

INVESTOR FAQs

Green Initiatives on Corporate Governance

Q1. What is Green Initiatives on Corporate Governance?

The Ministry of Corporate Affairs (MCA) has taken a “Green Initiative in Corporate Governance” by allowing paperless compliances by companies through electronic mode. In accordance with the circular no. 17/2011 dated April 21, 2011 and circular no. 18/2011 dated April 29, 2011 issued by the MCA, companies can now send various notices and documents (including Annual Report), to its shareholders through electronic mode to the registered e-mail addresses of shareholders. This initiative of MCA will reduce paper consumption to a great extent and enhance corporate contribution to a greener & safer environment.

All the shareholders are requested to contribute to this initiative and reduce paper usage by opting to receive various notices and documents through electronic mode to their registered e-mail address with the depository/ Company.

For receiving all communication (including Annual Report) from the Company electronically, Members holding shares in demat mode are requested to register/ update their email addresses with their Depository Participant and Members holding shares in physical mode and who have not updated their email addresses with the Company are requested to update their email addresses by writing to the Company at investor@sonacomstar.com along with the copy of signed request letter mentioning the Folio Number, name and address of the Member, scan copy of the share certificate(front and back), self-certified copy of any document (eg: Driving License, Election Identity Card, Passport) as address proof of the Member.

Dematerialisation/Re-materialisation of Share

Q2. What is dematerialisation of shares?

Dematerialisation is the process by which physical certificates of an investor are converted into electronic form and credited the equivalent number of securities in the investors demat account with his/her Depository Participant.

Q3. Why dematerialise shares?

Dematerialisation of shares is optional, and an investor can still hold shares in the physical form. However, you need to get the shares dematerialised if you wish to trade the same through the Stock Exchanges. Similarly, if you purchase shares on the floor of the Stock Exchange, you will get delivery of the shares in demat form.

Further, SEBI has prohibited transfer of shares in physical form, However, you can transfer the shares held in physical mode after converting it into demat mode.

Q4. What is the Procedure for Dematerialization of Shares?

Procedure for dematerializing the shares held in physical form is provided hereunder:

- **Open** a Trading Account with any Depository Participant registered with SEBI and a Demat Account with any one of the Depositories i.e., NSDL or CDSL.
- **Submit** the Dematerialization Request Form (**DRF**) (in triplicate) to your DP duly filled in and signed, along with share certificate(s) in original and other requisite documents.
- **Obtain** an acknowledgement from your DP.
- On receipt of aforesaid **DRF** and shares, the DP will send electronic request through the Depository to the Registrar of the Company for confirmation of demat. Each request will bear a

Dematerialisation Request Number (**DRN**).

- Simultaneously, DP will send the physical certificate(s) with the original DRF to the Registrar for verification and confirmation.
- After verifying the documents received from the DP, the Registrar will confirm the demat request received from the Depository.
- This confirmation will be passed on from the Depository to the DP, which holds your account. After receiving this confirmation from the Depository, the DP will credit the account with the dematerialised shares.
- The DP will then hold the shares in the dematerialized form on your behalf and you become the beneficial owner of these dematerialised shares.

Please note under no circumstances you should submit your DRF and the share certificate(s) directly to the Company.

Q5. What is Re-materialisation of shares?

It is the processes through which shares held in demat form are converted into physical form (in the form of share certificate(s)).

Q6. What is the procedure for Re-materialisation of shares?

Procedure for Re-materialisation of shares is as follows:

- Shareholders should submit the duly filled in Re-materialisation Request Form(**RRF**) to the concerned DP.
- DP intimates the relevant Depository of such requests.

- DP forwards RRF to the Registrar.
- DP will generate a Remat Request Number (**RRN**) and the said RRN is electronically transmitted to the Registrar through the concerned Depository.
- The Registrar on receipt and verification of RRF, allots the folio number to the concerned shareholder and prints the share certificate. Registrar will send the share certificate to the Company for signing.
- The Registrar sends the signed Share Certificate to the concerned shareholder.
- Upon receipt of confirmation of Remat request from the Registrar, the Depository updates the Beneficiary Account of the shareholder by deleting the shares so rematerialised.

