

This Referencer has been prepared to facilitate the shareholders to understand the procedures involved in completing various investor-related transactions in general. Shareholders are requested to refer to the relevant Acts, Rules, Regulations, Guidelines, Clarifications, etc. before dealing in the securities of the Company.

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COMPANY'S INFORMATION

About Alok Industries Limited (CIN: L17110DN1986PLC000334)

Alok Industries Limited ('the Company') is an integrated textile company with a product range comprising of cotton and polyester goods. It was incorporated on 12th March, 1986 as a private limited company with the company's first polyester texturizing plant being set up in 1989. It became a public limited company in 1993.

Capital Structure:

Particulars	(Amount in Rs.)	
	Equity Shares	Preference Shares
Authorised Share Capital	3500,00,00,000	500,00,00,000
Paid Up Share Capital	496,52,40,401	250,00,00,000

Particulars	Preference Shares
Number of Shares	250,00,00,000
Face Value	Rs. 1.00
ISIN	INE270A03025

As a part of the Resolution Plan approved by the National Company Law Tribunal, Ahmedabad Bench, the Company had on 28th February, 2020, allotted on preferential basis to Reliance Industries Limited ("RIL"), 250,00,00,000 - 9% Optionally Convertible Preference Shares ("OCPS") of Re. 1 each for cash at par, for a total consideration of Rs. 250 crore. During the Financial Year 2021-22, the OCPS were due for conversion at the option of RIL. Since RIL did not exercise its option to convert OCPS into equity shares, as per the terms and conditions of the OCPS, the Company will redeem the same on 27th February, 2030, i.e. the last day of the 10th anniversary of the date of allotment, by paying an amount at least equal to the outstanding OCPS subscription amount and there shall be no impact on Equity Share Capital of the Company.

Particulars	Equity Shares
Number of Shares	496,52,40,401
Face Value	Rs. 1.00
% of shares held in Demat Form as on 31 st March, 2022	99.96
Number of Shareholders as on 31 st March, 2022	5,16,158
Listed on	BSE Limited (BSE) Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400 001. Website: www.bseindia.com

Particulars	Equity Shares
	National Stock Exchange of India Limited (NSE) Exchange Plaza, Bandra Kurla Complex, Bandra (E), Mumbai - 400051. Website: www.nseindia.com
ISIN	INE270A01029
Stock Code	BSE - 521070 / NSE - ALOKINDS

Contact Details:

Registered Office	17/5/1, 521/1, Village Rakholi/ Saily, Silvassa, Union Territory of Dadra and Nagar Haveli - 396230. Tel No.: 0260 6637000 Fax: 0260 2645289
Corporate Office	Tower B, 2 nd & 3 rd Floor, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai - 400013. Tel No.: +91 22 61787000 Fax: +91 022 61787118 E-mail: investor.relations@alokind.com
Nodal Officer	Mr. Hitesh Kanani Tower B, 2 nd & 3 rd Floor, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai - 400013. Tel No.: +91 22 61787000 E-mail: hitesh.kanani@alokind.com
Registrar and Transfer Agent (RTA)	Link Intime India Private Limited C-101, 247 Park, LBS Marg, Vikhroli (West), Mumbai - 400083. Tel No.: +91 022 49186000 Fax: +91 022 49186060 Email: rnt.helpdesk@linkintime.co.in Website: www.linkintime.co.in

Shareholding Pattern:

Sr. No.	Category of Shareholders	No. of Shares	%
1.	Promoter & Promoter Group		
a.	Reliance Industries Limited (RIL) (Promoter)	198,65,33,333	40.01
b.	JM Financial Asset Reconstruction Company Limited acting in its capacity as Trustee of JMFARC - March 2018-Trust (JMFARC) (Person Acting in Concert) (Refer Note below)	173,73,11,844	34.99
2.	Public	124,13,95,224	25.00
TOTAL		496,52,40,401	100.00

Note:

RIL is the promoter of the Company and JMFARC is the Person Acting in Concert (PAC) with RIL but considering that there is no provision for PAC in the prescribed format of Shareholding Pattern, they have been shown as part of the Promoter Group with an explanatory note.

Composition of Board of Directors of the Company:

Name of Directors	Category
Mr. A. Siddharth	Non-Executive - Independent Director (Chairman)
Ms. Mumtaz Bandukwala	Non-Executive - Independent Director
Mr. Rahul Dutt	Non-Executive - Independent Director
Mr. Hemant Desai	Non-Executive - Nominee Director of RIL
Mr. Anil Kumar Rajbanshi	Non-Executive - Nominee Director of RIL
Mr. V. Ramachandran	Non-Executive - Nominee Director of RIL
Mr. Nirav Parekh	Non-Executive - Nominee Director of JMFARC

Composition of Committees of Board of Directors:

The detail composition of the Committees of Board of Directors of the Company such as Audit Committee, Nomination and Remuneration Committee, Corporate Social Responsibility and Governance Committee, Stakeholders Relationship Committee and Risk Management Committee is available on the website of the Company at <https://www.alokind.com/shareholder.html>.

Key Managerial Personnel:

Pursuant to Regulation 30 (5) of Listing Regulations, the contact details of the Key Managerial Personnel authorised for the purpose of determining the materiality of event or information is mentioned below:

Name & Designation	Address & Contact No.	Email Id
Mr. Sunil O. Khandelwal - Manager	Peninsula Business Park, Tower B, 2 nd & 3 rd Floor,	sunil.khandelwal@alokind.com
Mr. Bijay Agrawal - Chief Financial Officer (CFO)	G. K. Marg, Lower Parel, Mumbai - 400013.	bijay.agrawal@alokind.com
Mr. Hitesh Kanani - Company Secretary & Compliance Officer	Contact No.: +91 022 - 61787000	hitesh.kanani@alokind.com

SHAREHOLDERS' INFORMATION

How can the RTA help the shareholders?

They can assist the shareholders with any of the following:

- Procedural compliances related to processing the following service request:
 - Issue of duplicate certificate;
 - Claim from Unclaimed Suspense Account;
 - Replacement / Renewal / Exchange of securities certificate;
 - Endorsement;
 - Sub-division / Splitting of securities certificate;
 - Consolidation of Folios;
 - Consolidation of Securities certificate;
 - Transmission;
 - Transposition;

[Note: Pursuant to SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022, the Company/RTA shall issue securities in demat form only while processing the above service requests.](#)

- Queries related to dividend, shareholding, etc.;
- Queries pertaining to transfer of dividend / shares to Investor Education and Protection Fund;

- Procedure for claiming dividend / shares from Investor Education and Protection Fund;
- Processing and updating investor holding;
- Processing change in /update of the KYC details of the investors for physical holdings like change of address/bank account details/ e-mail address / mobile/ nomination and PAN;
- Nomination Facility with respect to shares held in physical form and changes therein;
- Providing details of allotment and clarification on allotment;
- Processing of other requests, viz. recording of declaration w.r.t. exemption / lower tax rates for TDS on dividend/interest, revalidation and reissue of dividend and interest instruments;
- Execution and intimation of other corporate actions viz., ESOPs, Dividend payment, Stock split, Bonus issue and Merger/Demerger activities;
- Communication of Rights issue entitlements;
- Communication of Buyback, exit offer, takeover made by the company/ acquirer, and the procedure to be followed by investor in respect of these issues;
- Processing grievance received through e-mails, letters and through SCORES portal;
- Any other shares related matters.

Timelines pertaining to various services provided by RTA:

Sr. No.	Name of Service	Expected Timelines (number of days)
A	Investor Service Request:	
1	*Processing of transmission request	21
2	*Processing of issue of duplicate security certificate request	30
3	*Processing of dematerialization request	15
4	Processing of remat request	30
5	*Processing of Transposition request	15
6	I. Processing of request for change in / update of	

Sr. No.	Name of Service	Expected Timelines (number of days)
	a. Name	30
	b. Signature	30
	c. Nomination	30
	d. Contact details (Address, E-mail address and Mobile number)	15
	e. Bank account details	15
	II. Processing of request for Updation of PAN	15
7	Processing of Re-validation of dividend / interest / redemption instruments and sending the remittance request files to the bank / Company	15
B	Grievance Redressal	
1	Providing response to the inquiries of the investors and Redressal of Grievance	30
C	Other Operational activities	
1	Allotment of securities (IPO)	6
2	Intimation regarding distribution of corporate benefits (dividend, bonus, stock Split)	
	a. E-mail communication	15
	b. Physical communication	30

*Pursuant to [SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#), the RTA shall issue securities in **demat form only** while processing the above service requests.

The Timeline for the same is as under:

- After verifying and processing the request, the RTA shall intimate the shareholder(s) / legal heir(s) / claimant(s) about its execution as may be applicable, by way of issuing Letter of Confirmation ("LOC") within 30 from the receipt of request.
- The RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp "Letter of Confirmation Issued" on the face / reverse of the certificate.
- The claimant shall submit demat request along with LOC to the Depository Participants ("DP") within 120 days of issue of LOC.
- DP shall generate the demat request on the basis of LOC and forward the same to RTA/Issuer Company for processing demat request.
- 1st reminder will be sent by RTA, within 45 days of issue of LOC, if demat request not submitted by claimant.

