

Shareholders' FAQs

Q 1. Who is Exide's Registrar & Share Transfer Agent (RTA)?

C B Management Services (P) Limited

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Contact Person: Mr. Subhabrata Biswas, Vice-President

Q 2. What can the Registrar & Share Transfer Agent help with?

The Company's Registrar & Share Transfer Agent can assist with any of the following issues:

- Issue of Duplicate Share Certificate to replace Lost/ Mutilated share certificates.
- Issue/re-issue of Dividend warrant, dividend queries,
- Queries pertaining to transfer of dividend / shares to Investor Education and Protection Fund
- Clarification of number of shares owned
- Transmission/ Transposition of physical share certificates between Shareholders.
- Register Name, Address, Bank Account or Signature changes in respect of Shareholders holding shares in physical form.
- All other shares related matters of investors.

Q 3. What is Dematerialisation and what are its benefits?

Dematerialisation is the process by which a client can get physical certificates converted into electronic balances.

An investor intending to dematerialise its securities needs to have an account with a Depository Participants (DP). The client has to deface and surrender the certificates registered in its name to the DP. After intimating NSDL electronically, the DP sends the securities to the concerned Issuer/ R&T agent.

Few benefits are as follows –

1. The risks pertaining to physical certificates like loss, theft, forgery and damage are eliminated completely with a DEMAT account.
2. The lack of paperwork enables quicker transactions and higher efficiency in trading.
3. Trading has become more convenient as one can trade through computers at any location, without the need of visiting a broker.
4. The shares that are created through mergers and consolidation of companies are credited automatically in the DEMAT account.
5. As all the transactions occur through the depository participant, a trader does not need to communicate individually with each and every company.
6. There is no need for stamp duty for transfer of securities; this brings down the cost of transaction significantly.

7. No odd lot problem, even one share can be sold
8. Easy Nomination facility

Q 4. How to demat shares?

First, please open an account with a Depository Participant (DP) and obtain a unique Client ID number. Thereafter, kindly fill up a Dematerialisation Request Form (DRF) provided by the DP and surrender the physical shares intended to be dematted to the DP.

Upon receipt of the shares and the DRF, the DP will send electronic requests through the Depository to the Registrar; for confirmation of demat. Each request will bear a unique transaction number.

Simultaneously, the DP will surrender the DRF and the shares to the Registrar with a covering letter requesting the Registrar to confirm the demat. After verifying the documents received from the DP, the Company/Registrar will confirm the demat to the Depository. This confirmation will be passed on from the Depository to the DP, which holds your account.

After receiving this confirmation from the Depository, the DP will credit the account with the dematerialized shares. The DP will then hold the shares in the dematerialized form on your behalf and you become the beneficial owner of these dematerialized shares.

On other hand if the Registrar rejects the said request then as per the prevailing norms an intimation will be send electronically and hardcopy of the documents will be returned by registered post. Along with a covering letter to the respective DP wherein the grounds for rejection is clearly mentioned.

Q 5. How to make a nomination with regard to one's shareholding?

To make a nomination, please submit a duly filled in and signed nomination form (Form SH-13) in duplicate. If you hold shares along with other holders, then all holders are required to sign the nomination form.

Nomination Form is available on the website of the RTA at <http://www.cbmsl.com/public/uploads/services/pdf/Nomination%20Form%20no.SH13%20%20New.pdf>

Nomination in respect of shares held in physical form can be sent to the Company. After the Company receives the form and finds it in order, a registration number will be allotted to the nomination. A duplicate copy of the nomination form submitted by you will then be returned to you with an endorsement indicating the registration number and date.

In case of dematerialised shares, your nomination has to be recorded with your Depository Participant.

Option for multiple nominations for each folio is also available.

The last date for adding nominee to one's shareholding is 31st December 2023.

Q 6. What is the process of transmission?

