

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

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1. Company's Securities Snapshot as on March 31, 2022

1.1 Shares

Particulars	Ordinary Shares ("OS")	'A' Ordinary Shares ("AOS")
Number of Shares	332,06,62,007	508,502,896
% of shares held in Demat Form	99.46%	99.98%
Number of Shareholders	39,18,950	5,08,651
Listed on	The BSE Ltd. (BSE) Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai 400 001 Website: www.bseindia.com The National Stock Exchange of India Ltd. (NSE) "Exchange Plaza", Bandra Kurla Complex, Bandra (E), Mumbai 400051 Website: www.nseindia.com	
ISIN	INE155A01022	IN9155A01020
Stock Code	BSE: 500570; NSE: TATAMOTORS	BSE: 570001; NSE: TATAMTRDVR

1.2 American Depositary Receipts ("ADR")

Particulars	American Depositary Receipts ("ADR")
Number of ADR	3,41,95,760 (Each ADR represents 5 underlying Ordinary Shares of 2/- each)
Listed on	New York Stock Exchange (NYSE) NYSE, 20 Broad Street, New York, NY 10005
ISIN	US8765685024
Stock Code / Ticker	TTM
Overseas Depository	Citibank N.A., 388 Greenwich Street, 14 th Floor, New York, NY 10013
Domestic Custodian	Citibank N.A., Trent House, 3 rd Floor, G-60, Bandra Kurla Complex, Bandra (East), Mumbai 400 051

1.3 Senior Unsecured Notes

ISIN	Issue Size (US\$)	Yield per annum (%)	Date of Maturity	Listed on
XS1121908211	250,000,000	5.750%	October 30, 2024	Singapore Stock Exchange
XS2079668609	300,000,000	5.875%	May 20, 2025	

1.4 Non-Convertible Debentures ("NCDs")

Series No.	Listed on	ISIN	Principal Amount (₹ in crore)	Yield to Maturity (%)	Date of Maturity
E26B	NSE	INE155A08191	300	9.81	August 20, 2024
E26C	NSE	INE155A08209	200	9.77	September 12, 2024
E26E	NSE & BSE	INE155A08233	400	9.60	October 29, 2022
E26F	NSE & BSE	INE155A08241	400	9.35	November 10, 2023
E27H	NSE & BSE	INE155A08340	500	7.50	June 22, 2022
E28A (Tranche I)	NSE & BSE	INE155A08381	200	9.27	June 30, 2023

Series No.	Listed on	ISIN	Principal Amount (₹ in crore)	Yield to Maturity (%)	Date of Maturity
E28 A (Tranche II)	NSE & BSE	INE155A08373	200	9.31	September 29, 2023
E28A (Tranche III)	NSE & BSE	INE155A08399	100	9.54	June 28, 2024
E28B (Tranche I)	NSE & BSE	INE155A08407	250	8.50	December 30, 2026
E28B (Tranche II)	NSE & BSE	INE155A08415	250	8.50	January 29, 2027
E29A	NSE & BSE	INE155A07284	1,000	8.80	May 26, 2023
E30A	NSE & BSE	INE155A08423	500	6.60	May 29, 2026
E30B	NSE & BSE	INE155A08431	500	6.95	March 31, 2026
Debenture Trustee for the aforementioned NCDs:	Vistra ITCL (India) Limited IL&FS Financial Centre, 7 th Floor, East Quadrant, Plot C- 22, G Block, Bandra Kurla Complex, Bandra (E), Mumbai 400051 Tel.: +91 22 2659 3333, Fax : + 91 22 2653 3297 Email id: itclcomplianceofficer@vistra.com .				

2. Address for Correspondence

2.1. Company's address for investor queries

Retail/ HNI Investors Mr Maloy Kumar Gupta, Company Secretary Bombay House, 24, Homi Mody Street, Mumbai - 400 001 Phone : 91-22- 6665 7824; E-Mail : inv_rel@tatamotors.com	Institutional Investors Mr Dhiman Gupta, Head (Treasury, Investor Relations and M&A) 3 rd Floor, Nanavati Mahalaya, 18, Homi Mody Street, Mumbai - 400 001 Phone : 91-22-66658282; E-Mail : ir_tml@tatamotors.com
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2.2. Address of Company's Registrar and Transfer Agents ("RTA") - M/s TSR Consultants Private Limited

- a) *For shares related matters:* For transfer lodgement, delivery and correspondence, Members are requested to correspond with the Company's RTA quoting their Folio No./DP ID & Client ID at the following addresses:

TSR Consultants Private Limited, Unit: Tata Motors Limited,
C-101, 1st Floor, 247 Park, Lal Bahadur Shastri Marg,
Vikhroli (West), Mumbai - 400083
Tel: 022-6656 8484; Fax: 022- 6656 8494; e-mail: csg-unit@tcplindia.co.in;
website: www.tcplindia.co.in

For the convenience of investors based in the following cities, transfer documents and letters will also be accepted at the following branches/agencies of the Company's RTA:

Mumbai:

Building 17/19, Office no. 415 Rex Chambers,
Ballard Estate, Walchand Hirachand Marg, Fort,
Mumbai-400 001.
Tel: 7304874606

Bangalore:

C/o. Mr. D. Nagendra Rao, "Vaghdevi" 543/A,
7th Main 3rd Cross, Hanumanthnagar,
Bengaluru - 560019.
Telephone: +91-80-26509004

Email: csg-unit@tcplindia.co.in

Jamshedpur:

