

SHAREHOLDERS' HANDBOOK

How to update KYC details like Address, Mobile number, Email ID, etc.?

For shares held in electronic / demat form:

A.	Intimate the change of address to the depository participant (where you hold the demat account) and not to the company or the Registrar and share transfer agent.
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For shares held in physical form:

A.	Write to the Registrar and Transfer Agent i.e. BgSE Financials Limited, informing about the KYC details to be updated.
B.	Please ensure that your signature appearing in request letter is as per the specimen signature registered with us. In case of joint holding, all the joint holders should sign such request.

Document requirement:

Request letter	On plain paper
Self-attested proof of identity (PAN / Passport / Driving License)	-
Self-attested proof of Address (Passport / Aadhar / Utility Bill)	-
KYC Form	Form ISR-1
Bank signature verification form signed and attested by the Bank where bank account is held.	Form ISR-2
Cancelled Cheque or Passbook 1 st Page copy	-

How to register, change, remove nominee for shares held?

For shares held in electronic / demat form:

A.	Update the nominee details at your depository participant (where you hold the demat account) and not with company or the Registrar and share transfer agent.
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For shares held in physical form:

A.	A shareholder may at any time nominate a person to whom his/her shares shall vest in the event of his/her death. Where the shares are held by more than one person jointly, the joint holders may together nominate a person to whom all the rights in the shares shall vest in the event of death of all the joint holders.
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Instructions:

1.	The Nomination can be made by individual only, holding shares on; their own behalf, singly or jointly. Non-individuals including trust, society, partnership firm, Karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the shares are held jointly, all joint holders will have to sign the nomination form.
2.	A minor can be nominated by a holder of shares and in that event the name and address of the guardian shall be given by the holder.
3.	The nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a power of attorney holder.
4.	Nomination stands rescinded upon transfer of share(s).
5.	Transfer of shares in favour of a nominee shall be a valid discharge by the Company against the legal heir.

Document requirement:

To register a nominee	- Form SH-13
To revise / cancel the nominee	- For SH-14
For Opting-out of Nomination	- ISR-3
Self-attested copy of PAN Card of nominee	-

How to get the Duplicate Share Certificate in case of loss of original one?

A.	<p>Please send an email to RTA and the Company with attachment of torn share certificate, letter received in past from RTA / Company, dividend warrant, KYC docs, etc and confirm below details with the Company about the shareholding:</p> <ol style="list-style-type: none"> Whether your shares have been transferred to IEPF. Certificate Nos / Distinctive Nos / Folio No / Number of Shares
B.	In case of torn, mutilated, defaced, destroyed or lost share certificate(s), the shareholders are eligible to receive duplicate share certificate(s) in lieu of the same.
C.	The shareholder(s) have to surrender their original torn, defaced or mutilated share certificates to the company, along with a request for issue of a duplicate share certificate(s).
D.	In respect of lost / misplaced share certificates, immediately on receipt of the complaint from the concerned shareholder(s), company registrar would be marking a “stop transfer” in the system to enable not to proceed with any further transaction on the said share certificate(s).
E.	Upon verification of the records, shareholder shall submit the request along with original executed copies of below listed documents:
F.	After processing the service request, the RTA shall issue a ‘Letter of Confirmation’ to the securities holder/claimant, which will be valid only for 120 days. Using this ‘Letter of Confirmation’, the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company.

Document requirement:

An indemnity bond to be executed on a Rs.500/- stamp paper in favour of the Company and duly attested/notarized.	Annexure A
An affidavit to be executed on a Rs. 500/- stamp paper and duly attested by the S.E.M or Oaths Commissioner or Notary Public.	Annexure B
Newspaper Advertisement regarding loss of share certificate in a widely circulated newspaper format (<u>if value of the securities exceeds Rs. 5 Lakhs</u>)	Advertisement Format
Copy of First Information Report (FIR / e-FIR / Police Complaint/ Court Injunction order) having details of securities, folio number, distinctive number range & certificate number. (<u>if value of the securities exceeds Rs. 5 Lakhs</u>)	-