Nomination facility

Q7. What is nomination facility?

Nomination refers to the act of nominating a person in whom the shares would vest in the event of unfortunate death of the shareholder.

This facility is mainly useful for individuals holding shares in sole name. In the case of joint holding of shares by individuals, nomination will be effective only in the event of death of all joint holders.

Q8. How do I make a nomination regarding my shareholding?

The procedure for making nomination regarding shareholding in physical form is as follows:

- Submit the Nomination Form (**SH-13**) in duplicate, duly filled and signed by all the shareholders.
- 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.

- On receipt of the request for registration of nomination, the Registrar will register the same by allotting a registration number.
- The duplicate copy of the nomination form will be returned to the shareholder(s) indicating the registration number and the date of registration of nomination.

For specimen of Nomination Form (SH-13) enclosed herewith

In case of dematerialised shares, your nomination must be recorded with your Depository Participant.

Q9. Who can appoint a nominee and who can be appointed as a nominee?

Individual shareholders holding shares in single name or joint names can appoint a nominee. In case of joint holding, joint holders together have to appoint the nominee. A minor can also be appointed as a nominee.

Where the nominee is a minor, the holder of the securities, making the nomination, may appoint a person in Form No. SH-13, who shall become entitled to the securities of the company, in the event of death of the nominee during his minority.

Q10. Can a nomination made be changed? What is the effect of nomination upon transfer of shares?

Yes. A nomination once made can be revoked by making a fresh nomination. In case joint shareholders have made a nomination, and one of them expires, the surviving shareholder(s) can make a fresh nomination. Further, upon transfer of shares, the nomination stands automatically rescinded.

Q11. 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 same. In the event of death of any one of the joint holders, the surviving 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 a nominee.

Q12. Can a nomination once made be revoked / varied?

It is possible to revoke / vary a nomination once made by submitting a duly executed form **SH – 14** with the Company/ its Registrar. If nomination is made by joint holders, and one of the joint holders dies, the remaining joint holder(s) can make a fresh nomination by revoking the existing nomination.

Q13. Is nomination form required to be witnessed?

A nomination form must be witnessed.

Transmission / Transposition / Loss of Share Certificates etc.

Q14. What is Transmission of Shares?

Transmission of shares is a process by operation of law where under the Shares are registered in a Company in the name of deceased person are registered in the name of his legal heirs by the Company on proof of death, as the case may be.

Transmission of shares takes place when registered member dies.

Q15. What is the procedure for transmission of Shares?

If all the Registered Share Holder(s) are no more (means deceased), then claimant(s)/legal-heir(s) follow procedures mentioned below for **TRANSMISSION OF SHARES:**

- Duly signed Transmission request form by the Nominee as per enclosed format herewith duly attested by Bank Manager where the Legal-Heir/Claimant having account, identifying and verifying the signatures(s) and Original Cancelled Cheque of the said account.
- All the Original Share Certificates issued by the Company on the name of Deceased Shareholder.
- Copy of Death Certificate of the Deceased Share Holder duly attested by Notary or Executive Magistrate.
- Certified copy of the Succession Certificate;
- Probate of Will;
- Letter of administration/final court decree
- Surety Form.
- An Affidavit on Rs.100/- Non-Judicial Stamp paper to effect of Identification and Claim of Legal Ownership of Securities as per enclosed format herewith duly attested by Notary or Executive Magistrate.
- An Indemnity Bond on Rs.500/- Non-Judicial Stamp paper for Indemnifying the depository and DP for Transmission of Shares as per enclosed format herewith duly attested by Notary or Executive Magistrate.
- No Objection Certificate (NOC) Affidavit on Rs.100/- Non-Judicial Stamp paper, as per enclosed format herewith, from all the other Legal Heir(s), except Claimant, who do not object to such Transmission or a copy of Family Settlement Deed executed by all the Legal Heirs of the Deceased Holder duly attested by Notary or Executive Magistrate.
- Self-attested copy of PAN card of the Nominee.
- Self-attested copy of Proof of address of the Nominee (Driving License, Aadhaar Card, Voter ID or Utility bill not less than 2 months old).

