SHAREHOLDERS' REFERENCER

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An Overview

- The Company has 22,403 shareholders as on March 31, 2026 (post PAN consolidation) holding its Equity Shares.

- The Company's Equity Shares are listed on BSE Limited (BSE).
  BSE SECURITY CODE: 523475

- The Company's Equity Shares are traded on BSE.

- 94.30 % of the Company's Equity Share Capital is held in demat form, as on March 31, 2026.

- The Company's Share Transfer Agent (STA) for its share registry (both physical as well as electronic) is KFin Technologies Limited (KFinTech / Company's STA), having its office at Selenium Tower B, Plot 31 & 32, Gachibowli, Financial District, Nanakramguda, Hyderabad – 500 032, India.

1. Dematerialisation / Rematerialisation of shares and Basic Services Demat Account (BSDA)

1.1 What is Dematerialisation of shares?

Dematerialisation (Demat) is the process by which securities held in physical form are cancelled and the ownership thereof is retained in fungible form in a Depository by way of electronic balances.

1.2 Why to Dematerialise the shares?

SEBI has notified that the Company's shares shall be traded compulsorily in demat form only on the Stock Exchange. Further, SEBI has amended Regulation 40 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("Listing Regulations"), pursuant to which securities of the Company shall be transferred only in Demat form.

1.3 What are the benefits of Dematerialisation?

- Elimination of bad deliveries
- Elimination of all risks associated with physical certificates
- Immediate transfer / trading of securities
- Faster settlement cycle
- Faster disbursement of corporate benefits like rights, bonus, etc.
- SMS alert facility
- Periodic status reports and information available on internet
- Ease related to change of address of investor
- Ease in portfolio monitoring
- Ease in pledging the shares
- Reduced transaction cost
- Reduced paperwork

1.4 What is the procedure for converting physical shares into dematerialized form?

- Shareholders should submit the duly filled in Demat Request Form (DRF) along with physical certificate(s) to the concerned DP.
- DP intimates the relevant Depository of such requests through the system.
- DP submits the DRF and the Certificate(s) to the Company's STA.
- The Company's STA confirms the dematerialisation request from Depository.
- The Company's STA, after dematerialising the certificate(s), updates accounts and informs concerned Depository regarding completion of dematerialisation. Depository updates its accounts and informs the DP.
- DP updates the demat account of the shareholder.
- The entire process should be completed within 15 days.

1.5 What is Basic Services Demat Account (BSDA)?

Basic Services Demat Account (BSDA) is a simplified and cost effective demat account designed with a set of defined services for eligible investors with the objective of boosting participation in securities market and facilitating ease of doing investments.

1.6 What is an eligibility criterion for an individual to opt for BSDA?

As per the SEBI circular, an individual shall be eligible to opt for BSDA, subject to the following conditions:

a) The individual has or proposes to have only one demat account, where he / she is the sole or first holder.
b) The individual shall have only one BSDA in his / her name across all depositories.
c) Value of securities held in the demat account shall not exceed Rs. 10 lakhs with effect from September 1, 2024 for debt and other than debt securities (combined) at any point of time.

1.7 What are the services offered / advantages of BSDA?

a) Electronic statements shall be provided free of cost.
b) Physical statement may be charged at a fee not exceeding Rs. 25/- per statement.
c) Ease in opening account and low annual maintenance cost.
d) All other conditions as applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to BSDA.

1.8 Is it mandatory for eligible investor to open BSDA or he / she can open regular demat account?

Unless Beneficial Owners (BOs) specifically provide their consent to continue to avail the facility of a regular demat account, the DPs will open BSDA only for BOs if such demat accounts are eligible for BSDA and will reassess the eligibility of all the existing BOs with respect to BSDA and will convert all such eligible existing demat accounts into BSDA.

1.9 Is it mandatory to provide mobile number, e-mail address etc. for holding shares in dematerialized form?

Yes. Pursuant to various circulars issued by Stock Exchange and Depositories from time to time, the client i.e. investor is required to mandatorily provide / update KYC attributes viz. Name, Address, PAN, Mobile Number, E-mail Id and Bank details, for holding shares in dematerialized form.

1.10 What is SMS alert facility?

NSDL and CDSL provide free SMS Alert facility for demat account holders whereby the investors can receive alerts for debits and credits in their demat accounts. Under this facility, investors can receive alerts, a day after such debits (transfers) / credits take place. These alerts are sent to those account holders who have provided their mobile numbers to their DPs. Investors will also receive SMS relating to E-Voting and other matters, from the Depositories.

1.11 Why the Company cannot take on record bank details in case of Dematerialised shares?

As per the applicable Depository Regulations, the Company is obliged 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 who will furnish such details to the concerned depository for updating records of the Depository.

Recommendations to the Shareholders / Investors

Open Demat Account and dematerialise your shares. Investors should convert their physical holdings of securities into demat holdings, as the physical transfer of securities is prohibited.

Monitor holdings regularly

Demat account should not be kept dormant for long period of time. Periodic statement of holdings should be obtained from the concerned DP and holdings should be verified. Where the investor is likely to be away for a long period of time and where the securities are held in electronic form, the investor can make a request to the DP to keep the account frozen so that there can be no debit to the account till the instruction for freezing the account is cancelled by the investor.

2. Nomination facility

2.1 What is nomination facility and to whom is it useful?

Section 72 of the Act provides the facility of nomination to shareholders. This facility is useful for individuals holding shares in sole name. In the case of joint holding of shares by individuals, nomination will be effective only after the death of all joint holders.

2.2 What is the procedure for appointing a Nominee?

a) Investors, especially those who are holding physical shares in single name, are advised to avail the nomination facility by submitting the prescribed Form SH-13 for initial registration of nomination, Form SH-14 for cancellation / variation of nomination and Form ISR-3 for opting-out of nomination to the Company / Company's STA. The said Forms may be downloaded from the website of the Company, www.lotuschocolate.com under "Investor Relations" or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

b) However, if shares are held in dematerialised form, nomination has to be registered with the concerned DP directly, as per the format prescribed by the DP. NSDL has provided a facility for registration / updation of e-mail address through the link: https://eservices.nsdl.com/kyc-attributes/#/login and opt-in / opt-out of nomination through the link: https://eservices.nsdl.com/instademat-kyc-nomination/#/login

2.3 Who can appoint a Nominee, who can be appointed as a Nominee and whether multiple nominees can be appointed?

Individual shareholders holding the shares / debentures in single name or joint names can appoint a nominee. In case of joint holding, joint holders together have to appoint a nominee. An individual having capacity to contract only can be appointed as a nominee. Minor can, however, be appointed as a Nominee. The Investor has an option to nominate more than one person as his / her nominee by submitting Form SH-13 to the STA clearly mentioning the names of the nominees and the entitlement percentage against each nominee through hard copy or electronic mode with e-signature for making nomination in the folio.