(A) Shares held in single name with Nomination

1. On receipt of a written request along with the security certificates from the nominee(s) for transmission of securities in his/her/their name(s), where the deceased security holder(s) had already registered the nomination in the books of Company, it shall, procure the following documents from the nominee(s) –
 - a. Duly signed transmission request form by the nominee(s) (Available on RTA website - <http://www.cbmsl.com/public/uploads/services/pdf/TRANSMISSION%20FORM.pdf>)
 - b. Original or Copy of death certificate duly attested by a Notary Public or by a Gazetted Officer.
 - c. Self-attested copy of PAN card of the nominee(s) (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof).
 - d. Original Share Certificates in respect of the entire shareholding of the deceased shareholder.
 - e. Any other government ID proof of the nominee
 - f. Bank particulars along with cancelled cheque leaf for remittance of dividend, if any, and ECS mandate form.
 - g. Signature of the Nominee duly attested by his/her Bank on the Letter Head of the Bank with Seal of the Bank.
2. On receipt of the above referred approval, shall record the details of the nominee(s), update Register of Members with new folio number, endorse the security certificates, scan the signature(s) of the nominee(s) and send the certificates to his/her/their address by Registered / Speed Post, etc within 21 days from the date of receipt of valid documents complete in all respects.
3. Additionally, in case any dividend/interest amounts are lying unclaimed / outstanding in the original folio, these will be processed in favour of the nominee(s). In such case, RTA will obtain bank particulars along with cancelled cheque leaf for remittance of dividend.

(B) Shares held in single name without Nomination (single holdings)

1. In other cases, as and when the claimant of the security intimates the RTA/Company of the death of the sole Security holder duly supported by an attested copy of the death certificate of the deceased, RTA:
 - . * Shall immediately mark a provisional ‘Stop Transfer’ against the folio of the deceased and intimate the claimant the procedure to be followed for transmission of securities to his name within 2 days of request.
 - . * Shall request the claimant to furnish following documents:

I. Where the market price of Shares involved is not more than Rs. 2 lacs on the date of application -

- a. Transmission Request Form duly signed by the legal heir(s)/Claimant.
- b. Original or copy of Death Certificate of the deceased shareholder duly attested by Notary Public or Gazetted Officer.
- c. Self-attested copy(ies) of PAN Card(s) of the legal heir(s).
- d. Original Share Certificates in respect of the entire shareholding of the deceased shareholder.
- e. Any other government ID proof of the nominee
- f. bank particulars along with cancelled cheque leaf for remittance of dividend, if any and ECS mandate form
- g. **Affidavit** as per prescribed format issued by SEBI from all the legal heirs made on appropriate non-judicial stamp paper towards identification and claim of legal ownership to the Shares. **[To be affirmed before a Magistrate, or Notary Public on Non-Judicial Stamp Paper of Rs.20/- (Rs.100 for Maharashtra)]**

*Provided that in case the legal heir(s)/claimant(s) is named in the Succession Certificate or Probate of Will or Will or Letter of Administration, an Affidavit from such legal heir(s)/claimant(s) **alone** would be sufficient.*

- h. Succession Certificate or Probate of Will or Will or Letter of Administration or Court Decree, as may be applicable, in terms of Indian Succession Act, 1925.

In the absence of the documents mentioned under **(h)** above,

- i. **A No Objection Certificate (NOC)** as per the conventional format from all legal heir(s) executed by all the legal heirs of the deceased shareholder not objecting to such transmission;
- ii. **Indemnity** as per RTA format from the legal heir(s) made on appropriate non judicial stamp paper indemnifying the Company

The above documents shall be affirmed by a Notary Public or by a First Class Magistrate.

II. Where the market price of Shares involved is more than Rs. 2 lacs on the date of application

Succession Certificate or Probate of Will or Will or Letter of Administration or Court decree, as may be applicable in terms of Indian Succession Act, 1925 shall be **mandatorily** submitted in addition to the documents mentioned under I(a) to I(g) above.

2. Shall on receipt of the documents complete KYC formalities and send the same to the **Company/RTA** for approval and on receipt of the same, RTA shall follow the below steps-

- remove the provisional Stop Transfer
- register the name of the claimant(s) as the security holder(s)
- update Register of Members with new folio number.
- scan/store his/her/their specimen signature(s) for records
- endorse the security certificates in the name(s) of the claimant(s)/legal heir(s)
- Send to Issuer Co. for affixing common seal and signature and
- dispatch the certificates by registered post/speed post, etc.
- transmit the securities, and dispatch the security certificates within 21 days from the date of receipt of valid documents complete in all respects.

(C) Shares held in joint names

Deletion of name of the deceased shareholder is to be effected by the Company on receipt of the following documents from the surviving holder(s):

1. Original or copy of Death Certificate of the deceased shareholder attested by Notary Public or Gazetted Officer.
2. Self-attested copy of PAN Card of each surviving holder.
3. Original Share Certificates in respect of the entire shareholding of the deceased shareholder.

In case of joint names with nomination and without nomination, same documents would be required as provided above in A and B including death certificate of all joint holders, if applicable.