Bungalow No.1, "E" Road, Northern Town,
Bistupur, Jamshedpur - 831 001.
Tel: +91-657-2426937
Email : tsrdljsr@tcplindia.co.in

New Delhi:

C/o Link Intime India Private Limited,
Noble Heights, 1st Floor, Plot No. NH-2,
C-1 Block, LSC Near Savitri Market,
Janakpuri, New Delhi - 110058
Tel: +91-11-49411030
Email : tcpldel@tcplindia.co.in

Email: tcplbang@tcplindia.co.in

Kolkata:

C/o Link Intime India Private Limited,
Vaishno Chamber, Flat No. 502 & 503, 5th Floor, 6,
Brabourne Road, Kolkata - 700001
Tel: +91-33-40081986
Email: tcplcal@tcplindia.co.in

Ahmedabad:

C/o Link India Intime Private Limited,
Amarnath Business Centre-1 (ABC-1), Beside Gala
Business Centre, Near St. Xavier's College Corner,
Off. C.G. Road, Ellisbridge, Ahmedabad - 380006
Tel: +91-79-26465179
Email: csg-unit@tcplindia.co.in

- b) **For Fixed Deposits:** The investors are requested to correspond with the Company's RTA at the same addresses as mentioned above or send an e-mail at Tmlfd@tcplindia.co.in or fdinquiry@tcplindia.co.in or Tel: 022-6656 8484; Contact Person: Ms Nandini Nair / Ms Uttara Sahasrabudhe.

3. General Rights, obligations and safeguards for Members

3.1 General Rights of Members

The Company endeavours to honour the statutory rights of the Members, *inter alia*, the following:

- i. To receive not less than 21 days' notice of general meetings.
- ii. To receive notice and forms for Postal Ballots in terms of the provisions of the Companies Act, 2013 ("Act") and the relevant rules issued thereunder.
- iii. To receive copies of the financial statements, including consolidated financial statements, report of the Board of Directors and Auditors thereon, as applicable, and every other document required by law to be annexed or attached to the financial statements (together the "Annual Report") not less than 21 clear days before the date of the Annual General Meeting.
- iv. To participate and vote at the general meetings either in person or through proxy or through e-voting or through corporate representation in accordance with the provisions of the Act.
- v. To receive share certificates, on allotment or transfer or transmission of shares, as the case may be, within the time permitted by the applicable law.
- vi. To receive dividends and other corporate benefits like bonus shares, rights shares, etc. as and when declared.
- vii. Right to free transferability of shares except in case of refusal for transfer on sufficient cause by the Company.

- viii. To require the Board of Directors to call an Extra-Ordinary General Meeting in accordance with the provisions of the Act.
- ix. To receive correspondence from the Company, raise grievances, if any and seek a satisfactory solution within reasonable timelines.
- x. To inspect various registers, minute books of general meetings and to receive copies thereof after complying with the requirements prescribed in applicable laws.

3.2 General Obligations of Members

Some of the obligations entrusted on Members are:

- i. To remain abreast of corporate developments, company specific information and take informed investment decision(s).
- ii. To be aware of relevant statutory provisions and ensure effective compliance therewith.
- iii. To deal with only SEBI registered intermediaries while dealing in the securities.
- iv. Neither to indulge in fraudulent and unfair trading in securities nor to act upon any unpublished price sensitive information.
- v. To contribute to the Greener Environment and accordingly register email addresses to enable the Company to send all documents/notices including Annual Reports electronically.
- vi. To register nominations, which would help the nominees to get the shares transmitted in their favour without any hassles.
- vii. To cast their vote by participating in the e-voting facility provided by the Company, by sending duly filled postal ballot forms or by attending the General Meetings of the Company, as the case may be.
- viii. To respond to communications seeking shareholders' approval through Postal Ballot and communications of SEBI / Depository / DP / Brokers / Sub-brokers / Other Intermediaries / Company, seeking investor feedback/comments.
- ix. To update, Permanent account Number (PAN) details with Registrar (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form).
- x. To update the address, bank account and other requisite details with the Company's Registrar (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form).

3.3 General Safeguards to the Members

In pursuit of the Company's objective to mitigate / avoid risks while dealing with securities and related matters, the following are certain general safeguards suggested for Members to follow:

- i. Folio number (Client ID and DP ID number in respect of dematerialized securities) should not be disclosed to unknown persons. Signed blank transfer deeds (delivery instruction slips in respect of dematerialized shares) should not be given to unknown persons.

- ii. Off-market deals and dealings with/through unregistered intermediaries should be avoided. It exposes investors to the counter-party risk.
- iii. Demat account should not be kept dormant for long; periodic statement of holdings should be obtained from the concerned DP and holdings verified.
- iv. Correspondence containing certificates of securities and high value dividend/interest warrants/cheques/demand drafts should not be sent by ordinary post.
- v. A valid contract Note/confirmation Memo should be obtained from broker/sub-broker, within 24 hours of execution of the trade and it should be ensured that the Contract Note/Confirmation Memo contains order no., trade no., trade time, quantity, prices and brokerage.
- vi. Securities of listed companies would be transferred in dematerialized form only, w.e.f April 1, 2019. In view of the same Members holding shares in physical form are requested to consider converting their holdings to dematerialized form to eliminate all risks associated with physical shares and for ease of portfolio management.
- vii. Be vigilant in your transactions. Invest based on sound reasoning after taking into account all publicly available information and on fundamentals. Don't be misled by rumours circulating in the market.
- viii. In case of complaints, approach the right authorities for redressal in a timely manner.
- ix. Claim unclaimed dividend within time to avoid transfer of dividend/shares to IEPF Authority.
- x. It is advisable to register securities in joint names and/or register nominations in order to facilitate smoother Succession.

