“Trading Window” means a trading period for trading in Bank’s securities as specified by the Bank from time to time.</p>
r.	<p>“Unpublished” means information which is not published by the Bank</p> <p>Explanation: Speculative Reports in print or electronic media shall not be considered as published information.</p>
s.	<p>“Unpublished Price Sensitive Information” means any information, which relates directly or indirectly to the Bank and which if published, is likely to materially affect the price of the securities of the Bank.</p> <p>Explanation: The following shall be deemed to be price sensitive information:</p> <ul style="list-style-type: none">• Declaration of Financial Results (quarterly, half-yearly and annual)• Declaration of dividends (interim and final)• Issue of securities by way of public/rights/bonus etc• Any major expansion plans• Amalgamation, mergers, takeovers and buy-back of securities• Disposal of whole or substantially whole of the undertaking• Any changes in policies, plans or operations of the Bank• Any other related information



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	Words and expressions used and not defined in this Code of Conduct but defined in the Companies Act, 2013 or Securities and Exchange Board of India Act, 1992, Securities Contract (Regulation) Act 1956 or Depositories Act, 1996 or any Rules or Regulations made thereunder, shall have the same meanings respectively assigned to them in that Acts / Rules / Regulations.
4.	<p>Compliance Officer</p> <p>a. The Company Secretary of the Bank, who reports to the Chairman/Managing Director & Chief Executive Officer /Executive Director for compliance of the Code, is the Compliance Officer. The Compliance Officer shall provide reports to the Chairperson of the Audit Committee, if any, or to the Chairman/Managing Director & Chief Executive Officer/Executive Director at such frequency as may be stipulated by the Board of Directors.</p> <p>b. The Compliance Officer shall be responsible for setting forth policies, procedures, monitoring and adherence to the rules for the preservation of “Unpublished Price Sensitive Information”, pre-clearance of trades of (i) Directors (ii) Designated Employees (directly or through respective department heads as decided by the Bank) and (iii) their immediate relatives, monitoring of trades and implementation of the Code of Conduct under the overall supervision of the Board of Directors of the Bank.</p> <p>c. In the performance of his/her duties, the Compliance Officer shall have access to all information and documents relating to the Securities of the Bank.</p> <p>d. The Compliance Officer shall act as the focal point for dealings with SEBI in connection with all matters relating to the compliance and effective implementation of the Regulations and this Code.</p>



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DUTIES OF THE COMPLIANCE OFFICER:

The Compliance Officer shall be responsible for:

- i. Prescribing procedures for various activities referred to in the Code.
- ii. Monitoring adherence to the rules for the preservation of "*Price Sensitive Information*".
- iii. Grant of pre-dealing approvals to the Specified Persons for dealings in the Bank's Securities by them / their immediate relatives and monitoring of such dealings.
- iv. Upon approval of the trading plan, the compliance officer shall notify the plan to the stock exchanges on which the securities are listed.
- v. Implementation of this Code under the general supervision of the Board of Directors.

The Compliance Officer shall maintain a record (either manual or in electronic form) of the Specified Persons and their immediate relative (see Annexure-1) and changes thereto from time-to-time.

The Compliance Officer shall assist all the Employees in addressing any clarifications regarding the Regulations and this Code.

The Compliance Officer shall place status reports before the Chairperson of the Audit Committee, if any or the Chairman or **Managing Director & Chief Executive Officer**, detailing dealings in the Securities by the Specified Persons and their immediate relatives along with the documents that such persons had executed in accordance with the pre-dealing procedure prescribed under the Code on a quarterly basis.

5. This Code of Conduct will be applicable to all the Specified Persons as defined under para 3(o) hereinabove.

6. **COMMUNICATION OR PROCUREMENT OF PRICE SENSITIVE INFORMATION:**



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	<p>a. No Insider shall communicate, provide, or allow access to any unpublished price sensitive information, relating to Bank or securities listed or proposed to be listed, to any person including other insiders except where such communication is in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.</p> <p>b. No Specified Person shall procure from or cause the communication by any insider of unpublished price sensitive information, relating to Bank or securities listed or proposed to be listed, except in furtherance of legitimate purposes, performance of duties or discharge of legal obligations.</p>
7.	<p>PRESERVATION OF UNPUBLISHED PRICE SENSITIVE INFORMATION:</p> <p>No Specified Person shall pass on any price sensitive information to any person directly or indirectly by way of making a recommendation for the purchase or sale of securities of the Bank.</p>
	<p><u>NEED TO KNOW:</u></p> <p>‘Unpublished Price Sensitive Information’ shall be handled on a ‘need to know’ basis.</p> <p>a. No Specified Person shall communicate any unpublished price sensitive information to any person except those within the Bank who need the information to discharge their legitimate duty or for other legitimate purposes and whose possession of such information will not give rise to a conflict of interest or appearance of misuse of the information.</p> <p>b. No Specified Person shall communicate or counsel any unpublished price sensitive information to any person who while in possession of such unpublished price sensitive information shall not deal in the securities of the Bank.</p> <p>c. All the Specified Persons will have to keep the files containing confidential material relating to price sensitive information fully secured. Computer files must be kept with adequate security of login and password, etc.</p> <p>d. All non-public information directly received by any Specified Person should be reported to the head of his/her department/Compliance Officer immediately.</p>



