

SHAREHOLDERS REFERENCER

I. PROCEDURE FOR TRANSFER OF SHARES

a. For Shares held in Physical Form – NOT PERMITTED

PURSUANT TO PROVISIONS OF REGULATION 40(1) OF THE SEBI LISTING REGULATIONS, TRANSFER OF SHARES IN PHYSICAL MODE HAVE BEEN DISCONTINUED W.E.F. APRIL 1, 2019. FURTHER, SEBI HAD FIXED MARCH 31, 2021 AS THE CUT-OFF DATE FOR RE-LODGE MENT OF TRANSFER DEEDS WHICH WERE REJECTED / RETURNED DUE TO DEFICIENCY IN THE DOCUMENTS MAY BE RE-LODGED WITH REQUISITE DOCUMENTS.

PLEASE NOTE THAT SHARES THAT ARE RE-LODGED FOR TRANSFER (INCLUDING THOSE REQUEST THAT ARE PENDING WITH THE COMPANY AS ON DATE) SHALL HENCEFORTH BE ISSUED ONLY IN DEMAT MODE.

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

II. PROCEDURES FOR ADDITION OF NAME

a. For Shares held in Physical Form – NOT PERMITTED

Please refer instruction mentioned in point no. I above.

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

III. PROCEDURE FOR NAME DELETION

a. For Shares held in Physical Form

Please submit the following:

1. Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original.

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, employee code and official stamp of the bank.

2. Share certificate(s).

3. A request letter duly signed by the surviving holder(s) as per the specimen signature(s) recorded with Company/ RTA. Supported by **Form ISR – 1 (word/pdf)** & **Form ISR – 2**.
4. Self-attested copy of following documents of all the surviving holder(s)
 - i. PAN Card
 - ii. Aadhar Card
 - iii. Client Master List (CML) of the Demat Account of the holder / claimant, duly signed by the Depository Participant with stamp
 - iv. Original cancelled cheque with name of the security holder printed on it; or
 - v. Self-attested copy of Bank Passbook/Bank Statement;

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

IV. PROCEDURE FOR ISSUE OF DUPLICATE SHARE CERTIFICATE (S)

I. In case of torn, mutilated share certificate(s):

Please provide your written request in the format of **Form ISR – 4 (word/pdf)** duly signed by all the shareholders along with torn, mutilated share certificate to the Company/ RTA for issue of new share certificate in lieu of the same.

II. In case of Loss of Share certificate(s):

(a) If Market Value of Securities is up to Rs. 5,00,000/- as on Date of Application:

1. Request Letter Required from Shareholder(s) for Issue of Duplicate Share Certificate also mentioning Current Address, Mobile Number & Email ID.
2. Form A - Affidavit for Issuance of Duplicate Securities to be Executed on Rs. 100/- Non-Judicial Stamp Paper duly attested by Notary Public. **Form – A (word/pdf)**
3. Form B- Indemnity for Issuance of Duplicate Securities to be Executed on Rs. 500/- Non-Judicial Stamp Paper duly attested by Notary Public, in cases where Registered Office Address of the Company is within Maharashtra/Mumbai & on Rs.200/- Non-Judicial Stamp duly attested by Notary Public in cases where Registered Office address of the Company is outside Maharashtra. **Form – B (word/pdf)**
4. As per the format of Indemnity Two (2) Witnesses who are not relatives of the Shareholder with their Full Names & Signatures.
5. Self-attested Copy of Pan Card & Address proof (Aadhar Card OR Voting Card or Valid Indian Passport OR Driving License) of Witnesses.

(b) If Market Value of Securities is more than Rs. 5,00,000/- as on Date of Application:

In addition to documents mentioned in **Point No. (a)** above following documents required to be submitted by the shareholder:

1. True Copy of FIR including E-FIR/Police Complaint/Court Injunction Order/Copy of Plaint (Where The suit filed has been accepted by the Court and Suit No. has been given) or Acknowledgement of Police Complaint with Rubber Seal of the Police Station (To be furnished in English for out of Maharashtra Shareholders) Certificate details to be mentioned like Name of the Company, Folio Number, Name(s) of the Shareholder(s), Certificate Number(s), Distinctive Number and No. of Shares,
 2. An advertisement to be published in a widely circulated Newspaper as per specified format. The Full Sheet of the Particular Page in which the advertisement is printed also be attached. (**Format of Advertisement**).
- III. The Company shall immediately send information to the stock exchanges in which shares of the company are listed on receipt of information about loss of share certificate(s).