2.4 Can a nomination once made be revoked / varied?

It is possible to revoke / vary a nomination after it is made.

2.5 Are the joint holders deemed to be Nominees to the shares?

Joint holders are not nominees; they are joint holders of the relevant shares having joint rights on the 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(s) recognised under law as holder(s) of the shares. Surviving Joint holder(s) may appoint / change a nominee.

2.6 Is nomination form required to be witnessed?

A nomination form must be witnessed.

2.7 What rights are conferred on the Nominee and how can he / she exercise the same?

As per the provisions of Section 72 of the Act, the nominee is entitled to all the rights in the securities of the deceased shareholder in relation to such securities to the exclusion of all other persons. In the event of death of the shareholder, all the rights of the shareholder shall vest in the nominee. In case of joint holding, all the rights shall vest in the nominee only in the event of death of all the joint holders. The nominee is required to apply to the Company or to the DP as may be applicable, by reporting the death of the nominator along with the attested copy of the death certificate.

Recommendations to the Shareholders / Investors: Submit Nomination Form

Shareholders / Investors should register their nomination, in case of physical shares with the Company's STA and in case of dematerialised shares with their DP. Nomination would help the nominees to get the shares transmitted in their favour without any hassles. Shareholders / Investors must ensure that nomination made is in the prescribed Form and must be witnessed in order to be effective.

3. Transfer / transmission / transposition of securities / Issue of duplicate certificates

3.1 What is the procedure for transfer of shares in favour of transferee(s)?

Pursuant to Regulation 40 of the Listing Regulations, with effect from 01.04.2019, securities of the Company shall be transferred only in demat form.

In view of the above, in order to transfer shares in favour of the transferee(s), shareholders / members are advised to dematerialise shares held by them in physical form.

Special Window for re-lodgement of transfer deeds prior to April 01, 2019

- Transfer of securities in physical mode was discontinued with effect from April 01, 2019. Subsequently, it was clarified that transfer deeds lodged prior to deadline of April 01, 2019 and rejected / returned / not attended due to deficiency in the documents / process / or otherwise may be re-lodged with requisite documents. It was further decided to fix March 31, 2021 as the cut-off date for re-lodgement of transfer deeds.

- In order to facilitate ease of investing for investors and to secure the rights of investors in the securities which were purchased by them, SEBI vide its circular dated January 30, 2026, opened a special window for transfer and dematerialisation ("demat") of physical securities, which were lodged prior to the deadline of April 01, 2019 and rejected / returned / not attended due to deficiency in the documents / process / or otherwise, for a period of one year from February 05, 2026 to February 04, 2027.

- During this period, the securities that are re-lodged for transfer (including those requests that are pending with the Company / RTA, as on date) shall be issued only in demat mode.

3.2 Is submission of permanent account number (PAN) mandatory?

It is mandatory to provide PAN details by the registered members / debenture holders. Shareholders who have not provided details of their PAN are advised to submit the same immediately to the Company to avoid any inconvenience in future. The Income Tax Department of India has highlighted the importance of PAN on its website: www.incometaxindia.gov.in, wherein lot of queries with respect to PAN have been replied to in the FAQ section.

3.3 How to get shares registered which are received by way of gift?

Any gift of shares can be effected in dematerialised form only through off-market delivery instruction slip to be submitted to depository participant.

3.4 What is the procedure for getting the shares registered in the name of surviving shareholder(s), in case of joint holding, in the event of death of one of the shareholders?

In the event of death of one of the joint holders, the securities will be transmitted to the surviving holder(s) on submission of following documents:

a) Duly signed transmission request Form ISR – 5 by the surviving holder(s) along with KYC details / documents;

b) Original death certificate or copy of death certificate attested by the surviving holder(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;

c) Original Share Certificates; and

d) Self-attested copy of the Permanent Account Number card of the surviving holder(s) issued by the Income Tax Department and the address proof of the surviving holder(s).

3.5 What is the procedure for getting the shares held in single name having nomination?

The Company / STA shall inform the nominee about the procedure to be followed for the claim on the receipt of the intimation of death of the security holder.

The following documents are required to be submitted by the nominee to the Company / Company's STA:

a) Duly filled and signed transmission request in Form ISR-5. The Form may be also downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

b) 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 by the Company's STA / the Company;

c) Self-attested copy of the Permanent Account Number card of the nominee, issued by the Income Tax Department.

d) Such other documents as stated in the SEBI Circular as may be issued from time to time.

3.6 What is the procedure for getting shares in the name of legal heir(s) in the event of death of the sole shareholder without nomination?

The following documents are required to be submitted by the legal heir(s):

a) Duly signed transmission request form in Form ISR-5 by the legal heir(s) / claimant(s). The Form may be also downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

b) 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 by the STA / the Company;

c) Self-attested copy of the Permanent Account Number card of the claimant(s) / legal heir(s), issued by the Income Tax Department;

d) A notarized affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value, in Annexure D. The Annexure D may be downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

e) A copy of other requisite documents for transmission of securities as may be applicable as per Annexure A, attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer. The Annexure A may be downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the Company's website, www.lotuschocolate.com

f) A copy of Will is submitted as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) the same shall be accompanied with a notarized indemnity bond from the claimant (appropriate beneficiary of the Will) to whom the securities are transmitted, in Annexure E. The Annexure E may be downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

g) For value of securities of the Company up to rupees five lakhs in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, as on date of application by the claimant, and where the documents mentioned in serial number 9 in the Annexure A are not available, the legal heir(s) / claimant(s) may submit the following documents:

   i. a notarized indemnity bond made on non-judicial stamp paper of appropriate value in the Annexure E, indemnifying the Company's STA / Company. The Annexure E may be also downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

   ii. no objection certificate from all legal heir(s) stating that they do not object to such transmission 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; The Annexure F may be downloaded from the "Investor Services" section under the "Investor Relations" dropdown on the website of the Company www.lotuschocolate.com or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

h) The Company at its discretion, may enhance the value of securities from the threshold limit of rupees five lakh, in case of securities held in physical mode.

