This Referencer has been prepared to facilitate members to understand the procedures involved in completing various investor-related transactions in general. Members are requested to refer to the relevant Acts/Rules/Regulations/Guidelines/Clarifications before dealing in securities.

1. **Company’s Securities Snapshot as on March 31, 2019**
   - Shares
   - American Depositary Receipts (“ADR”)
   - Senior Unsecured Notes
   - Non Convertible Debentures (“NCDs”)

2. **Address for Correspondence**
   - Company’s address for investor queries
   - Address of Company’s Registrar and Transfer Agents (“RTA”) - M/s TSR Darashaw Consultants Pvt. Limited
   - Address of Correspondence for Rights Issue related matters

3. **General Rights, obligations and safeguards for members**
   - General Rights of members
   - General Obligations of members
   - General Safeguards to the members

4. **Matters related to members/investors**
   - Payments dues to Security holders
   - Dematerialisation of shares – Benefits, SEBI Directives and Procedure
   - Rematerialisation of shares - Meaning and Procedure
   - Transfer of shares
   - Addition of name of another person as a joint-holder
   - Conversion of single holding into joint holdings or vice-a-versa or transfer within the family members
   - Registration of gifted securities
   - Transmission of securities
   - Transposition of names
   - Nomination Facility:
   - On change of address registered in the Company’s records
   - On change of name of members
   - For splitting of a share certificate
   - For amalgamation/consolidation
1. **Company’s Securities Snapshot as on March 31, 2019**

### 1.1 Shares

<table>
<thead>
<tr>
<th>Particulars</th>
<th>Ordinary Shares (“OS”)</th>
<th>‘A’ Ordinary Shares (“AOS”)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Shares</td>
<td>2,887,348,694</td>
<td>508,502,371</td>
</tr>
<tr>
<td>% of shares held in Demat Form</td>
<td>99.22%</td>
<td>99.96%</td>
</tr>
<tr>
<td>Number of Shareholders</td>
<td>1,124,001</td>
<td>201,202</td>
</tr>
</tbody>
</table>

Listed on

- **The BSE Ltd. (BSE)**
  - Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai 400 001
  - Website: [www.bseindia.com](http://www.bseindia.com)

- **The National Stock Exchange of India Ltd. (NSE)**
  - “Exchange Plaza”, Bandra Kurla Complex, Bandra (E), Mumbai 400051
  - Website: [www.nseindia.com](http://www.nseindia.com)

<table>
<thead>
<tr>
<th>ISIN</th>
<th>Stock Code / Ticker</th>
</tr>
</thead>
<tbody>
<tr>
<td>INE155A01022</td>
<td>BSE: 500570; NSE: TATAMOTORS</td>
</tr>
<tr>
<td>IN9155A01020</td>
<td>BSE: 570001; NSE: TATAMTRDVR</td>
</tr>
</tbody>
</table>

### 1.2 American Depositary Receipts (“ADR”)

<table>
<thead>
<tr>
<th>Particulars</th>
<th>American Depositary Receipts (“ADR”)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of ADR</td>
<td>6,47,39,272</td>
</tr>
<tr>
<td>(Each ADR represents 5 underlying Ordinary Shares of ₹2/- each)</td>
<td></td>
</tr>
</tbody>
</table>

Listed on

- **New York Stock Exchange (NYSE)**
  - NYSE, 20 Broad Street, New York, NY 10005

<table>
<thead>
<tr>
<th>ISIN</th>
<th>Stock Code / Ticker</th>
</tr>
</thead>
<tbody>
<tr>
<td>US8765685024</td>
<td>TTM</td>
</tr>
</tbody>
</table>

Overseas Depositary

- Citibank N.A., 388 Greenwich Street, 14th Floor, New York, NY 10013

Domestic Custodian

- Citibank N.A., Trent House, 3rd Floor, G-60, Bandra Kurla Complex, Bandra (East), Mumbai 400 051

### 1.3 Senior Unsecured Notes

<table>
<thead>
<tr>
<th>ISIN</th>
<th>Issue Size (US$)</th>
<th>Yield per annum (%)</th>
<th>Date of Maturity</th>
<th>Listed on</th>
</tr>
</thead>
<tbody>
<tr>
<td>XS1121907676</td>
<td>262,532,000</td>
<td>4.625%</td>
<td>April 30, 2020</td>
<td>Singapore Stock Exchange</td>
</tr>
<tr>
<td>XS1121908211</td>
<td>250,000,000</td>
<td>5.750%</td>
<td>October 30, 2024</td>
<td></td>
</tr>
</tbody>
</table>

