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## ADDRESSES FOR CORRESPONDENCE

**Registered and Company Secretary  
Corporate Office**

**Kirloskar Brothers Limited**

“Yamuna”, Survey No. 98 (3-7), Baner, Pune, Maharashtra – 411 045

Tel No. : (020) 2721 444 Fax : (020) 27211136

Email : [secretarial@kbl.co.in](mailto:secretarial@kbl.co.in)

Website : [www.kirloskarpumps.com](http://www.kirloskarpumps.com)

**Investors’  
Grievance Redressal  
– Email ID**

The Company has designated an exclusive email ID: [grievance.redressal@kbl.co.in](mailto:grievance.redressal@kbl.co.in) for investors to register their grievances.

**Registrar & Transfer Agent**

**M/s Bigshare Services Private Limited,**

(Unit: Kirloskar Brothers Limited),

1st Floor, Bharat Tin Works Building, Opp. Vasant Oasis

Makwana Road, Marol, Andheri (East),

Mumbai 400059 Tel. No. 022 – 62638200, 022 62638212 Fax No.

+91 22 62638299 Email : [KBL@bigshareonline.com](mailto:KBL@bigshareonline.com)

Website: [www.bigshareonline.com](http://www.bigshareonline.com)

## ADDRESSES OF STOCK EXCHANGES / NSDL & CDSL

**BSE Limited**

BSE Scrip Code – **500241**

Corporate Relationship Department

2<sup>nd</sup> Floor, New Trading Ring,

Phiroze Jeejeebhoy Towers,

Dalal Street, Mumbai- 400001

**National Stock Exchange of India Ltd.**

NSE Symbol – **KIRLOSBROS – EQ**

5th Floor, Exchange Plaza, Bandra (East)

Mumbai - 400 051

**National Securities Depository Limited**

Trade World, A Wing, 4<sup>th</sup> Floor,

Kamala Mills Compound,

Lower Parel,

Mumbai - 400 013

**Central Depository Services (India) Ltd.,**

Marathon Futurex, A-Wing, 25th floor,

NM Joshi Marg, Lower Parel,

Mumbai- 400013

International Security Identification Number (ISIN) – **INE732A01036**

## SHARE DETAILS

### Capital Structure

**I. Authorized share capital :**

250,000,000 Equity shares of Rs. 2/- each	Rs. 500,000,000
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**II. Issued, Subscribed and Paid up share capital :**

79,408,926 Equity shares of Rs. 2/- each	Rs. 158,817,852
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## Green Initiative - Registration of E-mail address

As part of “Green Initiative in the Corporate Governance” and in terms of section 102 of the Companies Act, 2013 read with Companies (Management and Administration) Rules, 2014, it is permitted to serve the documents to the eligible shareholders through the electronic mode

In order to support this “Green Initiative”, Initiative”, we have already started serving certain documents i.e. the Notice of the Annual General Meeting, Annual Report, Half yearly communication etc. to the shareholders through electronic mode i.e. at the e-mail address provided by shareholders and made available with us by the depositories from time to time.

This initiative also helps in prompt receipt of communication and it would help to avoid the losses/delays in postal transit. We request shareholders to register their e-mail address and / or changes therein from time to time in the format appearing below:

- In case of shares in demat mode - with the concerned depository,
- In case of shares are in physical mode - with the Company’s Registrar and Transfer Agent – Bigshare Services Private Limited at the following address :

M/s Bigshare Services Private Limited,  
(Unit: Kirloskar Brothers Limited),  
1st Floor, Bharat Tin Works Building, Opp. Vasant Oasis  
Makwana Road, Marol, Andheri (East), Mumbai 400059  
E-mail : KBL@bigshareonline.com

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### **E-COMMUNICATION REGISTRATION FORM (For shares in physical mode)**

**Kirloskar Brothers Limited**  
**Regd. Office:** “Yamuna”, Survey  
No. 98 (3-7), Baner, Pune,  
Maharashtra – 411 045

Folio No. : .....

Name of the 1<sup>st</sup> Shareholder : .....

Name of Joint Shareholder/s : .....

E-mail ID (to be registered) : .....

PAN : .....

Phone No. : .....

Please register my above e-mail ID in your records for receiving communication through E-mail from Company of which I/we am/are shareholder(s).

Place : ..... Date : .....

Signature : .....

(First shareholder)

## CHANGE OF MAILING ADDRESS

### PROCEDURE FOR EFFECTING THE CHANGE OF MAILING ADDRESS

- a. The shareholders who hold shares in **electronic / Demat form**, are requested to intimate their change of address to the depository participant with whom they maintain demat account and not to the company or the Registrar and share transfer agent.
- b. Shareholders who hold share certificates in **physical form** are requested to write to the Registrar and Transfer Agent i.e. Bigshare Services Private Limited, informing about the new address with the following information:
  - The old address
  - The new address with pin code
  - Telephone No. or other contact No. or Email
- c. Proof of Identity and Proof of current Address is to be attached as per the details given in the format of Application for change in address given below
- d. Please ensure that your signature appearing in such request is as per the specimen signature registered with us. In case of joint holding, all the joint holders should sign such request. In case there is a mismatch in signature, signature verification form duly attested by the bank will have to be submitted. A shareholder can apply in the following format:

**FORM OF REQUEST FOR CHANGE OF ADDRESS**  
**(Physical Shares)**

To,

**M/s Bigshare Services Private Limited,**  
(Unit: Kirloskar Brothers Limited),  
1st Floor, Bharat Tin Works Building, Opp.  
Vasant Oasis  
Makwana Road, Marol, Andheri (East),  
Mumbai 400059

**Name of First/ Sole shareholder**  
**Folio No. \_\_\_\_\_**

I request you to effect change of my address in your records as follows:

old Address	New address to be registered

I am enclosing the following documents towards

**Proof of identification:** (please tick the appropriate boxes and attach the relevant documents to this Form)

Passport  Election ID Card  PAN Card   
(with signature appearing thereon) (with signature appearing thereon)

Driving Licence  Electricity/ Telephone bill   
(with signature appearing thereon) (not more than 3 months old)

**Proof of current address:** (please tick the appropriate boxes and attach the relevant documents to this Form)

Passport  Ration Card  Bank Account Statement   
(with signature & Address appearing thereon) (with signature appearing thereon)

Electricity/ Telephone bill   
(not more than 3 months old)

**(Note : At least one Identification and one address proof out of the above documents must be submitted. The documents submitted must be duly signed and notarized.)**

Yours faithfully,

Tel / Mobile No. : _____	Email id: _____
Date: _____	Signature: _____

**Note:**

- Change of Address will be effected only on receipt of this Form, duly completed, along with all requisite documents as mentioned above. Incomplete Form / Form with insufficient documents will not be acted upon and the same will be returned.
- The signature of the Shareholder as appearing on the Form **must** match with his / her specimen signature on record with the Company. In case there is a mismatch, signature verification form duly attested by the bank will have to be submitted.
- The shareholders who hold shares in electronic form, are requested to intimate their change of address to the depository participant with whom they maintain demat account and not to the company or the share transfer agent.

## **BANK/ECS MANDATE**

### **INSTRUCTIONS FOR ELECTRONIC CLEARING SERVICES MANDATE FORM**

1. Please fill in the Mandate Form and send it to:

- i) The Depository Participant who is maintaining your Demat account in case you hold shares in electronic form with a copy to the Company at the address given below, in case there are any changes in your bank particulars.
- ii) The Address of our Registrar & Transfer Agent: Bigshare Services Private Limited, in case you hold shares in physical form.

2. Please attach a blank cancelled cheque and the form must be attested by your bank manager.

3. The information provided by you will be treated confidential and would be utilized only for the purpose of effecting the payments meant for you.

The members located at places, where NECS facility is not available will continue to receive the Dividend Warrants, with bank details, if provided, despite ECS Mandate.

## ELECTRONIC CLEARING SERVICE (ECS) MANDATE FORM

I hereby consent to have the amount of dividend/or other payment in relation to my equity shares credited through the National Electronic Clearing service (Credit Clearing) - NECS. The particulars (To be filled in Block Letters) are as follows :

1. Folio No./ DP ID No. and Client ID No. : \_\_\_\_\_
2. Name of the first/sole shareholder : \_\_\_\_\_
3. Particulars of Bank account of first / sole shareholder :

a) Name of the Bank:

\_\_\_\_\_

b) Branch Address, Telephone No. of the Branch:

\_\_\_\_\_

c) 9 digit code number of the Bank and Branch appearing on the MICR cheque Issued by the Bank along with cancelled cheque: \_\_\_\_\_

d) Account Number (As appearing on the cheque book/passbook):

\_\_\_\_\_

e) Account type (Saving / Current / Cash Credit Account):

\_\_\_\_\_

f) Ledger No. / Ledger folio no. (If appearing on the cheque book/pass book) :

\_\_\_\_\_

g) IFSC code

\_\_\_\_\_

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for any reason/s of incomplete or incorrect information, I will not hold Kirloskar Brothers Limited responsible. I agree to discharge the responsibility expected of me as a participant under the scheme.

**Place :** \_\_\_\_\_

**Date :** \_\_\_\_\_

**Signature of the First / Sole  
Shareholder**

I hereby confirm the particulars as stated above

**Signature and seal of Bank's official along with  
Branch Address, Telephone No. of the Branch**



## **NOMINATION OF SHARES**

### **PROCEDURE FOR NOMINATION OF SHARES:**

A shareholder may at any time nominate a person to whom his/her shares in the Company shall vest in the event of his/her death. Where the shares are held by more than one person jointly, the joint holders may together nominate a person to whom all the rights in the shares shall vest in the event of death of all the joint holders. A shareholder can use following **Form No. SH-13** to avail this facility.

In case the shareholder wishes to revise or cancel a Nomination already registered, the **Form No. SH-14** appended below can be used.