SEBI's Master Circular HO/38/13/(4)2026-MIRSD-POD/I/4298/2026 dated February 06, 2026 has mandated that securities pursuant to transmission shall be issued in demat mode only.

3.7 How can the change in order of names (that is, transposition) be effected?

Share certificate(s) along with duly filled Form ISR-4 along with requisite documents signed by all the joint holders and copies of their PAN Cards, duly attested, shall be sent to the Company / Company's STA, for change in order of names, known as 'transposition'. The said Form may be downloaded from the website of the Company www.lotuschocolate.com under the section "Investor Relations" or STA, https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

Transposition shall be permitted only for the entire holding under a folio and requests for transposition of part holdings shall not be accepted by the Company or Company's STA. Upon receipt of a duly completed Demat Request Form (DRF) along with the Transposition Request Form (TPRF) and other requisite documents and after due verification, the Company's STA shall process the transposition cum dematerialisation request by setting up the demat request directly in the Depository system.

Post set up, an SMS/email link will be sent to the registered mobile number and email ID of the first holder for OTP authentication, which must be completed within 48 hours. Upon successful OTP authentication and confirmation by the STA, the shares shall be credited directly to the investor's demat account, and a system generated confirmation shall be issued to the investor and the concerned Depository Participant (DP).

In case OTP authentication is not completed within the stipulated time, the demat request shall stand cancelled and will need to be re-initiated. Letter of Confirmation (LOCs) issued prior to April 2, 2026, may continue to be submitted to the DP for dematerialisation within 120 days from the date of issuance of the LOC, failing which the shares shall be transferred to the Suspense Escrow Account of the Company.

For shares already held in dematerialised form, shareholders are advised to approach their respective Depository Participant for effecting transposition of names.

3.8 What is the procedure for obtaining duplicate share certificate(s) in case of loss / misplacement of original share certificate(s)?

Shareholders who have lost or misplaced their share certificate(s), should submit documents as per Annexure A based on the value of the shares:

for shares worth up to Rs. 10 Lakh, an Affidavit-cum-Indemnity Bond on non-judicial stamp paper is required, while for shares worth up to Rs. 10,000 (as on the date of application), a simple undertaking on plain paper. Further, the shareholders shall also need to submit Investor Service Request in Form ISR-4 to the Company / Company's STA. The said Form / Annexure may be downloaded from the website of the Company www.lotuschocolate.com under the section "Investor Relations" or from STA's website, https://ris.kfintech.com/clientservices/isc/isrforms.aspx. Additionally, the shareholder shall also submit the copy of FIR including e-FIR / Police complaint / Court Injunction Order / copy of plaint, bearing details of securities, folio number, distinctive number range and certificate numbers and issue advertisement regarding loss of share certificate(s) in a widely circulated newspaper, in case if the value of securities as on the date of submission of application, along with complete documentation as prescribed by the Board exceeds Rs. 10 Lakh. The applicant shall quantify the value of the securities on the basis of the closing price of such securities at any one of the recognized Stock Exchange a day prior to the date of such submission in the application.

The Shareholders should submit duly filled in and signed Demat Request Form (DRF) along with the Investor Service Request to the Company or Company's STA. Upon receipt of requisite documents and after due verification, the Company's STA shall process the Investor Service Request by setting up the demat request directly in the Depository system.

Post set up, an SMS/email link will be sent to the registered mobile number and email ID of the first holder for OTP authentication, which must be completed within 48 hours. Upon successful OTP authentication and confirmation by the STA, the shares shall be credited directly to the investor's demat account, and a system generated confirmation shall be issued to the investor and the concerned Depository Participant (DP).

In case OTP authentication is not completed within the stipulated time, the demat request shall stand cancelled and will need to be re-initiated. Letter of Confirmation (LOCs) issued prior to April 2, 2026, may continue to be submitted to the DP for dematerialisation within 120 days from the date of issuance of the LOC, failing which the shares shall be transferred to the Suspense Escrow Account of the Company.

3.9 What is the procedure to get the certificates issued in various denominations consolidated into a single certificate?

Consolidation of share certificates helps in saving cost while dematerialising the share certificates and also provides convenience in holding the shares physically. Shareholders having certificates in various denominations under the same folio should send all such certificates along with duly filled Form ISR- 4 to the Company / Company's STA, for consolidation into a single certificate. The said Form may be downloaded from the website of the Company www.lotuschocolate.com under the section "Investor Relations" or from STA's website, https://ris.kfintech.com/clientservices/isc/isrforms.aspx

If the shares are not under the same folio but registered in the same order of names, shareholders should write to the Company / Company's STA in the prescribed form for consolidation of folios. This will help the investors to efficiently monitor their holding and the corporate benefits receivable thereon.

The Shareholders should submit duly filled in and signed Demat Request Form (DRF) along with the Investor Service Request to the Company or Company's STA. Upon receipt of requisite documents and after due verification, the Company's STA shall process the Investor Service Request by setting up the demat request directly in the Depository system.

Post set up, an SMS/email link will be sent to the registered mobile number and email ID of the first holder for OTP authentication, which must be completed within 48 hours. Upon successful OTP authentication and confirmation by the STA, the shares shall be credited directly to the investor's demat account, and a system generated confirmation shall be issued to the investor and the concerned Depository Participant (DP).

In case OTP authentication is not completed within the stipulated time, the demat request shall stand cancelled and will need to be re-initiated. Letter of Confirmation (LOCs) issued prior to April 2, 2026, may continue to be submitted to the DP for dematerialisation within 120 days from the date of issuance of the LOC, failing which the shares shall be transferred to the Suspense Escrow Account of the Company

Exercise caution

There is a likelihood of fraudulent transfers in case of folios with no movement or where a shareholder has either expired or is not residing at the address registered with the Company. The Company's STA should be updated on any change of address or contact details. Similarly, information of death of shareholder should also be communicated promptly.

Mode of Communication by Investors

It is recommended to use registered post or speed post or courier facility when investors send important / high value documents, share certificates etc. to the Company / Company's STA.