### 1.4 Non Convertible Debentures (“NCDs”)

<table>
<thead>
<tr>
<th>Series No.</th>
<th>Listed on</th>
<th>ISIN</th>
<th>Principal Amount (₹ in crores)</th>
<th>Yield to Maturity (%)</th>
<th>Date of Maturity</th>
</tr>
</thead>
<tbody>
<tr>
<td>E22</td>
<td>NSE</td>
<td>INE155A07219</td>
<td>200</td>
<td>9.95</td>
<td>March 2, 2020</td>
</tr>
<tr>
<td>E23A</td>
<td>NSE</td>
<td>INE155A08043</td>
<td>150</td>
<td>9.90</td>
<td>May 7, 2020</td>
</tr>
<tr>
<td>E23B</td>
<td>NSE</td>
<td>INE155A08050</td>
<td>100</td>
<td>9.75</td>
<td>May 24, 2020</td>
</tr>
<tr>
<td>E23C</td>
<td>NSE</td>
<td>INE155A08068</td>
<td>150</td>
<td>9.70</td>
<td>June 18, 2020</td>
</tr>
</tbody>
</table>
### 2. Address for Correspondence

#### 2.1. Company’s address for investor queries

<table>
<thead>
<tr>
<th>Retail / HNI Investors</th>
<th>Institutional Investors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr H K Sethna,</td>
<td>Mr V B Somaiya,</td>
</tr>
<tr>
<td>Company Secretary</td>
<td>Head (Treasury &amp; Investor Relations)</td>
</tr>
<tr>
<td>Bombay House,24, Homi Mody Street, Mumbai - 400 001</td>
<td>3rd Floor, Nanavati Mahalaya,18, Homi Mody Street, Mumbai - 400 001</td>
</tr>
<tr>
<td>Phone : 91-22- 6665 7824;</td>
<td>Phone : 91-22-66658282;</td>
</tr>
<tr>
<td>E-Mail : <a href="mailto:inv_rel@tatomotors.com">inv_rel@tatomotors.com</a></td>
<td>E-Mail : <a href="mailto:ir_tml@tatomotors.com">ir_tml@tatomotors.com</a></td>
</tr>
</tbody>
</table>

#### 2.2. Address of Company’s Registrar and Transfer Agents (“RTA”) - M/s TSR Darashaw Consultants Pvt. Limited

**a) For shares related matters:** For transfer lodgement, delivery and correspondence, Members are requested to correspond with the Company’s RTA quoting their Folio No./DP ID & Client ID at the following addresses:

TSR Darashaw Consultants Pvt. Limited, Unit: Tata Motors Limited, 6-10, Haji Moosa Patrawala Industrial Estate, 20, Dr E Moses Road, (Near Famous Studios) Mahalaxmi, Mumbai – 400 011.

Tel: 022-6656 8484; Fax: 022- 6656 8494; e-mail: csg-unit@tsrdarashaw.com; website: www.tsrdarashaw.com
For the convenience of investors based in the following cities, transfer documents and letters will also be accepted at the following branches/agencies of the Company’s RTA:

**Ahmedabad:**
Shah Consultancy Services Pvt. Limited
3-Sumathinath Complex, Pritam Nagar Akhada Road, Ellisbridge, Ahmedabad -380 006.
Tel: 079-2657 6038
e-mail: shahconsultancy8154@gmail.com

**Bangalore:**
503, Barton Centre, 5th Floor, 84, Mahatma Gandhi Road, Bangalore – 560 001
Tel: 080 – 25320321, Fax: 080 – 25580019
e-mail: tsrdlbang@tsrdarashaw.com

**Jamshedpur:**
Bungalow No.1, “E” Road, Northern Town, Bistupur, Jamshedpur – 831 001.
Tel: 0657 – 2426616, Fax: 0657 – 2426937
e-mail: tsrdljsr@tsrdarashaw.com

**Kolkata:**
Tata Centre, 1st Floor, 43, Jawaharlal Nehru Road, Kolkata – 700 071
Tel: 033 – 22883087, Fax: 033 – 22883062,
e-mail: tsrdlcal@tsrdarashaw.com

**New Delhi:**
Plot No.2/42, Sant Vihar, Ansari Road, Daryaganj, New Delhi – 110 002.
Tel : 011 – 23271805, Fax : 011 – 23271802,
e-mail : tsrdldel@tsrdarashaw.com

b) For Fixed Deposits: The investors are requested to correspond with the Company’s RTA at the same addresses as mentioned above or send an e-mail at tmlfd@tsrdarashaw.com. Tel : 022-66568484.

2.3. Address of Correspondence for Rights Issue related matters

The Company launched a Rights Issue vide Letter of offer dated March 30, 2015 and Members are requested to correspond with Link Intime India Private Limited, the Registrar to the Issue, for addressing any pre-Issue/ post-Issue related matter, including all grievances relating to the ASBA process. Contact details:

C 101, 247 Park, LBS Marg,
Vikhroli (West), Mumbai – 400083
Tel: (91 22) 49186000 / 9167779196/97; Fax: (91 22) 49186060;
Website: www.linkintime.co.in; Email: tatamotors.rights@linkintime.co.in;
Contact Person: Mr Sachin Achar/ Mr Sumeet Deshpande

3. General Rights, obligations and safeguards for members

3.1 General Rights of members

The Company endeavours to honour the statutory rights of the members, *inter alia*, the following:

i. To receive not less than 21 days’ notice of general meetings.