4. Matters related to Members/Investors

4.1 Payments dues to Security holders

a) Payment of dividend/interest or redemption

The Company uses the electronic mode of payment facility approved by the Reserve Bank of India [i.e. electronic clearing services (local, regional or national), direct credit, real time gross settlement, national electronic funds transfer, etc.], for the payment of (a) dividends; (b) interest; (c) redemption amounts.

Members who have not yet availed the NECS / RTGS / NEFT facility and wish to avail the same may have their bank details, including MICR (Magnetic Ink Character Recognition) and IFSC (Indian Financial System Code) number updated with their respective Depository Participants (DPs) (in case the shares are held in the dematerialised form) or with the Company's RTA (in case the shares are held in physical form).

As per the Depository Regulations, the Company is obligated to pay dividend on dematerialised 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.

b) Transfer of unclaimed/unpaid amounts/Shares to the Investor Education and Protection Fund (IEPF):

- (i) Pursuant to Sections 124 and 125 of the Act read with the Investor Education and Protection Fund (Accounting, Audit, Transfer and Refund) Rules, 2016 ("IEPF Rules"), the Company has to transfer to the IEPF Authority, established by the Central Government the dividend amounts, application money, principal amounts of debentures and deposits as well as the interest accruing thereon, sale proceeds of fractional shares, redemption amount of preference shares, etc. remaining unpaid or unclaimed for a period of 7 years from the date they became due for payment.

Furthermore, the IEPF Rules mandate companies to transfer shares of shareholders whose dividends remain unpaid / unclaimed for a period of 7 consecutive years to the demat account of the IEPF Authority. The said requirement does not apply to shares in respect of which there is a specific order of the Court, Tribunal or Statutory Authority, restraining any transfer of shares.

In light of the aforesaid provisions, the Company has during the year under review, transferred to IEPF the unclaimed dividends, outstanding for 7 consecutive years of the Company. Further, shares of the Company, in respect of which dividends have not been claimed for 7 consecutive years or more, have also been transferred to the demat account of the IEPF Authority.

The details of the unclaimed dividends and shares transferred to IEPF during FY 2021-22 are as follows:

Financial Year	Amount of unclaimed dividend transferred (₹)	Number of shares transferred	
		Ordinary Shares	'A' Ordinary Shares
2013-14	1,51,91,520	6,55,253	7,564
Total	1,51,91,520	6,55,253	7,564

The Members who have a claim on the above dividends and shares may claim the same from the IEPF Authority by submitting an online application in the prescribed Form No.IEPF-5 available on the website www.iepf.gov.in and send an original form and acknowledgement, along with requisite documents duly self-certified by the claimant(s), duly self-certified, of the said Form and acknowledgement along with requisite documents, as enumerated in the Instruction Kit, to the Company for vetting and suitable recommendation to IEPF Authority. No claims shall lie against the Company in respect of the dividend/shares so transferred. The Members/Claimants can file only one consolidated claim in a financial year as per the IEPF Rules.

Considering the above, there are no shares lying in the suspense account of the Company under Regulation 39(4) of the SEBI Listing Regulations.

The Company strongly recommends shareholders to encash/claim their respective dividend within the period given below from the Company's Registrar and Share Transfer Agents:

Financial Year	Date of Declaration	Last date for claiming dividend	Unclaimed Dividend (as on 31.03.2022) (₹)
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			Ordinary Shares	'A' Ordinary Shares
2014-15	No dividend was declared	-	-	-
2015-16	August 9, 2016	September 8, 2023	28,50,642.00	1,26,596.40
2016-17	No dividend was declared	-	-	-
2017-18	No dividend was declared	-	-	-
2018-19	No dividend was declared	-	-	-
2019-20	No dividend was declared	-	-	-
2020-21	No dividend was declared	-	-	-

Whilst the Company's Registrar & Transfer Agent has already written to the Members, Debenture holders and Depositors informing them about the due dates for transfer to IEPF for unclaimed dividends/interest payments, attention of the stakeholders is again drawn to this matter through the Annual Report. The data on unpaid / unclaimed dividend and other unclaimed monies is also available on the Company's website at <https://www.tatamotors.com/investor/iepf/>. Investors who have not yet encashed their unclaimed/unpaid amounts are requested to correspond with the Company's Registrar and Transfer Agents, at the earliest. Members may refer to the Refund Procedure for claiming the aforementioned amounts transferred to the IEPF Authority as detailed on <http://www.iepf.gov.in/IEPF/refund.html>.

Mr Maloy Kumar Gupta, Company Secretary, is the Nodal Officer. His contact details are - Tata Motors Limited, Bombay House, 24, Homi Mody Street, Mumbai - 400 001, India. Tel: 91 22 6665 8282 Email: nodalofficer.iepf@tatamotors.com.

- (ii) Upto March 31, 2022, the Company has transferred ₹45,85,84,368.34 to IEPF, including the following amounts during the year.

Particulars	FY 2021-2022 (₹)
Unpaid dividend amounts of the Company	1,51,91,520.00
Unpaid matured deposit with the Company	8,20,000.00
Total	1,60,11,520.00

4.2 Dematerialisation of shares - Benefits, SEBI Directives and Procedure

Dematerialisation is the process by which securities held in physical form are converted to an equal number of securities in electronic form and credited into security holders' demat account maintained by him/her with his/her Depository Participant ("DP").

