

June 15, 2022

To

BSE Limited,

Listing Department, P J Towers,
Dalal Street,
Mumbai – 400 001.

Scrip Code: 540679

Through: BSE Listing Center

National Stock Exchange of India Limited,

Listing Department, "Exchange Plaza",
Bandra-Kurla Complex, Bandra (E),
Mumbai - 400 051.

Trading Symbol: SMSLIFE

Through: NEAPS

SUB: REPORTING OF VIOLATION RELATED TO INSIDER TRADING CODE

**Ref: Clause 13 of Schedule B & Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations
2015 read along with SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.**

Dear Sir/Madam,

With reference to the above-cited subject and in furtherance to disclosure submitted on April 20, 2022, enclosed herewith is a "Report of violation" related to the Insider Trading Code and Code of Conduct adopted by the Company, by the designated persons including appropriate action taken after recording reasons in writing, by the Company against the designated person.

Kindly take the same on record and suitably disseminate it to all concerned

Thanking You,

For SMS Lifesciences India Limited


Trupti Ranjan Mohanty
Company Secretary



[Enclosed: Report on PIT violation]

**REPORT BY SMS LIFESCIENCES INDIA LIMITED FOR VIOLATION RELATED TO CODE OF CONDUCT
UNDER SEBI (PROHIBITION OF INSIDER TRADING) REGULATIONS, 2015.**

[Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulations, 2015]

Sr no.	Particulars	Details						
1.	Name of the listed company	SMS Lifesciences India Limited						
2.	<p>Please tick appropriate checkbox</p> <p>Reporting in capacity of:</p> <table border="1"> <tr> <td><input checked="" type="checkbox"/></td> <td>Listed Company</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Intermediary</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Fiduciary</td> </tr> </table>	<input checked="" type="checkbox"/>	Listed Company	<input type="checkbox"/>	Intermediary	<input type="checkbox"/>	Fiduciary	Listed Company
<input checked="" type="checkbox"/>	Listed Company							
<input type="checkbox"/>	Intermediary							
<input type="checkbox"/>	Fiduciary							
3.	<p>A. Details of Designated Person (DP)</p> <p>i) Name of the DP</p> <p>ii) PAN of the DP</p> <p>iii) Designation of DP</p> <p>iv) Functional Role of DP</p> <p>v) Whether DP is Promoter or belongs to Promoter Group</p> <p>B. If Reporting is for immediate relative of DP</p> <p>i) Name of the immediate relative of DP</p> <p>ii) PAN of the immediate relative of DP</p> <p>C. Details of transaction(s)</p> <p>i) Name of the scrip</p> <p>ii) No of shares traded and value (₹)</p>	<p>Mr. Suresh Babu Potluri</p> <p>AAAPY9383J</p> <p>Promoter Group**</p> <p>Not Applicable</p> <p>Yes**</p> <p>**Note – Mr. Suresh Babu Potluri has been reclassified by Stock Exchanges to the "Public Category" w.e.f. April 13, 2022.</p> <p>Not Applicable</p> <p>Not Applicable</p> <p>NSE: SMSLIFE / BSE: 540679</p> <p>No of shares: 562 (Five Hundred and Sixty two) – Acquired</p> <p>Value: ₹4.40 lakhs (approx.)</p>						



	<p>D. In case value of trade(s) is more than ₹10 lakhs in a calendar quarter</p> <p>i) Date of intimation of trade(s) by concerned DP/ director/ promoter/ promoter group to Company under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015</p> <p>ii) Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015</p>	<p>April 20, 2022</p> <p><u>[The aforesaid transaction was within the limit of Reg. 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015.]</u></p> <p>April 20, 2022</p>
4.	Details of violations observed under Code of Conduct	Transacted during the 'Trading window closure' period is considered to be a violation of Clause 4 of Schedule B of SEBI (Prohibition of Insider Trading) Regulation, 2015.
5.	Action taken by Listed company	<ul style="list-style-type: none"> ▪ Warning letter has been issued to cease & desist from trading during the trading window closure period and adhere to all the provisions of the Insider Trading Code. ▪ Board of the Company in its meeting held on May 28, 2022 has levied a monetary penalty of ₹25,000 (Rupees Twenty Five Thousand only) on DP, in order to discourage such violations / non-compliances in the future.



