

**POLICY AND PROCEDURE FOR INQUIRY IN CASE OF LEAK OF UNPUBLISHED PRICE SENSITIVE INFORMATION OR SUSPECTED LEAK OF UNPUBLISHED PRICE SENSITIVE INFORMATION**

Pursuant to Sub regulation 5 of Regulation 9(A) of the Securities and Exchange Board of India ("SEBI") notified the SEBI (Prohibition of Insider Trading) Regulations, 2015 ("Regulations"), Mold-tek Technologies Limited is required to formulate a "Policy and procedure for inquiry in case of leak of unpublished price sensitive information or suspected leak of unpublished price sensitive information."

**Preamble:**

This Policy is framed with an aim to implement a structured procedure for investigation in case of leak or suspected leak of UPSI.

**Applicability:**

This policy shall apply to all Insiders and any other persons as assigned by law from time to time.

**Definition:**

'Leak of UPSI' shall refer to such act / circumstance(s) by virtue of which an UPSI is made available or becomes available, by any means or mode to any person, association, body, firm, agency, society, entity or to a group thereof, whether registered or otherwise before its official publication or announcement or formal circulation in public domain and which shall also include any purported attempt thereof.

**Process of inquiry in case of leak of UPSI or suspected leak of UPSI:**

1. Complaint (written or oral or electronic) regarding a leak or suspected leak of UPSI may be received by the Company from the following sources:
  - a) Internal:
    - i. Whistle-blower vide the whistle-blower process.
    - ii. Any leak or suspected leak of UPSI detected through the internal controls implemented by the Company.
  - b) External:  
Registrar and Share Transfer Agent, Depository, Stock Exchange, Regional Director, Registrar of Companies, regulatory / statutory authority or any other department of Central or State Government based on the complaint received from a whistleblower. (above shall be collectively referred to as "Complaint(s)")
2. The Company Secretary or Chief Financial Officers shall report the Complaint to the Audit Committee within a reasonable time from the date of receipt of the Complaint;
3. The Audit Committee shall review the Complaint and shall discuss with the Company Secretary or Chief Financial Officers on potential next steps including but not limited to seek additional information to consider an investigation, disclosure requirements to the

regulatory authorities, appointment of an investigation panel consisting of internal employees or external agencies. If the Complaint implicates the Company Secretary or Chief Financial Officers, then they shall recuse themselves from the said inquiry process;

4. If the Audit Committee mandates an investigation, then the identified panel of investigators shall conduct the investigation into the Complaint(s) and present their findings to the Company Secretary or Chief Financial Officers. The executive summary of the investigation shall be reported to the Audit Committee by the Company Secretary or Chief Financial Officers;
5. Based on the update provided by the Chief Compliance Officer, the Audit Committee shall put forward its recommendation to the Board. The Board, on receipt of such recommendation and after due review/deliberations, shall decide on the next steps;
6. The Board shall have the power to amend any of the provisions of this Policy, substitute any of the provisions with a new provision and also replace this Policy entirely with a new Policy;
7. Any words used in this Policy but not defined herein shall have the same meaning as described to it in the Companies Act, 2013 or Rules made thereunder, Securities & Exchange Board of India Act or Rules and Regulations made thereunder, SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, SEBI (Prohibition of Insider Trading) (Amendment) Regulations, 2018 or any other relevant legislation/law applicable to the Company, as amended from time to time

