

## **01. General**

### **How do I obtain more information on the shares held by me?**

Most questions from shareholders concerning shares of Shreyas Shipping and Logistics Limited relate to transfer of shares, change of address, account status, replacement of missing dividend cheques, replacement of lost certificates etc.

Registered owners of Shreyas Shipping and Logistics limited shares (those shareholding either in physical or demat form) can obtain account information by contacting:

Shreyas Shipping and Logistics Limited 's Registrars & Share Transfer Agents:

Link Intime India Pvt. Ltd,  
C 101, 247 Park, L.B.S. Marg,  
Vikhroli (West), Mumbai - 400083.  
Tel: 022-49186270

Fax: 022-49186060

Email ID: [rnt.helpdesk@linkintime.co.in](mailto:rnt.helpdesk@linkintime.co.in)

Website [www.linkintime.co.in](http://www.linkintime.co.in)

Note that you will need to provide the following information:

- Registered Folio No.
- Names of the shareholders
- Number of shares held- Client ID & DP ID.

## **02. Transfer of Shares**

### **Can I transfer physical securities to my name?**

Please note that as per SEBI circular dated 27<sup>th</sup> March 2019, w.e.f. 01<sup>st</sup> April 2019 fresh requests for effecting transfer of securities shall not be processed unless the securities are held in dematerialized form with a depository.

You are, therefore, requested to co-ordinate with the transferor(s) to convert the physical shares into demat mode and subsequently arrange to transfer the shares into your demat account.

In case of securities of unlisted private limited companies, transfer can be effected for which you need to

1. Submit duly executed Form SH-4.

2. Submit original certificates for the securities

3. Attach self- attested copy of the PAN Card of the transferor(s) as well as of the transferee(s)

4. Frank / affix stamp duty on the Form SH-4 @ 0.25% of the market value or the consideration amount (whichever is higher). Calculation of market value of the securities must be as on the execution date mentioned on the Form SH-4.

• In case of debentures / bonds, where the market value is not available, stamp duty is to be calculated on the face value of the securities being transferred.

**For securities held in electronic form, please contact your depository participant.**

### **03. Name Deletion & Transmission**

**If the holding is in joint names and either of the holders is deceased, what is the procedure for Name deletion?**

For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance.

For KYC compliant folio, please submit the following:-

1. Application Form for Name Deletion duly completed and signed by the surviving holder(s) as per the specimen signature(s) recorded with the Company.
2. Original death certificate or copy of death certificate, attested by the survivor subject to verification with the original (only in case of in person verification) or copy of death certificate, duly attested by a Notary Public or by a Gazetted Officer. Attestation by Notary Public / Gazetted Officer should mention their name, full address, registration number and affix their seal, Notarial Fee stamps, as applicable.
3. Self-attested copy of the PAN Card of the surviving holder(s), issued by the Income Tax Department.
4. Original security certificate(s).
5. Duly completed Form ISR-1, Form SH-13 / Form ISR-3 and [Form ISR-4 ]

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

**For securities held in electronic form, please contact your Depository Participant.**

**I am the registered nominee in respect of securities where the sole holder / all holders is/are deceased. What is the procedure for transmission of securities?**

For securities held in physical form, please submit the following:-

1. Transmission Request ( Form ISR-5 ) duly signed by all the Nominee(s) as per SEBI circular dated 18th May, 2022.
2. Original death certificate OR copy of death certificate attested by the nominee subject to verification with the original OR copy of death certificate duly attested by a Notary Public or by a Gazetted Officer.
3. Original security certificate(s).
4. Self-attested copy of PAN Card of nominee(s), issued by the Income Tax Department.
5. Original cancelled cheque leaf which is issued in the name of first Nominee OR latest copy of the Bank Statement/Passbook with details of Bank Name, Branch, Account Number and IFSC, of the first nominee, duly attested by the Bank Manager.

6. Nomination Form SH-13 or Declaration for opting out of Nomination as per Form ISR-3 signed by all the nominee(s)/Guardian; if nominee is a minor.
7. Client Master List (CML) of the Demat Account of the Nominee(s), if the Nominee(s) have a demat account, provided by the Depository Participant, in order of the names as per the Form-ISR-5.
8. Copy of Birth Certificate (in case nominee is a minor).
9. KYC of the Guardian (for nominee being a minor or of unsound mind).