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8.	<p>PREVENTION OF MISUSE OF UNPUBLISHED PRICE SENSITIVE INFORMATION</p> <p>No insider shall trade in securities that are listed or proposed to be listed on a stock exchange when in possession of unpublished price sensitive information except in accordance with the provision of this Code.</p> <p>All Specified Persons shall be subject to certain trading restrictions as enumerated below.</p>
9.	<p>Trading Plans</p> <p>a. An insider shall be entitled to formulate a trading plan (as per format in Annexure K) and present it to the Compliance Officer for approval and public disclosure pursuant to which trades may be carried out on his behalf in accordance with such plan.</p> <p>b. Such trading plan shall:-</p> <ul style="list-style-type: none">i. not entail commencement of trading on behalf of the insider earlier than six months from the public disclosure of the plan;ii. 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 issuer of the securities and the second trading day after the disclosure of such financial results;iii. entail trading for a period of not less than twelve months;iv. not entail overlap of any period for which another trading plan is already in existence;v. set out either the value of trades to be effected or the number of securities to be traded along with the nature of the trade and the intervals at, or dates on which such trades shall be effected; andvi. not entail trading in securities for market abuse. <p>c. The Compliance Officer shall review the trading plan to assess whether the plan would have any potential for violation of these regulations and shall be entitled to seek such express undertakings as may be necessary to enable such assessment and to approve and monitor the implementation of the plan.</p> <p>d. The trading plan once approved shall be irrevocable and the insider shall mandatorily have to implement it, without being entitled to deviate from it, or to execute any trade in the securities outside the scope of the trading plan.</p>



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		<p>Provided that the implementation of the trading plan shall not be commenced if any unpublished price sensitive information in possession of the insider at the time of formulation of the plan has not become generally available at the time of the commencement of implementation and in such event the Compliance Officer shall confirm that the commencement ought to be deferred until such unpublished price sensitive information becomes generally available information so as to avoid a violation of sub-regulation (1) of regulation 4 of the Regulations.</p> <p>e. Upon approval of the trading plan, the compliance officer shall notify the plan to the stock exchanges on which the securities are listed.</p>
10.	A.	<p>Trading Window</p> <p>The Trading window will be closed before 5 days prior to the happening of the following events and shall remain closed upto 48 hours after the publication of the price sensitive information. The trading window may be further closed by the Bank during such time in addition to the above period as it may deem fit from time to time upon revision in event dates.</p>
		i. Declaration of Financial results (quarterly, half-yearly and annual).
		ii. Declaration of dividends (interim and final)
		iii. Issue of securities by way of public/rights/bonus etc.
		iv. Any major expansion plans.
		v. Amalgamation, mergers, takeovers and buy-back of securities
		vi. Disposal of whole or substantially whole of the undertaking
		vii. Any changes in policies, plans or operations of the Bank
		viii. Any other related information
	B.	<p>Restriction on Trading:-</p> <p>No Specified Person including their immediate relatives shall conduct any dealing in the securities of the Bank during the closure of the Trading Window.</p>



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C	<p>Pre-clearance of Trades:</p> <p>The Specified Person and their immediate relatives, intending to deal in the securities of the Bank exceeding the threshold limit of 25000 securities per transaction or up to Rs. 10 Lakhs (market value) or 1% of total shareholding, whichever is less, and also for dealings by the Specified Person and their immediate relatives whose total holding exceeds 25000 securities or up to Rs. 10 Lakhs (market value) or 1% of total shareholding, whichever is less, will have to take pre-dealing approval from the Compliance Officer; However, no Specified person shall be entitled to apply for pre-clearance of any proposed trade if such Specified person is in possession of unpublished price sensitive information even if the trading window is not closed and hence he shall not be allowed to trade.</p>
	<p>i. An application to the Compliance Officer for pre-clearance of the transaction along with the following undertaking:</p> <ul style="list-style-type: none">a. That the Specified Person do not have any access or has not received “price sensitive information” upto the time of signing the undertaking.b. That in case the Specified Person has access to or receives “price sensitive information” after signing of the undertaking but before the execution of the transaction, he/she shall inform the Compliance Officer of the change in his position and that he/she would completely refrain from dealing in the securities of the Bank till the time such information becomes public.c. That he/she has not contravened the code of conduct for prevention of insider trading as notified by the Bank from time to time.d. That he/she has made a full and true disclosure in the matter. <p>No Specified Person shall at any time, enter into and take positions in derivative transactions in the Securities of the Bank.</p>