V. PROCEDURE FOR TRANSPOSITION

a. For Shares held in Physical Form

1. A request letter for transposition duly signed by ALL the holders as per the specimen signatures recorded with the Company.
2. Relevant certificates for the securities for necessary correction.
3. Self-attested copies of following documents of all the surviving holder(s)
 - i. PAN Card
 - ii. Aadhar Card
 - iii. Client Master List (CML) of the Demat Account of the holder / claimant, duly signed by the Depository Participant with stamp
 - iv. Original cancelled cheque with name of the security holder printed on it; or
 - v. Self-attested copy of Bank Passbook/Bank Statement;

b. For Shares held in Electronic Form

Please submit your transposition request in Form OA (which is available with your Depository Participants) along with Demat Request Form (DRF) for dematerialisation of your shares as per name appearing in your Demat account. You may contact your depository participants for further procedure and details in this regard.

VI. PROCEDURE FOR TRANSMISSION

a. For Shares held in Physical Form

1. For shares held in single name with a nominee:
 - i. Duly signed transmission request form **ISR – 5** by the nominee.
 - ii. Relevant certificates for the securities to be transmitted.

- iii. Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original
 - iv. Self-attested copy of Permanent Account Number Card of the nominee(s)/claimant(s)/legal heir(s) issued by the Income Tax Department
 - v. Copy of Birth Certificate (in case the nominee/claimant/legal heir is a minor)
 - vi. KYC of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).
2. For securities held in single name without a nominee, the following additional documents will be required:
- i. Notarized affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value on identity and claim of ownership, as per the format provided in [Annexure D](#).
 - ii. For value of securities upto Rs. 5,00,000 (Rupees Five lakh only) per issuer company as on date of application, one or more of the following documents:
 - a. No objection certificate from all legal heirs(s), in as per the format provided in [Annexure F](#), or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and .
 - b. notarized indemnity bond from the legal heir(s)/ claimant(s) to whom the securities are to be transmitted, made on non -judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/listed entity, as per the format provided in [Annexure E](#).
 - iii. For value of securities more than Rs. 5,00,000 (Rupees Five lakh only) per issuer company as on the date of application:
 - (a) Succession certificate; or
 - (b) Probate of Will; or
 - (c) Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in [Annexure E](#); or
 - (d) Letter of Administration; or
 - (e) Court Decree; or
 - (f) Legal Heirship Certificate or its equivalent, along with (i) a notarized indemnity bond from the legal heir o(s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in [Annexure E](#); and (ii) No Objection from all the non - claimants, duly attested by a notary public or by a gazetted officer as per the format provided in [Annexure F](#).

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

Provided where the value of securities held in dematerialized mode, documents as mentioned in Point No. 2(iii) herein above need to be submitted.

VII. LETTER OF CONFIRMATION IN LIEU OF THE SHARE CERTIFICATE

SEBI vide its circular dated January 24, 2022, has mandated for the Company to issue securities in demat mode while processing any investor service requests viz. issue of duplicate share certificates, exchange/sub-division/ splitting/consolidation of securities, transmission/ transposition of securities and vide its circular dated January 25, 2022, also mandated that the listed entities/ RTAs shall issue a "Letter of Confirmation" in lieu of the share certificate while processing any of the aforesaid investor service request.

VIII. PROCEDURE FOR CHANGE OF ADDRESS

a. For Shares held in Physical Form

Please submit the following:-

1. a written request supported by **Form ISR – 1 (word/pdf)** for change in address, duly signed by the first holder as per the specimen signature recorded with the Company.
2. copy of Old and New address proof viz:
 - (a) Valid Passport / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill or;
 - (b) Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old or;
 - (c) Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions or;
 - (d) The proof of address in the name of the spouse..

