

## ANNEXURE 4

## DISCLOSURE WITH RESPECT TO EMPLOYEES STOCK OPTION PLAN (ESOP) OF THE COMPANY

### A. Description on the ESOP Scheme

- (a) Date of shareholders' approval - March 2, 2013 and December 22, 2018
- (b) Total number of options approved under ESOP- 46,28,250
- (c) Vesting requirements

Performance, Milestone & Incentive Options	Loyalty Options
Budgeted performance above 85% for each vesting as per the terms of the grant with a minimum vesting period of 1 year from date of grant	6 years & 9 years from date of joining of the employee with a minimum vesting period of 1 year from date of grant

- (d) Exercise price or pricing formula - The exercise price shall be in the range of From ₹ 10 to a maximum of 25% discount on fair market value (average of opening & closing price of share on the latest trading day in NSE prior to Nomination & Remuneration Committee meeting on which grant is made)
- (e) Maximum term of options granted - 14 years
- (f) Source of shares - Secondary
- (g) Variation in terms of options - No variation

### B. Accounting Of ESOP

- (a) Method used to account for ESOP's - Fair value method is used for accounting for the ESOP's
- (b) The impact on the profits and EPS of the Company- Refer note 42 of the financial statements.

### C. Option movement during the year

Particulars	Milestone	Incentive	Performance	Loyalty	Total
Number of options outstanding at the beginning of the period	5,96,163	5,47,686	6,66,029	6,81,300	24,91,178
Number of options granted during the year	-	-	2,98,600	1,40,300	4,38,900
Number of options forfeited / lapsed during the year	1,30,212	1,62,125	1,02,400	1,69,000	5,63,737
Number of options vested during the year	15,751	11,500	-	96,930	1,24,181
Number of options exercised during the year	3,50,479	2,18,731	-	1,31,400	7,00,610
Number of shares arising as a result of exercise of options	3,50,479	2,18,731	-	1,31,400	7,00,610
Money realized by exercise of options (₹), if scheme is implemented directly by the company	1,30,03,230	1,09,36,550	-	7,04,000	2,46,43,780
Loan repaid by the Trust during the year from exercise price received	NIL	NIL	NIL	NIL	NIL
Number of options outstanding at the end of the year	Refer note 42 of the financial statements				
Number of options exercisable at the end of the year					
Weighted-average exercise prices of options outstanding at the end of year					
Weighted-average fair values of options granted					



## D. Options granted to the employees of the Company during the year

(a) Options granted to Senior managerial personnel during the year

Name of the employee	Designation	Type of Option	No of Options	Exercise Price (in ₹)
Mr. Sreenath Reddy	Group Chief Financial Officer	Loyalty	26,600	10
Mr. Rajesh A	Company Secretary & Compliance officer	Loyalty	12,000	10
Mr. Kartik Thakrar	Financial Controller, GCC	Loyalty	12,000	10
Mr. T J Wilson	Director, Head- Governance	Loyalty	8,100	10
Dr. Harish Pillai	CEO- India Operations	Loyalty	5,800	10
Dr. Malathi A	Group Chief Quality Officer & Group Chief Medical Officer	Loyalty	2,700	10

(b) Any other employee who received a grant during the year, options amounting to 5% or more of option granted during the year

Name of the employee	Designation	Type of Option	No of Options	Exercise Price (in ₹)
Mr. Jobilal Vavachan	CEO- Aster Primary Care	Performance	40,000	116
		Loyalty	18,500	10
Mr. Sreenath Reddy	Group Chief Financial Officer	Performance	-	-
		Loyalty	26,600	10
Mr. Veneeth Purushotaman	Group Chief Information Officer	Performance	32,000	116
		Loyalty	8,000	10
Mr. Kalappa KB	Country Head HR - Aster Hospitals & Clinics, India	Performance	20,000	116
		Loyalty	5,000	10

(c) Identified employees who were granted options during the year, equal to or exceeding 1% of the issued capital excluding outstanding warrants and conversions) of the Company at the time of grant - NIL

## E. Disclosures in respect of transactions made by Trust under ESOP Scheme

(i) General information on the scheme

S. No.	Particulars	Details
1	Name of the Trust	DM Healthcare Employees Welfare Trust
2	Details of the Trustee(s)	Mr. Sooraj P and Mr. Monu Kurian
3	Amount of loan disbursed by company/any company in the group, during the year	NIL
4	Amount of loan outstanding (repayable to company/ any company in the group) as at the end of the year	₹ 23.14 Crores
5	Amount of loan, if any, taken from any other source for which company/any company in the group has provided any security or guarantee	NIL
6	Any other contribution made to the Trust during the year	NIL

(ii) Brief details of transactions in shares by the Trust

Number of shares	As a percentage of paid-up equity capital as at the end of the year immediately preceding the year in which shareholders' approval was obtained
Held at the beginning of the year	37,04,562
Acquired during the year	NIL
Sold during the year	NIL
Transferred to the employees during the year	7,00,610
Held at the end of the year	30,03,952