

## **Intimation to the Shareholders holding Equity Shares of Alembic Pharmaceuticals Limited (“the Company”) in Physical Form**

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This intimation is specifically addressed to the Shareholders holding Equity Shares of the Company in Physical Form (“Physical Shareholders”), pursuant to Para 16 of the SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated 16<sup>th</sup> March, 2023, on Common and Simplified Norms for processing investor’s service request by RTAs and norms for furnishing PAN, KYC details and Nomination and SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests.

Kindly note that SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated 3<sup>rd</sup> November, 2021 and SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/687 dated 14<sup>th</sup> December, 2021 have been superseded vide above referred SEBI Circular dated 16<sup>th</sup> March, 2023.

**1. Mandatory furnishing of (a) PAN, (b) KYC details, (c) Nomination by holders of physical securities and (d) Specimen Signature (only in case of mismatch in signature/ Signature card not available with RTA).**

Kindly note that pursuant to the provisions prescribed vide applicable SEBI Circulars, w.e.f. 1<sup>st</sup> January, 2022, Link Intime India Private Limited, the Registrar and Share Transfer Agent of the Company (“RTA”), shall process service requests or complaints received from the Physical Shareholder(s) / Claimant(s), only after receipt of valid PAN, KYC and Nomination documents/details.

**2. Issuance of Securities in dematerialized form in case of Investor Service Requests for (a) Issue of duplicate securities certificate, (b) Claim from Unclaimed Suspense Account, (c) Replacement / Renewal / Exchange of securities certificate, (d) Endorsement, (e) Sub-division / Splitting of securities certificate, (f) Consolidation of securities certificate / folios, (g) Transmission, (h) Transposition and (i) Change in name of the Holder.**

Please further note that Listed Companies shall issue the securities in dematerialized form only while processing the investor service request for all activities as mentioned above.

### **Forms prescribed:**

In order to update the details as mentioned at Point No. 1 above or to make Investor Service Requests as mentioned at Point No. 2 above, it shall be mandatory for all the holders of physical securities to furnish requisite documents / details to the RTA as per the below mentioned forms:

- a) Form ISR – 1: Request for registering PAN, Postal Address with PIN, Email Address, Mobile Number, Demat account details, Signature and Bank Account (bank name and branch, bank account number, IFS code or copy of cheque leaf).

- b) Form ISR – 2: Confirmation of Signature of securities holder by the Banker to be used only if mismatch is found in signature or signature card is not available with RTA.
- c) Form ISR – 3: Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies.
- d) Form ISR – 4: Request for issue of Duplicate Certificate and other Service Requests (as mentioned at Point No. 2 above except Transmission).
- e) Form ISR – 5: Request for issue of Duplicate Certificate in dematerialized form in case of Investor Service Requests for Transmission.
- f) 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].
- g) 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].

All the above forms can be downloaded from <https://alembicpharmaceuticals.com/investor-related-forms/>

### **3. Freezing of Folios without PAN, KYC details and Nomination:**

- a) W.e.f. 1<sup>st</sup> October, 2023, the folios wherein any of the aforesaid documents / details are not available, shall be frozen by the RTA.
- b) The holders of such folios shall be eligible to lodge grievance or avail any service request from the RTA only after furnishing the complete documents / details as mentioned at Point No. 1 above.
- c) W.e.f. 1<sup>st</sup> April, 2024, the holders of such folios shall be eligible for any payment including dividend, interest or redemption payment, only through electronic mode, after furnishing the complete documents / details as mentioned at Point No. 1 above.
- d) The Equity Shares held in such folios shall be referred to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and / or Prevention of Money Laundering Act, 2002, if continue to remain frozen as on 31<sup>st</sup> December, 2025.

**e) Compulsory linking of PAN and Aadhaar by the Physical Shareholders:**

The folios in which PANs is / are not available as on the notified cut-off date of 30<sup>th</sup> June, 2023 or any other date as may be specified by the Central Board of Direct Taxes ("CBDT"), shall also be frozen as detailed at Point No. 3 above.

All communications / queries in this regard should be addressed to the RTA at the following address:

**LINK INTIME INDIA PVT. LTD.**

Unit – Alembic Pharmaceuticals Limited  
B-102 & 103, Shangrila Complex, Opp. HDFC Bank,  
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