

31<sup>st</sup> May, 2023

BSE Limited  
Phiroze Jeejeebhoy Towers,  
Dalal Street, Fort, Mumbai - 400 001

Dear Sir / Madam,

**Sub: Disclosure under Regulation 30 of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015**

**Re: Furnishing of PAN, KYC details and Nomination by holders of physical Securities**

With reference to the SEBI circular no. SEBI/HO/MIRSD-PoD-1/P/CIR/2023/37 ("SEBI Circular") dated 16<sup>th</sup> March, 2023, please find enclosed specimen letter sent to those shareholders who have not furnished either their PAN, KYC or nomination details against their shareholding in the physical folio(s). The shareholders are advised to furnish the prescribed KYC documents / details to the Registrar & Share Transfer Agent viz. Computech Sharecap Limited or the Company within the timeline prescribed in the aforesaid SEBI circular.

The same is for the information of members and has also been uploaded at the website of the Company at [www.uniabex.com](http://www.uniabex.com)

Thanking you,

Yours faithfully,  
**For Uni Abex Alloy Products Limited**

**Bhautesh Shah**  
**Company Secretary & Compliance Officer**

Encl: Ss above

A Neterwala Group Company

Date: May 19, 2023

Folio No. :  
Name of Shareholder :  
Address :

**SPECIMEN LETTER**

Pincode

Second holder :  
Third holder :

Dear Shareholder,

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

Ref.: Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 3, 2021, and  
Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/687 dated December 14, 2021, and  
Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023

We thank you for your continued patronage as a shareholder of the Company. We hope this communiqué finds you in safe and good health.

This is to bring to your notice that the Securities and Exchange Board of India ("SEBI") vide its above mentioned circular mandated furnishing of the following details by **all the holders of physical securities**:

- (i) PAN
- (i) Contact details (postal address with pin code, mobile number and email address)
- (ii) Specimen signature(s)
- (iii) Bank account details (bank name and branch, bank account number, MICR Code, IFSC Code etc)
- (iv) Nomination Details

In the event of failure in submission of the aforesaid details, your folio is liable to be frozen by the Company / Registrar & Transfer Agent ("RTA") **with effect from October 01, 2023**. For such frozen folio numbers, the shares held therein shall be referred to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002, if they continue to remain frozen as on December 31, 2025. Further such folios will not be eligible to lodge grievance or avail service request from the RTA and not eligible for receipt of dividend in physical mode. The securities in the frozen folios shall be:

- (a) eligible to lodge grievance or avail any service request from the Company / RTA only after furnishing the complete documents / details as aforesaid
- (b) eligible for any payment including dividend, interest or redemption payment only through electronic mode with effect from April 1, 2024 and an intimation from the RTA to the holder that the payments are due and shall be made electronically only upon complying with the requirements as aforesaid

We observe from our records that you have not furnished the following documents/details. We request you to

furnish the documents/details, as per the table below, to our RTA immediately on receipt of this letter either by hardcopy or by sending the duly signed and scanned documents through your registered email. Please note that the PAN to be furnished by you **should be linked with Aadhaar**. In case the same is not linked, you are requested to do the same by September 30, 2023. In the event such linkage is not done with the specified date, your PAN will be deemed to be invalid and consequently your folio will be treated in the same manner as applicable in case of folios for which PAN has not been furnished.

Sr. No.	Particulars	Status as per records
1	PAN	
2	Address	
3	Email Address	
4	Aadhaar Number	
5	Specimen Signature(s)	
6	Bank Account Details	
7	Nomination Details	

The KYC forms are enclosed for easy reference and alternatively can also be downloaded from the website of the Company or from the website of our RTA at <http://www.computechsharecap.com/forms-center/>

As such, you are kindly requested to take note of the above and furnish the aforesaid documents at the earliest. In case you have already furnished the aforesaid documents, then kindly ignore this communication. Kindly note that in compliance with SEBI notification no. SEBI/LAD-NRO/GN/2018/24 dated June 8, 2018 and further notification dated November 30, 2018, with effect from April 1, 2019, transfer of securities shall be processed by the Company / Company's RTA **ONLY** in dematerialized form. Hence, we also request you to convert your physical shares into dematerialized (demat) form immediately.