### **INSTRUCTIONS FOR NOMINATION FORM:**

1. The Nomination can be made by individual only, holding shares on; their own behalf, singly or jointly. Non-individuals including trust, society, partnership firm, Karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the shares are held jointly, all joint holders will have to sign the nomination form.
2. A minor can be nominated by a holder of shares and in that event the name and address of the guardian shall be given by the holder.
3. The nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a power of attorney holder.
4. Nomination stands rescinded upon transfer of share(s).
5. Transfer of shares in favour of a nominee shall be a valid discharge by the Company against the legal heir.
6. Shareholders are requested to send the duly completed prescribed form to Registrar and Transfer Agents- Bigshare Services Private Limited.

## 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 : **Kirloskar Brothers Limited**

Address of the Company : "Yamuna", Survey No. 98 (3-7),  
Baner, Pune, Maharashtra – 411 045

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)

<b>Nature of securities</b>	<b>Folio No.</b>	<b>No. of securities</b>	<b>Certificate No.</b>	<b>Distinctive No.</b>
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(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

**Form No. SH-14**  
**Cancellation or Variation of Nomination**

**[Pursuant to sub-section (3) of Section 72 of the Companies Act, 2013  
and rule 19(9) of the Companies (Share Capital and Debentures) Rules 2014]**

Name of the Company: **KIRLOSKAR BROTHERS LIMITED**

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

Or

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

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

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

(2) (a) PARTICULARS OF NEW NOMINEE–

- i. Name
- ii. Date of Birth:
- iii. Father's/Mother's/Spouse's name:
- iv. Nationality:
- v. Address:
- vi. E-mail Id:
- vii. Relationship with the security holder:

(b) IN CASE NEW NOMINEE IS A MINOR –

- i. Date of birth:
- ii. Date of attaining majority:
- iii. Name of guardian:
- iv. Address of guardian

Signature

Name of the Security holder(s)

Witness with name and address

## ISSUE OF DUPLICATE SHARE CERTIFICATE

### PROCEDURE FOR ISSUE OF DUPLICATE SHARE CERTIFICATE

- Please check with the Company if your shares have been transferred to IEPF.
- In case of torn, mutilated, defaced, destroyed or lost share certificate(s), the shareholders are eligible to receive duplicate share certificate(s) in lieu of the same.
- The shareholder(s) have to surrender their original torn, defaced or mutilated share certificates to the company, along with a request for issue of a duplicate share certificate(s).
- Immediately on receipt of the complaint, supported by FIR, from the concerned shareholder(s) in respect of lost/misplaced share certificates, company registrar would be marking a “stop transfer” in the system to enable not to proceed with any further transaction on the said share certificate(s).
- Upon verification of the records, Company would be sending the following specimen to the shareholder for execution:
  - a. Attested copy of PAN card and address proof i.e. Aadhar Card, Ration Card, Election Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. to be provided by applicant/s (shareholder/s). Utility bill should not be older than 3 months.
  - b. An indemnity to be executed on a Rs.500/- stamp paper in favour of the Company and duly attested/notarized.
  - c. An affidavit to be executed on a Rs.100/- stamp paper and duly attested by the S.E.M or Oaths Commissioner or Notary Public.
  - d. Advertisement format

Upon receipt of all the required documents, duly filled in and notarized, along with an advertisement in the newspaper and subject to verification by the company necessary steps would be taken to issue duplicate share certificate(s).

- Other Documents
  - a. In case any of the joint holder is deceased, notarized copy of his/her death certificate will have to be furnished. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public to be furnished.
  - b. In case of name change due to marriage or any other reason, notarized copy of marriage certificate/ government gazette will have to be furnished.
  - c. If the signature of the shareholder/s is not registered with the Company, signature verification form duly attested by the bank will have to be furnished.

The Company and Registrar and Transfer Agents would immediately send information to the stock exchanges in which shares of the company are listed on receipt of information about loss of share certificate(s) and the Company would also intimate to the stock exchanges on issue of duplicate share certificate(s) in which shares of the company are listed.

The draft formats of indemnity bond, surety, affidavit and advertisement are given below.

**FORMAT OF INDEMNITY BOND FOR ISSUE OF DUPLICATE SHARE CERTIFICATE(S)**

*(Please type this indemnity bond after reading carefully, the notes mentioned below the format)*

To  
Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045

**WHEREAS**

I/We, (full name of the shareholder(s), residing at (address of the shareholder/s) hold (Number of shares) Equity shares of Kirloskar Brothers Limited. The shares of the following description are standing in my/our name in the Register of Members of the Kirloskar Brothers Limited.

<b>Folio No.</b>	<b>Certificate Nos</b>	<b>Distinctive Nos</b>	<b>Shares covered in each certificate</b>	<b>Face Value</b>
				2/-

**WHEREAS**

The share certificate(s) No(s). \_\_\_\_\_ in respect of the above shares has/have been lost or misplaced and is/are not traceable. I/We have searched the said certificate(s) but despite my best efforts, I/We have been unable to find it/them. I/We declare that the said share certificate(s) was/were not accompanied by any blank transfer deed signed by me/us and that I/We have not, nor has any person by my/our order disposed off, parted with or pledged / deposited / mortgaged by way of security the said share certificate(s) or assigned my/our interest therein or any part have neither been sold or transferred to anybody by me/us and I/We am/are entitled to the custody of the certificate(s) of title relating to such shares as I/We am/are the absolute owners of the same as registered shareholder(s). I/We undertake to surrender the said share certificate(s) to the company if and when the same is/are found at a later date.

**NOW THEREFORE:**

I/We, (full name of the shareholder(s) aged \_\_ years, residing at (address of the shareholder/s) approach the Company to issue duplicate share certificate(s) in lieu of the original shares covered under Folio No. \_\_\_\_\_ and bearing Certificate No(s). \_\_\_\_\_ held by me/us.

In consideration of the Company having agreed to issue duplicate share certificates for the aforesaid shares in my/our name, I/we am/are executing a bond in favour of the Company. Upon the Company, having agreed to issue duplicate share certificates for the aforesaid shares, I/We the undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant to the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands

whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

**IN WITNESS WHEREOF** I/We, the applicant(s) herein has/have signed and set my/our hands on this \_\_\_\_ day of \_\_\_\_\_ 20 .

Name and address of the Shareholder(s) Signature of the Shareholder(s)

- 1.
- 2.
- 3.

Name and address of Witness Signature of the Witness

- 1.
- 2.

Place ;

Date :

## SURETY

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We, (name of the surety No.1) aged \_\_ years, residing at (residential address of Surety No.1) and having business address at (official address of Surety No.1), having PAN No. \_\_\_\_\_ and (name of the surety No.2) aged \_\_ years, residing at (residential address of Surety No.2) and having business address at (official address of Surety No.2), having PAN No., \_\_\_\_\_ the undersigned, certify that the facts mentioned by Mr./ Mrs. \_\_\_\_\_ under his/ her / their indemnity in relation to the application for the issue of duplicate share certificate of the Company are true to the best of our knowledge. We bind ourselves as sureties to make good all claims, charges, costs, damages, demands, expenses and losses which the Company, its successors and assigns its estate and effects and its directors, manager, secretary and shareholders may sustain, incur or be liable for in consequence of complying with the request contained in the said application and the Company, its successors, assigns, directors, manager, secretary and shareholders will be entitled to realise all claims, charges, costs, damages, demands, expenses and losses from our persons and our properties, as the case may be.

Place :

Date:

Name and Address of the Surety Signature of the Surety

- 1.
- 2.

Name and Address of the Witness Signature of the Witness

- 1.
- 2.

**NOTES:**

1. Indemnity Bond should be on Non-judicial stamp paper of Rs.500/- and duly attested/notarised.
2. Please fill up all the details i.e name, address, certificate no., folio no., no. of shares, distinctive nos. and face value.. Please do not just type this format as it is.
3. Indemnity Bond should be witnessed by two persons.
4. Two sureties are required to be furnished.
5. Witness and Surety have to be different individuals.
6. Each Surety and Witness has to attach attested copy of his PAN Card and attested copy of his address proof viz. Any one of - Aadhar Card, Ration Card, Election Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. Utility bill should not be older than 3 months.
7. Signature of Applicant/s, surety and witness should be the same as appearing on PAN card. If the signature of applicant/s is registered with the Company and there is a difference as per the documents submitted, signature verification form will have to be provided attested by the bank.
8. Date of execution should be mentioned on the Application, Affidavit, Indemnity Bond, NOCs etc.



**FORMAT OF AFFIDAVIT FOR VERIFYING THE LOSS OF SHARE CERTIFICATES FOR ISSUE OF DUPLICATE SHARE CERTIFICATE(S)**

*(Please type this Affidavit after reading carefully the notes mentioned below the format)*

I, \_\_\_\_\_ son/daughter/spouse of \_\_\_\_\_ aged \_\_\_\_, residing at \_\_\_\_\_, do hereby solemnly affirm and declare on behalf of all the shareholders as under:

1. That I/We, (Name of the shareholder/s), am / are holding \_\_\_\_\_ equity shares in Kirloskar Brothers Limited the details of which are mentioned below.

<b>Folio No.</b>	<b>Certificate Nos</b>	<b>Distinctive Nos</b>	<b>Shares covered in each certificate</b>	<b>Face Value</b>
------------------	------------------------	------------------------	---	-------------------

2/-

2. That I/we have not sold, transferred, pledged or otherwise disposed off the said shares.

3. That the share certificate No(s). \_\_\_\_\_ of the said shares has/ have been lost or misplaced and is not in my/our possession.

4. I/We have searched for the said certificate(s), but even after careful and diligent search, I /We have been unable to find out or trace the same.

5. Since the said certificate(s) was / were issued, I /We have not sold, transferred, mortgaged, pledged or otherwise encumbered or disposed of the said shares or parted with the possession of the said certificates in any manner and the said shares is / are my/ our absolute property. The best of my/ our knowledge and belief, the said certificates has/ have either been lost or been accidentally destroyed. In case at any time I / We find the said Share Certificate(s) or any of them I /We shall immediately handover the same to the Company.

6. I have already executed indemnity bond for issuing duplicate shares in lieu of the original share certificates for the aforesaid shares held by me/us.