There is a wide range of advantages of holding securities in dematerialized form/having a demat account, such as:

- › Convenient mode of holding securities, especially in case a Member is holding shares of many companies.

- › The risks pertaining to physical certificates like loss, theft, forgery and damage are eliminated completely.
- › It minimizes paperwork that is involved with the ownership, trading and transfer of securities, thereby enabling quicker transactions and higher efficiency in trading.
- › Trading has become more convenient as one can trade through computers at any location, without the need of visiting a broker.
- › Facilitates direct credit of shares in case of allotment under IPO, Rights, Bonus, Split etc.
- › As all the transactions occur through the depository participant, a security holder does not need to communicate individually with each and every company.
- › There is no need for stamp duty for transfer of securities; this brings down the cost of transaction significantly.
- › A DEMAT account holder can buy or sell any amount of shares. However, there is limit on the number of transactions done using physical securities.
- › 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.

The shares of the Company are subject to compulsory trading in demat form on the stock exchanges by virtue of a SEBI notification. Further, as per Regulation 40 of the SEBI Listing Regulations and various notifications issued by SEBI in this regard, transfer of securities would be carried out in dematerialised form only with effect from April 1, 2019, except in case of transmission or transposition of securities. However, Members can continue to hold shares in physical form. In view of the same and to eliminate all risks associated with physical shares and for ease of portfolio management, Members holding shares in physical form are requested to consider converting their holdings to dematerialised form. Members can contact the Company's RTA for assistance in this regard.

IN VIEW OF THE ABOVE SEBI DIRECTIVES AND BENEFITS OF DEMATERIALIZATION, MEMBERS ARE ADVISED TO CONVERT THEIR PHYSICAL SHAREHOLDING IN DEMAT FORM by following the below procedure:

- › Member shall open a demat account with a Depository participant (DP) and obtain a demat account number.
- › Member shall fill in a Demat Request Form (DRF) and submit the same with the physical certificate/s to the depository participants for dematerialization. For every ISIN, a separate DRF has to be used. If Member has free and lock-in shares of the same ISIN, separate demat request has to be set up for free shares and lock-in shares.
- › DP would verify that the DRF has been filled correctly.
- › DP would setup a demat request on the CDSL or NSDL system and send the same to the Company's RTA.
- › The Company's RTA would verify the certificate and confirm the request.
- › Once the request is confirmed, DP would deface and mutilate the physical certificates, generate a Demat Request Number (DRN) and send an electronic communication to the depository and also send the DRF and the share certificate to the Company's RTA.

- › On receiving confirmation, depository will credit an equivalent number of securities in the demat account of the Member maintained with the depositories CDSL or NSDL.
- › The depository will electronically download the details of the demat request and communicate the same to the electronic registry maintained by the Registrar of Companies.

4.3 Rematerialisation of shares - Meaning and Procedure

Rematerialisation is the process of converting securities held in electronic form in a demat account in to paper form i.e. physical certificates.

Members who wish to convert the shares held in demat form into physical certificates may do so by following the below steps:

- › A Member who wishes to rematerialize balance in his/her demat account has to fill up a Remat Request Form (RRF).
- › If the Member has multiple ISINs in his/her demat account and wishes to rematerialize all balances then a separate RRF should be submitted for each ISIN.
- › If a BO has free as well as lockin securities in his/her account for an ISIN then a separate RRF is to be submitted for rematerialization of free quantity and quantity under lock-in. If lock-in balance is for different lock-in reasons or different lock-in expiry dates then a separate RRF is to be submitted for each lock-in reason / lock-in expiry date combination.
- › The RRF should be signed by all the account holders / POA (if any).
- › Completely filled RRF should be submitted to the Depository Participant (DP). The Member may specify on the RRF whether all the quantity of an ISIN to be included in only one certificate (Jumbo Lot) or number of shares per certificate.
- › The DP will verify the details on the RRF form and enter the same in the NSDL/CDSL system.
- › The system generated Remat Request Number (RRN) is written on the RRF and it is sent to the Company's RTA.
- › The Company's RTA verifies the remat request and confirm the same to NSDL/CDSL.
- › NSDL/CDSL will debit the securities in the Member's demat account to the extent of quantity rematerialized.
- › Company's RTA will issue new certificate(s) in physical form to the Member under new folio number or in the existing folio, if investor already has one with the Company.
- › Remat does not amount to a transfer and does not attract any stamp duty.

4.4 Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN and KYC details

As mandated by SEBI, Members holding securities in physical mode, are requested to intimate changes, if any, pertaining to their name, postal address, e-mail address, telephone/mobile numbers, Permanent Account Number ('PAN'), mandates, nominations, power of attorney, bank details such as, name of the bank and branch details, bank account number, MICR code, IFSC code, etc. as also furnish their PAN and KYC Details to the Company's RTA by filling up the request in Form ISR-1 (enclosed as Annexure 1). The said form is also available on the website of the Company's RTA at: <https://www.tcplindia.co.in/kyc-download.html>

4.5 Transfer of shares

SEBI has mandated that with effect from April 01, 2019, except in case of transmission or transposition of securities, requests for effecting transfer of securities shall not be processed unless the securities are held in dematerialized form with a depository.

The above mandate does not prohibit the investor from holding the shares in physical form; investor has the option of holding shares in physical form even after April 01, 2019. Any investor who is desirous of transferring shares (which are held in physical form) after April 01, 2019 can do so only after the shares are dematerialized. The transfer deed(s) once lodged prior to deadline and returned due to deficiency in the document may be re-lodged for transfer even after the deadline of March 31, 2019.