Please refer the weblink to download the following forms:

<http://www.cbmsl.com/services/details/download-application-forms->

- Transmission Form
- Affidavit for claiming ownership
- Indemnity
- ECS mandate form

Q 7. If there is a change in my address/name/bank details, what is the procedure to get it recorded with the Company?

Kindly send a request letter quoting the folio number signed by all the shareholders providing the new address along with the PIN code. The request letter should be accompanied by a copy of PAN card of all the holders and a valid proof of address and cancelled Bank cheque leaf/Bank Pass Book of the 1st named shareholder.

And in case of Demat holding since your Depository Participant maintains the records of your dematerialised shares, you have to approach your DP to effect any change in your address/name/Bank details.

Q 8. By when does the shareholders holding physical securities need to update their KYC and what are the consequences of not doing so?

- Kindly note that with reference to SEBI circulars dated 16th March 2023 read with circular dated 26th September 2023 ([SEBI/HO/MIRSD/POD-1/P/CIR/2023/158](#)) it is important for the shareholders of physical securities to furnish the necessary information and update their KYC on or before **31ST DECEMBER 2023**.
- In case shareholders of physical securities have not updated the KYC as per the guidance of SEBI Circular within the due date, their shareholding shall be frozen by the Registrar and Share Transfer Agent on and from 1st January 2024.
- Also note that frozen folios shall be referred by the RTA/ Listed company to the administrative 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.
- The shareholder(s) whose folio(s) have been frozen shall be eligible:
 - (a) to lodge grievance or avail any service request from the RTA only after furnishing the KYC documents and
 - (b) for any payment including dividend in respect of such frozen folios, only through electronic mode with effect from 1st April, 2024.

Q 9. Where should the shareholder contact to update their KYC?

- Shareholders holding physical securities should furnish the necessary documents required to update KYC to Exide's Registrar and Share Transfer Agent i.e. CB MANAGEMENT SERVICES (P) LTD.
- Shareholders shall submit FORM ISR 1 to Company's RTA to update KYC.

Q 10. How to revalidate the Dividend?

- As and when a request in writing from the Member for revalidation of dividend is received by Registrar, Registrar will scrutinize the warrant/cheque for name and Bank details and ensure it requires revalidation. Further, payment will be made through NEFT only after obtaining requisite declaration from the concerned Member and after ascertaining the encashment status of the original dividend cheque/warrant.
- The Company on receiving a request for revalidation of a Dividend warrant, should credit the proceeds of such Dividend to the Bank account of the Member through electronic mode if the Member makes requisite bank details for such electronic remittance available. If electronic remittance is not possible, the Company should issue a Fresh demand draft in lieu thereof.

- In case of non-receipt of Dividend warrant by the shareholder and if the same remains unpaid and Bank details are updated in the database, payment will be made through NEFT after verifying the encashment status of the Dividend Warrant.
- In case of defaced, torn or decrepit Dividend cheque or warrant, payment will be made through NEFT on surrender of such defaced, torn or decrepit instrument to the Company.
- Where the Dividend warrant has been lost in transit or misplaced by the Member, the electronic remittance of such Dividend or a Demand Draft will be issued after the expiry of the validity period of the original Dividend warrant and after ascertaining the payment status by reconciliation of the bank account and obtaining present Bank details of the shareholder.
- It is important to note that the security holder(s) whose folio(s) have been frozen due to non updation of KYC within due date shall be eligible for any payment including dividend in respect of such frozen folios, only through electronic mode with effect from **1st April, 2024**.

However, the company can arrange for electronic payment even before the expiry of the validity period of the original Dividend warrant that has been lost or misplaced, subject to compliance of the following:

- (i) The Member has submitted requisite declaration/ indemnity/affidavit/Bank details to the company along with the request for issue of duplicate Dividend Warrant.
- (ii) The company has ascertained the payment status of original Dividend warrant by reconciliation of the bank account.
- (iii) The necessary instructions for stop payment of original Dividend warrant has been issued to the Dividend banker.

Q 11. In case of lost/misplaced share certificates, what are the steps that one should take to obtain duplicate share certificates?

Please inform our Secretarial Department immediately about the loss of share certificates (of face value Rs.10 or Re.1). Kindly quote your folio number and, if available, details of share certificates. We shall immediately mark a caution on your folio to prevent any further transfer of shares covered by the lost share certificates.

Upon receipt of intimation about loss of certificates, we will revert with the required formalities to be complied with for obtaining duplicate certificates.