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	<p>Pre-dealing Procedure:</p> <p>For the purpose of obtaining a <i>pre-dealing</i> approval, the concerned Specified Person shall make an application in the prescribed form (see Annexure B) to the Compliance Officer. (The Compliance Officer should submit his/her application for <i>pre-dealing</i> approval to the Managing Director & Chief Executive Officer). Such application should be complete and correct in all respects and should be accompanied by such undertakings (see Annexure C) declarations, indemnity bonds and other documents/papers as may be prescribed by the Compliance Officer from time-to-time. Such application for <i>pre-dealing</i> approval with enclosures must necessarily be sent through electronic mail followed by hard copies of all the documents. The e-mail for this purpose should be sent to the address specifically dedicated for this purpose isd@corpbank.co.in</p>
	<p>Approval:</p> <p>(a) The Compliance Officer shall consider the application made as above and shall approve it forthwith preferably on the same working day but not later than the next working day unless he is of the opinion that grant of such an approval would result in a breach of the provisions of this Code, or the Regulations. Such approval / rejection would be conveyed through electronic mail and if no such approval / intimation of rejection is received within a period of 2 (two) working days, the applicant can presume that the approval is deemed to be given.</p>
	<p>(b) Every approval letter shall be issued in such format (see Annexure D) as may be prescribed by the Bank from time-to-time.</p> <p>Every approval shall be dated and shall be valid for a period of 1 (one) week from the date of approval.</p>
	<p>(c) In the absence of the Compliance Officer due to leave etc., the Officer designated by him/her from time-to-time shall discharge the function referred to in (a) above.</p>
ii.	Only after receiving the clearance, the transaction should be carried on.



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	iii	<p>Completion of Pre-cleared Dealing:</p> <p>(a) All the Specified Persons shall ensure that they / their immediate relatives complete execution of every pre-cleared deal in the Bank's Securities as prescribed above and no later than 1 (one) week from the date of the approval. The Specified Person shall file within 2 (two) Working Days of the execution of the deal, the details of such deal, with the Compliance Officer in the prescribed form (see Annexure E). In case the transaction is not undertaken, a report to that effect shall be filed (see Annexure E).</p>
		<p>However, if the said pre-cleared deal results in a change in the holding from the last disclosure by Rs. 10 lacs market value or 25,000 Securities or 1% of total shareholding/voting rights of the Bank, whichever is lower, then in addition to filing the form as per Annexure E, such Specified Person shall file, the details of such deal with the Compliance Officer and with the stock exchange where the Securities are listed, in the prescribed form (see Annexure H).</p>
		<p>If a deal is not executed by the concerned Specified Person / Immediate relative pursuant to the approval granted by the Compliance Officer within 1 (one) week, the Specified Person shall apply once again to the Compliance Officer for <i>pre clearance</i> of the transaction covered under the said approval.</p>
	iv	<p>Holding Period:</p> <p>All Specified Persons who buy or sell any number of securities of the Bank shall not enter into an opposite transaction i.e. sell or buy any number of securities during the next six months following the prior transaction and shall not take positions in derivative transactions in the securities of the bank at any time.</p> <p>In case of subscription in the primary market (initial public offers), all directors/designated employees shall hold their investment for a minimum period of 30 days after allotment.</p> <p>In case the sale of securities is necessitated by personal emergency, the holding period may be waived by the Compliance Officer after recording his reasons in this regard. It may however, be noted that in terms of the Regulations, no such sale will be permitted when the Trading Window is closed.</p>



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		<p>Advice regarding Pre-Clearance:</p> <p>In case of doubt, the Specified Person shall check with the Compliance Officer or the Officer designated by him/her from time-to-time whether the provisions relating to <i>pre-clearance</i> are applicable to any proposed transaction in the Bank's Securities.</p>
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11.	REPORTING REQUIREMENT:	
	A.	Initial Disclosure:
		All the specified persons shall disclose to the Bank in Annexure – G1 (Form A) the number of securities or voting rights held and position taken in derivatives by such person and his immediate relatives, within 30 days (one time) of the Regulation coming into effect ie 15.05.2015. Further, all KMP, Directors and Designated employees (specified persons) shall disclose their holding of securities [in Annexure G2 (Form B)] , within seven days of his/her appointment.
	B	Continual Disclosure:
	i	All the Specified Persons shall disclose to the bank in Annexure –H (Form C) , the total number of securities or voting rights held and change in shareholding or voting rights, if there has been a change in such holdings of such person and his immediate relatives from the last disclosure made and the change exceeds Rupees 10 lacs in value or 25000 securities or 1% of the total shareholding or voting rights, whichever is lower.
	i	The continual disclosure as stated in Para B(i) above shall be made to the Bank within two trading days of
	i	a. the receipt of intimation of allotment of securities or
	.	b. the acquisition or sale of securities or voting rights, as the case may be.
	C.	Yearly Disclosure
		The Specified Person shall submit to the Bank, Yearly statement, indicating the details of the securities of the “Bank” held by him and his immediate relatives, as at the end of every year within one month from the date of completion of each year, in Annexure-I.