ii. To receive notice and forms for Postal Ballots in terms of the provisions of the Companies Act, 2013 (“Act”) and the relevant rules issued thereunder.
iii. To receive copies of the financial statements, including consolidated financial statements, report of the Board of Directors and Auditors thereon, as applicable, and every other document required by law to be annexed or attached to the financial statements (together the “Annual Report”) not less than 21 clear days before the date of the Annual General Meeting.

iv. To participate and vote at the general meetings either in person or through proxy or through e-voting or through corporate representation in accordance with the provisions of the Act.

v. To receive share certificates, on allotment or transfer or transmission of shares, as the case may be, within the time permitted by the applicable law.

vi. To receive dividends and other corporate benefits like bonus shares, rights shares, etc. as and when declared.

vii. Right to free transferability of shares except in case of refusal for transfer on sufficient cause by the Company.

viii. To require the Board of Directors to call an Extra-Ordinary General Meeting in accordance with the provisions of the Act.

ix. To receive correspondence from the Company, raise grievances, if any and seek a satisfactory solution within reasonable timelines.

x. To inspect various registers, minute books of general meetings and to receive copies thereof after complying with the requirements prescribed in applicable laws.

3.2 General Obligations of members

Some of the obligations entrusted on members are:

i. To remain abreast of corporate developments, company specific information and take informed investment decision(s).

ii. To be aware of relevant statutory provisions and ensure effective compliance therewith.

iii. To deal with only SEBI registered intermediaries while dealing in the securities.

iv. Neither to indulge in fraudulent and unfair trading in securities nor to act upon any unpublished price sensitive information.

v. To contribute to the Greener Environment and accordingly register email addresses to enable the Company to send all documents/notices including Annual Reports electronically.

vi. To register nominations, which would help the nominees to get the shares transmitted in their favour without any hassles.
vii. To cast their vote by participating in the e-voting facility provided by the Company, by sending duly filled postal ballot forms or by attending the General Meetings of the Company, as the case may be.

viii. To respond to communications seeking shareholders’ approval through Postal Ballot and communications of SEBI / Depository / DP / Brokers / Sub-brokers / Other Intermediaries /Company, seeking investor feedback/comments.

ix. To update, Permanent account Number (PAN) details with Registrar (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form).

x. To update the address, bank account and other requisite details with the Company’s Registrar (in case shares are held in physical form) and with the concerned DP (in case shares are held in demat form).

3.3 General Safeguards to the members

In pursuit of the Company’s objective to mitigate / avoid risks while dealing with securities and related matters, the following are certain general safeguards suggested for members to follow:

i. Folio number (Client ID and DP ID number in respect of dematerialized securities) should not be disclosed to unknown persons. Signed blank transfer deeds (delivery instruction slips in respect of dematerialized shares) should not be given to unknown persons.

ii. Off-market deals and dealings with/through unregistered intermediaries should be avoided. It exposes investors to the counter-party risk.

iii. Demat account should not be kept dormant for long; periodic statement of holdings should be obtained from the concerned DP and holdings verified.

iv. Correspondence containing certificates of securities and high value dividend/interest warrants/cheques/demand drafts should not be sent by ordinary post.

v. A valid contract Note/confirmation Memo should be obtained from broker/sub-broker, within 24 hours of execution of the trade and it should be ensured that the Contract Note/ Confirmation Memo contains order no., trade no., trade time, quantity, prices and brokerage.

vi. Securities of listed companies would be transferred in dematerialized form only, w.e.f April 1, 2019. In view of the same members holding shares in physical form are requested to consider converting their holdings to dematerialized form to eliminate all risks associated with physical shares and for ease of portfolio management.

vii. Be vigilant in your transactions. Invest based on sound reasoning after taking into account all publicly available information and on fundamentals. Don't be misled by rumours circulating in the market.

viii. In case of complaints, approach the right authorities for redressal in a timely manner.
ix. Claim unclaimed dividend within time to avoid transfer of dividend/shares to IEPF Authority.

x. It is advisable to register securities in joint names and/or register nominations in order to facilitate smoother Succession.

4. Matters related to members/investors

4.1 Payments dues to Security holders

a) Payment of dividend/interest or redemption

The Company uses the electronic mode of payment facility approved by the Reserve Bank of India [i.e. electronic clearing services (local, regional or national), direct credit, real time gross settlement, national electronic funds transfer, etc.), for the payment of (a) dividends; (b) interest; (c) redemption amounts.

Members who have not yet availed the NECS / RTGS / NEFT facility and wish to avail the same may have their bank details, including MICR (Magnetic Ink Character Recognition) and IFSC (Indian Financial System Code) number updated with their respective Depository Participants (DPs) (in case the shares are held in the dematerialised form) or with the Company’s RTA (in case the shares are held in physical form) in the Shareholding Form (annexed as Annexure 1).

