



SMS Lifesciences India Limited

Registered & Corporate Office :

Plot No. 19-III, Road No. 71,
Opp. Bharatiya Vidya Bhavan Public School,
Jubilee Hills, Hyderabad - 500 096, Telangana, INDIA.
Tel : +91-040-6628 8888, Fax : +91-40-2355 1401
CIN : L74930TG2006PLC050223
Email : info@smslife.in, Website : www.smslife.in

May 22, 2021

To

BSE Limited,

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

Scrp 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 above cited subject, please find enclosed herewith a Report of violations related to 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 to all concerned

Thanking You,

Yours Truly,

For SMS Lifesciences India Limited


Trupti Ranjan Mohanty
Company Secretary



[Enclosed: Report on PIT violation]

**REPORT BY SMS LIFESCIENCES INDIA LIMITED FOR VIOLATIONS 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) Regulation, 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 (Rs.)</p> <p>D. In case value of trade(s) is more than Rs.10 lacs 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>Mr. Suresh Babu Potluri</p> <p>AAAPY9383J</p> <p>Promoter Group</p> <p>Not Applicable</p> <p>Yes</p> <p>Not Applicable</p> <p>Not Applicable</p> <p>NSE: SMSLIFE / BSE: 540679</p> <p>No of shares: 1,000 (One Thousand) – Sold</p> <p>Value: Rs. 6.20 lakhs (approx.)</p> <p>Not Applicable</p>						



	ii) Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015	Not Applicable
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	<p>Cautionary letter has been issued to cease and desist from trading during the trading window closure period and adhere to all the provisions of the Insider Trading Code.</p> <p>He has been further instructed that in case of any subsequent violation, stricter action(s) would be taken by the Company.</p>
6.	Reasons recorded in writing for taking action stated above	<p>Based on our findings and the response received from the DP, it was noted that the said violation was not intentional and considering that it was 1st time instance on the part of the DP. A cautionary warning letter has been issued.</p> <p>Further, Company took note that:</p> <ul style="list-style-type: none"> ▪ He was not in possession of any kind of UPSI. ▪ He was not aware of being in the list of Promoter Group of the Company.



		<p>Hence, the Company comes to a conclusion that the aforesaid violation was mere negligence and there was no malafide intention on the part of the DP.</p> <p>However, the DP has submitted a written undertaking that he will be extra-cautious while executing transactions in future and will ensure compliance of Code of Conduct and SEBI (Prohibition of Insider Trading) Regulations, 2015 for himself, immediate relatives and dependents.</p>
7.	Details of the previous instances of violations, if any, since last financial year	Nil
8.	If any amount collected for Code of Conduct violation(s)	Nil
9.	Any other relevant information	Nil

Yours Truly,

For SMS Lifesciences India Limited

Trupti Ranjan Mohanty

Compliance officer



PAN : ATMPM2452P

Email id : cs@smslife.in

Date : May 20, 2021

Place : Hyderabad

[Enclosed: undertaking received from Designated person]

UNDERTAKING

I, **MR. SURESH BABU POTLURI**, son of Mr. Raghavendra Rao Potluri resident of 8-3-833, K1 to K7 Block, Flat No.512, Krishe Meadows, Sri Nagar Colony Main Road, 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 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 onetime mistake happened due to mere oversightedness.

Further, I would request the Company to reclassify myself into "Public Category" as I am not way affiliated to the day-today business affairs of the Company.

Thanking you.



SURESH BABU POTLURI

Place: Hyderabad

Date: 20/05/2021

Enclosed: format for disclosure of Transaction.

20/05/2021

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

Internal use:


Recd. Date: 22/05/2021

Time: 9:00am

Sign: 

SUB: DISCLOSURE OF TRANSACTIONS

Dear Sir,

I hereby inform that have bought/sold/subscribed to 1000 equity shares of the Company as mentioned below on (dated) 

Name of holder	No. of Securities traded	Brought / Sold / Subscribed	DP ID/ Client ID/ Folio No.	Price (Rs)
Suresh Babu Potluri	1000 Equity shares	Sold		6.20 lakkhs

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 window closure period.


SURESH BABU POTLURI