4.6 Name deletion and Transmission of securities

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

a) Name Deletion, in case securities are held in physical form in joint names and either of the holders is deceased:

Where securities are held in physical form and the holding is in joint names, the surviving holder(s) shall submit the following documents with the Company's RTA for registering deletion of name of the deceased holder:

- i) Legible copy of the death certificate of the deceased holder, duly attested by Notary Public / Bank Manager / First Class Magistrate /Gazetted Officer. Attestation by Notary Public / First Class Magistrate / Gazetted Officer should mention their name, full address, registration number and affix their seal, Notarial / Court Fee stamps, as applicable. Attestation by Bank Manager should bear the name, full address and official stamp of the bank.
- ii) Original certificates for the securities.
- iii) Name Deletion form duly completed and signed by the surviving holder(s) as per the specimen signature(s) recorded with the Company's RTA. This form can be downloaded from the website of the Company's RTA.
- iv) Self-attested copy of the PAN Card of the surviving holder(s).
- v) Original cancelled cheque of the first surviving holder bearing his/her name.

b) Transmission, in case securities are held in physical form, the sole holder/all holders is/are deceased and Nomination is not registered with the Company:

Legal heir/executor shall submit the following with the Company's RTA:

- i) Legible copy of the death certificate(s) of the deceased holder(s), duly attested by Notary Public / Bank Manager / First Class Magistrate /Gazetted Officer.

- ii) Legible copies of any one of the legal documents of the deceased holder viz. Probate of Will / Letters of Administration / Succession Certificate / Administrator General's Certificate along with the schedule disclosing the name of the Company, Folio No(s), number of securities and their distinctive nos., duly attested by Notary Public / First Class Magistrate.
- iii) Affidavit for identification of the legal heirs on Rs. 100/- Non-Judicial Paper or franked with equivalent amount or affixed with Special Adhesive stamps, duly attested by Notary Public / First Class Magistrate.
- iv) Original certificates for the securities.
- v) Transmission form duly completed and signed by the legal heir(s)/executor(s) whose signature(s) should be attested by his/their Bank Manager under his name, full address and official stamp of the Bank. This form can be downloaded from the website of Company's RTA.
- vi) Self-attested copy of the PAN Card of the legal heir(s)/executor(s).
- vii) Original cancelled cheque of the first legal heir / executor.

c) Transmission, in case securities are held in physical form, the sole holder/all holders is/are deceased and Nomination is registered with the Company:

The nominee(s) shall submit the following with the Company's RTA:

- i) Legible copy of the death certificate(s) of the deceased holder(s), duly attested by Notary Public / Bank Manager / First Class Magistrate /Gazetted Officer Attestation by Notary Public / First Class Magistrate / Gazetted Officer should mention their name, full address, registration number and affix their seal, Notarial / Court Fee stamps, as applicable. Attestation by Bank Manager should bear the name, full address and official stamp of the bank.
- ii) Original certificates for the securities.
- iii) Transmission form (s) duly completed and signed by the nominee(s), whose signature (s) should be attested by his Bank Manager under his name, full address and official stamp of the Bank. This form can be downloaded from website of the Company's RTA.
- iv) Self attested copy of PAN Card(s) of the nominee(s)
- v) Original cancelled cheque(s) of the nominee(s)

d) For transmission of shares held in dematerialised form:

The legal heir(s) of the deceased shareholder is / are required to get in touch with the Depository Participant with whom the demat account was maintained by the deceased shareholder.

4.7 Transposition of names

Transposition is the process of interchanging the order of names in which the securities are held under a folio by Member(s).

For securities held in physical form, a Member may transpose full or part of their holdings by submitting the following documents with the Company's RTA:

- i. Transposition form duly completed and signed by ALL the holders as per the specimen signatures recorded with the Company's RTA. This form can be downloaded from the website of Company's RTA.
- ii. Original certificates for the securities.
- iii. Self-attested copies of the PAN Card of all the holders.
- iv. Original cancelled cheque of the first holder as per the transposed order.

For securities held in electronic form, Members are requested to contact the concerned depository participant. In case a Member wishes to interchange the order of the names at the time of dematerializing the securities, Form OA (available with the concerned depository participant) may be duly completed in the desired order of names and submitted to them with the Dematerialisation Request Form and the certificates.

4.8 Nomination Facility

Nomination refers to the act of nominating a person in whom the securities and all the rights in the securities shall vest in the event of death of the Member (nominator).

A Member of the Company may, at any time, nominate any person as his nominee in whom the securities and all the rights in the securities shall vest in the event of his/her death. Where the nomination is made in respect of the securities held by more than one person jointly, all joint holders shall together nominate any person as nominee, in which case the nomination will be effective only in the event of the death of all joint holders.

For securities held in physical form, a Member may nominate person(s) by completing the Nomination Form (i.e. Form SH-13), enclosed as Annexure 2, and registering the same with the Company's RTA. The Nomination Form can also be downloaded from the website of the Company's RTA at: <https://www.tcplindia.co.in/kyc-download.html>

For securities held in physical form, if a Member desires to opt out or cancel the earlier nomination and record a fresh nomination, he/she may submit the same in Form ISR-3 or Form SH-14 (enclosed as Annexures 3 and 4, respectively), as the case may be, with the Company's RTA. The said forms are also available on the website of the Company's RTA at: <https://www.tcplindia.co.in/kyc-download.html>

Where shares are held in dematerialized form, nomination has to be registered/varied/cancelled with the concerned Depository Participant (DP) directly, as per the format prescribed by the DP.