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

**For securities held in electronic form, please contact your Depository Participant.**

**I am the legal heir / executor in respect of securities where the sole / all holder(s) is / are deceased, and nomination is not registered with the Company. What is the procedure for transmission of securities?**

-For securities held in physical form and in the sole / joint name of deceased holder(s), without nomination, please submit the following:-

1. Transmission Request : [ Form ISR-5 ] duly signed by legal heir(s)/claimants.
2. Original death certificate OR copy of death certificate attested by the legal heir(s)/claimant(s) subject to verification with the original (only in case of in person verification) OR copy of death certificate duly attested by a Notary Public or by a Gazetted Officer.
3. Self-attested copy of PAN Card of the legal heir(s)/claimant(s), issued by the Income Tax Department.
4. Original security certificate(s).
5. Original cancelled cheque leaf which is issued in the name of first legal heir/claimant or latest copy of the Bank Statement/Passbook with details of Bank Name, Branch, Account Number and IFSC, of the first legal heir/claimant, duly attested by the Bank Manager.
6. Nomination Form SH-13 or Declaration for opting out of Nomination as per Form ISR-3 signed by all the Legal heir(s) / Claimant(s).
7. Client Master List (CML) of the Demat Account of the Legal Heirs(s) / claimant(s), if the applicants of the transmission request form have a demat account, provided by the Depository Participant, in order of the names as per the Form-ISR-5.
8. Affidavit (Annexure-D): A Notarized Affidavit from ALL legal heir(s) / claimant(s) made on non-judicial stamp paper of appropriate value in the prescribed format, to the effect of identification and claim of legal ownership to the securities. However, In case the legal heir(s)/claimant(s) are named in any of the documents for transmission of securities, such as Succession Certificate or Probate of Will or Will or Letters of Administration or Legal Heirship Certificate (or its equivalent certificate), an Affidavit from such legal

heir(s)/claimant(s) alone shall be sufficient). Separate Affidavits are to be executed by the legal heir(s) / claimant(s).

For securities whose value exceeds Rupees Five lakhs(#) additional documents as stated in point 9 are to be provided:

# The value shall be ascertained: on the basis of the closing price at any one of the recognized stock exchanges a day prior to the date of submission.

9. Copy of any of the following requisite documents for transmission as may be applicable, duly attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer:

- a. Succession Certificate OR
- b. Probate of Will OR
- c. Will, alongwith a notarised indemnity bond from the legal heir(s)/claimant(s) to whom the securities are to be transmitted, as per format specified and provided in Annexure E OR
- d. Letters of Administration OR
- e. Court Decree OR
- f. Legal Heirship Certificate (or its equivalent certificate) issued by a competent Government Authority to be accompanied with;

Notarized Indemnity Bond made on non-judicial Stamp Paper of appropriate value in the prescribed format, indemnifying the Listed entity /Share Transfer Agent. Bond of Indemnity is to be executed jointly by all the legal heir(s) including the claimant(s) as per the format provided in Annexure E; and

No Objection from all the Non-Claimants (remaining legal heirs), stating that they have relinquished their rights to claim for transmission of securities, duly attested by notary public or by a Gazetted Officer as per the format specified and provided in Annexure F

10. Where value of securities does not exceed Rupees Five lakhs(#) per listed entity as on date of submission of application for transmission and the documents as mentioned in point 9 above are not available, the legal heir(s)/claimant(s) may submit the following documents:

(i) No Objection Certificate made on non-judicial Stamp Paper of appropriate value in the prescribed format, and is to be executed jointly by all legal heir(s) stating that they do not object to such transmission in the format provided in Annexure F; OR  
Copy of Family settlement deed executed by all the legal heir(s), duly attested by a Notary Public or by Gazetted Office;  
and

(ii)Notarized Indemnity Bond made on non-judicial Stamp Paper of appropriate value in the prescribed format, indemnifying the Listed entity /Share Transfer Agent. Bond of Indemnity is to be executed jointly by all the legal heir(s) including the claimant(s) as per the format provided in Annexure E

#### **IMPORTANT POINTS:**

1) Documents as mentioned in item no 1 to 8 are mandatory for Transmission of securities irrespective of the value of securities, whereas item no 9 or 10 as applicable with the value of securities.

