



# FAQ & Guide Book for Shareholders

**Sun Pharmaceutical Industries Limited**

(CIN: L24230GJ1993PLC019050)

**Regd Office:** SPARC, Tandalja, Vadodara – 390 012, Gujarat

**Corp Office:** SUN HOUSE, CTS No. 201 B/1, Western Express Highway, Goregaon (E), Mumbai 400063

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## **INVESTOR CONTACT FOR FURTHER ASSISTANCE:**

Company's Registrar and Transfer Agent  
Link Intime India Pvt. Ltd.  
(Unit: Sun Pharmaceutical Industries Limited)  
C-101, 247 Park,  
L.B.S. Road, Vikhroli West,  
Mumbai 400 083.

**Tel:** (022) 49186000

**Fax:** (022) 49186060

**Email:** [sunpharma@linkintime.co.in](mailto:sunpharma@linkintime.co.in)  
[rnt.helpdesk@linkintime.co.in](mailto:rnt.helpdesk@linkintime.co.in)

## Index of Content

Sr.No.	Particulars	Page No.
<b>I.</b>	<b>ABOUT SUN PHARMACEUTICAL INDUSTRIES LIMITED(SPIL)</b>	<b>5 - 8</b>
	1. When was SPIL established?	5
	2. Who is SPIL's Registrar & Share Transfer Agent (RTA)?	5
	3. What can the Registrar & Share Transfer Agent help me with?	5
	4. What are the addresses of SPIL Offices handling Shareholder related matters?	6
	5. Where are SPIL's shares listed?	6
	6. How can I purchase shares of SPIL?	6
	7. Did SPIL pay any dividend/ issue Bonus Shares in the past?	7
	8. Where can I find historical prices for SPIL equity shares?	7
	9. How can I receive a hard copy of SPIL's complete Annual Report?	7
	10. What is the relationship between SPIL & Sun Pharma Advance Research Company Limited?	8
	11. Can individual investors listen to the earnings conference call with analysts?	8
	12. Does SPIL issue quarterly financial reports?	8
	13. Who are the members of SPIL's Board of Directors?	8
<b>II</b>	<b>TRANSMISSION OF SHARES</b>	<b>9 - 11</b>
	1. In case of joint holdings, in the event of death of one shareholder, how do the surviving shareholders get the shares in their names?	9
	2. I would like to gift some shares (held by me in physical form) to my children/relatives. How do I get them registered in their names? Does this involve stamp duty?	9
	3. If both the Joint Holder of the share dies. How do I get the shares transmitted in my name?	10
	4. The name of a joint holder was included only for convenience by the first holder. I am the only heir. Could you transfer the shares in my name as per the will/probate?	10
	5. If the Shareholder who held the shares in the demat mode dies, how do the surviving shareholders get the shares in their names?	11
	6. If the Shareholder who held the shares in the demat mode dies, how can his legal heir/s (either husband/wife/son/daughter, etc.) get the shares transmitted in their names?	11
<b>III</b>	<b>LOSS OF SHARE CERTIFICATES &amp; ISSUE OF DUPLICATE</b>	<b>11 - 13</b>
	1. I have lost/misplaced my share certificates, what are the steps that I should take to obtain duplicate share certificates?	11

	2. I have lost my share certificate with transfer deeds duly executed by me. How should I proceed to obtain duplicate share certificates?	13
	3. What action should I take if I retrieve the original share certificate, which I had reported to the Company to be lost?	13
	4. My share certificate is torn or damaged, how can I replace the same?	13
<b>IV</b>	<b>TRANSPOSITION OF SHARES</b>	<b>13 – 13</b>
	1. I wish to change the order of names of the shareholders (i.e. transposition). What should I do?	13
<b>V</b>	<b>NOMINATION IN RESPECT OF SHAREHOLDING</b>	<b>14 – 16</b>
	1. How do I make a nomination with regard to my shareholding?	14
	2. Do I have to send my share certificates along with the nomination form?	14
	3. My shares are held in joint names. Are the joint holders nominees to the shares?	14
	4. Can a nomination once made be revoked/changed?	14
	5. What is the legal position of the nominee in case of death of the shareholders?	14
	6. What is the procedure for the nominee to get the shares in his name?	15
	7. I have shares in demat form. Can I send the nomination form to the Company for making a nomination with respect to my shareholding?	16
<b>VI</b>	<b>CHANGE OF NAME/ADDRESS/BANK DETAILS</b>	<b>16-16</b>
	1. If there is a change in my name (due to marriage etc.), address or Bank details what is the procedure to get it recorded with the Company?	16
	2. Can there be multiple addresses for a single folio?	16
	3. If the shares are dematerialised, what is the procedure for change of address?	16
<b>VII</b>	<b>REGISTRATION OF CHANGE IN SIGNATURE</b>	<b>17 – 17</b>
	1. My Signature over a period of time and my current signature is different from the one registered with the Company. How can I update my new signature with the Company?	17
<b>VIII</b>	<b>DEMATERIALISATION OF SHARES</b>	<b>17 – 20</b>
	1. What is Dematerialisation and what are its benefits?	17
	2. How do I dematerialise my shares?	18

