

Intimation to the shareholders holding equity shares of Alembic Pharmaceuticals Limited (“the Company”) in physical form

This intimation is specifically addressed to the shareholders holding equity shares of the Company in physical form (“physical shareholders”), pursuant to Para 7 of the SEBI Circular No.: SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated 3rd November, 2021 read with SEBI Circular No.: SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated 14th December, 2021 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 25th January, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests (“SEBI Circulars”).

- 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).**

Please note that w.e.f. **1st January, 2022**, the RTA will process service requests or complaints received from the physical shareholder(s) / claimant(s), only after valid PAN, KYC and Nomination documents/details are received by them.

- 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) Renewal / Exchange of securities certificate, (d) Endorsement, (e) Sub-division / Splitting of securities certificate, (f) Consolidation of securities certificate / folios, (g) Transmission and (h) Transposition.**

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 Link Intime India Private Limited, the Registrar and Share Transfer Agent of the Company (“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 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).
- e) **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].
- f) **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://www.alembicpharmaceuticals.com/investor-related-forms.php>

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

- a) **W.e.f. 1st April, 2023**, the folios wherein any of the aforesaid documents / details are not available, shall be frozen by the RTA. The holders of such folios shall be eligible to lodge grievance or avail service request or eligible for payment of dividend only through electronic mode, only after furnishing the complete documents / details as mentioned at point no. 1 above.
- b) 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 31st December, 2025**.

4. 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 31st March, 2022 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:

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