2) Legal Heir(s) / Claimant(s) shall submit Affidavit & Indemnity Bond in Non Judicial Stamp Paper (NJS) of appropriate value. You may use E-Stamping facility or Franking of Documents, if the facility is available in your location.

3) Where the registered office of the Issuer Company is situated in the state of Maharashtra, the Indemnity Bond is to be submitted on NJS of Rs.500/- and Affidavit on NJS of Rs.100/-.

4) For securities standing in joint names and where all the holders are deceased, legal documents (viz. Succession Certificate or Probate of Will or Will or Letters of Administration or Court Decree or Legal Heirship Certificate) for the holder, who is deceased last, is required to be submitted.

5) Attestation by Notary Public / Gazetted Officer should mention their name, full address, registration number and affix their seal, Notarial Fee stamps, as applicable.

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

**For securities held in electronic form, please contact your Depository Participant.**

#### **04. Transposition:**

##### **Can I interchange the order of names for my holdings?**

Yes, you can interchange the order of names for full holding. For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, please submit the following:-

1. Application Form for Transposition duly completed and signed by ALL the holders as per the specimen signatures recorded with the Company. This form can be downloaded from our website.
2. Original certificates for the securities.
3. Self-attested copies of the PAN Cards of all the holders.
4. Original cancelled cheque of the first holder as per the transposed order.
5. Duly completed Form ISR-1, Form SH-13 / Form ISR-3 and { Form ISR-4 }.

In case you wish to interchange the order of the names for the purpose of dematerialising your securities, the form OA (available with your depository participant) may be duly completed in the desired order of names and submitted to them with the Dematerialisation Request Form and the certificates.

##### **Important points to be noted:**

Investors are informed that after verification of the documents submitted and in case of change in signature / non-availability of signature / inability to sign due to old age or health problem / difference in name / requirements related to enhanced due diligence, additional documents will be called for, viz. Affidavit,

Government Gazette, proof of identity / address, PAN and bank details, and such other additional procedures/documents, as applicable will be required to be submitted along with Form ISR-2.

Investors are advised to submit an attested copy of any one of the following documents in case of Mismatch in Name on PAN Card vis a vis Share Certificate / Transposition Form-

- Valid Passport.
- Legally recognised Marriage Certificate.
- Gazette notification regarding Change in Name.
- Aadhaar Card.

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

**For securities held in electronic form, please contact your depository participant.**

## **05. Nomination:**

**Can I avail of the nomination facility?**

Yes, you can. For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, you may nominate person(s) by completing Form No.SH-13 and registering the same with us. Kindly download Form SH-13

**Important points to be noted:**

Investors are informed that after verification of the documents submitted and in case of any differences observed, additional procedures / documents, may be further called as part of KYC.

**For securities held in electronic form, please contact your Depository Participant**

**If I do not want to avail nomination facility, what should I do?**

For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, you may complete Form ISR-3 for opting out of nomination and registering the same with us. Kindly download Form ISR-3

**Important points to be noted:**

Investors are informed that after verification of the documents submitted and in case of any differences observed, additional procedures / documents, may be further called as part of KYC.

**For securities held in electronic form, please contact your Depository Participant.**

**Can I cancel or nominate someone else in place of existing nominee?**

Yes, you can. For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, you may vary or cancel the nomination and nominate new person(s) in place of the existing nominee(s) by completing Form No. SH-14 and registering the same with us. Kindly download Form SH-14

### **Important points to be noted**

Investors are informed that after verification of the documents submitted and in case of any differences observed, additional procedures / documents, may be further called as part of KYC.

**For securities held in electronic form, please contact your Depository Participant.**

## **06. Amalgamation/ Consolidation**

### **I have multiple folios, can I amalgamate the accounts?**

Yes, you can. For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folios, if you have more than one folio registered with same address and identical names which are in the same order, please submit the following:-

1. Application Form for Amalgamation duly completed and signed by ALL the holders as per the specimen signature(s) recorded with the Company. This form can be downloaded from our website.
2. Original certificates pertaining to all the folios stating the, Folio into which the holding is to be amalgamated.
3. Self-attested copy of the PAN Card of the holder(s).