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	<p>Disclosures by other connected persons: The Bank at its discretion requires any other connected person or class of connected persons to make disclosures of holdings and trading in securities of the Bank (as per format in Annexure J (Form D)) annually.</p>
D.	<p>The Compliance Officer shall maintain records of the disclosures forms given by the Specified Persons for a minimum period of three years. The compliance officer shall place before Chairman/Managing Director & Chief Executive Officer/ED of the Bank on a monthly basis all the details of the dealing in the securities by the Specified Persons and the Banking documents that such persons had executed under the pre-dealing procedure as envisaged in this code.</p>
12.	<p>Disclosure by the Bank to the Stock Exchanges:</p> <p>Bank shall disclose to all the Stock Exchanges where the securities of the Bank are listed, the information received under sub-Para (A)(i) and B(i) of Clause 11 hereinabove, within 2 working days of receipt of the information.</p> <p><u>E filing</u></p> <p>The disclosure required under this code may also be made through electronic filing in accordance with the system devised by the stock exchange.</p> <p>The Compliance Officer shall maintain records of all the declarations /disclosures in the appropriate forms given by the Directors/Designated Employees for a minimum period of five years.</p>
13.	<p>Interpretation/clarification:</p> <p>In case any difficulty or doubt arises in the interpretation of this 'Code of Conduct', the decision of the Chairman / Managing Director & Chief Executive Officer/Executive Director of the Bank shall be final.</p>



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14. PENALTY AND PUNISHMENT FOR CONTRAVENTION OF CODE OF CONDUCT:

- a.** Any Director/Designated employee of the Bank and any other person considered as an Insider who deals in securities or communicates any price sensitive information, in violation/contravention of this Code may be penalised by the Bank. The Bank may take appropriate action against such person after giving reasonable opportunities of being heard which action may include disciplinary action viz., wage freeze, suspension, ineligibility for future participation in employee stock option plans etc.,
- b.** Such a person shall also be subject to any action that may be taken by SEBI for violation of the Code Under section 11, 11B, 11D, chapter VI A and Section 24 of the Securities and Exchange Board of India Act-1992.
- c.** In addition to the action that may be taken by the Bank, the persons violating these Regulations will also be subject to action by SEBI as per SEBI Act. Under Section 15G of the SEBI Act, any Insider who indulges in insider trading in contravention of Regulation 3 is liable to a penalty of Rs.25 crores or three times the amount of profits made out of insider trading, whichever is higher. Under Section 24 of the SEBI Act, anyone who contravenes the Regulations is punishable with imprisonment for a maximum period of ten years or with fine which may extend to Rs.25 crores or with both. In case of any violation, the Bank shall inform SEBI accordingly.
- d.** If any person fails to pay the penalty imposed by the Adjudicating Officer or fails to comply with any of his directions or orders, he shall be punishable with imprisonment for a term which shall not be less than one month, but which may extend to ten years or with fine, which may extend to Rs.25 crores or with both.
- e.** Apart from the above, to protect the interests of investors and in the interests of the securities market and for due compliance with the provisions of SEBI Act and the Regulations made thereunder, SEBI may issue orders prohibiting, the insider or restraining the insider from dealing such transactions in securities as null and void. Further SEBI may issue directions to the persons who acquired the securities in violation of the Regulations to deliver the securities back to the seller or to transfer proceeds equivalent to the cost price or market price of securities whichever is higher to the investor protection fund of a recognised stock exchange.
- f.** Any person aggrieved by an order of the SEBI under these regulations may prefer an appeal to the Securities Appellate Tribunal.



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15.	<p>Penalty/Punishment FOR INSIDER TRADING</p> <p>a. Any Insider/Director/Designated Employee who,</p> <p>(i) either on his own behalf or on behalf of any other person, deals in securities of the Bank on the basis of any unpublished price sensitive information; or</p> <p>(ii) communicates any unpublished price sensitive information to any person, with or without his request for such information except as required in the ordinary course of business or under any law; or</p> <p>(iii) counsels, or procures for any other person to deal in any securities of the Bank in contravention of this Code on the basis of unpublished price sensitive information, <u>shall be liable to a penalty, as specified in these Regulations.</u></p>
16.	<p>INFORMATION TO SEBI IN CASE OF VIOLATION:</p> <p>The Bank/ Compliance Officer shall inform SEBI of all violations of Regulations observed by them.</p>
17.	<p>CLARIFICATIONS:</p> <p>For all queries concerning this Code, the Directors, Officers and Employees may please contact the Compliance Officer.</p>
18.	<p>All Directors / Designated employees would be provided with a copy of this CODE. They would need to give an undertaking that, they have read and understood the provisions thereof and would abide by them.</p>
19.	<p>I. GENERAL:</p> <p>a. In the event of any amendment in the Securities & Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 or issuance of any Clarification relating to prohibition of insider trading, such amendment/Clarification shall be deemed to be adopted by the Bank and in case of any conflict between the provisions of the Code and SEBI (Prohibition of Insider Trading), Regulations, 2015, the latter shall prevail.</p> <p>b. A copy of the Code of Conduct is placed on the Bank's website for the reference of the specified persons.</p> <p>c. Any modification in the Code of Conduct or any schedule shall be intimated to the specified persons.</p>



