

CONTENTS

	PAGE
About the author	I-5
Preface	I-7

PART A

INTRODUCTION TO LISTING REGULATIONS AND PRINCIPLES OF CORPORATE GOVERNANCE

CHAPTER 1

◆ INTRODUCTION TO LISTING REGULATIONS	3
---------------------------------------	---

CHAPTER 2

◆ CORPORATE GOVERNANCE	5
------------------------	---

PART B

COMMON OBLIGATIONS OF LISTED ENTITIES

CHAPTER 3

◆ OBLIGATIONS OF LISTED ENTITIES	17
----------------------------------	----

CHAPTER 4

◆ HANDLING SHARE TRANSFER ACTIVITIES	21
--------------------------------------	----

CHAPTER 5

◆ PRESERVATION OF DOCUMENTS	39
-----------------------------	----

CHAPTER 6

◆ FILING OF INFORMATION	50
-------------------------	----

	PAGE
CHAPTER 7	
◆ SCHEME OF ARRANGEMENT	57

CHAPTER 8	
◆ GRIEVANCE REDRESSAL MECHANISM	75

PART C
**OBLIGATIONS OF LISTED ENTITY
WHICH HAS LISTED ITS
SPECIFIED SECURITIES**

CHAPTER 9	
◆ INTRODUCTION AND APPLICABILITY	87

CHAPTER 10	
◆ BOARD OF DIRECTORS	89

CHAPTER 11	
◆ AUDIT COMMITTEE	127

CHAPTER 12	
◆ NOMINATION AND REMUNERATION COMMITTEE	132

CHAPTER 13	
◆ STAKEHOLDERS RELATIONSHIP COMMITTEE	155

CHAPTER 14	
◆ RISK MANAGEMENT	157

CHAPTER 15	
◆ VIGIL MECHANISM	173

CHAPTER 16	
◆ RELATED PARTY TRANSACTIONS	180

CHAPTER 17	
◆ CORPORATE GOVERNANCE REQUIREMENTS - SUBSIDIARY COMPANY	200

CHAPTER 18	
◆ OTHER CORPORATE GOVERNANCE REQUIREMENTS	206

CHAPTER 19

- ◆ PRIOR INTIMATION OF BOARD MEETING 212

CHAPTER 20

- ◆ DISCLOSURE OF EVENTS OR INFORMATION 214

CHAPTER 21

- ◆ SHAREHOLDING IN LISTED ENTITY 228

CHAPTER 22

- ◆ RECLASSIFICATION OF STATUS OF SHAREHOLDER 234

CHAPTER 23

- ◆ MINIMUM PUBLIC SHAREHOLDING 240

CHAPTER 24

- ◆ FINANCIAL STATEMENTS 246

CHAPTER 25

- ◆ ANNUAL STATEMENTS 257

CHAPTER 26

- ◆ PROVISIONS RELATING TO SECURITIES AND SHAREHOLDERS 268

CHAPTER 27

- ◆ DIVIDEND 281

CHAPTER 28

- ◆ CHANGE IN NAME OF THE LISTED ENTITY 288

CHAPTER 29

- ◆ DISSEMINATION OF INFORMATION 291

PART D

**OBLIGATIONS OF LISTED ENTITY WHICH
HAS LISTED ITS NON-CONVERTIBLE DEBT
SECURITIES OR NON-CONVERTIBLE
REDEEMABLE PREFERENCE
SHARES OR BOTH**

CHAPTER 30

- ◆ APPLICABILITY AND DEFINITIONS - NCDS/NCRPS 297

	PAGE
CHAPTER 31	
◆ DISCLOSURE OF EVENTS OR INFORMATION - NCDS/NCRPS	299
CHAPTER 32	
◆ FINANCIAL RESULTS AND ANNUAL REPORT - NCDS/NCRPS	305
CHAPTER 33	
◆ OTHER REQUIREMENTS - NCDS/NCRPS	312
CHAPTER 34	
◆ OBLIGATIONS OF LISTED ENTITY WHICH HAS LISTED ITS SPECIFIED SECURITIES AND EITHER NON-CONVERTIBLE DEBT SECURITIES OR NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARES OR BOTH	314

PART E

OBLIGATIONS OF LISTED ENTITY WHICH HAS LISTED ITS INDIAN DEPOSITORY RECEIPTS

CHAPTER 35	
◆ APPLICABILITY, DEFINITIONS AND GENERAL OBLIGATIONS - IDR	319
CHAPTER 36	
◆ PERIODICAL REPORTS - IDR	322
CHAPTER 37	
◆ DISCLOSURE OF EVENTS OR INFORMATION - IDR	326
CHAPTER 38	
◆ OTHER PROVISIONS - IDR	330

PART F

OBLIGATIONS OF LISTED ENTITY WHICH HAS LISTED ITS SECURITISED DEBT INSTRUMENTS

CHAPTER 39	
◆ APPLICABILITY AND DEFINITIONS - SDI	337
CHAPTER 40	
◆ DISCLOSURE OF EVENTS OR INFORMATION - SDI	342

CHAPTER 41

- ◆ OTHER PROVISIONS - SDI

345

PART G**OBLIGATIONS OF LISTED ENTITY WHICH
HAS LISTED ITS MUTUAL FUND UNITS****CHAPTER 42**

- ◆ APPLICABILITY AND DEFINITIONS - UNITS OF MF

349

CHAPTER 43

- ◆ DISCLOSURE OF INFORMATION - UNITS OF MF

351

PART H**MISCELLANEOUS PROVISIONS****CHAPTER 44**

- ◆ DUTIES AND OBLIGATIONS OF THE RECOGNISED STOCK
EXCHANGE(S)

355

CHAPTER 45

- ◆ PENALTIES AND PROCEDURE FOR ACTION IN CASE OF
DEFAULT

357

CHAPTER 46

- ◆ MISCELLANEOUS

365

**APPENDIX : SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIRE-
MENTS) REGULATIONS, 2015 (LISTING REGULATIONS)**

369