As per the Depository Regulations, the Company is obligated to pay dividend on dematerialised shares as per the bank account details furnished by the concerned Depository. Therefore, investors are requested to keep their bank particulars updated with their concerned DP.

b) Transfer of unclaimed / unpaid amounts and Shares to the Investor Education and Protection Fund (IEPF):

(i) Pursuant to Sections 124 and 125 of the Act read with the Investor Education and Protection Fund (Accounting, Audit, Transfer and Refund) Rules, 2016 (Accounting, Audit, Transfer and Refund) Rules, 2016 (“IEPF Rules”), all unclaimed/unpaid dividend, application money, debenture interest and interest on deposits as well as principal amount of debentures and deposits, sale proceeds of fractional shares, redemption amount of preference shares, etc. pertaining to the Company remaining unpaid or unclaimed for a period of 7 years from the date they became due for payment, have to be transferred to the IEPF Authority, established by the Central Government.

Furthermore, the IEPF Rules mandate companies to transfer shares of shareholders whose dividends remain unpaid / unclaimed for a period of 7 consecutive years to the
demat account of the IEPF Authority. The said requirement does not apply to shares in respect of which there is a specific order of the Court, Tribunal or Statutory Authority, restraining any transfer of shares.

In light of the aforesaid provisions, the Company has during the year, transferred to IEPF the unclaimed dividends, outstanding for 7 consecutive years of the Company. Further, shares of the Company, in respect of which dividends have not been claimed for 7 consecutive years or more, have also been transferred to the demat account of the IEPF Authority. The details of the unclaimed dividends and shares transferred to IEPF during FY 2018-19 are as follows:

<table>
<thead>
<tr>
<th>Financial Year</th>
<th>Amount of unclaimed dividend transferred (₹)</th>
<th>Number of shares transferred</th>
<th>Ordinary Shares</th>
<th>‘A’ Ordinary Shares</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>3,59,73,435</td>
<td>4,13,599</td>
<td></td>
<td>2,582</td>
</tr>
<tr>
<td>Total</td>
<td>3,59,73,435</td>
<td>4,13,599</td>
<td></td>
<td>2,582</td>
</tr>
</tbody>
</table>

The members who have a claim on the above dividends and shares may claim the same from the IEPF Authority by submitting an online application in the prescribed Form No.IEPF-5 available on the website www.iepf.gov.in and sending a physical copy of the same duly signed to the Company along with requisite documents enumerated in the Form No. IEPF-5. No claims shall lie against the Company in respect of the dividend/shares so transferred. The Members/Claimants can file only one consolidated claim in a financial year as per the IEPF Rules.

Considering the above, there are no shares lying in the suspense account of the Company under Regulation 39(4) of the SEBI Listing Regulations.

The Company strongly recommends shareholders to encash/claim their respective dividend within the period given below from the Company’s Registrar and Share Transfer Agents:

<table>
<thead>
<tr>
<th>Financial Year</th>
<th>Date of Declaration</th>
<th>Last date for claiming dividend</th>
<th>Unclaimed Dividend (as on 31.03.2019) (₹)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ordinary Shares</td>
</tr>
<tr>
<td>2011-12</td>
<td>August 10, 2012</td>
<td>September 9, 2019</td>
<td>3,36,52,300.00</td>
</tr>
<tr>
<td>2012-13</td>
<td>August 21, 2013</td>
<td>September 20, 2020</td>
<td>1,60,50,716.00</td>
</tr>
<tr>
<td>2013-14</td>
<td>July 31, 2014</td>
<td>August 30, 2021</td>
<td>1,60,64,052.00</td>
</tr>
<tr>
<td>2014-15</td>
<td>No dividend was declared</td>
<td></td>
<td>-</td>
</tr>
<tr>
<td>2015-16</td>
<td>August 9, 2016</td>
<td>September 8, 2023</td>
<td>29,27,290.00</td>
</tr>
<tr>
<td>2016-17</td>
<td>No dividend was declared</td>
<td></td>
<td>-</td>
</tr>
<tr>
<td>2017-18</td>
<td>No dividend was declared</td>
<td></td>
<td>-</td>
</tr>
</tbody>
</table>

Whilst the Company’s Registrar & Transfer Agent has already written to the Members, Debenture holders and Depositors informing them about the due dates for transfer to
IEPF for unclaimed dividends/interest payments, attention of the stakeholders is again drawn to this matter through the Annual Report. The data on unpaid / unclaimed dividend and other unclaimed monies is also available on the Company’s website at https://www.tatamotors.com/investor/iepf/. Investors who have not yet encashed their unclaimed/unpaid amounts are requested to correspond with the Company’s Registrar and Transfer Agents, at the earliest. Members may refer to the Refund Procedure for claiming the aforementioned amounts transferred to the IEPF Authority as detailed on http://www.iepf.gov.in/IEPF/refund.html.

(ii) Upto March 31, 2019, the Company has transferred ₹32,11,06,566.34 to IEPF, including the following amounts during the year.

<table>
<thead>
<tr>
<th>Particulars</th>
<th>FY 2018-19 (in ₹)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unpaid dividend amounts of the Company</td>
<td>3,59,73,435.00</td>
</tr>
<tr>
<td>Unpaid matured deposit with the Company</td>
<td>2,71,46,083.00</td>
</tr>
<tr>
<td>Interest accrued on application money due for refund, unpaid matured deposits and debentures with the Company</td>
<td>58,80,174.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>6,89,99,692.00</strong></td>
</tr>
</tbody>
</table>

4.2 Dematerialisation of shares – Benefits, SEBI Directives and Procedure

Dematerialisation is the process by which securities held in physical form are converted to an equal number of securities in electronic form and credited into security holders’ demat account maintained by him/her with his/her Depository Participant (“DP”).