Investor Service Request	ISR-4
Attested copy of PAN card	-
Self-attested copy of address proof i.e. Aadhar Card, Election Card, Driving License, Passport, Electricity Bill, Telephone Bill, etc. to be provided by applicant/s (shareholder/s). Utility bill should not be older than 3 months.	-
KYC Form	ISR-1
Bank signature verification form signed and attested by the Bank where bank account is held.	ISR-2
Client Master List (CML) for demat account. (Provided by depository participant where demat account is held confirming account status as 'Active'. Name on CML shall sync with name of shareholder in company register)	-
Cancelled cheque of bank account from which ISR-2 is obtained	-

- Other Documents
 - a. In case any of the joint holder is deceased, notarized copy of his/her death certificate will have to be furnished. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public to be furnished.
 - b. In case of name change due to marriage or any other reason, notarized copy of marriage certificate/ government gazette will have to be furnished.
 - c. If the signature of the shareholder/s is not registered with the Company, signature verification form duly attested by the bank will have to be furnished.

In case of the death of shareholder(s), how to get shares transmitted in name of legal heir(s)?

A.	<p>Please send an email to RTA and the Company with attachment of torn share certificate, letter received in past from RTA / Company, dividend warrant, etc and confirm below details with the Company about the shareholding:</p> <ol style="list-style-type: none"> Whether your shares have been transferred to Investor Education and Protection Fund (IEPF). Whether any nominee is registered for the said shares, if yes, name of the same.
B.	Upon verification of the records, shareholder shall submit the request along with original executed copies of below listed documents for transmission of shares:
C.	After processing the service request, the RTA shall issue a 'Letter of Confirmation' to the securities holder/claimant, which will be valid only for 120 days. Using this 'Letter of Confirmation', the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company.

Document requirement:

Where securities are held in single name with a nomination:

Signed transmission request form by nominee	Annexure C
Original death certificate or copy of death certificate attested by nominee or attested by a notary public or by a gazetted officer.	-
Original share certificate	-
Self-attested copy of PAN card of nominee.	-
Self-attested copy of address proof i.e. Aadhar Card, Election Card, Driving License, Passport, Electricity Bill, Telephone Bill, etc. to be provided by applicant/s (shareholder/s). Utility bill should not be older than 3 months.	-
KYC Form	ISR-1
Bank signature verification form signed and attested by the Bank where bank account is held.	ISR-2
Investor service request	ISR-4
Client master list for demat account (Provided by depository participant where demat account is held confirming account status as 'Active')	-
Cancelled cheque of bank account from which ISR-2 is obtained	-

Where securities are held in single name without nomination, below docs in addition to above:

Notarized affidavit from all legal heirs on stamp paper of INR 500/- In case the legal heir is named in any of the documents listed below, then affidavit from such legal heir would suffice.	Annexure D
Notarized Indemnity Bond from legal heir on stamp paper of INR 500/-	Annexure E
Notarized No objection certificate from all non-claimants on stamp paper of INR 500/-	Annexure F
<u>Any of the below if value of the securities exceeds Rs. 5 Lakhs):</u> a. Succession Certificate or b. Will / Probate of Will or c. Letter of administration or d. Court Decree or e. Legal Heirship Certificate with Indemnity Bond in Annexure E and NOC in Annexure F	-

Important Points to be noted:

- There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
- If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
- Proof of identification and Signature verification form has to be provided for each applicant.
- A passport size photograph of applicant duly signed by him/her on the reverse.
- Please annex all the documents required along with this application itself to avoid delay in transmission process. The application will be accepted and processed only on receipt of all the documents.

How to transfer the shares held through physical share certificate?

As per Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fourth Amendment) Regulations, 2018 and vide Notification dated November 30, 2018, requests for effecting transfer of shares shall not be processed unless the shares are held in the dematerialized form with a depository w.e.f. April 01, 2019.

Hence, if you are holding shares in physical form and wish to sell the shares to a third party through Stock Exchange/ off market, please get the shares dematerialized and credited in your demat account. The shareholders need to contact their depository participant (DP) with whom your demat account is maintained to know the procedure for transferring the shares.