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

IX. PROCEDURE FOR REGISTRATION OF NOMINATION

a. For Shares held in Physical Form

1. An Individual holding shares on; their own behalf, singly or jointly can appoint a nominee. Non-individuals including trust, society, partnership firm, HUF, holder of power of attorney cannot nominate. If the shares are held jointly, all joint holders will have to sign the prescribed nomination **Form SH -13**.
2. A minor can be nominated by a holder of shares and in that event the name and address of the guardian shall be given by the holder.
3. The nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a power of attorney holder.
4. Nomination stands rescinded upon transfer of share(s).
5. Transfer of shares in favour of a nominee shall be a valid discharge by the Company against the legal heir.
6. Shareholders are requested to send the duly completed form to the Company or RTA.
7. In case the shareholder wishes to revise or cancel a Nomination already registered, the **Form SH-14**.
8. The security holder can opt out of nomination through **Form ISR – 3**

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

X. DIVIDEND

(I) NECS MANDATE FOR ELECTRONIC REMITTANCE

a. For Shares held in Physical Form

- i. Please provide Form **ISR – 1** ([word/pdf](#)) & **Form ISR – 2** duly signed by all the shareholders.
- ii. Self-attested copy of following documents of all the holder(s)
 - (a) PAN Card
 - (b) Aadhar Card
 - (c) Client Master List (CML) of the Demat Account of the holder(s), duly signed by the Depository Participant with stamp
 - (d) Original cancelled cheque with name of the security holder(s) printed on it; or
 - (e) Self-attested copy of Bank Passbook/Bank Statement;

b. For Shares held in Electronic Form

Please contact your depository participant, if you are holding share of the Company in demat form.

(II) UNCLAIMED DIVIDEND WARRANTS

1. In case the dividend warrants remaining unpaid are outdated/ stale, and such warrants are in custody of the Shareholder, the Shareholder should make an application to the Company Secretary, for revalidation of the same and forward the application letter along with stale/ outdated warrants to the Company/ RTA supported by **Form ISR – 1** ([word/pdf](#)) & **Form ISR – 2** duly signed by the shareholder(s).
2. Upon receipt of the application and after verification & reconciliation of Bank statement, Company will remit the Dividend amount through electronic mode only..
3. The Company can revalidate the Dividend warrants upto 7 years from the date of declaration of Divided; thereafter they are transferred to the Central Government's Investors Education and Protection Fund (IEPF).

After transfer of unclaimed/ unpaid dividend to the IEPF authority by the Company, Investor can claim the same by submitting form No. IEPF – Form 5 to IEPF authority. The said form can be accessible on the website of Ministry of Corporate Affairs: <http://www.mca.gov.in>

(III) Mandatory to register KYC details for holding of shares in physical mode

As per the SEBI Master Circular SEBI/HO/MIRSD/ POD-1/P/CIR/2023/70 dated May 17, 2023 as amended from time to time, w.e.f. April 01, 2024, dividend shall be paid through electronic mode only. Shareholders holding shares in physical mode are requested to keep your KYC details viz. PAN, nomination, contact details, bank account, specimen signature etc. updated with the Company/RTA . Dividend in respect to Non KYC folios will be released upon furnishing the KYC details. Relevant details and forms prescribed by SEBI in this regard are available on the website of the Company at [Symphony Air Cooler Shareholding Information \(symphonylimited.com\)](#)

Further, relevant FAQs published by SEBI can be accessed on Company's website on following link: [FAQs-by-SEBI.pdf \(symphonylimited.com\)](#)

XI. PROCEDURE FOR CHANGE OF NAME

a. For Shares held in Physical Form

For Individuals, consequent to marriage / divorce / attaining majority

- i. Request letter duly signed by the Shareholder.
- ii. Legible copy of the documents mentioned below, in respect of each name change, duly attested by the Bank 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, Employee Code and official stamp of the bank.

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

- Marriage- Marriage Certificate / Government Gazette
- Divorce- Divorce Decree
- Attaining Majority-Birth certificate / School Leaving Certificate

- iii. Relevant Share certificates.
- iv. Self-attested copy of the PAN card / Aadhar of the holder(s).

b. For Bodies Corporates consequent to change in name of the Company

1. 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.

2. Relevant Share certificate.
3. 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. INC-22/LLP-15 filed with the Registrar of Companies for change in the registered office address.

- **For Shares held in Electronic Form**

Please contact your depository participant, if you are holding share of the Company in demat form.