4. Unclaimed shares under Listing Regulations

4.1 What are the regulatory provisions and procedure governing unclaimed shares?

As per Regulation 39 of the Listing Regulations read with Schedule VI thereto:

a. Shares issued in dematerialised form pursuant to a public issue or any other issue, which remain unclaimed, shall be credited to a demat suspense account opened by the Company for this purpose with one of the depository participants.

b. Shares issued in physical form pursuant to a public issue or any other issue, which remain unclaimed, shall be transferred into one folio in the name of "Unclaimed Suspense Account" and shall be dematerialised with one of the depository participants.

Any corporate benefits accruing on such shares, viz., bonus shares, split, etc., shall also be credited to such demat suspense account or unclaimed suspense account, as applicable, for a period of seven years and thereafter shall be transferred in accordance with the provisions of applicable laws.

The voting rights on such unclaimed shares shall remain frozen till the rightful owner claims the shares.

4.2 What is the status of compliance by the Company with regard to these provisions?

In terms of Regulation 34 of the Listing Regulations read with Schedule V thereto, details relating to aggregate number of shareholders and the outstanding shares in the demat suspense account / unclaimed suspense account (accounts) lying at the beginning of the year, number of shareholders who had approached the Company for transfer of shares from said accounts during the year, number of shareholders to whom the said unclaimed shares were transferred from the said accounts during the year and the aggregate number of shareholders and the outstanding shares in the accounts lying at the end of the year, have been set out under "Equity Shares in Unclaimed Suspense Account" in the Annual Report.

5. Suspense Escrow Demat Account

5.1 What is Suspense Escrow Demat Account?

Companies are required to open a separate demat account where securities holder / claimant fails to submit the demat request to the depository participant within the period of 120 days from the date of issuance of letter of confirmation. STA shall move the said securities to a physical folio "Suspense Escrow Demat Account" and issue a consolidated letter of confirmation to the Company for the said securities in the "Suspense Escrow Demat Account" on monthly basis. Thereafter, the Company shall dematerialise these securities in "Suspense Escrow Demat Account".

5.2 What is the procedure to claim the shares lying in the Suspense Escrow Demat Account?

Securities which have been moved to 'Suspense Escrow Demat Account' may be claimed by the security holder / claimant on submission of following documents to RTA:

a) Duly filled in and signed form ISR-4

b) Client master list ('CML') of the demat account for crediting the securities to the security holder's / claimant's account provided the details in the CML should match with the details recorded with the STA / issuer company.

6. Monitoring of foreign investment limits in the Company

Foreign Investment in India is regulated in terms of clause (b) of sub-section 3 of section 6 and section 47 of the Foreign Exchange Management Act, 1999 (FEMA) read with Foreign Exchange Management (Transfer or Issue of a Security by a Person resident Outside India) Regulations, 2017 issued vide Notification No. FEMA 20(R)/2017-RB dated November 7, 2017, as amended from time to time. FEMA prescribes the various foreign investment limits in listed Indian companies. These include the aggregate FPI (Foreign Portfolio Investor) limit, the aggregate NRI (Non-Resident Indian) limit and the sectoral cap.

Foreign investors making investment / willing to make investment in securities of the Company are advised to visit websites of BSE (www.bseindia.com), NSDL (www.nsdl.co.in) and CDSL (www.cdslindia.com) beforehand to know more on the foreign investment limits and the headroom available from time to time for investment in securities of the Company.

7. Investor servicing and grievance redressal – external agencies

7.1 Ministry of Corporate Affairs (MCA)

MCA has launched its e-Governance initiative i.e. MCA21, on the MCA portal (www.mca.gov.in). One of the key benefits of this initiative is timely redressal of investor grievances. MCA21 system accepts complaints under the e-Form prescribed, which has to be filed online.

The status of complaint can be viewed by quoting the Service Request Number (SRN) provided at the time of filing the complaint.

7.2 Securities and Exchange Board of India (SEBI) SEBI Complaints Redress System (SCORES) and Online Dispute Resolution (ODR) Portal SCORES

SEBI, in its endeavour to protect the interest of investors, has provided a platform wherein the investors can lodge their grievances. This facility is known as SEBI Complaints Redress System (SCORES) and is available on the SEBI website (www.sebi.gov.in) and on SCORES' website (https://scores.sebi.gov.in).

The investor complaints are processed in a said centralized web-based complaints redress system. The salient features of this system are: Centralised database of all complaints, online upload of Action Taken Reports (ATRs) by the concerned companies / Company's STA and Online viewing by investors of actions taken on the complaint and its current status.

All companies against whom complaints are pending on SCORES, have to take necessary steps to resolve the complaint and submit action taken report within twenty-one days of receipt of complaint and also keep the complainant duly informed of the action taken.

SEBI has issued frequently asked questions (FAQs) in respect of SCORES which, inter alia, lists down the matters which are considered as complaints and handled by SEBI, the matters which are not considered as complaints, how the investor complaints' are handled by SEBI, the arbitration mechanism, etc. These FAQs can be accessed on the https://scores.sebi.gov.in/faqs.

Online Dispute Resolution Portal ("ODR Portal")

SEBI vide its Circular dated July 31, 2023 (updated as on December 20, 2023) issued guidelines for members to resolve their grievances by way of Online Dispute Resolution ('ODR') through a common ODR portal. Members are requested to first take up their grievance, if any, with KFin Technologies Limited, Share Transfer Agent of the Company. If the grievance is not redressed satisfactorily, the member may escalate the same through: i) SCORES Portal in accordance with the SCORES guidelines, and ii) if the member is not satisfied with the outcome, dispute resolution can be initiated through the ODR Portal at https://smartodr.in/login.

ODR Portal is an online platform designed specifically to address grievances and disputes between investors and the Company.

The ODR Portal can be used if:

- Complaint is not resolved by the Company or SCORES;
- The dispute is not pending before any arbitral process, court, tribunal or consumer forum; and
- The dispute is considered arbitrable under Indian law

7.3 Stock Exchange

BSE Limited (BSE) – BSE has provided an opportunity to the investors to file their complaints electronically through its website: www.bseindia.com under the "Investors" section.