	3. Once my shares are dematerialised, can I ever get them converted into physical shares?	18
	4. What are the charges to be paid to demat one's physical shares? Will it be paid by the Company or do I have to pay for it?	19
	5. I have purchased some shares in paper form. Can I directly give the share certificates to my Depository Participant for dematerialising them in my favour?	19
	6. Is it a fact that SPIL shares are traded compulsorily in Demat Form? Do I have the option of holding them in physical form?	19
	7. How do I get my dividends on dematerialised shares? Will I get the Annual Report after I demat my shares? Will I be able to attend the AGM?	20
	8. What are the chances of any fraud/disputes in using a demat account? Whom should I approach in such cases?	20
	9. Can I pledge my shares in demat form to avail any funding/loan arrangement with my bankers?	20
	10. Why can't the Company take request for change of details recorded in the demat account?	20
<b>IX</b>	<b>GREEN INITIATIVE</b>	<b>20 - 21</b>
	1. What is Green Initiative? Why should I register for the same?	20
	2. I want to update my e-mail address for receipt of e-communication. What should I do?	21
<b>X</b>	<b>SHARES LYING IN UNCLAIMED SUSPENSE ACCOUNT</b>	<b>21 - 21</b>
	1. My Shares have been transferred by the Company to the Unclaimed Suspense Demat Account. What should I do?	21
<b>XI</b>	<b>INVESTOR EDUCATION AND PROTECTION FUND</b>	<b>21 - 24</b>
	1. Whether the underlying shares of unpaid or unclaimed dividends are required to be transferred to IEPF when the amount of unpaid or unclaimed dividend is being transferred?	21
	2. What amounts are required to be credited to the Fund	22
	3. When the unclaimed/ unpaid amount shall be transferred to the IEPF Fund?	23
	4. How will I come to know whether my shares have been transferred to IEPF? Whether can I get the shares and dividend back?	23

	5. Whether details of the nodal officer are given on the website of the Company?	23
<b>XII</b>	MISCELLANEOUS	23 – 24
	1. I hold more than one folio in the same name. Can I consolidate these folios?	23
	2. I want to authorise another person to deal with my shares. Do I have to report this to the Company?	24
	3. I have not received the notice for ensuing General Meeting/ Postal ballot. What should I do?	24

## I. ABOUT SUN PHARMACEUTICAL INDUSTRIES LIMITED (SPIL)

### Q1. When was SPIL established?

Sun Pharmaceutical Industries Limited ('SPIL') is a publicly listed Company engaged in the Pharma business. SPIL was incorporated under Part IX of the Companies Act, 1956 in the State of Gujarat on 1<sup>st</sup> March 1993.

### Q2. Who is SPIL's Registrar & Share Transfer Agent (RTA)?

#### **Link Intime India Private Limited.**

C-101, 247 Park,

L.B.S. Road, Vikhroli West,

Mumbai 400 083.

*Tel No:* +91 22 49186000

*Fax:* +91 22 49186060

*Email:* sunpharma@linkintime.co.in

rnt.helpdesk@linkintime.co.in

*Web:* www.linkintime.co.in

### Q3. What can the Registrar & Share Transfer Agent(RTA) help me 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 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 stock/shares related matters of investors.

## **Q4. What are the addresses of SPIL Offices handling Shareholder related matters?**

If you are not satisfied with the services of our RTA, you can get in touch with the following Company officials directly for any further information/ assistance:

### **Institutional Investors:**

#### **Nimish Desai**

SUN HOUSE, CTS No. 201 B/1,  
Western Express Highway,  
Goregaon (E), Mumbai 400063  
Telephone: (+91 22) 4324 4324  
Direct no. (+91 22) 4324 2778  
Email : [nimish.desai@sunpharma.com](mailto:nimish.desai@sunpharma.com)

### **Individual Investors & Queries Related to Shares/Dividend, etc.**

Secretarial Department  
SUN HOUSE, CTS No. 201 B/1,  
Western Express Highway,  
Goregaon (E), Mumbai 400063  
Telephone: (+91 22) 4324 4324  
Direct no. (+91 22) 4324 2230  
**Email:** [secretarial@sunpharma.com](mailto:secretarial@sunpharma.com)

## **Q5. Where are SPIL's shares listed?**

The equity shares of the Company are currently listed on the National Stock Exchange of India Ltd. (NSE) and BSE Ltd. (BSE).