CORPORATION BANK
ANNEXURE -B

(For Internal use only)

To,
The Compliance Officer
Corporation Bank

Dear Sir,

APPLICATION FOR PRE-DEALING APPROVAL IN SECURITIES OF THE BANK ABOVE THRESHOLD LIMIT

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Code of Conduct for Prevention of Insider Trading, I seek approval for purchase / sale / subscription of the securities (..... share(s) / Debenture(s) / Warrant(s) of the Bank as per the details given below:

Name of Designated Employee:		
Surname	First Name	Middle Name
Reporting to:		Date of Appointment:
Employee No.	Grade:	
Department:	Location:	
Nature of Transaction (please tick)		Buy / Sell / Subscribe
Name of the Proposed Buyer / Seller (applicable only in case off market trade)		
No. of Securities (intended to be purchased sold / subscribed)		_____ Shares
Date of Purchase / allotment (applicable in respect of sale of Securities only)		
Previous approval no. and date for purchase / allotment (applicable only in respect of sale of Securities for which an earlier purchase sanction was granted by the Compliance Officer)		
DP ID / Client ID of the account / Folio No. from which the Securities would be credited/debited		DP ID _____ Client ID _____ Folio No. _____
No. of Securities held in the said account		_____ Shares

I enclose herewith the Undertaking duly signed by me.

Yours faithfully,

(Signature)

Date

Note:

- 1) This application has to be necessarily submitted through internal e-mail to “Compliance Officer” and has to be followed by a hard copy within 48 hours.
- 2) The Undertaking forms an integral part of this application and has to be attached along with this application.



CORPORATION BANK
ANNEXURE -C

UNDERTAKING TO BE SUBMITTED ALONGWITH APPLICATION FOR PRE-CLEARANCE

To,
The Compliance Officer
Corporation Bank

Dear Sir,

I, _____ (name and designation) resident of _____, is desirous of dealing in _____ (Nos.) of _____ (description of security) of the Bank as mentioned in my application dated _____ for pre-clearance of the transaction.

As required by the Code for Prevention of Insider Trading (“the Code”) of the Bank, I hereby state as follows:

- a) I have no access to nor do I have any information that could be construed as “Price Sensitive Information” as defined in the Code up to the time of signing this undertaking.
- b) In the event that I have access to or received any information that could be construed as “Price Sensitive Information” as defined in the Code, after the signing of this Undertaking but before executing the transaction for which approval is sought, I shall inform the Compliance Officer of the same in writing and shall completely refrain from dealing in the securities of the Bank until such information becomes public;
- c) I have not contravened any provisions of the Code in force as of date;
- d) I declare that the minimum holding period stipulated in the Code of the Bank with respect to the securities proposed to be sold has been complied with.
- e) I undertake to submit the necessary report within two days of execution of the transaction/ a ‘NIL’ report if the transaction is not undertaken.
- f) I hereby agree to indemnify and keep the Bank and its Board indemnified from and against all and any penalties/fines that may be imposed on them by the SEBI and / or any other Statutory Authorities as a result of violation by me of the Regulation and the Code prescribed by the Bank.
- g) I have made full and true disclosure in the above matter.

Date:

Signature :

Name :

Employee No. :



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ANNEXURE -D
CORPORATION BANK
FORMAT FOR PRE-DEALING APPROVAL LETTER

Date:
To,
Mr. / Ms:
Employee No:
Designation:
Location:

Please quote following details for
future correspondence:
Approved on:
Sr. No.:
Valid upto

Re: Pre-dealing approval / disapproval on application submitted through Email dated _____ / Letter dated

Dear Mr. /Ms.

With reference to your above application seeking approval for undertaking certain transactions in Securities of the Bank detailed therein please be informed that you are hereby authorized / not authorized to undertake the transaction(s) as detailed in your said application.

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 week from the date of this approval letter. If you do not execute the approved transaction on or before this date you would have to seek fresh pre-dealing approval before executing any transaction / deal in the Securities. Further, you are required to file the details of the executed transactions in the attached format within 2 days from the date of transaction / deal. In case the transaction is not undertaken a "Nil" report requires to be submitted.