7. I therefore request Kirloskar Brothers Limited to issue duplicate shares certificate in lieu of the original share certificate(s) for the aforesaid shares

I am executing this declaration to be submitted to the concerned authorities of the Company.

I hereby state that whatever is stated herein above are true to the best of my knowledge.

Solemnly affirmed at \_\_\_\_\_ ) On this \_\_\_\_ day of \_\_\_\_\_ 20 )

(Signature of the Applicant/s)

Deponent/s

Identified by me

Before Me

Advocate

S.E.M./Oaths Commissioner/Notary

NOTES:

1. Affidavit should be on Non-judicial stamp paper of Rs.100/- and duly attested by the S.E.M or Oaths Commissioner or Notary Public.
2. Please fill up all the details i.e name, address, certificate no., folio no., no. of shares, distinctive no. and face value . Please do not just type this format as it is.
3. Affidavit must be signed by all the applicant/s (shareholder/s) registered under the folio.
4. Signature of applicant/s (shareholder/s) should be the same as appearing on PAN card. If the signature of applicant/s is registered with the Company and there is a difference as per the documents submitted, signature verification form will have to be provided attested by the bank.
4. Date of execution should be mentioned on Affidavit.

**FORMAT OF ADVERTISEMENT FOR LOSS OF SHARE CERTIFICATE**

**KIRLOSKAR BROTHERS LIMITED**

**Regd. Office : "Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045**

**NOTICE**

Notice is hereby given that the Share Certificate/s Nos : \_\_\_\_\_  
For \_\_\_\_\_ fully paid up Equity Shares of Rs. 2/- each of this company bearing  
Distinctive Nos. \_\_\_\_\_

\_\_\_\_\_ respectively standing in the name/s of \_\_\_\_\_

\_\_\_\_\_ has/have been reported to be lost or mislaid. Any claim relating to this/these share certificate/s should be notified within Fifteen days from the date of publication of this NOTICE to the Registered Office of the Company. Otherwise duplicate share Certificate/s in respect of lost share certificate/s will be issued to the above mentioned Owner/s and no claim will be entertained thereafter.

**FOR KIRLOSKAR BROTHERS LIMITED**

Sd/-

Pune :

**Sandeep Phadnis**

Date:

(Company Secretary )

## **TRANSFER /TRANSMISSION OF SHARES**

### **FAQs – TRANSFER OF SHARES**

As per Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fourth Amendment) Regulations, 2018 and vide Notification dated November 30, 2018, requests for effecting transfer of shares shall not be processed unless the shares are held in the dematerialized form with a depository w.e.f. April 01, 2019.

Hence, if you are holding shares in physical form and wish to sell the shares to a third party through Stock Exchange/ off market, please get the shares dematerialized and credited in your demat account. The shareholders need to contact their depository participant (DP) with whom your demat account is maintained to know the procedure for transferring the shares.

### **FAQs - TRANSMISSION OF SHARES IN PHYSICAL FORM**

#### **1. What is transmission of shares?**

The word “transmission” means transfer by operation of law i.e. devolution of title to shares. This would include devolution by operation of law, death, bankruptcy, marriage.

For shares held in demat form, investors are advised to approach their DP concerned for transmission of shares.

For shares held in physical form, procedure is given below.

#### **2. What is a procedure for transmission for shares held in physical form?**

##### **A. Name Deletion (in case of Joint holding)**

**In case the Shares are held in joint names and any one of the holder(s) demises, the surviving holder(s) would be required to send Company / Registrar & Transfer Agent (RTA) the following documents for name deletion:**

1. An application letter requesting deletion of name of the deceased shareholder;
2. Death Certificate of the deceased shareholder(s) or a Copy duly attested by Gazetted Officer or Notary Public; If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
3. Original Share Certificate(s);
4. Self-attested copy(ies) of PAN Card of surviving shareholder(s).

##### **B. Nomination Cases**

**In case of single shareholding there is a nomination registered previously, the following documents have to be submitted with the Company / RTA:**

1. Application letter requesting transmission of shares in favour of Nominee;
2. Original Share Certificate(s);

3. Death Certificate of the deceased shareholder(s) or a Copy duly attested by Gazetted Officer or Notary Public; If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
4. Self – attested copy of PAN card of the Nominee;
5. Self attested address proof of the Nominee (Any one of Ration Card, Passport, Aadhaar Card);
6. Signature verification form verifying and attesting the signature of the nominee from the Bank;
7. Nomination acknowledgement received from RTA of the Company.

**C. In case the Shares are held in sole name and the shareholder has expired without nomination, the legal heir(s) would be required to send to Company / RTA the following documents:**

1. Application letter requesting transmission of shares in favour of the legal heir(s);
2. Original Share Certificate(s);
3. Death Certificate of the deceased shareholder(s) or a Copy duly attested by Gazetted Officer or Notary Public; If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
4. Self-attested/notarised proof of Identification and address of applicant as per following:
  - a) PAN Card
  - b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
5. Affidavit from those legal heir/s who are claiming the shares (Applicant/s) on Rs 100/- non-judicial stamp paper as per the format appended below;
6. Signature Verification Form verifying and attesting the signature of the applicant from the Bank;
7. Affidavit cum No objection Certificate (NOCs) from all other legal heirs who are not claiming the shares on non-judicial stamp paper of Rs 100/- as per format appended below or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letter of Administration or Probate of Will or Will or Court Decree;
8. Court certified copy of Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree. Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree in terms of Indian Succession Act, 1925, wherever applicable, is compulsorily required to be submitted if the market value of shares is more than 2,00,000/-;
9. An Indemnity bond is required to be furnished in case of absence of succession certificate or Letter of Administration or Probate of Will or Will or Court Decree, along with surety as per format enclosed. Two sureties are required;
10. Self-attested/notarised proof of Identification and address of surety as per following:
  - a) PAN Card

- b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
11. In case of a Will being submitted, an additional Indemnity bond for Will is required to be furnished on non-judicial stamp paper of Rs 500/- as per the format appended below.

**Important Points to be noted:**

- a. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
- b. If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
- c. The Applicants should fill the form in the order in which their names should appear in the certificate.
- d. Affidavit and Affidavit cum NOC should be in the format appended below, duly attested by the S.E.M or Oaths Commissioner or Notary Public.
- e. Indemnity Bond and Surety should be duly attested/notarised by Notary Public.
- f. Proof of identification and Signature verification form has to be provided for each applicant.
- g. A passport size photograph of applicant duly signed by him/her on the reverse.
- h. Copy of attested/notarized PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);.
- i. No Xerox copies of the documents as mentioned above to be accepted.

**APPLICATION FOR TRANSMISSION OF SHARES**

*(Please fill this application carefully after reading the notes mentioned below the application so that rejection of the application can be avoided)*

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045 .

Dear Sir,

I/We, (name of the applicant), residing at (address of each applicant ) am/are applying for transmission of the shares of (name of the deceased shareholder). (The name of the deceased) expired on (date of expiry) at (place of death). The deceased was holding \_\_\_ shares of the following description

<u>Folio No.</u> <u>Face Value</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u> <u>each certificate</u>
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2/-

I/We am/are the (Nominee / Legal heirs / Executor of the Will of the deceased/ Administrators of the Estate of the deceased / Successors to the Estate of the deceased shareholder). The following are particulars of the Applicant(s):

<u>Sr. No.</u> <u>shareholder</u>	<u>Name &amp; Address</u> <u>of the Applicant(s)</u>	<u>Age</u>	<u>Relation with the deceased</u>
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- 1.
- 2.
- 3.

\*The Hon'ble Court has granted me/us Probate of the Will / Letter of Administration / Succession Certificate/ Court Decree/ in terms of Indian Succession Act, 1925, as may be applicable, on the (date of the order).

Or

The deceased shareholder(s) has bequeathed the shares of Kirloskar Brothers Limited in my/our favour by executing a Will.

OR

In the absence of probate of the will / letter of administration / succession certificate/ Court Decree/ will, in terms of Indian Succession Act, 1925, as may be applicable, I/we are furnishing indemnity bond and affidavit thereof for transmission of shares.

\*:- Not applicable in case of Nominee

My/Our specimen signature(s) is/are as below:

[Signature of the Applicant(s)]

I/We hereby submit the following documents to support my/our claim for transmission of the shares held by the deceased:

1. Original Share Certificate(s) for the entire holding.
2. Death certificate of the deceased in original .

or

Duly attested/notarized copy/translated copy of the Death Certificate of the deceased.

3. Court certified copy of Succession Certificate or probate of will or letter of administration or court decree or copy of will in terms of Indian Succession Act, 1925, wherever applicable.
4. Indemnity Bond duly attested/notarised on Non-Judicial Stamp Paper (NJS) of Rs.500/-.
5. Affidavit from those legal heirs who are claiming the shares on NJS of Rs.100/- duly affirmed by S.E.M/ Notary Public/ Oaths Commissioner.
6. Affidavit cum No Objection Certificate from all the other legal heirs who are not claiming the shares on NJS of Rs. 100/- attested by S.E.M./Notary/Oaths Commissioner or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letters of Administration or Probate of Will or Will or Court Decree.
7. Proof of my/our identification and address duly attested/notarised.
8. Verification and Attestation of my/our signature from Bank.
9. My/Our passport size photograph with my/our signature on the reverse.
10. Indemnity Bond for Will duly attested/notarized on Non-Judicial Stamp Paper (NJS) of Rs.500/-.

I/We hereby request you to transmit the shares covered under Folio No. \_\_\_\_\_ standing in the name of the deceased in my/our name and enter my/our name(s) in the Register of Members of the Company.

Date :

Signature of the Applicant(s)

1.

2.

3.

Name and address of the witness

Signature of the witness

1.

1.

2.

2.