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

**For securities held in electronic form, please contact your depository participant.**

### **I have certificates in various denominations, can I have them consolidated into a Single certificate?**

Yes, you can. For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above. Please send us the original certificates, provided they are under the same folio, along with a request letter. If they are not under the same folio, but have the same order of names, please follow the procedure mentioned for amalgamation of the accounts to facilitate consolidation into a single certificate.

### **Important point to be noted:**

Investors are informed that after verification of the documents submitted and in case of change in signature / non-availability of signature / inability to sign due to old age or health problem / difference in name / requirements related to enhanced due diligence, additional documents will be called for, viz. Affidavit,

Government Gazette, proof of identity / address, PAN and bank details, and such other additional procedures / documents, as applicable.

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

## **07. Change of Specimen Signature**

**Over a period of time, my signature has changed, what should I do to register my new signature in your records?**

For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

To register your new signature for securities held in physical form, Form ISR-2 is required to be completed and forwarded to us along with original cancelled cheque leaf bearing the name of the first holder.

### **Important points to be noted**

Investors are informed that after verification of the documents submitted and in case of any differences observed, additional procedures / documents, may be further called as part of KYC.

**For securities held in electronic form, please contact your Depository Participant.**

## **08. Change of Address**

**How do I record a change in my address?**

For securities held in physical form, please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, please submit the following:

A written request for change in address in Form ISR-1, duly signed by the first holder as per the specimen signature recorded with the Company along with supporting documents as mentioned below-

Self attested copy of any 1 of the following documents issued by a Government authority:

- a. Client Master List (CML) of your demat account, provided by the Depository Participant
- b. Valid Passport/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance Bill\*
- c. Utility bills like telephone bill (only landline), electricity bill or gas bill (not more than 3 months old)
- d. Identity Card with photo/document with address, issued by Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions
- e. For FII/subaccount, Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address
- f. Proof of address in the name of the spouse\*



\* Kindly provide additional self-attested copy of Identity Proof of the holder/claimant.

Important points to be noted

The identity and address proof should be legible and in the name of the first registered account holder. Investors are informed that after verification of the documents submitted and in case of any differences observed, additional procedures / documents, may be further called as part of KYC.

**For securities held in electronic form, please contact your depository participant.**

## **09. Loss of Securities**

### **What should I do if my security certificates are lost / misplaced?**

For folio(s) which are not KYC Compliant, registered securities holder(s) should ensure to do the KYC Compliance first, by filling up Form ISR-1, ISR-2, Form SH-13/ ISR-3 as per SEBI Circular dated 3rd November,2021.

For KYC compliant folio(s) held in physical form, kindly submit the following:-

1. Investor Service Request-[Form ISR-4] As per SEBI Circular dated 25th January, 2022, SEBI has mandated that all listed companies to issue securities in demat mode only. In this regard, you shall comply with the request for issue of Duplicate Securities Certificates as per the details mentioned in Form ISR-4 which shall be duly completed and signed by all the registered holder(s) as per the specimen signature(s) recorded with the Company.

2. Affidavit (Form-A): A Notarized Affidavit from the Registered holder(s) made on non-judicial stamp paper of appropriate value in the prescribed format, to the effect of identification and claim of legal ownership to the securities. In case of Joint Holder(s) Single Affidavit is to be executed by the registered holder(s).

3. Indemnity Bond (Form-B): A Notarized Indemnity Bond made on non-judicial Stamp Paper of appropriate value in the prescribed format, indemnifying the Listed entity /Share Transfer Agent. Indemnity Bond is to be executed jointly by all the Registered Holder(s).

Where value of securities does not exceed Rupees Five lakhs(#) per listed entity as on the date of submission of application for Issue of Duplicate Securities, the registered holder(s) shall comply with item no 1 to 3 as stated above:

#. The value shall be ascertained on the basis of closing price at any one of the recognized stock exchanges a day prior to the date of submission in the application.

Where value of securities exceeds Rupees Five lakhs(#) per listed entity as on the date of submission of application for Issue of Duplicate Securities additional documents as stated in point no 4 and 5 are required.