Formats of the Documents required for Transmission of Shares is enclosed below.

Q16. What is Transposition?

Transposition is the process of interchanging the order of names given in the share certificate in respect of shares held under a folio by shareholder(s).

Q17. What is the procedure for transposition of shares?

The procedure for transposition of shares in case of Physical Certificate is as follows:

- You can submit your application in writing to the Company/its Registrar, duly signed by all the shareholders requesting for inter-change of names, enclosing therein all the share certificate(s) held under a particular folio.
- Your application should clearly state the order in which the name(s) should appear in the folio.

It can also be done in case of shares are in Demat Account - by submitting the application with DP.

Q18. What steps must be taken in case of loss/misplacement of share certificates?

(i) The shareholder or joint holders need to immediately inform the Company/ RTA about loss of Share Certificates.

(ii) Simultaneously lodge a complaint with Police on loss of share certificates;

(iii) Submit with the Company/RTA the following documents for issue of duplicate shares:

- Acknowledged copy of Police complaint/ FIR;
- Affidavit confirming the loss of share certificates;

- Indemnity bond;
- Self-attested copies of PAN Card and Address proof of the shareholder;
- If the documents are in order, the Company/ RTA will issue duplicate share certificate.

Please note that if the lost share certificates and the valid transfer deeds are lodged with the Company by a person other than you, for transfer, the case will have to be dealt with on the basis of relevant facts and the Company shall advise further course of action at that point in time.

Q17. What steps must be taken if the share certificates that were lost/misplaced have been found?

- (i) If the formalities for issue of duplicate share certificates have been completed and the duplicate share certificate have been issued, then immediately surrender the original share certificates with the Company/RTA;
- (ii) If the formalities for issue of duplicate share certificates have not been completed and you have found the share certificates, then immediately write an email to the Company on investor@sonacomstar.com, so that the Company can take immediate suitable action.

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]

To

Name of the company:

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)

Nature of securities	Folio No.	No. of securities	Certificate No.	Distinctive No.

(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:

(h) Relationship with the security holder:

(3) IN CASE NOMINEE IS A MINOR--

(a) Date of birth:

(b) Date of attaining majority

(c) Name of guardian:

(d) Address of guardian:

Name:

Address:

Name of the Security

Holder (s)

Signature

Witness with
name and address

TRANSMISSION REQUEST FORM

1	Name of the deceased shareholder (as endorsed on the certificate):	1			
		2			
		3			
2	Folio No.				
3	Shares				
4	Particulars of Share certificate(s): (if space is insufficient, please attach a separate sheet)	Certificate Nos.	Distinctive Nos.		No. of Shares
			From	To	

5. Particulars of applicant(s) in whose name(s), transfer is to be effected:

Sr. No.	Name(s)	Father's/Husband's Name	Occupation
1			
2			
3			

6. Address of Applicant

Address-1:							
Address-2:							
Address-3:							
Address-4:							
CITY		PINCODE					

7. ECS Code (the 9 Digit Number appearing in your Cheque Leaf bottom line)

(For verification purpose please provide us a copy of your Cheque Leaf)

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8. Bank Mandate Details

Bank Name	
Branch Name & Address	
Account Type	
Account Number	

9. Specimen signature(s) of the applicant(s)

Sole/First Share Holder (Name & Signature): _____ Joint-1 (2nd Holder) Name & Signature: _____ Joint-2 (3rd Holder) Name & Signature: _____

10. Attested by (for Bank Officials use):

I hereby attest the above signature(s):

Bank Manager Signature _____

Bank Manager Name _____

Bank Manager Employee Code No. _____ (Official Seal/ Rubber Stamp of the Bank)

Bank Address with Contact & Email details: _____

Note: The Attestation Specimen Signature(s) should be verified in the presence of Bank Manger.



