

REF:TEIL:SE:

Date: 25<sup>th</sup> February, 2022

BSE Limited Department of Corporate Services, Rotunda Building, P.J. Tower, Dalal Street, Fort, MUMBAI - 400 001 Thru: BSE Listing Centre	National Stock Exchange of India Ltd., Listing Department Exchange Plaza, 5 <sup>th</sup> Floor, Bandra-Kurla Complex, Bandra (E), MUMBAI - 400 051 Thru: NEAPS
<b>STOCK CODE: 532356</b>	<b>STOCK CODE: TRIVENI</b>
<b>Sub: Intimation to Shareholders holding Shares in Physical Mode for furnishing PAN, KYC and nomination details</b>	

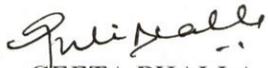
Dear Sirs,

Pursuant to Regulation 30 of SEBI (LODR) Regulations, 2015, please find enclosed herewith a copy of the letter sent to the shareholders holding shares in physical mode requesting them to furnish their PAN, KYC and nomination details to the Registrars and share Transfer Agent of the Company i.e. KFin Technologies Private Limited, in compliance with the SEBI Circular No. SEBI/ HO/MIRSD/ MIRSD RTAMB/ P/ CIR/ 2021/ 655 dated November 3, 2021. The same is also being made available on the Company's website [www.trivenigroup.com](http://www.trivenigroup.com).

Kindly take the same on your records.

Thanking you,

Yours faithfully,  
**For Triveni Engineering & Industries Ltd.,**

  
**GEETA BHALLA**  
Group Vice President &  
Company Secretary  
M.No.A9475

Encl: As above



**Corporate Office:** 8<sup>th</sup> Floor, Express Trade Towers, 15-16, Sector 16A, Noida – 201 301, U.P., India  
Tel: +91 120 4308000 | Fax: +91 120 4311010-11 [www.trivenigroup.com](http://www.trivenigroup.com) Email: [shares@trivenigroup.com](mailto:shares@trivenigroup.com)  
**Regd. Office:** A-44, Hosiery Complex, Phase-II Extension, Noida-201 305, Uttar Pradesh  
CIN No. L15421UP1932PLC022174

Reference No:

Date: 23<sup>rd</sup> February, 2022

Folio No. :

Dear Shareholder,

**Sub.: Furnishing of PAN, KYC details and Nomination by holders of physical securities**

**Ref.: SEBI Circular dated November 3, 2021**

Season's greetings from Triveni Engineering & Industries Limited and we hope this communication finds you and your family in safe and good health.

You are aware that SEBI vide the captioned circular dated November 3, 2021, mandated:

- furnishing of PAN, email address, mobile number, bank account details and nomination by holders of physical securities,
- any service request shall be entertained only upon registration of the PAN, Bank details and the nomination,
- to ensure that your PAN linked to Aadhaar by March 31, 2022 or any other date as may be specified by the Central Board of Direct Taxes to avoid freezing of your folio.

We observe from our records that you have not furnished some of the mandatory documents/details as per the records. We request you to furnish the documents/details, as per the table below, to the Registrars & Transfer Agents M/s KFin Technologies Private Limited immediately on receipt of this letter.

#	Particulars	Please furnish details in
1	PAN*	Form No. ISR-1 (Form enclosed)
2	Address	
3	Email address	
4	Mobile Number	
5	Demat account details	
6	Bank account details	
7	Nomination details *	Form:SH-13 (Form enclosed)
8	Declaration to opt out nomination*	Form :ISR-3 (Form enclosed)

\*In case you are opting out for giving nomination, submit Form ISR - 3 and accordingly Form SH - 13 need not be submitted.

The aforesaid forms can be downloaded from the website of the Company and RTA at: [www.trivenigroup.com](http://www.trivenigroup.com) and [www.kfintech.com](http://www.kfintech.com).

**Freezing of Folios without PAN, KYC details and Nomination:**

- a. Folios wherein any one of the said document / details are not available **on or after April 01, 2023**, shall be frozen and you will not be eligible to lodge grievance or avail service request from the RTA and not eligible for receipt of dividend in physical mode.
- b. **After December 31, 2025**, the frozen folios shall be referred by RTA/Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002.

You are requested to forward the duly filled in documents along with the related proofs as mentioned in the respective forms to the following address:

**KFin Technologies Private Limited,**  
**Unit: Triveni Engineering & Industries Limited**  
Selenium Tower B, Plot 31-32, Gachibowli, Financial District, Nanakramguda,  
Hyderabad – 500 032  
**E-mail:** [einward.ris@kfintech.com](mailto:einward.ris@kfintech.com)

The scan copies of the documents may also be mailed through your registered email id with KFIN Technologies (RTA) at the mail id [einward.ris@kfintech.com](mailto:einward.ris@kfintech.com) duly e-Signed on the forms and all proofs.

E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by eSign user. The holder/claimant may approach any of the empanelled eSign Service provider, details of which are available on the website of Controller of Certifying Authorities (CCA), Ministry of Communications and Information Technology (<https://cca.gov.in/>) for the purpose of obtaining an e-sign.

Thanking you,

Yours faithfully,  
**For Triveni Engineering & Industries Limited**

**Geeta Bhalla**  
Group Vice President & Company *Secretary*

*Encl: as above*

This communication is computer generated and hence does not require signature.