Q 12. What action should one take if he/she retrieve the original share certificate, which he/she had reported to the Company to be lost?

Please surrender the original share certificate to the Secretarial Department immediately if duplicate share certificates have been issued. However, if the original share certificates are found before you comply with the procedure for obtaining duplicate share certificates, please inform the Secretarial Department immediately so that we can remove the caution from your folio immediately.

Q 13. What is Green Initiative? Why should one register for the same?

Green Initiative is an effort of the Government of India which aims at reducing paper consumption thereby contributing to a greener environment.

Towards this end, the Ministry of Corporate Affairs vide its Circular Nos. 17/2011 dated 21.04.2011 and 18/2011 dated 29.04.2011 commenced the “Green Initiative in Corporate Governance” thereby allowing Companies to issue Annual Reports and other documents to the shareholders in electronic mode.

By registering for Green Initiative, every shareholder will get an opportunity to contribute to this noble cause for the benefit of our future generations. Moreover, there are other communication like dividend intimations, etc. which the Company sends periodically to those shareholders who have registered for E-Communication.

To register for E-communication, you need to have an email id. You may either write to Registrar or to the Secretarial Department by filling up the E-Communication Registration Form. The form is available under following weblink: <http://www.cbmsl.com/green>

Q 14. Where can one find details of the dividends unclaimed for 7 consecutive years, the shares in respect of which are liable to be transferred to the Investor Education and Protection Fund?

The details can be accessed on Company’s website at <https://www.exideindustries.com/investors/unclaimed-dividends.aspx>

. 15 How can one claim dividend or shares that have been transferred to the Investor Education and Protection Fund Authority?

Pursuant to Section 124 read with Rule 7 of the Investor Education and Protection Fund (IEPF) Authority (Accounting, Audit, Transfer and Refund) Rules, 2016, a shareholder may claim the shares and unclaimed dividend so transferred to the IEPF Authority by making an application in form IEPF 5 available on the website of Investor Education and Protection Fund at <http://www.iepf.gov.in/IEPF/refund.html>

Q 16. If one holds Exide shares in physical form. How do he/she transfer or sell these shares?

Pursuant to the amendment to SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, it is mandatory to transfer or sell securities in dematerialized form from April 1, 2019.

There is no restriction on holding shares in physical form. However, the transfer/trading of shares after March 31, 2019 would be done in electronic mode.

Q 17. Where can one get contact details to address the Company/Registrar?

The investor contact details are available on Company’s website at <https://www.exideindustries.com/investors/investor-contacts.aspx>

Q 18. How can one raise a dispute against the Company and or its Registrar and Share Transfer Agent (RTA) through Stock Exchange Arbitration mechanism?

SEBI vide circular dated April 08, 2022 advised Stock Exchanges to put in place a Standard Operating Procedure (SOP) for operationalizing the resolution of all disputes pertaining to or emanating from investor services such as transfer/transmission of shares, demat/remat, issue of duplicate shares, transposition of holders, etc. and investor entitlements like corporate benefits, dividend, bonus shares, rights entitlements, credit of securities in public issue, interest /coupon payments on securities, etc. through Arbitration.

The Arbitration Mechanism can be initiated post exhausting all actions for resolution of complaints including those received through SCORES Portal. The Arbitration reference shall be filed with the Stock Exchange where the initial complaint has been addressed.

If any shareholder has any dispute against the Company and or its Registrar and Share Transfer Agent (RTA) on delay or default in processing their request, as per SEBI circular dated 30.05.2022, they can file for arbitration with Stock Exchange. For more details, please see the web links of the stock exchanges.

BSE : https://www.bseindia.com/static/investors/arbitration_mechanism.aspx

NSE : [About Arbitration - NSE India](#)

It is important for the shareholders to note that Online Dispute Resolution is an additional dispute resolution mechanism introduced by SEBI vide circular dated 31st July 2023 read with amendment circular dated 4th August 2023.

- An investor can lodge its complaint directly to the company or through SCORE system, before initiating dispute resolution through the ODR Portal or alternatively, can directly initiate dispute resolution through the ODR Portal.
- Under ODR Portal, the complaint will first be routed through Conciliation process. In case of non-resolution through the Conciliation process, if the investor or the company deems fit, the matter can be escalated to Arbitration process.

The link to the common online ODR portal, called the smart ODR has been given in the website of the company.

Related Link for accessing forms - <http://www.cbmsl.com/services/details/download-application-forms->