4.9 On change of address registered in the Company's records

There can be only one registered address for one folio. For registering any change in address for securities held in physical form, please submit the following with the Company's RTA:

1. a written request for change in address, duly signed by the first holder as per the specimen signature recorded with the Company's RTA.

2. Self-attested copy of proof of identity viz. valid Passport or PAN Card.
3. Self-attested copy of proof of new address viz. Aadhaar Card/valid Passport/Voter's Identity Card or Electricity Bill/ Telephone Bill (only land line)/ latest updated Bank Account Statement / Passbook (which is not more than 3 months old).
4. The identity and address proof should be legible and in the name of the registered accountholder.

For securities held in electronic form, the change in address has to be registered with the concerned depository participant.

4.10 On change of name of Members

Where the securities are held in physical form, Members may request the Company's RTA for effecting change of name in the securities certificate(s) and records of the Company by submitting the following documents with the RTA. The Company's RTA, after verification, will effect the change of name and send the share certificate(s) in the new name to the Members:

a) ***For Individuals, consequent to marriage/divorce/attaining majority:***

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

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

- o Marriage - legally recognised Marriage Certificate / Government Gazette
 - o Divorce - Divorce Decree
 - o Attaining Majority - Birth certificate / School Leaving Certificate
- ii) Original certificates for the securities.
 - iii) Transmission form duly completed and signed by the holder(s) whose signature(s) should be attested by his/their Bank Manager under his name, full address and official stamp of the bank. This form can be downloaded from the website of the Company's RTA.
 - iv) Self-attested copy of the PAN card of the holder(s).

b) **For Corporates, Trusts, Society, consequent to change in name of the Corporate/Trust/Society:**

- i) Letter duly signed by the authorized signatory/trustee supported by the certified true copy of the documents mentioned below in respect of:
 - **Corporate Body-** Certificate of Incorporation along with Memorandum and Articles of Association. The Board Resolution signed by the Company Secretary/Directors on the letter head of the Company empowering the signatories to sign on behalf of the Company along with the specimen signature of the Authorized signatories is also to be submitted.

- **Trust-** Certificate of Registration along with the Trust deed. The Resolution signed by the Secretary/Trustee on the letter head of the Trust empowering the signatories to sign on behalf of the Trust along with the specimen signature of the Authorized signatories is also to be submitted.
 - **Society-** Certificate of Registration along with their Bye Laws/ Rules & Regulations. The Resolution signed by the Secretary/Trustee on the letter head of the Society empowering the signatories to sign on behalf of the Society along with the specimen signature of the Authorized signatories is also to be submitted.
- ii) Original certificates for the securities.
 - iii) Transmission form duly completed and signed by the authorized signatories. This form can be downloaded from the website of the Company's RTA.
 - iv) Certified true copy of PAN Card of Corporate Body/ Trust/ Society.

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

Members holding shares in demat form, may request the concerned DP in the format prescribed by DP for effecting the change in name.

4.11 For amalgamation/consolidation

Members having securities certificates in various denominations under the same folio may approach the Company's RTA for consolidation into a single certificate by sending all the certificates along with the request letter.

Members having share certificates under multiple folios registered with same address and identical names in the same order may request for consolidation of the securities certificates by submitting the following documents with the Company's RTA:

- i) Amalgamation form duly completed and signed by ALL the holders as per the specimen signature(s) recorded with the Company's RTA. This form can be downloaded from the website of the Company's RTA.
- ii) Original certificates pertaining to the folio having the smaller holdings. Do not send the certificates pertaining to the larger holdings, into which account the multiple folio is being amalgamated.
- iii) Self-attested copy of the PAN Card of the holder(s).

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

Form ISR – 1

(-SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

A. I / We, request you to Register / Change / Update the following (Tick ✓ relevant box)

Date : / /

<input type="checkbox"/> PAN	<input type="checkbox"/> Signature	<input type="checkbox"/> Mobile Number
<input type="checkbox"/> Bank details	<input type="checkbox"/> Registered Address	<input type="checkbox"/> E-mail address

B. Security and KYC Details [to be filled in by the First Holder]

Name of the Issuer Company	Folio No(s)	
Face value of Securities	Number of Securities	
Distinctive number of Securities (Optional)	From	To
E-mail Address		
Mobile Number		

C. I/We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions):

Name(s) of the Security holder(s) in Capital as per PAN Copies of PAN of all the Holder(s) duly self-attested with date to be enclosed with this Form.	PAN	PAN Linked to Aadhaar -Y/N Tick any one [✓] *
1.		Yes / No
2.		Yes / No
3.		Yes / No
4.		Yes / No

Note: * PAN shall be valid only if it is linked to Aadhaar by March 31, 2022, or any other date as may be specified by CBDT.

To know the status of your PAN Linked to Aadhaar check on this link: <https://www.incometax.gov.in/iec/foportal>

Bank Account Details of First Holder		
Name of the Bank & Branch	IFSC	
Bank A/c No.	Tick any one [✓]- Acct type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> Any other []	

Note: Original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit copy of bank passbook / statement attested by the Bank for registering the Bank Account details.

Demat Account Number	16 digit DP/CL []
----------------------	--------------------

Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.

Authorization: I / We authorise you (RTA) to update the above PAN and KYC details in my / our above folio(s) (use Separate Annexure if extra space is required) in which I / we are the holder(s). [strike off what is not applicable]

Declaration: All the above facts and documents enclosed are true and correct.