There is a wide range of advantages of holding securities in dematerialized form/having a demat account, such as:

› Convenient mode of holding securities, especially in case a member is holding shares of many companies.
› The risks pertaining to physical certificates like loss, theft, forgery and damage are eliminated completely.
› It minimizes paperwork that is involved with the ownership, trading and transfer of securities, thereby enabling quicker transactions and higher efficiency in trading.
› Trading has become more convenient as one can trade through computers at any location, without the need of visiting a broker.
› Facilitates direct credit of shares in case of allotment under IPO, Rights, Bonus, Split etc.
› As all the transactions occur through the depository participant, a security holder does not need to communicate individually with each and every company.
› There is no need for stamp duty for transfer of securities; this brings down the cost of transaction significantly.
› A DEMAT account holder can buy or sell any amount of shares. However, there is limit on the number of transactions done using physical securities.
Saving of time – Change in address / bank account particulars etc. recorded with DP gets registered electronically with all companies in which the investor holds securities.

The shares of the Company are subject to compulsory trading in demat form on the stock exchanges by virtue of a SEBI notification. Further, as per Regulation 40 of the SEBI Listing Regulations and various notifications issued by SEBI in this regard, transfer of securities would be carried out in dematerialised form only with effect from April 1, 2019, except in case of transmission or transposition of securities. However, members can continue to hold shares in physical form. Accordingly, members holding securities in physical form were separately communicated by the RTA vide three letters sent on September 29, 2018, November 3, 2018 and December 3, 2018 at their registered address. In view of the same and to eliminate all risks associated with physical shares and for ease of portfolio management, members holding shares in physical form are requested to consider converting their holdings to dematerialised form. Members can contact the Company’s RTA for assistance in this regard.

IN VIEW OF THE ABOVE SEBI DIRECTIVES AND BENEFITS OF DEMATERIALISATION, MEMBERS ARE ADVISED TO CONVERT THEIR PHYSICAL SHAREHOLDING IN DEMAT FORM by following the below procedure:

1. Member shall open a demat account with a Depository participant (DP) and obtain a demat account number.
2. Member shall fill in a Demat Request Form (DRF) and submit the same with the physical certificate/s to the depository participants for dematerialization. For every ISIN, a separate DRF has to be used. If member has free and lock-in shares of the same ISIN, separate demat request has to be set up for free shares and lock-in shares.
3. DP would verify that the DRF has been filled correctly.
4. DP would setup a demat request on the CDSL or NSDL system and send the same to the Company’s RTA.
5. The Company’s RTA would verify the certificate and confirm the request.
6. Once the request is confirmed, DP would deface and mutilate the physical certificates, generate a Demat Request Number (DRN) and send an electronic communication to the depository and also send the DRF and the share certificate to the Company’s RTA.
7. On receiving confirmation, depository will credit an equivalent number of securities in the demat account of the member maintained with the depositories CDSL or NSDL.
8. The depository will electronically download the details of the demat request and communicate the same to the electronic registry maintained by the Registrar of Companies.

4.3 Rematerialisation of shares - Meaning and Procedure

Rematerialisation is the process of converting securities held in electronic form in a demat account in to paper form i.e. physical certificates.
Members who wish to convert the shares held in demat form into physical certificates may do so by following the below steps:

› A member who wishes to rematerialize balance in his/her demat account has to fill up a Remat Request Form (RRF).
› If the member has multiple ISINs in his/her demat account and wishes to rematerialize all balances then a separate RRF should be submitted for each ISIN.
› If a BO has free as well as lockin securities in his/her account for an ISIN then a separate RRF is to be submitted for rematerialization of free quantity and quantity under lock-in. If lock-in balance is for different lock-in reasons or different lock-in expiry dates then a separate RRF is to be submitted for each lock-in reason / lock-in expiry date combination.
› The RRF should be signed by all the account holders / POA (if any).
› Completely filled RRF should be submitted to the Depository Participant (DP). The member may specify on the RRF whether all the quantity of an ISIN to be included in only one certificate (Jumbo Lot) or number of shares per certificate.
› The DP will verify the details on the RRF form and enter the same in the NSDL/CDSL system.
› The system generated Remat Request Number (RRN) is written on the RRF and it is sent to the Company’s RTA.
› The Company’s RTA verifies the remat request and confirm the same to NSDL/CDSL.
› NSDL/CDSL will debit the securities in the member’s demat account to the extent of quantity rematerialized.
› Company’s RTA will issue new certificate(s) in physical form to the member under new folio number or in the existing folio, if investor already has one with the Company.
› Remat does not amount to a transfer and does not attract any stamp duty.

4.4 Transfer of shares

SEBI has mandated that with effect from April 01, 2019, except in case of transmission or transposition of securities, requests for effecting transfer of securities shall not be processed unless the securities are held in dematerialized form with a depository.