### ➤ **Stock code and ISIN No:**

BSE Ltd.,	524715
National Stock Exchange of India Ltd.	SUNPHARMA
ISIN for Depositories (NSDL and CDSL)	INE044A01036

## **Q6. How can I purchase shares of SPIL?**

The equity shares of the Company are actively traded on both the Stock Exchanges, where it is listed and can be purchased in dematerialized form at prevailing market

price on any of the aforesaid exchanges through your dematerialized trading account.

Shares held in physical form cannot be traded on the stock exchanges and has to be acquired/ sold through a share broker or by direct transaction between the buyer & seller. 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. Investors can continue to demat their physical shares, transmission and transposition in physical shares even after April 01, 2019.

## **Q7. Did SPIL pay any dividend/ issue Bonus Shares in the past?**

You can access the dividend history of SPIL on <http://www.sunpharma.com/investors/shareholders-information/dividend>. The Company has also issued Bonus shares. The value of your dividend and shares can be calculated by accessing the link <http://www.sunpharma.com/investors/shareholders-information/tools>.

## **Q8. Where can I find historical prices for SPIL equity shares?**

The details of the historical prices of the shares of the Company on both the stock exchanges where it is listed are available on the website of the respective stock exchanges i.e. [www.bseindia.com](http://www.bseindia.com) and [www.nseindia.com](http://www.nseindia.com).

## **Q9. How can I receive a hard copy of SPIL's complete Annual Report?**

In compliance with the applicable regulations and as a measure of green initiative, the Annual Reports of the Company are usually sent by the Company in soft form to the email address of the shareholder registered with the Company/ Depositories. In case you wish to receive the printed copy of the Annual Report in respect of ensuing years, you may send a request to the Company/RTA by letter or by mail to the email id: [sunpharma@linkintime.co.in](mailto:sunpharma@linkintime.co.in) or at [secretarial@sunpharma.com](mailto:secretarial@sunpharma.com). Please quote your Folio No. / DPID / Client ID No. in the letter/ email.

The Annual Reports in respect of the previous financial years are available on the website of the Company and can be downloaded using the link <http://www.sunpharma.com/investors/annualreports>. As a measure of austerity,



application for providing hard copy of the old Annual Report(s) is not entertained by the Company.

**Q10. What is the relationship between SPIL & Sun Pharma Advance Research Company Ltd.?**

Consequent to its demerger from Sun Pharmaceutical Industries Limited (SPIL), SPARC ceases to be a subsidiary of SPIL and has become an independently managed, separately listed public limited Company. Both the Companies are managed by separate management team, except Mr. Dilip Shanghvi, who remains the Managing Director & Promoter of both the Companies.

**Q11. Can individual investors listen to the earnings conference call with analysts?**

Yes. SPIL normally announces the schedule for any proposed analyst/ investor call along with the dial-in details for interested participants well in advance of the scheduled date. Such details are disclosed to the Stock Exchanges and also on the website of the Company. If you are interested, you may dial-in using the indicated numbers to listen and participate in the call.

Transcripts of the recent earnings conference calls are also made available on the website of the Company for reference in future.

**Q12. Does SPIL issue quarterly financial reports?**

Yes. The past quarterly financial results of the Company is available on the website of the Company and can be accessed through the link <http://www.sunpharma.com/investors/financials>. The same is also disclosed on the websites of the stock exchanges where it is listed i.e. [www.bseindia.com](http://www.bseindia.com) and [www.nseindia.com](http://www.nseindia.com). The Company also sends Quarterly financial results whose e-mail ids are registered with the RTA of the Company

**Q13. Who are the members of SPIL's Board of Directors?**

The list of all the members of the Board of the Company is available on the website of our Company and can be accessed through the link: <http://www.sunpharma.com/about-us/board-of-directors>

## II. TRANSMISSION OF SHARES

### **Q1. In case of joint holdings, in the event of death of one shareholder, how do the surviving shareholders get the shares in their names?**

The surviving shareholders are required to submit a request letter supported by a self-attested copy of PAN card of all surviving holders, an attested copy of the Death Certificate of the deceased shareholder and the relevant share certificates. It is advisable that the documents are accompanied by a duly executed Transmission Form (**Annexure 1A**).

The Company/RTA, on receipt of the said documents, will delete the name of deceased shareholder from its records and return the share certificates to the applicant/registered holder with the necessary endorsement.