6.	Reasons recorded in writing for taking action stated above	<p>Mr. Suresh Babu Potluri (DP) has submitted an undertaking dated April 20, 2022 admitting the violation of Insider Trading Regulations.</p> <p>He has further submitted a written declaration that even if he has been reclassified to the "public category" he will be extra-cautious in the future while trading in the securities of the Company.</p> <p>The Board of Directors of the Company in the meeting held on May 28, 2022, considered the aforesaid undertaking and based on the below-mentioned facts, decided to levy a penalty of ₹25,000 (Rupees Twenty Five Thousand only) and to issue a caution letter in order to prevent such instances in future. The Board further noted that:</p> <ul style="list-style-type: none">▪ DP had no access to any kind of UPSI, whatsoever.▪ DP has violated the Insider Trading provisions for the 2nd time.▪ DP has been formally reclassified to the "Public category" by NSE & BSE vide their approval granted on April 13, 2022. <p>Hence, the Company concluded that the aforesaid violation was due to negligence and there was no malafide intention.</p>
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7.	Details of the previous instances of violations, if any, since last financial year	<p>Disposed 1,000 equity shares of the Company during the window closure period.</p> <p>Detailed report pursuant to SEBI Circular no. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020, was submitted to NSE and BSE (Stock Exchanges) on May 22, 2021.</p>												
8.	<p>If any amount collected for Code of Conduct violation(s):</p> <p>i. Mode of transfer to SEBI – IPEF – Online transfer (RTGS)</p> <p>ii. Details of transfer/payment</p> <p>In case of Online:</p> <table border="1" data-bbox="459 644 1385 1039"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td>Mr. Suresh Babu Potluri</td> </tr> <tr> <td>Bank Name, branch & Account number</td> <td>State Bank of India, Balanagar Branch, A/c - 10558696166</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>SBIN422158403320</td> </tr> <tr> <td>Transaction date</td> <td>June 7, 2022</td> </tr> <tr> <td>Transaction Amount (in ₹)</td> <td>₹25,000/- (Rupees Twenty Five Thousand only)</td> </tr> </tbody> </table> <p>In case of Demand Draft (DD): Not Applicable</p>		Particulars	Details	Name of the transferor	Mr. Suresh Babu Potluri	Bank Name, branch & Account number	State Bank of India, Balanagar Branch, A/c - 10558696166	UTR/Transaction reference Number	SBIN422158403320	Transaction date	June 7, 2022	Transaction Amount (in ₹)	₹25,000/- (Rupees Twenty Five Thousand only)
Particulars	Details													
Name of the transferor	Mr. Suresh Babu Potluri													
Bank Name, branch & Account number	State Bank of India, Balanagar Branch, A/c - 10558696166													
UTR/Transaction reference Number	SBIN422158403320													
Transaction date	June 7, 2022													
Transaction Amount (in ₹)	₹25,000/- (Rupees Twenty Five Thousand only)													
9.	Any other relevant information	Nil												

Yours Truly,

For SMS Lifesciences India Limited


Trupit Ranjan Mohanty

Compliance officer



PAN : ATMPM2452P

Email id : cs@smslife.in

Date : June 15, 2022

Place : Hyderabad

[Enclosed: undertaking received from Designated person]

SBI N42258408320



STATE BANK OF INDIA

Branch Balunagar

Date 07/06/22

Received 25,000/-
from 10558696166

For remittance of NEFT/RTGS by way of (i) Transfer (only NEFT), (ii) Cash (only NEFT), (iii) Cheque (NEFT/RTGS) using cheque 832692

favouring IP EF

5845793 / DN SUNIL
User ID No. 01222202
Queue No. 0000008
FSC Code 0000122
Beneficiary Bank Bank of
Branch Balunagar
Branch initials Bank of
Amount 25,000.00
Charges 0:00
Total 25,000.00

(Rupees Twenty five thousand only)

For office Use

UTR No. _____ Branch Manager



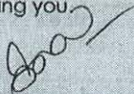
UNDERTAKING

I, **MR. SURESH BABU POTLURI**, son of Mr. Raghavendra Rao Potluri resident of H No. 8-3-833, KI TO K7, Block F, Krishe Meadows, Sri Nagar Colony, Yellareddyguda, Hyderabad – 500073, being member of Promoter Group of SMS Lifesciences India Limited (Company), hereby declare and undertake that:

- i) I have traded in the securities of the Company during the window closure period due to negligence and with no malafide intentions.
- ii) I hereby undertake that I will be extra-cautious in the future while trading in the securities of the Company.
- iii) I understand that in case, the violation repeats then I shall be liable for monetary penalty as may be levied by the Board, the liability shall be in addition to the penalty levied by SEBI.

Kindly note that I was having no access to any kind of unpublished price-sensitive information while trading in the securities of the Company and this one-time mistake happened due to mere oversightedness.

Thanking you,



SURESH BABU POTLURI

Place: Hyderabad

Date: 20/04/2022

Enclosed: format for disclosure of Transaction.

Internal use.

Recd. Date.

Date.

Sign.

For SMS Lifesciences India Limited

Company Secretary

20/04/2022

To

The Compliance Officer,

SMS Lifesciences India Limited,

Plot No: 19-III, Road No: 71, Jubilee Hills,

Opp. Bharatiya Vidya Bhavan Public School,

Hyderabad - 500034, Telangana State, India.

CIN: L74930TG2006PLC050223

Phone: + 91-40-6628 8888 | Email: cs@smslife.in

SUB: DISCLOSURE OF TRANSACTIONS

Dear Sir,

I hereby inform that have bought/sold/subscribed to 562 equity shares of the Company as mentioned below on 08.04.2022

Name of holder	No. of Securities traded	Brought / Sold / Subscribed	Price (₹)
Suresh Babu Potluri	562 Equity shares	Purchased	₹ 4.40 lakhs

I declare that the above information is correct and that no provisions of the Company's Rules and/or applicable laws/regulations have been contravened for effecting the above-said transactions(s), expect being traded during the window closure period.



SURESH BABU POTLURI