4. Original newspaper clippings, where loss of securities has been published in a widely circulated newspaper.

5. F.I.R / e-F.I.R /Acknowledged Police Complaint, reporting loss of securities, containing details of the securities, folio number, distinctive number range and certificate numbers. An overseas securities holder instead of submitting F.I.R / e-F.I.R /Acknowledged Police Complaint, shall be permitted to provide self declaration of the security certificates lost/ misplaced/stolen, duly notarised / apostilled / attested by the

Indian Consulate / Embassy in their country of residence, along with self attested copies of valid passport and overseas address proof.

### **Important points to be noted**

- a. Documents as mentioned in item no 1 to 3 are mandatory for Issue of Duplicate Securities irrespective of the value of securities.
- b. Registered Holder(s) shall submit Affidavit & Indemnity Bond in Non Judicial Stamp Paper (NJS) of appropriate value. You may use E-Stamping facility or Franking of Documents, if the facility is available in your location.
- c. Where the registered office of the Issuer Company is situated in the state of Maharashtra, the Indemnity Bond is to be submitted on NJS of Rs.500/- and Affidavit on NJS of Rs.100/-
- d. Attestation by Notary Public / Gazetted Officer should mention their name, full address, registration number and affix their seal, Notarial Fee stamps, as applicable.
- e. Nomination Form SH-13 or Declaration for opting out of Nomination as per Form ISR-3 to opt-out signed by all the Registered Holder(s) as required by Form ISR-4
- f. Client Master List (CML) If the Registered Holder(s) have a Demat Account as per the name(s) as provided in Form ISR-4, you are request to provide a self attested copy of CML.

If you do not know the distinctive number(s) of the lost certificate(s) please provide folio number and the distinctive number(s) of the certificates in your possession, to enable us to verify and advise details of the lost securities. In case you trace the certificate(s) which had been reported lost, please inform us immediately vide a letter signed by the holders as per their specimen signatures registered with the Company so as to avoid any complexity/delay in future transactions. Please also forward original / notarized acknowledged copy of Withdrawal of Police Complaint with respect to the securities traced.

Post processing of the request, a Letter of Confirmation shall be issued to facilitate submission of the same with the Depository Participant for dematerialization in compliance with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022.

## **10. Bank Details/Electronic Remittance**

### **Do I have to register my bank details with the Company?**

Yes. Please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For securities held in physical form where the folio is KYC compliant, please submit the following to enable updation of change in bank details :-

1. Form ISR-1 duly completed and signed by all the holders as per the specimen signature recorded with us furnishing the bank account details
2. Original cancelled chequeleaf bearing the name of the first holder

OR

Bank attested legible copy of the first page of the Bank Passbook / Bank Statement bearing the names of the account holders, address, same bank account number and type as on the cheque leaf and the full address of the Bank branch and, Bank attested legible copy of the last page of the Bank Passbook / Bank Statement showing the latest transaction which is not more than 3 months old.

The attestation of the Bank passbook / statement should be by the Bank Manager under his name, employee code, designation, full address and official stamp of the Bank and date of attestation.

**For securities held in electronic form, the bank details have to be registered with your depository participant.**

I am not a taxpayer, am I required to file a declaration for non-deduction of tax at source for my dividend / interest amount?

As per the Finance Act 2020 and applicable Section 194 of the Income-Tax Act, 1961 and amendments thereto tax will be deducted at source, with effect from 1st April, 2020, as follows-

FOR RESIDENT INDIVIDUALS: at the rate of 10%, if the amount due exceeds Rs.5000.00 (the threshold limit).

In case a resident individual is not a tax-payer/not liable for deduction of tax at source, a declaration in Form 15G for claiming tax exemption from dividend or interest paid on debentures is required to be submitted to LinkIntime. For a resident individual who is of the age of 60 years or more, this declaration is to be made in Form 15H.

FOR NON-RESIDENTS: (including Companies other than domestic Companies) at the rate of 20%. To avail TDS benefit under Double Taxation Avoidance Agreement, Non Resident investors to submit, - Tax Residency Certificate (TRC) issued by the Tax / Government authority of the country in which the Non-Resident is a resident of. - Form 10F containing therein information to be provided under sub-section (5) of section 90 or sub-section (5) of section 90A of the Income-tax Act, 1961, if not so covered in TRC.