Dispute Resolution Mechanism is available at Stock Exchange. In case of any dispute pending with the Company and / or with Company's STA, on delay or default in processing request, investors can file for arbitration with the Stock Exchange (i.e. BSE).

7.4 Depositories

National Securities Depository Limited (NSDL) – In order to help its clients, resolve their doubts, queries, complaints, NSDL has provided an opportunity wherein they can raise their queries at - https://nsdl.co.in/nsdlnews/investors.php

Central Depository Services (India) Limited (CDSL) - Investors who wish to seek general information on depository services may mail their queries to: helpdesk@cdslindia.com. With respect to the complaints / grievances of the demat account holders relating to the services of the DP / Depository, e- mails may be addressed to: complaints@cdslindia.com. For any other services the investor can access – www.cdslindia.com – Investors.

8. Investor Service and Grievance Handling Mechanism

- All investor service matters are being handled by KFinTech, the largest Registrar in the country with a large number of Investor Service Centres across the country, which discharges investor service functions effectively, efficiently and expeditiously.

- The Company has prescribed service standards i.e. number of working days to respond to various investor related activities. These standards are reviewed periodically by the Company.

Service Standards set by the Company:

Sr No.	Particulars	Service Standards (Number of working days)
1.	Transmissions	3
2.	Transpositions	3
3.	Deletion of Name	3
4.	Folio Consolidation	3
5.	Change of Name	3
6.	Demat	3
7.	Remat	3
8.	Issue of Duplicate Certificates	15
9.	Replacement of Certificates	3
10.	Certificate Consolidation	3
11.	Certificate Split	3
12.	Change of Address	2
13.	Processing of IEPF claims	NA
14.	Bank Mandate / Details	2
15.	Nomination by security holders	2
16.	Recording Power(s) of Attorney of security holders	2

8.1 Is there any specific procedure for resolution of various service request of the investor? Which service requests of the investors are covered?

Yes. SEBI, vide various circulars has prescribed the specific procedure to be followed by the Company / Company's STA for addressing following service requests of investors:-

i. Issue of duplicate securities certificate;
ii. Claim from Unclaimed Suspense Account/ Suspense Escrow Demat Account;
iii. Replacement / Renewal / Exchange of securities certificate;
iv. Endorsement;

v. Sub-division / Splitting of securities certificate;
vi. Consolidation of securities certificates / folios;
vii. Transmission; and
viii. Transposition;

KFinTech has provided frequently asked questions (FAQs) with respect to its services for investor's ease. These FAQs can be accessed on the https://ris.kfintech.com/faqs.aspx.

Pursuant to the SEBI circulars, Company shall issue the securities in dematerialized form only while processing the service request.

8.2 What are the modes for providing documents / details by investors for service requests?

The investor can provide the documents / details by any one of the following modes:-

i. Through "In-Person Verification" (IPV);
ii. Through Post – Hard copies of self-attested documents; and
iii. Through electronic mode with e-sign – by way of email or through service portal of the STA wherein the documents furnished shall have e-sign of the investor

However, copy of the self-attested documents which are required to be submitted to the STA may also be submitted by way of uploading the same on the portal of STA i.e., https://ris.kfintech.com/

8.3 Is there any standard procedure for addressing the aforesaid service request(s) of investor?

The standard procedure for addressing the service request(s) of investor is enumerated below:-

The securities holder / claimant shall submit duly filled Form ISR-4 along with relevant supporting documents through modes specified in the aforesaid Clause 8.2, to the Company / Company's STA. The said Form may be downloaded from the website of the Company, https://www.lotuschocolate.com/investor_services.html or from STA's website https://ris.kfintech.com/clientservices/isc/isrforms.aspx.

The Shareholders should submit duly filled in and signed Demat Request Form (DRF) along with the Investor Service Request to the Company or Company's STA. Upon receipt of requisite documents and after due verification, the Company's STA shall process the Investor Service Request by setting up the demat request directly in the Depository system.

Post set up, an SMS/email link will be sentto the registered mobile number and email ID of the first holder for OTP authentication, which must be completed within 48 hours. Upon successful OTP authentication and confirmation by the

STA, the shares shall be credited directly to the investor's demat account, and a system generated confirmation shall be issued to the investor and the concerned Depository Participant (DP).

In case OTP authentication is not completed within the stipulated time, the demat request shall stand cancelled and will need to be re-initiated. Letter of Confirmation (LOCs) issued prior to April 2, 2026, may continue to be submitted to the DP for dematerialisation within 120 days from the date of issuance of the LOC, failing which the shares shall be transferred to the Suspense Escrow Account of the Company.

8.4 Online processing of investor service requests and complaints by STAs

Pursuant to SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/72 circular dated June 08, 2023, holders of physical security certificates are required to submit various documents to the STAs with respect to various service requests / complaints including:

a) Intimation of / updation of /change in Permanent Account Number, Nominee, Bank details, Contact details, Signature, Name etc.;

b) Processing of investor requests (Duplicate security certificates, folio consolidation, transmission, transposition etc.);

c) Services through depository participants such as dematerialization, rematerialization etc.

The aforesaid services can be availed through STA website: https://ris.kfintech.com/.

8.5 What are the benefits of digitization of investor service requests process?

Digitization of investor service requests process provides the following benefits:

a) Database for service requests and complaints;

b) Online acknowledgement and intimation to the investor; and

c) Online tracking of status of service requests and complaints by investors

8.6 What is the two-phase approach to digitize the processing of investor service requests and complaints?

The circular proposes a two-phase approach to digitize the processing of investor service requests and complaints wherein in Phase I, STAs servicing listed companies must establish a functional website and set up a user-friendly online mechanism or portal (https://ris.kfintech.com/) which will allow investors to submit service requests and complaints, track their status through Unique Reference Number (URN) for each request and obtain periodical updates and Phase-II involves the creation of a common website which redirects investors to the respective STA's web-based portal for further resolution by entering the name of the listed company. This centralized approach enhances efficiency and facilitates seamless resolution of investor queries.

9. Miscellaneous

9.1 Minor mismatch in signature

a) In case of minor mismatch in the signature of the securities holder as available in the folio of the Company's STA and the present signature, the Company's STA, while processing the service request, shall intimate the holder, by Speed post on Registered address / Registered E-mail Id / SMS on registered mobile number, about the minor mis-match in signature, providing timeline of 15 days for raising objection, if any.

