

A. K. LABH

FCS, ACMA (ICAI), MBA, M.Com., ACSI (Lond)
DIM, DHRD, PGHDSM, DIRPM
Practising Company Secretary



A. K. LABH & Co.

Company Secretaries

40, Weston Street, 3rd Floor, Kolkata - 700 013

☎ (033) 2221-9381, Fax : (033) 2221-9381

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COMPLIANCE CERTIFICATE

(Pursuant to Circular no. SEBI/HO/MIRSD/MIRSDRTAMB/P/CIR/2021/655 dated 3rd

November, 2021 as amended by Circular no

SEBI/HO/MIRSD/MIRSDRTAMB/P/CIR/2021/687 dated 14th December 2021)

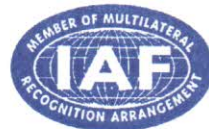
To,
M/s Maheswari Datamatics Private Limited
23, R N Mukherjee Road,
5th Floor,
Kolkata - 700 001, West Bengal

I, CS Atul Kumar Labh, Practising Company Secretary have been appointed vide letter dated 06.04.2022 by M/s Maheswari Datamatics Private Limited (hereinafter referred to as 'RTA'), having CIN : U20221WB1982PTC034886 and having its Registered Office at 23, R. N. Mukherjee Road, Kolkata - 700 001, West Bengal and engaged in the business, *inter alia*, as Registrar and Share Transfer Agent, registered under SEBI (Registrar to an Issue and Share Transfer Agents), Regulations, 1993 to issue this certificate pursuant to Circular no SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated 3rd November, 2021 as amended by its circular dated 14th December 2021 issued by the Securities and Exchange Board of India (hereinafter referred to as the "Circulars").

Verification :

On the basis of the information/documents and explanation furnished to me by the RTA, for the purpose of certifying the Compliance with the **Circulars**, I have examined the following:

- Standardized, simplified and common norms across all service request received from the investors for its clients in relation to processing of the said service request, and its operation thereof as established by the RTA, for the investors holding securities in physical mode, *inter alia*, relating to :



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- i. Registering of / Change in / Up-dation of : a) PAN, b) Nominee, c) Contact details (postal address, Mobile number & E-mail), d) Bank details and e) Signature.
- ii. Processing of request for: a) Issue of Duplicate securities certificate b) Replacement / Renewal / Exchange of securities certificate, c) Consolidation of securities certificate d) Sub-division / Splitting of securities certificate, e) Consolidation of folios, f) Endorsement, g) Change in the name of the holder, h) Change in status from Minor to Major and Resident to NRI and vice versa, i) Claim for undelivered securities certificate, prior to its transfer Unclaimed Suspense Account, j) Claim from Unclaimed Suspense (Demat) Account, k) Transmission and l) Transposition.
- iii. Services through Depository Participants (DPs) for Demat and Remat.

The RTA has also established the procedures but not limited to the following :

- b) For the electronic interface in the form of Service portal (website)/electronic mail established by the RTA for processing queries, complaints and service requests raised by the investors.
- c) For the communication sent to all the investors holding securities in physical mode for mandatorily obtaining the documents/details of PAN, KYC and Nomination, bank particulars, email address and mobile number, wherever, the same is not provided for in respect of the folio for the holders of physical securities.
- d) Checked the website of RTA with specific reference to availability of Forms, viz., ISR 1, ISR 2, ISR3, ISR4, SH13 and SH14, dissemination of the requirement of furnishing valid PAN, KYC and Nomination details, bank particulars, email address and mobile number, for the holders of physical securities of all listed companies, alongside the contact details of RTA.
- e) Laid down procedure as provided for in the **Circulars** for minor / major mismatch of signatures, mismatch in name, obtaining documents as specified in the **Circulars** for proof of address, self attestation of documents instead of Attestation or Notarization, avoid calling for Indemnity from the investors unless specifically provided for in the Companies Act 2013.
- f) Adhering to the time lines as provided for in the **Circulars**.



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- g) Care has been taken by the RTA to reply to the complaints / service requests and to raise objection, if any, on all the request made simultaneously, display the complete contact details of the RTA in its website as well as that of their clients.
- h) Sending of communication to existing shareholders for linking of PAN with Aadhar number and Procedures established for acceptance of only valid PANs linked with Aadhar on record.
- i) I have carried out random folio check for updation of records with respect to the service requests received in relation to the above in so far they are applicable as on the date of issuance of this certificate.

Management Responsibility :

It is the responsibility of the Management of the RTA to implement the provisions of the Circular including designing, maintaining records and devising proper systems to ensure compliance with the provisions and to ensure that the systems are adequate and operate effectively in compliance with the **Circulars** issued on an ongoing basis.

Certification :

In my opinion and to the best of my knowledge and according to the verifications as considered necessary and explanations furnished to me by the RTA and its Officers, I certify that the RTA has carried out the changes, put the systems in place and implemented the new operating procedures etc. in compliance of the Circular.

Assumption & Limitation of Scope and Review :

1. Ensuring the authenticity of documents and information furnished is the responsibility of the RTA.
2. Our responsibility is to certify based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.



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3. This certificate is solely for the intended purpose of compliance in terms of aforesaid Circular & for your information and it is not to be used, circulated, quoted or otherwise referred to for any other purpose other than compliance with the aforesaid Circular.

For A. K. LABH & CO.

Company Secretaries

(CS A. K. LABH)

Practising Company Secretary

FCS : 4848 / CP No. : 3238

PRCN : 1038/2020

UIN : S1999WB026800

UDIN : F004848D000028291



Place : Kolkata

Date : 06-04-2022

