

SARTHAK GLOBAL LIMITED

CIN: L99999MH1985PLC136835

Regd. Office: 609, Floor-6, West Wing, Tulsiani Chambers, Nariman Point, Mumbai, (MH)
400021, India, Contact No.: 9827522189

Corporate Office: 170/10, Film Colony, R.N.T. Marg, Indore (MP), 452001, India

Phone No.: 0731-4279626, **Email:** sgl@sarthakglobal.com, **Website:** www.sarthakglobal.com

17th January, 2022

To,
BSE Limited
Listing Department
25th Floor, New Trading Ring,
Phiroze Jeejeebhoy Towers,
Dalal Street, Fort,
Mumbai-400 001

Dear Sir/ Ma'am,

Subject: Intimation to Shareholders holding Shares in Physical Mode.

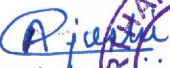
Ref.: Symbol: SARTHAKGL

Pursuant to Regulation 30 and Part A of Schedule III of SEBI (Listing Obligation and Disclosure Requirements) Regulation, 2015 Please take note that pursuant to the SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 read with Clarification Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 issued on December 14, 2021), our In house Registrar and Share Transfer Agent i.e. Sarthak Global Limited is sending intimation along with requisite forms as stipulated in the said Circular to the shareholders holding shares in physical form. We are requesting to the shareholders holding shares in physical form to update/submit the details in the requisite forms within the stipulated timeline mentioned in the Circular for updating the PAN, KYC details and Nomination details (including declaration to opt out) to our In house Registrar and Share Transfer Agent of the Company i.e. Sarthak Global Limited

This requisite forms are also being uploaded on the Company's website at <http://www.sarthakglobal.com/formats-for-kyc>

Kindly take the aforementioned information on records.

Thanking you,
Yours faithfully,
For and on behalf of Sarthak Global Limited


Ankit Joshi
(Company Secretary)



SARTHAK GLOBAL LIMITED

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Dear Shareholder(s),

Through Speed Post

Subject -

Request for Furnishing/ Updating the KYC details and Nomination as per SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated 03rd Nov 2021.

We refer to the above circular issued by SEBI that mandates all the listed companies to record the **PAN, NOMINATION, KYC DETAILS** of all the shareholders and **BANK ACCOUNT DETAILS** of first holder. **This is applicable for all the security holders in physical mode.**

THE SALIENT FEATURES AND REQUIREMENTS OF THE CIRCULAR ARE AS FOLLOWS:

- A) **Non – updation of KYC - Folios** : wherein any **ONE** of the cited details/documents (i.e PAN, Bank Details, Nomination) are not available on or after **April 01, 2023**, shall be frozen as per SEBI circular.

Notes:

1. The securities in the frozen folios shall be:

- Eligible to lodge any grievance or avail service request from the RTA only after furnishing the complete documents / details as aforesaid.
- Eligible for any payment including dividend, interest or redemption payment only through electronic mode upon complying with the above stated requirements.

2. 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.

3. a) The relevant formats for Nomination and Updation of KYC details viz; Forms ISR-1, ISR-2, ISR-3, SH-13 ,SH-14 and KYC Updation Form are available on the website as mentioned below;

<http://www.sarthakglobal.com/> -- Investors -- Formats for KYC.

b) Original cancelled cheque leaf bearing the name of the first holder failing which first security holder is required to submit copy of bank passbook / statement attested by the bank which is mandatory for registering the new bank details.

- B) **Mandatory Linkage of PAN with Aadhar** - As per the Central Board of Direct Taxes (CBDT) it is mandatory to link PAN with Aadhaar number for resident investors by March 31, 2022. Security holders who are yet to link the PAN with Aadhaar number are requested to get the same done before March 31, 2022. Post March 31, 2022 or any other date as may be specified by the CBDT, RTAs shall accept only valid PANs and the ones which are linked to the Aadhaar number. The folios in which PAN is / are not valid as on the notified cut-off date of **March, 31, 2022 or any other date as may be specified by the CBDT, shall also be frozen.**

In view of aforesaid, we request you to submit the Investor Service Request Form ISR-1 appended herewith, along with the required supporting documents as stated in Form ISR-1 at the earliest.

You may use any ONE of the following modes for submission of Documents/Information

1. **In Physical/ hard copy:** By furnishing original / photocopy (ies) of the relevant document duly self-attested with date.
2. **With electronic mode with e-sign:**

In case your email is already registered with us, you may send the scanned copies of your KYC documents with **e-sign** at our dedicated email id: sgl@sarthakglobal.com .