### **Q2. If a shareholder who held shares in his sole name dies, how can his legal heir/s (either husband/wife/son/daughter, etc.) get the shares transmitted in their names?**

SEBI vide its Circular No. CIR/MIRSD/10/2013 dated 28.10.2013 (as modified by Circular No. SEBI/HO/MIRSD3/CIR/P/2016/0000000085 dated 15.09.2015), has directed all listed companies to adhere to a standardized and simplified procedure for transmission of shares in physical mode registered in the name of sole / single shareholder. Accordingly, you may submit the documents listed below, as may be applicable to you -

#### 1. For securities held in single name with a nominee:

- i. Duly signed transmission request form by the nominee.
- ii. Original or Copy of death certificate duly attested by a Notary Public or by a Gazetted Officer.
- iii. Self attested copy of PAN card of the nominee. (Copy of PAN card may be substituted with ID proof in case of residents of Sikkim if supported by a valid address proof)

#### 2. For securities held in single name without a nominee, the following **additional** documents are required:

- a.) Affidavit from all the legal heirs made on appropriate non judicial stamp paper – to the effect of identification and claim of legal ownership to the securities (**Annexure 1B**).

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/claimant(s) alone would be sufficient.

b) For value of securities **upto Rs. 2,00,000/- (Rupees Two lakh only)** as on date of application, one or more of the following documents:

i. 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.

ii. In the absence of the documents as mentioned at (i) above,

a. A No Objection Certificate [NOC] from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (**Annexure 1C**) (or) copy of Family Settlement Deed duly notarized.

and

b. An Indemnity bond made on appropriate non judicial stamp paper – indemnifying the RTA and the Company (**Annexure 1D**).

c) For value of securities **more than Rs. 2,00,000/- (Rupees Two lakh only)** as 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.

You may get in touch with the RTA or the Company for more details.

### **Q3. If both the Joint Holder of the share dies. How do I get the shares transmitted in my name?**

To get the shares transmitted in your name, kindly obtain a Succession Certificate/Letter of Administration of the last deceased joint holder in your favour and follow the procedure for transmission of shares explained above.

### **Q4. The name of a joint holder was included only for convenience by the first holder. I am the only legal heir. Can you transmit the shares in my name as per the will/probate?**

As per law, the joint holder is deemed to be having indivisible ownership of the joint property and the Company cannot ascertain as to how or why the name was included.

As per the Articles of Association of the Company, the surviving joint holders are the only persons recognised as having title to the shares.

**Q5. If the Shareholder who held the shares in the demat mode dies, how do the surviving shareholders get the shares in their names?**

They can transmit the shares in a new demat account held in the name of the surviving shareholders.

**Q6. If the Shareholder who held the shares in the demat mode dies, how can his legal heir/s (either husband/wife/son/daughter, etc.) get the shares transmitted in their names?**

SEBI vide its Circular No. SEBI/HO/MIRSD/DOP/CIR/P/2019/05 dated 04.01.2019 has directed to follow the procedures for transmission of securities in dematerialized mode with that of transmission of securities in physical mode, it has been decided that transmission of securities held in dematerialized mode shall be dealt in line with Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Sixth Amendment) Regulations, 2018.

### **III. LOSS OF SHARE CERTIFICATES & ISSUE OF DUPLICATE**

**Q1. I have lost/misplaced my share certificates, what are the steps that I should take to obtain duplicate share certificates?**

Please inform our RTA immediately about the loss of share certificates. Kindly quote your folio number and, if available, details of share certificates. **Please also ensure to mention your contact details including email id's if any, to enable us to contact you for any further clarifications in this regard.** On receipt of the communication, we shall mark a caution on your folio to prevent any further transfer of shares covered by the lost share certificates.

Following are indicative formalities for getting duplicate share certificates:

The following documents will have to be submitted along with the application for issue of duplicate shares (in one lot) within **21 days** from the date of intimation of loss to the Company.

1. FIR/ Acknowledged copy of Police Complaint lodged with the local police station for the loss of the shares/ debentures. *Please note that all the details of the share/ debenture certificates such as Name of the Company, Folio No., Share Certificate numbers along with Distinctive numbers and Name of the Registered Shareholder holder should be mentioned in the complaint. It also should be*

***mentioned whether the share certificates were annexed with any transfer deed duly signed or not.***

2. Indemnity Bond (as per **Annexure 2A**) on Rs. 200/- Non-Judicial Stamp Paper, duly attested by a Special Executive Magistrate (SEM) or Special Executive Officer (SEO) or Notary Public.
3. Affidavit (**as per Annexure 2B**) on Rs. 100/- Non-Judicial Stamp Paper duly affirmed by a Special Executive Magistrate (SEM) or Special Executive Officer (SEO) or Notary Public.
4. Proof of Identification and Proof of Address your identification
  - a) Proof of Identification : Copy of PAN Card
  - b) Proof of address: Copy of any one document mentioned below duly attested by Special Executive Officer or Notary Public or your Bank Manager:

Aadhaar card or Passport or Voter ID Card or Bank Account Statement/ Passbook or Utility bills like Telephone Bill, Electricity bill & Gas Bill (*not more than 3 months old*)

5. Signature Attestation of the Shareholder(s), including that of Joint Shareholder(s) in Original.  
*This should be obtained on the Letterhead of the Bank where the shareholder(s) have an account, signed by the Manager/ Authorised Official providing his employee code/number; identifying and verifying the signature(s) along with the shareholder(s) account details.*

On receipt of the aforesaid documents and after satisfying the adequacy of the same, the Company may issue an advertisement in the newspaper declaring the receipt of your application for issue of duplicate shares and advising any member of the public contesting their claim to lodge a formal objection within 15 days of such publication.