Yours truly,

Compliance Office

Encl. Format for submission of details of transaction



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ANNEXURE -E
CONFIRMATION OF DEAL

(To be submitted within 2 days of transaction / Dealing in Securities of the Bank)

To,
The Compliance Officer
Corporation Bank

Dear Sir,

Ref: Your Approval letter No. _____ dated _____ and Details of Pre-Approved Transaction

I hereby inform you that I

€ have not bought / sold / subscribed any Securities of the Bank

€ have bought / sold / subscribed to the _____ Shares / Debentures / Warrants as mentioned below on _____

Name of holder	**First / Joint holder	No. and Type of Securities dealt with	Bought / Sold / Subscribed	DP ID / Client ID or Folio No. where the Securities will be debited or credited	Price (Rs.)

**indicate "F" in case of first holder or "J" in case of joint holder

I hereby undertake to preserve, for a period of 3 years and produce to the Compliance Officer / SEBI any of the following documents pertaining to the above-mentioned securities:

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

I declare that the above information is correct and that no provisions of the Bank's Insider Trading Code and / or other applicable laws / regulations have been contravened for effecting the above said transaction(s).

I agree to hold the above Securities for a minimum period of 6 months. However, should I desire / need to sell these Securities; I shall approach the Bank (Compliance Officer) for necessary approval.

Yours truly,

Signature

Name :

Date :



CORPORATION BANK
ANNEXURE 'F'

Application for Waiver of Minimum Holdings Period

Date:

To,
The Compliance Officer
Corporation Bank

Dear Sir,

I request you to grant me waiver of the minimum holding period of 6 months as required under Code for Prevention of Insider Trading with respect to the following securities of the Bank held by me:

Name	DP ID/Client ID No. or Folio No.	Type of Security	No. of Securities	Date of Acquisition

The reasons for seeking this waiver are: (mention reasons)

Thanking you,

Yours faithfully,

.....

(Name)

(Designation)

(Department)



CORPORATION BANK
ANNEXURE – G1

To,
The Compliance Officer/Company Secretary
Investor Services Department
Corporation Bank,
Head Office, Mangaluru

Received on
Time
Checked by
Verified by
Processed by

Dear Sir,

I* have been appointed as _____ (designation) of the Bank on _____ (date of appointment) and have thus become a KMP/Director/Officer/Designated Employee** within the meaning of the Code of Prevention of Insider Trading of the Bank;

I* have read the Corporation Bank's Code of Conduct for Prevention of Insider Trading. I hereby undertake to abide by the same. In particular I hereby undertake:

- i)** Not to disclose any price sensitive information or information this is not in the public domain to any person or outside agency.
- ii)** Not to deal in the Bank's securities, either directly or indirectly, without the express approval of the Compliance Officer to the extent that the same is not in consonance with the above Codes.
- iii)** Not to enter into an opposite transaction i.e. sell or buy during six months for the prior transaction of buy or sell in number of shares of the Bank.
- iv)** Not to take possession in derivative transactions in shares of the Bank of any time.



CORPORATION BANK

My personal details are as under: **(in Block Letters Only)**

Name of Designated Employee/Director:		
Surname	First Name	Middle Name
Reporting to :		Date of Appointment:
Employee No.	Grade:	
Department	Location :	Date of Birth
Contact details	Tel. Nos. with STD Code	Mobile
	(O)	
	(R)	Email

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Corporation Bank's Code of Conduct for Prevention of Insider Trading, I hereby declare that I have the following Immediate Relative(s):

Sr. No.	Name of the Immediate Relative (in Block Letters only)	Relationship with employee/Director

I*hereby declare that I/my immediate relatives

- do not hold any Securities of the Bank as on date
- That details of securities held by me and the securities held by my Immediate Relative in the Bank are furnished below:



CORPORATION BANK

FORM A

**Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015
[Regulation 7 (1) (a) read with Regulation 6 (2)]**

Name of the Bank: CORPORATION BANK
ISIN of the Bank: INE112A01023

Details of Securities held by Promoter, Key Managerial Personnel (KMP), Director and other such persons as mentioned in Regulation 6(2)

Name, PAN No.CIN/DIN & address with contact No's	Category of Person (Promoters/KMP/Directors /Immediate relative/others etc)	Securities held as on the date of regulation coming into force		% of Shareholding	Open Interest of the Future contracts held as on the date of regulation coming into force		Open Interest of the Option Contracts held as on the date of regulation coming into force	
		Type of security (For ex: Shares, Warrants, and Convertible Debentures etc.)	No.		Number of units (contracts * lot size)	Notional value in Rupee terms	Number of units (contracts * lot size)	Notional value in Rupee terms

Note: "Securities" shall have the meaning as defined under regulation 2(1) (i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Signature:

Designation:

Date:

Place:



CORPORATION BANK

ANNEXURE – G2

To,
The Compliance Officer,
Investor Services Department
Corporation Bank.