Important points to be noted Form 15G/15H, as applicable, must be submitted either in hard copy or scanned copy of the same should be forwarded to the designated email ids as conveyed by the respective Companies in the tax communications sent to the shareholders. .

Self-attested copy of valid PAN Card of the declarant must be sent along with the tax exemption form in Form 15G/15H as applicable. Declaration shall be invalid if PAN is not recorded for the folio/demat account.

In case PAN is not available, tax deducted at source will be at higher rate.

Name of the Company and Folio No. / DP id Client id must be provided in the Form15G/15H.

The duly completed forms may please be sent by the 1st of April every year to avoid missing out on book closure/record dates.

Forms 15H/15G are valid for only one financial year and fresh declaration has to be submitted every year.

### **How do I obtain a duplicate Tax Deduction certificate?**

Please write, giving:-

Details of the Tax Deduction Certificate that you require.

Name of the Company in which you hold the securities.

Your full name and address.

Your Folio No. / DP id Client id.

Payment date(s) and financial year.

For any queries not covered herein, please refer to us for clarification, quoting your Folio No. / DP id Client id.

### **11. Transfer of unclaimed/unpaid dividend/ interest amount transferred to the General Revenue Account/ Investor Education and Protection Fund of the Central Government**

#### **When is unclaimed / unpaid dividend / interest amount transferred to the General Revenue Account / Investor Education Protection Fund of the Central Government?**

As per Section 205(A) of the Companies Act, all unclaimed and unpaid dividend maintained in the separate dividend account of the Company was required to be transferred to the General Revenue Account of the Central Government after the prescribed period of approximately 3 years. Any claim post transfer to the Central Government should be made to the Registrar of Companies in the prescribed form.

However as per the Amendment vide the Companies (Amendment) Ordinance, 1998, Section 205 (A) of the Companies Act 1956, this clause has been amended with effect from 31st October, 1998. Accordingly, all unclaimed Dividend / Interest / Principal / Maturity amounts on Deposits/ Debentures after expiry of 7 years from the date they were due for payment shall be transferred to Investor Education and Protection Fund. ("THE FUND").

#### **When are shares transferred to the Investor Education Protection Fund of the Central Government?**

As per provisions of the Companies Act, 2013 and Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016, it is prescribed that all shares shall be transferred to IEPF in respect of which unpaid or unclaimed dividend is transferred as provided under Section 124 (5) and 124 (6) of the Companies Act, 2013 and rules prescribed therein.

Further, please note that the Ministry of Corporate Affairs, Government of India has notified the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Second Amendment Rules, 2017 (IEPF Rules). According to the said IEPF Rules, Companies are required to transfer such shares for which dividend has not been claimed for 7 consecutive years, to the demat account of IEPF Authority.

In terms of the provision of Companies Act, 2013 and IEPF Rules, the Company has transferred such shares by cancelling the original share certificate registered in the names of the shareholders and issuing duplicate share certificate in lieu of the original share certificate and transmitting the same to the demat account of IEPF Authority. Thereafter, the original share certificate would automatically stand cancelled and deemed non-negotiable or not tradeable and there would be no holding under the registered Folio of the holder. Please note that no claim shall lie against the Company in respect of unclaimed dividend amount and shares transferred to IEPF pursuant to the IEPF Rules.

## **How do I claim unclaimed / unpaid amounts and shares that are transferred to IEPF?**

In terms of Section 124 (6) of the Companies Act, 2013 and Rule 7 of the IEPF Rules, you may claim both the unclaimed / unpaid amounts and the shares from IEPF Authority

You may submit the required documents as mentioned on the IEPF website to the Nodal Officer of the Company (retain the copies of the same with you) along with the original share certificate(s) for claiming the shares / dividends from the IEPF Authority. On verification of the documents, if the same are found complete in all respects, the Nodal Officer of the Company will issue an Entitlement Letter.