## NOTES:

1. The Application should be typed.
2. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
3. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
4. If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
5. The Applicants should fill this form in the order in which their names should appear in the certificate.
6. The Death Certificate of the deceased shareholder, if not annexed in original should be duly attested either by Notary Public or Gazetted Officer. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public to be annexed.
7. Affidavit and Affidavit cum NOC should be in the format appended below, duly affirmed by the S.E.M or Oaths Commissioner or Notary Public.
8. Proof of identification and Signature verification form has to be provided for each applicant.
9. Please furnish a passport size photograph of the applicant(s) duly signed by the applicant(s) on the reverse and attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc.(Utility Bills not older than 3 months);.
10. Please furnish Signature verification form verifying and attesting your signature from Bank. .
11. Please do not furnish mere Xerox copies of the documents requested.
12. Please annex all the documents required along with this application itself to avoid delay in transmission process. The application will be accepted and processed only on receipt of all the documents.

**FORMAT OF INDEMNITY BOND FOR TRANSMISSION OF SHARES WITHOUT PRODUCING PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION/ WILL/ COURT DECREE**

(Please type this indemnity bond after carefully reading the notes mentioned below the format)

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045 .

**WHEREAS**

(Number of shares) Equity shares \_\_\_\_\_ of Kirloskar Brothers Limited having its registered office at "Yamuna", Survey No. 98/(3-7) Baner, Pune - 411045 are standing in the name of Late Shri./Smt. (name of the deceased shareholder) in the Register of Members of Kirloskar Brothers Limited of the following description

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>
<u>Face Value</u>			<u>each certificate</u>

2/-

**WHEREAS:**

Shri./Smt. (name of the deceased shareholder) expired on (date of death) at \_\_\_\_\_ (place of death) leaving behind him/her the following heirs :

<u>Sr. No.</u>	<u>Name &amp; Address</u>	<u>Age</u>	<u>Relation with the deceased</u>
	<u>Of the legal heir(s)</u>		

1.

2.

3.

**AND WHEREAS :**

The abovementioned shares were the separate and self acquired property of the deceased. According to the law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death, the person(s) mentioned hereinabove is/are the only heir(s) of the deceased. He/She/They is/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.

**NOW THEREFORE :**

I/We, (name of the applicant(s) aged \_\_ years, residing at (address of the applicant(s)) approach the Company to transmit the shares covered under Folio No. \_\_\_\_\_ and bearing Certificate No(s). \_\_\_\_\_ held by the deceased in my/our behalf and enter my/our name(s) in the Register of Members of the Company without production of Probate of Will or Letter of Administration or Succession Certificate or Will or Court Decree in terms of Indian

Succession Act, 1925, as may be applicable, from the Court of competent jurisdiction. In consideration of the Company having agreed to transmit and register the aforesaid shares in my/our name on my/our executing a bond in favour of the Company.

Upon transmission of shares in my/our favour, I/we.....also request Company to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....based on this indemnity bond and other related documents.

Upon the Company transmitting and registering the shares held by the deceased, and for making of payment of aforesaid unclaimed dividend, if any, for last 7 years, I/We .....the undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant with the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

IN WITNESS WHEREOF I/We, the applicant(s) herein has/have signed and set my/our hands on this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

Name and address of the Applicant(s)	Signature of the Applicant(s)
1.	1.
2.	2.
3.	3.

Name and address of Witness	Signature of the Witness
1.	1.
2.	2.

Place ;  
Date :

## SURETY

We, (name of the surety No.1) aged \_\_\_ years, residing at (residential address of Surety No.1) and having business address at (official address of Surety No.1), having PAN No. \_\_\_\_\_

and

(name of the surety No.2) aged \_\_\_ years, residing at (residential address of Surety No.2) and having business address at (official address of Surety No.2), having PAN No. \_\_\_\_\_, the undersigned, certify that the information mentioned by Mr./ Mrs. \_\_\_\_\_

under his/ her / their indemnity in relation to the application for the transmission of shares of the Company are true to the best of our knowledge. We bind ourselves sureties to make good all claims, charges, costs, damages, demands, expenses and losses which the Company, its successors and assigns its estate and effects and its directors, manager, secretary and shareholders may sustain, incur or be liable for in consequence of complying with the request contained in the said application and the Company, its successors, assigns, directors, manager, secretary and shareholders will be entitled to realise all claims, charges, costs, damages, demands, expenses and losses from our persons and our properties, as the case may be.

Place :

Date:

Name and Address of the Witness	Signature of the Witness
1.	1.
2.	2.

Name and Address of the Surety	Signature of the Surety
1.	1.
2.	2.

### NOTES:

1. *Indemnity Bond duly attested/notarised should be on Non-judicial stamp paper of Rs.500/-.*
2. *Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.*
3. *It should be executed by the person who is applying for transmission.*
4. *There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons(legal heirs).*
5. *Indemnity Bond should be witnessed by two persons.*
6. *Two sureties are required to be furnished, who are not family members of the Applicant. Witness and Surety have to be different individuals.*
7. *Each Surety and Witness has to attach attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc.(Utility Bills not older than 3 months).*
8. *Date of Execution should be mentioned on the Indemnity Bond.*

**FORMAT OF AFFIDAVIT FOR TRANSMISSION OF SHARES WITH/WITHOUT PRODUCING PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE**

*(Please type this Affidavit after carefully reading the notes mentioned below the format)*

**AFFIDAVIT**

I/We, \_\_\_\_\_ son/daughter/spouse/legal heir(s) of \_\_\_\_\_ aged \_\_, residing at \_\_\_\_\_, do hereby solemnly affirm and declare as under:

1. That Shri/Smt. (Name of the deceased shareholder), the deceased, was holding \_\_\_\_\_ equity shares in Kirloskar Brothers Limited the details of which are mentioned below.

<u>Folio No.</u> <u>Value</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u> <u>Each certificate</u>	<u>Face</u> <u>Value</u>
				2/-

2. Shri./Smt. (name of the deceased shareholder) expired on (date of death) at (place of death) leaving behind him/her **all the following legal heirs** :

<u>Sr. No.</u>	<u>Name of all legal heir</u>	<u>Age</u>	<u>Relation with the deceased shareholder</u>
1.			
2.			
3.			

3. The abovementioned shares were the separate and self acquired property of the deceased. The person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to inherit solely/jointly the aforesaid shares held by the deceased.
4. That Late Shri/Smt. (name of the deceased shareholder) has no other heir/s than those mentioned in paragraph 2 above and the person(s) mentioned therein is/are only his/her legal heir(s).
5. I/ we have already executed indemnity bond/ submitted probate of will / succession certificate / letter of administration / will / court decree for transmitting the aforesaid shares held by the deceased in my /our name
6. I/we therefore request the Kirloskar Brothers Limited to transmit the shares in my/our name in the books of the Company with/ without production of succession certificate/probate of the will/ letter of administration/ will/ court decree and to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....

I/we am/are executing this declaration to be submitted to the concerned authorities of the Company.

**VERIFICATION**

I /we hereby state that whatever is stated herein above is true to the best of my/our knowledge.

Solemnly affirmed at \_\_\_\_\_ On this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

(Signature of the Applicant/s)

Deponent/s

Identified by me

Before Me

Advocate

S.E.M./Oaths Commissioner/Notary

NOTES:

- 1. THIS AFFIDAVIT IS TO BE EXECUTED BY ONLY THOSE LEGAL HEIR(S) WHO ARE CLAIMING THE SHARES.**
2. Affidavit should be on Non-judicial stamp paper of Rs.100/- duly attested by S.E.M/ Notary Public/ Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please do not just type/print this format as it is.
4. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
5. Date of execution should be mentioned on Affidavit.

**FORMAT OF AFFIDAVIT CUM NO OBJECTION CERTIFICATE FROM OTHER - LEGAL HEIR(S) FOR TRANSMISSION OF SHARES IN THE NAME OF THE APPLICANT/S WHERE THERE IS NO PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE.**

(This Declaration is to be executed on Non- Judicial Stamp Paper of Rs.100/- and should be duly attested either by S.E.M. or Oaths Commissioner or Notary.

**AFFIDAVIT CUM NO OBJECTION CERTIFICATE**

I/we, below named is/are son/daughter/spouse/legal heir(s) of \_\_\_\_\_ (name of deceased shareholder).

<b>Sr.No.</b>	<b>Name of Legal Heir(s)</b>	<b>Age</b>	<b>Residential address</b>	<b>Relationship with deceased shareholder</b>
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do hereby solemnly affirm and declare as under:

1. That \_\_\_\_\_, the deceased, was holding \_\_\_\_\_ shares in Kirloskar Brothers Limited covered under Folio No. \_\_\_\_\_ and Share Certificate No(s). \_\_\_\_\_, bearing Distinctive Nos. \_\_\_\_\_ to \_\_\_\_\_ of the face value of Rs. 2/- each.
2. Shri./Smt. (name of the deceased shareholder) expired on (date of death) at (place of death) leaving behind him/her **all the following legal heirs:**

<u>Sr. No.</u>	<u>Name of all the legal heir(s)</u>	<u>Age</u>	<u>Relation with the deceased shareholder</u>
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- i.
- ii.
- iii.

3. The person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to inherit solely/jointly the aforesaid shares held by the deceased.
4. I/we am/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.
5. I/we do not desire to make any claim of title of the said securities held by the deceased. I/we hereby agree to renounce all my/our rights existing as well as they may accrue to me/us in future in respect of the aforesaid securities.

6. I/we declare that I/we have no objection whatsoever in transmitting the said securities in the name of the applicant(s), \_\_\_\_\_ and thereafter making payment in his/her favour, unclaimed dividend, if any, covered under folio.....for last 7 years based on the related documents submitted for transmission of shares.

I /we am/are executing this declaration to be submitted to the concerned authorities of the Company.

### VERIFICATION

I /we hereby state that whatever is stated herein above are true to the best of my/our knowledge.

Solemnly affirmed at \_\_\_\_\_ On this \_\_\_\_ day of \_\_\_\_\_ 20\_\_

(Name and Signature of the Legal heir/s)

- 1.
- 2.
- 3.

Deponent/s

Identified by me  
Advocate

Before Me  
**S.E.M./Oaths Commissioner/Notary**

### NOTES:

1. **This Affidavit cum NOC is to be executed by all the Legal heir(s) who are not claiming the shares.**
2. Affidavit should be on Non-judicial stamp paper of Rs.100/- duly attested by S.E.M/ Notary Public/ Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
4. Date of execution should be mentioned on Affidavit.