- 2nd reminder will be sent by RTA, within 90 days of issue of LOC, if demat request not submitted by claimant.
- Shares shall be credited to Suspense Escrow Demat Account of the Company in case on non-receipt of demat request from the claimant.

Shareholders' Rights:

As a shareholder in a company, you enjoy certain rights, which are as follows:

- to receive all the benefits/ material information declared by the Company;
- to receive shares on allotment or transfer as the case may be, in due time;
- to receive copies of the Annual Report containing the Balance Sheet, statement of Profit & Loss Account, Auditor's Report, etc.;
- to receive not less than 21 days' notice of general meetings;
- to actively participate in the AGM / EGM of the company & E-voting events so as to be a part of the decision making of the Company's business resolutions
- to receive dividends and other corporate benefits like rights, bonus, etc., once approved;
- to inspect various registers, minute books of general meetings and to receive copies thereof after complying with the requirements prescribed in applicable laws;
- to requisition an Extra-ordinary General Meeting in accordance with the provisions of the Act;
- to receive correspondence from the Company, RTA, Stock Exchange or SEBI, raise grievances, if any and seek a satisfactory solution within reasonable timelines;
- other rights as specified in the statutory enactments.

Shareholders' Responsibilities:

Some of the responsibilities entrusted on shareholders are:

- to remain abreast of corporate developments, company specific information and take informed investment decision(s);
- to remain informed;
- to be vigilant;
- to participate and vote in general meetings;
- to be aware of relevant statutory provisions and ensure effective compliance therewith;
- to claim unclaimed dividend within time to avoid transfer of dividend/shares to IEPF Authority;
- neither to indulge in fraudulent and unfair trading in securities nor to act upon any unpublished price sensitive information;

- to contribute to the Greener Environment and accordingly register email addresses to enable the Company to send all documents/notices including Annual Reports electronically;
- to update PAN, address, bank account and other requisite details with the Company's RTA (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form);
- to register nominations, which would help the nominees to get the shares transmitted in their name without any hassle, etc.

What are the Do's and Don'ts for the Shareholders?

Do's

- Encash dividend/Interest regularly to avoid transfer of unclaimed amount/underlying securities to IEPF.
- Follow up diligently and promptly if you have not receive allotment intimation/certificate / dividend / interest etc.
- Ensure that your PAN is registered with the RTA for all your folios.
- Ensure nomination is registered for all your securities to smoothen the transmission.
- Ensure that all KYC details viz. full postal address with PIN, mobile number, e-mail address etc. are updated to facilitate the RTA for sending communication.
- Ensure that correct and complete Bank details are recorded with RTA to facilitate prompt electronic credit of dividend / interest / redemption amounts and eliminate possibility of unclaimed amounts / underlying securities being transferred to IEPF.
- Promptly inform the RTA in writing and complete required formalities in case of loss of securities.
- Ensure that the documents provided for availing any investor service request are complete in all respects and keep copies of documents sent to the RTA.
- Monitor all corporate announcements pertaining to investments made.

Don'ts

- Do not keep your folios without PAN.
- Do not keep your folios without nomination.
- Do not deal with unauthorized persons for any investor service requests such as change in / updation of address, e-mail address, mobile number and bank details.
- Do not share security details, viz. folio number, certificate number, distinctive number(s), bank details, specimen signature, KYC documents, etc. with unknown person(s).

FREQUENTLY ASKED QUESTIONS

1. DEALING IN SECURITIES:

1.1. What is considered as dealing in Securities of the Company?

Dealing in Securities means an act of subscribing, buying, selling or agreeing to subscribe, buy, sell or deal in the securities of the company by any person either as principal or agent.

1.2. What are the types of accounts required for dealing in securities in demat form?

A. Beneficial Owner Account (B. O. Account) / Demat Account:

Demat account is an account opened with a Depository Participant (DP) in the name of the investor for holding the securities in digital or electronic form.

B. Trading Account:

Trading account is an investment account opened by the stock broker / brokerage firm in the name of the investor for buying and selling of securities in the stock market.

C. Bank Account:

Bank account is an account opened with any bank in the name of the investor and linked to the B. O. Account/Demat Account for debiting or crediting money with respect to buying and selling of securities in the stock market.

1.3. Why bank account details is necessary at the time of BO account opening?

Bank account details are necessary for the protection of interest of investors. When any cash or non-cash corporate benefits such as rights or bonus or dividend is announced for a particular scrip, depositories provide to the concerned Company / RTA, the details of the investors, their electronic holdings as on record / book closure date for reckoning the entitlement of corporate benefit.

The disbursement of cash benefits such as dividend is credited directly by the Company / RTA to the beneficiary owner through the ECS (Electronic

Clearing Service wherever available) facility or by issuing warrants on which bank account details are printed for places where ECS facility is not available. The bank account number is mentioned on the dividend and warrant to avoid any fraudulent misuse. The bank account details will be those which are mentioned in account opening form or modified details that had been intimated subsequently by the investor to the DP.

1.4. Can an investor change the details of his bank account?

Yes, however, the investor must inform the DP regarding change in the bank account and corresponding change in IFSC code while updating their bank account details with DP.

1.5. Can multiple accounts be opened?

Yes, an investor can open more than one account in the same name with the same DP and also with different DPs. For all the accounts, investor has to strictly comply with KYC norms including Proof of Identity, Proof of Address requirements as stipulated by SEBI and also provide PAN number. The investor has to show the original PAN card at the time of opening of demat account.

1.6. Can an investor open a single account for securities owned in different ownership patterns such as securities owned individually and securities owned jointly with others?

No. The Demat account must be opened in the same ownership pattern in which the securities are held in the physical form. e. g. if one share certificate is in the individual name and another certificate is jointly with somebody, two different accounts would have to be opened.

1.7. Can an investor close his demat account with one DP and transfer all securities to another account with another DP?

Yes, the investor can submit account closure request to his DP in the prescribed form. The DP will transfer all the securities lying in the account, as per the instruction, and close the demat account.

1.8. What is Delivery Instruction Slip (DIS) and what precautions one should observe with respect to DIS?

Delivery Instruction Slip (DIS) is issued by the Depository Participant (DP) and used by holder of securities to give instructions to DP to facilitate and authorize the sale or transfer of securities from his/her demat account to the demat account of the recipient of securities. DIS may be compared to a cheque book of a bank account but for your demat account transactions. The following precautions are to be taken in respect of DIS:

- Ensure that DIS numbers are pre-printed and DP takes acknowledgment for the DIS booklet issued to the investor.
- Ensure that the account number [client id] is pre-stamped or pre-printed.
- If the account is a joint account, all the joint holders have to sign the DIS. Instruction cannot be executed if all joint holders have not signed.
- Avoid using loose slips.
- Do not leave signed blank DIS with anyone viz., broker / sub-broker, DPs or any other person/entity.
- Keep the DIS book under lock and key when not in use.
- If only one entry is made in the DIS book, strike out the remaining space to prevent misuse.
- Personally fill in target account-id and all details in the DIS.
- If the DIS booklet is lost/stolen/not traceable, the same must be intimated to the DP, immediately, in writing. On receipt of such intimation, the DP will cancel the unused DIS of the said booklet.
- Do not issue /submit DIS without mentioning execution date.

1.9. Is it possible to give delivery instructions to the DP over Internet and if yes, how?

Yes, both NSDL and CDSL have launched this facility for delivering instructions to your DP over Internet, called SPEED-e and EASI respectively. The facility can be used by all registered BOs after paying the applicable charges.

1.10. What is Online Trading in securities?

Online Trading in securities refers to the facility available to an investor for placing his own orders to buy and/or sell any securities using the online trading platform offered by the stock brokers. The orders so placed by the investor using online trading platform would be routed through the stock brokers. It facilitates the investor to trade in various financial instruments such as equities, mutual fund, commodities, etc.

1.11. What precautions an online investor must take?

Investor trading online must take the following precautions:

- Default password provided by the stock broker / trading member must be changed before placing the order for the first time.
- The password should not be shared with others and password must be changed at periodic intervals.
- Obtain proper understanding of the manner in which the online trading software has to be operated.
- Get adequately trained before using the software.
- The online trading system has facility for order and trade confirmation after placing the orders.
- Sufficient amount of funds/number of securities should be available in the bank/demat account for honouring the order(s) placed.

1.12. What are the other safety measures an online investor must observe?

- Avoid placing order(s) from shared PCs/through cybercafés.
- Log out after having finished trading to avoid misuse.
- Do not click “remember me” option while signing-in from shared PCs/through cyber cafés.
- Do not leave the terminal unattended while “signed-in” in the trading system.

- Protect your personal computer against viruses by placing a firewall and an antivirus solution.
- Do not open e-mails from people you do not know.