The above mandate does not prohibit the investor from holding the shares in physical form; investor has the option of holding shares in physical form even after April 01, 2019. 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. The transfer deed(s) once lodged prior to deadline and returned due to deficiency in the document may be re-lodged for transfer even after the deadline of April 01, 2019.

4.5 Addition of name of another person as a joint-holder

Addition of name of another person as a joint-holder is deemed to be transfer of shares. In such cases, the procedure laid for transfer of shares is required to be followed.
4.6 Conversion of single holding into joint holdings or vice-a versa or transfer within the family members

In case of conversion of single holding into joint holdings or joint holdings into single holding or transfer within the family members which leads to a change in the pattern of ownership, the procedure for a normal transfer as mentioned above needs to be followed.

4.7 Registration of gifted securities

The procedure for registration of shares gifted (held in physical form) is same as the procedure for a normal transfer.

4.8 Transmission of securities

The process of deleting a deceased member's name from the Company's records as well as from the certificates is called Transmission.

a) Name Deletion, in case securities are held in physical form in joint names and either of the holders is deceased:

Where securities are held in physical form and the holding is in joint names, the surviving holder(s) shall submit the following documents with the Company’s RTA for registering deletion of name of the deceased holder:

i) Legible copy of the death certificate of the deceased holder, duly attested by Notary Public / Bank Manager / First Class Magistrate / Gazetted Officer. 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 and official stamp of the bank.

ii) Relevant certificates for the securities.

iii) Name Deletion form duly completed and signed by the surviving holder(s) as per the specimen signature(s) recorded with the Company’s RTA. This form can be downloaded from the link: [http://www.tsrdrashaw.com/tatashare/avs/home/shareregistry/faqs/transmission/Transmission_Q3_040306.html?avs.fieldName=Downloadable+Document](http://www.tsrdrashaw.com/tatashare/avs/home/shareregistry/faqs/transmission/Transmission_Q3_040306.html?avs.fieldName=Downloadable+Document).

iv) Self attested copy of the PAN Card of the surviving holder(s).

b) Transmission, in case securities are held in physical form, the sole holder/all holders is/are deceased and Nomination is not registered with the Company:

Legal heir/executor shall submit the following with the Company’s RTA:
i) Legible copy of the death certificate(s) of the deceased holder(s), duly attested by Notary Public / Bank Manager / First Class Magistrate / Gazetted Officer.

ii) Legible copies of any one of the legal documents of the deceased holder viz. Probate of Will / Letters of Administration / Succession Certificate / Administrator General's Certificate along with the schedule disclosing the name of the Company, Folio No(s)., number of securities and their distinctive nos., duly attested by Notary Public / First Class Magistrate.

NOTE:

a) For securities standing in joint names and where all the holders are deceased, legal documents as above for the last deceased holder is required to be submitted.

b) 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 and official stamp of the bank.

iii) Affidavit for identification of the legal heirs on Rs. 100/- Non-Judicial Paper or franked with equivalent amount or affixed with Special Adhesive stamps, duly attested by Notary Public / Magistrate.

iv) Relevant certificates for the securities to be transmitted.

v) Transmission form duly completed and signed by the legal heir(s)/executor(s) whose signature(s) should be attested by his/their Bank Manager under his name, full address and official stamp of the Bank. This form can be downloaded from the link: http://www.tsrdarashaw.com/tatashare/avs/home/shareregistry/faqs/transmission/Transmission_Q3_040306.html?avs.fieldName=Downloadable+Document

vi) Self attested copy of the PAN Card of the legal heir(s)/executor(s).

c) For transmission of shares held in dematerialised form:

The legal heir(s) of the deceased shareholder is / are required to get in touch with the Depository Participant with whom the demat account was maintained by the deceased shareholder.

4.9 Transposition of names

Transposition is the process of interchanging the order of names in which the securities are held under a folio by member(s).
For securities held in physical form, a member may transpose full or part of their holdings by submitting the following documents with the Company’s RTA:

i. Transposition form duly completed and signed by ALL the holders as per the specimen signatures recorded with the Company’s RTA. This form can be downloaded from the link: http://www.tsrdarashaw.com/tatashare/avs/home/shareregistry/faqs/transmission/Transmission_Q3_040306.html?avs.fieldName=Downloadable+Document

ii. Relevant certificates for the securities.

iii. Self-attested copies of the PAN Card of all the holders [Mandated by SEBI]

For securities held in electronic form, members are requested to contact the concerned depository participant. In case a member wishes to interchange the order of the names at the time of dematerializing the securities, Form OA (available with the concerned depository participant) may be duly completed in the desired order of names and submitted to them with the Dematerialisation Request Form and the certificates.

4.10 Nomination Facility:

Nomination refers to the act of nominating a person in whom the securities and all the rights in the securities shall vest in the event of death of the member (nominator).

A member of the Company may, at any time, nominate any person as his nominee in whom the securities and all the rights in the securities shall vest in the event of his/her death. Where the nomination is made in respect of the securities held by more than one person jointly, all joint holders shall together nominate any person as nominee, in which case the nomination will be effective only in the event of the death of all joint holders.

a) Who can/cannot be a nominee?