**FORMAT OF INDEMNITY BOND FOR WILL**

(Please type this indemnity bond after carefully reading the notes mentioned below the format)

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045.

**WHEREAS**

(Number of shares) Equity shares \_\_\_\_\_ of Kirloskar Brothers Limited having its registered office at "Yamuna", Survey No. 98/(3-7) Baner, Pune - 411045 are standing in the name of Late Shri./Smt. (name of the deceased shareholder) in the Register of Members of Kirloskar Brothers Limited of the following description

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>	<u>Face</u>
				<u>Value</u>
				<u>each certificate</u>

2/-

**WHEREAS:**

Shri./Smt. (name of the deceased shareholder) expired on (date of death) leaving behind him/her the following heirs :

<u>Sr. No.</u>	<u>Name &amp; Address</u>	<u>Age</u>	<u>Relation</u>	<u>with the</u>	<u>deceased</u>
	<u>Of the legal heir</u>				

1.

2.

3.

**AND WHEREAS :**

The abovementioned shares were the separate and self acquired property of the deceased. The deceased died leaving his will and testament dated \_\_\_\_\_ witnessed by \_\_\_\_\_ and \_\_\_\_\_ (name of witnesses) in which the deceased had bequeathed \_\_\_\_\_ (number of shares) equity shares in the name of \_\_\_\_\_ (name of the applicant). The will as mentioned above is the last will and testament by the deceased and there is no other will/codicil. I/We is/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.

**NOW THEREFORE :**

I/We, (name of the applicant(s)) aged \_\_ years, residing at (address of the applicant(s)) approach the Company to transmit the shares covered under Folio No. \_\_\_\_\_ and bearing Certificate No(s). \_\_\_\_\_ held by the deceased in my/our behalf and enter my/our

name(s) in the Register of Members of the Company. In consideration of the Company having agreed to transmit and register the aforesaid shares in my/our name on my/our executing a bond in favour of the Company.

Upon transmission of shares in my/our favour, I/we.....also request Company to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....based on this indemnity bond and other related documents.

Upon the Company transmitting and registering the shares held by the deceased, and for making of payment of aforesaid unclaimed dividend, if any, for last 7 years, I/We .....the undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant with the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

IN WITNESS WHEREOF I/We, the applicant(s) herein has/have signed and set my/our hands on this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

Name and address of the Applicant(s)	Signature of the Applicant(s)
1.	1.
2.	2.
3.	3.

Name and address of Witness	Signature of the Witness
1.	1.
2.	2.

Place ;  
Date :

## **PROCEDURE FOR TRANSMISSION OF SHARES IN AN ELECTRONIC FORM**

- i. In the event of death of any of the joint holders, the other existing joint holder can get the securities transmitted in their favour by producing the death certificate. The existing joint holders have to open a new account with a depository participant.
- ii. In the event of death of sole holder, the claimants/successors/legal heirs can get the securities transmitted in their favour by submitting the following relevant legal documents to the depository participant.
  - a) Probate of Will
  - b) Will
  - b) Succession Certificate
  - c) Letter of Administration or any other legal document which may be required along with an attested copy of the Death Certificate.

The claimants/successors/legal heirs shall have to open an account with a depository participant to get the securities transmitted in their favour.

## **PROCEDURE FOR DUPLICATE CUM TRANSMISSION**

In case of transmission, the nominee/legal heir/successor do not have the original share certificate in their possession. They can apply for Duplicate cum Transmission. The procedure is as follows:

1. Application letter for issue of duplicate share certificate cum transmission of shares in favour of the legal heir(s).
2. FIR copy in respect of lost/misplaced share certificate.
3. Newspaper advertisement.
4. Death Certificate of the deceased shareholder(s) or a Copy duly attested by Gazetted Officer or Notary Public; If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
5. Self-attested/notarised proof of Identification and address of applicant as per following:
  - a) PAN Card
  - b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
6. Affidavit from those legal heir/s who are claiming the shares (Applicant/s) on Rs 100/- non-judicial stamp paper as per the format appended below;
7. Signature Verification Form verifying and attesting the signature of the applicant from the Bank;
8. Affidavit cum No objection Certificate (NOCs) from all other legal heirs who are not claiming the shares on non-judicial stamp paper of Rs 100/- as per format appended below or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letter of Administration or Probate of Will or Will or Court Decree;
9. Court certified copy of Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree. Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree in terms of Indian Succession Act, 1925, wherever applicable, is compulsorily required to be submitted if the market value of shares is more than 2,00,000/-;
10. An Indemnity bond is required to be furnished along with surety as per format enclosed. Two sureties are required;
11. Self-attested/notarised proof of Identification and address of surety as per following:
  - a) PAN Card
  - b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
12. In case of a Will being submitted, an additional Indemnity bond for Will is required to be furnished on non-judicial stamp paper of Rs 500/- as per the format appended below.

**Important Points to be noted:**

- a) There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
- b) If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
- c) The Applicants should fill the form in the order in which their names should appear in the certificate.
- d) Affidavit and Affidavit cum NOC should be in the format appended below, duly attested by the S.E.M or Oaths Commissioner or Notary Public.
- e) Indemnity Bond and Surety should be duly attested/notarised by Notary Public.
- f) Proof of identification and Signature verification form has to be provided for each applicant.
- g) A passport size photograph of applicant duly signed by him/her on the reverse.
- h) Copy of attested/notarized PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);.
- i) No Xerox copies of the documents as mentioned above to be accepted.

**APPLICATION FOR ISSUE OF DUPLICATE SHARE CERTIFICATE CUM TRANSMISSION  
OF SHARES**

*(Please fill this application carefully after reading the notes mentioned below the application  
so that rejection of the application can be avoided)*

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045 .

Dear Sir,

I/We, (name of the applicant), residing at (address of each applicant ) am/are applying for issue of duplicate share certificate cum transmission of the shares of (name of the deceased shareholder). (The name of the deceased) expired on (date of expiry) at (place of death). The deceased was holding \_\_\_ shares of the following description

<u>Folio No.</u> <u>Face Value</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u> <u>each certificate</u>
---------------------------------------	-------------------------	-------------------------	---

2/-

I/We am/are the (Nominee / Legal heirs / Executor of the Will of the deceased/ Administrators of the Estate of the deceased / Successors to the Estate of the deceased shareholder). The following are particulars of the Applicant(s):

<u>Sr. No.</u>	<u>Name &amp; Address</u>	<u>Age</u>	<u>Relation with the deceased</u> <u>shareholder</u>
----------------	---------------------------	------------	---

of the Applicant(s)

- 1.
- 2.
- 3.

\*The Hon'ble Court has granted me/us Probate of the Will / Letter of Administration / Succession Certificate/ Court Decree/ in terms of Indian Succession Act, 1925, as may be applicable, on the (date of the order) and I/we are furnishing indemnity bond and affidavit for issue of duplicate share certificate in lieu of original share certificate.

Or

The deceased shareholder(s) has bequeathed the shares of Kirloskar Brothers Limited in my/our favour by executing a Will and I/we are furnishing indemnity bond and affidavit for issue of duplicate share certificate in lieu of original share certificate.

OR

In the absence of probate of the will / letter of administration / succession certificate/ Court Decree/ will, in terms of Indian Succession Act, 1925, as may be applicable, I/we are furnishing indemnity bond and affidavit thereof for issue of duplicate share certificate in lieu of original share certificate cum transmission of shares.

\*:- Not applicable in case of Nominee

My/Our specimen signature(s) is/are as below:

[Signature of the Applicant(s)]

I/We hereby submit the following documents to support my/our claim for issue of duplicate share certificate in lieu of original share certificate cum transmission of the shares held by the deceased:

1. FIR copy in respect of lost/misplaced share certificate.
2. Newspaper Advertisement.
3. Death certificate of the deceased in original.  
or  
Duly attested/notarized copy/translated copy of the Death Certificate of the deceased.
4. Court certified copy of Succession Certificate or probate of will or letter of administration or court decree or copy of will in terms of Indian Succession Act, 1925, wherever applicable.
5. Indemnity Bond duly attested/notarised on Non-Judicial Stamp Paper (NJS) of Rs.500/-.
6. Affidavit from those legal heirs who are claiming the shares on NJS of Rs.100/- duly affirmed by S.E.M/ Notary Public/ Oaths Commissioner.
7. Affidavit cum No Objection Certificate from all the other legal heirs who are not claiming the shares on NJS of Rs. 100/- attested by S.E.M./Notary/Oaths Commissioner or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letter of Administration or Probate of Will or Will or Court Decree.
8. Proof of my/our identification and address duly attested/notarised.
9. Verification and Attestation of my/our signature from Bank.
10. My/Our passport size photograph with my/our signature on the reverse.
11. Indemnity Bond for Will duly attested/notarized on Non-Judicial Stamp Paper (NJS) of Rs.500/-.

I/We hereby request you to issue duplicate share certificate in lieu of original share certificate cum transmit the shares covered under Folio No. \_\_\_\_\_ standing in the name of the deceased in my/our name and enter my/our name(s) in the Register of Members of the Company.

Date :

Signature of the Applicant(s)

1.

2.

3.

Name and address of the witness	Signature of the witness
1.	1.
2.	2.

**NOTES:**

1. The Application should be typed.
2. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
3. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
4. If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
5. The Applicants should fill this form in the order in which their names should appear in the certificate.
6. The Death Certificate of the deceased shareholder, if not annexed in original should be duly attested either by Notary Public or Gazetted Officer. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public to be annexed.
7. Affidavit and Affidavit cum NOC should be in the format appended below, duly affirmed by the S.E.M or Oaths Commissioner or Notary Public.
8. Proof of identification and Signature verification form has to be provided for each applicant.
9. Please furnish a passport size photograph of the applicant(s) duly signed by the applicant(s) on the reverse and attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
10. Please furnish Signature verification form verifying and attesting your signature from Bank.
11. Please do not furnish mere Xerox copies of the documents requested.
12. Please annex all the documents required along with this application itself to avoid delay in completion of duplicate cum transmission process.