1.13. What are the Do's and Don'ts while dealing in securities market?

Do's

- Transact only through stock exchanges.
- Deal only through SEBI registered intermediaries.
- Complete all the required formalities of opening an account properly (client registration, client agreement forms, etc.).
- Ask for and sign "Know Your Client Agreement", copy of Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading), Rights and Obligations of Beneficial Owner and DP as prescribed by SEBI and Depositories, Uniform Risk Disclosure Documents (for all segments / exchanges), Guidance Note detailing Do's and Don'ts for trading on stock exchanges or any other document which has been executed between stock broker, sub-broker and client, voluntarily. (Read and properly understand the risks associated with investing in securities/derivatives before undertaking transactions.)
- Assess the risk-return profile of the investment as well as the liquidity and safety aspects before making your investment decision.
- Ask all relevant questions and clear your doubts with your broker before transacting.
- Invest based on sound reasoning after taking into account all publicly available information and fundamentals.
- Beware of the false promises and to note that there are no guaranteed returns on investments in the stock market.
- Give clear and unambiguous instructions to your broker/sub-broker/DP.
- Be vigilant in your transactions.

- Insist on a contract note for your transaction.
- Verify all details in the contract note, immediately on receipt.
- Always settle dues through the normal banking channels with the market intermediaries.
- Crosscheck details of your trade with details as available on the exchange website.
- Scrutinise minutely both, the transaction and the holding statement that you receive from your DP.
- Keep copies of all your investment documentation.
- Handle DIS Book issued by DPs carefully.
- Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped or pre-printed.
- In case you are not transacting frequently, make use of the freezing facilities provided for your demat account.
- Pay the margins required to be paid in the time prescribed.
- Deliver the shares in case of sale or pay the money in case of purchase within the time prescribed.
- Participate in general meetings either personally or through proxy and exercise vote through e-voting.
- Be aware of your rights and responsibilities.
- Make sure correct mobile number and email ID is entered by the broker/DP in exchange/depository records.
- Check SMS of transaction done in Trading Account. Exchanges use to send SMS of transactions to your mobile number.
- In case of complaints, approach the right authorities for redressal in a timely manner.

- Make sure your account is being settled by the broker as per the Running Account Authorisation given by you at the time of opening of account or any subsequent change therein.

Don'ts

- Don't undertake off-market transactions in securities.
- Don't deal with unregistered intermediaries.
- Don't fall prey to promises of unrealistic returns.
- Don't invest on the basis of hearsay and rumours; verify before investing.
- Don't forget to take note of risks involved in the investment.
- Don't be misled by rumours circulating in the market.
- Don't blindly follow media reports on corporate developments, as some of these could be misleading.
- Don't follow the herd or play on momentum – it could turn against you.
- Don't be misled by so called hot tips.
- Don't try to time the market.
- Don't hesitate to approach the proper authorities for redressal of your doubts/grievances.
- Don't leave signed blank DISs of your demat account lying around carelessly or with anyone.
- Do not sign blank DIS and keep them with DP or broker to save time. Remember your carelessness can be your peril.
- Do not provide any Power of Attorney to operate bank or demat account to your broker unless it is as per the format prescribed by SEBI. Broker cannot add any other clause in the Power of Attorney than what is prescribed by SEBI.

2. DEMATERIALIZATION OF SHARES:

2.1. What is Dematerialization of shares?

Dematerialization is the process by which physical certificates of an investor are converted to an equivalent number of securities (i.e. shares, bonds etc.) in electronic form and credited into the investor's demat account maintained by him with his Depository Participant (DP).

2.2. What is an ISIN?

ISIN (International Securities Identification Number) is a unique 12 digit alpha numeric identification number allotted for a security (Example - INE270A01029). Equity-fully paid up, equity-partly paid up, equity with differential voting /dividend rights issued by the same issuer will have different ISINs.

2.3. Why dematerialize shares?

In terms of Regulation 40 of the SEBI Listing Regulations and vide [SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#), service request for effecting the following:

- Issue of duplicate certificate;
- Claim from Unclaimed Suspense Account;
- Replacement / Renewal / Exchange of securities certificate;
- Endorsement;
- Sub-division / Splitting of securities certificate;
- Consolidation of Folios;
- Consolidation of Securities certificate;
- Transmission;
- Transposition;

shall not be processed unless the securities are held in the dematerialized form with a depository.

In view of the same and to eliminate all risks associated with physical shares and for ease of portfolio management, shareholders holding shares in physical form are requested to consider converting their holdings to dematerialized form. However, shareholders can continue to hold shares in physical form.

2.4. What are the benefits of Dematerialization?

- Convenient mode of holding shares, especially if you are holding shares of many companies.
- Elimination of risks associated with physical certificates such as fake securities, delays, thefts, etc.
- Lower stamp duty on transfer of shares.
- Immediate transfer/trading of securities.
- Faster settlement cycle.
- Facilitates direct credit of shares in case of allotment under IPO, Rights, Bonus, Split, etc. and direct credit of dividend to shareholders designated account.
- SMS alert facility.
- Periodic status reports and information available on internet.
- Saving of time - Change in address / bank account particulars etc. recorded with DP gets registered electronically with all companies in which the investor holds securities. Thus eliminating the need to correspond with each of the companies separately. Further, transmission of securities (in the event of death of the shareholder) is done by the DP, eliminating the need to correspond with all companies and following different procedures laid by them.
- Ease in portfolio monitoring.
- Ease in pledging the shares.
- Holding investments in equity and debt instruments in a single account.
- No odd lot problem, even one share can be traded.
- Nomination facility.

2.5. What is the procedure for Dematerialization of shares?

- Shareholders shall open a Beneficiary Account with a DP registered with SEBI and with any one of the Depositories i.e., NSDL or CDSL.
- Submit the Dematerialization Request Form (DRF) as given by DP duly filled in and signed by all the shareholders, along with share certificate(s) / Letter of confirmation (LOC) issued by RTA and requisite documents. Ensure that the names and order of names as per certificate(s) matches with the names and order of the names as per the DP account.
- Obtain an acknowledgement from the DP on handing over the share certificate(s).
- DP intimates the relevant Depository of such requests through the system.
- On receipt of DRF as above, DP will generate a Dematerialization Request Number (DRN) and the said DRN is electronically transmitted to the Company / Registrar and Transfer Agent (RTA) through the concerned Depository.
- Simultaneously, DP will send the physical certificate(s) / LOC with the original DRF to the Company/RTA for verification and confirmation.
- The Company/RTA, on receipt of DRF and share certificate(s) / LOC as above, will process the said request and if the DRF is found to be in order {viz. verification of signature and certificate(s)}, will electronically confirm the said request.
- The Company's RTA, after dematerializing the certificate(s), updates accounts and informs concerned Depository regarding completion of dematerialization. Depository updates its accounts and informs the DP.
- The DP on receipt of such confirmation, will update the demat account of the investor.
- As per regulations in force presently, the dematerialization process should be completed within 15 days from the date of receipt of demat request at RTA.

2.6. How to get dividend on dematerialized shares? Will such shareholders be eligible for receiving Annual Report every year and also to attend General Meetings?

Dividend of shareholders holding shares in dematerialized form will be credited through Electronic Mode to the bank accounts as opted by them while opening the Beneficiary Accounts with the DP.

If the shareholders are holding shares in physical form, dividend warrants will be dispatched to them with the bank account details, as furnished by the Depositories, printed thereon.

The Government of India aims at reducing paper consumption thereby contributing to a greener environment through Green Initiative. In this regard, the Ministry of Corporate Affairs ('MCA') vide its Circular Nos. 17/2011 dated 21st April, 2011 and 18/2011 dated 29th April, 2011 commenced the "Green Initiative in Corporate Governance" thereby allowing Companies to issue Annual Reports and other documents to the shareholders in electronic mode.

Holding shares in dematerialized form will not affect the rights of the Shareholders. They, as shareholders of the Company, will be entitled to receive Annual Report through electronic mode via email, attend General Meetings and participate and vote there at to the extent of their entitlement.

In case, they wish to get a physical copy of the Annual Report of the Company, they may send a request to the Company by quoting their DP ID and Client ID or Folio Number and the Company will send the same at free of cost.

2.7. Whom should a shareholder inform change in address, bank account details etc. in respect of shares held in demat form?

Since shareholders demat account is maintained by their DP, all request/communication regarding change in address, bank account details, ECS mandate, registration of nomination etc. should be addressed by the shareholders to the DP directly.

2.8. Why the Company cannot take on record bank details in case of Dematerialized shares?

As per the Depository Regulations, the Company is obliged to pay dividend on dematerialized shares as per the bank account details furnished by the concerned Depository. Therefore, investors are requested to keep their bank particulars updated with their concerned DP.

2.9. Is pledge of dematerialized shares possible?

Yes, shares held in dematerialized form can be pledged as security for the purpose of availing loan/credit facility from a bank or as collateral for availing finance from other financial institutions, subject to complying with the terms and conditions prescribed by the DP.

