

ANNEXURE IX

TRADING PLAN

(For the period from August 7, 2019 to August 6, 2020)

To
The Compliance Officer,
Kotak Mahindra Asset Management Co. Ltd.

Dear Sir/Madam,

Sub: Trading Plan under Regulation 5 of the SEBI (Prohibition of Insider Trading) Regulations, 2015

In terms of provisions of Regulation 5 of the SEBI (Prohibition of Insider Trading) Regulations, 2015 and Clause 2.13 of MOPP Governing Personal Securities Transactions By Employees, And Prohibition Of Insider Trading In Securities By Employees, adopted by the Company, I, Harsha Upadhaya, hereby give my trading plan / trading plan of my immediate relatives to sell the equity shares of Kotak Mahindra Bank Limited, held as ESOP as part of my remuneration, as per details furnished hereunder:

Name of the Employee:	Harsha Upadhaya
Name of the Immediate Relative	na
Relation with Immediate Relative	na
Designation:	CIO-Equity
Date of Submission:	10-01-2019
Period of Trading:	As per the plan mentioned in the table below
No trading period:	From twentieth trading day before 31 March to the second trading day after the disclosure of annual financial results by Kotak Mahindra Bank Limited.
	From twentieth trading day before 30 June to the second trading day after the disclosure of financial results for first quarter by Kotak Mahindra Bank Limited.
	From twentieth trading day before 30 September to the second trading day after the disclosure of financial results for the half year by Kotak Mahindra Bank Limited.
	From twentieth trading day before 31 December to the second trading day after the disclosure of financial results for the third quarter by Kotak Mahindra Bank Limited.

Details of Trades to be executed (by the insider and / or his immediate relatives):

Particulars of person		No. of Shares held	Period or Dates of Proposed Trades			Quantity or Value of Proposed Trades	
						Quantity	Value
Name	Relation with insider		From	To	Date of Trade	Sell	Sell
Harsha Upadhaya	Self	45344	4 Nov 2019	8 Nov 2019		5000	
Harsha Upadhaya	Self		11 Nov 2019	15 Nov 2019		5000	
Harsha	Self		18 Nov	22		5000	



Upadhyaya			2019	Nov 2019			
Harsha Upadhyaya	Self		25 Nov 2019	29 Nov 2019		5000	
Harsha Upadhyaya	Self		03 Feb 2020	07 Feb 2020		2500	
Harsha Upadhyaya	Self		10 Feb 2020	14 Feb 2020		2500	
Harsha Upadhyaya	Self		17 Feb 2020	21 Feb 2020		2500	
Harsha Upadhyaya	Self		24 Feb 2020	27 Feb 2020		2500	

I hereby undertake that:

I/my immediate relative(s) will not trade in the securities as set out in the trading plan during the cool off period of six months.

I/my immediate relatives will not trade during the no-trading periods specified herein above.

I/my immediate relatives will not trade in the securities of Kotak Mahindra Bank Ltd. for market abuse.

I hereby confirm that I am not in possession of any unpublished price sensitive information OR ~~I am in possession of certain unpublished price sensitive information at the time of formulation of this trading plan and I/my immediate relatives will not trade pursuant to this trading plan until such unpublished price sensitive information becomes generally available information.~~

Signature: 

Date: 10 Jan 2019

Place: Mumbai

The above trading plan is approved / ~~rejected~~:

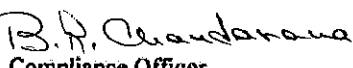
In case of rejection the reasons for rejection are as follows:

For Kotak Mahindra Asset Management Co. Ltd.


Compliance Officer:

Date: Feb 7, 2019

For Kotak Mahindra Bank Limited


Compliance Officer
Date: 7th February 2019