3	Proof of Address of the first holder	<p>Any one of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Client Master List (CML) of your Demat Account, provided by DP.</p> <p><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</p> <p><input type="checkbox"/> Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.</p> <p><input type="checkbox"/> For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.</p> <p><input type="checkbox"/> The proof of address in the name of the spouse</p>
4	Bank details	<p>Account Number: _____</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p style="text-align: center;">Provide the following:</p> <p><input type="checkbox"/> <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank #</u></p>
5	E-mail address	_____ #
6	Mobile	_____ #

\* or any date as may be specified by the CBDT

(DP: Depository Participant)

# In case it is not provided, the details available in the CML will be updated in the folio

**Authorization:** I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_, \_\_\_\_\_, (use Separate Annexure if extra space is required) in which I / We are the holder(s) (strike off what is not applicable).

**Declaration:** All the above facts stated are true and correct.

	Holder 1	Holder 2	Holder 3
Signature	✓		
Name	✓		
Full address	✓		
PIN	✓ □ □ □ □ □ □	□ □ □ □ □ □	□ □ □ □ □ □

### Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (IPV): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

### Note

<ul style="list-style-type: none"><li>• It is mandatory for holders of physical securities in listed company to furnish PAN, full KYC details (address proof, bank details, e-mail address, mobile number) and Nomination (for all the eligible folios).</li></ul>	
<ul style="list-style-type: none"><li>• Upon receipt or up-dation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.</li></ul>	
<ul style="list-style-type: none"><li>• Specimen Signature</li></ul>	<ul style="list-style-type: none"><li>• Provide banker's attestation of the signature of the holder(s) as per <u>Form ISR – 2</u> in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021</u>) and</li><li>• <u>original cancelled cheque</u> with name of security holder printed on it <u>or Bank Passbook or Bank Statement attested by the Bank</u></li></ul>
<ul style="list-style-type: none"><li>• Nomination**</li></ul>	<ul style="list-style-type: none"><li>• Providing Nomination: Please submit the duly filled up Nomination Form (SH-13) or 'Declaration to Opt out of Nomination' as per <u>Form ISR-3</u>, in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021</u></li><li>• Change in Existing Nomination: Please use <u>Form SH-14</u> in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</u></li><li>• Cancellation of Existing Nomination: use <u>Form SH-14 &amp; Form ISR – 3</u></li></ul>

\*\* Nomination (Form SH-13 or SH-14) / 'Declaration to Opt-Out of nomination' (Form ISR – 3), has to be furnished by the holder(s) separately for each listed company.

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

## Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

### Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

No.	Item	Documents / Details to be provided to the RTA by the holder(s) / claimant(s)
1	PAN – Exceptions and Clarification	'Exemptions/clarifications to PAN', as provided in clause D to 'Instructions/Check List for Filing KYC Forms' in Annexure – 1 to <u>SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011</u> on Uniform Know Your Client (KYC) Requirements for the Securities Market, shall also applicable for holder(s) / claimant(s) of securities held in physical mode.
2	Minor mismatch in Signature - minor	The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days
3	Major mismatch in Signature or its non-availability with the RTA	<ul style="list-style-type: none"> <li>• Banker's attestation of the signature of the holder(s) as per <u>Form ISR – 2</u></li> <li>• <u>Original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u></li> </ul>
4	Mismatch in Name	Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"> <li>• Unique Identification Number (UID) (Aadhaar)</li> <li>• Valid Passport</li> <li>• Driving license</li> <li>• PAN card with photograph</li> <li>• Identity card / document with applicant's Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions</li> <li>• Marriage certificate</li> <li>• Divorce decree</li> </ul>
5	Present address of the holder is not matching with the address available in the folio	RTA shall issue intimation to both the old and new addresses. <ul style="list-style-type: none"> <li>• In case where the letter is undelivered at the old address, RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.</li> </ul> The above procedure will be applicable for request for change in address of the holder also

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

## Form ISR- 3

### Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

[Under Section 72 r/w Section 24 (1)(a) of Companies Act, 2013, r/w Section 11(1) and 11B of SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015]]

Name of the Company :

Registered Address of the Company :

I/We.....the holder(s) of the securities, particulars of which are given here under, **do not wish to nominate** any person(s) in whom shall vest, all the rights in respect of such securities in the event of my/our death.

PARTICULARS OF THE SECURITIES (in respect of which nomination is being opted out)

Nature of Securities	Folio No.	No. of Securities	Certificate No.	Distinctive No.

I/ We understand the issues involved in non-appointment of nominee(s) and further are aware that in case of my/our death, my/our legal heir(s)/representative(s) are required to furnish the requisite documents/details, including, Will or documents issued by the Court, like Decree or Succession Certificate or Letter of Administration / Probate of Will or any other document as may be prescribed by the competent authority, for claiming my / our aforesaid securities.

Name(s) and Address of Security holders(s)

Signature(s)

Sole /First Holder Name

Second Holder Name

Third Holder Name

Name and Address of Witness	Signature

# Form No. SH-13

## Nomination Form

**[Pursuant to Section 72 of the Companies Act, 2013 and Rule 19 (1) of the Companies (Share Capital and Debentures) Rules, 2014]**

To

Name of the Company:

Address of the Company:

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

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

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

(2) PARTICULARS OF NOMINEE/S —

- (a) Name:
- (b) Date of Birth:
- (c) Father's/Mother's/Spouse's name:
- (d) Occupation:
- (e) Nationality:
- (f) Address:
- (g) E-mail ID:
- (h) Relationship with the security holder:

(3) IN CASE NOMINEE IS A MINOR —

- (a) Date of Birth:
- (b) Date of attaining majority:
- (c) Name of Guardian:
- (d) Address of Guardian:

Name(s) and Address of Security holders(s)

Signature(s)

Sole /First Holder Name

Second Holder Name

Third Holder Name

Name and Address of Witness	Signature