   In the absence of any objection, the service request shall be processed. The timeline to process the service request will commence after the notice period of 15 days.

b) If the letter sent by Company's STA through speed post returns undelivered, but there is confirmation by the investor for no-objection via return e-mail registered with the STA, the service shall be processed. If the letter is returned undelivered and there is no confirmation by the investor for no-objection, STA shall follow the procedure prescribed for major mismatch in signature as covered in the below Clause 9.2.

c) In case of any objection, the Company's STA, after removing the objection, shall advise the Investor to furnish signature verification by the Banker along with any of the documents viz. Aadhaar Card, Passport, Driving License, PAN Card with photograph, Identity Card / document with applicant's photo, marriage certificate, divorce decree.

9.2 Major mismatch in signature or Updation / Non-Availability of Specimen Signature with Company's STA

In case of major mismatch in the signature of the holder as available in the folio of the Company's STA or if signature is not updated / available with Company's STA, then the STA shall intimate the holder / claimant about such mis-match / updation in signature by Speed post on Registered address / Registered E-mail Id / SMS on registered mobile number. In such cases holder/ claimant can complete either of the two processes:-

i. furnish original cancelled cheque with name of the security holder printed on it / Self-attested copy of Bank Passbook / Bank Statement and Banker's attestation of the signature of the same bank account as per Form ISR-2.

ii. Submission of requisite documents through in-person visit to the office of STA.

9.3 Change of address

What is the procedure to get registered address changed in the Company's records?

Shareholders holding shares in physical form shall send Form ISR-1, duly signed by all the holders, giving the details of the new address along with Pin Code to the Company / Company's STA. Shareholders are requested to quote their folio number(s) and furnish any one of the following documents viz.,

a) Unique Identification Number (UID)(Aadhaar).

b) Valid Passport / Registered Lease or Sale Agreement of Residence / Driving License.

c) Flat Maintenance bill accompanied with additional self-attested copy of Identity Proof of the holder / claimant.

d) Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not older than 3 months.

e) 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 duly attested by employer with date and organization stamp.

f) For FII / sub account, Power of Attorney given by FII / sub- account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.

g) The proof of address in the name of the spouse accompanied with self-attested copy of Identity Proof of the spouse.

h) Client Master List (CML) of the Demat Account of the holder / claimant, provided by the Depository Participant.

However, additionally, self-attested copy of Identity Proof of the holder / claimant may be obtained to process the request in case the flat maintenance bill or proof of address in the name of spouse is submitted for any service request.

a) Company's STA shall send intimation about the request for change in address to the holder at both the old and new addresses by Speed post, providing, timeline of 15 days for raising objection, if any.

b) In case the signature matches with the record available with the Company's STA, the request for change in address can be processed without keeping it on hold for 15 days.

c) In the absence of any objection, the request shall be processed.

d) If any one of the letter returns undelivered or if there is an objection, the Company's STA shall obtain any one of the documents mentioned above reflecting the old address as available in the folio or counterfoil of dividend warrant received from the Company or bank statement showing credit of dividend.

However, in case where the letter is undelivered at the old address, Company's STA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.

9.4 Change of name

What is the procedure for registering change / minor mismatch / major mismatch in name of shareholders?

Minor Mismatch in name

For minor mismatch in name between any two set of documents presented by holder / claimant for any service request, the Company's STA shall additionally obtain self-attested copy of any one of the following documents, explaining the difference in names:

List of Documents:- Unique Identification Number (UID) (Aadhaar), Valid Passport, Driving license (in Smart Card form or Book form or copy of digital form), PAN card with photograph, Identity card / document with applicant's Photo (issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions duly attested by employer with date and organization stamp), Marriage certificate, Divorce decree.

However, the existing norms of the Depositories, to process demat request where there is a minor mis-match on account of initials not being spelt out fully, or put after or prior to surname, provided the signature in the Demat Request Form (DRF) matches with the signature card with the Company's STA, shall continue to be in force.

Change of Name / Major Mismatch in Name

In the event of change of name / major mismatch in name of holder, the holder / claimant shall submit the following documents:-

a. In case of change in name on account of marriage – Marriage Certificate or copy of valid passport showing husband's name or publication of name change in official gazette, and any one document from the aforesaid list of documents.

b. In case of change in name on account of reasons other than marriage – Publication of name change in official gazette, and any one document from the aforesaid list of documents.

9.5 Authority to another person to deal with shares

What is the procedure for authorising a person to deal with the shares held by the shareholder?

A shareholder needs to execute a Power of Attorney in favour of the concerned person and submit a notarised copy of the same to the Company's STA. After scrutiny of the documents, the Company's STA shall register the Power of Attorney and inform the registration details to the shareholder concerned. Whenever the Power of Attorney holder proposes to enter into a transaction, the registration number mentioned above should be quoted in the correspondence.

9.6 Register e-mail address

In order to contribute towards greener environment and to receive all documents, notices including Annual Reports and other communications of the Company in electronic mode:

a) Members holding shares in physical mode are requested to register / update their e-mail address by submitting Form ISR-1 and self- attested copy of PAN card to the Company / Company's STA;

b) Members holding shares in dematerialised mode are requested to register / update their e-mail addresses with the Depository Participant(s)with whom they maintain their demat accounts. NSDL has provided a facility for registration / updation of e-mail address through the link: https://eservices.nsdl.com/kyc-attributes/#/login.

9.7 Intimate mobile number

Members holding shares in physical mode are requested to register / update / intimate their mobile number by submitting Form ISR-1 and self-attested copy of PAN card to the Company / Company's STA or to their Depository Participant(s) with whom they maintain their demat accounts, if the holding is in dematerialised mode, in order to receive communications on corporate actions and other information of the Company.

All aforesaid documents / requests should be submitted to STA i.e. KFinTech, at the address mentioned below:

Shri V Balakrishnan
Vice President, KFin Technologies Limited
Selenium Tower B, Plot 31 & 32, Gachibowli, Financial District, Nanakramguda, Hyderabad 500 032, India
Toll-free No.: 1800 309 4001

(from 9:00 a.m. (IST) to 6:00 p.m. (IST) on all working days)
E-mail: lotusinvestor@kfintech.com

SEBI has vide its Circulars mandated furnishing of KYC details viz., (a) PAN; (b) Contact Details: Postal Address with PIN and Mobile Number; (c) Bank Account Details such as bank name and branch, bank account number, IFSC / MICR code; and (d) Specimen signature, if any, by holders of physical securities. In this regard, the Company had sent letters, emails and SMSes to its members for furnishing the required details. Any service request shall be entertained by KFinTech only upon registration of the KYC details.