**FORMAT OF ADVERTISEMENT FOR LOSS OF SHARE CERTIFICATE**

**KIRLOSKAR BROTHERS LIMITED**

**Regd. Office : "Yamuna", Survey No. 98/(3-7)**

**Baner, Pune - 411045**

**NOTICE**

Notice is hereby given that the Share Certificate/s Nos : \_\_\_\_\_

For \_\_\_\_\_ fully paid up Equity Shares of Rs. 2/- each of this company bearing

Distinctive Nos. \_\_\_\_\_

\_\_\_\_\_

Respectively standing in the name/s of \_\_\_\_\_

\_\_\_\_\_

has/have been reported to be lost or mislaid. Any claim relating to this/these share certificate/s should be notified within Fifteen days from the date of publication of this NOTICE to the Registered Office of the Company. Otherwise duplicate share Certificate/s in respect of lost share certificate/s will be issued to the above mentioned Owner/s and no claim will be entertained thereafter.

**FOR KIRLOSKAR BROTHERS LIMITED**

Sd/-

Pune :

**Sandeep Phadnis**

Date:

(Company Secretary )

**FORMAT OF INDEMNITY BOND FOR ISSUE OF DUPLICATE SHARE CERTIFICATE  
CUM TRANSMISSION OF SHARES**

(Please type this indemnity bond after carefully reading the notes mentioned below the format)

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045.

**WHEREAS**

(Number of shares) Equity shares \_\_\_\_\_ of Kirloskar Brothers Limited having its registered office at "Yamuna", Survey No. 98/(3-7) Baner, Pune - 411045 are standing in the name of Late Shri./Smt. (name of the deceased shareholder) in the Register of Members of Kirloskar Brothers Limited of the following description

<u>Folio No.</u> <u>Face Value</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u> <u>each certificate</u>
---------------------------------------	-------------------------	-------------------------	---

2/-

**WHEREAS:**

Shri./Smt. (name of the deceased shareholder) expired on (date of death) at \_\_\_\_\_ (place of death) leaving behind him/her the following heirs :

Sr. No.	Name & Address	Age	Relation with the deceased shareholder
	Of the legal heir(s)		

1.

2.

3.

**AND WHEREAS :**

The share certificate(s) No(s). \_\_\_\_\_ in respect of the above shares has/have been lost or misplaced and is/are not traceable. I/We have searched the said certificate(s) but despite my best efforts, I/We have been unable to find it/them. I/We declare that the said share certificate(s) was/were not accompanied by any blank transfer deed signed by me/us and that I/We have not, nor has any person by my/our order disposed off, parted with or pledged / deposited / mortgaged by way of security the said share certificate(s) or assigned my/our interest therein or any part have neither been sold or transferred to anybody by me/us and I/We am/are entitled to the custody of the certificate(s) of title relating to such shares as I/We am/are the absolute owners of the same as registered shareholder(s). I/We undertake to surrender the said share certificate(s) to the company if and when the same is/are found at a later date.

The abovementioned shares were the separate and self acquired property of the deceased. According to the law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death, the person(s) mentioned hereinabove is/are the only heir(s) of the deceased. He/She/They is/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.

NOW THEREFORE :

I/We, (name of the applicant(s) aged \_\_ years, residing at (address of the applicant(s) approach the Company to issue duplicate share certificate in lieu of original share certificate and transmit the shares covered under Folio No. \_\_\_\_\_ and bearing Certificate No(s). \_\_\_\_\_ held by the deceased in my/our behalf and enter my/our name(s) in the Register of Members of the Company without production of Probate of Will or Letter of Administration or Succession Certificate or Will or Court Decree in terms of Indian Succession Act, 1925, as may be applicable, from the Court of competent jurisdiction. In consideration of the Company having agreed to issue duplicate share certificate in lieu of original share certificate and transmit and register the aforesaid shares in my/our name on my/our executing a bond in favour of the Company.

Upon issue of duplicate share certificate in lieu of original share certificate and transmission of shares in my/our favour, I/we.....also request Company to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....based on this indemnity bond and other related documents.

Upon the Company issuing duplicate share certificate in lieu of original share certificate and transmitting and registering the shares held by the deceased, and for making of payment of aforesaid unclaimed dividend, if any, for last 7 years, I/We .....the undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant with the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

IN WITNESS WHEREOF I/We, the applicant(s) herein has/have signed and set my/our hands on this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

Name and address of the Applicant(s)	Signature of the Applicant(s)
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1.	1.
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2.	2.
----	----

3.	3.
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Name and address of Witness	Signature of the Witness
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1.	1.
----	----

2.	2.
----	----

Place ;

Date :

## SURETY

We, (name of the surety No.1) aged \_\_\_ years, residing at (residential address of Surety No.1) and having business address at (official address of Surety No.1), having PAN No. \_\_\_\_\_ and (name of the surety No.2) aged \_\_\_ years, residing at (residential address of Surety No.2) and having business address at (official address of Surety No.2), having PAN No. \_\_\_\_\_, the undersigned, certify that the information mentioned by Mr./ Mrs. \_\_\_\_\_ under his/ her / their indemnity in relation to the application for issue of duplicate share certificate in lieu of original share certificate and transmission of shares of the Company are true to the best of our knowledge. We bind ourselves sureties to make good all claims, charges, costs, damages, demands, expenses and losses which the Company, its successors and assigns its estate and effects and its directors, manager, secretary and shareholders may sustain, incur or be liable for in consequence of complying with the request contained in the said application and the Company, its successors, assigns, directors, manager, secretary and shareholders will be entitled to realise all claims, charges, costs, damages, demands, expenses and losses from our persons and our properties, as the case may be.

Place :

Date:

Name and Address of the Witness	Signature of the Witness
1.	1.
2.	2.

Name and Address of the Surety	Signature of the Surety
1.	1.
2.	2.

### NOTES:

- 1. Indemnity Bond duly attested/notarised should be on Non-judicial stamp paper of Rs.500/-.*
- 2. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.*
- 3. It should be executed by the person who is applying for issue of duplicate share certificate cum transmission.*
- 4. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons(legal heirs)*
- 5. Indemnity Bond should be witnessed by two persons.*
- 6. Two sureties are required to be furnished, who are not family members of the Applicant. Witness and Surety have to be different individuals.*
- 7. Each Surety and Witness has to attach attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized- Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc.(Utility Bills not older than 3 months).*
- 8. Date of execution should be mention on the Indemnity Bond.*

**FORMAT OF AFFIDAVIT FOR ISSUE OF DUPLICATE SHARE CERTIFICATE CUM TRANSMISSION OF SHARES WITH/WITHOUT PRODUCING PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE**

*(Please type this Affidavit after carefully reading the notes mentioned below the format)*

**AFFIDAVIT**

I/We, \_\_\_\_\_ son/daughter/spouse/legal heir(s) of \_\_\_\_\_ aged \_\_, residing at \_\_\_\_\_, do hereby solemnly affirm and declare as under:

1. That Shri/Smt. (Name of the deceased shareholder), the deceased, was holding \_\_\_\_\_ equity shares in Kirloskar Brothers Limited the details of which are mentioned below.

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>	<u>Face</u>
<u>Value</u>			<u>Each certificate</u>	
				<u>2/-</u>

2. Shri./Smt. (name of the deceased shareholder) expired on (date of death) at (place of death)

leaving behind him/her **all the following legal heirs** :

<u>Sr. No.</u>	<u>Name of all legal heir</u>	<u>Age</u>	<u>Relation with the deceased shareholder</u>
1.			
2.			
3.			

3. The abovementioned shares were the separate and self acquired property of the deceased. The

person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to

inherit solely/jointly the aforesaid shares held by the deceased.

5. That Late Shri/Smt. (name of the deceased shareholder) has no other heir/s than those mentioned in paragraph 2 above and the person(s) mentioned therein is/are only his/her legal heir(s).

6. That I/we have not sold, transferred, pledged or otherwise disposed off the said shares.

7. That the share certificate No(s). \_\_\_\_\_ of the said shares has/ have been lost or misplaced and is not in my/our possession.

8. I/We have searched for the said certificate(s), but even after careful and diligent search, I /We have been unable to find out or trace the same.

9. Since the said certificate(s) was / were issued, I /We have not sold, transferred, mortgaged, pledged or otherwise encumbered or disposed of the said shares or parted with the possession of the said certificates in any manner and the said shares is / are my/ our absolute property. The best of my/ our knowledge and belief, the said certificates has/ have either been lost or been accidentally destroyed. In case at any time I / We find the said Share Certificate(s) or any of them I /We shall immediately handover the same to the Company.
  
10. I/ we have already executed indemnity bond for issue of duplicate share certificate in lieu of original share certificate and transmitting the aforesaid shares held by the deceased in my /our name.
  
11. I/we therefore request the Kirloskar Brothers Limited to issue duplicate share certificate in lieu of original share certificate and transmit the shares in my/our name in the books of the Company with/ without production of succession certificate/probate of the will/ letter of administration/ will/ court decree and to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....

I/we am/are executing this declaration to be submitted to the concerned authorities of the Company.

**VERIFICATION**

I /we hereby state that whatever is stated herein above is true to the best of my/our knowledge.

Solemnly affirmed at \_\_\_\_\_ On this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

(Signature of the Applicant/s)

Deponent/s

Identified by me

Before Me

Advocate

S.E.M./Oaths Commissioner/Notary

NOTES:

1. **THIS AFFIDAVIT IS TO BE EXECUTED BY ONLY THOSE LEGAL HEIR(S) WHO ARE CLAIMING THE SHARES.**
2. Affidavit should be on Non-judicial stamp paper of Rs.100/- duly attested by S.E.M/ Notary Public/ Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please do not just type/print this format as it is.
4. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
5. Date of execution should be mentioned on Affidavit.