- While an individual (having capacity to contract) can be appointed as a nominee, a trust, society body corporate, partnership firm, Karta of HUF or a power of attorney holder cannot be appointed as nominee(s).
- Minors can, however, be appointed as nominee. In case of a minor Nominee, a person is required to be named as a guardian to whom the shares shall vest in the event of death of the shareholder during minority of Nominee. On attaining majority, the Nominee is required to send a notice of his decision to either become a shareholder or to transfer the shares.
- Joint holders are not nominees, they are joint holder of the relevant shares having joint rights on the same. In the event of death any one of the joint holders, the surviving joint holder(s) of the shares is/ are the only person(s) recognized under law as holder(s) of the shares.
b) Procedure for Nomination

The procedure for making nomination with regard to shareholding in physical form is as follows:

〉 Submit the Nomination Form (Form SH-13) duly filled and signed by all the shareholders with the Company’s RTA. Please refer to the Annexure 2 for the format of Form SH-13.

Things to remember while filling the Nomination Form:

- There can be only one nomination for one folio. However, if the shareholder(s) hold(s) shares in more than one folio but in different order of names or hold in joint names in more than one folio in different combination of names, then they can appoint different nominees under each folio.
- The nomination should be made for the entire shareholding under a folio.
- The nomination form must be witnessed.
- Share certificate is not required to be sent along with the Nomination Form.
- NRI can nominate. However, a Power of Attorney holder cannot nominate on behalf of NRI.

c) Procedure for Revocation/Variation of Nomination

It is possible to revoke / vary a nomination once made with regard to shareholding in physical form by submitting a duly executed for SH-14 with the Company’s RTA. Please refer to Annexure 3 for format of Form SH-14. If nomination is made by joint holders, and one of the joint holder dies, the remaining joint holder(s) can make a fresh nomination by revoking the existing nomination. Further, upon transfer of shares, the nomination stands automatically rescinded.

Where shares are held in dematerialized form, nomination has to be registered/varied/revoked with the concerned Depositary Participant (DP) directly, as per the format prescribed by the DP.

4.11 On change of address registered in the Company’s records:

There can be only one registered address for one folio. For registering any change in address for securities held in physical form, please submit the following with the Company’s RTA:

1. a written request for change in address, duly signed by the first holder as per the specimen signature recorded with the Company’s RTA.
2. Self-attested copy of proof of identity viz. valid Passport or PAN Card.
3. Self-attested copy of proof of new address viz. valid Passport or AADHAAR Card or Election Identity Card or Electricity / Telephone (only land line) bill / Bank Account Statement / Passbook [which is not more than 3 months old].
4. The identity and address proof should be legible and in the name of the registered accountholder.
For securities held in electronic form, the change in address has to be registered with the concerned depository participant.

4.12 On change of name of members

Where the securities are held in physical form, members may request the Company’s RTA for effecting change of name in the share certificate(s) and records of the Company by submitting the following documents with the RTA. The Company’s RTA, after verification, will effect the change of name and send the share certificate(s) in the new name to the members:

a) For Individuals, consequent to marriage/divorce/attaining majority, etc.:

i) Legible copy of the documents mentioned below, in respect of each name change, duly attested by 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 and official stamp of the bank. The name on the documents submitted should be the same as that on the securities.
   o Marriage- Marriage Certificate / Government Gazette
   o Divorce- Divorce Decree
   o Attaining Majority-Birth certificate / School Leaving Certificate

ii) Relevant certificates for the securities.

iii) Transmission form duly completed and signed by the holder(s) whose signature(s) should be attested by his/their Bank Manager under his name, full address and official stamp of the bank. This form can be downloaded from the link: http://www.tsrdarashaw.com/tatashare/avs/home/shareregistry/faqs/transmission/Transmission_Q3_040306.html?avs.fieldName=Downloadable+Document

iv) Self attested copy of the PAN card of the holder(s).

b) For Corporates, Trusts, Society, consequent to change in name of the Corporate/Trust/Society:

i) 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.

- **Society**- Certificate of Registration along with their Bye Laws/ Rules & Regulations. The Resolution signed by the Secretary/Trustee on the letter head of the Society empowering the signatories to sign on behalf of the Society along with the specimen signature of the Authorized signatories is also to be submitted.

ii) Relevant certificates for the securities.

iii) Transmission form duly completed and signed by the authorized signatories. This form can be downloaded from the link:


iv) Certified true copy of PAN Card of Corporate Body/ Trust/ Society.

Members holding shares in demat form, may request the concerned DP in the format prescribed by DP for effecting the change in name.

### 4.13 For splitting of a share certificate

Member may write to the Company’s RTA enclosing the relevant share certificate for splitting into smaller lots. The share certificates, after splitting, will be sent by the Company’s RTA to the members at the member’s address registered with it.

### 4.14 For amalgamation/consolidation

Members having securities certificates in various denominations under the same folio may approach the Company’s RTA for consolidation into a single certificate by sending all the certificates along with the request letter.