Kindly mention the email subject line as “**KYC Updation**” –Name of Company-Folio No.:_____

3. **Through ‘In Person Verification’ (IPV)**

The original documents can be submitted by the investor in person at RTA’s office which shall be verified by the authorized person of the RTA and retaining copy(ies) with IPV stamping with date and initials.

**Thanking you,
Yours faithfully,**

For Sarthak Global Limited

**Sd/-
Authorised Signatory**

Enclosure:

1) Form ISR - 1; 2) Form ISR - 2; 3) Form ISR – 3; 4) Form SH – 13; 5) Form SH – 14; and 5) KYC Updation Form

Note: This is a computer generated letter and hence no signature required. If you have already submitted the documents for updating KYC or have dematerialized your physical securities, please do not submit the documents again.

KYC UPDATION FORM

To,
Sarthak Global Limited.
170/10, Film Colony, R.N.T Marg,, Indore – 452001, (M.P.)
Unit: _____
[COMPANY NAME]

Date: / /
Folio No: _____
No of Shares: _____
Serial No: _____

Dear Sir/Madam,

I/We, refer to the current status of the above-mentioned folio as provided by you in the following table:

| Name of the Security holder(s) | PAN (A) | Specimen Signature (B) | Email ID (C) | Mobile No. (D) | Nominee Details (E) |
|--------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|
| | Registered/ Not Registered | Registered/ Not Registered | Registered/ Not Registered | Registered/ Not Registered | Registered/ Not Registered |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Bank Details:

| | | |
|---------------------|--|-----------|
| Name of the Bank | | |
| Bank Account Number | | |
| IFSC | | MICR No : |

I/We are forwarding herewith Investor Service Request Form ISR-1 along with the required supporting KYC documents for updation.

Signature(s):

| First Holder | Joint Holder -1 | Joint Holder -2 | Joint Holder -3 |
|--------------|-----------------|-----------------|-----------------|
| | | | |
| | | | |

Form ISR – 1

(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)

REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

A. I / We, request you to Register / Change / Update the following (Tick ✓ relevant box)

Date: / /

| | |
|---------------------------------------|---|
| <input type="checkbox"/> PAN | <input type="checkbox"/> Registered Address |
| <input type="checkbox"/> Bank details | <input type="checkbox"/> E-mail address & Mobile Number |
| <input type="checkbox"/> Signature | <input type="checkbox"/> Demat account details |

B. Security and KYC Details [to be filled in by the holder(s)]:

| | | | |
|----------------------------|--------------------------|--------------------------|------------|
| Name of the Issuer Company | | | |
| Folio No | | • Serial No : | |
| E-mail of First Holder | | | |
| Mobile of First Holder | | | |
| Demat Account Number | <input type="checkbox"/> | <input type="checkbox"/> | |
| Tick any one ✓ | CDSL | NSDL | DP_CL: [] |

• Serial No. as mentioned in the KYC covering letter.

| Name(s) of the Security holder(s) in Capital as per PAN | PAN | PAN Linked to Aadhaar Y/N |
|---|-----|---------------------------|
| 1. | | Yes / No |
| 2. | | Yes / No |
| 3. | | Yes / No |
| 4. | | Yes / No |

Note: PAN copies of all the holders duly self-attested with date to be enclosed with this Form.

| Bank Account Details of First Holder | | | |
|--------------------------------------|--|--|--|
| Name of the Bank & Branch | | | |
| Bank A/c No. | Tick any one [✓]- Acct type: Savings Current NRO NRE Any other [] | | |
| IFSC | 9 digit MICR No | | |

Note: Original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit copy of bank passbook / statement attested by the Bank for registering the new bank account details.

Authorization: I / We authorize the Company/RTA to update the above PAN and KYC details in my /our folio as stated above.

Declaration: I/We hereby declare that all the above facts and documents enclosed are true and correct.

| Signature of First Holder | Signature of Joint Holder - 1 | Signature of Joint Holder - 2 | Signature of Joint Holder - 3 |
|---------------------------|-------------------------------|-------------------------------|-------------------------------|
| | | | |
| Full Address: | _____ Pin : _____ | | |

Note: If the address mentioned above differs from the address registered with the Company, you are requested to record the new address by submitting the documents as specified in point C (3) overleaf