**FORMAT OF AFFIDAVIT CUM NO OBJECTION CERTIFICATE FROM OTHER - LEGAL HEIR(S) FOR TRANSMISSION OF SHARES IN THE NAME OF THE APPLICANT/S WHERE THERE IS NO PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE.**

(This Declaration is to be executed on Non- Judicial Stamp Paper of Rs.100/- and should be duly attested either by S.E.M. or Oaths Commissioner or Notary.

**AFFIDAVIT CUM NO OBJECTION CERTIFICATE**

I/we, below named is/are son/daughter/spouse/legal heir(s) of \_\_\_\_\_ (name of deceased shareholder).

<b>Sr.No.</b>	<b>Name of Legal Heir(s)</b>	<b>Age</b>	<b>Residential address</b>	<b>Relationship with deceased shareholder</b>
---------------	------------------------------	------------	----------------------------	---

do hereby solemnly affirm and declare as under:

1. That \_\_\_\_\_, the deceased, was holding \_\_\_\_\_ shares in Kirloskar Brothers Limited covered under Folio No. \_\_\_\_\_ and Share Certificate No(s). \_\_\_\_\_, bearing Distinctive Nos. \_\_\_\_\_ to \_\_\_\_\_ of the face value of Rs. 2/- each.
2. Shri./Smt. (name of the deceased shareholder) expired on (date of death) at (place of death) leaving behind him/her **all the following legal heirs:**

<b>Sr. No.</b>	<b>Name of all the legal heir(s)</b>	<b>Age</b>	<b>Relation with the deceased shareholder</b>
----------------	--------------------------------------	------------	---

- 1.
- 2.
- 3.

3. The person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to inherit solely/jointly the aforesaid shares held by the deceased.
4. I/we am/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.
5. I/we do not desire to make any claim of title of the said securities held by the deceased. I/we hereby agree to renounce all my/our rights existing as well as they may accrue to me/us in future in respect of the aforesaid securities.



6. I/we declare that I/we have no objection whatsoever in transmitting the said securities in the name of the applicant(s), \_\_\_\_\_ and thereafter making payment in his/her favour, unclaimed dividend, if any, covered under folio.....for last 7 years based on the related documents submitted for transmission of shares.

I /we am/are executing this declaration to be submitted to the concerned authorities of the Company.

### VERIFICATION

I /we hereby state that whatever is stated herein above are true to the best of my/our knowledge.

Solemnly affirmed at \_\_\_\_\_ On this \_\_\_\_ day of \_\_\_\_\_ 20\_\_

(Name and Signature of the Legal heir/s)

- 1.
- 2.
- 3.

Deponent/s

Identified by me  
Advocate  
**Commissioner/Notary**

Before Me  
**S.E.M./Oaths**

#### NOTES:

- 1. This Affidavit cum NOC is to be executed by all the Legal heir(s) who are not claiming the shares.**
2. Affidavit should be on Non-judicial stamp paper of Rs.100/- duly attested by S.E.M/ Notary Public/ Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
4. Date of execution should be mentioned on Affidavit.

**FORMAT OF INDEMNITY BOND FOR WILL**

(Please type this indemnity bond after carefully reading the notes mentioned below the format)

To,

The Company Secretary,  
Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045

**WHEREAS**

(Number of shares) Equity shares \_\_\_\_\_ of Kirloskar Brothers Limited having its registered office at "Yamuna", Survey No. 98/(3-7), Baner, Pune - 411045 are standing in the name of Late Shri./Smt. (name of the deceased shareholder) in the Register of Members of Kirloskar Brothers Limited of the following description

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>	<u>Face</u>
				<u>Value</u>
				<u>each certificate</u>

2/-

**WHEREAS:**

Shri./Smt. (name of the deceased shareholder) expired on (date of death) leaving behind him/her the following heirs :

<u>Sr. No.</u>	<u>Name &amp; Address</u>	<u>Age</u>	<u>Relation with the deceased shareholder</u>
	<u>Of the legal heir</u>		

1.

2.

3.

**AND WHEREAS :**

The abovementioned shares were the separate and self acquired property of the deceased. The deceased died leaving his will and testament dated \_\_\_\_\_ witnessed by \_\_\_\_\_ and \_\_\_\_\_ (name of witnesses) in which the deceased had bequeathed \_\_\_\_\_ (number of shares) equity shares in the name of \_\_\_\_\_ (name of the applicant). The will as mentioned above is the last will and testament by the deceased and there is no other will/codicil. I/We is/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. \_\_\_\_\_ held by the deceased.

**NOW THEREFORE :**

I/We, (name of the applicant(s)) aged \_\_ years, residing at (address of the applicant(s)) approach the Company to transmit the shares covered under Folio No. \_\_\_\_\_ and bearing Certificate No(s). \_\_\_\_\_ held by the deceased in my/our behalf and enter my/our

name(s) in the Register of Members of the Company. In consideration of the Company having agreed to transmit and register the aforesaid shares in my/our name on my/our executing a bond in favour of the Company.

Upon transmission of shares in my/our favour, I/we.....also request Company to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....based on this indemnity bond and other related documents.

Upon the Company transmitting and registering the shares held by the deceased, and for making of payment of aforesaid unclaimed dividend, if any, for last 7 years, I/We .....the undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant with the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

IN WITNESS WHEREOF I/We, the applicant(s) herein has/have signed and set my/our hands on this \_\_\_\_ day of \_\_\_\_\_ 20\_\_.

Name and address of the Applicant(s)	Signature of the Applicant(s)
1.	1.
2.	2.
3.	3.

Name and address of Witness	Signature of the Witness
1.	1.
2.	2.

Place ;  
Date :

## **PAYMENT OF UNPAID/UNCLAIMED DIVIDEND**

As per the SEBI circular on “Strengthening the Guidelines and Raising Industry standards for RTA, Issuer Companies and Banker to an Issue” dated April 20, 2018, payment of unpaid/unclaimed dividend, revalidation of dividend warrant/demand draft etc. would be executed via electronic bank transfer only (RTGS/NEFT).

If the bank details are not registered/updated with the Registrar and Transfer Agent, shareholder/s will have to submit the following documents:

- Request letter for updation of bank details duly signed by the shareholder(s)
- Original cancelled cheque bearing the name of the shareholder, OR
- Copy of bank passbook/statement attested by the bank
- Signature verification form duly attested by the bank

In case the dividend warrants are lost in transit or have been misplaced and are still valid, the Shareholders would be required to submit Application as per the below given format.

1. In case the dividend warrants remaining unpaid are outdated/ stale, and such warrants are in custody of the Shareholder, the Shareholder should make an application to the Company Secretary, for revalidation of the same. The format of application is appended below.
2. The Company can revalidate the Dividend warrants upto 7 years from the date of declaration of Divided; thereafter they are transferred to the Central Government’s Investor Education and Protection Fund (IEPF).
3. Upon receipt of the application and after verification & reconciliation of Bank statement, Company will pay the unclaimed/unpaid dividend via electronic bank transfer

## APPLICATION FORMAT

### **Company Secretary**

Kirloskar Brothers Limited,  
"Yamuna", Survey No. 98/(3-7)  
Baner, Pune - 411045

Dear Sir,

**Sub: Loss of Dividend Warrant/ Demand Draft / misplaced / not received/  
outdated. (Folio No. /DPID-Client Id. \_\_\_\_\_)**

This is to inform you that a Dividend Warrant/ Demand Draft No. \_\_\_\_\_ for the year \_\_\_\_\_ for an amount of \_\_\_\_\_ has not been received/ has been lost in transit / misplaced/has become outdated

I, therefore, request you to kindly pay the unclaimed/unpaid dividend via electronic bank transfer.

Thanking you,

Yours faithfully,

Signature

Name of Shareholder

Encl. : As above

## **SHARES AFTER SCHEME OF ARRANGEMENT**

The Scheme of Arrangement between Kirloskar Brothers Limited (KBL), Kirloskar Brothers Investments Limited (KBIL) and their respective shareholders had been duly approved by the Hon'ble High Court of Judicature at Bombay on January 22, 2010. The Appointed Date for the scheme was April 16, 2009 and the Effective Date as per the scheme was March 2, 2010.

In accordance with the Scheme, the shareholders of KBL holding say 20 (Twenty) equity shares of Rs. 2/- each as on the Record Date, were entitled to receive 15 (Fifteen) new equity shares of Rs. 2/- each of KBL after reduction of capital and 1 (One) equity share of Rs. 10/- of KBIL.

Shareholders holding share certificate/s for their KBL shares, desiring to continue to hold KBL new equity shares and KBIL equity shares in the physical form, were issued new share certificates in lieu of the original KBL share certificate/s.

The KBL and KBIL new share certificates for such equity shares, in the above mentioned ratio, under the Scheme were directly dispatched to the concerned shareholder/s by M/s. Link Intime India Private Limited (erstwhile Registrar and Transfer Agent). In case on non receipt of such certificates, shareholders will have to comply with procedure for issue of duplicate share certificates.

Shareholders are advised that they should deface the old share certificates in order to safeguard their interests against any misuse; as such certificates would be null and void and cannot be dealt with in the market.

## **FREQUENTLY ASKED QUESTIONS (FAQs)**

### **DELETION OF NAME FROM JOINT HOLDING AND CONVERSION OF SINGLE NAME INTO JOINT HOLDING**

#### **▪ How to delete one name from the joint holders?**

In case the shares are held in Joint names and one of the shareholder/s expires, please send the following documents:

1. Notarised copy of the Death certificate. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
2. Original Share Certificate.
3. Self attested copy of PAN Card of surviving holder/s.
4. Self attested copy of Utility Bill such as telephone bill, electricity bill etc.(not older than 3 months) of the surviving holder/s.

Based on the supporting documents, the company shall delete the name of the deceased shareholder/s from the records and make endorsement on the share certificate showing the remaining shareholder as the only holder.

#### **▪ How to convert single holding into joint holding?**

To convert single holding into joint holding, such requests even within the family amounts to transfer as these lead to a change in the ownership pattern. As per Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fourth Amendment) Regulations, 2018 and vide Notification dated November 30, 2018, requests for effecting transfer of shares shall not be processed unless the shares are held in the dematerialized form with a depository w.e.f. April 01, 2019. You are requested to contact your depository participant (DP) with whom your demat account is maintained to know the procedure for transferring the shares.