The cost of the aforesaid advertisement shall be borne by the shareholder(s) and the actual cost would be notified to the shareholder(s) after receipt of the documents mentioned in point 1 to point 5 above.

If no objections are received by the Company within 15 days after the issue of the aforesaid advertisement, the Company would proceed to issue the Duplicate Share Certificate as per your application.

**Please Note:** *If the above documents do not reach the Company/ RTA within stipulated time, we would be unable to hold the notified shares under "Stop Transfer/ Caution List". Consequently, neither the Company nor the RTA shall be responsible for transfer of such shares, if any, thereafter.*

**Q2. I have lost my share certificate with transfer deeds duly executed by me. How should I proceed to obtain duplicate share certificates?**

Please note that except in case of transmission or transposition of securities, requests for effecting transfer of securities shall not be processed in physical mode on or after April 1, 2019 in view of guideline issued by SEBI.

**Q3. What action should I take if I retrieve the original share certificate, which I had reported to the Company to be lost?**

Please surrender the original share certificate to the RTA 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 RTA immediately so that we can remove your folio from the "stop Transfer/ Caution list".

**Q4. My share certificate is torn or damaged, how can I replace the same?**

Please contact our RTA with a request letter for the replacement of the Certificate along with the damaged Original share certificate and a self-attested copy of your PAN Card along with the self-attested copy of PAN Card of the joint shareholder(s). RTA will inform you if any further formality is required to be complied for the same.

## **IV. TRANSPOSITION OF SHARES**

**Q1. I wish to change the order of names of the shareholders (i.e. transposition). What should I do?**

The Share certificates along with a request letter duly signed by all the joint holders may be sent to the Company's RTA. Transposition can be done only for the entire holdings under a folio and therefore, requests for transposition of part holding cannot be accepted by the Company / RTA. For shares held in demat form, investors are advised to approach their concerned DP for transposition of the shares.

Please note that submission of a copy of PAN card is mandatory for transposition of shares also in terms of SEBI's Circular no. SEBI/MRD/DoP/SE/RTA/Cir-03/2010 dated January 07, 2010.

## **V. NOMINATION IN RESPECT OF SHAREHOLDING**

### **Q1. How do I make a nomination with regard to my shareholding?**

To make a nomination, please submit a duly filled in and signed nomination form in the prescribed Form SH-13 (**Annexure 3A**). If you hold shares along with other holders, then all holders are required to sign the nomination form.

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.

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.

### **Q2. Do I have to send my share certificates along with the nomination form?**

No.

### **Q3. My shares are held in joint names. Are the joint holders nominees to the shares?**

Joint holders are not nominees. They are joint owners of the relevant shares. 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/persons recognized by the Company as the holders of the shares.

### **Q4. Can a nomination once made be revoked/changed?**

A nomination once made can be revoked by submitting a cancellation or change of nomination form in prescribed Form SH-14 (**Annexure 3B**). If the nomination is made by joint holders, and one of the joint-holders dies, the surviving joint holder/s can revoke/ change the existing nomination by filing the aforesaid form.

### **Q5. What is the legal position of the nominee in case of death of the shareholders?**

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 2016, the Bombay High Court laid to rest the position of a nominee versus legal heir in relation to the shares of an Indian company. The Court held that a nomination does not in fact, override the laws of succession in India. A nomination is made with a view to ensure that the estate of the deceased can take appropriate steps towards succeeding to such estate. Thus nominee of shares of an Indian company is not the legal owner of the shares and therefore, the legal heirs of the deceased shareholder would have rightful claim over such shares.

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.

## **Q6. What is the procedure for the nominee to get the shares in his name?**

Upon the death of a shareholder, the nominee is entitled to have the shares transmitted in his favour. He/she is required to submit a notice in writing to this effect along with the original share certificate and an attested copy of the death certificate of the deceased shareholders.

If a nominee opts for registration of shares in his/her name, he/she has to submit a Transmission Form along with a copy of the pan card and proof of address, e.g. copy of passport, driving license, voter's identity card or such other proof, to the satisfaction of the Company.