2.10. Who will receive the corporate benefits on the pledged securities?

The securities pledged are only blocked in the account of pledger (investor) in favour of the pledge (lender). The pledger would continue to receive all the corporate benefits.

2.11. Can odd lot shares be dematerialized?

Yes, odd lot share certificates can also be dematerialized.

2.12. Do dematerialized shares have distinctive numbers?

Dematerialized shares do not have any distinctive numbers. These shares are fungible, which means that all the holdings of a particular security will be identical and interchangeable.

2.13. What is SMS alert facility?

NSDL and CDSL provide free SMS Alert facility for demat account holders whereby the investors can receive alerts for debits and credits in their demat accounts. Under this facility, investors can receive alerts, a day after such debits (transfers)/credits take place. These alerts are sent to those account holders who have provided their mobile numbers to their DPs.

3. REMATERIALIZATION OF SHARES:

3.1. What is rematerialization of shares?

It is the processes through which shares held in demat form are converted into physical form in the form of share certificate(s).

3.2. What is the procedure for Rematerialization of shares?

- Shareholders should submit the duly filled in Rematerialization Request Form (RRF) to the concerned DP.
- DP intimates the relevant Depository of such request through the system.

- DP submits RRF to the Company's RTA.
- Depository confirms rematerialization request to the Company's RTA.
- The Company's RTA updates accounts and prints certificate(s) and informs the Depository.
- Depository updates the Beneficiary Account of the shareholder by deleting the shares so rematerialized.
- Share certificate(s) is despatched to the shareholder by Company's RTA within 30 days from the date of receipt of RRF.

4. INFORMATION FOR SHAREHOLDERS HOLDING SHARES IN PHYSICAL FORM:

4.1. Is submission of Permanent Account Number (PAN), KYC details and Nomination mandatory for holder of physical shares?

SEBI has vide Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated 3rd November, 2021](#) read with [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated 14th December, 2021](#) has made it mandatory for the shareholders holding securities in physical form to furnish PAN, KYC details and Nomination to the RTA of the Company.

In view of the above, it is mandatory for all the shareholders holding shares in physical form to furnish following documents/details to RTA:

- PAN
- Nomination
- Contact Details
- Bank Account Details
- Specimen signature

Shareholders shall submit Form ISR-1 to RTA for updating PAN and other KYC details.

In case of mismatch in the signature of the holder in the records of RTA, the shareholder shall furnish original cancelled cheque and banker's attestation of the signature as per Form ISR-2.

Shareholders shall use Form SH-13 and SH-14 for declaration of nomination and change in nomination respectively. However, in case shareholder wants to opt-out of nomination, Form ISR-3 shall be filed. In case of cancellation of

nomination by the shareholder through Form SH-14, Declaration to Opt-out in Form ISR-3 shall be mandatorily provided by the shareholder.

Forms for raising Service Requests:

Form	Purpose
<u>ISR-1</u>	Request for Registering PAN, KYC details or changes/updation there of (only for securities held in physical mode).
<u>ISR-2</u>	Confirmation of Signature of securities holder by Banker.
<u>ISR-3</u>	Declaration for Opting-out of Nomination by holders of physical securities in Listed Companies.
<u>ISR-4</u>	Request for issue of Duplicate Certificate and other Service Requests.
<u>ISR-5</u>	Request for Transmission of securities by Nominee or Legal Heir.
<u>SH-13</u>	Nomination Form.
<u>SH-14</u>	Cancellation or Variation of Nomination.

The shareholders can download the aforementioned forms from the "Downloads" section under the "Investor Relations" tab on the Company's website, www.alokind.com.

The hard copies of the duly executed forms along with relevant documents/details should be sent to the RTA at the following address:

Link Intime India Private Limited

Unit: Alok Industries Limited

C-101, 247 Park, LBS Marg,

Vikhroli (West), Mumbai - 400083.

Tel No.: +91 022 49186000

Fax: +91 022 49186060

Email: rnt.helpdesk@linkintime.co.in

The shareholders may also send the aforesaid forms along with the relevant documents / details at the email address of the RTA.

The shareholders are requested to note that the folios wherein any one of the abovementioned documents / details are not furnished or made available on or after 1st April, 2023 shall be frozen by the RTA.

Effective 1st January, 2022, shareholders will not be eligible to lodge their grievance or avail service request from the RTA unless PAN, KYC and Nomination documents/details are submitted.

4.2. What will be the effect on shares in frozen folios?

The shareholder holding shares in frozen folio will not be eligible to lodge their grievances or avail service request from the RTA unless PAN, KYC and Nomination documents/details are submitted.

The shareholders holding shares in frozen folio shall be:

- eligible to lodge grievance or avail service request from the RTA only after furnishing the complete documents / details as mentioned in point 4.1 above.
- eligible for any payment including dividend, interest or redemption only through electronic mode. An intimation will be sent from the RTA to such shareholders that payment is due and shall be made electronically upon complying with the requirements mentioned above in point 4.1.

Further, such shares will be referred by the RTA / Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002, if they continue to remain frozen as on 31st December, 2025.

4.3. How to revert the frozen folios to normal status?

The RTA shall revert the frozen folios to normal status upon:

- Receipt of all the documents / details mentioned above in point 4.1.
- Dematerialization of all the shares in such folios.

4.4. Is it compulsory to link PAN and Aadhar for shareholder of physical shares?

Yes, it is mandatory to link PAN and Aadhar on or before 31st March, 2022 for shareholder holding shares in physical form. Accordingly, the folios in which PAN and Aadhar are not linked as on the above mentioned date shall be frozen by the RTA.

4.5. How to link PAN and Aadhar?

You can link your PAN with Aadhar by following process:

- Open the Income Tax e-filing portal - <https://incometaxindiaefiling.gov.in/>
- Register on it (if not already done). Your PAN will be your user id.
- Log in by entering the User ID, password and date of birth.
- A pop up window will appear, prompting you to link your PAN with Aadhar. If not, go to 'Profile Settings' on Menu bar and click on 'Link Aadhar'.
- Details such as name date of birth and gender will already be mentioned as per the PAN details.
- Verify the PAN details on screen with the ones mentioned on your Aadhar. Please note that if there is a mismatch, you need to get the same corrected in either of the documents.
- If the details match, enter your Aadhar number and click on the "link now" button.
- A pop-up message will inform you that your Aadhar has been successfully linked to your PAN
- You may also visit <https://www.utiitsl.com/> or <https://www.egov-nsdl.co.in/> to link your PAN and Aadhar.

5. TRANSFER / TRANSMISSION / TRANSPOSITION OF SHARES:

Shareholders may also refer to the Process flow chart attached herewith as Annexure-5.

5.1. How to transfer shares in Physical Form?

Pursuant to the provisions of Regulation 40 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and vide SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022 shareholders may note that requests for effecting transfer of shares shall be carried out in dematerialized form only.

Hence, transfer of shares in Physical Form shall not be permitted. In view of the same, shareholders holding shares in physical form are requested to consider converting their holdings to dematerialized form with a Depository Participant for effecting any transfer of shares and to eliminate all risks associated with physical shares and for ease of portfolio management.

5.2. How to transfer shares in Electronic Form?

Procedure for transferring shares in electronic form:

- Shareholders are required to fill the DIS (Delivery Instruction Slip) and submit it to the Depository Participant.
- The Depository Participant forwards the DIS request to the Depository.
- The Depository will transfer the shares of existing shareholder to the demat account of transferee.

For further details with respect to transferring shares in electronic form the shareholders are requested to contact the respective Depository Participant.

5.3. How to get shares registered which are received by way of gift? Does it attract stamp duty?

Any gift of shares can be effected in dematerialized form only through off-market delivery instruction slip. Transfer of shares as gift in demat form does not attract any stamp duty.

5.4. What is transmission of dematerialized securities?

Transmission is the process by which securities of a deceased account holder are transferred to the account of his legal heirs / nominee. Process of transmission in case of dematerialized holdings is more convenient as the transmission formalities for all securities held in a demat account can be completed by submitting documents to the DP, whereas in case of physical securities the legal heirs/nominee/surviving joint holder has to independently correspond with each company in which securities are held.

5.5. What is the procedure for getting shares in the name of surviving shareholder(s), in case of joint holding of physical shares, in the event of death of one shareholder?

In case of shares held in physical form, the surviving shareholder(s) will have to submit a request letter ([Form ISR-5](#)) supported by following documents:

- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s) subject to verification with original by the RTA / the Company.
- Share Certificate(s)

The Company's RTA, on receipt of the valid documents and after due scrutiny, will delete the name of the deceased shareholder from its records and intimate to surviving shareholder(s) about its execution, by way of issuing a LOC within 30 days of receipt of request through registered/speed post. Additionally RTA may send LOC through e-mail with e-sign/digital signature.

The surviving shareholder(s) will have to submit demat request along with LOC to the Depository Participants within 120 days of issue of LOC for dematerialization of shares, as the shares shall be endorsed in demat form only.

For shares held in demat form, shareholders / investors are advised to approach their DP concerned.