	First Holder	Joint Holder - 1	Joint Holder - 2	Joint Holder - 3
Signature				
Name				
Address				
PIN				

Note: If the address mentioned above differs from the address registered with the Company, you are requested to record the new address by submitting the documents as specified in point (3) overleaf.

I/We are submitting documents as per Table below (tick✓as relevant, refer to the instructions):

No.	✓	Document/Information/Details	Instruction/Remark
1	<input type="checkbox"/>	PAN of (all) the (joint) holder(s)	PAN copies of all the holder(s) duly self-attested with date to be enclosed. PAN shall be valid only if it is linked to Aadhaar by March 31, 2022, or any date as may be specified by the CBDT. For Exemptions / Clarifications on PAN, please refer to Objection Memo as specified in SEBI circular.
2	<input type="checkbox"/>	Demat Account Number	Provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.
3		Proof of Address of the first Holder	<p>Provide self attested copy of any ONE of the documents, issued by a Govt. Authority, only if there is change in the address;</p> <ul style="list-style-type: none"> <input type="checkbox"/> Client Master List (CML) of your Demat Account, provided by the Depository Participant. <input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance Bill* <input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. <input type="checkbox"/> Identity card (with Photo) / document with address, issued by Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions. <input type="checkbox"/> 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. <input type="checkbox"/> The proof of address in the name of the spouse* <p>* Kindly provide additional self-attested copy of Identity Proof of the holder/ claimant.</p>
4	<input type="checkbox"/>	Bank details	Provide the latest copy of the bank statement with details of bank name, branch, account number and IFSC or Original cancelled cheque leaf bearing the name of first holder. Alternatively, Bank details available in the CML as enclosed will be updated in the folio.
5	<input type="checkbox"/>	E-mail address	As mentioned on Form ISR-1, alternatively the E-mail address available in the CML as enclosed will be updated in the folio.
6	<input type="checkbox"/>	Mobile	As mentioned on Form ISR-1, alternatively the mobile number available in the CML as enclosed will be updated in the folio.
7	<input type="checkbox"/>	Specimen Signature	Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 and Original cancelled cheque leaf bearing the name of the first holder.
8		Nomination	<p>Submit Form(s) as per any ONE of the following options.</p> <ul style="list-style-type: none"> <input type="checkbox"/> SH-13 For First Time Nomination <input type="checkbox"/> SH-14 For Cancellation or Variation in Nomination <input type="checkbox"/> SH-14 and ISR-3 For Cancellation of Nomination and to "Opt-Out" <input type="checkbox"/> ISR-3 To "OPT-Out" of Nomination or if No-Nomination is required

Note: All the above forms are also available on our website..

Form No. SH-13

Nomination Form

Pursuant to section 72 of the Companies Act, 2013 and rule
19(1) of the Companies (Share Capital and Debentures) Rules 2014] Date: / /

To,

Name of the Company :

Address of the Company:

I/We, the holder(s) of the securities particulars of which are given hereunder, wish to make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of such securities in the event of my/our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being made) :

Nature of Securities	Folio No.	No. of Securities*	Certificate No.	Distinctive No(s) (From – To)
Tick ✓ as relevant				
Equity / Debs/ Bonds				

(2) PARTICULARS OF NOMINEE/S — [Use photocopies of this blank nomination form in case of additional Multiple Nominations in the same folio]

Name of Nominee			
Address of Nominee		Date of Birth	{ - - }
Father's/Mother's/ Spouse's name		Occupation	
Relationship with the security holder		Nationality	
E-mail_id		Mobile No	

(3) IN CASE NOMINEE IS A MINOR —

Name of Guardian		Date of Birth	{ - - }
Address of Guardian		Date of attaining majority	{ - - }

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
Signature				
Name				

Witness Details:

Name of Witness		Signature	
Address of Witness	_____	Date	
	_____ Pin: _____		

* Nomination will be registered for entire holding in the folio. In case of more than one nominee, the ratio should be furnished & separate form to be filled for each nominee.

Form SH-13 - INSTRUCTIONS

[Please follow the instructions given below very carefully while filling in your Nomination request.]

1. Nomination can be made only by individuals applying/holding securities on their own behalf, singly or jointly. Non-individuals including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. The nomination will be registered only when it is complete in all respects including the signature of (a) all registered holder(s) (as per specimen lodged with the Company) /RTA and (b) the complete details of the nominee and witness being furnished.

2. A minor can be nominated by a holder(s) of securities and in that event the name and address of the Guardian shall be furnished by the holder(s).

3. The nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a power of attorney holder. A Non-Resident Indian can be a nominee on re-patriable basis provided RBI approval granted to the nominee is registered with the Company / RTA.

4. In case you have multiple folios, then you may take a photocopy of this Form.

5. Nomination request would be considered for securities held in physical form only.

6. The nomination will be valid, if the registration of Nomination is done before the demise of the holder.

7. The nomination stands rescinded whenever the securities in the given folio are transposed /transmitted/ amalgamated, in such a scenario a new Nomination Form will have to be filled by the security holder(s).

8. The Holder(s) can override (delete or change) an earlier nomination by executing a fresh Nomination Form SH-14 for which a fresh registration number will be allotted. The earlier nomination will automatically stand cancelled.

9. In case the holder(s) desires to nominate more than one person as nominee, the ratio shall be mentioned and separate form to be filled for each nominee.