Upon scrutiny of the documents submitted by the nominee, shares will be transmitted in his/her favour and share certificates will be returned to him/her duly endorsed.

\*In 2016, the Bombay High Court laid to rest the position of a nominee versus legal heir in relation to the shares of an Indian company. The Court held that a nomination does not in fact, override the laws of succession in India. A nomination is made with a view to ensure that the estate of the deceased can take appropriate steps towards succeeding to such estate. Thus nominee of shares of an Indian company is not the legal owner of the shares and therefore, the legal heirs of the deceased shareholder would have rightful claim over such shares.



**Q7. I have shares in demat form. Can I send the nomination form to the Company for making a nomination with respect to my shareholding?**

For making a nomination with respect to dematerialised shares, you will have to approach your DP.

## **VI. CHANGE OF NAME/ADDRESS/BANK DETAILS**

**Q1. If there is a change in my name (due to marriage etc.), address or Bank details what is the procedure to get it recorded with the Company?**

Kindly send a request letter quoting the folio number as per **Annexure 4** signed by all the shareholders providing the new name/ address / bank details along with relevant supporting document to our RTA for updating the same in our record.

**Q2. Can there be multiple addresses for a single folio?**

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

**Q3. If the shares are dematerialised, what is the procedure for change of address?**

Since your Depository Participant (DP) maintains the records of your dematerialised shares, you have to approach your DP to effect any change in your address.

## **VII. REGISTRATION OF CHANGE IN SIGNATURE**

**Q1. My Signature changed over a period of time and my current signature is different from the one registered with the Company. How can I update my new signature with the Company?**

You may submit an application for updating your signature in the records of the Company, by submitting a 'confirmation of your signature' issued by an authorized employee of a Scheduled Bank with their official Rubber Stamp, giving the full address of the Bank and the Employee Code number of the official signing the form as per **Annexure 5A** along with an Affidavit as per **Annexure 5B** and a self attested copy of your PAN card.

## VIII. DEMATERIALISATION OF SHARES

### Q1. What is Dematerialisation and what are its benefits?

Dematerialisation (or Demat) signifies the conversion of a share certificate from its present physical form to electronic form for the same number of holdings.

It is a direct application of scope provided by the tremendous progress made in the area of Information Technology, whereby voluminous and cumbersome paper work involved in the scrip based system is eliminated. It offers scope for paperless trading through state of the art technology, whereby share transactions and transfers are processed electronically without involving any share certificate or transfer deed after the share certificates have been converted from physical to electronic form.

Demat attempts to avoid the time consuming and complex process of getting shares transferred in the name of buyers and also aims to eliminate inherent problems of bad deliveries, delay in processing, fraudulent interception in postal transit, etc.

Some of the key benefits of Dematerialisation includes:

- i. A safe, convenient way to hold securities; especially if you are holding shares of many companies
- ii. Immediate transfer of securities;
- iii. No stamp duty on transfer of securities;
- iv. Elimination of risks associated with physical certificates such as bad delivery, fake securities, Delays in transit, thefts etc.
- v. Ease in pledging the shares
- vi. Reduction in paperwork involved in transfer of securities;
- vii. Reduction in transaction cost;
- viii. No odd lot problem, even one share can be sold;
- ix. Change in address recorded with DP gets registered with all companies in one go in which the investor holds securities electronically thereby eliminating the need to correspond with each of them separately;
- x. Easy Nomination facility;
- xi. Faster disbursement of non cash corporate benefits like rights, bonus, etc.
- xii. Faster settlement cycle.

A shareholder holding shares in dematerialized form will have the same rights as a shareholder of the Company viz. right to receive dividend, bonus shares, subscribe to rights shares, attend general meetings, receive communications etc.

Dematerialisation of shares is optional and an investor can still hold shares in the

physical form. **However, a shareholder has to demat the shares if he/she wishes to sell the same through the Stock Exchanges.** Similarly, if an investor purchases shares through the Stock Exchanges, he/she will get delivery of the shares only in demat form.

**Please note that except in case of transmission or transposition of securities, requests for effecting transfer of securities shall not be processed in physical mode on or after April 1, 2019 in view of guideline issued by SEBI.**

## **Q2. How do I dematerialise my shares?**

First, you have to 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 Company/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 Company with a covering letter requesting the Company/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.

## **Q3. Once my shares are dematerialised, can I ever get them converted into physical shares?**

If you hold shares in the electronic form, you have the option of converting your holding to the physical form by submitting a Rematerialisation Request Form (RRF) through your DP. The procedure is similar to that of Dematerialisation. Upon receiving such a request from your DP, the Company will issue physical share certificates for the number of rematerialised shares.