You may, thereafter, lodge the Claim with the IEPF Authority by filing an application on MCA website at [www.iepf.gov.in](http://www.iepf.gov.in). Thereafter, you are required to forward to the Nodal Officer of the Company the hard copy of the abovementioned Form IEPF-5 duly signed (as per the specimen signature recorded with the Company) along with the requisite documents.

The Rules and the Application Form (Form IEPF-5), as prescribed by the MCA for claiming the shares / dividend are available on the website of MCA at [www.iepf.gov.in](http://www.iepf.gov.in).

Please also note that:

1. No claim shall lie against the Company in respect of unclaimed dividend amount and shares transferred to IEPF Authority pursuant to the said Rules.
2. Post transfer of securities to the IEPF Authority, all subsequent corporate benefits accruing on them shall also be credited in favour of the demat account of IEPF Authority and you can claim the benefits from them.

Important points to be noted  
Investors are informed that after verification of the documents submitted and in case of change in signature / non-availability of signature / inability to sign due to old age or health problem / difference in name / requirements related to enhanced due diligence, additional documents will be called for, viz. Affidavit, Government Gazette, proof of identity / address, PAN and bank details, and such other additional procedures / documents, as applicable.

Investors are advised to submit an attested copy of any one of the following documents in case of mismatch in name on PAN Card, Aadhaar Card, supporting documents vis a vis Security Certificate, Company's Record.

- Valid Passport
- Legally recognised Marriage Certificate
- Gazette notification regarding Change in Name
- Aadhaar Card

### **Old/Time Barred instruments/unclaimed dividend/ interest:**

**I have an old warrant which I forgot to encash and is now time-barred? Can I still obtain the amount due to me?**

Yes, you can. Provided the amount is found to be outstanding and not transferred to the General Revenue Account of the Central Government or the Investor Education and Protection Fund and the account is KYC compliant.

In case your account is KYC compliant, you may send the outdated instrument to us, to facilitate remittance of the payment.

## **12. Dematerialisation:**

### **How do I open an account with a Depository and will I be periodically informed about the movement in my electronic account?**

You may open an account with a depository participant (DP) of your choice. As an investor you will interact with National Securities Depository Limited (NSDL) or Central Depository Services Limited. (CDSL) through your Depository Participant.

Your DP will update your account after each transaction and would periodically furnish you with a statement of holding. You may verify this with them at the time of opening your electronic account.

### **How do I convert my paper certificates into an electronic holding and will I continue to receive corporate benefits?**

To dematerialize your holding, you should first have an account with a DP of your choice. You may then hand over to your DP, the certificates along with the 'Dematerialization Request Form' (DRF). Only the securities registered in your name can be submitted for dematerialization. Your DP will then send the DRF and the certificates to us and an electronic request will also be sent through the NSDL/CDSL network reconfirming the same. We will verify the documents and if found in order, the dematerialization request will be confirmed to NSDL/CDSL who will in turn inform your DP. This process would take approximately 15-20 days.

All the corporate benefits such as dividend, interest, bonus shares, rights shares will be issued by the Company to the beneficial owners i.e. the accountholders who hold the securities in electronic form. The dividend/interest amounts as and when declared / issued will be sent to you / your bankers directly. The entitlement of rights and bonus shares / debentures wherever applicable, will be credited to the beneficiaries' accounts as per the investors' option and the terms of the issue

### **How do I trade (buy / sell) in electronic form?**

You may buy and sell securities in electronic form through the depository by coordinating with your broker and your DP. Such transactions would be simpler and faster. Payments for such transactions would be made in the same way as is done for physical certificates. Securities purchased in electronic form are credited to your account with no formalities of filling transfer forms or applying to the Company for registration. All such transactions are exempt from stamp duty and accordingly no share transfer stamps are required to be affixed.

Such transactions are not routed through the Company and the debit/credit takes place directly in the Depository System. However, corporate benefits would be paid by the Company to the person holding such securities on the Record date/Book closure date, as applicable.

### 13. Change of Name

#### How do I apply for change of name?

Please ensure that your folio is KYC compliant. For more details on KYC compliance, please refer to point I above.