**[TO BE EXECUTED ON RS.100/- NON JUDICIAL STAMP
PAPER](TO BE ATTESTED BY NOTARY)**

AFFIDAVIT

I/We _____ son of _____ aged _____ years and
_____ s/o _____ aged _____ years, residing at
_____ solemnly affirm and declare as follows:

1. That _____ no. of share/s having distinctive no. From _____ To _____ of the Face Value of Rs. **/- each are standing registered in the name of Late _____, in the register of member of the Company .

2. That Late Mr./Ms. _____ Died on _____.

3. That Late Mr./Ms. _____ left behind the following heirs.

Sl. No.	Name of the Legal Heir(s)/Claimant(s)	Relation with Deceased	Age
1.			
2.			
3.			

4. That the above mentioned shares were the separate and self acquired property of the deceased.

5. That under the Hindu Succession Act 1956, the persons mentioned in paragraph 3 above are entitled to inherit the aforesaid Shares severally/jointly.

6. That the deceased Mr./Ms. _____ left no other heir than those mentioned in paragraph 3 of this affidavit and that the persons mentioned in the said paragraph 3 above are his/her only heirs.

7. That we therefore request the Company to transmit the aforesaid equity shares standing register in the name of Late _____, _____ and _____ in favour of heirs/claimants mentioned at paragraph 3 above.

Sole/First Share Holder (Name & Signature):

Joint-1 (2nd Holder) Name & Signature:

Joint-2 (3rd Holder) Name & Signature:

Verification

I/We, solemnly affirm that the statements contained in the above paragraphs are true to the best of my/our knowledge, information and belief and that nothing material has been concealed from being disclosed.

Solemnly declared and affirmed on identification at _____ this _____ Day of _____ 202__.

Sole/First Share Holder (Name & Signature):

Joint-1 (2nd Holder) Name & Signature:

Joint-2 (3rd Holder) Name & Signature:

Note: This Affidavit should be verified in the presence of Notary or Executive Magistrate.

INDEMNITY BOND FOR TRANSMISSION OF SHARE CERTIFICATE(S)
(Rs. 500/- Non Judicial Stamp paper)

I/We, _____ Resident of _____ declare as under that _____ no. of equity shares having _____ distinctive numbers from _____ to _____ of the face value of Rs.**/- stand registered in the name of Late _____ in the register of member of the Company, who died on _____ leaving behind him the following.

Sl. No.	Name of the Legal Heir(s)/Claimant(s)	Relation with Deceased	Age
1.			
2.			
3.			

The above mentioned shares are separate and self – acquired property of the deceased. Under the Hindu Succession Act, 1956, the persons mentioned above his/her only heirs are entitled to inherit the aforesaid shares.

I/We therefore, request the company to transmit these aforesaid shares stand registered in the name of the Late _____, _____, and _____ in my/our name(s) and also to pay me/us dividend payable by the company without production of succession certificate or letters of Administration or Probate of Will.

In consideration of the above having agreed to comply with my/our request on my/our executing a bond in favour of the company, I/We, the applicant, hereunder for myself/ourselves, my/us heirs, executors, administrators and assigns do hereby, jointly or severally, covenant with the company, its successors and assigns that I/We and each of my/our heirs, executors, administrators and assigns will, on the company transferring the said shares into my/our name and paying to me/us the dividends already due, at all times save, defend and keep indemnified the company its successors and assigns, its estate and effects and the Directors, Manager, Company Secretary, employees and Shareholders of the company, their heirs, executors and assigns from and against all actions, causes of actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares of the dividends of any part thereof or otherwise in connection with the same and from and against all claims, damages, costs, charges, expenses and losses arising in any manner howsoever.

In witness whereof I/We signed this _____ day of _____ 2021 at Place _____.