**Please note that except in case of transmission or transposition of securities, requests for effecting transfer of securities shall not be processed in physical mode on or after April 1, 2019 in view of guideline issued by SEBI.**

**Q4. What are the charges to be paid to demat one's physical shares? Will it be paid by the Company or do I have to pay for it?**

The charges for dematerialization will have to be borne by the respective shareholder. The charges differ from DP to DP and therefore you will have to contact your DP for details regarding the same.

**Q5. I have purchased some shares in paper form. Can I directly give the share certificates to my Depository Participant for dematerialising them in my favour?**

Shares should be registered in your favour before they can be dematerialised. Please follow the procedure explained in Point I above on transfer of shares.

**Q6. Is it a fact that SPIL shares are traded compulsorily in Demat Form? Do I have the option of holding them in physical form?**

Yes. It has now become mandatory to trade shares of the Company on any of the Stock Exchanges in demat form only. However, you can exercise the option of holding the shares in physical form.

**Q7. How do I get my dividends on dematerialised shares? Will I get the Annual Report after I demat my shares? Will I be able to attend the AGM?**

On the Record date, the Depository Participants will provide a list of demat account holders indicating the number of shares held in electronic form (known as Benpos – Beneficiary Position). On the basis of Benpos, the Company will make dividend payments, if declared, in favour of the demat account holders.

The rights of the shareholders holding shares in demat form are at par with holders of shares in physical form. Hence, you will be eligible to procure the Annual Report and can rightfully attend the AGM as a shareholder.

It is advisable to register your NECS mandate with your Depository Participant to enable us to credit all your dividends electronically.

**Q8. What are the chances of any fraud/disputes in using a demat account? Whom should I approach in such cases?**

Common risk factors applicable to trading in physical shares like mismatch in signatures, loss in postal transit, etc., are absent since dematerialised shares are traded in scripless mode

However, in the unlikely event of any dispute, your Depository Participant would have to be approached for resolution of the same.

**Q9. Can I pledge my shares in demat form to avail any funding/loan arrangement with my bankers?**

Yes.

**Q10. Why can't the Company take request for change of details recorded in the demat account?**

As per the Depository Regulations, the Company is obliged to take on record the details of demat shareholders furnished by the concerned Depository Participant. The Company cannot make any change in such records received from the Depository.

## **IX. GREEN INITIATIVE**

**Q1. What is Green Initiative? Why should I 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 Company issues Annual Reports and other documents to the shareholders, whose email id's are registered with the Company/ Depositories in electronic mode.

In view of the above, you are requested to register your email id with the Company (if you are holding shares in physical mode) or the Depository (if you are holding your shares in dematerialized mode) submitting the Go Green Form online at <http://www.sunpharma.in/gogreen.jsp> or by writing a simple letter to this effect. By registering for Green Initiative, every shareholder will get an opportunity to contribute to this noble cause for the benefit of our future generations.

**Q2. I want to update my e-mail address for receipt of e-communication. What should I do?**

You are requested to follow the same procedure as that required for new e-communication registration explained above.

**X. SHARES LYING IN UNCLAIMED SUSPENSE ACCOUNT**

**Q1. My Shares have been transferred by the Company to the Unclaimed Suspense Demat Account. What should I do?**

In accordance with the provisions contained in the schedule VI read with regulation 39(4) of the SEBI(Listing Obligation and Disclosure Requirements) Regulations, 2015 , the Company had sent three reminders at the registered addresses of the shareholders whose shares were lying “Undelivered/Unclaimed” with the Company, requesting for the correct particulars to dispatch such share certificates. In respect of those shares in respect of which, no response was received, the shares have been transferred by the Company to an “Unclaimed Share Suspense Account”, and the shares are being maintained by the Company in the dematerialised form in compliance with the aforesaid regulation.

As and when any shareholder approaches at a later date, the Company delivers the shares to him/her from the said account, after proper verification/identification.

In case any of the share certificates owned by you have been transferred by the Company as aforesaid, you may write to the Company mentioning your folio no./ share certificate no. along with a copy of your PAN card for delivery of the aforesaid shares either in physical or dematerialized form.

**XI. INVESTOR EDUCATION AND PROTECTION FUND**

**Q1. Whether the underlying shares of unpaid or unclaimed dividends are required to be transferred to IEPF when the amount of unpaid or unclaimed dividend is being transferred?**

With the enforcement of the corresponding section, i.e. 124 (6) under the Act, 2013, every Company is mandatorily required to transfer the underlying shares for which the dividend has remained unpaid or unclaimed for a consecutive period of seven years.

Here it is pertinent to note that the foremost condition for transfer of shares is that the dividend on such shares shall be unpaid or unclaimed for a ***seven consecutive years***.

Accordingly, as per section 124 (6) of the Act, 2013 the underlying shares of unpaid or unclaimed dividend are also required to be transferred to IEPF apart from the amount of unpaid or unclaimed dividend.