If security holder furnishes KYC details viz., (a) PAN; (b) Contact Details: Postal Address with PIN and Mobile Number; (c) Bank Account Details such as bank name and branch, bank account number, IFSC / MICR code; and (d) Specimen signature, if any, after April 1, 2024, all the monies of / payments including dividend that were previously unclaimed / unsuccessful shall be paid automatically through electronic mode. Meanwhile, such unpaid dividend shall be kept by the Companies in the Unpaid Dividend Account.

9.8 E-Voting

Pursuant to the provisions of Section 108 and other applicable provisions, if any, the Act read with the Companies (Management and Administration) Rules, 2014, as amended, and Regulation 44 of the Listing Regulations read with SEBI circular dated December 9, 2020 on e-Voting Facility provided by Listed Entities, the Company is providing to its shareholders, facility to exercise their right to vote on resolutions proposed to be passed at General Meetings / Postal Ballot by electronic means (e-Voting).

9.9 Annual General Meeting through VC / OAVM

The Ministry of Corporate Affairs (MCA) has vide its circulars issued from time to time has permitted convening the Annual General Meeting (AGM / Meeting) through Video Conferencing (VC) or Other Audio-Visual Means (OAVM), without the physical presence of the members at a common venue.

In accordance with the MCA Circulars and the provisions of the Act, the AGM of the Company is being held through VC / OAVM.

9.10 Shareholders' General Rights

- To receive not less than 21 clear days' notice of general meetings.
- To receive notice and forms for Postal Ballots in terms of the provisions of the Act and the relevant Rules issued thereunder.
- To receive copies of the financial statements, including consolidated financial statements, if any, report of directors and auditors thereon and

every other document required by law to be annexed or attached to the financial statements (generally known as “Annual Report”) not less than 21 days before the date of the Annual General Meeting.

- In case the Meeting is held physically, please attend the Meeting at the venue stated in the notice. In case the Meeting is held through Video Conferencing (VC) / Other Audio Visual Means (OAVM), attend the Meeting virtually. In case of physical Meetings, a proxy, if appointed, will be entitled to attend the Meeting.

- The shareholders can exercise vote through e-Voting. However, in case of physical Meetings, votes can also be exercised at the Meetings.
- To receive Dividends and other corporate benefits like Bonus, Rights, etc. once approved.

- To demand poll on any resolution at a General Meetings in accordance with the provisions of the Act.

- To inspect Statutory Registers and documents as permitted under law.

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

9.11 Duties / Responsibilities of Shareholders

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

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

- To deal with only SEBI registered intermediaries while trading in the securities.

- Not to indulge in fraudulent and unfair trading in securities nor to act upon any unpublished price sensitive information.

- To participate effectively in the proceedings of shareholders’ meetings.

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

- To register nominations, which would help the nominees to get the shares transmitted in their favour without any hassles.

- To participate in the e-voting facility provided by the Company or attend the General Meeting of the Company and cast vote.

- To respond to communications seeking shareholders' approval through Postal Ballot.

- To respond to communications of SEBI / Depository / DP / Brokers / Sub-brokers / Other Intermediaries / Company, seeking investor feedback / comments.

9.12 Dividend, Voting and Other Rights Attached with Equity Shares:

- The holders of shares shall, according to the amount of shares held by them, have the same rights, privileges and advantages as regards dividends, voting at meetings of the Company and other matters.

- Subject to any rights or restrictions for the time being attached to any class or classes of shares, on a poll, the voting rights of a member of a listed company shall be in proportion to his / her share in the paid-up equity share capital of the Company.

- A member may exercise his / her vote at a meeting by electronic means in accordance with the Act and shall vote only once.

- In case of physical Meeting, in case of joint holders, the vote of the senior who tenders a vote, whether in person or by proxy, shall be accepted to the exclusion of the votes of the other joint holders. For this purpose, seniority shall be determined by the order in which the names stand in the register of members.

- No member shall be entitled to vote at any general meeting unless all calls or other sums presently payable by him in respect of shares in the Company have been paid or in regard to which the Company has exercised any right of lien.

- The Company's lien, if any, on a share shall extend to all dividends or interest, as the case may be, payable and bonuses declared from time to time in respect of such shares for any money owing to the Company.

10. Dealing in Securities

10.1 What are the types of accounts required for dealing in securities in demat form?

A. Beneficial Owner Account (BO Account)/Demat Account:

An account opened with a Depository Participant (DP) in the name of the investor for holding and transacting in securities.

B. Trading Account:

An account opened by the stock broker / trading member in the name of the investor for trading in securities.

C. Bank Account:

An account opened with any bank in the name of the investor and linked to the Beneficial Owner Account / Demat Account for debiting or crediting money with respect to transactions in the securities market.

D. Can an investor open Demat account, Trading account and bank account with one service provider?

The investor can open demat account, trading account and bank account with one service provider for ease of trading operations. However, the investor can also have demat account, trading account and bank account with different service providers according to their choice.

10.2 What is Delivery Instruction Slip (DIS) and what precautions one should observe with respect to DIS?

- Delivery Instruction Slip (DIS) is issued by the Depository Participant (DP) and used by holder of securities to give instructions to DP to give delivery of securities from his / her / it's demat account to the demat account of the recipient of securities. DIS may be compared to a cheque book of a bank account. The following precautions are to be taken in respect of DIS:

- Ensure that DIS numbers are pre-printed and DP takes acknowledgment for the DIS booklet issued to the investor.

- Ensure that the account number [DP Id and Client Id] is pre-stamped or pre-printed.

- If the account is a joint account, all the joint holders must sign the DIS. Instruction cannot be executed if all joint holders have not signed.

- Avoid using loose slips.

- Do not leave signed blank DIS with anyone viz., broker / sub-broker, DPs or any other person / entity.

- Keep the DIS book under lock and key when not in use.

- If only one entry is made in the DIS book, strike out the remaining space to prevent misuse.

- Personally, fill in target account-id and all details in the DIS.