Sole/First Share Holder (Name & Signature): Joint-1 (2nd Holder) Name & Signature: Joint-2 (3rd Holder) Name & Signature:

I, _____ (Name of the surety) the undersigned, certify that the above facts are true and bind ourselves as surety to make good all claims, charges, costs, damages, demands, expenses and losses which the said company may sustain, incur or become liable for in consequence of claims, charges, costs, damages, demands, expenses and losses from our persons or our properties, as the case may be.

SURITY & WITNESSES:

Surety:

Name in Block Letters:

Full Address:

Signature:

Witness 1:

Name in Block Letters:

Full Address:

Signature:

Witness 2:

Name in Block Letters:

Full Address:

Signature:

Note: This Indemnity should be verified in the presence of Notary or Executive Magistrate.

PRIVATE & CONFIDENTIAL

FORM TO BE SIGNED BY THE SURETY PROPOSED FOR THE INDEMNITY BOND

1	Name in full:	
2	Permanent Residential address:	
3	Age:	
4	If Employed:	
	(a) Name & address of the Organisation in which the Surety is employed.	
	(b) Total salary and other emoluments received during the year.	
5	Details of immovable property owned:	
	(a) Situation:	
	(b) Value:	
	(c) Nature of immovable property (please specify whether the immovable property consist of houses/flats or mere lands):	
	(d) Annual Rent:	
6	If carrying on business:	
	(a) Full name and address of the Firm, where the business is carried on:	
	(b) Type of ownership:	
	(c) Nature of business:	
	(d) Annual turnover:	
	(e) Annual Profits:	

Date:

Signature of Surety

Witnessed by

Full Name and Address of Bank Manager/Employer

PIN _____

(Bank Manager's/Employer's Seal & Signature)

Note:

- ✓ *The signature in this Surety form and identification and address proofs of surety should be verified in the presence of Notary or Bank Manger.*

AFFIDAVIT OF RENUNCIATION / NO OBJECTION LETTER
(Rs.100/- Non Judicial Stamp paper)

I _____ son/daughter of _____ aged about _____ years, residing at _____ do hereby solemnly affirm and state as follows.

1. That Late _____ (hereinafter referred to as deceased) was sole holder of shares of Sona BLW Precision Forgings Limited (hereinafter referred to as the Company) of the face value of Rs. **/- each as detailed below:

Sl. No.	Folio No.	Share Certificate Nos.	Number of Shares	Distinctive Nos.	
				From	To
1.					
2.					
3.					

2. That the deceased died on _____ leaving behind the following persons entitled to the aforesaid shares.

Sl. No.	Name of the Legal Heir(s)/Claimant(s)	Relation with Deceased	Age
1.			
2.			
3.			

3. That I, _____, am desirous of renouncing and do hereby renounce all my rights, title and interest on the aforesaid shares, including any corporate benefits accrued on said shares, of the deceased in favour of _____, _____ and _____ with intent that he/she/they may become absolute owner(s) of the aforesaid shares.

4. That I have no objection whatsoever to the Company transmitting the aforesaid shares in favour of the deceased's remaining successor(s) named in the preceding paragraph 3 above and in consideration of the Company agreeing to transmit the aforesaid shares including benefits thereon on the manner aforesaid, I indemnify the Company and its successors and assigns from and against all actions suits/proceedings/losses/damages/costs and charges which the Company may incur, sustain and suffer in consequence of or by reason of the Company transmitting the aforesaid shares in favour of the aforesaid remaining successor(s).

5. That I verify and confirm that what has been stated in the preceding paragraphs are true to my knowledge and belief.

IN WITNESS WHEREOF I have set my hand here unto the _____ day of _____ 2021.

Name:

Address:

Date:

Note:

- ✓ *This Affidavit of Renunciation / No Objection Letter should be verified in the presence of Notary or Executive Magistrate.*
- ✓ *To fill separately by all the other Legal Heir(s), except Claimant, who do not object to such Transmission.*