5.6. What is the procedure for getting the shares held in single name having nomination transmitted in the name of Nominee?

The following documents are required to be submitted by the nominee:

- Duly signed transmission request form ([ISR-5](#));
- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s) subject to verification with original by the RTA / the Company;
- Self-attested copy of PAN card of the nominee, issued by Income Tax Department. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof);
- Copy of Birth Certificate (in case the nominee is a minor);
- KYC* of the Claimant Guardian (in case nominee is a minor / of unsound mind);
**If not KYC compliant.*
- Original security certificate(s).

After verifying and processing the request, the RTA shall intimate the nominee about its execution as may be applicable, by way of issuing a LOC within 30 days of receipt of request.

The nominee will have to submit demat request along with LOC to the Depository Participants within 120 days of issue of LOC for dematerialization of shares, as the shares shall be transmitted in demat form only.

5.7. What is the procedure for getting shares in the name of legal heir(s) / claimant(s) in the event of death of the sole shareholder without nomination?

The following documents needs to be submitted by the legal heir(s) / claimant(s):

- Duly signed transmission request form ([ISR-5](#));
- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the death certificate attested by the legal heir(s) / claimant(s) subject to verification with original by the RTA / the Company;
- Self-attested copy of PAN card of the nominee, issued by Income Tax Department. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof);
- Copy of Birth Certificate (in case the nominee is a minor);
- KYC* of the Claimant Guardian (in case nominee is a minor / of unsound mind);
**If not KYC compliant.*
- Original security certificate(s).
- Additional documents:
 - a) Notarized affidavit from all the legal heir(s) / claimant(s) made on non- judicial stamp paper of appropriate value – to the effect of identification and claim of legal ownership to the securities.

In case the legal heir(s)/claimant(s) is named in the succession certificate or probate of will or will or letter of administration or legal heirship certificate (or its equivalent certificate), an affidavit from such legal heir(s)/claimant(s), duly notarized shall be sufficient.

- b) Copy of following documents:
 - Succession certificate; or
 - Probate of Will; or

- Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified; or
- Letter of administration; or
- Court Decree; or
- Legal Heirship Certificate or its equivalent, along with:
 - i. A notarized indemnity bond from the legal heir(s) / claimant (s) to whom the securities are transmitted, as per the format specified; and
 - ii. No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided.

The document should be 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.

- c) For cases where the value of securities is up to rupees five lakhs per listed entity as on the date of submission of complete documentation in case of securities held in physical mode instead of and where the documents mentioned in point (b) above are not available, the following documents may be submitted:
- i. no objection certificate from all legal heirs(s) / claimant(s), or copy of family settlement deed executed by all the legal heir(s), duly attested by a notary public or by a gazetted officer; and
 - ii. notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the RTA/the Company.

After verifying and processing the request, the RTA shall intimate the legal heir(s) / claimant(s) about its execution as may be applicable, by way of issuing LOC within 30 days of receipt of request.

The RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp "Letter of Confirmation Issued" on the face / reverse of the certificate.

The claimant shall submit demat request along with LOC to the Depository Participants ("DP") within 120 days of issue of LOC.

DP shall generate the demat request on the basis of LOC and forward the same to RTA/Issuer Company for processing demat request.

5.8. What is the procedure for getting demat shares in the name of legal heir(s) in the event of death of the sole beneficial owner without nomination?

The following documents needs to be submitted by the legal heir(s) / claimant(s):

- Duly signed transmission request form ([ISR-5](#));
- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the death certificate attested by the legal heir(s) / claimant(s) subject to verification with original by the RTA / the Company;
- Self-attested copy of PAN card of the nominee, issued by Income Tax Department. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof);
- Copy of Birth Certificate (in case the nominee is a minor);
- KYC* of the Claimant Guardian (in case nominee is a minor / of unsound mind);
**If not KYC compliant.*
- Transaction Statement/Client Master.
- Additional documents:
 - a) Notarized affidavit from all the legal heir(s) / claimant(s) made on non- judicial stamp paper of appropriate value – to the effect of identification and claim of legal ownership to the securities.

In case the legal heir(s)/claimant(s) is named in the succession certificate or probate of will or will or letter of administration or legal heirship certificate (or its equivalent certificate), an affidavit from such legal heir(s)/claimant(s), duly notarized shall be sufficient.

- b) Copy of following documents:
 - Succession certificate; or
 - Probate of Will; or
 - Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified; or
 - Letter of administration; or
 - Court Decree; or

- Legal Heirship Certificate or its equivalent, along with:
 - i. A notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, as per the format specified; and
 - ii. No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided.

The document should be 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.

- c) For cases where the value of securities is up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode instead of and where the documents mentioned in point (b) above are not available, the following documents may be submitted:
 - i. no objection certificate from all legal heirs(s) / claimant(s), or copy of family settlement deed executed by all the legal heir(s), duly attested by a notary public or by a gazetted officer; and
 - ii. notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Depository Participant.

After verifying and processing the request, the Depository Participant shall intimate the legal heir(s) / claimant(s) about its execution as may be applicable.

Note:

The timeline for processing the transmission requests by the DP for securities held in dematerialized form is 7 days and by the Company/RTA for the securities held in physical form is 21 days, after receipt of the prescribed documents from the claimants/legal heirs.

5.9. What is the procedure for transposition i.e. Change in order of names?

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#) shareholders may note that requests for effecting transposition of shares shall be carried out in dematerialized form only.

Share certificate(s) along with a request letter in Form ISR-4 duly signed by all the joint holders and copies of their PAN Cards, duly attested, may be sent to the Company's RTA for change in order of names, known as 'transposition'.

Transposition can be done only for the entire holdings under a folio and therefore, request for transposition of part holding cannot be accepted by the Company/RTA.

After verifying and processing the request, the RTA shall intimate the shareholder about its execution by way of issuing a LOC within 30 days of receipt of request. The shareholder will have to submit demat request along with LOC to the Depository Participants within 120 days of issue of LOC.

The RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp "Letter of Confirmation Issued" on the face / reverse of the certificate.

For shares held in demat form, investors are advised to approach their DP concerned for transposition of names.

6. NOMINATION FACILITY:

6.1. What is nomination facility and to whom is it more useful?

Nomination refers to the act of nominating a person in whose name the shares would vest in the event of unfortunate death of the nominator (shareholder).

Section 72 of the Act provides the facility of nomination to shareholders. This facility is mainly useful for individuals holding shares in sole name. In the case of joint holding of shares by individuals, nomination will be effective only in the event of death of all joint holders.

The shareholders can download the nomination forms from the website of the Company at <https://www.alokind.com/shareholder.html>.

6.2. What are its advantages?

Notwithstanding anything contained in any other law or any testamentary deposition or otherwise, in respect of the shares, where a nomination has been made in accordance with the provisions of Companies Act, on the death of the shareholder, (or in case of joint holdings, on the death of all the joint holders), the Nominee shall become entitled to the rights in relation to such shares held by the deceased shareholder(s), to the exclusion of all other persons unless the nomination is revoked. This facility is mainly useful for individuals holding shares in single name.

6.3. What is the procedure for appointing a Nominee?

Shareholders, especially those who are holding shares in single name, are advised to avail of the nomination facility by submitting the prescribed forms as per the Act to the Company's RTA. Shareholders shall use [Form SH-13](#) and [SH-14](#) for declaration of nomination and change in nomination respectively. However, in case shareholder wants to opt-out of nomination, Form ISR-3 shall be filed. In case of cancellation of nomination by the shareholder through [Form SH-14](#), Declaration to Opt-out in [Form ISR-3](#) shall be mandatorily provided by the shareholder. On receipt of the request for registration of nomination, the RTA will register the same by allotting a registration number. The duplicate copy of the nomination form will be returned to the shareholder(s) indicating the registration number and the date of registration of nomination. The said forms may be downloaded from the Company's website, www.alokind.com under the section "Investor Relations".

However, if shares are held in dematerialized form, nomination has to be registered with the concerned DP directly, as per the format prescribed by the DP.

6.4. How does the Nomination for shares held in dematerialized form work?

In case the shares are held in dematerialized form, the nomination has to be recorded by the DP, who is maintaining the demat account. Once the nominee details are updated in shareholders demat account, the individual will be nominee for all the shares available in shareholders demat account. There is no need to separately inform each company of the demat account nominee.

6.5. Who can appoint a Nominee and who can be appointed as a Nominee?

Nomination can be made only by individuals holding beneficial accounts either singly or jointly. In case of joint holding, joint holders together have to appoint the nominee. An individual having capacity to contract only can be appointed as a nominee. While an individual can be appointed as a nominee, a trust, society, body corporate, partnership firm, Karta of HUF or a power of attorney holder will not be nominee(s). Minor can, however, be appointed as a Nominee.

6.6. Can a nomination once made be revoked / varied? What is the effect of nomination upon transfer of shares?

Yes. A nomination once made can be revoked/varied by making a fresh

nomination. If nomination is made by joint holders, and one of the joint holders dies, the remaining joint holder(s) can make a fresh nomination by revoking the existing nomination. Further, upon transfer of shares, the nomination stands automatically rescinded.