Received on
Time
Checked by
Verified by
Processed by

Dear Sir,

I* have been appointed as _____ (designation) of the Bank on _____ (date of appointment) and have thus become a KMP/Director/Officer/Designated Employee** within the meaning of the Code of Prevention of Insider Trading of the Bank;

I* have read the Corporation Bank's Code of Conduct for Prevention of Insider Trading. I hereby undertake to abide by the same. In particular I hereby undertake:

- i) not to disclose any price sensitive information or information which is not in the public domain to any person or outside agency.
- ii) Not to deal in the Bank's securities, either directly or indirectly, without the express approval of the Compliance Office to the extent that the same is not in consonance with the above Codes.
- iii) Not to enter into an opposite transaction i.e. sell or buy during six months for the prior transaction of buy or sell in number of shares of the Bank.
- iv) Not to take possession in derivative transactions in shares of the Bank of any time.



CORPORATION BANK

My personal details are as under: **(in Block Letters Only)**

Name of Designated Employee:		
Surname	First Name	Middle Name
Reporting to :		Date of Appointment:
Employee No.	Grade:	
Department	Location :	Date of Birth
Contact details	Tel. Nos. with STD Code	Mobile
	(O)	
	(R)	Email

Pursuant to the provisions of SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Bank of India's Code of Conduct for Prevention of Insider Trading, I hereby declare that I have the following Immediate Relative (s):

Sr. No.	Name of the Immediate Relative (in Block Letters only)	Relationship with employee

I*hereby declare that I/my immediate relatives

\$ do not hold any Securities of the Bank as on date

\$ That details of securities held by me and the securities held by my Immediate Relative in the Bank are furnished below:



CORPORATION BANK

FORM B

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 [Regulation 7 (1) (b) read with Regulation 6(2)]

Name of the company: _____

ISIN of the company: _____

Details of Securities held on appointment of Key Managerial Personnel (KMP) or Director or upon becoming a Promoter of a listed company and other such persons as mentioned in Regulation 6(2).

Name, PAN No., CIN/DIN & Address with Contact nos.	Category of Person (Promoters/ KMP / Directors/immediate Relatives/others etc.)	Date of appointment of Director /KMP OR Date of becoming Promoter	Securities held at the time of becoming Promoter/appointment of Director/KMP		% of Shareholding		Open Interest of the Future contracts held at the time of becoming Promoter/ appointment of Director/KMP	
			Type of security (For eg.- Shares, Warrants, Convertible Debentures etc.)	NO	Number of units (contracts * lot size)	Notional value in Rupee terms	Number of units (contracts * lot size)	Notional value in Rupee Terms

The above table shall be applicable with suitable modifications to disclose for positions taken in Derivative also.

I declare that the information furnished above is complete and correct.

I* hereby undertake to inform the changes in the above details in my holdings of Securities of the Bank from time-to-time. I hereby declare that this declaration will be renewed by me on an annual basis on or before April 15th of every year.

Signature : _____

Name : _____

Office : _____

Date : _____

Note: This undertaking has to be duly filled, signed and submitted to the Compliance Officer.

*I include immediate relatives also
**delete what is not applicable



CORPORATION BANK

ANNEXURE 'H'

CHANGE IN SHAREHOLDING OF SPECIFIED PERSONS AND THEIR IMMEDIATE RELATIVES

To,
The Compliance Officer
Corporation Bank

Dear Sir,

I,....., hereby declare that pursuant to the transaction(s) undertaken by me, there has been a change in the number/type of securities held by me and the securities held by my immediate relative family members in the Bank as per details furnished below, and such change exceeds Rs.5 lacs in value (i.e. market value) or 25,000 shares or 1% of the total shareholding or voting rights in the Bank.



CORPORATION BANK

FORM C

**Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015
[Regulation 7 (2) read with Regulation 6(2)]**

Name of the company: _____

ISIN of the company: _____

Details of change in holding of Securities of Promoter, Employee or Director of a listed company and other such persons as mentioned in Regulation 6(2)

Name, PAN No., CIN / DIN & address of Promoter / Employee / Director with contact no.	Category of person (Promoters /KMP/ Directors/ Immediate relatives/ others etc.)	Securities held prior to acquisition /disposal		Securities acquired / Disposed		% shareholding		Date of receipt of allotment advice/ acquisition of shares/ sale of shares (specify)		Date of intimation to Bank	Mode of acquisition (market purchase/ public rights/ preferential offer/off market/ Inter-se transfer etc)	Trading in derivatives (Specify type of contract, Futures or Options etc)				Exchange on which the trade was executed			
		Type of security (For eg.- Shares, Warrants, Convertible Debentures etc.)	No.	Type of security (For eg.- Shares, Warrants, Convertible Debentures etc.)	No.	Pre transaction	Post-Transaction	From	To			Type of contract	Contract specifications	Buy	Sell				
												Notional Value	No. of units (contract * lot size)	Value	No. of units (contracts * lot size)				

I/We declare that I/We have complied the requirement of the minimum holding period of six months with respect of the shares sold

I declare that the information furnished herein is completed and correct.