The contact details of our RTA for submission of the forms / details is mentioned below:

M/s Computech Sharecap Limited, 147, Mahatma Gandhi Road, Fort, Mumbai 400001  
Tel: 022-22635000 – 01; Email: [helpdesk@computechsharecap.in](mailto:helpdesk@computechsharecap.in)

Yours faithfully,  
For Uni Abex Alloy Products Limited

Sd/-  
Bhautesh Shah  
Company Secretary

Encl: Form ISR-1, Form ISR-2, Form ISR-3 and SH-13

**This communication is computer generated and hence does not require any 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 (<b>CML</b>) 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 <i>or</i> <u>Bank Passbook or Bank Statement attested by the Bank#</u></p>
5	E-mail address	_____ #
6	Mobile	_____ #
7	Specimen Signature	<p><input type="checkbox"/> Provide Banker's attestation of the signature of the holder(s) as per <b>Form ISR – 2</b> in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 and,</p> <p><input type="checkbox"/> <u>original cancelled cheque</u> with name of security holder printed on it <i>or</i> <u>Bank Passbook or Bank Statement attested by the Bank#</u></p>
8	Nomination**	<p><input type="checkbox"/> Providing Nomination: Please submit the duly filled up Nomination Form (<b>SH-13</b>) <i>or</i> 'Declaration to Opt out of Nomination' as per <b>Form ISR-3</b>, in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021</p> <p><input type="checkbox"/> Change in Existing Nomination: Please use <b>Form SH-14</b> in SEBI circular</p>

			SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021
			<input type="checkbox"/> Cancellation of Existing Nomination: Please use <b>Form SH-14</b> and <b>Form ISR-3</b>

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

\*\* 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.

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

**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**

- 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).
- Upon receipt or updation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.
- 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.
- RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.

**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	✓ □ □ □ □ □ □ □ □	□ □ □ □ □ □ □	□ □ □ □ □ □ □

## 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 <b>Form ISR – 2</b></li> <li>• <u>Original cancelled cheque</u> with name of security holder printed on it or</li> <li>• <u>Bank Passbook</u> or</li> <li>• <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> <li>• In case where the letter is undelivered at the new address, RTA shall insist for any proof of the new address provided as per <b>serial number 3 in Table C.</b></li> <li>• Bank statement showing the credit of previous dividend received.</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 – 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)				
<table border="1" style="width: 100%; text-align: center;"><tr><td style="width: 33%; height: 80px;">1<sup>st</sup> Holder</td><td style="width: 33%; height: 80px;">2<sup>nd</sup> Holder</td><td style="width: 33%; height: 80px;">3<sup>rd</sup> Holder</td></tr></table>	1 <sup>st</sup> Holder	2 <sup>nd</sup> Holder	3 <sup>rd</sup> Holder	
1 <sup>st</sup> Holder	2 <sup>nd</sup> Holder	3 <sup>rd</sup> Holder		
7. Account holder(s) details as per Bank Records				
a) Address				
b) Phone number				
c) Email address				
d) Signature(s)				
1) <table border="1" style="width: 200px; height: 40px;"></table>	2) <table border="1" style="width: 200px; height: 40px;"></table>	3) <table border="1" style="width: 200px; height: 40px;"></table>		
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 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]]**

To

**M/s Computech Sharecap Limited**

147 Mahatma Gandhi Road,  
Fort Mumbai 400 001

**Unit:** \_\_\_\_\_

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

(1) 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.	
				From	To

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) / representatives 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 & Address of Security Holder(s)	Signature
1.	
2.	
3.	

Witness	Signature
Name:	
Address:	

Place:

Date:

**FOR OFFICE USE ONLY**

Nomination Registration No.	Date of Registration	Remarks

**Form No. SH-13**  
**Nomination Form (To be filled in Duplicate)**

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

To

**M/s Computech Sharecap Limited**  
 147 Mahatma Gandhi Road,  
 Fort Mumbai 400 001

**Unit:** \_\_\_\_\_

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.	
				From	To

**(2) PARTICULARS OF NOMINEE/S —**

Name		Date of Birth	DD/MM/YYYY
Father's/Mother's/ Spouse's name		Occupation	
Address with pincode		Nationality	
Relationship with the security holder		Phone No.	
E-mail id		Mobile No.	
Signature of Nominee		IT PAN /Others	

**(3) IN CASE NOMINEE IS A MINOR—**

Name		Date of Birth	DD/MM/YYYY
Name of guardian:		Date of attaining majority	DD/MM/YYYY
Address of guardian		Relationship with Minor	

Name of Security Holder(s)	Signature
1.	
2.	
3.	

Witness	Signature
Name:	
Address:	

**Place:**

**Date:**

**FOR OFFICE USE ONLY**

Nomination Registration No.	Date of Registration	Remarks