6.7. Are the joint holders deemed to be Nominees to the shares?

Joint holders are not nominees; they are joint holders of the relevant shares having joint rights on the same. In the event of death of any one of the joint holders, the surviving joint holder(s) of the shares is/are the only person(s) recognised under law as holder(s) of the shares. Surviving Joint holder(s) may appoint a nominee.

6.8. Does the shareholder have to send the share certificate(s) along with the nomination form?

No.

6.9. Is nomination form required to be witnessed?

A nomination form must be witnessed.

6.10. What rights are conferred on the Nominee and how can he exercise the same?

As per the provisions of Section 72 of the Act, the nominee is entitled to all the rights in the securities of the deceased shareholder in relation to such securities to the exclusion of all other persons. In the event of death of the shareholder, all the rights of the shareholder shall vest in the nominee. In case of joint holding, all the rights shall vest in the nominee only in the event of death of all the joint holders. The nominee is required to apply to the Company or to the DP as may be applicable, by reporting death of the nominator along with the attested copy of the death certificate.

6.11. What is the procedure for getting shares in favor of the Nominee?

Upon death of the shareholder or the joint holders, as the case may be, the Nominee would be required to furnish the following documents in addition to any other documents as may be required by the RTA for the purposes of identification:

- Original death certificate or copy of death certificate of the deceased shareholder, attested by a notary public/gazette officer or copy of the

death certificate attested by the nominee(s) subject to verification with original by the RTA / the Company;

- Self-attested copy of PAN card of the nominee, issued by Income Tax Department. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof);
- Copy of Birth Certificate (in case the nominee is a minor);
- KYC* of the Claimant Guardian (in case nominee is a minor / of unsound mind);
**If not KYC compliant.*
- Original security certificate(s).

RTA, on being satisfied about the identity of the Nominee, will request the Nominee elect to either register himself as a shareholder or to transfer the shares. The Nominee is then required to issue a notice of his election.

However, if the Nominee elects to be registered as a shareholder, he shall send a notice to RTA in writing, stating that he/she so elects.

After verifying and processing the request, the RTA shall intimate the nominee about its execution as may be applicable, by way of issuing a LOC within 30 days of receipt of request.

The nominee will have to submit demat request along with LOC to the Depository Participants within 120 days of issue of LOC for dematerialization of shares, as the shares shall be transmitted in demat form only.

6.12. What is the effect on the nomination in the event of death of one of the joint holder?

In the event of death of one of the joint holder, the shares get transmitted in the name of the surviving holder. The death of one of the joint holder does not rescind the nomination, as the Nominee will have title to the shares only after the death of all the joint holders. However, as stated earlier, the surviving shareholder(s) can make a fresh nomination.

6.13. In case of death of the shareholders, what is the legal position of the nominee?

In case of shares held by sole holder, upon the death of the shareholder, the nominee, to the exclusion of any other legal heir/beneficiary, is the only person in whom the shares vest. In other words, in case of a valid nomination, the Company will not entertain any claim from legal heirs or beneficiaries and the shares will be transmitted only in favour of the Nominee.

In case the nomination is made by joint-holders, it will come into play only upon the death of all the joint holders. Therefore, if one of the joint shareholders dies, the shares will devolve on the surviving shareholders to the exclusion of the nominee. In this case, the surviving shareholders may make a fresh nomination if they so desire.

6.14. What is the effect of nomination when a shareholder dies leaving a minor nominee?

In terms of Sub-Section (4) of Section 72 of the Companies Act, 2013, if the Nominee is a minor, it shall be lawful for the holder of the shares to nominate in the prescribed manner any person to become entitled to shares in the event of his/her death during the minority of the Nominee. A perusal of the prescribed Form SH 13 reveals that in case of a minor Nominee, a person is required to be named as a guardian to whom the shares shall vest in the event of death of the shareholder during minority of Nominee. On attaining majority, the Nominee is required to send a notice of his decision to either become a shareholder or to transfer the shares.

6.15. What happens if the Nominee dies before the Shareholder?

If a nominee dies before the shareholder, the nomination automatically gets cancelled until and unless the shareholder furnishes fresh nomination form to the company. In such an event the company transmits the shares in favour of the legal heirs or the holder(s) of the succession certificate. Thus the heirs of the nominee are not entitled to the shares if the nominee has predeceased the shareholder.

7. DIVIDEND:

7.1. What are the modes by which the dividend is paid?

Dividend is paid under following modes, viz.:

- a) National Automated Clearing House (NACH).
- b) National Electronic Fund Transfer (NEFT).
- c) Real Time Gross Settlement (RTGS)
- d) Direct Credit to shareholders' account by bank.
- e) Physical despatch of Dividend Warrant.

7.2. How does one get dividend on shares held in electronic form?

The Company obtains the details of beneficiary holders (shareholders) from the Depositories as on the date of book closure / record date fixed by the Board of Directors. Dividend in respect of shares held in electronic form is normally credited through one of the abovementioned modes to the bank account as per the details provided in the Beneficiary Account of the shareholder maintained by the DP. The shareholders, who have registered their bank details with the Company / RTA, shall be entitled to get dividend in electronic form as mentioned above.

7.3. What should a shareholder do in case of non-receipt of dividend?

Shareholders should write to the Company's RTA, furnishing the particulars of the dividend not received, quoting the folio number / DP Id and Client Id particulars, as the case may be and provide bank details along with cancelled cheque bearing the name of the shareholder for updation of bank details and payment of unpaid dividend. The RTA would request the concerned shareholder to execute an indemnity before processing the request. **As per a circular dated 20th April, 2018 issued by SEBI, the un-encashed dividend can be remitted by electronic transfer only and no duplicate dividend warrants will be issued by the Company.** The shareholders are advised to register their bank details with the Company / RTA or their DPs, as the case may be, to claim un-encashed dividend from the Company.

7.4. Why shares should be transferred before the book closure/record date fixed for dividend payment?

The dividend on shares lying in the clearing account of the brokers cannot be made available to the shareholders directly by the Company. In case an

investor has bought any shares, he must ensure that the shares are transferred to his demat account before the Book Closure/Record Date.

In case share are not transferred by the stock broker in the demat account of the client, it means the shares are lying in client margin account of the broker maintained by the broker. The broker is liable to pay the amount of dividend received by him to the client in such case.

8. TRANSFER OF UNPAID / UNCLAIMED DIVIDEND / SHARES IN THE NAME OF INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY.

8.1. What are the statutory provisions governing unpaid dividend?

Dividend lying in the Unpaid Dividend Account which remains unpaid or unclaimed for a period of seven years is required to be transferred to the Investor Education and Protection Fund (IEPF).

8.2. What is the status of unclaimed / unpaid dividend for different years?

The status of unclaimed and unpaid dividend of the Company is captured in Chart 1 below:

Chart 1: Status of unpaid and unclaimed dividend for different years:

	Unclaimed Dividend for financial year 1999-00 to 2007-08
Transfer of unpaid dividend	Transferred to Central Government's Investor Education and Protection Fund (IEPF)
Claims for unpaid dividend	Can be claimed from IEPF after complying with the prescribed procedure under the Act

8.3. What are the provisions relating to transfer of shares in the name of IEPF Authority? Which shares of a company are liable to be transferred in the name of IEPF Authority?

In accordance with Section 124(6) of the Act, all shares in respect of which dividend has not been paid or claimed for seven consecutive years or more shall be transferred by the Company in the name of IEPF Authority.

However, shares in respect of which specific order of Court or Tribunal or Statutory Authority restraining any transfer of such shares and payment of dividend is registered with the company or shares which are pledged or

hypothecated under the provisions of the Depositories Act, 2018, shall not be so transferred.

The voting rights on shares transferred in the name of IEPF Authority shall remain frozen until the rightful owner claims the shares.

8.4. What is the status of transfer of shares in the name of IEPF Authority?

Adhering to the provisions of Section 124(6) of the Act read with the rules made thereunder, the Company has transferred to the IEPF Authority all shares in respect of which dividend had remained unpaid or unclaimed for seven consecutive years or more as on the due date of transfer. Details of shares transferred to the IEPF Authority are available on the website of the Company under the tab 'IEPF' and the same can be accessed through the link: <https://www.alokind.com/shareholder.html>. The said details have also been uploaded on the website of the IEPF Authority and the same can be accessed through the link: www.iepf.gov.in.

8.5. Whether shares / dividend transferred in the name of IEPF Authority can be claimed from IEPF Authority?

Yes. Shares transferred in the name of IEPF Authority in pursuance of Section 124(6) of the Act as well as dividend(s) transferred to IEPF in pursuance of Section 124(5) of the Act can be claimed from IEPF Authority.

8.6. What is the procedure to claim shares and/or dividend from IEPF Authority?

The detailed procedure for claiming unpaid amounts and shares from IEPF Authority is available on the website of the Company under the tab 'IEPF' and the same can be accessed through the link: https://www.alokind.com/Investor_Relations-pdf/Shareholders_Information/IEPF/Procedure_for_Claim_from_IEPF.pdf.