Members having share certificates under multiple folios registered with same address and identical names in the same order may request for consolidation of the securities certificates by submitting the following documents with the Company’s RTA:

i) Amalgamation form duly completed and signed by ALL the holders as per the specimen signature(s) recorded with the Company’s RTA. This form can be downloaded from the link:

ii) Relevant certificates pertaining to the folio having the smaller holdings. Do not send the certificates pertaining to the larger holdings, into which account the multiple folio is being amalgamated.

iii) Self-attested copy of the PAN Card of the holder(s).

For securities held in electronic form, please contact your depository participant.
UPDATION OF SHAREHOLDER INFORMATION

I / We request you to record the following information against my / our Folio No.:

(A) General Information:

<table>
<thead>
<tr>
<th>Folio No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the first named Shareholder:</td>
</tr>
<tr>
<td>PAN:*</td>
</tr>
<tr>
<td>CIN / Registration No.:*</td>
</tr>
<tr>
<td>(applicable to Corporate Shareholders)</td>
</tr>
<tr>
<td>Tel No. with STD Code:</td>
</tr>
<tr>
<td>Mobile No.:</td>
</tr>
<tr>
<td>Email-Id:</td>
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</tbody>
</table>

*Self attested copy of the document(s) enclosed

(B) Bank Details:

<table>
<thead>
<tr>
<th>IFSC: (11 digit)</th>
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<tbody>
<tr>
<td>MICR: (9 digit)</td>
</tr>
<tr>
<td>Bank A/c Type:</td>
</tr>
<tr>
<td>Bank A/c No.:*</td>
</tr>
<tr>
<td>Name of the Bank:</td>
</tr>
<tr>
<td>Bank Branch Address:</td>
</tr>
</tbody>
</table>

*A blank cancelled cheque is enclosed to enable verification of bank details.

I / We hereby declare that the particulars given above are correct and complete. If the transaction is delayed because of incomplete or incorrect information, I / We would not hold the Company / Registrar and Share Transfer Agent responsible. I / We undertake to inform any subsequent changes in the above particulars as and when the changes take place. I / We understand that the above details shall be maintained till I / We hold the securities under the above mentioned Folio No.

Place:

Date: 

Signature of Sole / First holder
Annexure 2

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]

Name of the Company                           :
Registered Address of the Company   :

I/We _______________________ the holder(s) of the securities, particulars of which are given hereunder, wish to
make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of
such securities in the event of my/our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being made):

<table>
<thead>
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</table>

(2) PARTICULARS OF NOMINEE/S –
   (a) Name :
   (b) Date of Birth:
   (c) Father’s / Mother’s / Spouse’s name:
   (d) Occupation:
   (e) Nationality:
   (f) Address:
   (g) E-mail Id. & Telephone No. :
   (h) Relationship with the security holder(s):

(3) IN CASE NOMINEE IS A MINOR –
   (a) Date of birth:
   (b) Date of attaining majority:
   (c) Name of guardian:
   (d) Address of guardian:

(4) PARTICULARS OF NOMINEE IN CASE MINOR NOMINEE DIES BEFORE ATTAINING AGE OF MAJORITY --
   (a) Name :
   (b) Date of Birth:
   (c) Father’s / Mother’s / Spouse’s name:
   (d) Occupation:
   (e) Nationality:
   (f) Address:
   (g) Email Id. & Telephone No. :
   (h) Relationship with the security holder(s) :
   (i) Relationship with the minor nominee :

Name(s) and Address of Security holder(s)                       Signature(s)

Name and Address of Witness                                       Signature
Annexure 3

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]

Name of the Company : 
Registered Address of the Company : 

I/We hereby cancel the nomination(s) made by me/us in favour of ______________ (name(s) and address of the nominee) in respect of the below mentioned securities.

Or

I/We hereby nominate the following person in place of ________________________as nominee in respect of the below mentioned securities in whom shall vest all rights in respect of such securities in the event of my / our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being cancelled / varied)

|----------------------|-----------|-------------------|----------------|----------------|

(2) (a) PARTICULARS OF THE NEW NOMINEE/S  

i. Name : 

ii. Date of Birth: 

iii. Father’s / Mother’s / Spouse’s name:

iv. Occupation: 

v. Nationality: 

vi. Address: 

vii. E-mail Id. & Telephone No. : 

viii. Relationship with the security holder:

(b) IN CASE NEW NOMINEE IS A MINOR  

i. Date of birth: 

ii. Date of attaining majority : 

iii. Name of guardian: 

iv. Address of guardian :

(3) PARTICULARS OF NOMINEE IN CASE MINOR NOMINEE DIES BEFORE ATTAINING AGE OF MAJORITY  

(a) Name : 

(b) Date of Birth : 

(c) Father’s / Mother’s / Spouse’s name: 

(d) Occupation : 

(e) Nationality : 

(f) Address : 

(g) E-mail id. & Telephone No. : 

(h) Relationship with the security holder(s) : 

(i) Relationship with the minor nominee :

Name(s) and Address of Security holder(s) Signature(s)

Name and Address of Witness Signature