- If the DIS booklet is lost / stolen / not traceable, the same must be intimated to the DP, immediately, in writing. On receipt of such intimation, the DP will cancel the unused DIS of the said booklet.

- Do not issue / submit DIS without mentioning execution date.

10.3 What is Online Trading in securities?

Online Trading in securities refers to the facility available to an investor for placing his / her / its own orders to trade in any securities using the online trading platform offered by the trading member viz., the broker. The orders so placed by the investor using online trading platform would be routed through the trading member.

10.4 What is SARAL account opening form?

Securities and Exchange Board of India (SEBI) vide its circular dated March 4, 2015 introduced SARAL account opening form for resident individuals trading in cash segment. Such individuals can open a Trading Account and Demat Account by filling up a simplified Account Opening Form termed as 'SARAL AOF'. This form is separately available with the intermediaries (stockbroker/trading member) and can also be downloaded from the website of stock exchanges and Depositories. The individual investors who open such account through SARAL AOF will also have the option to obtain other facilities, whenever they require, on furnishing of additional information as per prescribed regulations / circulars.

10.5 What precautions an online investor must take?

Investor trading online must take the following precautions:

- Default password provided by the stock broker / trading member must be changed before placing the order for the first time.
- The password should not be shared with others and password must be changed at periodic intervals.
- Obtain proper understanding of the manner in which the online trading software has to be operated.
- Get adequately trained before using the software.
- The online trading system has facility for order and trade confirmation after placing the orders.
- Sufficient amount of funds / number of securities should be available in the bank / demat account for honoring the order(s) placed.

10.6 What are the other safety measures an online client must observe?

- Avoid placing order(s) from shared PCs / through cyber cafés.
- Log out after having finished trading to avoid misuse.

- Do not click “remember me” option while signing-in from shared PCs / through cyber cafés.

- Do not leave the terminal unattended while “signed-in” in the trading system.

- Protect your personal computer against viruses by placing a firewall and an anti-virus solution.

- Do not open e-mails from people you do not know.

10.7 What are the Do’s and Don’ts while dealing in securities market?

Do’s

- Transact only through recognized stock exchanges.

- Deal only through SEBI registered intermediaries.

- Complete all the required formalities of opening an account properly (client registration, client agreement forms, etc.).

- Ask for and sign “Know Your Client Agreement”, copy of Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading),Rights and Obligations of Beneficial Owner and DP as prescribed by SEBI and Depositories, Uniform Risk Disclosure Documents (for all segments / exchanges), Guidance Note detailing Do’s and Don’ts for trading on stock exchanges or any other document which has been executed between stock broker, sub-broker and client, voluntarily. (Read and properly understand the risks associated with investing in securities / derivatives before undertaking transactions.)

- Assess the risk-return profile of the investment as well as the liquidity and safety aspects before making your investment decision.

- Ask all relevant questions and clear your doubts with your stock broker before transacting.

- Invest based on sound reasoning after taking into account all publicly available information and fundamentals.

- Beware of false promises and note that there are no guaranteed returns on investments in the stock market.

- Give clear and unambiguous instructions to your stock broker / sub-broker / DP.

- Ensure that your correct mobile number and e-mail ID is entered by the broker / DP in the exchange / depository records.

- Be aware of your rights and responsibilities.
- Be vigilant in your transactions.
- Insist on a contract note for your transaction.
- Verify all details in the contract note, immediately, on the receipt.
- Always settle dues through normal banking channels with the market intermediaries.
- Crosscheck details of your trade with details as available on the exchange website.
- Scrutinise minutely, both, the transaction and the holding statement that you receive from your DP.
- Keep copies of all your investment documentation.
- Handle DIS Book issued by DPs carefully.
- DIS numbers shall be pre-printed and your account number (DP Id and Client id) be pre-stamped or pre-printed.
- In case you are not transacting frequently, make use of the freezing facilities provided for your demat account.
- Pay the margins required to be paid within the time prescribed.
- Pay the money in case of purchase within the time prescribed.
- Check SMS received for the transaction done in Trading Account since Exchange send SMS of transactions to your registered mobile number.
- In case of complaints, approach the right authorities for redressal in a timely manner.
- Make sure your account is being settled by the broker as per the Running Account Authorisation as may be given by you at the time of opening of account or any subsequent change therein.

Don’ts

- Don’t deal with unregistered intermediaries.
- Don’t fall prey to promises of unrealistic returns.

- Don’t invest on the basis of hearsay and rumours; verify before investing.
- Don’t forget to take note of risks involved in the investment.
- Don’t be misled by rumours circulating in the market.
- Don’t blindly follow media reports on corporate developments, as some of these could be misleading.
- Don’t follow the herd or play on momentum – it could turn against you.
- Don’t be misled by so called hot tips.
- Don’t try to time the market.
- Don’t hesitate to approach the appropriate authorities for redressal of your doubts / grievances.
- Don’t leave signed blank DIS of your demat account lying around carelessly or with anyone.
- Do not sign blank DIS and keep them with DP or broker to save time. Remember your carelessness can result in your loss.
- Do not provide any Power of Attorney to operate demat account to your broker unless it is as per the format prescribed by SEBI or any regulatory authority. Broker cannot add any clause in the Power of Attorney other than what is prescribed by SEBI or any other regulatory authority.

Recommendations to Shareholders / Investors:

Deal with registered intermediaries

Investors should transact through a registered intermediary who is subject to regulatory discipline of SEBI, as it will be responsible for its activities and in case the intermediary does not act professionally, investors can take up the matter with SEBI / stock exchanges.

Obtain documents relating to purchase and sale of securities

A valid contract note / confirmation memo should be obtained from the broker / sub-broker, within 24 hours of execution of purchase or sale of securities and the contract note should contain order number, order time, trade number, trade time, security / contract description, bought and sold quantity, gross rate, brokerage, goods and services tax and securities transaction tax etc. In case the investors have any doubt about the details contained in the contract note, they can avail the facility provided by BSE / NSE to verify the trades on BSE / NSE websites. It is recommended that this facility be availed in respect of a few trades on random basis, even if there is no doubt as to the authenticity of the trade / transaction.

NOTE:

This Referencer contains general information. Readers are advised to refer to the relevant Acts / Rules / Regulations / Guidelines / Clarifications before dealing in securities.