The Shareholders are requested to go through the abovementioned procedure before submitting application for claim.

8.7. Where can a shareholder / claimant submit his / her claim form etc. with the Company?

A shareholder / claimant, claiming shares and/or dividend amounts shall, after filing Web-Form IEPF-5 with IEPF Authority electronically, submit the necessary documents, as prescribed in the said form, to the Company's Nodal Officer or RTA at any of its below given addresses:

Mr. Hitesh Kanani - Company Secretary, Compliance Officer and Nodal Officer (IEPF), Alok Industries Limited, Peninsula Business Park, Tower B, 2nd & 3rd Floor, G. K. Marg, Lower Parel, Mumbai - 400 013 (Registered Office Address: 17/5/1, 521/1, Village Rakholi/ Saily, Silvassa, The Union Territory of Dadra and Nagar Haveli - 396 230) or Link Intime India Private Limited C-101, 247 Park, LBS Marg, Vikhroli (West), Mumbai - 400 083.

9. MISCELLANEOUS

9.1. What is the procedure for obtaining duplicate share certificate(s) in case of loss/misplacement of original share certificate(s)?

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#) shareholders may note that requests for effecting duplicate share certificate shall be carried out in dematerialized form only.

Shareholders who have lost/misplaced share certificate(s) should inform the Company's RTA immediately about loss of share certificate(s), quoting their folio number and details of share certificate(s), if available.

The RTA shall immediately mark a 'stop transfer' on the folio to prevent any further transfer of shares covered by the lost share certificate(s).

The shareholder should send their request for duplicate share certificate(s) to the Company's RTA and submit following documents:

- A. If value of securities less than Rs.5 Lakh on the basis of the closing price of such securities at any one of the recognized stock exchanges a day prior to the date of submission of application:
 1. The claimant needs to submit application in Form ISR-4 along with following documents:
 - a. Indemnity Bond on Rs. 500 non-judicial stamp paper;
 - b. Affidavit on Rs. 100 non-judicial stamp paper;
 - c. Self-attested copy of PAN and address proof of the claimant;
 - d. Self-attested copy of PAN and address proof of the witness to indemnity;

- e. In case the claimant does not have Certificate No. / Distinctive No. / Folio No, the RTA shall provide the same on written request by the claimant;
 - f. RTA to provide the same if signature and address matches with the record;
 - g. If the signature and address does not match the claimant need to comply with the KYC procedure as per SEBI Circular dated 3rd November, 2021;
 - h. After verifying and processing the request, RTA / Issuer Company shall intimate the claimant about its execution by way of issuing LOC within 30 days of receipt of request through registered/speed post. Additionally it may be sent through email with esign/digital signature;
 - i. RTA shall retain the share certificates and deface it with stamp "Letter of Confirmation Issued" on the face/reverse of the certificate, subsequent to processing of service request;
 - j. The Claimant shall submit DEMAT request along with LOC to the DP within 120 days of issue of LOC;
- B. If value of securities more than Rs.5 Lakh on the basis of the closing price of such securities at any one of the recognized stock exchanges a day prior to the date of submission of application:
1. The claimant needs to submit application in Form ISR-4 along with following documents:
 - a. Copy of FIR e-FIR / Police complaint / Court injunction order necessarily having details of the securities such as name of the Company, Folio No., number of shares, share certificate numbers along with distinctive numbers and name of the registered shareholder should be mentioned in the complaint.

Overseas securities holder - value of securities exceed Rs.5 Lakh can provide self-declaration of the security certificates lost/misplaced/stolen instead of FIR (Duly notarized/apostilled /attested by the Indian Consulate / Embassy in their country of residence, along with self-attested copies of valid passport and overseas address proof);

- b. Issuance of advertisement regarding loss of securities in a widely circulated newspaper.
- c. Indemnity Bond on Rs. 500 non-judicial stamp paper;
- d. Affidavit on Rs. 100 non-judicial stamp paper;
- e. Self-attested copy of PAN and address proof of the claimant;
- f. Self-attested copy of PAN and address proof of the witness to indemnity;
- g. In case the claimant does not have Certificate No. / Distinctive No. / Folio No, the RTA shall provide the same on written request by the claimant;
- h. RTA to provide the same if signature and address matches with the record;
- i. If the signature and address does not match the claimant need to comply with the KYC procedure as per SEBI Circular dated 3rd November, 2021;
- j. RTA / Issuer Company shall intimate the claimant about its execution by way of issuing LOC within 30 days of receipt of request through registered/speed post. Additionally it may be sent through email with esign/digital signature;
- k. RTA shall retain the share certificates and deface it with stamp "Letter of Confirmation Issued" on the face/reverse of the certificate, subsequent to processing of service request;
- l. The claimant shall submit demat request along with LOC to the DP within 120 days of issue of LOC.

Shareholders may also refer to the checklist attached herewith as Annexure-9.1.

9.2. What is the procedure for replacement of share certificate(s) in lieu of torn, defaced or mutilated share certificate(s)?

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#) shareholders may note that requests for effecting replacement of share certificate shall be carried out in dematerialized form only.

Shareholder shall submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing therein the torn, defaced or mutilated share certificate(s).

After verifying and processing the request, RTA shall intimate the claimant about its execution by way of issuing LOC within 30 days of receipt of request.

RTA shall retain the share certificates and deface it with stamp "Letter of Confirmation Issued" on the face/reverse of the certificate, subsequent to processing of service request. The Claimant shall submit demat request along with LOC to the DP within 120 days of issue of LOC.

9.3. What is the procedure for splitting of a share certificate into smaller lots?

Pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#) shareholders may note that requests for effecting splitting of share certificate shall be carried out in dematerialized form only.

Shareholders may submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing the relevant share certificate for splitting into smaller lots.

After verifying and processing the request, RTA shall intimate the claimant about its execution by way of issuing LOC within 30 days of receipt of request.

RTA shall retain the share certificates and deface it with stamp "Letter of Confirmation Issued" on the face/reverse of the certificate, subsequent to processing of service request. The shareholder shall submit demat request along with LOC to the DP within 120 days of issue of LOC.

9.4. What is the procedure to get the certificates issued in various denominations consolidated into a single certificate?

Consolidation of share certificates helps in saving cost while dematerializing the share certificates and also provides convenience in holding the shares physically. However, pursuant to SEBI Circular No. [SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022](#) shareholders may note that requests for effecting consolidation of shares shall be carried out in dematerialized form only.

Shareholders may submit his / her application in [Form ISR-4](#) to Company's RTA, duly signed by all the shareholders, enclosing the relevant share certificate for consolidation.

After verifying and processing the request, RTA shall intimate the claimant about its execution by way of issuing LOC within 30 days of receipt of request.

RTA shall retain the share certificates and deface it with stamp "Letter of Confirmation Issued" on the face/reverse of the certificate, subsequent to processing of service request. The shareholder shall submit demat request along with LOC to the DP within 120 days of issue of LOC.

9.5. What is the procedure for registering change of name of shareholders?

If the shares are in physical form, the shareholder shall send a request letter duly signed as per the specimen signatures registered with the Company/ RTA together with the following self-attested documents:

- Gazette Notification for the name change, marriage certificate, other identity proof etc. for change or variations in name in various documents, share certificates etc.
- Affidavit for change or variations in name in various documents (PAN/Aadhar etc.), share certificates.

If the shares are in demat mode, the shareholder can approach their Depository Participant (DP) to effect the change of name.

9.6. What is the procedure to get change of address registered in the Company's records?

If the shares are in physical form, the shareholder shall send a request in [Form ISR-1](#) duly signed by all the registered holder(s) as per the specimen signatures registered with the Company/ RTA together with any one of the following self-attested documents as proof of residence **(of both present and previous addresses)** and photo identity:

- Valid Passport / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions
- For FII / sub account, 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 should be taken.
- The proof of address in the name of the spouse.
- Client Master List (CML) of the Demat Account of the holder / claimant, provided by the Depository Participant.
- Copy of electricity bill/telephone bill (not more than three months old)/voter ID card/driving license/passport/Aadhar card of the sole/first named shareholder; and
- Self-attested copy of PAN Card of all the holders of shares

RTAs shall forthwith send intimation about the request for change in address to the holder at both the old and new addresses by speed post, providing, timeline of 15 days for raising objection, if any.

In the absence of any objection, the request shall be processed.

If any one of the letter returns undelivered or if there is an objection, the RTA shall obtain any one of the documents mentioned above reflecting the old address as available in the folio or counterfoil of dividend warrant received from the company or bank statement showing credit of dividend.

If the shares are in demat mode, the shareholder can approach their Depository Participant (DP) to effect the change of address.

9.7. Can there be multiple addresses for a single folio?

No. There can be only one registered address for one folio.