### **CONSOLIDATION OF FOLIOS**

#### **▪ What is meant by Consolidation?**

- i. The consolidation of Folios would avoid multiple communication including dividend warrants from the company to you and shall thus reduce the risk of loss/ fraudulent interception of share certificates/ dividend warrants/ other documents during postal transit.
- ii. The request for consolidation of folios should be signed by all the holders as per the specimen signature registered with the Company.
- iii. If you have more than one folio in the same name or with identical names in the same order, in case of joint holdings, then please intimate us immediately along with relevant share certificates to help us to consolidate such holdings in a single folio.

### **TRANSPOSITION OF NAMES**

#### **▪ What is meant by transposition of names?**

Transposition of shares refers to change in the order of names of registered holders. Such requests do not attract any stamp duty.

These requests have to be signed by all the joint holders in respect of the entire holding and should submit the original share certificate(s) to us.

## DEMATERIALIZATION

### ▪ What is meant by Depository System ?

The depository concept is similar to the Banking system with the exception that banks handle funds whereas a depository handles securities of the investors. A depository can therefore be conceived of as a “Bank” for securities.

An investor wishing to utilize the services offered by a depository, has to open an account with the depository through the Depository Participant. This is very similar to opening an account with a bank in order to utilize the banking services.

The depository system evolved by the National Securities Depositories Limited (NSDL) and Central Depository Services (India) Limited (CDSL) enables investors to overcome all problems related to handling physical certificates. NSDL and CDSL are organizations formed to provide electronic depository facilities for securities traded. The securities of investors are held in electronic form through the medium of Depository Participants.

### ▪ What is a Depository?

A depository is an organization where the securities of a shareholder are held in the electronic form at the request of the shareholder through the medium of a depository participant. Depositories will perform the following functions through its various participants.

- a) enable surrender and withdrawal of securities to and from the depository (i.e. dematerialization and re-materialization)
- b) maintain investor holdings in the electronic form
- c) effect settlement of securities trade on the exchanges
- d) carry out settlement of trades not done on the stock exchanges (i.e. off-market trades)

### What is meant by Dematerialisation / Re-materialisation?

“**Dematerialisation**” is a process by which the physical certificates of an investor are taken back by the Company/Registrar and actually destroyed and an equivalent number of securities are credited in the electronic holdings of that investor.

“**Rematerialisation**” is the term used for converting electronic holdings back into certificates.

This is done only at the request of the investor.

An investor will have to first open an account with a depository participant and then request for the dematerialisation of his certificates through the depository participant so that the dematerialised holdings can be credited into that account. Re-materialisation is exactly the reverse process of dematerialisation

### Who is a depository Participant (DP)?

Similar to the brokers who trade on your behalf in and outside the stock exchanges, a depository participant is a representative (agent) in the depository system. Depository participant will maintain securities account balances and intimate the holder the status of holdings from time to time. According to SEBI guidelines, financial institutions, banks, custodians, stock brokers, etc. can become participants in the depository. Investor will have to obtain statements for his account for securities transactions from DP from time to time.



▪ **What are the benefits of depositing securities in NSDL / CDSL ?**

Benefits of converting securities in the electronic form are :

- Reduction of risks associated with loss, mutilation, theft and forgery etc.
- The paper work required will be reduced to a minimum, while dealing with securities.
- Greater liquidity, faster settlement and completion of transaction.
- Enhances the acceptability in securities market.
- Reduction in transaction cost through greater efficiency.
- Faster receipt of corporate benefits/rights attached to the security.
- Thus, investor will increasingly find it easy to deal in the shares.

▪ **How to open an account with a depository participant?**

The process of opening an account with a depository participant is similar to the opening of a bank account. A list of depository participants can be obtained from NSDL / CDSL. The depository participants may also advertise the services offered by them once they are registered. Investor will have to approach any depository participant of his choice and fill up an account opening form.

▪ **Whether securities allotted to Investor in public issue can directly be obtained in the electronic form?**

In the public issue application form there will be a provision for an investor to indicate the manner in which he wants the securities allotted. However, investor will have to mention his client account number and the name of the depository participant. This will enable the issuer company to credit the securities allotted directly to such investor's demat account.

▪ **How an investor will get the corporate benefits arising out of his holdings, like a bonus / rights or a dividend?**

On declaration of any corporate benefit viz. rights or bonus or dividend for a particular security, the depository will give all the details of the clients having electronic holdings of that security as of record date/book closure to the registrar.

The registrar will then calculate the corporate benefits due to all the shareholders. The disbursement of cash benefits such as dividend/interest will be done by the registrar whereas the distribution of securities entitlements will be done by the depository based on the information provided by the registrar.

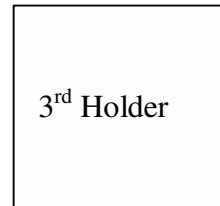
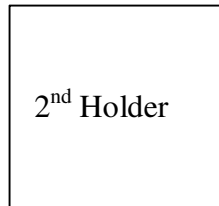
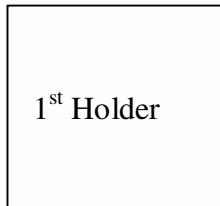
In case of discrepancies in corporate benefits, investor can approach respective depository participant who in turn will contact the registrar for clarifications regarding allotment of securities or otherwise.

**Confirmation of Signature of shareholder by the Banker with their official Rubber Stamp  
Giving the full address of the Bank and the Employee Code number of the official signing  
this form.**

---

- 1. Bank Name : \_\_\_\_\_
- 2. Bank Address : \_\_\_\_\_  
Bank Phone No. : \_\_\_\_\_
- 3. Bank Account No : \_\_\_\_\_
- 4. Account Opening Date : \_\_\_\_\_
- 5. Account Holder[s]Name : \_\_\_\_\_
  - 1) \_\_\_\_\_
  - 2) \_\_\_\_\_
  - 3) \_\_\_\_\_

**6. Latest Photograph of the account holder[s]:**



**7. Account Holder[s] details as per Bank Records :**

- a) Address : \_\_\_\_\_
- b) Phone No. : \_\_\_\_\_
- c) Email ID. : \_\_\_\_\_
- d) Signature[s]:



Signature Verified as recorded with the Bank

Rubber Stamp of the Bank

Tel No.  
Place:  
Date:

(Sign) \_\_\_\_\_  
Name of Bank Manager : \_\_\_\_\_  
Emp Code : \_\_\_\_\_  
EmailID: \_\_\_\_\_

**Kirloskar Brothers Limited**  
 Reg. Office : "Yamuna", Survey No. 98/(3-7)  
 Baner, Pune - 411045

**Feedback Form relating to the services of Registrar & Share Transfer Agent**

Kirloskar Brothers Limited has always valued its relationship with its stakeholders. Company secretary and the members of Stakeholders Relationship Committee is continuously monitoring the complaints/grievances and correspondence made with the investors by R & T Agent and by the officers of the Company. Efforts are always taken by the R & T Agent and the Company officers to reduce the response time in resolving the shareholders grievances. In order to further improve our quality of services, we are sending this 'Feedback form'.

- 1 Name of the shareholder :
- 2 Folio No/DPID-Client ID :
- 3 No. of shares held :
- 4 Telephone No. :
- 5 Email ID :

6	You have contacted through .....	Personal visit	E-Mail	Letter	N.A.
7	In case of personal visit, behaviour of the staff.....	Polite	Average	Rude	N.A.
8	No. of times you have to contact for the same work.....	1	2	3	N.A.
9	Response time taken to resolve your queries .....	Prompt	Moderate	Delay	N.A.
10	Overall opinion about the service regarding :	Excellent	Good	Average	N.A.
(a)	Transfer of shares.....				
(b)	Transmission of shares.....				
(c)	Issue of duplicate shares.....				
(d)	Non receipt of dividend.....				

(e)	Change of address.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f)	ECS facility/dividend mandate.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g)	Nomination registration.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h)	Non receipt of share certificate.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i)	Request for Annual Report .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(j)	Any other (Pl. specify).....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Please make a tick mark ( ) where ever applicable. If you have not availed any of the services, make a tick mark on Not applicable (N.A.) make a tick mark on Not Applicable (N.A.)**

Date :

Thank you for spending your valuation time.

\*This feedback is precious.

\*This feedback will be kept confidential.

**Kirloskar Brothers Limited**  
**Feedback form relating to the services of Company**

Kirloskar Brothers Limited has always valued its relationship with its stakeholders. Company secretary and the members of Stakeholders Relationship Committee is continuously monitoring the complaints/grievances and correspondence made with the investors by R & T Agent and by the officers of the Company. Efforts are always taken by the R & T Agent and the Company officers to reduce the response time in resolving the shareholders grievances. In order to further improve our quality of services, we are sending this 'Feedback form'.

Name of the shareholder :  
 Folio No/DPID-Client ID :  
 No. of shares held :  
 Telephone No. :  
 Email ID :

1	You have contacted through .....	Personal visit	E-Mail	Letter	N.A.
<b>N.A. : In case of N.A. Skip to Q 6</b>					
2	In case of personal visit, behaviour of the staff .....	Polite	Average	Rude	N.A.
3	No. of times you have to contact for the same work	1	2	3	N.A.
4	Response time taken to resolve your queries .....	Prompt	Moderate	Delay	N.A.
5	Overall opinion about the service regarding :	<b>Excellent</b>	<b>Good</b>	<b>Average</b>	<b>N.A.</b>
(a)	Non receipt of dividend/unclaimed dividend.....				
(b)	Revalidation of dividend warrants.....				
(C)	Any other matter				
6	Have you attended a General Meeting? If yes, Opinion regarding the arrangements made at the time of meeting .....				
7	Overall opinion regarding :				
(a)	Annual Report .....				
(b)	Information for investors available on the website...				
8	Mention areas, where you feel improvement is required :				
	.....				
	.....				
	.....				

Date :

Signature