Signature: _____

Date: _____



CORPORATION BANK

Other Particulars

Name	Relation	Securities held as on		Securities Acquired during the period		Securities sold during the period			Balance Holding as on Half-year/year ended on_____	DPID/ Client ID No. or Folio No.
		No	Date of disclosure to the Co.	No.	Date of disclosure to the Co.	No.	Date of Disclosure to the Co.	Date of pre-clearance		

5. I confirm that I had not entered into opposite transaction i.e. sell or buy any number of shares the Bank during the next six months following the prior transactions of buying or selling any shares of the Bank and had also not taken position in derivative transactions in the shares of the Bank during the financial year. OR

6. I have entered into such transactions. The details of which are annexed herewith

* "I" include immediate relatives also.

Signature of Specified Person

Name:

Designation:

Office:

Note:

- I. Employees must include shares traded by him and his / her immediate relatives. Immediate relatives would include spouse, dependent children, dependent parents and such other family members / relative of the specified person as may be notified by him / her
- II. This form is to be filled in for each immediate relative separately signed by specified person. If any trading has taken place.
- III. Delete whichever is not applicable.



CORPORATION BANK

ANNEXURE-J

Disclosures by other connected persons

Form D (Indicative format)

Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

Regulation 7(3) – Transactions by Other connected persons as identified by the company

Name, PAN No., CIN/DIN & address of connected persons, as identified by the Bank with contact no's	Connected person with Bank)	Securities held prior to acquisition/disposal		Securities acquired/Disposed		% of shareholding		Date of allotment advice/ 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 Options etc)				Exchange on which the trade was executed
		Type of security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No.	Type of Security (For eg. – Shares, Warrants, Convertible Debentures etc.)	No.	Pre transaction	Post transaction	From	To			Buy		Sell		
												Value	Number of units (contracts * lot size)	Value	Number of units (contracts * lot size)	

Note: "Securities" shall have the meaning as defined under regulation 2(1)(i) of SEBI (Prohibition of Insider Trading) Regulations, 2015.

Name:

Signature:

Date:

Place:



CORPORATION BANK

ANNEXURE-K

Received on
Time
Checked by
Verified by
Processed by
Approved on

For Internal use only

To,
The Compliance Officer,
Investor Services Department
Corporation Bank

Dear Sir,

APPLICATION FOR APPROVAL OF TRADING PLANS IN SECURITIES OF THE BANK

I submit herewith my Trading Plan for the next twelve months:

Name of Designated Employee:		
Surname	First Name	Middle Name
Reporting to of Appointment		Date
PF No.	Grade:	
Department:	Location:	



CORPORATION BANK

<p>Nature of Transaction (please tick)</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p>	<p>Buy/Sell/Subscribe/Pledge</p>
<p>Name of the Proposed Buyer / Seller (applicable only in case off market trade)</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p> <p>For the month of _____</p>	



CORPORATION BANK

No. of Securities (intended to be purchased sold / subscribed For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____	_____ Shares
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------

Date of Purchase / allotment (applicable in respect of sale of Securities only)	For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____ For the month of _____	
---------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--



CORPORATION BANK

Previous approval no. and date for purchase / allotment (applicable only in respect of sale of Securities for which an earlier purchase sanction was granted by the Compliance Officer	
DP ID / Client ID of the account / Folio No. from which the Securities would be credited/debited	DP ID _____ Client ID _____ Folio No. _____
No. of Securities held in the said account	_____ Shares

Pursuant to the SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Code of Conduct for Prevention of Insider Trading, I seek approval for the above Trading Plan.

I undertake and agree that the above Trading Plan shall:

- i) Not entail commencement of trading on behalf of the insider earlier than six months from the public disclosure of the plan;
- ii) 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 issuer of the securities and the second trading day after the disclosure of such financial results;
- iii) Entail trading for a period of not less than twelve months;
- iv) Not entail overlap of any period for which another trading plan is already in existence;
- v) set out either the value of trades to be effected or the number of securities to be traded along with the nature of the trade and the intervals at, or dates on which such trades shall be effected; and
- vi) Not entail trading in securities for market abuse.

Yours faithfully,

(Signature)

Date

Note

1. This application has to be necessarily submitted through internal e-mail to “Chief Compliance Officer” and has to be followed by a hard copy within 48 hours.
2. The Undertaking forms an integral part of this application and has to be attached along with this application.