10. Nomination registration number will be allotted upon successful registration.

11. The Company / RTA will entertain claims of registered nominees only.

12. The Nominee will be entitled to all the rights in the securities upon demise of all holders in the folio.

13. Kindly note that the nomination being a legal document the same should be dated by the security holder. Furthermore, the date of execution on the Nomination Form should match with the date of witness, witnessing the document.

■ For Office Use Only

■ Nomination Registration Number :

■ Date of Registration :

■ Checked and Signature of Employee :

Form ISR - 3

Declaration Form for Opting-out of Nomination by Holders of Physical Securities in Listed Companies

(SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021)

To,

Date: / /

Name of the Company :

Address of the Company :

PARTICULARS OF THE SECURITIES (in respect of which nomination is being opted out)

Nature of Securities	Folio No.	No. of Securities *	Certificate No.	Distinctive No(s) (From – To)
Tick ✓ as relevant				
Equity / Debentures				

I / We the holder(s) of the securities particulars of which are given hereinabove, **do not wish to nominate** any person(s) in whom shall vest, all the rights in respect of such securities in the event of my /our death.

I/ We understand the issues involved in non-appointment of nominee(s) and further are aware that in case of my / our death, my / our legal heir(s) / representative(s) are required to furnish the requisite documents / details, including, Will or documents issued by the Court like Decree or Succession Certificate or Letter of Administration / Probate of Will or any other document as may be prescribed by the competent authority, for claiming my / our aforesaid securities.

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
<u>Signature</u>				
<u>Name</u>				

Witness Details:

Name of Witness		Signature	
Address of Witness	_____		
	Pin: _____	Date	

* Use of ISR-3 (ie to Opt-Out of Nomination OR if "No_Nomination" is required by the investor) will be applied for the entire securities against the said Folio.

Form No. SH-14**Cancellation or Variation of Nomination**

[Pursuant to sub-section (3) of section 72 of the Companies Act, 2013 and rule 19(9) of the Companies
(Share Capital and Debentures) Rules 2014]

To, _____ Date: / /

Name of the Company : _____

Address of the Company: _____

I/We, hereby cancel the nomination(s) made by me/us in favour of.....
.....(name and address of the nominee) in respect of the below mentioned securities.

or

I/We hereby nominate the following person in place ofas nominee in
respect of the below mentioned securities in whom shall vest all rights in respect of such securities in the event of my/our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being cancelled / varied):

Nature of Securities	Folio No.	No. of Securities*	Certificate No.	Distinctive No(s) (From – To)
Tick ✓ as relevant				
Equity / Debs/ Bonds				

(2) PARTICULARS OF THE NEW NOMINEE/S — [Use photocopies of this Form-SH-14 in case of additional Multiple New Nominations in the same folio]

Name of Nominee			
Address of Nominee		Date of Birth	{ - - }
Father's/Mother's/ Spouse's name		Occupation	
Relationship with the security holder		Nationality	
E-mail_id		Mobile No	

(3) IN CASE NEW NOMINEE IS A MINOR —

Name of Guardian		Date of Birth	{ - - }
Address of Guardian		Date of attaining majority	{ - - }

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
Signature				
Name				

Witness Details:

Name of Witness		Signature	
Address of Witness	_____ Pin _____		
		Date	

* New Nomination will be registered for entire holding in the folio. In case of more than one new-nominee, the ratio should be furnished & separate form to be filled for each of the new-nominee.

Form SH-14 - INSTRUCTIONS

[Please follow the instructions given below very carefully while filling in your request for Cancellation/Variation in Nomination registered.]

Upon successful execution of SH-14, the earlier Nomination shall stand cancelled.

1. The New-Nomination can be made only by individuals applying/holding securities on their own behalf singly or jointly. Non-individuals including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. The new nomination will be registered only when it is complete in all respects including the signature of (a) all registered holders (as per specimen lodged with the Company / RTA) and (b) the complete details of the new nominee and witness being furnished.

2. A minor can be nominated as a new nominee by holder(s) of securities and in that event the name and address of the Guardian shall be furnished by the holder(s).

3. The new nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a power of attorney holder. A Non-Resident Indian can be a new nominee on re-patriable basis provided RBI approval granted to the new nominee is registered with the Company.

4. In case you have many folios, then you may take a photocopy of this form.

5. Request for Change/Cancellation in Nomination in Form SH-14 will be considered for securities held in physical form only.

6. The new nomination will be valid, if the registration of Nomination is done before the demise of all the holders in the folio.

7. The nomination stands rescinded whenever the securities in the given folio are transposed /transmitted/ amalgamated, in such a scenario a new Nomination Form will have to be filled by the security holder(s).

8. In case the holder(s) desires to nominate more than one person as nominee, the ratio shall be mentioned and separate form to be filled for each nominee.

9. Fresh Nomination registration number will be allotted upon successful registration.

10. The Company / RTA will entertain claims of registered nominees only.

11. The new nominee will be entitled to all the rights in the securities upon demise of all holders in the folio.

12. In case the nomination already registered is being cancelled by submission of SH-14 and a fresh nomination is not being registered, the security holder(s) is/are mandatorily required to submit Form ISR-3 to 'Opt Out' of Nomination.

13. Kindly note that the nomination being a legal document the same should be dated by the security holder. Furthermore, the date of execution on the Nomination Form should match with the date of witness, witnessing the document.

■ **FOR OFFICE USE ONLY** :

■ Nomination Registration Number :

■ Date of Registration :

■ Checked and Signature of Employee :