9.8. What is the procedure for change in Signature / Updation of new signature?

Shareholders can approach the RTA for change of signature formalities, by sending a request in Form ISR-1, duly signed by the shareholder(s), along with the reasons for change of signatures:

- Change in signature due to passage of time/old age.
- Objections raised by RTA for earlier transactions, due to material signature difference on the submitted documents.
- Change in signature due to attainment of Majority (i.e. Minor becomes major).

In view of the above, the following documents are required to be submitted with the RTA along with self-attested copy of PAN card:

Minor Mismatch of Signature:

In case of minor mismatch in the signature of the securities holder as available in the folio of the RTA and the present signature, the RTA, while processing the service request, shall intimate the holder by speed post about the minor mis-match in signature, providing timeline of 15 days for raising objection, if any. In the absence of any objection, the service request shall be processed.

If the letter returns undelivered or if there is an objection, as aforesaid, the RTA shall obtain signature verification by the banker before proceeding the service request.

Major mismatch in signature or Signature Card is not available:

In case of major mismatch in the signature of the holder as available in the folio of the RTA and the present signature or if the same is not available with the RTA, then the holder / claimant shall furnish original cancelled cheque and banker's attestation of the signature as per Form ISR-2.

9.9. What is the procedure for Registration of Bank Details?

Shareholders are requested to register / update their complete bank details:

- a) with their Depository Participant(s) with whom they maintain their demat accounts if shares are held in dematerialized mode by submitting the requisite forms/documents, and
- b) with the Company / RTA by submitting (i) scanned copy of the signed request in Form ISR-1, (ii) self-attested copy of the PAN card and (iii) cancelled cheque leaf.

9.10. How do I register for E-Communication?

To register for e-communication and to receive all documents, notices, including Annual Reports and other communications of the Company in electronic mode:

- a) Shareholders holding shares in physical mode are requested to register / update the same by writing to the Company with details of folio number and attaching a self-attested copy of PAN card at investor.relations@alokind.com or to Link Intime at rnt.helpdesk@linkintime.co.in.
- b) Shareholders holding shares in dematerialized mode are requested to register / update their email addresses with the Depository Participant(s) with whom they maintain their demat accounts.

9.11. How to intimate change in mobile number?

Shareholders are requested to intimate their mobile number and changes therein, if any, to Link Intime in Form ISR-1, if shares are held in physical form or to their DP if the holding is in electronic form, to receive communications on corporate actions and other information of the Company.

9.12. What is the procedure for authorising any other person to deal with the shares of the Company?

A shareholder needs to execute a Power of Attorney in favour of the concerned person/entity and submit a notarised copy of the same along with confirmation letter that the POA has been executed in favour of POA holder to the Company's RTA. After scrutiny of the documents, the RTA shall register the Power of Attorney and inform the registration details to the shareholder concerned. Whenever the Power of Attorney holder proposes to

enter into a transaction, the registration number mentioned above should be quoted in the correspondence.

If the shares are in demat mode, then the registration of POA shall be executed by the Depository Participant.

9.13. Whether a shareholder's Power of Attorney (POA) submit an application to effect a change in his address?

Yes, if the POA has been registered with the Company and if such POA contains a provision authorizing him to instruct companies to record change in shareholders address. In case the POA has not been registered, POA holder is required to submit a certified true copy of the POA along with his application for effecting change in shareholders address.

9.14. Can a POA once made be revoked?

Yes, Shareholders have the option to revoke the existing registered POA by making a written request to the Company's RTA.

10. INVESTOR SERVICING AND GRIEVANCE REDRESSAL - EXTERNAL AGENCIES

10.1. Ministry of Corporate Affairs (MCA)

MCA has launched its e-Governance initiative, that is, MCA21, on the MCA portal (www.mca.gov.in). One of the key benefits of this initiative is timely redressal of investor grievances. MCA21 system accepts complaints under the e-Form prescribed, which has to be filed online.

The status of complaint can be viewed by quoting the Service Request Number (SRN) provided at the time of filing the complaint.

10.2. Securities and Exchange Board of India (SEBI)

SEBI, in its endeavour to protect the interest of investors, has provided a platform wherein the investors can lodge their grievances. This facility is known as SEBI Complaints Redress System (SCORES) and is available on the SEBI website (www.sebi.gov.in) and on SCORES' website (<http://scores.gov.in>).

10.3. SEBI Complaints Redress System (SCORES)

The investor complaints are processed in a centralized web based complaints redress system. The salient features of this system are: Centralised database of all complaints, online upload of Action Taken Reports (ATRs) by the concerned companies/RTA and online viewing by investors of actions taken on the complaint and its current status.

All companies against whom complaints are pending on SCORES, have to take necessary steps to resolve the complaint and submit action taken report within thirty days of receipt of complaint and also keep the complainant duly informed of the action taken.

SEBI has issued frequently asked questions (FAQs) in respect of SCORES which inter alia lists down the matters which are considered as complaints and handled by SEBI, the matters which are not considered as complaints, how the investor complaints' are handled by SEBI, the arbitration mechanism, etc. These FAQs can be accessed on the link: <http://scores.gov.in/scores/Docs/FAQ-SCORES.pdf>.

10.4. Stock Exchanges

National Stock Exchange of India Limited (NSE) - NSE has formed an Investor Services Cell (ISC) and Investor Grievance Resolution Panel (IGRP) to redress investors' grievances electronically. The investors have to log on to the website of NSE, that is, www.nseindia.com and go to the tab "Invest - Making a Complaint"

BSE Limited (BSE) - BSE has provided an opportunity to the investors to file their complaints electronically through its website: www.bseindia.com under the "Investor" section.

10.5. Depositories and Depository Participant

What is a Depository?

A depository is an organisation which holds securities (like shares, debentures, bonds, government securities, mutual fund units etc.) of investors in electronic form at the request of the investors through a registered Depository Participant. It also provides services related to transactions in securities.

How many Depositories are registered with SEBI?

At present two Depositories viz. National Securities Depository Limited (NSDL) and Central Depository Services (India) Limited (CDSL) are registered with SEBI.

National Securities Depository Limited – In order to help its clients resolve their doubts, queries, complaints, NSDL has provided an opportunity wherein they can raise their queries.

Contact Details:

Trade World, 4th Floor, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai – 400013.

Website: www.nsd.co.in

Central Depository Services (India) Limited – Investors who wish to seek general information on depository services may mail their queries to: helpdesk@cdslindia.com. With respect to the complaints/grievances of the demat account holders relating to the services of the DP/Depository, e-mails may be addressed to: complaints@cdslindia.com.

Contact Details:

Phiroze Jeejeebhoy Towers, 28th Floor, Dalal Street, Mumbai – 400001.

Website: www.cdslindia.com.

Who is a Depository Participant?

A Depository Participant (DP) is an agent of the depository through which it interfaces with the investor and provides depository services. Public financial institutions, scheduled commercial banks, foreign banks operating in India with the approval of the Reserve Bank of India, state financial corporations, custodians, stock-brokers, clearing corporations /clearing houses, NBFCs and Registrar to an Issue or Share Transfer Agent complying with the requirements prescribed by SEBI can be registered as DP. Banking services can be availed through a branch whereas depository services can be availed through a DP.

11. GRIEVANCE REDRESSAL – MODES AND ESCALATION MECHANISM

In case of any grievance, shareholders can address the same to the Company, RTA, Stock Exchanges or SEBI. The detailed procedure for addressing the grievance to the concerned authorities is as follows:

To the Company / RTA

- Investor shall check the website of the Company / RTA for the dedicated grievance e-mail ID and other relevant details of the grievance redressal division / compliance officer for the purpose of registering grievances / complaints.
- Investor can dial on help numbers or point of service of RTA for any query or concern.
- For lodging the grievance, the investor can write to the Company / RTA's dedicated e-mail address or through physical letter.
- While lodging a complaint it is necessary for investor to mention the following:
 - Nature of Complaint;
 - Name of Issuer Company;
 - Folio number;
 - Full Name of shareholder;
 - E-mail address and mobile number;
 - Reference to any previous correspondence made in this regard;
 - Provide the relevant documents; and
 - Also update KYC and details, if there are any changes.
- Upon receipt of the complaint, RTA after due verification shall send intimation of redressal / resolution of complaint via e-mail / physical letter as applicable within 30 days from the date of receipt of complaint.

To Stock Exchanges - Online registration of complaint / grievance on stock exchanges:

- The nature of the complaint that can be lodged against listed company has been given on the websites of the Stock Exchange. Upon receipt of complaint, the stock exchange shall forward the same to the concerned company with a copy to the complainant.
- If the company fails to redress the complaint within 30 days, the exchange sends a reminder to the company and follows up with the company and its respective RTA.
- If the investor is not satisfied with the redressal / resolution of the complaint by the listed company / RTA, investor can lodge the complaint on the SEBI SCORES.

Grievance Redressal Mechanism at SEBI

- Complaints can be lodged with SEBI electronically through SEBI Complaints Redress System - SCORES (a web based centralized grievance redressal system of SEBI at <https://scores.gov.in/>)