C. I/We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions):

| | ✓ | Document/Information/Details | Instruction/Remark |
|---|--------------------------|---|---|
| 1 | | PAN of (all) the (joint) holder(s) | |
| | | PAN | PAN shall be valid only if it is linked to Aadhaar by March 31, 2022, or any date as may be specified by the CBDT. |
| | | Whether it is Valid (linked to Aadhaar): | |
| | | <input type="checkbox"/> Yes | For Exemptions / Clarifications on PAN, please refer to Objection Memo as specified in SEBI circular. |
| | | <input type="checkbox"/> No | |
| 2 | <input type="checkbox"/> | Demat Account Number | Provide Client Master List (CML) of your Demat Account, provided by the Depository Participant. |
| 3 | | Proof of Address of the first Holder | <p>Provide any one of the documents, only if there is change in the address; Client</p> <ul style="list-style-type: none"> <input type="checkbox"/> Master List (CML) of your Demat Account, provided by the Depository Participant. <input type="checkbox"/> Valid Passport / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance Bill. <input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. <input type="checkbox"/> Identity card (with Photo) / 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. <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. <input type="checkbox"/> The proof of address in the name of the spouse. |
| 4 | <input type="checkbox"/> | Bank details | Provide the latest copy of the bank statement with details of bank name, branch, account number and IFSC or Original cancelled cheque leaf bearing the name of first holder. Alternatively, Bank details available in the CML as enclosed will be updated in the folio. |
| 5 | <input type="checkbox"/> | E-mail address | As mentioned on Form ISR-1, alternatively the E-mail address available in the CML as enclosed will be updated in the folio. |
| 6 | <input type="checkbox"/> | Mobile | As mentioned on Form ISR-1, alternatively the mobile number available in the CML as enclosed will be updated in the folio. |
| 7 | <input type="checkbox"/> | Specimen Signature | Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 and Original cancelled cheque leaf bearing the name of the first holder. |
| 8 | | Nomination | <p>Submit Form(s) as per any one of the following options.</p> <ul style="list-style-type: none"> <input type="checkbox"/> SH-13 For First Time Nomination <input type="checkbox"/> SH-14 For Change in Existing Nomination <input type="checkbox"/> SH-14 and ISR-3 For Cancellation of existing Nomination and to "Opt-Out" <input type="checkbox"/> ISR-3 To "OPT-Out" of Nomination or if No-Nomination is required |

Note: All the above forms are available on the website of the RTA.

Form ISR – 2

(See 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)

CONFIRMATION OF SIGNATURE OF SECURITIES HOLDER BY THE BANKER

| | | | |
|---|--|---|--|
| 1. Bank Name and Branch | | | |
| 2. Bank contact details Postal Address Phone number E-mail address | | | |
| 3. Bank Account number | | | |
| 4. Account opening date | | | |
| 5. Account holder(s) name(s) | | 1) | |
| | | 2) | |
| | | 3) | |
| 6. Latest photograph of the account holder(s) | | | |
| <div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">1st Holder</div> | | <div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">2nd Holder</div> | |
| <div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">3rd Holder</div> | | | |
| 7. Account holder(s) details as per Bank Records | | | |
| a) Address | | | |
| b) Phone number | | | |
| c) Email address | | | |
| d) Signature(s) | | | |
| 1) | | 2) | |
| | | 3) | |
| Seal of the Bank | | Signature verified as recorded with the Bank | |
| | | (Signature) | |
| Place: | | Name of the Bank Manager | |
| | | Employee Code | |
| Date: | | E-mail address | |

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]

Date: / /

Serial No: _____

(As mentioned in KYC covering letter)

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 Tick ✓ as relevant | Folio No. | No. of Securities* | Certificate No. | Distinctive No(s)(From – To) |
|--|-----------|--------------------|-----------------|--------------------------------|
| Equity / Debs/Bonds | | | | |

(2) PARTICULARS OF NOMINEE/S — [Use photocopies of this blank nomination form in case of additional Multiple Nominations in the same folio]

| | | | |
|-------------------------------------|--|--|--|
| Name of Nominee | | | |
| Address of Nominee | | Date of Birth | |
| Father's/Mother's/ Spouse's name | | Occupation | |
| Nationality | | Relationship with the security holder | |
| E-mail-Id | | Mobile No | |

(3) IN CASE NOMINEE IS A MINOR —

| | | | |
|---------------------|--|-------------------------------|--|
| Date of Birth | | Date of attaining majority | |
| Name of guardian | | Address of Guardian | |

SIGNATURE(S) AS PER SPECIMEN RECORDED WITH THE COMPANY.

| | First Holder | Joint Holder -1 | Joint Holder -2 | Joint Holder -3 |
|-----------|--------------|-----------------|-----------------|-----------------|
| Signature | | | | |
| Name | | | | |

Witness Details:

| | | | | |
|--------------|-------|------------|-----------|--|
| Witness Name | | | Signature | |
| Address | _____ | Pin: _____ | | |
| | | | Date | |

* Nomination will be registered for entire holding in the folio. In case of more than one nominee, the ratio should be furnished & separate form to be filled for each nominee.