## **Q2. What amounts are required to be credited to the Fund?**

1. the amount in the Unpaid Dividend Account of companies transferred to the Fund under sub-section (5) of section 124;
2. the application money received by companies for allotment of any securities and due for refund;
3. matured deposits with companies other than banking companies;
4. matured debentures with companies;
5. interest accrued on the amounts referred to in clauses (2) to (4);
6. the amount given by the Central Government by way of grants after due appropriation made by Parliament by law in this behalf for being utilised for the purposes of the Fund;
7. Donations given to the Fund by the Central Government, State Governments, companies or any other institution for the purposes of the Fund;
8. the interest or other income received out of investments made from the Fund;
9. the amount received under sub-section (4) of section 38 (disgorgement of securities);
10. sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation for seven or more years;
11. redemption amount of preference shares remaining unpaid or unclaimed for seven or more years;

Further, by way of the IEPF Rules, the following are to be credited:

1. all the shares in accordance with section 124 (6) of the Act, 2013;
2. resultant benefit arising out of shares held by IEPF Authority
3. all grants, fees and charges received by the IEPF Authority under these rules;
4. all sums received by the IEPF Authority from such other sources as may be decided upon by the Central Government;
5. all income earned by the IEPF Authority in any year;
6. amount payable as mentioned in sub-section (3) of section 108 of the Banking Companies (Acquisition and Transfer of Undertakings) Act, 1970 and section 10B of Banking Companies (Acquisition and Transfer of Undertakings) Act, 1980 and section 40A of the State Bank of India (Subsidiary Bank) Act, 1959; and: and all other sums of money collected by the IEPF Authority as envisaged in the Act, 2013.

Please note that from the above items, only item no. 1 (i.e. all the shares in accordance with section 124 (6) of the Act, 2013) is to be transferred by the company and rest items are pertaining to the IEPF Authority.

**Q3. When the unclaimed/ unpaid amount shall be transferred to the IEPF Fund?**

Pursuant to section 124(5) of Act, 2013, a company shall transfer any amount lying in the Unpaid Dividend Account for 7 years along with interest accrued, if any, thereon to the Fund.

**Q4. How will I come to know whether my shares have been transferred to IEPF? Whether can I get the shares and dividend back?**

On putting your name and folio number in the following link, you would know whether your shares have been transferred to IEPF  
<http://www.sunpharma.com/details-of-equity-shares-transferred-to-iepf>.

Yes, you may claim the same. The Procedure is given on the website of the Company which can be accessed through the link  
[http://www.sunpharma.com/sites/all/themes/sunpharma/images/pdf/Procedure\\_to\\_claim\\_dividend\\_amount\\_and\\_shares\\_from\\_IEPF\\_Final.pdf](http://www.sunpharma.com/sites/all/themes/sunpharma/images/pdf/Procedure_to_claim_dividend_amount_and_shares_from_IEPF_Final.pdf)

**Q5. Whether details of the nodal officer are given on the website of the Company?**

Yes. The details can be accessed through the link  
<http://www.sunpharma.com/investors/contact>

## **XII. MISCELLANEOUS**

**Q1. I hold more than one folio in the same name. Can I consolidate these folios?**

Yes. Please forward the share certificate relating to those folios which you wish to merge along with a request letter duly signed by all the registered holders and we shall consolidate your folios and return the share certificates by endorsing the consolidated folio number.



You may please note that the folios to be consolidated should be in the identical name and/or in the same order of identical names (in case of joint holding) and bear the same address.

**Q2. I want to authorise another person to deal with my shares. Do I have to report this to the Company?**

Yes. You will have to execute a Power of Attorney in favour of the concerned person and submit a notarised copy of the same to our RTA for registration. After scrutiny of the documents, we shall register the Power of Attorney.

**Q3. I have not received the notice for ensuing General Meeting/ Postal ballot.**

As a 'Green Initiative', all notices of the Company for General Meetings/ Postal Ballot are sent by the Company in electronic mode to those Members whose e-mail addresses are registered with the Company / Depositories, unless any Member has requested for a physical copy of the same. For Members who have not registered their e-mail addresses, physical copies are sent by the permitted mode. A soft copy of all Notices to the Shareholders are also available for download on the website of the Company [www.sunpharma.com](http://www.sunpharma.com). To support the 'Green Initiative' Members who have not registered their e-mail addresses are requested to register the same with our RTA - Linkintime / Depositories.

If you have received the notice of an ensuing Meeting/ Postal Ballot in electronic form but wish to receive the physical copy or if you have not received the Notice at all you may write to the Company/RTA for the same.

As an austerity measure, application for the physical copy of Notices in respect of already concluded General Meetings/ Postal Ballot are not entertained by the Company.