For KYC compliant folio, please submit the following:

i. For Individuals, consequent to marriage / divorce / attaining majority

1. Legible copy of the documents mentioned below, in respect of each name change, duly attested by Notary Public / Bank Manager / First Class Magistrate. Attestation by Notary Public / First Class Magistrate should mention their name, full address, registration number and affix their seal, Notarial / Court Fee stamps, as applicable. Attestation by Bank Manager should bear the name, full address and official stamp of the bank.

The name on the documents submitted should be the same as that on the securities.

Marriage- Legally recognized Marriage Certificate / Government Gazette

Divorce- Divorce Decree

Attaining Majority-Birth Certificate / School Leaving Certificate

2. Original certificates for the securities.

3. Application Form for Transmission duly completed and signed by the holder(s) whose signature(s) should be attested by his/their Bank Manager under his name, full address and official stamp of the bank. This form can be downloaded from our website.

4. Self-attested copy of PAN Card of the holder(s).

ii. For Corporates consequent to change in name of the Company

For securities held in physical form, please submit the following:-

1. Letter duly signed by the authorized signatory/trustee supported by the certified true copy of the documents mentioned below in respect of:

Corporate Body- Certificate of Incorporation along with Memorandum and Articles of Association. The Board Resolution signed by the Company Secretary/Directors on the letter head of the Company empowering the signatories to sign on behalf of the Company along with the specimen signatures of the Authorized Signatories is also to be submitted.

Trust- Certificate of Registration along with the Trust Deed. The Resolution signed by the Secretary/Trustee on the letter head of the Trust empowering the signatories to sign on behalf of the Trust along with the specimen signatures of the Authorized Signatories is also to be submitted.

Society- Certificate of Registration along with their Bye Laws/ Rules & Regulations. The Resolution signed by the Secretary/Trustee on the letter head of the Society empowering the signatories to sign on behalf of the Society along with the specimen signatures of the Authorized Signatories is also to be submitted.

2. Original certificates for the securities.

3. Application Form for Transmission duly completed and signed by the Authorized Signatories. This form can be downloaded from our website.

4. Certified true copy of PAN Card of Corporate Body/ Trust/ Society.

In case a change in address is to be noted, the request to this effect should be supported by the certified true copy of Form No.18 / INC 22 filed with the Registrar of Companies for change in the registered office address.

**Important points to be noted:**

Investors are informed that after verification of the documents submitted and in case of change in signature / non-availability of signature / inability to sign due to old age or health problem / difference in name / requirements related to enhanced due diligence, additional documents will be called for, viz. Affidavit, Government Gazette, proof of identity / address, PAN and bank details, and such other additional procedures/documents, as applicable.

Investors are advised to submit an attested copy of any one of the following documents in case of Mismatch in Name on PAN Card vis a vis Security Certificate / Application Form for Transmission -

- Valid Passport
- Legally recognised Marriage Certificate
- Gazette notification regarding Change in Name
- Aadhaar Card

**For securities held in electronic form, please contact your depository participant**

**14. WHAT IS...**

**What is Name deletion / Transmission?**

The process of deleting a deceased person's name from the Company's records as well as from the certificates, in case of joint holders, is called name deletion. Transmission process is due to operation of law whereby securities are transmitted to different names, based on marriage certificate / divorce decree / Court Order etc.

**What is Consolidation?**

The process by which a single certificate is issued in lieu of multiple share certificates of smaller denominations submitted by the holder is called Consolidation. The denomination of the single certificate issued will be the sum of the smaller denominations of the multiple certificates, provided they are under the same folio.

**What is Amalgamation?**

The process by which the holder can merge the holdings of multiple folios (provided the names are identical and are in same order) into a single folio is called Amalgamation.

**What is a Split?**



The process by which multiple certificates are issued in lieu of a single certificate is called Split. The sum of the denominations of the multiple certificates issued will be that of the single certificate.

### **What is a Sub-Division?**

When the face value of the share of a Company is split into smaller denominations, the share is said to be subdivided viz. a share of Rs.100/- each may be subdivided into 10 shares of Rs.10/- each.

### **What is a Merger?**

Whenever a Company buys another Company or companies or performs a deed whereby the shareholders of the acquired Company automatically become the shareholders of the parent company then such an activity is called a Merger.

### **What is Dematerialization?**

This is a process whereby the holdings held in physical form are converted to Electronic form.

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