Form ISR - 3

Declaration Form for Opting-out of Nomination by Holders of Physical Securities in Listed Companies

(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]

Date: / /

Serial No: _____
(As mentioned in KYC covering letter)

Name of the Company : _____

Address of the Company: -----

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

| Nature of Securities Tick ✓ as relevant | Folio No. | No. of Securities * | Certificate No. | Distinctive No(s)(From – To) |
|--|-----------|---------------------|-----------------|--------------------------------|
| Equity / Debentures | | | | |

I / We the holder(s) of the securities particulars of which are given hereinabove, **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.

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.

SIGNATURE(S) AS PER SPECIMEN RECORDED WITH THE COMPANY.

| | First Holder | Joint Holder -1 | Joint Holder -2 | Joint Holder -3 |
|-----------|--------------|-----------------|-----------------|-----------------|
| Signature | | | | |
| Name | | | | |

| Name and Address of Witness: | Date [- -] |
|------------------------------|--------------------------|
| | Signature of the witness |

* Use of ISR-3 (ie to Opt-Out of Nomination OR if "No_Nomination" is required by the investor) will be applied for the entire securities against the said Folio.

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) _____
(Address of the Company) _____ PIN code _____

I/ We hereby _____
residing at _____
cancel the nomination(s) made by me/us in favor of _____ residing at _____
_____ in respect of the below mentioned securities.

Or
I/We hereby _____ residing at _____
nominate
the following person in place of _____ residing at _____
_____ 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 securities | Certificate No. | Distinctive No. | |
|----------------------|-----------|-------------------|-----------------|-----------------|----|
| | | | | From | To |
| | | | | | |
| | | | | | |

2) (a) Particulars of Nominee/s

| | | | |
|---|--|-----------------|--|
| Name: _____ | Date of Birth: ____/____/____ | | Please affix recent passport size photograph of the Nominee signed across |
| Father's/Mother's/ Spouse's name: _____ | Nationality: _____ | Phone No: _____ | |
| E-mail id: _____ | Relationship with the security holder: _____ | | |
| Address: _____ _____ Pin code _____ | | | |
| Signature of the Nominee | | | |

(b) In case New Nominee is a Minor

| | | |
|--|--|-------------------------|
| Date of birth: ____/____/____ | Date of attaining majority ____/____/____ | Name of guardian: _____ |
| Address of guardian: _____ _____ Pin code _____ | | |

| | | | |
|-------------------------------------|----------|----------|----------|
| Name of the Security Holder(s) | 1. _____ | 2. _____ | 3. _____ |
| Signature of the Security Holder(s) | 1. _____ | 2. _____ | 3. _____ |

| | |
|---|---------------------------------------|
| Name of witness | Signature of Witness with date |
| Address of witness: _____ _____ PIN code _____ | |
| Place: _____ Date: ____/____/____ | |

Please fill this Nomination form in Duplicate after carefully reading the instruction given below:

1. The Nomination made earlier can be cancelled and new nomination can made either singly or jointly. Non- individuals including Society, Trust, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and Power of Attorney holder cannot nominate.
2. The nominee shall not be a Trust, Society, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and power of attorney holder.
3. The shareholder[s] can nominate a minor as a nominee and in that event the name and address of the guardian shall be provided.
4. As per sub section (3) of section 72 of Companies Act 2013, if 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 securities of the Company shall vest, in the event of death of all the joint holders.
5. If the shares are held jointly, subsequent to the death of anyone of the holders, the shares would not be registered in favour of the nominee but would be transferred in the name of the surviving shareholders.
6. The nomination form filled in “**duplicate**” should be lodged with the Registrar and Share transfer Agent of the Company i.e. **M/s. SARTHAK GLOBAL LIMITED**, 609,Floor-6, West Wing Tulsiani Chambers, Nariman Point Mumbai, Mumbai City MH 400021 IN . The Registrar will return one copy of the nomination form to the shareholder after registering the nomination. The registration number allotted will be furnished in the said form.
7. The shareholder[s] can delete or change an earlier nomination by executing Form No. SH-14 (Cancellation or Variation of Nomination form)
8. Nomination stands cancelled whenever the shares in the given folio are transferred/ dematerialized. Also in case of change in folio due to consolidation/ transmission a new nomination has to be filed.
9. Kindly note that the nomination being a legal document the same should be dated by the nominator and the witness should certify that the nominator has signed the form in their presence. Furthermore the date of execution on the Nomination Form should match with the date of witness, witnessing the document.
10. Affixing photograph of New Nominee is not mandatory and if affixed the nominee should sign across the photograph.

FOR OFFICE USE ONLY

| Nomination Registration No. | Date of Registration | Signature of Employee with Code No. |
|------------------------------------|-----------------------------|--|
| | | |